



# **IMPLEMENTATION OF THE ARAFURA AND TIMOR SEAS REGIONAL AND NATIONAL STRATEGIC ACTION PROGRAMMES (ATSEA-2)**

## **Mid-Term Review Report**

GEF ID 6920  
UNDP PIMS ID 5439  
August 2022



**IMPLEMENTATION OF THE ARAFURA AND TIMOR SEAS  
REGIONAL AND NATIONAL STRATEGIC ACTION  
PROGRAMMES (ATSEA-2)  
SECOND PHASE OF THE ARAFURA TIMOR SEAS  
ECOSYSTEM ACTION (ATSEA)**

**GEF ID 6920**

**UNDP PIMS ID 5439**

**MID-TERM REVIEW REPORT**

**(18 April 2022 – 30 August 2022)**

**Mission Members:**

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**August, 2022**

## ***SYNOPSIS***

### **Title of UNDP supported GEF financed project:**

Implementation of the Arafura and Timor Seas Regional and National Strategic Action Programs (ATSEA-2); Second Phase of the Arafura Timor Seas Ecosystem Action (ATSEA) Program

**UNDP Project ID:** 5439

**GEF Project ID:** 6920

**Evaluation time frame:** 18 April 2022 – 20 August 2022

**CEO endorsement date:** 8 March 2017

**Project implementation start date:** 1 February 2019 (Indonesia)  
5 March 2019 (Timor-Leste)  
29 July 2019 (Papua New Guinea)

**Project operational closure:** 10 June 2024

**Date of evaluation report:** 20 August 2022

**Region and Countries included in the project:** Asia (Indonesia, Timor-Leste, Papua New Guinea)

### **GEF Focal Area Objective:**

Objective IW 1: Catalyse sustainable management of transboundary water systems by supporting multi-state cooperation through foundational capacity building, targeted research, and portfolio learning

Objective IW 3: Enhance multi-state cooperation & catalyse investments to foster sustainable fisheries, restore & protect coastal habitats, reduce pollution of coasts & large marine ecosystems

### **Implementing partner and other strategic partners:**

Partnerships in Environmental Management for the Seas of East Asia (PEMSEA)  
Ministry of Marine Affairs and Fisheries of Indonesia/ UNDP Indonesia  
Ministry of Fisheries of Timor-Leste/UNDP Timor-Leste  
National Fisheries Authority of Papua New Guinea

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## Acronyms and Abbreviations

ACB	ASEAN Centre for Biodiversity
AFMA	Australian Fisheries Management Authority
ASEAN	Association of Southeast Asian Nations
ATS	Arafura and Timor Seas
ATSEA	Arafura and Timor Seas Ecosystem Action Program
ATSEF	Arafura and Timor Seas Expert Forum
BRH	Bangkok Regional Hub (UNDP)
CCA	Climate Change Adaptation
CCVA	Climate Change Vulnerability Assessment
CTC	Coral Triangle Centre
CTI	Coral Triangle Initiative
DAWE	Department of Agriculture, Water and the Environment (Australia)
EA	Executing Agency
EAFM	Ecosystem Approach to Fisheries Management
EOP	End of Project Targets
GEF	Global Environment Facility
GESI	Gender Equity and Social Inclusion
IA	Implementing Agency
IDN	Indonesia
IUU	Illegal, Unreported, and Unregulated (fishing)
IW	International Waters (GEF focal area)
LIPI	<i>Lembaga Ilmu Pengetahuan Indonesia</i> (Indonesian Institute of Sciences)
LME	Large Marine Ecosystem
LTA	Long-Term Agreement
M&E	Monitoring and Evaluation
MAF	Ministry of Agriculture and Fisheries (Timor-Leste)
MCS	Monitoring, Control, and Surveillance
MMAF	Ministry for Marine Affairs and Fisheries (Indonesia)
MPA	Marine Protected Area
MTR	Mid-term review
NAP	National Action Program
NPB	National Project Board
NCU	National Coordination Unit
NFA	National Fisheries Authority (Papua New Guinea)
NGO	Non-Governmental Organization
NIMC	National Inter-Ministerial Committee
NTT	Nusa Tenggara Timur (province in Indonesia)
PEMSEA	Partnerships in Environmental Management for the Seas of East Asia
PIF	Project Identification Form (GEF)
PIR	Project Implementation Review
PMU	Project Management Unit
PPR	Permanent Project Representative
PNG	Papua New Guinea
PPG	Project Preparation Grant (GEF)
PRF	PEMSEA Resource Facility
RCC	Regional Coordination Committee
RGM	Regional Governance Mechanism
RSC	Regional Steering Committee
RPM	Regional Project Manager
RPMU	Regional Project Management Unit
RPoA-CTI	Regional Plan of Action – CTI
RPoA-IUU	Regional Plan of Action to Promote Responsible Fishing Practices Incl. Combating IUU Fishing in the Region
RSC	Regional Steering Committee
SAP	Strategic Action Programme
SESP	Social and Environmental Screening Procedure
SGP	Small Grants Programme (UNDP-GEF)
SPF	Stakeholder Partnership Forum

SRF	Strategic Results Framework
SSF	Small-Scale Fisheries
TDA	Transboundary Diagnostic Analysis
TL	Timor-Leste
ToC	Theory of Change
TOR	Terms of Reference
UNDP	United Nations Development Programme
UNDP CO	UNDP Country Office

## 1.EXECUTIVE SUMMARY

This report summarizes the findings of the independent Midterm Review (MTR) conducted via virtual meetings and field interviews between 20 May and 31 July 2022 for the UNDP-GEF Project *Implementation of the Arafura and Timor Seas Regional and National Strategic Action Programs (ATSEA-2); Second Phase of the Arafura Timor Seas Ecosystem Action (ATSEA) Program*, (hereby referred to as the ATSEA-2 Project) that received a US\$9,745,662 grant from the Global Environment Facility (GEF) in March 2017.

### Project Information Table

Project Title	Implementation of the Arafura and Timor Seas Regional and National Strategic Action Programs (ATSEA-2); Second Phase of the Arafura Timor Seas Ecosystem Action (ATSEA) Program		
UNDP Project ID (PIMS #):	5439	PIF Approval Date:	29 October 2014
GEF Project ID (PMIS #):	6920	CEO Endorsement Date:	8 March 2017
Country(ies):	Indonesia, Timor-Leste, Papua New Guinea, Australia	ProDoc Signature Date:	1 February 2019 5 March 2019 29 July 2019
Region:	Asia	Date project manager hired:	January 2020
Focal Area:	International Waters	Inception Workshop date:	18 Nov 2019 (Reg) 3 Oct 2019 (IDN) 16 Dec 2019 (TL) 31 May 2021 (PNG)
GEF Focal Area Strategic Objective:	GEF-6	Midterm Review Date:	May – August 2022
Trust Fund:		Planned closing date:	10 June 2024
Executing Agency/ Implementing Partner	PEMSEA Ministry of Marine Affairs and Fisheries of Indonesia/ UNDP Indonesia Ministry of Fisheries of Timor-Leste/UNDP Timor-Leste National Fisheries Authority of Papua New Guinea		
Other execution partners:			
Project Financing	at CEO endorsement (US\$)	at Midterm Review (US\$)	
[1] GEF financing:	9,745,662	3,703,207.70	
[2] UNDP contribution:	125,000	-	
[3] Governments (in-kind):	33,190,522	22,359,012.50	
[4] Governments (in-cash):	26,800,000	21,712,817	
[5] Other partners (Donor Agency)	85,651	-	
[6] Additional leveraged funds <sup>1</sup>	-	649,700	
[7] Total co-financing [2 + 3+ 4+5+6]:	60,201,173	44,721,529.5	
<b>PROJECT TOTAL COSTS [1 + 6]</b>	<b>69,946,835</b>	<b>48,424,737.2</b>	

<sup>1</sup> Not part of the CEO endorsement

## 1.1 Project Description

The ATSEA-2 project is the second phase of the GEF-financed, UNDP-supported ATSEA program, and is designed to enhance regional collaboration and coordination in the Arafura and Timor Seas (ATS) region. ATSEA-2 specifically focuses on supporting the implementation of the endorsed strategic action program (SAP), a 10-year vision for the Arafura-Timor Seas with the long-term objective “to promote sustainable development of the Arafura-Timor Seas region to improve the quality of life of its inhabitants through restoration, conservation and sustainable management of marine-coastal ecosystems”. The GEF alternative establishes a regional governance mechanism that strengthens the enabling policies and capacities of institutions and individuals, including the integration of Papua New Guinea, resulting in a sustained transboundary response to over-exploited fisheries and increased pressures on the globally significant biodiversity in the ATS region, including the impacts of climate change. Integrated approaches are designed to incentivize local communities to more sustainable use coastal and marine resources, enhancing their own livelihoods while safeguarding the ecosystem goods and services that are the backbone of their socio-economic well-being.

The project objective is to enhance sustainable development of the ATS region to protect biodiversity and improve the quality of life of its inhabitants through conservation and sustainable management of marine-coastal ecosystems (as indicated in the SAP).

In order to achieve the above objective, the project’s intervention is organized in three components with total of nine outcomes.

Component 1: Regional, National, and Local Governance for Large Marine Ecosystem Management

Component 2: Improving LME Carrying Capacity to Sustain Provisioning, Regulating and Supporting Ecosystem Services

Component 3: Knowledge Management

The project was approved for implementation as a full-size GEF-6 project on 8 March 2017. The implementation of the project started with the official signature by the participating governments on 1 February 2019 (Indonesia), 5 March 2019 (Timor-Leste) and 29 July 2019 (Papua New Guinea). The original planned end date of the project is June 2024.

## 1.2 Project Progress Summary

Under Component 1, the project supported assessment of a Regional Governance Mechanism (RGM) and proposal for the ATS Stakeholder Partnership Forum (SPF). The documents for a proposed RGM were submitted for national consultations. The project established and operationalised its Regional Steering Committee (RSC) and the National Project Boards (NPBs) as the project governance bodies for the regional and national levels. It also initially identified members of the regional SPF (subject to approval of the RSC), assisted with establishment of the national SPF in PNG and advanced related national consultations in Indonesia and Timor-Leste. All 3 countries have completed assessment of their institutional and legal frameworks that served as a key reference and guidance in the process of establishment of the National Inter-Ministerial Committees (NIMC). A Financial Landscape Assessment was completed as a first step for identification of sustainable financing of the RGM/SPF.

There was notable participation of women in RSC and RGM/SPF meetings as summarised below:

<b>Meeting</b>	<b>Participation</b>	<b>Meeting</b>	<b>Participation</b>
1 <sup>st</sup> RSC	22 men, 9 women	4-day SPF Consultative Webinar Series	220 men, 153 women
Intersessional RSC	16 men, 14 women	Regional consultation on SPF	32 men, 17 women

2nd RSC	34 men, 23 women	National consultations on RGM and SPF	47 men, 38 women
3rd RSC	34 men, 34 women	SPF Consultative Meeting at regional level	37 men, 22 women

Upon review of the existing national legal frameworks, the project supported development of 4 new local regulations (3 in Indonesia and 1 in Timor-Leste) and initiated consultations on the completed draft Artisanal Fisheries Management Plan for the South Fly District in Papua New Guinea. By this token, the project has strengthened the existing national institutional and policy frameworks and created grounds for regional approaches on coastal and marine resource management and conservation of biodiversity.

The project has built on various achievements of the Phase-1 of the ATSEA project, in particular initiated update of the Transboundary Diagnostic Analysis (TDA) in preparation for updates of the regional Strategic Action Programme (SAP) and related National Action Programmes (NAPs) in Indonesia and Timor-Leste that will commence in late 2022 and early 2023, respectively. As Papua New Guinea had not participated in ATSEA-1, the project created grounds for preparation of the first NAP for PNG (to commence in late 2022).

Furthermore, the project supported stakeholder analysis and capacity evaluation, and development of a capacity development plan. On this basis, a series of regional and national training activities was conducted both at the regional and national levels through which about 1,000 resource beneficiaries were trained or mentored on different aspects of sustainable resources management of marine and coastal resources.

Under Component 1, the project also completed a Regional Climate Change Vulnerability Assessment (CCVA) and a Guidance Toolkit for Facilitators. A Regional Webinar on Climate Change was conducted as part of the East Asian Seas Congress 2021 as part of efforts to further share and build understanding on climate change and its impact on the ATS region. The CCVA Guidance Toolkit is scheduled for formal endorsement by the RSC in November 2022.

Under Component 2, the project supported preparation of 11 thematic assessment studies and reports on topics such as climate change, land-based and marine sources of pollution, IUU fishing, coastal and marine biodiversity, and habitat) to inform and facilitate more targeted approaches for the implementation of the updated SAP and NAPs, as well as for preparation of national and sub-national ICM and issue-specific plans.

For improved management of fisheries, the project supported development of reports on the Ecosystem Approach on Fisheries Management (EAFM) and on the Rights-Based Management Approaches to Fisheries in the ATS Region. Completion of fisheries profiles and value chain assessments of red snapper fisheries in Indonesia and Timor-Leste together with establishment of EAFM Advisory Forums led to preparation of the draft Regional EAFM Plan for Red Snapper for review by the RSC. This initiative was complemented by the regional EAFM Training of Trainers (ToT).

The project also initiated supporting activities to improve management effectiveness of two already established Marine Protected Areas (MPA) – one each in Indonesia and Timor-Leste. The Roadmap for the Establishment of New MPAs in the ATS provides guidance for the ATS countries to establish new MPAs following recommendations of the MPA network design developed for the ATS region. Both documents informed the preparatory work for designation of new MPAs, namely Kolepom in Indonesia, and Betano-Klakuk in Timor-Leste. The former has already been established through a Governor Decree and a Zonation Plan has been completed. Biophysical and socio-economic assessment as well as boundary measurements were completed for Betano-Klakuk MPA in Timor-Leste. Based on

assessments, both areas coverage is less than the end-of-project target of 555,000 and 90,000 ha respectively. However, further discussion in TL is ongoing on potential further modification of the MPA coverage.

Results of the regional Climate Change Vulnerability Assessment created basis for development of a 5-year Integrated Coastal Management (ICM) Plan for the Barique sub-district of the Manatuto Municipality in Timor- Leste and a local Action Plan for Climate Change Adaptation in Oeseli Village, Indonesia. Following completion of a local climate change vulnerability assessment and establishment of an Inter-agency ICM Sub-Task Team, the ICM plan for Barique serves to demonstrate and promote implementation of an ICM plan at the subdistrict level and replicate good practices from the previous GEF project. The local plan for Oeseli village was developed based on a pilot use of a Guide for Facilitators prepared with the project support.

Under Component 3, the project made available a remarkable number of knowledge products through a dedicated ATSEA-2 website, production of annual progress reports, quarterly newsletters and presence in various social media platforms. As part of the information exchange between ATSEA-2 and similar other initiatives, the project engaged in more than 30 events and co-hosted some events (mostly online due to COVID-19 limitations) with various partner entities.

### 1.3 MTR Ratings & Achievement Summary Table

Measure	MTR Rating <sup>2</sup>	Achievement Description
Project Strategy/ Project Formulation	N/A	Project design consistent with the objectives IW1 and IW3 and aligned programmes of the GEF-6 International Waters (IW) Focal Area Definition of the Project Objective, outcomes, and outputs clear, practicable and feasible within the project time frame and with majority of indicators and their targets suitable for measurement of progress to achievement of the planned results Few indicators/targets found not in line with the SMART criteria
Progress Towards Results	Objective Achievement Rating: <b>MS</b>	Good progress on targeting direct beneficiaries (total 49,695 individuals (43%), out of which 20,006 women (40%); no data available on assessment of progress on level of improvement of sustainable management of fisheries, lower than targeted total area of project-targeted MPAs
	Outcome 1.1 Achievement Rating: <b>S</b>	RCC in place and functional, stakeholder participation promoted through identification of SPF membership, national SPF established in PNG, proposal for RGM developed and submitted for RSC approval, NIMC formalised in 2 countries, little progress on intersectoral cooperation, TDA updating in progress, Financial Landscape Assessment (FLA) conducted, further steps towards funding of the RGM and SAP/NAPs not clear
	Outcome 1.2 Achievement Rating: <b>S</b>	Review of existing legal frameworks and development of 4 new local regulations completed, series of regional and national training activities conducted on institutional and stakeholder capacity building, some CB activities postponed due to COVID-19 restrictions
	Outcome 1.3 Achievement Rating: <b>S</b>	Regional CCVA completed and Guidance for Facilitators prepared (submitted for RSC endorsement), pilot case study in an area-specific fishery in Oeseli Village, Indonesia completed
	Outcome 1.4 Achievement Rating: <b>S</b>	TDA update, stocktaking exercise on original SAP implementation and preparatory work for SAP/NAPs update ongoing
	Outcome 2.1 Achievement Rating: <b>MS</b>	Red snapper fisheries and value chain assessments completed, draft Regional EAFM plan for red snapper submitted for RSC approval, baseline assessment on IUU fishing and related trainings completed, Draft Fore-Coast AFMP for PNG undergoing consultation, further information needed on reduced fishing pressure and improved use of fishing gear
	Outcome 2.2 Achievement Rating: <b>MS</b>	Baseline studies and capacity building events on oil spill response and marine pollution assessment completed, Pollution Task Team in place in NTT, training on oil spill modelling and development of marine pollution early warning/integrated reporting system, little progress on concrete strengthening of oil spill response systems
	Outcome 2.3 Achievement Rating: <b>S</b>	Studies on ecosystem valuation and support to 2 existing MPA and one MPA designated and preparation for designation of one new MPA ongoing, Regional MPA Network Design and Regional Action Plan for Sea Turtle prepared and approved
	Outcome 2.4 Achievement Rating: <b>S</b>	Documents for supporting the development of ICM for two coastal areas produced, 5-year ICM plan for Barique (Manatuto) promulgated, ICM Framework Document for Rote Ndao, Indonesia in place
	Outcome 3 Achievement Rating: <b>HS</b>	Remarkable number of studies and reports made available through project website, newsletter with quarterly periodicity, presence on various social media, engagement in more than 30 events
Project Implementation &	Rating: <b>S</b>	6 out of 7 aspects rated (S), only risk identification and management rated (MS)

<sup>2</sup> Evaluation rating indices (except sustainability – see Para 70): 6=Highly Satisfactory (HS): The project has no shortcomings in the achievement of its objectives; 5=Satisfactory (S): The project has minor shortcomings in the achievement of its objectives; 4=Moderately Satisfactory (MS): The project has moderate shortcomings in the achievement of its objectives; 3=Moderately Unsatisfactory (MU): The project has significant shortcomings in the achievement of its objectives; 2=Unsatisfactory (U) The project has major shortcomings in the achievement of its objectives; 1=Highly Unsatisfactory (HU): The project has severe shortcomings in the achievement of its objectives.

Adaptive Management		
Sustainability	ML	All 4 aspects of sustainability rated ML

## 1.4 Concise summary of conclusions

Start of implementation of the project was delayed due to the protracted negotiations for obtaining agreements and official signatures on documents for the project management arrangements and slow recruitment of the regional and national project teams. COVID-19 restrictions imposed in early 2020 caused further delays in implementation. Consequently, numerous project activities had to be postponed and/or modified. Despite several adaptive management actions of the project teams the delivery of several outputs was slower than originally expected. There is a risk that not all end-of-project (EOP) targets will be achieved by the original project completion date of June 2024.

The ATSEA-2 Project Document was prepared at the time when an explicit Theory of Change (ToC) was not yet required for GEF projects. Upon recommendation of the 2<sup>nd</sup> RSC meeting, a comprehensive ToC for the project was prepared and subsequently presented to the countries. The ToC provides a framework and causal links between intermediate and final results. It will be desirable to use the ToC in monitoring of the project results. This can be particularly important when the intended impacts are longer-term and information about intermediate outcomes is needed to inform decisions.

Few indicators and their EOP targets contained in the project Strategic Results Framework (SRF) were determined on basis of incomplete baseline data. Additional baseline data and information from the field sites collected from the project-supported studies suggest that those indicators and related targets in the SRF are not realistic and need to be reconsidered in order to ensure their attainability within the remaining timeframe of the project. Moreover, the MTR team considers that the EOP targets on financing for the RGM functionality and SAP implementation are overambitious given the complicated negotiations and approval processes.

Financial mechanisms for SAP/NAPs implementation and for functioning of the RGM beyond the time boundaries of the project are critical for sustainability of the ATSEA-2 results. The completed Financial Landscape Assessment indicated that the original expectation of secured contributions from the ATSEA-2 countries is not realistic as the short-term financial sustainability will be dependent on donor funding for Phase-3 of the project.

The time for full achievement of several outcomes could exceed the lifetime of the ATSEA-2 project and will require follow-up donor financing. GEF-8 that is currently being finalised appears to be one of the potential funding sources for a follow-up phase of the project.

Relevance of the ATSEA-2 interventions to the needs and priorities of the beneficiary countries is an important factor of the project sustainability. Fully operational NIMCs will serve as an effective vehicle for mainstreaming the ATS SAP/NAPs priority actions into relevant national development plans. Although by the MTR stage the NIMCs were formally established in PNG and TL, they were not fully functional in terms of facilitating inclusion of ATSEA priority actions into national development policies and plans.

The MTR observed that the RSC has duly executed its oversight function for the project. However, several important documents were prepared and had to wait until the meeting of the RSC. Increased frequency of the RSC meetings will accelerate approval of important decisions for critical actions in the project implementation.

The project ultimate goal is protection and sustainable management of ATS marine and coastal resources through implementation of the regional SAP and related NAPs. More active involvement of target beneficiary communities could be ensured if the local leaders and community-based organisations fully understand the need for the SAP/NAPs actions particularly in cases of impacts of the actions on local livelihood and subsistence challenges.

The MTR observed that several project indicators and/or related targets for the Indonesia component are either not relevant or not attainable. Several project stakeholders perceive the administrative and procurement procedures under UNDP CO Indonesia causing delays in the project implementation. The once per year frequency of meetings of the NPB Indonesia is not sufficient for achieving needed decisions for smooth implementation of the planned activities in Indonesia.

The MTR observes the stakeholder engagement for the Timor-Leste component not sufficiently inclusive (particularly in the case of Suco or village level where some local authority still has limited understanding of their responsibility and still lack sense of ownership and would require further capacity and awareness building). The MTR observed insufficiencies in the actual M&E system in Timor-Leste. In particular, the M&E activities did not sufficiently cover the measurement of impacts of various community livelihood projects' activities relevant for the ATSEA-2 project. The MTR concluded that in the preparatory phase, the project had not sufficiently identified relevant income generation activities for the project target communities in Timor-Leste.

The flagship deliverable for the Papua New Guinea component is the development of the Artisanal Fisheries Management Plan (AFMP) for the South Fly District (SFD). It is expected that the Plan will be officially gazetted and will thus become a law to be incorporated into local legislation at the village level. Successful implementation of the Plan will require effective monitoring and surveillance by the fishing communities.

Indicators 13 (reduced fishing pressure) and 14 (improved use of fish gear/techniques) in the project SRF are poorly defined and there are no specific activities defined in the Project Document for achievement of the respective EOP targets for PNG. Assessments completed under the project proved that the EOP targets were determined based on outdated baseline data and therefore unrealistic and unclear.

Budget allocation for the PNG component in the approved Project Document is underestimated and lack of funding can negatively affect roll out of the South Fly AFMP and completion of the first NAP for PNG. Implementation of community-level livelihood activities in the SFD will be strengthened through attracting additional resources from various available sources of funding.

The Gender Equity and Social Inclusion and Social and Environmental Standard or GESI+SES studies in the project sites provided evidence of gender segregation in productive, reproductive, and public roles, resulting in imbalanced power relations between men and in accessing marine and fisheries resources. It also showed that many gender issues in the fishing sector had been neglected as a result of the perception of fisheries as a masculine domain due to stereotyping of women's physical condition unsuited to fishing and cruising at sea, and presupposed lack of women's technical knowledge related to fisheries. Consequently, the gender imbalance limited the ability of women to overcome inequalities caused by climate change and environmental degradation.

The project teams included gender-disaggregated data for participants of the various project events. The MTR field visit in Indonesia found involvement of women at a certain level of activities (e.g. such as developing a seaweed soap business in Rote Ndao), and recognised good representation of women at the national level and project level. Similarly, the MTR field visit in Timor-Leste found active

involvement of women and women leadership in several alternative income generation activities, such as the recycling business and tree planting activities in Betano.

### 1.5 Recommendation Summary Table

No.	Recommendation	Entity Responsible
<b>Overall recommendations</b>		
1	In accordance with UNDP and GEF policies, the UNDP CO in Indonesia as the Principal Project Representative should prepare and submit request for a no-cost extension of 12-18 months in order to recover the time lost due to the slow project start and COVID-19 restrictions	UNDP CO
2	The RPMU in cooperation with the NCUs should use the ATSEA-2 ToC in monitoring of the progress in the project implementation in order to identify early indicators of progress or lack of progress towards achievement of the planned targets and to facilitate prioritization of activities.	RPMU and NCUs
3	With guidance from UNDP and following consultative processes, the RPMU in cooperation with PEMSEA and the NCUs should conduct a critical revision of the actual indicators and targets in the project SRF, in particular for Outcomes 1.1 and 2.1, and prepare a proposal for revised/alternative indicators and/or targets for submission and approval of the NPBs and the RSC.	RPMU, PEMSEA and NCUs
4	The PEMSEA, RPMU and NCUs should prepare an exit strategy for the project with emphasis on formalisation of financial commitments of the countries to the RGM functionality and the SAP/NAPs implementation	PEMSEA, RPMU and NCUs
5	UNDP in cooperation with the beneficiary countries should initiate consultations with the GEF OFPs from the ATS beneficiary countries regarding the potential preparation of ATSEA-3 project concept.	UNDP COs
6	The RPMU in cooperation with PEMSEA and the NCUs in cooperation with the participating countries should ensure that all three NIMCs are fully functional through ensuring permanent representation of stakeholder institutions on the NIMCs. Furthermore, the ATSEA-2 project teams should map existing national and regional sustainable development planning processes and identify short- and medium-term opportunities for mainstreaming the SAP/NAPs priority actions into the national development policy and planning frameworks. Results of this work should be presented for consideration of the NIMCs.	RPMU, PEMSEA and NCUs
7	PEMSEA and RPMU in cooperation with the Implementing and Executing Agencies should more actively use options for holding ad-hoc intersessional meetings of the RSC to ensure timely approval of important documents, effective management of project risks and endorsement of critical decisions needed for implementation of the project.	RPMU and PEMSEA
8	PEMSEA and the RPMU should consider preparation of popular versions of the updated SAP/NAPs for better information of the target communities	RPMU, PEMSEA and NCUs
<b>For Indonesia</b>		
9	The RPMU in cooperation with the NCU Indonesia should conduct a critical revision and reassessment of the following elements of the project SRF: <ul style="list-style-type: none"> <li>• Modify Activity 2.1.3-8 on IUU fishing through conducting a study to establish a baseline on IUU fishing in FMA 718 in Aru and Merauke areas as project sites</li> </ul>	RPMU, PEMSEA and NCU

No.	Recommendation	Entity Responsible
	<ul style="list-style-type: none"> <li>• Modify Activity 2.1.3-10 on improved provincial registration of vessel systems for a more specific definition of the target vessel systems in Maluku and Papua covering three commodities (red snapper, shrimp, and barramundi)</li> <li>• Revise the EOP target for Indicator 16 through utilization of new MPA management effectiveness scoring of EVIKA and potentially adopt a new indicator for the Kolepom MPA to comply with Indonesian government requirements</li> <li>• Reconsider relevance of Activity 2.3.2-16 on the feasibility study for ecotourism development in the Kolepom MPA</li> <li>• Modify Activities 2.3.3-6 and 2.3.3-7 on conducting a feasibility study on alternate livelihood tourism opportunities for the communities in Aru Islands, Rote, and Merauke and possibly other sites through education for local communities on turtles' conservation while providing alternative nature-based livelihoods or capacity building options</li> <li>• Reconsider relevance of Activity 2.4.3-4 on technical training for maintenance and repair of the solar-powered water desalination units and eventually replace with activities related to water, sanitation, and hygiene (WASH) projects, for access to safe and affordable drinking water</li> <li>• Modify the EOP targets for under Indicators 13 and 14 to make them clearer and more specific and attainable</li> </ul>	
10	The UNDP CO in Indonesia in cooperation with the NCU should conduct a critical review of the procurement and other administrative assistance and identify causes of delays	UNDP CO
11	The NCU Indonesia should intensify consultations with the NPB and UNDP Indonesia for focusing more on performance and achieving results through arrangement of the NPB meetings at least semi-annually (at the middle and the end/beginning of the year)	NCU
<b>For Timor-Leste</b>		
12	<p>The Timor-Leste NCU in cooperation with the UNDP CO should ensure inclusion of additional stakeholders, in particular:</p> <ul style="list-style-type: none"> <li>• Local authorities at Suco level need to be more involved in the decision-making on implementation of projects in their areas for reinforcing their ownership of project interventions for community development, coastal management, and environmental protection, in particular with respect to IUU fishing in the Timor Sea</li> </ul>	NCU and UNDP CO
13	The NCU in cooperation with the RPMU should strengthen the M&E system to reflect the activities more comprehensively as a 'bridge' between UNDP ATSEA 2 project and the Government of Timor-Leste, and to gather evidence on the impact of the community livelihoods support projects in the country	RPMU and NCU
14	The NCU in cooperation with the RPMU should conduct comprehensive planning for alternate livelihood support projects for communities in the targeted municipalities. Beneficiary community groups should be supported in development of business plans and sharing of success stories in order to identify opportunities for making the best possible use of their comparative advantages and optimize achievement of results	RPMU and NCU
<b>For Papua New Guinea</b>		
15	PEMSEA in cooperation with the NCU and RPMU should ensure provision of capacity building on AFMP management, implementation and surveillance to the local communities in the SFD	RPMU, PEMSEA and NCU

No.	Recommendation	Entity Responsible
16	<p>The RPMU in cooperation with PEMSEA and the NCU PNG should conduct a critical revision and reassessment of the EOP targets for Output 2.1.1 in the project SRF:</p> <ul style="list-style-type: none"> <li>• Reset the target for Indicator 13 on more sustainable production of dried fish maw to also cover production and use of fish maw carcass;</li> <li>• Redefine the target for Indicator 14 on improved use of fishing gears by artisanal fisheries in line with the South Fly Fore-coast AFMP</li> </ul>	RPMU, PEMSEA and NCU
17	<p>PEMSEA in cooperation with the RPMU and PNG NCU should assess options for re-allocation of the project funds to the PNG component and consider reaching out to the private sector (e.g. Ok Tedi Development Foundation) for joint activities and additional support to implementation of community level activities, including linking with the GEF Small Grants Programme in PNG and with the Australian High Commission in PNG</p>	RPMU, PEMSEA and NCU

## 2.INTRODUCTION

This report presents the findings of the Mid-Term Review (MTR) of the UNDP/GEF project *“Implementation of the Arafura and Timor Seas Regional and National Strategic Action Programs - Second Phase of the Arafura Timor Seas Ecosystem Action”*, further referred to as the ATSEA-2 project.

### 2.1 Purpose of the MTR and Objectives

As outlined in the GEF Monitoring and Evaluation Policy, Mid-Term Reviews are mandatory for all GEF-financed full-sized projects and constitute an important part of the GEF projects’ monitoring and evaluation plan. MTRs are primarily undertaken for adaptive management purposes, i.e. to identify challenges and outline corrective actions to ensure that a project is on track to achieve maximum results by its completion. In order to fulfil the above purpose, MTRs are conducted in order to assess the projects’ progress towards results, implementation, and adaptive management for improvement of outcomes, facilitate early identification of risks to sustainability and provide supportive recommendations.

The objective of the MTR is to provide the project partners i.e. GEF, UNDP, key stakeholders/ private institutions and the Governments of Indonesia, Timor-Leste, Papua New Guinea, and Australia with an independent assessment of progress towards achievement of the project objectives and outcomes as specified in the Project Document. As such, the MTR serves to:

- assess early signs of project success or failure with the goal of identifying the necessary changes to be made to set the Project on-track to achieve its intended results;
- strengthen the adaptive management and monitoring functions of the Project;
- enhance the likelihood of achievement of the Project and GEF objectives through analyzing Project strengths and weaknesses and suggesting measures for improvement;
- enable informed decision-making;
- create the basis for replication of successful Project outcomes achieved to date
- identify and validate proposed changes to the ProDoc to ensure achievement of all Project objectives; and
- assess whether it is possible to achieve the objectives in the given timeframe, taking into consideration the pace at which the Project is proceeding.

This MTR was prepared to:

- be undertaken independent of the project management to ensure independent quality assurance;
- apply UNDP-GEF norms and standards for midterm reviews;
- assess achievements of outputs and outcomes, likelihood of the sustainability of outcomes, and if the Project met the minimum M&E requirements; and
- provide recommendations to increase the likelihood of the Project delivering all of its intended outputs and achieving intended outcomes.

This MTR has been conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects<sup>3</sup>.

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<sup>3</sup> Guidance for Conducting Midterm Reviews of UNDP-supported, GEF-financed Projects UNDP-GEF, 2014  
 GEF Evaluation Policy, GEF/ME/C.56/02/Rev.01, June 13, 2019  
 UNDP Evaluation Guidelines, UNDP, 2019

## 2.2 Scope and Methodology

The scope of the MTR covers the entire UNDP-supported, GEF-financed, multiple-partner implemented ATSEA-2 Project and its components as well as the co-financed components of the Project. This MTR assesses months of the Project progress, achievements and implementation taking into account the status of the Project activities, outputs and the resource disbursements made up to 30 June 2022. The MTR also reports on the progress against objective, outcome, output, and impact indicators listed in the latest Project Results Framework (PRF) as provided on Annex 6 as to how these outcomes and outputs will be achieved within the Project duration (up to 10 March 2024). The MTR report concludes with recommendations, as appropriate, for the key stakeholders of the Project. The MTR will be approached through the criteria of relevance, effectiveness, efficiency, sustainability, and impact, as defined, and explained in the UNDP “Guidance for Conducting Midterm Reviews of UNDP-supported, GEF-financed Projects”, and the GEF M&E policy. This MTR covers all activities undertaken in the framework of the ATSEA-2 project. The time scope of the MTR is the implementation period of the project from June 2019 up to June 2022. The geographic scope of the evaluation is parts of the ATS region in Indonesia, Timor-Leste, Papua New Guinea, and Australia shown on Display 1 below.

**Display 1:** Project areas of the ATS region



The MTR has been carried out using a participatory approach that seeks to inform and consult with key stakeholders associated with the project using the primary evaluation criteria for GEF MTRs listed in the Terms of Reference for the evaluation, i.e. Project Strategy, Progress towards Results, Project Implementation & Adaptive Management, and Sustainability.

The Terms of Reference (ToR) for the MTR is provided as Annex 1.

## 2.3 MTR Approach and Data Collection Methods

The MTR used the following evaluation instruments:

*Evaluation Matrix:* An evaluation matrix was constructed based on the evaluation scope presented in the TOR. The matrix is structured along the four GEF evaluation criteria for MTRs and includes principal evaluation questions. The matrix provided overall direction for the evaluation and was used as a basis for interviewing stakeholders and reviewing project documents. The evaluation matrix is provided as Annex 2 and interview guide in Annex 3.

*Documentation Review:* The evaluators conducted a review of documents (e.g. APR/PIRs, meeting minutes of Project Steering Committee) and pertinent background information that were made available by the Regional Project Management Unit (RPMU) and UNDP Country Office (CO) in Indonesia as well as other documents found from various other sources.

*Interviews:* The evaluators conducted a number of virtual consultations through zoom platform and on-site interviews in Indonesia and Timor-Leste with the key project stakeholders using semi-structured interview questions. Through the interviews, the consultants obtained information about the key informants' impressions and experiences from implementation of the project. Triangulation of results, i.e. comparing information from different sources, such as documentation and interviews, or interviews on the same subject with different stakeholders, was used to corroborate or check the reliability of evidence. The interview guide is provided as Annex 3 and the list of people interviewed as Annex 5 to this report.

*Data analysis:* The evaluators used a combination of the above methods for gathering information in order to triangulate information and data and thereby ensure their accuracy and robustness. Visits to Project sites due to the COVID-19 pandemic were limited only to Indonesia and Timor-Leste with support from national MTR consultants, while other interviews were substituted by on-line interviews with selected beneficiaries. The international consultant who managed the overall MTR and the PNG component conducted all the interviews virtually. After the data collection phase with conducting interviews, observing selected outputs, and reviewing data from existing data sources, data analysis followed as the final phase of MTR. Data analysis involved organizing and classifying the information collected, tabulating it, summarizing it, and comparing the results with other appropriate information to extract useful information that responds to the evaluation questions and fulfils the purposes of MTR. In this process, the evaluators took care of checking factual evidence ensuring its accuracy and translating the data into usable formats or units of analysis related to the evaluation questions. List of documents consulted is provided as Annex 6 to this report.

A detailed itinerary of the Mission is shown in Annex 4 together with a full list of people interviewed. Documents reviewed are given in Annex 6. The MTR Team for the UNDP-GEF project was comprised of one international MTR consultant (home-based) and two national MTR consultants (with field missions).

The Project was reviewed in the context of:

- *Project strategy:* This includes an analysis of the ATSEA-2 Project design (and Project Results Framework) as outlined in the ProDoc to identify if the strategy is effective in achieving the desired outcomes;
- *Progress towards results:* This is to include information provided from, amongst others, Project work plans, Project Implementation Reports (PIRs), relevant Project reports and information provided from various Project stakeholders;
- *Project implementation and adaptive management:* This would be an assessment of the quality of support to the Project from UNDP as well as the Executing Agency of the Project, PEMSEA

(for regional and PNG components). Assessment parameters would include management arrangements, work planning, finance and co-finance, Project level monitoring and evaluation systems, stakeholder engagement, reporting and communications; as well as cross-cutting issues; and

- *Sustainability*: The likely ability of an intervention to continue to deliver benefits for an extended period of time after the end-of-Project (EOP). The MTR sustainability assessment essentially sets the stage for the Terminal Evaluation during which sustainability will be rated under the four GEF categories of sustainability, namely financial, socioeconomic, institutional framework and governance, and environmental.

## 2.4 Constraints and Limitations

The findings and conclusions contained in this report are based primarily on a thorough desk review of documents that were made available to the evaluators, as well as on a series of virtual interviews conducted through the Zoom platform.

In this way, the MTR consultants were able to conduct a detailed assessment of progress towards the expected results. However, due to the travel restrictions related to COVID-19 outbreak, the international consultant was not able to visit the recipient countries and project sites and observe changes for documentation of results on the ground. It was also not possible to interview directly and obtain opinions of a wider circle of the target beneficiaries, in particular, those from vulnerable groups.

## 2.5 Structure of the MTR Report

This report closely follows the structure of the MTR report outlined in the Terms of Reference that was prepared by UNDP CO in Indonesia as the commissioning unit for this MTR. This MTR report is designed to meet UNDP-GEF's "Project-level Monitoring: Guidelines for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects" of 2014: [http://web.undp.org/evaluation/documents/guidance/GEF/midterm/Guidance\\_Midterm%20Review%20\\_EN\\_2014.pdf](http://web.undp.org/evaluation/documents/guidance/GEF/midterm/Guidance_Midterm%20Review%20_EN_2014.pdf)

The following elements have been covered in the MTR:

### *Project Strategy*

- Project design
- Results framework/logframe

### *Progress Towards Results*

- Progress towards outcomes analysis
- Remaining barriers to achieving the project objective

### *Project Implementation and Adaptive Management*

- Management arrangements
- Work planning
- Finance and co-finance
- Project-level monitoring and evaluation systems
- Stakeholder engagement
- Reporting and communications

### *Sustainability*

- Financial risks to sustainability
- Socio-economic risks to sustainability
- Institutional framework and governance risks to sustainability
- Environmental risks to sustainability

The first part of the report describes the project background and summarizes factual information that was assembled during the initial data collection phase. The second part contains information that was collected through consultations with the key stakeholders and desk review of relevant documentation. The third part provides evidence-based conclusions connected to the findings from the second part and recommendations in the form of corrective actions for the design, implementation, management arrangements as well as for monitoring and evaluation of the project.

### ***3.PROJECT DESCRIPTION AND BACKGROUND CONTEXT***

#### **3.1 Development Context**

In the context of climate change, coastal areas around the world face multiple interrelated challenges. These include, most directly, sea-level rise and intensified coastal erosion and flooding which will have a variety of impacts including damages to the built environment and infrastructure, loss of land through submergence and saltwater intrusion and damage to coastal habitats and amenities.

A variety of ‘best practice’ approaches to coastal management have been proposed in response to these challenges. Although varied, common features of these approaches include a lesser degree of reliance on technical infrastructures and increased emphasis on cross-sectoral integration and multi-stakeholder collaboration. The new approaches have also generated the need to apply systemic concepts which are able to describe and analyse large and complex systems.

In the centre of the new approach is the process of governance that consists of the legal and institutional frameworks necessary to ensure that development and management plans for coastal zones are integrated with environmental and social goals and are developed with the participation of those affected. The purpose of such approaches is to maximise the benefits provided by the coastal zone and to minimize the conflicts and harmful effects of activities on social, cultural, and environmental resources.

#### **3.2 ATSEA-2 Project Context**

The tropical and semi-enclosed Arafura and Timor Seas (ATS) are shared by Australia, Indonesia, Timor-Leste (TL) and Papua New Guinea (PNG). The ATS region is located at the intersection of the Northern Australian Shelf waters to the south, and the Indonesian Sea to the north. Linking the Indian and Pacific oceans, the ATS region covers more than 170 million ha, contains key coastal ecosystems such as coral reefs and seagrass, common in waters adjacent to Indonesia and Timor-Leste, and mangroves, widely distributed from Papua to the north coast of Australia.

In June 2002, the Preparatory Committee IV meeting with stakeholders from Australia, Indonesia, and Timor-Leste for the World Summit on Sustainable Development (WSSD) formed the Arafura and Timor Seas Expert Forum (ATSEF) in order to address challenges in the development of natural resources management in the ATS region.

ATSEF supported the development of the first GEF-funded UNDP-implemented project “Arafura Timor Seas Ecosystem Action” (ATSEA project) (2009-2014). The latter project served as a formative phase for development and adoption of the first Transboundary Diagnostic Analysis (TDA), a regional Strategic Action Programme (SAP) and corresponding National Action Programmes (NAP) for Indonesia and Timor-Leste.

In 2019, ATSEA-2 programme started as a regional partnership of four littoral countries: Indonesia, Timor-Leste, and Papua New Guinea with the support of Australian Government in order to collectively manage high marine and fisheries resources in the ATS region in line with the adopted SAP under ATSEA-1.

#### **3.3 Challenges that the project addresses**

The marine environment in the ATS region is in serious decline, primarily as a result of over-harvesting and other direct and indirect impacts of anthropogenic stresses and global climatic changes. The priority

environmental concerns are outlined in Table 1 below. These transboundary environmental concerns were formulated as part of the TDA in 2011 which is currently being updated by the ATSEA-2 Project.

**Table 1:** Priority environmental concerns in the Arafura and Timor seas region<sup>4</sup>

<b>Priority Environmental Concerns</b>	<b>Key Causal Factors</b>	<b>Key Impacts</b>
Unsustainable fisheries & decline & loss of living coastal & marine resources	Illegal, unreported and regulated fishing; unsustainable practices; fisheries bycatch	<ul style="list-style-type: none"> <li>• Depletion of shared trans-boundary and pelagic fisheries – sharks/rays, red and gold band snappers, trepang, prawns/shrimp, tuna (Arafura Sea, Timor Sea)</li> <li>• Over-exploitation of coastal fisheries resources – trepang, trochus, coral reef fisheries (Arafura Sea, Timor-Leste, Gulf of Carpentaria)</li> <li>• Fisheries ‘bycatch’ – shrimp/prawn trawling (Arafura Sea, Gulf of Carpentaria), red snapper (Timor Sea)</li> </ul>
Modification, degradation & loss of coastal & marine habitats	Coastal development, bottom trawling, fuel wood (mangroves), dynamite fishing, pollution (sediments)	<ul style="list-style-type: none"> <li>• Decline &amp; loss of soft bottom habitats (bottom trawling) – Arafura Sea, Gulf of Carpentaria, Bonaparte Gulf</li> <li>• Decline &amp; loss of mangroves – Timor-Leste (fuel wood), Aru Sea (coastal development)</li> <li>• Decline &amp; loss of coral reefs (sediments, dynamite fishing) – NTT, Maluku, Aru Sea, Timor-Leste</li> <li>• Decline &amp; loss of seagrasses (sediments, dieback)</li> </ul>
Marine & land-based pollution (e.g. marine debris, sediments, oil spills)	Coastal development (nutrients, sediments), mining (sediments, toxicants), land degradation (sediments), oil spills, marine debris	<ul style="list-style-type: none"> <li>• Sediment runoff – land degradation (Dili, Timor-Leste), mining activities (Gulf of Carpentaria, Aru Sea, Papua)</li> <li>• Toxicants (coastal mining activities) – Gulf of Carpentaria (Nhulunbuy, Milner Bay, Bing Bong, Weipa, Karumba), Aru Sea (and Papua), Kupang, Wetar Island)</li> <li>• Eutrophication - Darwin Harbor, Aru Sea</li> <li>• Marine debris – Gulf of Carpentaria, Arafura Sea</li> <li>• Oil spills &amp; impacts – Timor Sea, southern NTT (‘Montara’ oil spill)</li> </ul>
Decline & loss of biodiversity & key marine species	Illegal and unsustainable harvesting, fisheries bycatch (ghostnets, trawling, tuna long-lines), habitat loss, and climate change	<ul style="list-style-type: none"> <li>• Marine turtles – Aru Sea, northern Australia (illegal and unsustainable harvest, fisheries bycatch, marine debris, tuna long-lines)</li> <li>• Dugongs – Aru Sea, northern Australia (illegal and unsustainable harvest, fisheries bycatch, marine debris)</li> <li>• Cetaceans – ATS (fisheries bycatch, shipping, seismic activities)</li> <li>• Sharks/rays – ATS, northern Australia (IUU fishing, unsustainable harvest, fisheries bycatch)</li> <li>• Sea snakes – ATS, northern Australia (fisheries bycatch)</li> <li>• Seabirds/shorebirds – ATS (oil and gas industry impacts, fisheries bycatch, illegal and unsustainable harvest)</li> </ul>
Impacts of climate change	Fossil fuel-based global energy consumption, land use, land use change, and forestry	<ul style="list-style-type: none"> <li>• Ocean warming – dynamics of the Indo-Pacific Warm Pool, ocean thermostat</li> <li>• Increased sea temperatures - northern seas warming, impacts on ocean processes, marine biodiversity (particularly marine reptiles, corals)</li> <li>• Increased extreme climatic events (cyclonic activities, rainfall, drought) – increased cyclonic frequency &amp; intensity</li> <li>• Sea level rise – coastal flooding, saltwater intrusion, loss of coastal habitat &amp; biodiversity</li> </ul>

These transboundary priority environmental concerns are influenced by several key drivers, including national macro-economic conditions, including economic growth, consumption patterns, and labour markets; domestic politics and policies, and regulation, including taxation, industry protection,

<sup>4</sup> ATSEA, 2012. Transboundary Diagnostic Analysis for the Arafura and Timor Seas Region

environmental policy, industry assistance and development; and region-specific trends, including land supply, land rights claims, views on the environment, regional development policy, demographic, and labour market changes.<sup>5</sup>

### 3.4 Project description and strategy

The ATSEA-2 project is the second phase of the GEF-financed, UNDP-supported ATSEA program, and is designed to enhance regional collaboration and coordination in the Arafura and Timor Seas (ATS) region. ATSEA-2 specifically focuses on supporting the implementation of the endorsed strategic action program (SAP), a 10-year vision for the Arafura-Timor Seas with the long-term objective “to promote sustainable development of the Arafura-Timor Seas region to improve the quality of life of its inhabitants through restoration, conservation and sustainable management of marine-coastal ecosystems”. The GEF alternative establishes a regional governance mechanism that strengthens the enabling policies and capacities of institutions and individuals, including the integration of Papua New Guinea, resulting in a sustained transboundary response to over-exploited fisheries and increased pressures on the globally significant biodiversity in the ATS region, including the impacts of climate change. Integrated approaches are designed to incentivize local communities to more sustainable use coastal and marine resources, enhancing their own livelihoods while safeguarding the ecosystem goods and services that are the backbone of their socio-economic well-being.

The project objective is to enhance sustainable development of the ATS region to protect biodiversity and improve the quality of life of its inhabitants through conservation and sustainable management of marine-coastal ecosystems (as indicated in the SAP).

In order to achieve the above objective, the project’s intervention is organized in three components with total of nine outcomes.

- Component 1: Regional, National and Local Governance for Large Marine Ecosystem Management
- Component 2: Improving LME Carrying Capacity to Sustain Provisioning, Regulating and Supporting Ecosystem Services
- Component 3: Knowledge Management

The original project strategic results framework (SRF) is provided as Annex 6 to this report.

### 3.5 Expected project results

Expected results of the ATSEA-2 project include:

- A functioning regional governance mechanism, endorsed through a Ministerial Declaration by the four littoral countries of Australia, Indonesia, Papua New Guinea, and Timor-Leste, and supported by a representative stakeholder partnership forum and national inter-ministerial committees;
- Updated TDA, SAP and NAPs for Indonesia and Timor-Leste, and first NAP for PNG prepared
- Approximately 125 km of coastline under integrated coastal management, with scalable demonstration activities implemented, offering alternative, climate adaptive, livelihood opportunities and strengthening the resilience of local coastal communities;
- Up to 25% of over-exploited fisheries in the ATS region moved to more sustainable levels (this represents approximately 0.25% globally by volume), by building on the concerted efforts of the Government of Indonesia to address IUU fishing;

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<sup>5</sup> Stacey, Ne, Nurhakim, et. al, Socio-economic Profile of the Arafura and Timor Seas. Report prepared for the ATSEA Programme, 2011

- Improved scientific knowledge regarding climate change impacts on ATS ecosystem goods and services, and strengthened adaptive capacity of local communities;
- Ecosystem health improved as a result of implementing the ecosystem approach to fisheries management, both regionally, on a large marine ecosystem scale, and locally, for fisheries in Indonesia, Timor-Leste and PNG;
- Improved fisheries management of red snapper and shrimp fisheries in Kabupaten Aru, barramundi fisheries in Kabupaten Merauke, Indonesia, red snapper in Viqueque (South Coast) in Timor-Leste, and various species under the AFMP in PNG;
- Design and designation of two new marine protected areas (MPAs): a 555,000 ha MPA off the coast of Papua Province in Indonesia; and a 90,000 ha MPA off the south coast of Timor-Leste;
- Improved MPA management effectiveness in 2 existing MPAs (Southeast Aru in Indonesia and Nino Konis Santana (NKS) in Timor-Leste)
- Inclusion of oil spill response systems and procedures are included in the ICM plans of Rote Ndao in Indonesia and Município Manatuto in Timor-Leste;
- Design of a regional MPA network, and a regional action plan on enhanced protection of endangered marine turtles endorsed through RCC, and a Roadmap for achieving the proposed regional MPA Network included in ATS updated SAP and approved as part of a Ministerial Declaration.

**Global Environmental Benefits:** According to the approved Project Document, the project is expected to generate global environmental benefits in the GEF focal areas International Waters and Biodiversity as listed in Table 2 below.

**Table 2:** Global Environmental Benefits

Corporate Results	Replenishment Targets	Project Targets
Maintain globally significant biodiversity and the ecosystem goods and services that it provides to society	Improved management of landscapes and seascapes covering 300 million hectares	800,000 ha under improved management
Promotion of collective management of transboundary water systems and implementation of the full range of policy, legal, and institutional reforms and investments contributing to sustainable use and maintenance of ecosystem services	20% of globally over-exploited fisheries (by volume) moved to more sustainable levels	Up to 25% (by volume) for the ATS region, representing approximately 0.25% of global levels

**Socio-Economic Benefits:** The global environmental benefits will be underpinned by socio-economic benefits, such as improved livelihoods and food security, accruing from improved delivery of ecosystems services from integrated natural resources management and sustainable fisheries. The project aims at removing disparities that limit adaptive capacity and exposure of women and vulnerable groups to greater risk, making them more vulnerable to the impacts of climate change. Prevailing social conditions and gendered labour divisions in the fishing sector tend to provide women with less access to income, assets, resources, technology, training, and decision-making power than men. The project goal in this area is achievement of equitable and effective participation by women and vulnerable groups in resilience planning and implementation, in order to achieve more equitable share of opportunities and benefits resulting from these processes.

**Knowledge Management:** The project is expected to generate a significant mass of knowledge and technical capacity for replication and scaling up of experiences and best practices generated by the

project and the implementation of the SAP and NAPs. When the project ends, these resources will continue to be available to national and regional partners, as well as to a wider international audience.

### 3.6 Project implementation arrangements

This regional project was designed for implementation under the NGO implementation modality for regional component and the PNG national component, and under the National Implementation Modality (NIM) for the Timor-Leste and Indonesia national components. UNDP as the GEF Implementing Agency (IA) is ultimately responsible to GEF for the channelling of resources to the executing agencies (or UNDP implementing partners) in accordance with UNDP rules and regulations. Partnerships in Environmental Management for the Seas of East Asia (PEMSEA) Resource Facility (PRF) was designated as the Implementing Partner for the regional component and the PNG (through the National Fisheries Authority) national component, based on the standard Project Cooperation Agreement signed between UNDP Indonesia and the PRF. For the components implemented under NIM, the designated Implementing Partner for Timor-Leste was the Ministry of Agriculture and Fisheries (MAF) and the designated Implementing Partner for Indonesia was the Ministry of Marine Affairs and Fisheries (MMAF), in line with the Standard Basic Assistance Agreements between UNDP and the governments of Indonesia and Timor-Leste, and the respective Country Programmes.

### 3.7 Project timing and milestones

The project request was submitted to GEF on 7 August 2014. For elaboration of the full-size project, a Project Preparatory Grant was approved by the GEF on 30 September 2014. The main project was approved for implementation as a full-size GEF-6 project on 8 March 2017. The implementation of the project started with the official signature by the participating governments on 1 February 2019 (IDN), 5 March 2019 (TL) and 29 July 2019 (PNG). The Project Inception Meeting at the regional level was conducted on 18 November 2019. The original planned end date of the project is 10 June 2024.

The specific timeline of the project is summarized in Table 3 below.

**Table 3: Key project dates**

<b>Milestone</b>	<b>Date</b>
PIF Approval	29 October 2014
CEO Endorsement	8 March 2017
LPAC Date	24 November 2017
Project Document Signature	
Indonesia	1 February 1 2019
Timor-Leste	5 March 2019
Papua New Guinea	29 July 2019
Project Cooperation Agreement Signature (PEMSEA and UNDP)	24 July 2019
Memorandum of Agreement (PEMSEA and PNG NFA)	21 October 2020
Project Inception Workshop	
Regional	18 November 2019
Indonesia	3 October 2019
Timor-Leste	16 December 2019
Papua New Guinea	31 May 2021
Date of the Mid-term Review	May – June 2022
Expected Date of Terminal Evaluation	10 March 2024
Planned Closing Date	10 June 2024
Regional Project Management Unit (RPMU) – Bali	January – June 2020
National Coordination Unit Indonesia – Jakarta	June 2019
National Coordination Unit Timor-Leste – Dili	October 2019
National Coordination Unit – Port Moresby	March 2021

The GEF grant approved for the ATSEA-2 project amounts to US\$ 9,745,662, with total expected co-financing of US\$ 60,201,173. The co-financing is composed of contributions from UNDP and the governments of the participating countries.

### 3.8 Main project stakeholders

During the project preparatory phase, a simplified stakeholder analysis was conducted that provided an overview of the main project stakeholders, their interests in relation to the project itself, their influence on the project as well as importance for the success of the project.

The Project Document provides an overview of main stakeholder types involved in and affected by activities of the project. The stakeholder analysis was conducted mainly on a national level in the three participating countries with some recommendations for the regional level activities.

Government-related stakeholders include:

- National ministries, departments and agencies covering natural resources and environment, agriculture, fisheries, health, education, transportation, energy, tourism, industry, foreign affairs, economic development, and finance;
- National and local law enforcement agencies (e.g., maritime police, coast guard, etc.); and
- Subnational level: village/township, municipalities, city, district and provincial governments and their respective national/central government counterparts.

In addition to the government related stakeholders, the project also plans to engage directly with:

- International and national non-government organizations (NGOs) working in specialized fields (e.g., sustainable fisheries, biodiversity conservation, alternative livelihoods, microfinance, ecotourism, women's issues, etc.) as well as those institutions active at the sub-national level in community organization and engagement;
- Representatives of local communities and coastal communities in the ATS region;
- Academic, research, scientific and technical institutions (e.g., universities, polytechnics, specialized training institutes);
- Regional level: regional intergovernmental organizations, and donor and financing agencies;
- Professional associations, scientific and technical societies;
- Business support organizations (e.g., chambers of commerce, financial institutions, industry associations); and
- Individual corporations (e.g., for CSR-related contributions).

## 4. FINDINGS

This section brings a summary of empirical facts based on data collected during the review. The MTR team paid particular attention to cross-verification of the evaluative evidence using multiple sources of information and, to the extent possible, avoid overreliance on opinions obtained during the interviews with the project stakeholders.

### 4.1 Project Strategy

The MTR team conducted an analysis of the design of the project, as outlined in the Project Document, and assessed whether the project strategy is proving to be effective in reaching the desired results. In doing so, the evaluators judged the extent to which the project addresses country priorities and is country driven. Furthermore, the evaluators assessed the extent to which the project objectives are consistent with the priorities and objectives of the GEF.

#### 4.1.1 Project Design and Relevance

The ATSEA-2 project is highly relevant to national development priorities of the beneficiary countries.

For Indonesia, the project is in line with the following priorities of the Indonesian Long-Term National Development Plan of 2005- 2025 (Law 17/2007):

*F.1: The improving management and utilization of natural resources and of the preservation of the functions of the natural environment as reflected in the maintained functions, carrying capacity, and the ability to restore it in facilitating the quality of social and economic life in a harmonious, balanced, and sustainable manner;*

*F.2: The maintained diversity of species and uniqueness of natural resources for realizing value-added, national competitiveness, and assets of national development; and*

*F.3: The increased awareness, attitude, and behaviour of the people in the management of natural resources and in the conservation of the functions of the natural environment for maintaining the comforts and quality of life.*

Furthermore, the project aligns with the following legislative instruments as follows:

- Indonesian National Act 23/1997 that mandates that environmental management activities should be undertaken in an integrated manner among concerned government institutions, sectors and communities from planning through implementation;
- Law No. 27/2007 (amended through Law No. 1/2014 in conjunction with Law No. 23/2014 on regional governance) that mandates provincial governments to prepare ICM strategic, zoning, management, and action plans; and
- Law No. 23/2009 that provides for environmental management and protection considering ecosystem-based approaches and climate change.

For Timor-Leste, the project is in line with the National Strategic Development Plan (SDP) for 2011-2030 that provides directions for the integrated management of environment and natural resources across sectors. It is also aligned with the National Action Plan on Climate Change (2010), the National Biodiversity Strategy and Action Plan (2012), the National Adaptation Programme of Action (2020) and the National Aquaculture Development Strategy 2012–2030. The latter provides a framework for harnessing the aquaculture potential of the country on the following principles:

- *An ecosystem approach, based on the judicious use of natural resources,*
- *Diversification of livelihood opportunities of coastal communities;*

- *Gender equality and social inclusion as cross-cutting themes; and,*
- *Viable aquaculture technologies developed through participatory applied field research,*

For Papua New Guinea, the project is aligned with the Development Strategic Plan 2010-2030, namely with its Goal 5.2 on Fisheries, that calls for development of a fisheries sector that is both sustainable and highly profitable for the country. This objective is further elaborated in the PNG Fisheries Strategic Plan (FSP) 2021-2030 that provides an overarching framework for the alignment of strategic purpose, priorities, and actions for the sector. The ATSEA-2 project is relevant to the four FSP Strategic Outcomes:

- A. Economic returns of fisheries to the economy increased;*
- B. Participation of citizens in fishing businesses and fishery livelihood activities increased;*
- C. Accountable and effective governance in the fisheries sector ensured; and*
- D. Aquatic, oceans and coastal environments maintained*

The ATSEA-2 project design is also consistent with the following National Fisheries Authority (NFA) Institutional Strengthening Strategies for 2021–2025:

- 1.0: Legislative, regulatory, policy and processes review, strengthening and alignment;*
- 2.0: Strengthen and expand fisheries management capacity and capabilities through applied research for providing the best scientific and economic advice;*
- 3.0: Strengthen fisheries development as a core mandate to maximise net economic returns from fisheries resources for PNG community; and*
- 4.0: Robust monitoring, control, and surveillance for increased compliance with fisheries laws and policies and relevant international fishing obligations and standards*

Furthermore, the design of the ATSEA-2 project is consistent with the following objectives and respective programmes of the GEF-6 International Waters (IW) Focal Area:

- *Objective IW 1: Catalyse sustainable management of transboundary water systems by supporting multi-state cooperation through foundational capacity building, targeted research, and portfolio learning*
  - *Programme 1: Foster cooperation for sustainable use of transboundary water systems and economic growth*
- *Objective IW 3: Enhance multi-state cooperation & catalyse investments to foster sustainable fisheries, restore & protect coastal habitats, reduce pollution of coasts & large marine ecosystems*
  - *Programme 6: Prevent Loss & Degradation of Coastal Habitats*
  - *Programme 7: Foster Sustainable Fisheries*

The ATSEA-2 project is in line with the objectives of the UNDP Country Programme Documents (CPD) for Indonesia, Timor-Leste, and Papua New Guinea as summarised in Box 1.

**Box 1: Alignment of ATSEA-2 to relevant UNDP CPDs**

<b>Country/CPD</b>	<b>Outcomes and Outputs</b>
Country Programme Document for Indonesia (2021-2025)	<p>Outcome 3: Institutions, communities and people actively apply and implement low carbon development, sustainable natural resources management, and disaster resilience approaches that are all gender sensitive</p> <p>Output 3.1: Gender-responsive measures in place for conservation, and sustainable use of natural resources, biodiversity, and ecosystems</p> <p>Output 3.2: Strengthened and expanded protection, governance and management of terrestrial and aquatic ecosystems, habitats, and species</p> <p>Output 3.3: Strengthened preparedness of institutions and communities to climate change and disasters risks, including deployment of sustainable solutions</p> <p>Output 3.4: Conservation and resilience strategies with local priorities (income and food security) contribute to global environment benefits</p>
Country Programme Document for Timor-Leste (2021-2025) – developed as the 2 <sup>nd</sup> UN Sustainable Development Cooperation Framework	<p>Outcome 2: By 2025, national and sub national institutions and communities (particularly at-risk populations including women and children) in Timor-Leste are better able to manage natural resources and achieve enhanced resilience to climate change impacts, natural and human induced hazards, and environmental degradation, inclusively and sustainably</p> <p>Output 2:1: Sustainable management of natural resources and ecosystems promoted through policies, guidelines, information systems, knowledge, and community-level conservation</p>
Country Programme Document for Papua New Guinea (2018-2022)	<p>Outcome 3: By 2022, Papua New Guinea demonstrates improved performance in managing environmental resources and risks emanating from climate change and disasters</p> <p>Output 3.1: Legislation, policy and strategic plans for climate-proofing, conservation, sustainable use of natural resources and disaster risk management in place</p> <p>Output 3.2: Capacities of communities and public officials enhanced to manage protected areas and address climate and disasters risks</p>

In relation to the UN Sustainable Development Goals (SDGs) of the 2030 Agenda for Sustainable Development, ATSEA-2 contributes directly to the SDGs #13 and #14 and indirectly to several other SDGs as summarized in Box 2 below.

**Box 2: Relation of the ATSEA-2 project to UN SDGs**

<b>Sustainable Development Goals</b>	<b>SDG Targets Relevant to ATSEA-2</b>
<b>Direct contribution to SDGs</b>	
13. Climate action	13.2 Integrate climate change measures into national policies, strategies and planning 13.3 Improve education, awareness-raising and human and institutional capacity on climate change mitigation, adaptation, impact reduction and early warning
14. Conserve and sustainably use the oceans, seas, and marine resources for sustainable development	14.2 By 2020, sustainably manage and protect marine and coastal ecosystems to avoid significant adverse impacts, including by strengthening their resilience, and take action for their restoration in order to achieve healthy and productive oceans 14.4 By 2020, effectively regulate harvesting and end overfishing, illegal, unreported and unregulated fishing and destructive fishing practices and implement science-based management plans, in order to restore fish stocks in the shortest time feasible, at least to levels that can produce maximum sustainable yield as determined by their biological characteristics
<b>Indirect contribution to SDGs</b>	
1. End poverty in all its forms everywhere	1.4 Ensure that all men and women, in particular the poor and the vulnerable, have equal rights to economic resources, as well as access to basic services, ownership and control over land and other forms of property, inheritance, natural resources, appropriate new technology and financial services, including microfinance 1.b Create sound policy frameworks at the national, regional, and international levels, based on pro-poor and gender-sensitive development strategies, to support accelerated investment in poverty eradication actions
5. Achieve gender equality and empower all women and girls	5.C Adopt and strengthen sound policies and enforceable legislation for the promotion of gender equality and the empowerment of all women and girls at all levels
8. Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all	8.3 Promote development-oriented policies that support productive activities, decent job creation, entrepreneurship, creativity, and innovation, and encourage the formalization and growth of micro-, small- and medium-sized enterprises, including through access to financial services 8.4 Improve progressively, through 2030, global resource efficiency in consumption and production and endeavour to decouple economic growth from environmental degradation
10. Reduce inequality within and among countries	10.2 By 2030, empower and promote the social, economic, and political inclusion of all, irrespective of age, sex, disability, race, ethnicity, origin, religion or economic or other status
12. Ensure sustainable consumption and production patterns	12.2 By 2030, achieve the sustainable management and efficient use of natural resources
17. Revitalize the global partnership for sustainable development	17.16 Enhance the global partnership for sustainable development, complemented by multi-stakeholder partnerships that mobilize and share knowledge, expertise, technology, and financial resources, to

	<p>support the achievement of the sustainable development goals in all countries, in particular developing countries</p> <p>17.17 Encourage and promote effective public, public-private and civil society partnerships, building on the experience and resourcing strategies of partnerships</p> <p>17.18 By 2020, enhance capacity-building support to developing countries, including for least developed countries and small island developing States, to significantly increase the availability of high-quality, timely and reliable data disaggregated by income, gender, age, race, ethnicity, migratory status, disability, geographic location and other characteristics relevant in national contexts</p>
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#### 4.1.2 Analysis of Project Results Framework/Logframe

The MTR team performed critical analysis of the project results framework in order to establish to what extent is the definition of the project's objective, outcomes, and outputs clear, practicable and feasible within the project time frame and whether the indicators and their targets enable measurement of progress to achievement of the planned results. The analysis also includes assessment whether the indicators in the SRF were formulated in line with the SMART criteria<sup>6</sup>.

The ATSEA-2 Project Document was prepared at the time when the Theory of Change (ToC) was not yet required for GEF projects. Section II of the Project Document presents the Strategic Results Framework (SRF) in a standard tabular matrix format that shows the 3 project components, 9 outcomes and 22 outputs. In Section I, the Project Document provides a textual format of the SRF and elaborates in more details on the planned results and provides description of activities at the regional and country levels.

The tabular form of the SRF shows 21 outcome indicators and corresponding end-of-project EOP targets for the indicators. The SRF matrix does not contain mid-term project targets.

Table 4 below summarizes the main observations related to the project results framework.

**Table 4:** Assessment of the outcomes and indicators of the ATSEA-2 SRF

Level	Indicator No. and description	MTR assessment	Suggested Indicators or Targets	Modified EOP
<b>Outcome 1.1:</b> Regional and national mechanisms for cooperation in place and operational	4. Regional governance mechanism	The EOP target appears to be too ambitious for the project duration, particularly in relation to securing contribution dues	Regional governance mechanism established and functioning	
<b>Outcome 1.2:</b> Strengthened institutional and human resource capacity towards integrated approaches in natural	7. Number of local regulations issued to support implementation of NAP that reflect regional harmonization	The EOP target for Indonesia is too specific for PERDA regulations	Indonesia: Draft of three local regulations developed and submitted to relevant authorities to support implementation of NAP	

<sup>6</sup> SMART stands for Specific, Measurable, Attributable, Relevant, Time-bound.

resource management and biodiversity conservation	of national and subnational policies		
<b>Outcome 1.3:</b> Better understanding of climate change impacts on marine and coastal ecosystems lead to regional action	9. Regional climate change predictive capacity strengthened	The outcome is too ambitious, and the indicator is not specific, and the EOP target does not measure achievement of the outcome	Number of regional CC guidelines developed and endorsed
<b>Outcome 1.4:</b> Updated transboundary diagnostic analysis (TDA), strategic action program (SAP), and national action programmes (NAPs)	10. Proportion of countries that are implementing specific measures from the SAP (i.e. adopted national policies, laws, budgeted plans)	The indicator poorly defined and does not measure the achievement of the outcome	Number of updated documents approved at regional and county level
<b>Outcome 2.1:</b> Improved management of fisheries and other coastal resources for livelihoods, nutrition and ecosystem health in Indonesia, Timor-Leste, and Papua New Guinea	13. Reduced fishing pressure	The EOP targets of 25% reduction in fleet size within the shrimp and red snapper fisheries in Indonesia; and reduction of dried fish maw production to 1 ton/yr in South Fly, PNG are not realistic given the insufficient data available	The indicator/target should be revised completely, e.g. Number of EAFM plans and data collection instruments approved and in use
<b>Outcome 2.2:</b> Reduced marine pollution improves ecosystem health in coastal/ marine hotspots in the Arafura and Timor Seas	15. Strengthened oil spill response systems and capacities	The indicator is not specific	Number of ATS hotspots with improved oil spill early response systems and procedures
<b>Outcome 2.3:</b> Coastal and Marine Biodiversity Conserved through Protection of Habitats and Species	16. Protected area management effectiveness score	The indicator is not specific	Number of protected areas with improved METT score
<b>Outcome 3.1:</b> Improved monitoring of the status of the ATS and dissemination of information	20. Mechanism in place to produce a monitoring report on stress reduction measures	The EOP target is not specific	Number of stress reduction measures with monitoring mechanism
	21. Dissemination of project results and ATS information	The indicator is not specific	Number of submissions to GEF IW conferences Number of links to other knowledge platforms

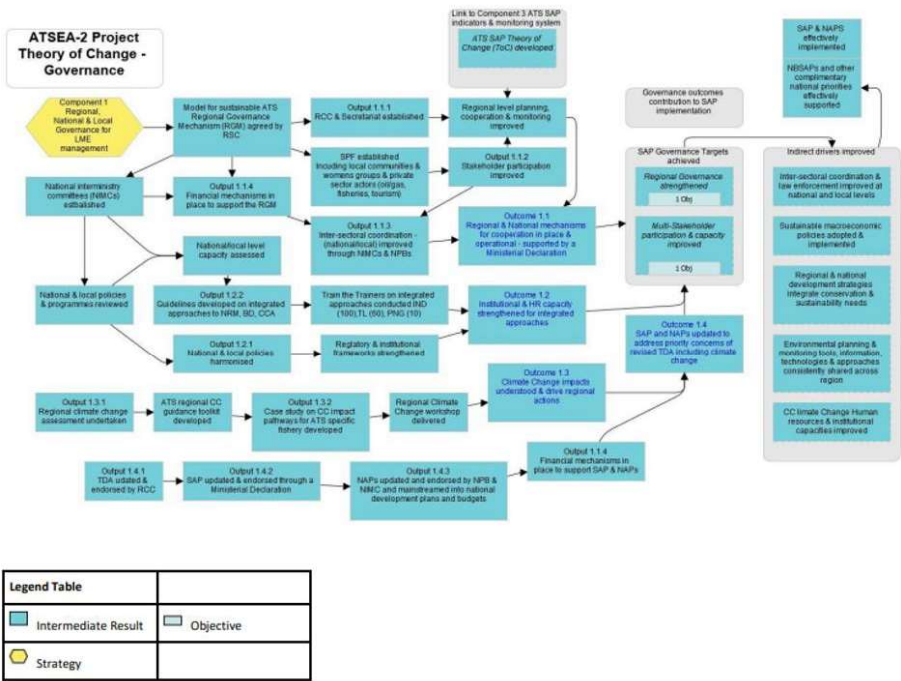
The assessment of the SRF shows that the SRF contains few inconsistencies that hamper measurement of progress in the project implementation. In particular, several indicators are not specific to measure achievement of the related project outcomes. In one case (Outcome 1.3), the outcome was found too ambitious as it calls for regional action based on better understanding of CC impacts while it is not clear

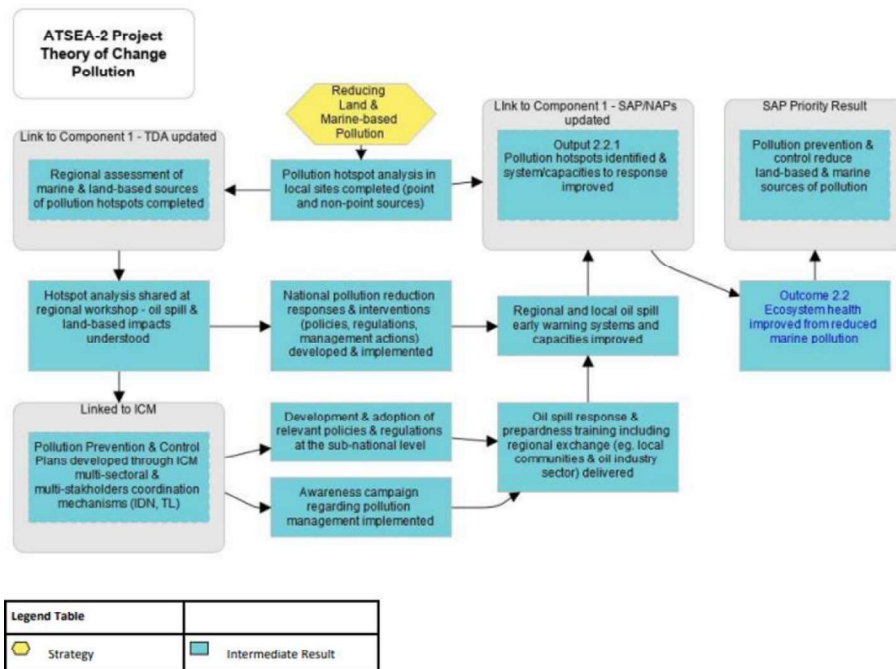
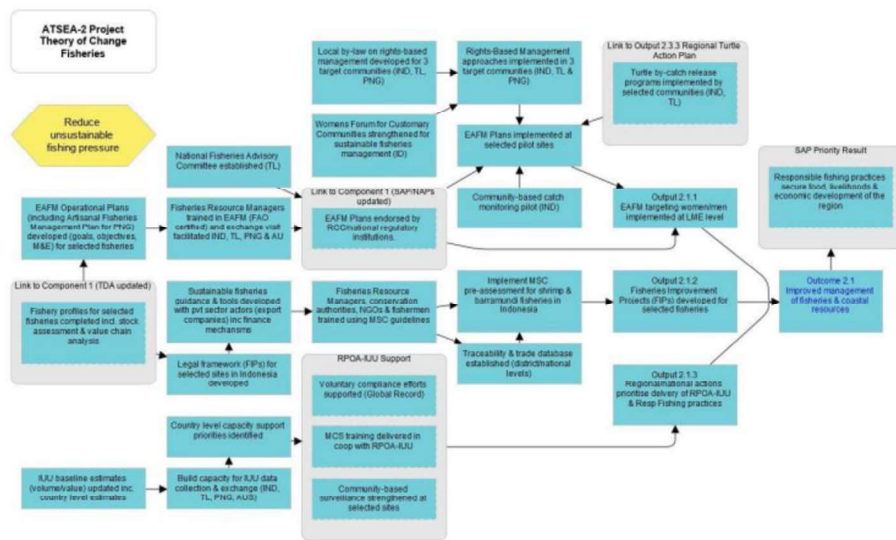
how the improved understanding will be measured. In another case (Outcome 1.4), the indicator was found reaching beyond the outcome. The problem appears to be that the SRF contains Output 1.4.3 on incorporation of agreed measures from the updated SAP and NAPs into national development programmes and budgets. Given the slow progress with the SAP update and development of NAPs, the target of incorporation of national responses from ATSEA-2 documents into national development plans is not feasible within the remaining time frame of the ATSEA-2 project.

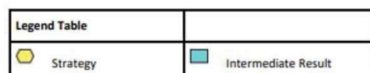
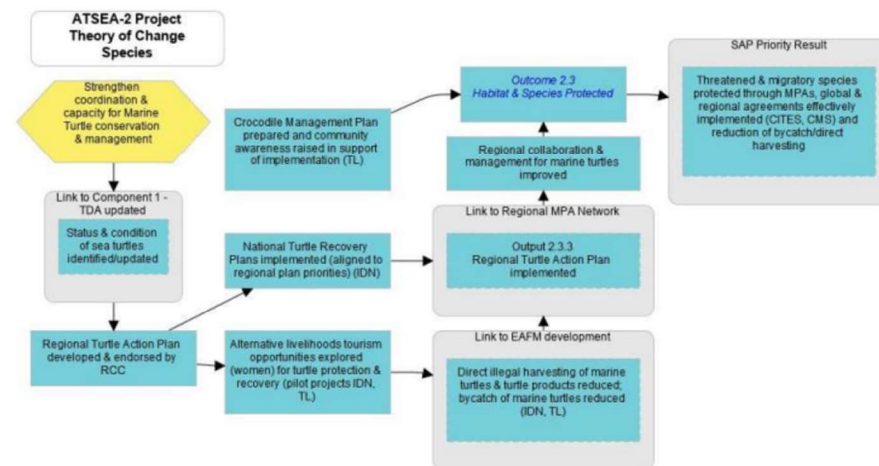
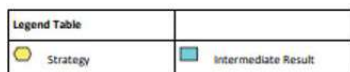
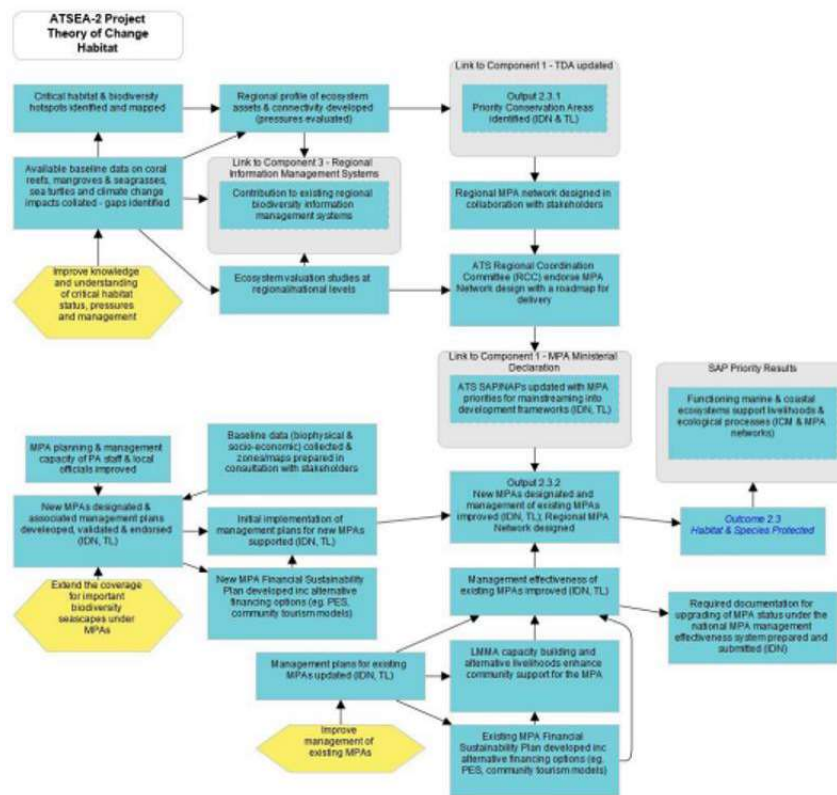
Apart from the inconsistencies discussed above, the other outcomes and their indicators are clearly defined to describe the desired changes and their respective targets are measurable and achievable by the end of the project. However, the MTR considers the main insufficiency of the SRF the fact that the latter does not define mid-term targets as benchmarks for assessment of progress on the road towards achievement of the planned results.

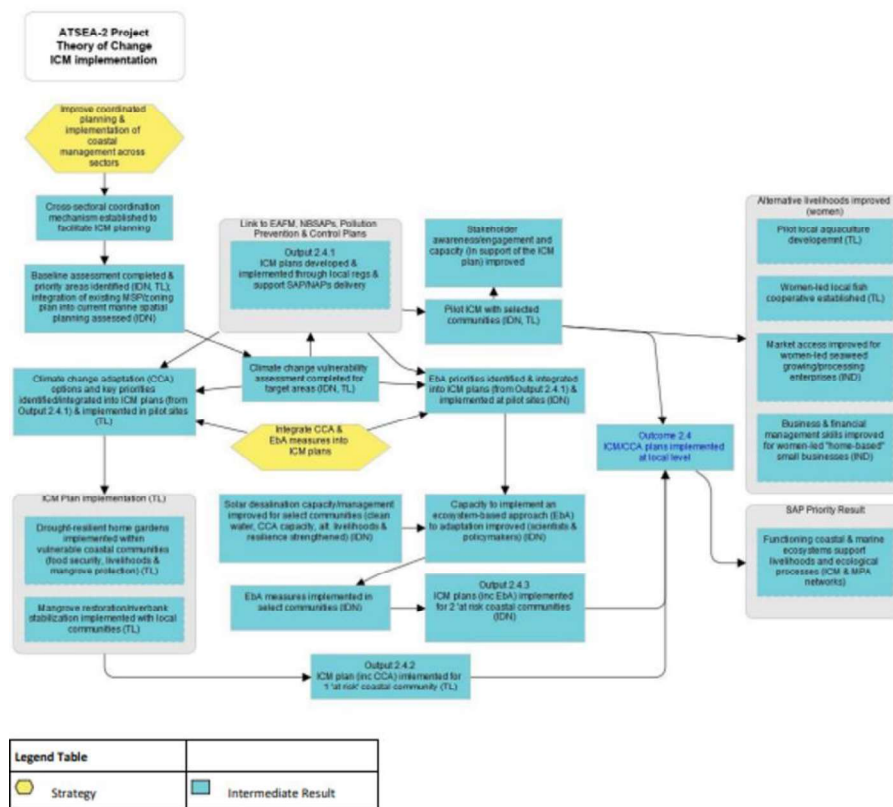
4.1.3 Theory of Change

It should be noted that the ATSEA-2 project was designed at the time when Theories of Change (ToCs) were not yet required in GEF projects. Recognizing the value of a ToC, the RSC meeting in 2020 recommended the development of a ToC to support better project and SAP understanding, as well as to support the subsequent development of a SAP Monitoring System which is also targeted under ATSEA-2. The ToC document was completed and reviewed by RSC at its 3<sup>rd</sup> Meeting in 2021. To provide better clarity on causality and linkages and the ATSEA-2 project, the ToC included a ToC for the SAP, a ToC for the ATSEA-2 project which was further subdivided into per project Component ToCs (Diagrams a-g below). The full ToC document is also accessible via: [https://www.dropbox.com/s/hyc6afpcxmgn7pe/ATSEA-2%20Theory%20of%20Change\\_18Nov2021\\_rev.pdf?dl=0](https://www.dropbox.com/s/hyc6afpcxmgn7pe/ATSEA-2%20Theory%20of%20Change_18Nov2021_rev.pdf?dl=0)



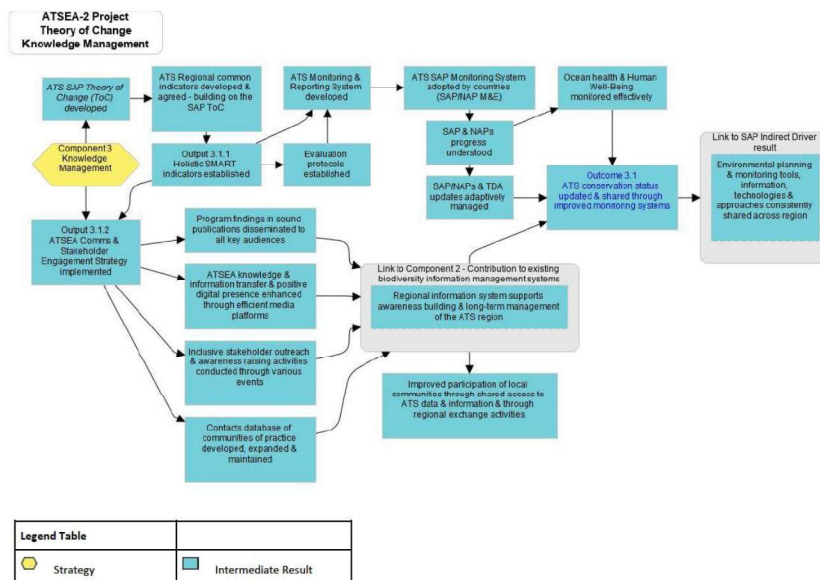






### Component 3 - Knowledge Management

Diagram 9. ATSEA-2 Project Theory of Change (Results Chain) for Component 3 - Knowledge Management



**Diagram 1.** ATSEA-2 Project Theory of Change (Results Chain): (a) Component 1: Governance; Component 2: (b) Fisheries (c), Marine pollution (d), Habitat (e), Species (f), ICM; and (g) Component 3: Knowledge Management

## 4.2 Progress Towards Results

### 4.2.1 Progress towards outcomes analysis

The information presented in this section has been sourced from the semi-annual Project Assurance Reports (PAR), the GEF Project Implementation Reviews (PIR) for the FYs 2021 and 2021, technical reports produced by the project (e.g. reports on the project website), information collected by the National Consultants through their visits of selected project field sites in Indonesia and Timor-Leste, as well as information collected from on-line interviews with the key project stakeholders.

The implementation progress and remaining barriers are presented for each Outcome in separate Tables 5 -12 and the overall progress towards the Project Objective is summarized in Table 13.

The Outcome ratings in Tables 5 - 12 are based on the premise that the project has to be completed within the officially approved implementation period, i.e. by 10 June 2024<sup>7</sup>. Hence the rating scores are given on the expectation whether the outcomes will or will not achieve their respective end-of-project (EOP) targets by the end of the approved project period. The GEF guidelines for MTRs require the evaluators to provide only one overall rating for each outcome and the overall Project Objective rating. Rating for the output indicators is given by the colour shading of the last column in Tables 5 – 13.

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<sup>7</sup> The Indonesia Component has end date of January 2024

**Table 5: Progress Towards Results Matrix for Outcome 1.1 (Achievement of Outcome-Level Indicators against End-of-Project Targets)**

Outcome 1.1: Regional and national mechanisms for cooperation in place and operational						
Project Strategy Indicators	Baseline Level	End-of-Project Targets	Mid-Term Level and assessment	Achievement Rating	Justification for the rating	Remaining Barriers
4. Regional governance mechanism	Informal cooperation under ATSEF, and conceptualization of ATS governance mechanism outlined in Ministerial Declaration	Regional governance mechanism established and functioning with at least 2 of 4 countries contributing dues	Interim Regional Coordination Committee (2019) Regional Governance Assessment (June -September 2021) Guidance Document on RGM (June 2021) SPF consultation meeting (December 2021) National consultation meetings Rapid assessment on RGM in Australia	MS	Refer to the text below the table	(linked to Remaining Barriers on Overall Project Objective provided in the last part of this section)
5. National Inter-Ministerial Committees (NIMCs)	NIMCs loosely formed, with no clear mandate for ATS priority concerns	NIMCs established, functioning and formalized through legal and/or institutional arrangements in each of the three beneficiary countries	TOR for NIMC in all 3 countries NIMC formally established in PNG and TL and formalisation in progress in IDN		Refer to the text below the table	Legalisation process for the Indonesia NIMC still in progress and affected by ongoing restructuring in MMAF
6.SAP implementation finance secured by governments and development partners	0	25%	ATS draft Financial Landscape and Guidance Report		Refer to the text below the table	(linked to Remaining Barriers on Overall Project Objective provided in the last part of this section)

Green. Completed, indicator shows successful achievements	Yellow. Indicator shows expected completion by the EOP	Red. Indicator shows poor achievement – unlikely to be completed by project closure
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Green: Completed indicator shows successful achievements	Yellow: indicator shows expected completion by the EOP	Red: indicator shows poor achievement – unlikely to be completed by project closure
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Output 1.1.1: Regional Coordination Committee and a supporting Secretariat created to promote regional level planning, cooperation, and monitoring in the implementation of the SAP and NAPs; formal regional cooperation agreement adopted and implemented where feasible

The Regional Steering Committee (RSC) and Regional Project Management Unit (RPMU) have been established as an interim ATS regional governance mechanism. The RSC is operational since its first meeting in November 2019 and serves as an interim Regional Coordination Committee (RCC) for the project. The RPMU office was established in Tuna Research Centre, Bali, Indonesia in the first half of 2020 and serves as an interim secretariat to the RCC.

Four RSC meetings were conducted up to the MTR stage. The 1<sup>st</sup> RSC Meeting was held on 19 November 2019 in Bali. The other 3 meetings were conducted in a virtual mode: an intersessional meeting on 18 August 2020, the 2nd RSC meeting on 25 November 2020, and the 3<sup>rd</sup> RSC meeting on 6-7 December 2021.

In June 2020, the project commissioned a regional governance assessment with the aim to identify the most viable mechanism for ATS governance, in support of implementation of the ATS SAP and the NAPs. The Regional Governance Assessment (RGA) report, issued in September 2021, puts forward a proposal for the Regional Governance Mechanism (RGM) and recommendations to facilitate informed decision-making on the final collaborative mechanism for the ATS region.

The proposed regional mechanism composed of various mutually supportive elements is expected to enable a regional response for improving management and governance of the ATS ecosystems using the regional Strategic Action Programme (SAP) as common framework for action. The recommended mechanism has four main elements, namely i) a Regional Coordinating Committee (RCC), ii) a regional Stakeholder Partnership Forum (SPF), iii) an SAP Coordination Unit with SPF Secretariat, and iv) a new Regional Steering Committee (RSC) to be comprised of development partners.

Further to the recommendations of the RGA report, national consultations were conducted in the three beneficiary countries and results were presented to the 3<sup>rd</sup> RSC Meeting in December 2021 in which the RSC endorsed a roadmap for finalization of the process for the RGM and SPF establishment.

A Guidance Document on RGM was prepared to accompany the RGA report as a support to transitioning of the ATSEA- 2 project into an active regional cooperation mechanism. The document provides assessment of costs and benefits of operationalizing an organization for regional cooperation together with other considerations for the ATS countries relevant to the establishment of different elements of the proposed RGM.

Although feedback from the beneficiary countries varied according to their differing contexts, there was a general consensus on the need for a well-coordinated and effective cross-sectoral and multi-stakeholder model of cooperation that is not too resource-intensive. The countries agreed that the cooperation should be voluntary and non-binding and should complement existing platforms in order to ensure continuity beyond the ATSEA-2 project.

As part of the country consultations on the proposed RGM, a rapid assessment with a small group of stakeholders from northern Australia was conducted while national consultations were done in Indonesia, PNG, and Timor-Leste. On the model proposed for the RGM and SPF in the RGA, the participants indicated that the RGM structure need to be simplified, fit for purpose, not resource intensive and proposed a hybrid model (partially formal/informal) as the most effective RGM structure.

Output 1.1.2: Improved stakeholder participation at the regional and national levels through the establishment of a Stakeholder Partnership Forum for the implementation of the SAP and NAPs with representation of local people and women's groups

A consultative meeting on the Regional SPF was convened on 20 December 2021 with a total 59 participants in attendance coming from various stakeholder groups from the 4 ATS countries. The meeting was informed by the results and recommendations of the RGA report, insights and inputs generated from the national consultations in the ATS countries, and recommendations from the 3rd RSC meeting. Participants of the consultative meeting emphasised the value of the RGM/SPF for support of the SAP and NAPs implementation through facilitation of broader stakeholder engagement, collaboration on data exchange and research initiatives, as well as identification of common issues, plans and potential projects.

The SPF consultative meeting resulted in a number of suggestions, including:

- Ensure multisectoral representation in the regional SPF;
- Further clarify the criteria for identification of SPF members;
- Delineate roles and mechanisms for coordination of the different elements of the RGM/SPF;
- Provide further information on the financial mechanism to support operation of the RGM; and
- Secure strong support from the governments as well as from other key partners and stakeholders to ensure sustainability of the RGM/SPF.

With regard to gender, the SPF is being established to ensure that there's deeper and wider inclusion of various sectors including women to support the ATS regional governance mechanism.

A follow-up SPF meeting is tentatively scheduled for August 2022 to seek review and inputs to the consolidated RGM model and proposed TOR and guidelines for SPF.

Output 1.1.3: Improved inter sectoral coordination at the national and local levels in support of the implementation of integrated approaches to NRM, water resources, biodiversity conservation and climate change adaptation, through national inter-ministry committees in Indonesia, Timor-Leste, and Papua New Guinea

Regional institutional review was completed as part of the Regional Governance Assessment.

In Indonesia, an institutional mapping and regulatory review was undertaken to support the development of a draft conceptual model for the National Inter-Ministerial Committee (NIMC), identify key agencies for the NAP implementation, and propose a legal framework for the formalization of the NIMC. The model includes a legal structure option, an operational plan, and definition of roles and responsibilities of the NIMC members. Consultations with several ministries were undertaken to identify potential members of the NIMC and relevant programmes that could contribute to implementation of the ATS SAP and the NAP for Indonesia. A draft conceptual model of Indonesia's SPF was also prepared which identifies the country's representation in the regional SPF.

Despite the progress made, the formal establishment of the NIMC in Indonesia has been delayed due to restructuring of relevant governmental agencies. It is expected that the planned meeting on coordination of legal issues for NIMC will take place in Q3 of 2022.

In Timor-Leste, an inter-ministerial meeting in March 2020 discussed roles and structure of the NIMC. As a follow-up, a national Task Force (TF) composed of eight members from three National Directorates was established to guide the formal development of NIMC. The TF has primarily an advisory capacity and follows up on activities related to the establishment of the NIMC. Furthermore,

total 3 meetings of the National Project Board (NPB) were organised since 2019 to review progress of the TL component and approve annual work plan and budget.

An institutional assessment of relevant inter-ministerial agencies and subnational counterparts to be part of the NIMC produced a TOR outline of the NIMC objective, operational plan, and roles and responsibilities of the members. The TOR will be incorporated into the updated National Action Program (NAP) for Timor-Leste. The NIMC was formally established in June 2022, however, it has not yet started to function effectively.

In Papua New Guinea, assessment was conducted of the PNG legal framework in marine and fisheries in relation to the South Fly District as a basis for organising the NIMC, identifying members for the national SPF and preparing a capacity development plan for the project. ToRs for establishment of NIMC and NPB were prepared and adopted. As of 4th quarter of 2021, the NPB and NIMC/SPF for PNG were established and operational.

The 1<sup>st</sup> NPB meeting was held in October 2021 while the NIMC meeting was conducted jointly with the SPF in November 2021. Both meetings were essential for review of various thematic assessment reports of the PNG component, as well as review of progress and approval of work plan and budget for 2022. Both meetings engaged representatives from the national and sub-national governments, academia, NGOs/CSOs, and the private sector to support the ATSEA-2 interventions in PNG. NPB and NIMC/SPF Meetings were also conducted in May 2022 to review progress of 2022 AWP implementation and outputs.

Australia representatives to the project actively participated in and contributed to the regional thematic consultations and the review of the RGA report. Due to the relatively long interim period between ATSEA-1 and ATSEA-2 projects, Australia's strategy was based on advocacy with regards to ATSEA-2 and its objectives and sensitisation of relevant government agencies and stakeholder groups.

#### Output 1.1.4: Financial mechanisms in place to support the implementation of the SAP and NAPs and the replication and upscaling of demonstration projects

Initially, implementation of this output was planned to commence upon completion of the updated SAP in 2023. Recognizing the time required to complete the SAP update, the 2<sup>nd</sup> RSC meeting endorsed the RPMU recommendation to commence the process as early as 2021.

Draft report on Financial Landscape Assessment (FLA) was completed in April 2022 and will be submitted to the 4<sup>th</sup> RSC meeting for review and endorsement. Once approved, the report will serve as a reference for development of the 5-year cost estimate and financing plans in the three beneficiary countries.

#### **Summary Assessment of Outcome 1.1:**

Outputs 1.1.1 and 1.1.2 have been practically delivered by the MTR stage. Some progress has been observed under Output 1.1.3 with the respective NIMCs already established in PNG and TL while the legalisation process for the Indonesia NIMC was still in progress during the MTR. However, as of MTR, only the PNG established NIMC has been fully functional. Under Output 1.1.4, due to the lengthy and complicated negotiations for securing of SAP implementation finance, the 2<sup>nd</sup> RSC in 2020 recommended the advanced conduct of a FLA to guide/inform and facilitate the development of the financing plan in 2023. The FLA has been completed in early 2022 as the first step.

The RGA report based on the consultative process with an array of regional and national stakeholders indicated the need for an RGM based on a hybrid approach that includes both legally binding and voluntary actions. In order to reach a decision which transboundary issues need to be addressed through

legally binding actions, the updated SAP will have to be in place and endorsed by the ATS countries. Therefore, it would be desirable to accelerate the preparation of the SAP update in order to enable timely consultations about identification of the necessary legally binding actions. Until this stage is reached, regional actions will be voluntary in nature.

Based on the above, **the progress under Outcome 1.1 is rated Moderately Satisfactory (MS).**

**Table 6: Progress Towards Results Matrix for Outcome 1.2 (Achievement of Outcome-Level Indicators against End-of-Project Targets)**

Outcome 1.2: Strengthened institutional and human resource capacity towards integrated approaches in natural resource management and biodiversity conservation						
Project Strategy Indicators	Baseline	End-of-Project Targets	Mid-Term Level and assessment	Achievement Rating	Justification for the rating	Remaining Barriers
7. Number of local regulations issued to support implementation of NAP that reflect regional harmonization of national and subnational policies	Priority actions in the NAPs are not mainstreamed in national and local policy and programming frameworks	Indonesia: Draft of three local regulations (PERDA) developed and submitted to the provincial government to support implementation of NAP	Papua Governor Decree No.188.4/295/2019 on MPA in Kolepom Island signed (2019) and ratified (2020) Papua Governor Decree on IUU Fishing Forum establishment NTT Governor Decree on Marine Pollution Task Force establishment	S	Refer to the text below the table	Full operationalization of NIMC (particularly in Indonesia and Timor-Leste) will be crucial to support mainstreaming of priority actions (particularly of updated SAP and NAPs) to country policies and programmes.
		Timor-Leste: Two local regulations issued to support implementation of NAP	Official order from Municipal Administrator of Manatuto Municipality on the ICM Sub Task Team in PA Barique formally launched Assessment of national policies and regulations completed		Refer to the text below the table	
		Papua New Guinea: District Sustainable Marine Resource Plan for South Fly District approved	Assessment of Legal and Institutional Framework completed (2021) National Consultation Workshop conducted (October 2021) Draft SFAFMP developed and undergoing review		Refer to the text below the table	
8. Knowledge transferred from capacitated trainers to resource beneficiaries	Limited knowledge on integrated approaches	Indonesia: 100 resource beneficiaries receive training on integrated approaches from the capacitated trainers	MPA 101 (2019) – 13Male (M)/3Female (F) ToT for field survey on ecosystem and habitat status in Aru Tenggara and Kolepom MPA (2020)–13M/9F EAFM training in Aru and Merauke (2021) Data Science Training (2021) – 27M/8F Building Data Science Capacity for Marine and Fisheries Resources Surveillance (2021) - 8M/7F E-logbook training for Merauke (2021) – 65M/4F Ecosystem Rehabilitation Training in Oeseli, Rote (2022) -97M/20F Pokmaswas training in Aru (2022) Oil spill modelling training for marine pollution task force (2022) – 15M/11F Gender mainstreaming in NTT and Rote Ndao (2022) – 3M/14F Total 451 individuals trained ToT programme rollout postponed in 2021 due to COVID-19 restrictions		Refer to the text below the table	NONE
		Timor-Leste: 60 resource beneficiaries receive training on integrated approaches from the capacitated trainers	IUU Fishing Vessel Identification Method (2020) ICM Orientation (2020) -70M/5F Training on EAFM survey (2021) – 13M/0F Aquaculture and sustainable fishing practices (2021) – 26M/15F Seafoods processing, machine boat repair, and button longline fishing (2021) – 26M/15F Plastic waste recycling (2021) – 5M/17F Basic Cooperatives in Manatuto (2022) – 10M/40F Institutional and stakeholder capacity assessment completed Total 308 individuals trained			

Project Strategy Indicators	Outcome 1.2: Strengthened institutional and human resource capacity towards integrated approaches in natural resource management and biodiversity conservation				
	Baseline	End-of-Project Targets	Mid-Term Level and assessment	Achievement Rating	Remaining Barriers
					Justification for the rating
			ToT programme finalised, roll-out postponed due to COVID-19 restrictions		
		Papua New Guinea: 10 resource beneficiaries receive training on integrated approaches from the capacitated trainers	Participation in regional training on E-EAFM (5M/4F); EAFM ToT (2M/3F); Virtual Database and Information Management System (2M/1F); and Fisheries Intelligence (3M/2F) Total 22 individuals trained Institutional and stakeholder capacity assessment completed (2021) Capacity needs assessment and Capacity building program completed (2021)		Refer to the text below the table

Green: Completed indicator  
Shows successful achievements

Yellow: Indicator shows expected completion by the EOP

Red: Indicator shows poor achievement - unlikely to be completed by project closure

Output 1.2.1: Harmonization of national and local policy in Indonesia and Timor-Leste to strengthen the regulatory and institutional frameworks in support of SAP/NAP implementation and linkages to NBSAPs through support to national inter-ministerial committees

The report of NIMCs institutional mapping in Indonesia identified some aspects of assessment of policies and regulation. Moreover, the EAFM assessments of red snapper, shrimp, and barramundi fisheries, and updated biodiversity status also contribute to policy assessment in all three beneficiary countries.

The Governor of Papua signed a decree to secure an area of 353, 287 ha in Kolepom Island, Merauke District, as a Marine Protected Area (MPA). The decree was signed in September 2019 and ratified in December 2020<sup>8</sup>. The MPA is designed to achieve sustainable management of key marine species and the estuarine habitat, as well as preserve the rare and protected sawfish species. The MPA for Kolepom has been included in the marine spatial planning for the Papua Province endorsed by the MMAF in May 2022.

Papua Governor's Decree No. 188.4/228/2020 provides basis for official establishment of the Papua Fisheries Law Enforcement Coordination Forum on 30 July 2021. Tasked with coordinating investigation processes against criminal activities related to fisheries, the Forum will liaise between different law enforcement agencies, thereby facilitating more widespread and coordinated action in response to threats. Members of the forum include key provincial and local-level stakeholders. Part of the Forum's remit will be to help manage the flow of information and data between these various stakeholders for better understanding of the fisheries law enforcement and for ensuring that relevant policies are put into practice.

Also, the legalization of the Marine Pollution Task Force establishment in the East Nusa Tenggara province has been promulgated by Governor decree.

In Timor-Leste, the ToR for assessment of national policies and regulations was developed and the assessment was completed. In line with the Project Document, the ATSEA-2 is expected to facilitate discussions for strengthening of a coastal development plan as part of the Master Plan for the South Coast Region. However, currently there is no such Master Plan in place. Coastal development is addressed under the Timor-Leste Strategic Plan for 2020-2023, hence implementation of this activity is postponed. ATSEA-2 will extend the support to relevant expert discussions in the remaining period of the project. An Official order from Municipal Administrator of Manatuto Municipality was adopted and formally launched the ICM Sub Task Team in Posto Administrativo Barique.

In PNG, assessment of legal and institutional framework was completed and endorsed by the NIMC (2021). It identifies key policies and regulations in PNG on marine and fisheries particularly relating to South Fly.

The progress on development of the South Fly Artisanal Fishery Management Plan (SFAFMP) was negatively affected by the COVID-19 induced travel restrictions and office lockdowns in 2021 because it requires travel to Daru Island. At the time of the MTR, a draft SFAFMP was available and consultations on the draft plan were initiated.

Output 1.2.2: Localization and translation of guidelines and/or handbook on integrated approaches to marine and coastal management, biodiversity conservation and climate change adaptation in local

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<sup>8</sup> The Governor of Papua Decree No.188.4/228/2020

language by building on existing/completed initiatives; implementation of training of trainers benefitting at least 100 participants in Indonesia; 60 in Timor-Leste, and 10 in Papua New Guinea

Assessments and reports on policy and legal frameworks (NIMC/SPF), on management of fisheries and on and on biodiversity included capacity assessment of relevant stakeholders. Due to COVID-19 restrictions, the Training of Trainers (ToT) programmes were not undertaken as planned.

In Indonesia, several capacity building initiatives have already been undertaken since the project start as follows:

- MPA 101 training for Kolepom (Papua) and Southeast Aru (Maluku) stakeholders 7-11 October 2019) for 16 participants;
- Online Training of Trainers (ToT) for biodiversity assessment in Aru Island and Merauke to support technical assessment by the field task force from MMAF (May 13-14, 2020) for 21 participants;
- Series of meetings conducted in relation to development of resources monitoring in Southeast Aru MPA as well as development of technical guidebook for conservation management (September, November, and December 2019) for 63 participants;
- Building Data Science Capacity for Marine and Fisheries Resources Surveillance in Bogor, Indonesia (11-21 January 2021) for 15 participants;
- Virtual Database and Information Management System (DIMS) (28-29 April 2021) for 14 participants;
- Fisheries e-logbook activation training for 114 fishermen in Aru and Merauke;
- Training on gender mainstreaming (14-16 June 2022) involving 17 participants from the NTT provincial government, Rote Ndao local government, as well as CSO partners in NTT and Rote Ndao;
- E-EAFM training as part of the parallel E-EAFM trainings (November-December 2021) for 35 participants (facilitated by the RPMU);
- Training on oil spill modelling for marine pollution taskforce (30-31 May 2022) in Kupang, involving 36 participants from the Marine Pollution Task Force in the NTT province

Up to the MTR stage, the cumulative total of individuals trained in Indonesia reached 451.

In Timor-Leste, ToT program is not yet in place due to COVID-19 restrictions. However, some trainings have already been conducted as follows:

- IUU fishing vessel identification method and other surveillance measures and safety at sea in 3 municipalities (30 November 30 10 December 2020) for 75 participants;
- ICM orientation for sub-task team in PA Barique (26 November 2020) for 65 participants;
- Virtual Database and Information Management System (DIMS) (28-29 April 2021) for 4 participants;
- E-EAFM training as part of the parallel E-EAFM trainings facilitated by RPMU for 8 participants (facilitated by the RPMU);

Up to the MTR stage, the cumulative total of people trained in Timor-Leste reached 308.

Institutional and stakeholder capacity assessment was completed and further to the recommendations from the assessment, steps will be taken to develop a capacity building programme for TL.

In PNG, a capacity assessment of the PNG stakeholders conducted as part of the overall stakeholder analysis was a basis for development of a capacity development plan for the PNG component and endorsed by the NIMC meeting.

Up to the MTR stage, PNG participated only in the regional trainings as follows:

- Virtual Database and Information Management System (DIMS) (28-29 April 2021) for 3 PNG participants;
- E-EAFM training as part of the parallel E-EAFM trainings facilitated by RPMU with the 3 ATS countries for 8 PNG participants;
- EAFM ToT training facilitated by RPMU with the 3 ATS countries for 5 PNG participants
- Fisheries Intelligence Training facilitated by RPMU wherein 5 PNG participants were included

Up to the MTR stage, the cumulative total of people trained in PNG reached 22.

On-site trainings on EAFM and data collection is scheduled in August 2022 as part of the development of the South Fly Artisanal Fisheries Management Plan. The NFA has concluded MOU with the Western Province Fisheries on these trainings.

#### **Summary Assessment of Outcome 1.2:**

By supporting review of existing legal frameworks and development of 4 new local regulations, ATSEA-2 is creating basis for implementation of the NAPs, for increasing the effectiveness of law enforcement activities against IUU, for improved management of fisheries stocks, as well as for MPA management and marine pollution response in relevant parts of the ATS region.

The project also conducted a series of regional and national training activities related to institutional and stakeholder capacity building in the three beneficiary countries. However, the main impact of the ATSEA-2 human resource capacity building programme remains to be seen as conduct of several training activities in all three beneficiary countries was negatively affected by COVID-19 travel and meeting restrictions.

Based on the above, **the progress under Outcome 1.2 is rated Satisfactory (S).**

**Table 7: Progress Towards Results Matrix for Outcome 1.3 (Achievement of Outcome-Level Indicators against End-of-Project Targets)**

Outcome 1.3: Better understanding of climate change impacts on marine and coastal ecosystems lead to regional action						
Project Strategy Indicators	Baseline	End-of-Project Targets	Mid-Term Level and assessment	Achievement Rating	Justification for the rating	Remaining Barriers
9. Regional climate change predictive capacity strengthened	There are no coordinated regional climate change assessment efforts addressing regional coastal and marine concerns in the ATS region	ATS regional CC guidance toolkit endorsed by RCC	Regional Climate Change Vulnerability Assessment Report (January 2021) Guide for Facilitators: Incorporating Regional Climate Change Results into Local Action Planning (December 2021) Technical paper based on CCVA for publication in the PLOS Climate Journal Regional workshop on Climate Change for Coastal Communities: Learning from East Asia and ATS Regions (December 2021) Case study and Local Community Action Plan in Oeseli village (September 2021) 3 information videos available on ATSEA-2 YouTube channel	S	Refer to the text below the table	NONE

Green: Completed indicator shows successful achievements	Yellow: Indicator shows expected completion by the EOP	Red: Indicator shows poor achievement – unlikely to be completed by project closure
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### Output 1.3.1: Improved understanding of climate change impacts on fisheries and marine/coastal ecosystems through regional collaborative assessment

A regional Climate Change Vulnerability Assessment (CCVA) was completed in January 2021. The assessment is based on a review of global climate models and climate change studies (with data on climate change projections, habitat condition, species profiles, automated vulnerability assessment, and results of expert elicitation). The CCVA report provides recommendations for addressing the main drivers of vulnerability for habitats and species, and opportunities for improving the assessment outputs if further data become available. While the assessment is focused on the ATS marine ecosystem and the scale of results are at the regional and sub-regional level, they can be used to inform also local climate change assessments through application of local processes, outlined in the supplementary CC guidance toolkit.

In addition to the CCVA report, a draft Guide for Facilitators: Incorporating Regional Climate Change Results into Local Action Planning was completed in March 2022 as a supplement to the CCVA. The Guide provides tools for understanding of climate change vulnerability at a local scale decision-support tools and processes for managers and/or NGOs working as facilitators with local communities to use the CCVA results to inform local assessments, thereby facilitating preparation of effective and targeted adaptation measures for implementation at the community level. It also includes a process for developing a Community Action Plan, using a participatory approach that seeks to integrate regional climate change vulnerability with local issues affecting habitats and species with the aim to identify appropriate adaptation actions to address local pressures that undermine ecological conditions, thereby improving resilience to climate change. Highlights of ATS CCVA and the draft Guide were presented at the AP-PLAT Webinar on Making Asia-Pacific Resilient to Climate Change in 2021. The draft Guide will be submitted for endorsement by the 4th RSC to be held in November 2022.

The regional CCVA served as a base for development of a technical paper titled “Climate Change Implications for the ATS Region: Assessing Vulnerability of Marine Systems to Inform Management and Conservation” that is prepared for submission to the PLOS Climate Journal.

A regional workshop on Climate Change for Coastal Communities: Learning from East Asia and ATS Regions conducted as part of the East Asian Seas Congress 2021 (jointly hosted by ATSEA-2 with PEMSEA and IGES of Japan). Still in 2021, ATSEA-2 delivered presentation at the Asia-Pacific Climate Change Adaptation Information Platform (AP-PLAT) webinar on Making Asia-Pacific Resilient to Climate Change. Results from the regional CCVA and the Guide for Facilitators were shared in the above-mentioned events.

### Output 1.3.2 Case study on climate change impact pathways on an ATS area-specific fishery; regional climate change workshop organized

In September 2021, the Guide for Facilitators was tested in a local case study in Oeseli Village in Rote Ndao district. The study tested approaches for mainstreaming climate change into local assessments and planning helped to complete a Community Action Plan for Oeseli Village that was issued in early 2022. The Plan was developed relevant to fisheries and climate change adaptation and will be submitted for inclusion in the ICM plan development for Rote Ndao district.

Based on the results of the case study, three information videos were developed on awareness of local community of the impacts of climate change. The videos are available at the ATSEA-2 YouTube channel.

**Summary Assessment of Outcome 1.3:**

The target outputs under this outcome have been practically delivered at the MTR through completion of the regional CCVA, completion of the draft Guide for Facilitators (to be endorsed by the 4<sup>th</sup> RSC meeting in November 2022), conduct of regional workshop on Climate Change, and completion of the case study in an area-specific fishery in Oeseli Village. A community action plan was also developed in Oeseli Village. Informative videos based on the results of the case study made available via the YouTube channel is a good example of sensitisation of local communities to impact of and possible adaptation to climate change.

Based on the above, **the progress under Outcome 1.3 is rated Satisfactory (S).**

**Table 8: Progress Towards Results Matrix for Outcome 1.4 (Achievement of Outcome-Level Indicators against End-of-Project Targets)**

Project Strategy		Outcome 1.4: Updated transboundary diagnostic analysis (TDA), strategic action programme (SAP), and national action programmes (NAPs)					
Indicators	Baseline	End-of-Project Targets	Mid-Term Level and assessment	Achievement Rating	Justification for the rating	Remaining Barriers	
10. Proportion of countries that are implementing specific measures from the SAP (i.e. adopted national policies, laws, budgeted plans)	0	N.A.	Inception Workshop for TDA (February 2022) A list of already produced datasets and reports to inform TDA data collection	S	Refer to the text below the table	Concerns on the timeline to complete the entire TDA updating process to facilitate wider stakeholder consultation and validation of the updated TDA was raised (particularly by Australia) during TDA consultations. Reorganization in AUS also caused delays in AUS in establishing its NWG. While AUS is not a project beneficiary, its involvement in this key regional process on TDA and SAP was deemed crucial.	
		Indonesia: Priority actions under ATS NAP mainstreamed into national development programs and budgets	NWG for TDA/SAP update confirmed (April 2022) and meeting held (May 2022) Data collection for TDA update in progress		Refer to the text below the table		
		Timor-Leste: Priority actions under ATS NAP mainstreamed into national development programs and budgets	NWG for TDA/SAP update confirmed (March 2022) and 2 meetings held (May and June 2022) Data collection for TDA update in progress		Refer to the text below the table		
		Papua New Guinea: Priority actions under ATS NAP mainstreamed into national development programs and budgets	NWG for TDA/SAP update confirmed (March 2022) and meeting held (June 2022) Data collection for TDA update in progress		Refer to the text below the table		
		N.A.	Rapid assessment/initial data gathering initiated (December 2021) Stocktaking review of ATS SAP implementation (ongoing)		Refer to the text below the table		

Green: Completed indicator shows successful achievements	Yellow: Indicator shows expected completion by the EOP	Red: Indicator shows poor achievement – unlikely to be completed by project closure
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#### Output 1.4.1: Updated ATS transboundary diagnostic analysis (TDA) endorsed by the ATS Regional Coordination Committee

TDA updating process was initiated with recruitment of a team of consultants composed of 1 regional consultant and 1 national consultant for each of the three beneficiary countries. Australia's support is expected to be provided through a submission of a Technical Report facilitated by the National Focal Point.

Inception Workshop (IW) on TDA updating was conducted in February 2022 in order to clarify objectives and methodology for the TDA update. It was agreed that the TDA process would entail the following four major milestones: i) development/conduct of thematic assessments; ii) convening of National Working Groups (NWGs) for data inputs and technical review; iii) conduct of TDA regional workshop; and iv) compilation, validation, and approval of the updated TDA.

The originally planned part 2 of the IW on TDA/SAP update was not conducted and the subject matter (the TDA-SAP process, roles and responsibilities of participants, TOR of NWG, status of data assessment and gaps, support needed from NWG members, work plan and timeline for TDA and subsequent SAP/NAPs) updating were discussed in the meetings of the NWGs of Indonesia, PNG and Timor-Leste held in the three countries in May-June 2022. As guidance to data collection, a list of core data set was developed and provided to National Consultants to facilitate better rapid assessment. The RPMU also prepared a list of datasets and reports available under ATSEA-2 and created a dedicated Dropbox folder for compilation of the data sets. At the MTR, data collection for the TDA update was in progress in the 3 beneficiary countries

Australia indicated commitment to develop a technical report as input to the TDA. However, Australia expressed concerns on the timeline to complete the entire TDA updating process and its endorsement by the 4<sup>th</sup> RSC meeting in November 2022 and suggested to extend the timeline to the first quarter of 2023 to facilitate wider stakeholder consultation and validation of the updated TDA. Following the federal elections in May 22, DAWE as the ATSEA-2 focal agency will be split through reorganisation as of 1 July 2022. Consequently, the establishment of NWG in Australia is still pending.

One of the main outputs of the TDA process will be Country Synthesis Reports (CSR) to be prepared by the National Consultants with inputs and guidance from the NWGs. These reports will serve as part of thematic assessments focusing on environmental, fishery & aquaculture, socio-economic and governance aspects. The agreed TDA workplan comprises convening of TDA validation workshops at the national and regional levels for finalisation of the CSRs and submission of a draft consolidated TDA report for review by the 4<sup>th</sup> RSC in November 2022 and final endorsement by 1<sup>st</sup> quarter of 2023.

#### Output 1.4.2: Updated SAP, incorporating improved understanding of climate change impacts, supported by Ministerial Declaration; NAPs updated or formulated accordingly

In December 2021, a rapid stocktaking review of implementation of the ATS SAP was initiated. Although this activity is not indicated in the Project Document, the project deemed it necessary and useful as no stocktaking had been done since adoption of the SAP in 2014. It is based on a desktop assessment of initiatives contributing towards the governance and ecosystem objectives and targets in the SAP. Information resulting from the stocktaking exercise will serve as input into the TDA/SAP update.

Completion of the regional SAP will provide overall framework for updating the NAPs in Indonesia and Timor-Leste. As PNG did not have during Phase 1 of ATSEA, the process of development of the

1<sup>st</sup> NAP for PNG will be initiated before the actual updating of the NAPs for Indonesia and Timor-Leste.

Output 1.4.3: National responses to the priority actions agreed upon in the updated SAP are formulated into national action programs and mainstreamed into national planning and budgetary frameworks

This output will be implemented once the updated SAP is endorsed. It will comprise extensive stakeholder consultations and sensitisation of the updated NAPs and support from NIMCs/NPBs to advocate for inclusion of selected specific NAP objectives/targets in national and subnational planning and budgetary frameworks in the three countries.

As an additional activity, the project initiated a SAP stocktaking review that included a desktop review, focus group discussions in all three countries in January-February 2022 and a meeting with representatives of Australia in March 2022. The initial draft of the SAP Stocktaking Review Report was issued in March 2022. The report presents information on the status and key initiatives undertaken toward achieving the SAP commitments as well as information on gaps and relevance of the 10-year targets for better information and guidance to the ongoing updating of ATS TDA and SAP. At the MTR, the stock-taking report was undergoing further refinements.

**Summary Assessment of Outcome 1.4:**

Delivery of the first two outputs was in progress at MTR with notable progress under Output 1.4.1. Initiation of the stocktaking exercise on implementation of the original SAP from Phase-1 is an important activity that ensures a strong link to the Phase-1 results and continuity of implementation during ATSEA-2.

Based on the above findings, the progress towards achievement of the end-of-project targets under Outcome 1.4 is rated **Satisfactory (S)**.

**Table 9: Progress Towards Results Matrix for Outcome 2.1 (Achievement of Outcome-Level Indicators against End-of-Project Targets)**

Project Strategy	Outcome 2.1: Improved management of fisheries and other coastal resources for livelihoods, nutrition and ecosystem health in Indonesia, Timor-Leste, and Papua New Guinea					
Indicators	Baseline	End-of-Project Targets	Mid-Term Level and assessment	Achievement Rating	Justification for the rating	Remaining Barriers
11. Number of management plans and appropriate measures implemented for rebuilding or protecting fish stocks including alternative management approaches	0	5 management plans implemented	<u>Regional:</u> EAFM regional Advisory Forum Fisheries enumerator trainings Draft Regional EAFM plan for red snapper (January 2022) E-EAFM Training (June 2021) and ToT on EAFM approach (October 2021) A report: Scaling up RBM in the ATS (November 2021)	MS	Refer to the text below the table	NONE
			<u>Indonesia:</u> FMA 718 Management Plan completed EAFM on red snapper – Profiles, Strategy and Action Plan EAFM on shrimp - Profiles and Assessment with Action Plan EAFM on barramundi – Profiles and Assessment with Action Plan		Refer to the text below the table	
			<u>Timor-Leste:</u> EAFM baseline on red snapper completed Report on Red Snapper Stock and Value Chain Assessment compiled Red Snapper EAFM Plan finalised and endorsed by MAF Drafting of ToR for Fisheries Advisory Committee ongoing		Refer to the text below the table	
			<u>PNG:</u> Draft South Fly Artisanal Fisheries Management Plan developed and consultations in progress		Refer to the text below the table	
12. Number of targeted communities of fishers have adopted an ecosystem approach to fisheries management	0	5 communities adopted EAFM	<u>IDN:</u> Aru Islands District, Maluku Province- red snapper and shrimp; Merauke- barramundi) <u>TL:</u> South Coast EAFM plan <u>PNG:</u> SFD rights-based fisheries		Refer to the text below the table	
13. Reduced fishing pressure	Aru, Indonesia: Approx. 775 registered fishing vessels in Aru operating in the red snapper and shrimp fisheries (combined).	Aru, Indonesia: 25% reduction in fleet size within the shrimp and red snapper fisheries	Baseline assessment on IUU fishing Review of National Policies and Regulations on IUU Fishing in South Asia RPAO-IUU Report on Co-surveillance Best Practices and Lessons Learned against IUU Fishing Report on Supporting Efforts in Developing Tools for FAO Global Record Initiative (GRI)		Refer to the text below the table	Data on unregulated and unreported fishing still lacking in the ATS region, requiring further assessments. Some baseline information is outdated and requires further updating and
	South Fly, PNG: 2 tons per year dried fish maw	South Fly, PNG: 1 tonne per year dried	Fisheries Intelligence Training (April 2022) International workshop on IUU fishing (June 2022)			

	(bladder) produced.	fish maw (bladder) produced	Fisheries Crime Forum established in IDN Fish Consumption Level and Value Chains Assessment based on Household Survey in Merauke and Aru Regency, IDN completed (2021) Fisheries Business Plan in Merauke and Aru Regencies, IDN developed (2021) Training on IUU fishing vessel identification method (in 3 TL communities) Draft Fore-Coast AFMP for PNG (May 2022) Data for assessment of progress at the country level not available		assessment. Due to lack of data, the MTR is unable to make full assessment towards the end of project target.
14. Improved use of fish gear/techniques	Aru, Indonesia: Approx. 775 registered fishing vessels in Aru operating in the shrimp and red snapper fisheries; 775 vessels (<30 GT) which do not have VMS; 1400 vessels using gillnet gear. Merauke, Indonesia: Approx. 500 registered fishing vessels operating in the barramundi fishery in Merauke.	Aru, Indonesia: 50% of vessels within the shrimp and red snapper fisheries using improved gear; 50% vessels using VMS; 25% vessels applying improved gear to reduce turtle bycatch. Merauke, Indonesia: 50% barramundi fishers using improved gear.	Data on number of vessels/gears collected through EAFM assessment Data for assessment not available	Refer to the text below the table	
	South Coast, Timor-Leste: Approx. 150 registered vessels in the south coast municipalities.	South Coast, TL: 50% vessels within the red snapper fishery using improved gear/techniques	Data on number of vessels/gears collected Data for assessment of progress not available	Refer to the text below the table	
	South Fly, PNG: Approx. 2700 households involved in small-scale fishing	South Fly, PNG: 25% artisanal fishers using improved gear/techniques	Data on number of vessels/gears collected Data for assessment of progress not available	Refer to the text below the table	

Green: Completed indicator shows successful achievements

Yellow: Indicator shows expected completion by the EOP

Red: Indicator shows poor achievement – unlikely to be completed by project closure

Output 2.1.1: Ecosystem approach to fisheries management (EAFM) targeting women and men fishers implemented at the LME level for shared stocks and in area-specific fisheries

Upon extensive stakeholder consultations, ATSEA-2 supported the development of a regional EAFM plan for improved fisheries management for four red snapper species (saddletail snapper, crimson snapper, red emperor and goldband) through the implementation of a regional EAFM plan. In order to ensure extensive participation of key stakeholders for development of the regional EAFM plan, the project established an EAFM Advisory Forum, comprising of representatives from local, national, and regional governments, academia, private enterprises, and non-profit organisations. A total of 4 EAFM Advisory Forums with total 197 participants, out of which 34 women, from the 4 ATS countries were held in the period June – November 2021 in support of the EAFM plan development. Final draft of the regional EAFM plan was issued in January 2022 and will be submitted to the 4<sup>th</sup> RSC meeting in November 2022.

An E-EAFM Training was conducted in June 2021 involving participants from Indonesia, Timor-Leste and PNG and from which selected participants were identified for the EAFM ToT. EAFM Training of Trainers (ToT) was conducted on 12-14 October 2021 through a hybrid mechanism (via zoom and offline in 3 training hubs. The ToT capacitated total 18 participants (7 from Indonesia, 6 from Timor-Leste and 5 from Papua New Guinea).

The project supported compilation of a report on rights-based management (RBM) of small-scale red snapper fisheries in the ATS region. The report, launched in November 2021, provides an overview of RBM in the region, namely area-based rights including those based on customary tenurial arrangements, access rights and catch rights, and relevant existing policies and agreements. RBM approaches already employed in the region. The report and its case studies show how communities, if empowered, are able to improve the performance of their fisheries by adopting RBM approaches. Furthermore, it proposes a generic framework approach for design RBM interventions, alongside three specific ‘roadmaps’ for sites identified in the three beneficiary countries. It also proposes a set of regional-level recommendations for scaling-up the RBM approach in the ATS region.

As part of the wider EAFM planning process, the project organised 2-day fisheries enumerator training to support development of a comprehensive regional EAFM plan for red snapper fisheries in the ATS region.

The project also commissioned two consulting companies to render assistance to the ATS countries for improvement of their respective statuses of red snapper fisheries. This assistance led to development of national EAFM-based plans for management of red snapper and shrimp in Aru Islands and barramundi in Merauke, Indonesia, and an EAFM-based plan on red snapper in the Southern Coast of Timor-Leste.

However, the MTR found that implementation of EAFM-related activities on the red snapper project in Viqueque, Timor-Leste was affected by insufficient support from a Site Mobiliser that affected roll-out of the EAFM plan and resulted in limited progress towards the EOP target. This has been partially addressed by reassigning the Site Mobilizer in Manatuto and Manufahi for assistance in Viqueque.

Output 2.1.2: Development of profiles of 3 fisheries in the ATSEA, value-chain analysis and preassessment to move selected fisheries towards certification/eco-labelling

Field assessments of two fisheries in Indonesia were conducted to map local consumption and trade information in Merauke (March 2021) and in Aru (April-May 2021). Value chain assessment based on household surveys conducted served as basis for development of fisheries business plans in the two

regencies. Furthermore, fisheries profiles for red snapper and shrimp in Aru and for barramundi in Merauke were completed.

In Timor-Leste, field surveys on stock assessment and value chain assessment of red snapper were conducted in 4-municipalities on the South Coast (February and March 2021). Assessment of the red snapper stock and value chain was completed as a basis for development of the EAFM for the red snapper fishery. The EAFM plan was finalized. It was decided to establish a Fisheries Advisory Committee to guide and oversee implementation of the plan.

Output 2.1.3: Regional and national actions strengthened in support of the Regional Plan of Action for Responsible Fishing Practices Including Combating IUU Fishing in the Region and the Indonesian Presidential Task Force on Combating Illegal Fishing, e.g., through better surveillance, enforcement and monitoring, resulting in a further reduction of IUU fishing in the ATS by 10%, around 150,000 tonnes

In 2021, the project commissioned baseline assessment on IUU fishing. Due to limited availability of data on unregulated and unreported fishing the main focus of the assessment was on illegal fishing. Furthermore, the project supported a review of national policies and regulations relating to IUU fishing in 11 countries of the Southeast Asian Regional Plan of Action to Promote Responsible Fishing Practices including Combating Illegal, Unreported and Unregulated Fishing (RPOA-IUU), including the ATS sub-regional group.

The policy review identified the Australian policy landscape as the most developed with the updated second National Plan of Action (NPOA) for IUU fishing. Indonesia was found to have adopted International Plan of Action (IPOA-IUU) but no second NPOA-IUU has been published as a continuation, while an NPOA for monitoring and countermeasures for destructive fishing activities for 2019-2023 has been adopted. Similarly, Timor-Leste has adopted provisions of the IPOA-IUU into the NPOA-IUU in 2013 and embedded core values of the IPOA-IUU in the MAF Strategic Plan 2014-2015, and PNG has also adopted the IPOA-IUU and embedded the core values in its National Ocean Policy 2020-2030. However, the IUU baseline assessment highlighted significant lack of data or available records in Timor-Leste and Papua New Guinea particularly in relation to unregulated and unreported fishing. Consequently, there are no specific updated plans of action on IUU in the two countries. However, the core values of the IPOA-IUU have been embedded in several supporting regulations and policies, such as the National Ocean Policy 2020-2030 (PNG) and the Ministry of Agriculture and Fisheries Strategic Plan 2014-2020 (TL).

Two other studies at the regional level were completed. For support to this work, the ATSEA-2 RPMU embarked on collaborative discussion with the RPOA-IUU Secretariat during a series of coordination and review meetings in 2020 and 2021.

The study on Collaborative Surveillance Best Practices and Lessons Learned against IUU Fishing provides a compilation of collaborative surveillance practices in Indonesia and Timor-Leste that have yielded good results. It also found that the collaborative surveillance in Australia and Papua New Guinea, have not yet been identified due to their more centralistic regimes.

The study on Supporting Efforts in Developing Tools for FAO Global Record Initiative (GRI) found that majority of Australia's national regulations are already compatible with requirements of GRI and identified some legal gaps for use of the vessel monitoring system (VMS) in Indonesia. As Papua New Guinea and Timor-Leste are not yet GRI participants, the study identified a number of preparatory measures needed in case the two countries decide to participate.

Based on the various IUU assessment reports, a technical paper entitled “Tougher Evidence-based Policy Does Matter: Deterring Illegal Fishing” was drafted for submission to a scientific journal.

In April 2022, a 4-day Fisheries Intelligence Training was jointly conducted with the RPOA-IUU Secretariat. The training introduced the concept and importance of fisheries intelligence, provided examples of existing intelligence models and lessons learned for combating the IUU fishing, and facilitated discussions on how to establish a multinational fisheries intelligence network.

In June 2022, 3-Day International Workshop on Advancing Regional Standards of Responsible Fisheries to Combat IUU Fishing was conducted through hybrid mechanism. The workshop was held as part of Indonesia’s G20 presidency and International Day for the Fight Against IUU Fishing celebration.

In Indonesia, a workshop on building data science capacity for marine and fisheries resources surveillance and building coordination forum for fisheries handling criminal actions in Papua was conducted. The Papua Governor Decree on Fisheries Crime Forum was signed, and the Forum was established. Report on IUU fishing/fisheries loss assessment in Aru and Merauke in WPP 718 was finalised.

In collaboration with the Destructive Fishing Watch (DFW), synchronization process of TDKP registration for small scale fishers in Aru and its training on use of e-logbook for small scale fishers was completed in Aru and Merauke. Furthermore, community-based surveillance assessment, PokWasMas was established in 4 villages (2 each in Aru and Merauke)

The project coordinated with the provincial government of Maluku and Papua on fishing vessel registration under provincial permit (< 30 GT) in Merauke and Aru districts. Data obtained from the above activities will be used for the EAFM plan and the Fisheries Improvement Projects (FIP) for baseline or indicator assessment.

In Timor-Leste, training on IUU Fishing Vessel Identification Method and other surveillance measure and safety at sea was conducted in 2021 in 4 municipalities (Viqueque, Lautem, Manatuto, and Manufahi) with the aim to promote community-based surveillance measures to local fishers.

ATSEA-2 signed a Letter of Agreement with the MAF for implementation of a livelihoods programme for coastal communities adjacent to Nino Konis Santana National Park. The implementation is scheduled for June-September 2022 and will focus on installation and use of fish aggregating devices (rumpons) for improved effectiveness and efficiency of fishing and enhanced economic viability of the beneficiary fishers. The programme is expected to benefit fishers’ groups in two villages.

In PNG, a draft Fore-Coast AFM Plan was completed and issued for comments in May 2022.

### **Summary assessment of Outcome 2.1:**

The ATSEA-2 support for EAFM and RBM approaches under this outcome proves to be very important for further development of fisheries management throughout the ATS region, in particular as the two approaches focus on the needs and opportunities associated with small-scale fisheries. The case studies conducted have shown that if empowered, communities are able to improve the performance of their fisheries by adopting the proposed approaches. This work also resulted in proposals for regional-level actions for further advancement and harmonisation of relevant national frameworks for scaling-up RBM in the region.

Gender assessments were done to see how GESI can be mainstreamed as part of EAFM implementation as well as in providing alternative livelihood trainings to women in fishing communities. Furthermore, the study on FAO GRI has contributed to understanding the challenges faced by the ATS countries in

participation in GRI and provided recommendations for consideration of the ATS countries and FAO for strengthened participation in the GRI.

In Indonesia, the project assisted with profiling on snapper and barramundi fishing vessels and shrimp gears. Some information on vessels and gears were identified as part of EAFM assessment, however, it should be noted that there are three kinds of permit for fleet size in Indonesia and the ProDoc's indicator is not specific on the vessel scale<sup>9</sup>. The project will continue to coordinate with the provincial governments of Maluku and Papua on monitoring of registered vessels.

Nevertheless, there is not enough data available for assessment of progress towards the EOP targets for Indicator 14. The project has initiated assessments to extract data and conduct further analysis.

Based on the above findings, the progress towards achievement of the end-of-project targets for Outcome 2.1 is rated **Moderately Satisfactory (MS)**.

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<sup>9</sup> Fishing vessels under 10 GT are categorized as small scale and are not required to register, registration/licensing of fishing vessels of 10-30GT are subject to the Provincial Licensing System, and fishing vessels of 30GT and above are subject to the National Licensing System.

**Table 10: Progress Towards Results Matrix for Outcome 2.2 (Achievement of Outcome-Level Indicators against End-of-Project Targets)**

Project Strategy Indicators	Outcome 2.2: Reduced marine pollution improves ecosystem health in coastal/ marine hotspots in the Arafura and Timor Seas	Mid-Term Level and assessment	Achievement Rating	Justification for the rating	Remaining Barriers
15. Strengthened oil spill response systems and capacities	Baseline Oil and gas development is expanding in the ATS region, but local communities lack awareness and capacity to respond to marine pollution incidents	End-of-Project Targets Oil spill early response systems and procedures are included in the ICM plans of Rote Ndao in Indonesia and Municipio Manatuto in Timor-Leste	MS	Refer to the text below the table	NONE

Green: Completed indicator shows successful achievements	Yellow: Indicator shows expected completion by the EOP	Red: Indicator shows poor achievement – unlikely to be completed by project closure
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Output 2.2.1: Enhanced data and information regarding the sources and sinks of contaminants in the ATS; pollution hotspots identified; appropriate controls of point and non-point sources of pollution-initiated oil spill early warning systems and capacities strengthened

At the regional level, the ATSEA-2 RPMU held a series of coordination meetings with the Oil Spill Response Limited (OSRL) from Singapore that led to a review of the Regional Marine Pollution Hotspot Assessment Report focusing on aspects related to oil spill preparedness and response and sharing of contents of OSRL through quarterly online seminars in 2022 and case studies related to oil spill preparedness and response. As planned exchange visits were not possible due to COVID-19 travel restrictions, several virtual learning exchanges were organized as an alternative activity in 2020-2021. In 2022, a regional exchange on oil spill preparedness and response will be facilitated by OSRL for representatives from ATSEA-2 member countries in Q3.

A regional webinar on Marine and Land-based Pollution in the ATS Region, conducted on 27 May 2021 in on-line mode, included presentation of the findings and recommendations from the Regional Marine and Land-based Pollution Hotspot Analysis.

Furthermore, ATSEA-2 commissioned preparation of a comprehensive report on Assessment of Marine and Land-based Pollution in the ATS Region which was completed in July 2021. The assessment highlighted oil spill and marine debris as the major issues in the ATS region due to high presence of oil rigs and intensive fishing producing derelict fishing gears. It recommended to develop a regional collaborative platform on oil spill preparedness and response in the ATS region and establish a regional marine debris monitoring programme.

Training on oil spill modelling for Marine Pollution Task Force was conducted in May 2022 with involvement of 26 participants. In 2022, ATSEA-2 and OSRL agreed to jointly conduct quarterly webinars on oil spill preparedness and response. Up to the MTR stage, two webinars have already been completed with 85 participants from within and outside the ATS region. In the 3rd quarter of 2022, OSRL will also facilitate the regional exchange to be conducted in Singapore, wherein ATS selected participants will be supported by the ATSEA-2 project.

In Indonesia, a 3-week ToT programme on marine pollution survey was organised in March 2021. A field survey was conducted in 12 villages from 7 sub-districts of Rote Ndao Regency and collected latest data and information related to land and sea pollution. Based on the survey results, a report on Marine and Land-based Pollution Assessment on the Southern Coast of Rote Ndao Regency was produced in July 2021. The report identified high risk of oil spill due to proximity to a number of oil rig platforms at sea and additional concerns of marine debris pollution and land-based pollution from animal husbandry. Furthermore, the project supported establishment of a Marine Pollution Task Force and development of its action plan. Women's groups have also been engaged in the conduct of pollution surveys and assessments.

The MTR field assessment found that the Marine Pollution Working Group (Pokja) has not fully accommodated several institutions who have power and interests in this matter, in particular there was limited or no representation of local communities. Also, not all members are present in its meetings and individuals representing the member institutions change. Furthermore, there is no information on measured parameters of responses performed by local communities to marine pollution incidents. It was noted, however, that the early warning system and draft revolving fund is targeted in early July of 2022. The field assessment found that local communities still have lack of information and knowledge related to the oil spill response and the developed action plan.

In Timor-Leste, Marine Pollution Hotspot Analysis on the Southern Coast was finalized in 2021. The study summarizes recent developments in waste reduction and management in Timor-Leste and outlines gaps in legislation and enforcement. It also pinpoints the south coast of Timor-Leste as the area most vulnerable to oil spills and hotspots for discarded fishing equipment.

A community workshop (with 47 participants) led by University of Timor-Leste (UNTL) was organized in August 2021 regarding the management of point and non-point source pollution in the Manatuto municipality. The completed ICM Plan for the municipality includes result from the community workshop related to management of point and non-point sources of pollution and proposed actions related to waste management.

A concept note on organisation of a six-day training on oil spill preparedness in Betanu and Suai municipalities was developed and shared with the Ministry of Petroleum. The National Agency of Mineral and Petroleum agreed to facilitate the training for the two municipalities in July 2022.

#### **Summary assessment of Outcome 2.2:**

The project successfully completed a number of baseline studies and capacity building events on oil spill response and marine pollution assessment for delivery of the single Output 2.2.1. The remaining part is to transfer the results for inclusion of oil spill response systems in the ICM plans for the two target areas.

Based on the above findings, the progress towards achievement of the end-of-project targets for Outcome 2.2 is rated **Moderately Satisfactory (S)**.

**Table 11: Progress Towards Results Matrix for Outcome 2.3 (Achievement of Outcome-Level Indicators against End-of-Project Targets)**

Project Strategy	Outcome 2.3: Coastal and marine biodiversity conserved through protection of habitat and species					
Indicators	Baseline	End-of-Project Targets	Mid-Term Level and assessment	Achievement Rating	Justification for the rating	Remaining Barriers
16. Protected area management effectiveness score	Indonesia: Southeast Aru MPA METT: 39 Timor-Leste: NKS NP METT: 24	Indonesia: Southeast Aru MPA METT: 92 Timor-Leste: NKS NP METT: 50 1 (marine turtles)	Regional profile of ecosystem assets and connectivity and an evaluation of pressures (2020) Valuation of Ecosystem Services in the ATS Region Database and Information Management System (DIMS) Training Regional and National Consultations Regarding the Draft MPA Network Design and Sea Turtle Regional Action Plan (2021) Regional MPA Network Design and Roadmap for the Establishment of New MPAs in the ATS endorsed by 4 ATS countries Integration of ATSEA-2 data in the SEAKnowledgeBank (SEAKB) of PEMSEA and with CT ATLAS of Coral Triangle ongoing <u>Indonesia:</u> Atlas of Arafura and Timor Seas MPA Priority in Arafura and Timor Seas Assessment of Mangrove Ecosystem Economic Value at Kolepom Merauke Regency Habitat And Ecosystem Status in ATS ToT for field survey on habitat status in Aru Tenggara and Kolepom Economic Valuation Assessment for Kolepom completed Biophysical Monitoring of Marine Resources in Aru Tenggara Islands MPA completed Participatory coral reef ecosystem restoration exercises conducted in 2 villages of Rote Ndao (Oeseli & Boa) Assessment of Coastal Ecosystem Economic Value in Southeast Aru developed Establishment of Kolepom island as new MPA Kolepom MPA establishment roadmap and Kolepom MPA conservation parameters developed Zoning Plan for Kolepom developed Analysis for re-zonation of Aru MPA completed <u>Timor-Leste:</u> Public awareness campaign on establishment and management of MPAs for Manufahi Draft socio-economic, biophysical, and financing plan for Manufahi and Nino Konis Santana MPAs	S	Refer to the text below the table	Assessment and agreement at country level on realistic EOP for METT score (particularly in Indonesia) need to be undertaken. Related to establishment of new MPAs and target coverage, current information on ha coverage is below end of project target. Further clarification is needed (particularly from Timor-Leste) on government policy related to MPA establishments and coverage.
17. Number of threatened species	0	1 (marine turtles)	Analysis of Threatened, Charismatic and Migratory Species distribution in the ATS region completed in 2020			

under enhanced protection				Sea Turtle Status report completed RPOA for Protection of Sea Turtles in ATS region endorsed by the 4 ATS countries Sea Turtle Expert Workshop conducted (April 2022) and was attended by 36 sea turtle experts from the 4 ATS countries			
Green: Completed indicator shows successful achievements	Yellow: Indicator shows expected completion by the EOP	Red: Indicator shows poor achievement – unlikely to be completed by project closure					

Output 2.3.1: Updated information and database on coral, mangrove, and seagrass beds in the ATS, supported by ecosystem valuation studies; priority conservation areas identified in Indonesia and Timor-Leste

At the regional level, a report on Regional Profile on Ecosystem Assets and Connectivity, Ecosystem Valuation and Final MPA Network Design was completed in December 2020 and June 2021 respectively with proposed roadmap towards establishment of new MPAs. The report puts the estimated total economic value of the ATS region with highest contributions from ecotourism and service provision including fisheries, wood, and aquaculture. The report also highlighted that value of some ecosystem services cannot be estimated in monetary terms as they do not have specific market and suggested more research is conducted to fill data gaps in sites where the data is lacking.

The work on economic valuation and MPA network design was supported with a desktop review that consisted of data collection, mapping of coastal habitats, and analysis of threatened species, and their distribution in ATS. The design of the MPA network builds on existing MPAs and marine spatial plans in each country and includes total area of 300,873 km<sup>2</sup>, comprising 93 existing and proposed MPAs covering 271,406 km<sup>2</sup>, and 18 Areas of Interest covering 29,467 km<sup>2</sup>. The final draft MPA network design and a roadmap for its implementation were presented at the 3<sup>rd</sup> RSC Meeting in December 2021. Australia, Papua New Guinea, and Timor-Leste endorsed the document at the 3<sup>rd</sup> RSC while Indonesia following further review and consultations endorsed the proposed design through a letter in June 2022. The roadmap for the ATS MPA network will be considered for the SAP update.

In March 2021, national and regional consultations were conducted on-line with the objectives to validate or refine spatial data on coastal and marine resources, to discuss the MPA network design draft document and the proposed roadmap for the establishment of new MPAs in the ATS countries, and to assess the draft regional sea turtle action plan. Almost 200 participants of the consultations from the ATS countries included representatives from central and local governments, universities, non-governmental organisations (NGOs), donors, women's groups and the private sector.

The key findings and proposed MPA network design for the ATS region were presented at the 2021 East Asian Seas Congress Collab, entitled 'Managing Networks and Transboundary Cooperation on Marine Protected Areas (MPAs) in the ASEAN Region', on 21 October 2021 that was jointly convened by PEMSEA and the ASEAN Centre for Biodiversity. ATSEA-2 also delivered a presentation entitled "Designing a Resilient MPA Network in the Arafura Timor Seas" at the CTI CFF Virtual Learning Exchange in November 2021.

Furthermore, a 2-day virtual training on Database and Information Management System (DIMS) Training was conducted in April 2021. Total 17 participants from the 4 ATS countries were trained on use of various DIMS tools and conduct of participatory mapping. An online learning system was also developed for DIMS and can be accessed at <https://www.dimstraining.com/>.

In Indonesia, the draft Atlas of Habitat and Ecosystem Status and Biodiversity was developed in 2020 and further updated through collection and validation of additional data in Merauke, Rote Ndao, and Aru districts. With support from a local university, biophysical monitoring, and testing of the SOP for marine resources monitoring in the Aru MPA was conducted on late 2020. Results of expedition were shared through a virtual seminar in December 2020.

With regard to the effectiveness of the protected area management, there is no information on METT score for the targeted Southeast Aru MPA. A new scoring system has been introduced by MMAF, the

EVIKA system<sup>10</sup> (formerly EKKP3K). There is an updated score measured using EKKP3K or EVIKA with a total of 46.21%. However, further assessment will be needed to assess rating using METT system. Scientific justifications drafted in a report with approval from RSC, NPB, and known by donors should be staged. The MTR considers that the end-of-project target METT value (METT score 92 from the baseline of 39) appears to be too high and therefore not attainable considering the METT scores of other more mature MPAs in Indonesia<sup>11</sup>, and it can be additional consideration for revision of the target.

In Timor-Leste, stakeholder consultations and data collection were conducted in Manufahi and NKS to review the status of NKS MPA management plan in June 2022. Further stakeholder consultations followed in Manufahi/Same and Com villages as well as in Valu/Jaco Island in Tutuala.

Output 2.3.2: New MPAs designated in Indonesia and Timor-Leste; covering about 645,000 ha in area, including approximately 220,000 ha of mangrove ecosystems; with corresponding management plans prepared and implemented; and regional ATS MPA network designed

The project's assistance to the newly established MPA on the Kolepom Island in Papua, Indonesia<sup>12</sup> started in May 2020 with an online ToT session for conducting a field survey on the ecosystem and habitat status, data collection with an Android smartphone application and participatory mapping.

Following the training, surveys were conducted on biodiversity, consumption, and fisheries business in Kolepom, as well as fisheries consumption and market chain analysis in Aru and Merauke, including mangrove economic valuation. The work also included awareness raising to communities and local government related to the MPA establishment in Kolepom. The data from the surveys were taken into consideration for a zonation analysis in Kolepom that was still in progress at the MTR.

The project was expected to undertake a feasibility study for establishing ecotourism opportunities in Merauke with a focus on the Kolepom MPA. Assessment by the NCU Indonesia suggested that this activity will not be feasible as the location is too remote with limited daily transportation and no facilities in place.

The work in Timor-Leste is based on a contract given to the Coral Training Centre (CTC) and focuses on establishment of a new MPAs in Betano-Klakuk (Municipality of Manufahi) and Improving management effectiveness plan for Nino Konis Santana (NKS) MPA (Municipality of Lautem). In September 2021, the CTC conducted a public awareness campaign with the main objective to raise awareness amongst coastal communities in Manufahi about significance of the MPAs for sustainable marine resources management. During the campaign, the organisers gathered baseline information from the coastal communities and fishermen for the development and establishment of MPA in Manufahi.

In March 2022, the CTC conducted a Marine Rapid Assessment (MRA) including coastal ecological and socio-economic surveys were conducted in Manufahi coastal areas that resulted in preparation of a draft socio-economic, biophysical, and financing plan for Manufahi and NKS MPAs. The plan was submitted for consideration of the MAF and the two municipalities in June 2022. A draft map of the outer MPA's boundary and no take zone has also been produced and was under review. It should be noted that the recent assessment has shown that the coverage is only at 20,906ha (with 2 nautical miles

<sup>10</sup> The official use of EVIKA was stated in the Decree of the Director General of Marine Spatial Planning (PRL) No. 28 of 2020. EVIKA is Indonesia's national standard which is used under the Ministry of Marine Affairs and Fisheries (MMAF). Indonesia's Ministry of Environment and Forestry (MOEF) who is managing 7 National Parks uses the METT tool.

<sup>11</sup> METT score for Indonesian MPAs is accessible here: <http://mett.ksdae.menlhk.go.id/>

<sup>12</sup> Governor Decree Papua (No.188.4/295/2019) signed on 26 September 2019 and ratified on 30 December 2020 established the Kolepom island as a new MPA covering 353,287 ha. This coverage is confirmed via the completed Marine Spatial Planning and Zonation Plan.

outer boundary), which is lower than the ProDoc target of 90,000ha<sup>13</sup>. Further discussion will be undertaken in Timor-Leste on the new MPA coverage.

#### Output 2.3.3: Endangered marine turtles protected through an agreed regional action plan

In 2021, the project supported compilation of a Sea Turtle Status report that contains consolidated information on distribution, migration, genetic structure, and population trends for six sea turtle species found in the region, on the various threats they face, and on existing legal infrastructure supporting their protection and conservation. The report provided a foundation for preparation of a Regional Sea Turtle Action Plan for the ATS Region that was presented during national and regional Consultations conducted in the four ATS countries and was subject to further in-country reviews.

With the inputs from the national and regional consultations, the Regional Sea Turtle Action Plan was further refined and presented to the 3<sup>rd</sup> RSC Meeting in December 2021. Similar to the MPA network design report, Australia, Papua New Guinea, and Timor-Leste endorsed the document at the RSC meeting while Indonesia decided to conduct further in-country review and consultations and endorsed the document in June 2022. The Regional MPA Network Design with a proposed roadmap for consideration in the updated SAP spreads over a total area of 300,873 km<sup>2</sup>, consisting of 92 existing and proposed MPAs covering 271,406 km<sup>2</sup>, and 18 Areas of Interest (AOI) covering 29,467 km<sup>2</sup>, including 13 Areas of Interests (AOIs) from existing plans and five proposed AOIs.

In April 2022, a 1-day Sea Turtle Expert Workshop conducted with 36 experts from the 4 ATS countries. The workshop provided additional insights and expert inputs for finalization of the previously developed Status Report and the RPOA for Sea Turtle Protection.

The Project Document contains a pilot activity in Indonesia for conduct of a feasibility study on alternate livelihood tourism opportunities for communities in Aru Islands, Rote, and Merauke and possibly other sites based around sea turtles. The assessment of collected data suggests that the target sites at Kolepom, Rote, and Merauke do not have significant turtle presence, while the turtle nesting beaches in Aru are within the MPA's no take zone with difficult access and lack of facilities. Therefore, it would be near impossible to develop tourism opportunities based around turtles in the Indonesian field sites.

In Timor-Leste, the project supported a sea turtle release activity that led to establishment of a community group in Nino Konis Santana MPA that will participate in the target pilot project on improving community-based turtle conservation and ecotourism opportunities.

In August 2021, the MAF in collaboration with the ATSEA-2 project organized release of 450 sea turtle hatchlings at Com Village in the Nino Konis Santana National Park and raised awareness to 71 community members (45 men and 26 women) as one of the steps towards marine turtle conservation and promotion of community-based ecotourism. Consultations were also held with the community/stakeholders in Com, Lautem Municipality who pointed out a need for a sea turtle egg holding tank to facilitate the work by the women conservation groups towards protection of sea turtles.

ToRs towards a call for proposals under a low value grants programme targeting local conservation organizations to undertake activities related to sea turtles' conservation were developed following the priorities pointed out by the conservation groups during consultations with the MAF.

#### **Summary assessment of Outcome 2.3:**

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<sup>13</sup> The consultant who conducted the assessment limited the designated area coverage to 2 nautical miles (nm) from the coastal line to ensure more efficient management plan implementation and monitoring. MAF further confirmed that the coverage of up to 2nm from the coastal line is the maximum allowable and is consistent with other MPAs in the country.

The project supported several studies on ecosystem valuation and contributed to the already designated MPA in Indonesia and to identification of a new MPA in Timor-Leste. As for the protected area management effectiveness, the EOP targets for the South-East Aru MPA appear to be too ambitious and thus not attainable. Moreover, the MTR found several issues with Indicator 16 and its target due to different scoring system used in Indonesia. The output on the MPA Network Design and the regional action plan for sea turtles has been practically delivered as it was endorsed by all 4 ATS countries. Women's groups were also part of the consultations done as part of new MPA establishments and alternative livelihoods are being pursued with engagement of women to reduce turtle bycatch and harvest.

Based on the above findings, the progress towards achievement of the end-of-project targets for Outcome 2.3 is rated **Satisfactory (S)**.

**Table 12: Progress Towards Results Matrix for Outcome 2.4 (Achievement of Objective-Level Indicators against End-of-Project Targets)**

Project Strategy		Outcome 2.4: Integrated Coastal Management, incorporating climate change adaptation considerations, implemented at the local level towards more sustainable use and conservation of ecosystem goods and services				
Indicators	Baseline	End-of-Project Targets	Mid-Term Level and assessment	Achievement Rating	Justification for the rating	Remaining Barriers
18. Adoption and implementation of ICM plans and reforms to protect coastal zones in LMEs – Number of beneficiary countries adopting and applying ICM within ATS region	No coastal areas are currently under ICM; Timor-Leste is currently preparing ICM plans with support of PEMSEA	2 countries	<p><u>Indonesia:</u> Marine Pollution Task Force in NTT Draft 3-Year Action Plan on Management of Marine Pollution Ecological &amp; socio-economic assessments related to ICM concept development for Rote Ndao conducted and fed into the ICM Policy Framework. ICM Policy Framework/Action Plan finalized with 4 potential pilot sites identified Advocacy activities related to the ICM Action Plan adoption into village regulations (June 2022) Gender assessment for Rote Ndao completed (2021) Community seaweed business group facilitated and trained Community-based coral reef and mangrove habitat restoration in 4 villages</p> <p><u>Timor-Leste:</u> Baseline assessment report on climate change vulnerability and adaptation for two villages Timor-Leste Red Snapper Survey Marine and Land-Based Pollution Study on the Southern Coast of TL ICM Sub Task Team for Barique (sub-district of Manatuto) established through an Official Order issued by the Municipal Administrator of Manatuto Municipality (2020) 5-year ICM plan for Barique, Manatuto Municipality endorsed through a Declaration of Commitment (January 2022) Various trainings conducted to support alternative livelihoods (2021-2022)</p>	S	Refer to the text below the table	NONE
19. Number of women and men supported with alternative livelihoods that contribute to improved management of natural resources and increased resilience of	0	Total: 1500, including 850 women and 650 men	Total 397 direct beneficiaries capacitated on alternative livelihoods (121 women, 167 men, and 109 not disaggregated data)		Refer to the text below the table	

Project Strategy		Outcome 2.4: Integrated Coastal Management, incorporating climate change adaptation considerations, implemented at the local level towards more sustainable use and conservation of ecosystem goods and services				
Indicators	Baseline	End-of-Project Targets	Mid-Term Level and assessment	Achievement Rating	Justification for the rating	Remaining Barriers
their local communities with respect to the impacts of climate change						
Green: Completed indicator shows successful achievements		Yellow: indicator shows expected completion by the EOP		Red: indicator shows poor achievement – unlikely to be completed by project closure		

Output 2.4.1: Integrated coastal management plans (ICM) that support SAP/NAP implementation developed and implemented through formulation and enactment of local regulations

In Indonesia, following the establishment of a Marine Pollution Task Force for the East Nusa Tenggara province (NTT) in 2021, an Action Plan was drafted for a 3-year period covering 6 targets, namely i) strengthening data information, ii) strengthening information reporting mechanisms, iii) increase capacity, iv) increase community participation, v) strengthen regulation in East Nusa Tenggara, and vi) help facilitate networking and information sharing on marine pollution. Finalisation of the Plan was in progress during MTR.

ICM Kick-off meetings were conducted on-site and online with participation of the Reef Check Indonesia Foundation, the FAO livelihood project, and the Balai National Water Conservation Area Kupang (BKKPN). Ecological & socio-economic assessments as well as gender assessment related to the ICM concept development was conducted for Rote Ndao and supported an initiative in Rote Ndao on participatory coral reef ecosystem restoration, involving 109 participants. Also, gender assessment for Rote Ndao was completed and shared at the BBRSE national webinar. In June 2022, further strategic discussions including a training workshop on gender mainstreaming were conducted with 17 participants from the NTT provincial government.

As part of ICM initiatives, the project facilitated community seaweed business group (Minano Community Group) in Oeseli village to market their seaweed soap product to local hotels and linked the group with a provincial-level artisan business networking board (Dekranasda NTT), while also supporting improvement of the product quality and the group's business management skills. As of June 2022, the community group is able to produce 350 soaps/month (worth of about 4 million IDR/month).

As part of ICM and EbA measures implementation, the project supported capacity building and field implementation of coral reef and mangrove habitat restoration with involvement of more than 200 villagers. This activity resulted in construction and deployment of 14 “fishdomes” and 100 “spiderwebs” structures in Oeseli and Bo'a, covering an area of 250 m<sup>2</sup>. In Landu Tii and Daiama, about 1,000 mangrove seedlings were planted, covering an area of 750 m<sup>2</sup>. These efforts also include community monitoring of the results of the habitat restoration.

In Timor-Leste, a baseline assessment report was compiled on climate change vulnerability and adaptation options, including ecological and socio-economic conditions at two coastal villages (Aubeon and Uma Boco in sub-district of Barique, Manatuto Municipality). The report describes the principal issues and challenges in sustaining various economic activities of coastal communities in the two villages and provides recommendations for organising marine and coastal environmental management and conservation programmes.

A report on Marine and Land-Based Pollution Study on the Southern Coast of Timor-Leste was issued in September 2021. The report identifies sources and sinks of point and non-point source pollution in four coastal municipalities on the southern coast of Timor-Leste and proposes strategies to improve the quality of life in the coastal communities through measures for management of marine coastal ecosystems.

An assessment of the stock and value chain of the red snapper fishery was conducted in four municipalities of Viqueque, Manatuto, Manufahi and Lautem. Based on the results, mapping of fishing grounds was undertaken with GPS for collection of point data of fishing locations and location of critical fishery habitats.

In collaboration with the MAF and the Ministry of Cooperatives, the project initiated a series of training sessions for establishment of women's cooperatives in several villages in Manatuto. In April 2022, a

training for 43 women participants aimed at improving the managerial, organisational, and technical capabilities of women fishers. In June 2022, a training in financial management and accountability for a women-led cooperative was conducted by the State Secretariat of Cooperatives (SECOOP) with support from the project. These trainings contribute to ICM piloting in the area and implementation and sustainability of activities.

The ICM plan for Barique, Manatuto Municipality, for 2022-2027 was finalised with the ATSEA-2 support and validated at a meeting in early January 2022. The Plan outlines good practices for sustainable management of marine resources, including mangrove restoration and riverbank stabilisation, as well as suggestions for alternative livelihoods to ensure protection of habitats for key marine biodiversity species. In an integrated way it addresses the governance of human activities affecting the sustainable use of goods and services generated by the coastal and marine ecosystems and helps the local governments of Barique and Manatuto to achieve social and economic development targets with regards to pollution reduction, waste management, and food security.

The above activities were supported by trainings to capacitate the target communities on alternative livelihoods. At the MTR, the total number of capacitated individuals was 397 (243 in Indonesia and 154 in Timor-Leste). Following these trainings, the project will continue to monitor other beneficiaries who will benefit as a result of application of these trainings and alternative livelihood field activities.

Output 2.4.2: Climate change adaptation incorporated in ICM plans and demonstrations implemented for one at-risk coastal site in Timor-Leste

In 2020, the project supported baseline assessment of socioeconomic and ecological conditions and climate change vulnerability. The report from the assessment identified lack of information exchange on how to manage and develop suitable adaptation measures as the principal barrier preventing adaptation towards climate change and related risks. In addition, it highlighted limited attention of the local governments to climate change adaptation including lack of investment on climate change issues from development partners, NGOs or CSOs. The report provides inputs to the development of the ICM Plan for Barique that was endorsed in January 2022.

In March 2021, a consultation workshop was held with the local authorities, local ICM task members, and local community in Natarbora/Barique to facilitate engagement of coastal peoples and community leaders for collection of data and information related to marine and land-based pollution' impacts on fishery, tourism, livestock, agriculture, ecosystem, and goods services.

Output 2.4.3: Climate Change adaptation, with a particular focus on ecosystem-based adaptation, incorporated in ICM plans and demonstrations implemented for two at-risk coastal sites in Indonesia

Ecological and socio-economic assessments related to ICM concept development was completed together with while Indonesia a complementary report focusing on gender assessments in Rote Ndao. As a support to alternative livelihoods, improvement of natural resources management, and strengthening of climate change adaptive capacity in the target community through access to clean water, the project work plan envisaged conduct of a technical training for maintenance and repair of an existing solar-powered desalination unit on the Nusa Manuk Island, Rote Barat Daya sub-district.

During a preliminary survey the solar-powered water desalination facility was found broken. Reportedly, the facility went out of service just 3 months after its installation in 2013 as the local community did not have the necessary maintenance capacity. In cooperation with the Fisheries Department of Rote Ndao, the Indonesia PMU is mapping status of other solar powered water desalination facilities. It seems that until a technical partner is identified to support the communities, it is not possible to implement the desalination-related activities under ATSEA-2.

**Summary assessment of Outcome 2.4:**

The project supported preparation of several documents to support the development of ICM for two coastal areas. The official endorsement of the 5-year ICM plan for Barique is an important milestone for development of similar plans in other coastal areas of the ATS region. and policy frameworks were still under development at the MTR.

Based on the above findings, the progress towards achievement of the end-of-project targets for Outcome 2.4 is rated **Satisfactory (S)**.

**Table 13: Progress Towards Results Matrix for Outcome 3.1 (Achievement of Outcome-Level Indicators against End-of-Project Targets)**

Project Strategy Indicators	Baseline	End-of-Project Targets	Outcome 3.1: Improved Monitoring of the status of the ATS and dissemination of information	Achievement Rating	Justification for the rating	Remaining Barriers
20. Mechanism in place to produce a monitoring report on stress reduction measures	There are some indicators included in the ATS SAP, but there is no unified	Monitoring mechanisms in place for some of the project related indicators	Framework document for development of ATS SAP monitoring system (2020) Draft Theory of Change for ATSEA-2	HS	Refer to the text below the table	NONE
21. Dissemination of project results and ATS information	Since the end of the first phase of the ATSEA program, there has been limited dissemination of SAP/NAP implementation	Participation in one GEF IW Conference; submission of at least one Results and one Experience Note; and integration of ATS knowledge management onto the existing CTI knowledge management platform	Stakeholder Engagement and Communications Plan (2020 and updated in 2021) Engagement in more than 30 events Various publications and materials published mainly through ATSEA-2 website ( <a href="#">ATSEA-2 Website</a> ), <a href="#">videos</a> ( <a href="#">ATSEA-2 YouTube videos</a> ), and various social media platforms ( <a href="#">ATSEA-2 Twitter</a> , <a href="#">ATSEA-2 Facebook</a> ; <a href="#">ATSEA-2 Instagram</a> ) <a href="#">Analytics on communication channels collected (as of mid-2022)</a>		Refer to the text below the table	

Green: Completed indicator Shows successful achievements	Yellow: Indicator shows expected completion by the EOP	Red: Indicator shows poor achievement - unlikely to be completed by project closure
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Output 3.1.1: A set of holistic (SMART) indicators established by applying the GEF Process, Stress Reduction and Environmental/Socioeconomic Status framework to monitor ocean health, SAP and NAP implementation; indicators used for progress evaluation, SAP and TDA updating and priority setting

The RPMU prepared a framework document for development of a holistic and SMART ATS SAP monitoring system. The latter system should provide for improved monitoring of the ATS region and widespread reporting and dissemination of knowledge with the aim to reach out to wider audience for upscaling of activities and replication of good practices. The document was presented to the 2<sup>nd</sup> RSC Meeting in November 2020.

After a review and discussion, participants of the 2<sup>nd</sup> RSC recommended that a Theory of Change (ToC) to be prepared to provide a framework and causal links on the different aspects of the SAP and the ATSEA-2 project.

The project appointed an international consultant for preparation of the ToC. Development of the latter considered key points raised from the RGA report and related consultations, as well as key results from other thematic assessments conducted under the project. The consultant presented the final ToC document including proposed indicators for monitoring SAP targets to the 3<sup>rd</sup> RSC meeting in December 2021. The RSC members noted the usefulness of the ToC for planning and implementation future initiatives of ATSEA-2, in particular for updating of the TDA and SAP, and for development of the monitoring system. They also requested the RPMU and the consultant to facilitate a separate more extensive presentation to country members subject to further request by the ATS countries. Development of the ATS SAP Monitoring System is scheduled to commence from Q3 of 2022.

Output 3.1.2: Improved dissemination of information and best practices through formulation and implementation of a communications strategy, including but not limited to an enhanced ATSEA project website, bulletins, publications and videos in English and national languages, and contributions to IW:LEARN activities allocating 1% of the project grant

In 2020, the project supported elaboration of a Stakeholder Engagement and Communications Plan building on the preliminary stakeholder assessment conducted during the project design phase. The assessment included the identification of various types of stakeholders, key issues that matter to them, capacity or training needs, and key communication and learning platforms that would work best in the varying situations of countries in the ATS region. Further analyses conducted in 2021 resulted in better understanding of needs/priorities of different stakeholders in the region and offered opportunities for a more effective stakeholder engagement in various ATSEA-activities. The updated Plan will be regularly assessed in order to ensure its effective implementation and enhance ATSEA-2 compliance with UNDP's updated social and environmental standards.

Simultaneously with the stakeholder analysis, ATSEA-2 developed and launched its online communication platforms, namely the ATSEA-2 project website and social media sites. The official ATSEA-2 project website ([www.atsea-program.com](http://www.atsea-program.com)) was formally launched in June 2020 and is available in English, Bahasa and Tetun languages. The website was further revamped in 2021 to enhance the technical and communication standards of its contents. It serves as the main platform for dissemination of information and knowledge products generated by the project and its implementing partners. From June 2020 up to March 2022, the website recorded 20, 623 visitors who performed a total of 91,795 pageviews. Further website enhancements were still on-going during the MTR, including activation of google tag analysis, embedding of an e-book layout from FlipHTML5.com and preparation for link to the PEMSEA's SEA Knowledge Bank.

Complementary to the website, the project also activated its presence on various social media platforms (YouTube, Twitter, Facebook, Instagram). Regular postings made via the social media platforms focus on promotions of various ATSEA-2 events. The project also keeps detailed statistics about the number of followers and engagements. The collected analytics show gradual increase in followers and subscribers to ATSEA-2 social media posts and platforms. As of June 2022, the numbers of recorded ATSEA-2 followers reached 1,915 (Facebook), 1,348 (Instagram) and 93 (Twitter) and 130 subscribers to the ATSEA-2 YouTube channel.

In 2019, the project produced 2 newsletters. Starting from Q2 of 2020, the project releases quarterly e-newsletters that can be downloaded in pdf format from the ATSEA-2 website. Total 10 newsletters have been released up to March 2022. Each newsletter contains a range of updates from the regional level and deliver stories from the project target communities in each ATS country. As of June 2022, total 16 (3 in 2020, 8 in 2021, and 5 in the 1<sup>st</sup> semester of 2022) ATSEA-2 articles featured in IW Learn Portfolio Bulletins.

As part of the information exchange between ATSEA-2 and similar other initiatives, the project engaged in total 34 events during the 2019-2022 period and co-hosted some events (mostly online) with various entities.

For further strengthening of the coverage of ATSEA-2 in the media, the project established partnership with Argo Asia for supporting the ATSEA-2 media relations through promotion of various activities, including ATSEA-2 side event for G20 on International Workshop on IUUF, celebration of the World Ocean Day, the World Sea Turtle Day, and the World Fisheries Day, as well as PR for launch of the ATS Biodiversity Atlas.

### **Summary assessment of Outcome 3.1:**

The project has produced a remarkable number of valuable studies and assessments and made many of the reports and studies available for downloading from the project website. Annual Project Progress Reports and quarterly Newsletters serve also as an important channel of information on the project progress and its achievements. However, there is a room for improvement of the structure of the project website to make it more user friendly and more effective for searching documents and other information. Moreover, the project has engaged in more than 30 knowledge exchange events. All these demonstrate a remarkable attitude of the project in the field of knowledge management.

Based on the above findings, the progress towards achievement of the end-of-project targets for Outcome 3.1 is rated **Highly Satisfactory (HS)**.

**Table 14: Progress Towards Results Matrix towards Project Objective (Achievement of Objective-Level Indicators against End-of-Project Targets)**

Objective: To enhance sustainable development of the ATS region to protect biodiversity and improve the quality of life of its inhabitants through conservation and sustainable management of marine-coastal ecosystems						
Project Strategy Indicators	Baseline	End-of-Project Targets	Mid-Term Level and assessment	Achievement Rating	Justification for the rating	Remaining Barriers
1. Number of women and men as direct beneficiaries of project activities	0	Cumulative total of direct beneficiaries: 55,000 women and 60,000 men	Total 49,695 individuals engaged (20,006 women, 27,260 men and 2,425 not-disaggregated (self-reported))	MS	Refer to the text below the table	Engagement and monitoring of “Direct” beneficiaries need to be further strategized to meet EOP
2. Globally over-exploited fisheries (by volume) moved to more sustainable levels	0	Up to 25% (by volume) for the ATS region, representing approximately 0.25% of global levels	Baseline data as reference on regional red snapper assessment No data available for assessments of progress		Refer to the text below the table	Further assessment and monitoring in identified areas (from baseline assessment report) where there is overexploitation of Red Snapper as targeted by the Project still to be conducted.
3. Landscapes and seascapes under improved biodiversity management	0	800,000 ha	<u>Indonesia:</u> Kolepom (newly designated MPA) 353,287 ha Southeast Aru (existing MPA) 114,000 ha <u>Timor-Leste:</u> Betano to Claluc (target new MPA) 20,906ha (limited to up to 2 nautical miles) Nino Konis Santana (existing MPA) 55,660 ha		Refer to the text below the table	Current ha coverage (particularly for new MPAs) below target EOP. Further clarification on government policy (particularly in Timor-Leste) on MPA establishments and coverage need to be undertaken.

Green: Completed indicator shows successful achievements	Yellow: indicator shows expected completion by the EOP	Red: indicator shows poor achievement – unlikely to be completed by project closure
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### Assessment of progress towards the Project Objective

According to the available project reports, the ATSEA-2 project activities targets 55,000 women and 60,000 men beneficiaries. By midterm period the number of women reached is at 20,006 (40% of target) and 27,260 men (55% of target), while a total of 2,425 were non-disaggregated data of beneficiaries who have benefited from various activities such as trainings, learning sessions, technical workshops, Focus Group Discussions (FGDs), stakeholder webinars, awareness building and community orientations. In total, 49,695 individuals have been engaged, that is about 43% of the EOP target for Indicator 1. The MTR team could not independently verify the self-reporting data. Also, data for assessment of progress under Indicator 2 was not available as only a baseline information was available and further relevant assessments on fisheries in the ATS region were still in progress at the MTR stage.

With regard to improved management of protected areas, the project has supported two already existing and one newly designated MPAs, with a fourth area targeted for future designation of MPA. However, the total area under project support falls short of the 800,000ha targeted for Indicator 3 and it would be desirable to adjust the EOP target. Latest assessment in Betano to Claluc show that the coverage is only 20,906 ha only (with 2 nautical miles outer boundary), hence lower than the ProDoc target of 90,000ha. However, further discussions are in progress in relation to the coverage as the initial assessment from the consultant in TL limited the scope to 2 nautical miles outer boundary to ensure more efficient management plan implementation and monitoring once the new MPA is established.

Based on the above, the progress towards the Project Objective is rated **Moderately Satisfactory (MS)**.

### **4.2.2 Remaining barriers to achieving the Project Objective**

At the ATSEA-2 project inception, the following barriers to sustainable management of the ATS were recognised and highlighted in the Project Document:

- Lack of a strong regional mechanism for collective regional action and transboundary management of the ATS
- Weak inter-sectoral coordination and law enforcement at national and local level
- Lack of access to environmental planning tools, technologies, and approaches for sound environmental management of the ATS
- Insufficient baseline data

During the first three years of implementation, ATSEA-2 has produced numerous reports and studies that signify the progress made on introduction and use of integrated approaches. By the same token, the project has also made a tangible contribution towards amendment of the baseline information in the form of collection of primary and secondary data and filling data gaps on the biophysical and socio-economic conditions in the ATS region, on valuation of the ATS ecosystems, and on the status of important habitats and marine species in several parts of the ATS region. The additional data are channelled for update of the transboundary diagnostic analysis (TDA) from the ATSEA first phase.

Despite some progress, less tangible results have been achieved in the respective areas of establishment of the RGM and intersectoral cooperation at the national and local level. Progress in several areas was hampered by the need to replace the planned in-person meetings of regional project stakeholders with on-line meetings due to COVID-19 travel and meeting restrictions.

The project implementation has shown difficulties of coordination and integration of many diverse partners and dealing with communities at different levels of development. The progress towards agreeing common approaches and sharing lessons slows down with the number of partners and the number of issues to be addressed. These challenges might have been underestimated at the project preparation stage, and the resources and leadership required to overcome them have never been fully realized.

It is the opinion of the MTR team that for the remaining period of the project, the implementation should focus on accelerated implementation of the governance part of the project and address not only the formation of the RGM and NIMC but also the financial part for implementation of the updated regional SAP and the RGM.

### **4.3 Project Implementation and Adaptive Management Arrangements**

This section of the MTR report provides assessment of seven components of the project implementation and adaptive management, namely management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation, management of risks, stakeholder engagement, as well as reporting and communications.

#### **4.3.1 Management arrangements**

The ATSEA-2 regional component and the PNG national component are being implemented under the NGO implementation modality. The Partnerships in Environmental Management for the Seas of East Asia (PEMSEA) Resource Facility (PRF) is the Implementing Partner for the regional component and the Papua New Guinea national component (through the National Fisheries Authority (NFA), based on the standard Project Cooperation Agreement signed between UNDP Indonesia and the PRF. A separate Memorandum of Agreement was also signed between PEMSEA and NFA in support of the implementing arrangements of the PNG component.

The national components for Indonesia and Timor-Leste are implemented through the standard UNDP National Implementation Modality (NIM) with UNDP CO support. The Implementing Partner for Indonesia is the Ministry of Marine Affairs and Fisheries (MMAF), and the Implementing Partner for Timor-Leste is the Ministry of Agriculture and Fisheries (MAF), according to the respective Standard Basic Assistance Agreements between UNDP and governments of Indonesia and Timor-Leste.

UNDP as the GEF Implementing Agency for the project provides the assurance and project cycle management services. As such, UNDP holds overall accountability and responsibility for the delivery of results. Working closely with MMAF of the Indonesia Government and MAF of the Timor-Leste Government, the UNDP Country Office (UNDP CO), UNDP also does the following:

- Ensures timely delivery of project results and achievement of the project objective,
- Oversees financial expenditures against project budgets and provides financial and audit services to the project including budget release and budget revision,
- Ensures that all activities including procurement and financial services are carried out in strict compliance with UNDP/GEF procedures,
- Ensures reporting to GEF in line with the GEF requirements and procedures,
- Facilitates project learning, exchange, and outreach within the GEF family,
- Organises the project Mid-term Review and Terminal Evaluation, and
- Triggers additional reviews and/or evaluations as necessary and in consultation with the project counterparts.

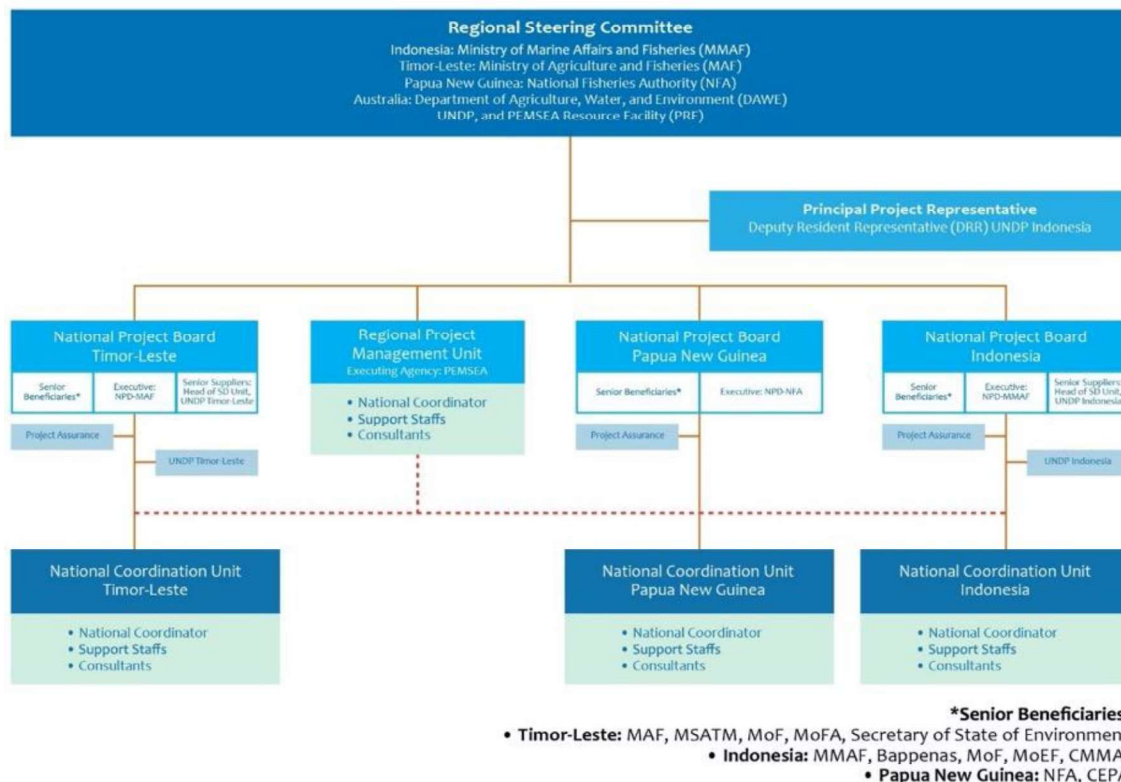
In addition to the above, UNDP also provides strategic oversight and additional quality assurance through the UNDP/GEF Regional Technical Advisor (RTA) based in the UNDP Bangkok Regional Hub. This oversight includes also ensuring due diligence of the project implementation with regards to UNDP's Social and Environmental Screening Procedure (SESP).

The project management and implementation structure is composed of the following elements:

- Principal Project Representative (PPR) – represented by UNDP Indonesia, responsible to GEF for channeling resources to executing agencies and in charge of overall project monitoring
- Regional Steering Committee (RSC) – serves as the overall project board and highest decision-making body for the project
- National Project Boards (NPBs) – established in the three beneficiary countries and support the national implementation of activities by overseeing the National Coordination Units
- Regional Project Management Unit (RPMU) – serving as interim Secretariat and managing day-to-day aspects of the project
- National Coordination Units (NCUs) – coordinating implementation of the project activities in the countries, and preparation of national technical and financial reports
- Implementing Partners: PEMSEA for the regional and PNG components, the Ministry of Maritime Affairs and Fisheries (MMAF) of Indonesia will be the implementing partner for the Indonesia national component, the Ministry of Agriculture and Fisheries (MAF) of Timor-Leste for the Timor-Leste national component.

The original implementation arrangements were reviewed during the 1<sup>st</sup> RSC meeting, and it was agreed to include relevant country institutions or agencies as part of the project organigram. The ATSEA-2 revised organogram was submitted to the 2<sup>nd</sup> RSC Meeting for approval. The organogram is on Display 2 below.

**Display 2:** Organization structure for ATSEA-2 implementation and management



The ATSEA-2 Regional Steering Committee (RSC) was established as the project's highest decision-making and guidance body to provide overall oversight of the project implementation, in particular review and approval of overall project annual work plans, budgets, and assessment of implementation progress. The RSC also serves as the interim Regional Coordination Committee (RCC) of the ATS region and acts as a vehicle in facilitating local to international networking and knowledge sharing.

The RSC members include representatives of the following entities:

- Ministry of Marine Affairs and Fisheries (MMAF) of Indonesia,
- Ministry of Agriculture and Fisheries (MAF) Timor-Leste
- National Fisheries Authority (NFA) Papua New Guinea
- Department of Agriculture, Water, and Environment (DAWE) Australia
- UNDP
- PEMSEA Resource Facility (PRF)
- Regional Project Management Unit (RPMU)<sup>14</sup>

The actual RSC membership is in line with the plans outlined in the Project Document. The overview of the Project Board meetings is in Box 3 below.

**Box 3: List of RSC meetings**

Date	Modality	Remark
19 November 2019	In-person	Inauguration meeting
18 August 2020	Hybrid <sup>15</sup>	Intersessional meeting
25 November 2020	Hybrid	Annual meeting
6-7 December 2021	Hybrid	Annual meeting

According to the Project Document, the expected frequency of the RSC meetings was one meeting per annum. This plan was maintained in the period 2019-2021 with one additional intersessional meeting<sup>16</sup> in 2020 with participation of three countries (Australia, Indonesia, and Timor-Leste) while representatives of PNG were not able to connect due to connection difficulties.

Based on the review of the minutes of all above mentioned meetings, the MTR team found that the RSC duly executed its main functions through provision of senior level guidance to the project, review of the implementation progress, as well as authorization of the use of the project resources through approval of annual work and financial plans. Through its membership, the RSC also ensured essential interactions and communication with the key project stakeholders.

National Project Boards were established in each of the three beneficiary countries to support implementation of the national level activities through approval and review of national project work plans and progress reports, and support strategic decisions required to facilitate implementation of the project activities at the level of the beneficiary countries. The national project boards have direct lines of communication with the RSC (with NPDs represented at the RSC meetings) and oversee the work of the NCUs.

The membership of the NPBs is summarised in Box 4.

<sup>14</sup> NCUs participate as observers

<sup>15</sup> Hybrid meetings are events that feature at least one group of in-person/face-to-face attendees connecting virtually with other meeting attendees.

<sup>16</sup> As per RSC TOR, Intersessional meetings of the RSC may be called upon request of RSC members

**Box 4: Membership of the National Project Boards**

<b>Indonesia</b>
<b>Ministry of Marine Affairs and Fisheries/MMAF(KKP) – chair</b> Secretariat General of MMAF (Setjen KKP) MMAF Bureau for Public Relations and International Cooperation (BHKLN-KP under Setjen KKP) MMAF Planning Bureau (RoRen-KKP under Setjen KKP) Marine and Fisheries Research & Development Agency (BRSDM-KP) Fisheries Resource Agency (Pusriskan–under BRSDM-KP) Directorate General of Marine Spatial Management (DJPRL) Directorate General of Capture Fisheries (DJPT) Directorate General of Product Competitiveness (DJ PDSPKP) Directorate General of Marine & Fisheries Resource Surveillance (DJPSDKP) Ministry of National Development Planning (Bappenas/Kemen PPN) Ministry of Finance/MoF (Kemenkeu) UNDP CO Indonesia
<b>Timor-Leste</b>
<b>Ministry of Agriculture and Fisheries (MAF) – chair</b> Ministry of Finance Ministry of State Administration Secretary State of Environment Ministry of Foreign Affairs and Cooperation
<b>Papua New Guinea</b>
<b>National Fisheries Authority (NFA) – chair</b> Conservation & Environment Protection Authority Department of National Planning Climate Change & Development Authority South Fly District Development Authority PEMSEA PNG/NCU (Secretariat to NPB)

The Regional Project Management Unit (RPMU) was established for day-to-day management of all aspects of the project, including reporting to the IA as well as collaboration with the RSC members and various project partners. The RPMU has been operational since early 2020. It is located in a dedicated office in the Tuna Research Centre (an entity of the MMAF) in Bali, Indonesia. In addition to the implementation-related tasks, the RPMU serves as an Interim Secretariat of the RSC.

National Coordination Units (NCUs) were established in each of the three beneficiary countries to synchronise activities at the national level. The NCUs, guided by the RPMU and reporting to the respective NPBs in each country, work together with national partners, such as regional/local governments and NGOs. The core NCU structure in each country comprises a National Coordinator and Administrative/Finance support staff and 3 Field Facilitators in Indonesia, 2 Site Mobilisers in Timor-Leste, and 1 site mobilizer in PNG<sup>17</sup>. In addition, the Indonesia NCU has added an M&E Officer and a Gender Specialist to the NCU team instead of short-term recruitment of M&E and gender consultants, while the Timor-Leste NCU has added a Marine Fishery Specialist from UNV.

Compared to the management arrangements envisaged in the approved Project Document, the MTR team spotted slight modifications of the project organogram, including reorganisation of the ATSEA-2 Project organization's hierarchy (the RPMU and NCU PNG line) and addition of institution/employee positions (CMMAI in the Senior Beneficiaries of NPB) as discussed during the 1<sup>st</sup> RSC meeting.

The MTR team found the ATSEA-2 management arrangements clearly described and allowing country-specific adjustments in the NCUs for better support to implementation of the project and achievement of the planned results. The available minutes of various meetings indicate the decision-making of the RSC and NPB was transparent and undertaken in timely fashion. However, some interviewed regional

<sup>17</sup> The PNG Site Mobiliser was appointed in early 2022.

stakeholders hinted that the RSC was mostly only reactive to already occurring issues and challenges and not proactively anticipating that may occur.

The MTR team considers that the established project governance and management arrangements are adequate for the size and level of complexity of the project. Therefore, the project management arrangement component is rated **Satisfactory (S)**.

### 4.3.2 Work planning

The planning of work for the ATSEA-2 project is conducted at two levels. The country-level Annual Work Plans (AWPs) are prepared by the respective NCUs and submitted for review and approval to the NPB level before their submission to the annual RSC meetings. The regional AWPs are reviewed and approved at the RSC meetings.

The AWPs serve as a basis for implementation of activities and utilization of the project resources. The MTR found that the national and regional AWPs were developed in line with the project results framework in a tabular format comprising the activities for each output and outcome, quarterly timeframes and responsible parties for their implementation, as well as related budgetary allocation.

The MTR reviewed sets of regional and national AWPs for 2019-2022<sup>18</sup> and found them sufficiently detailed not only for the planning of activities but also ready for use as monitoring tools for tracking progress in the project implementation.

Based on the above, the MTR team rates the project work planning **Satisfactory (S)**.

### 4.3.3 Finance and co-finance

The tables below provide a summary of resources allocation for the project and of level of disbursement of the GEF grant funds as well as the estimated actual amount of co-finance up to MTR.

Table 15 below displays breakdown of the GEF project grant disbursements into the project components.

**Table 4:** Allocation and disbursement of GEF funds (as of 31 March 2022)

Project Component	Budget (US\$)	Expenditures (US\$)	%
Component 1	2,072,535.00	895,791.48	43.22%
Component 2	6,745,271.00	2,511,808.39	37.24%
Component 3	467,665.00	148,773.80	31.81%
Project Management	460,191.00	146,834.03	31.91%
<b>Total</b>	<b>9,745,662.00</b>	<b>3,703,207.70</b>	<b>38.00%</b>

The data in Table 15 shows that as of 31 March 2022 the total disbursement of GEF grant stands at US\$ 3,703,207.70 corresponding to the overall rate of the GEF grant implementation 38.00 %. Given the fact that the project stands half-way through the implementation period, the overall implementation progress is below the optimal 50%. The rate of delivery was negatively affected by imposition regulations on travel and social distancing related to the COVID-19 outbreak. Training and awareness activities in the project field locations had to be postponed while several meetings and group discussions had to be shifted to virtual communication platforms and contributed thus to lower than planned expenditures. The budget allocation of US\$ 460,191 on Project Management is less than 5% of the total GEF grant that is in line with the GEF rules for project budgeting.

<sup>18</sup> Due to late start of implementation in PNG, the AWPs were prepared only for 2020 and 2021.

Data in Table 16 below show expenditures by years of the project implementation and display the remaining funds under individual project components.

**Table 5:** Expenditures by years of the project implementation (as of 31 March 2022)

Project Component	Expenditures (US\$)					Remaining (US\$)
	2019	2020	2021	2022	2019-2022	2022-2024
Component 1	104,306.59	253,993.92	462,942.53	74,548.44	895,791.48	1,176,743.52
Component 2	99,918.22	832,398.62	1,342,018.73	224,071.79	2,511,808.39	4,233,462.61
Component 3	2,526.90	46,662.30	79,364.30	20,220.30	148,773.80	318,891.20
Project Management	11,384.27	101,847.46	33,172.80	13,909.59	146,834.03	313,356.97
<b>Total</b>	<b>218,135.98</b>	<b>1,234,902.30</b>	<b>1,917,498.36</b>	<b>332,750.12</b>	<b>3,703,207.70</b>	<b>6,042,454.30</b>
Implementation Rate	<b>2%</b>	<b>13%</b>	<b>20%</b>	<b>3%</b>	<b>38%</b>	<b>62%</b>

The project Combined Delivery Reports (CDRs) indicate strong control over the budget by the UNDP and the annual workplans show that budget revisions are being made to best suit the project interests while aligning with the GEF and UNDP budgeting rules and regulations. Overall, the MTR team did not find any serious issues related to the financial management of the project and consider the current financial controls for disbursement of the GEF funds sufficient.

The data on parallel co-financing are summarized in Tables 17 and 18 below.

**Table 6:** Allocation of co-financing for the project by funding source (as of March 2022)

Co-financier	Type	Investment Mobilised	Amount (US\$)
Recipient Government TL	In-kind	Recurrent Exp.	1,431,240
Recipient Government TL	Grant	Recurrent Exp. And Investment Funds Mobilized	17,698,294.03
Recipient Government IND	In-kind	Recurrent Exp.	19,260,349
Recipient Government IND	Grant	Investment Mobilised	450,484
Recipient Government PNG	In-kind	Recurrent Exp.	23,107.50
Recipient Government PNG	Grant	Recurrent Exp. And Investment Funds Mobilized	110,937.95
Government Australia	In-kind	Recurrent Exp.	1,644,316
Government Australia	Grant	Investment Mobilised	3,453,101
International Partner (PEMSEA and RPOA-IUU) additional leveraged support	In-kind	Recurrent Exp.	649,700
<b>Total ATSEA-2</b>			<b>44,721,529</b>

Data displayed in Table 17 indicates that the total co-financing at the MTR stage stands at US\$ 44,721,529 that is 74.3 % of the co-financing that had been pledged at the project inception.

**Table 7:** Comparison of planned and actual co-financing at MTR (as of March 2022)

Co-financing (type/source)	UNDP own financing (US\$)		Governments (US\$)		Partner Agencies (US\$)		Total (US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants <sup>19</sup>	37,500	-	5,000,000	21,712,817	85,651	-	5,123,151	21,712,817
In-kind support	50,000	-	26,845,261	22,359,013	-	-	26,895,261	23,008,713
<b>Total</b>	<b>87,500</b>	<b>-</b>	<b>31,845,261</b>	<b>44,071,829</b>	<b>85,651</b>	<b>-</b>	<b>32,018,412</b>	<b>44,721,529</b>

The relatively high co-financing commitments of the participating governments made at the project inception (confirmed by means of official co-financing letters provided to UNDP) as well as good progress in actual co-financing at the MTR stage are considered an important indicator of strong ownership of the project by the project institutional stakeholders. The detailed monitoring of progress in actual co-financing expenditures shows good level of monitoring by the project team.

#### 4.3.4 Project-level monitoring and evaluation systems

The MTR found the design and implementation of the project performance monitoring and evaluation systems more or less in line with the UNDP Programme and Operations Policies and Procedures (POPP) and the UNDP and GEF Evaluation Policies. The M&E plan is sufficiently budgeted and funded during project preparation and implementation thus far and the allocation of resources is considered effective. The monitoring tools provide the necessary information. However, involvement of key stakeholders in M&E and alignment with national M&E systems were limited. The MTR did not find evidence of use of inclusive, innovative, and participatory monitoring systems by the Project Team. Also, the MTR team considers that additional M&E efforts should be put for greater involvement of relevant groups affected by the project. Overall, the monitoring and evaluation system of the project is rated Satisfactory (S).

##### *At design*

The monitoring & evaluation (M&E) plan defined in the ATSEA-2 Project Document comprises the following components:

- Project Inception Report, prepared immediately following the Inception Workshop;
- Project Assurance Reports (PAR) – mandated by UNDP, prepared semiannually by the Regional Project Manager for review and approval by the PRF Executive Director and shared with the UNDP Country Offices;
- Project Implementation Review (PIR) mandated by the GEF, prepared by the RPMU and NCUs annually with inputs from PEMSEA, the UNDP Indonesia and the UNDP Regional Technical Advisor (RTA);
- UNDP ATLAS Monitoring Reports, comprising the quarterly Combined Delivery Reports (CDRs), and three logs related to issues, risk and lessons learned, respectively;
- Project Terminal Report, prepared during the last three months of the project;
- Midterm Review (MTR), undertaken at exactly the mid-point of the project lifetime;
- Terminal Evaluation (TE), conducted three months prior to the termination of the project

<sup>19</sup> Includes all cash contributions

### *At implementation*

Project Inception Report for ATSEA-2 was produced as proceedings from the regional Inception Workshop (IW). In addition, there are reports available as proceedings from the IWs that were held in the three beneficiary countries. While the participation in the Indonesia IW was quite extensive with a vast majority of the 103 participants representing a range of governmental agencies, academia, NGOs and private sector, the participation in the IWs in the other two countries was less representative. While the 17 participants of the PNG IW included two representatives of academia, one representative from the private sector and one NGO, the 12 participants of the IW in Timor-Leste comprised with one exception from representatives of various agencies of the Government and UNDP.

Summary data on the Inception Workshops are in Box 5 below.

#### **Box 5: Summary Information on ATSEA-2 Inception Workshops**

Country	IW date	Attendance
Regional	19 November 2019	38 participants
Indonesia	3 October 2019	106 participants
Timor-Leste	16 December 2019	12 participants
Papua New Guinea	31 May 2021	17 participants

The available proceedings from all Inception Workshops show that the IWs fulfilled the main objective to assist the regional and national project teams and stakeholders to understand and take ownership of the project's goal and objective through review of the Project Document, in particular the Strategic Results Framework (indicators, means of verification, assumptions) and discussion of their respective roles and responsibilities in relation to the UNDP-GEF M&E and reporting requirements. None of the IWs included discussion and finalisation of the first AWP at the regional and national levels. However, review of the initial regional and national work plans and budgets was conducted at the 1<sup>st</sup> RSC meeting organised back-to-back with the Regional IW.

Project Implementation Review (PIR): The GEF M&E policy requires the PIR to be compiled on annual basis for each GEF fiscal year and therefore cover the reporting period from July (previous year) to June (current year) for each year of the project implementation.

Until the MTR, two PIRs were prepared that cover the period from the start of ATSEA-2 implementation until June 2021<sup>20</sup>. The contributions to the PIR were provided by the RPMU, the UNDP CO Programme Officer, and the UNDP RTA. No input was provided by the national Implementing Partners and the GEF Operational Focal Points (OFPs).

The MTR team found both PIR is in line with the standard GEF PIR format with adequate level of details in narrative descriptions of achievements during the respective reporting periods, as well as justification of the ratings of progress in project implementation and of overall progress towards the project development objective. The reviewers also noted systematic compilation of progress data on the Outcome Indicators as listed in the project results framework. However, the numbering of the Outcomes in the PIRs does not correspond to the numbering of outcomes in the SRF contained in the Project Document.

<sup>20</sup> Preparation of PIR covering up to June 2022 coincided with the MTR process.

GEF Focal Area Tracking Tools (TT) for the respective GEF focal areas of International Waters and Biodiversity were prepared by the project team at the project inception and for the MTR; the latter using the GEF Core Indicator format as required for monitoring and reporting for GEF-6 projects <sup>21</sup>.

Mid-Term Review was initiated in 1Q of 2022. The ToR, the MTR process and the required outline of the MTR report follow the standard templates and guidance for UNDP-implemented GEF-financed projects. The MTR team appointed by the commissioning unit is composed of one International Consultant and two National Consultants that are independent from the organizations that had been involved in the design, execution, and counselling on the project. The MTR report will be submitted in July 2022, i.e. before the submission deadline for the 3<sup>rd</sup> PIR. The MTR findings and recommendations will be incorporated for implementation in the remaining period of the project's duration.

Terminal Evaluation (TE) is planned to start 6 months before operational closure of the project upon completion of all major project activities. This arrangement will allow to conduct the data collection while the project team is still in place, yet ensuring the project is close enough to completion and will allow the TE team to collect information on the level of achievement of the planned results and reach conclusions on the project sustainability.

The total indicative cost allocated to the M&E plan (excluding the project team and UNDP staff time) is US\$ 390,000, that is 4% of the GEF grant for the project. Overall, the MTR team found the ATSEA-2 M&E system comprehensive following the GEF and UNDP M&E standards. However, monitoring of results at the level of the country project components does not sufficiently use inclusive and participatory monitoring systems and institutional beneficiaries and target communities do not have any role in the M&E process. In Indonesia, there is a notion to develop a people-centred participatory monitoring systems for data collection on oil spills, IUU fishing, and MPAs with support of the SPF.

In 2020, ATSEA-2 conducted a review of GEF, UNDP and other regional monitoring mechanisms and indicators as a first step towards development of ATS SAP monitoring system. The 2<sup>nd</sup> RSC meeting recommended that the strategy for development of the ATS SAP monitoring system should be guided by development of the project and SAP Theory of Change (ToC). The RPMU with support from a ToC consultant developed the First draft of Project and SAP ToC. Drafting of the SAP ToC also took into consideration key points raised from the regional governance assessment report and consultations, as well as key results from other thematic assessments.

As a follow-up to the ToC development, ATSEA launched recruitment of a consultant for development of a regional monitoring system for the ATS SAP with an accompanying reporting procedure, training key M&E personnel at the national and regional levels, pilot testing and development of an online platform for the system.

Based on the above, the monitoring and evaluation system of the project is rated **Satisfactory (S)**.

### *Identification and management of risks*

The ATSEA-2 Project Document made several assumptions for the proposed project strategy and identified main risks associated with these assumptions. The risks were characterized and compiled into a risk matrix with 9 risks identified during the preparatory phase of the project. The risk matrix is composed of the risk description and type, assessment of risk impacts and probability (both rated on the 5-point scales), and corresponding risk mitigation measures. The summary of the identified risks is in Table 19 below.

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<sup>21</sup> Guidelines on Core Indicators and Sub-Indicators, GEF ME/GN/02 (March 2019)

**Table 19: Summary of identified risks**

No.	Risk Description	Risk Type	Risk Assessment
1	Impacts of climate change in the ATS undermine the sustainability of marine and coastal management, by adversely impacting biological processes underpinning provisioning, regulating and supporting ecosystem services	Environmental	I – medium P – moderately likely
2	Financial sustainability of project activities is threatened by inadequate allocation of funding by governments	Financial	I - high P – moderately likely
3	Performance of project activities is low due to inadequate coordination by national and site mobilizers	Operational	I - high P – moderately likely
4	Unclear mandates or conflicts among resource users, different sectors of governmental units, national and subnational stakeholders lead to delays in project implementation	Organisational	I - high P – moderately likely
5	There is insufficient capacity to support management changes proposed by the project, e.g. with regard to institutional and administrative support, and MCS and enforcement	Organisational	I – medium P – moderately likely
6	Change in key policy and/or decision makers or other events beyond the control of the project lead to changes in policies and/or support for the project	Political	I - high P – moderately likely
7	Enabling decisions required for implementation of some of the key project activities are delayed due to inefficiencies and/or lack of ownership by national and/or local government units	Regulatory	I - high P – moderately likely
8	Littoral countries cannot reach agreement on regional governance mechanism and financing strategy	Strategic	I - high P – moderately likely
9	Resource users including communities and private sector enterprises are reluctant to collaborate with the project.	Strategic	I – medium P – moderately likely

\* P – probability, I - impact

By virtue of the standard UNDP procedures, critical risks (defined by concurrent high ratings of probability and impact) are recorded in the UNDP Atlas database and periodic re-assessment of risks and further management of critical risks is part of the annual PIRs. All risks received “moderately likely” rating on probability (rating 2 on the 5-point scale), and only two risks (Nos. 1 and 3) in the risk matrix were recorded in the UNDP project risk log.

The MTR team found the initial identification of risks and mitigation measures sufficiently detailed. However, the rating of the probability of risks at the project inception appears to have not been done thoroughly enough and some risks were underrated on probability. The MTR team considers that at least the risks #2 related to co-financing and #8 related to the RGM should have been rated higher in probability and should have been subject to further monitoring as critical risks. Also, no owners of the risks were identified.

In 2021, the Project Team updated the risk log with additional 13 risks recorded in the UNDP project risk log. The COVID-19 was recognized and reported in the 2020 PIR as a critical risk as it affected the conduct of face-to-face meetings, stakeholder consultations, and field work. In response, the project adopted a COVID-19 Management Plan in March 2020, and utilized various virtual means of communication, online platforms for easy information or data sharing, (webinars, online meetings/consultations, online training, desktop reviews, coordination online with local networks/counterparts) and strengthened local support through the NCUs and site mobilizers and enumerators.

The 2021 PIR reported as a new operational risk the different starting and ending dates of the different project components. However, the different starting dates were known already from the very beginning so this risk should have been recognised in the 2020 PIR. To address the risk, the project team decided to closely monitor progress and challenges from each component especially during the pandemic and established monthly coordination meeting between the RPMU and the NCUs has been put in place, and regular thematic discussions and information sharing have and will continue to be undertaken.

Based on the above, the MTR team rates the identification and management of risks as **Moderately Satisfactory (MS)**.

#### 4.3.5 Stakeholder engagement

Following the development and subsequent update of the Stakeholder Communication and Engagement Plan, ATSEA-2 managed to partner with institutional stakeholders at the level of central governments. However, there are some limitations to engagement with local and tangential stakeholders and target beneficiaries due to several limitations.

The principal entry point for continuous engagement of core stakeholders in ATSEA-2 has been the establishment of the RSC and the NPBs with membership of the national Implementing Partners (MMAF, MFA and NFA) and other agencies of the central governments.

In order to broaden consultations for RGM and SPF, ATSEA-2 appointed national advisors in all 4 ATS countries to facilitate national consultation workshops led by the national Focal Agencies in each country.

The national consultation workshops were conducted through a hybrid modality in Timor- Leste (18 October 2021), PNG (29 October 2021) and in Indonesia (2 November 2021). In Australia, consultations with non-governmental entities and some agency meetings were conducted as part of the stakeholder sensitisation process.

The workshops helped to ensure the following:

- (a) Initial concurrence on the importance of the proposed ATS regional collaboration/mechanism;
- (b) Suggestions on the proposed regional governance structure and consideration of nuances in each country that could influence the structure at the national and sub-national levels;
- (c) Information on key transboundary issues as well as national issues relevant to the management and development of the ATS region;
- (d) Expected/proposed roles and services of the ATS regional collaboration mechanism toward addressing priority transboundary issues (e.g., platform for policy dialogue, knowledge-sharing, capacity building, technical support, and joint project development for donor funding in support of SAP and NAPs implementation); and
- (e) Emphasis on the need to further reinvigorate and build information about ATSEA and its objectives, targets and initiatives to build stronger buy-in from the countries

Due to intense engagement of the stakeholders in the key agencies of the beneficiary governments, there is a strong national ownership of the ATSEA-2 project in the 3 beneficiary countries. In Australia, the project ownership appears to be somewhat weaker, particularly after the 2022 elections that resulted in establishment of a new government that plans restructuring of the ATSEA-2 focal agency (DEWA).

Engagement of local stakeholders and ultimate project beneficiaries is fostered through involvement of Field Facilitators in Indonesia and Site Mobilisers in TL that ensure follow-up on all aspects of the project at the project field sites and act as liaisons for interactions with local government entities (district & village level) and the target beneficiaries at the project field sites. Absence of an outposted person in the field in the PNG was identified as a shortcoming and was mitigated through appointment of a Site Mobiliser in early 2022.

Under the Indonesia component, the project has partnered with local communities at project sites. Despite identification of potential private sector stakeholders, little information is available in project reports on their actual engagement. Potential engagement of local NGOs at project sites is hampered by disparity between their limited capacities and the UNDP administrative procedures.

In Timor-Leste, the MTR found no evidence that the project has leveraged partnerships with tangential stakeholders, such as NGOs and important private businesses. Institutional stakeholders such as agencies of the national government and local governments support the objective of the project but request a more prominent role in the project decision-making. Establishment of an ICM sub task team in Barique is envisioned as one mechanism to foster better engagement of local stakeholders in on-site initiatives for achievement of ICM targets.

Apart from involvement of the PNG institutional stakeholders, the project identified some tangential stakeholders such as the Ok Tedi Development Foundation (OTDF) as a not-for-profit arm of the Ok Tedi Mining Limited that is a major company in the South Fly District. Although OTDF is interested in further cooperation with ATSEA-2, this interest is restricted by limited geographical mandate of OTDF. Only 3 out of the 14 ATSEA-2 target villages in PNG are affected by the cooper mine activities and therefore eligible for direct OTDF support. Recent appointment of a Site Mobiliser in the SFD will contribute to more extensive involvement of the local stakeholders.

Based on the above, the MTR rates the stakeholder engagement in the project formulation and implementation as **Satisfactory (S)**.

#### 4.3.6 Social and Environmental Standards (SES)

In line with the requirements of the UNDP Social and Environmental Standards (SES) on screening and categorization of projects, the standard UNDP Social and Environmental Screening Procedure (SESP) was completed during the project preparatory phase. As a result, ATSEA-2 was categorised as a Moderate Risk project requiring targeted social and environmental assessment and review to determine how the potential impacts identified through the SESP will be avoided or when avoidance is not possible, minimized, mitigated, and managed. Further analysis may determine whether the project categorization should be elevated for a full social and environmental assessment in order to ensure that the SES requirements are addressed<sup>22</sup>.

The initial SESP was updated in 2021. While the initial SESP report indicated only overall social and environmental risks to the project, the updated SESP produced a more comprehensive identification of risks and consolidation of the regional SESP with individual SESP's conducted for the 3 ATSEA-2 participating countries.

Following the standard requirements for Moderate Risk projects, a Social and Environmental Safeguards Management Plan (SESMP) was prepared in October 2021. The SESMP updated the potential social and environmental impacts and defined management measures as well as roles and responsible entities for their implementation, including arrangements for tracking progress of SESMP measures' implementation.

The summary of the updated SESP is provided in Box 6 below.

#### **Box 6:** Summary from updated the SESP (February 2022)

SESP Standard	Risk Description (the project potentially involve or lead to)
<b>Overarching Principle: Leave No One Behind</b>	
Human Rights	P.2 Duty-bearers (e.g. government agencies) do not have the capacity to meet their obligations in the project
Gender Equality and Women's Empowerment	P.10 Reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits

<sup>22</sup> UNDP Social and Environmental Standards (SES) Guidance Note: Social and Environmental Screening Procedure (effective 1 January 2021)

	P.11 Limitations on women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services
Accountability	P.13 Exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals (including persons with disabilities), from fully participating in decisions that may affect them
<b>Project-Level Standards</b>	
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management	1.2 Activities within or adjacent to critical habitats and/or environmentally sensitive areas, including (but not limited to) legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities 1.3 Changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods 1.10 Animal husbandry or harvesting of fish populations or other aquatic species
Standard 2: Climate Change and Disaster Risks	2.2 Outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters
Standard 5: Displacement and Resettlement	5.2 Economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions—even in the absence of physical relocation)
Standard 6: Indigenous Peoples	6.1 Areas where indigenous peoples are present (including project area of influence) 6.2 Activities located on lands and territories claimed by indigenous peoples
Standard 7: Labour and Working Conditions	7.6 Occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle

As part of an Oversight Desk Review of various projects by UNDP, several observations and recommendations were made to strengthen the ATSEA-2 project compliance with the updated UNDP SESP adopted in early 2021. In response to the recommendations, ATSEA-2 engaged a SES specialist to undertake a review of the current project SES and to facilitate its updating in line with the updated SES of UNDP. This initiative was undertaken in parallel with the GESI analysis to ensure that complementary principles and standards of both SES and GESI are fully considered by the ATSEA-2 project.

The MTR observes that the screening for identification of the project's potential social and environmental risks and their significance was conducted thoroughly, and ATSEA-2 followed the prescribed procedures for identification of potential social and environmental risks and their significance in order to maximize social and environmental opportunities and benefits and strengthen social and environmental sustainability.

#### 4.3.7 Reporting

Reporting during project implementation helps to identify potential issues that may endanger the project's capacity to achieve its development objectives. Reporting also helps to make informed decisions, offers valuable information for project evaluation, and provides lessons to be learnt for future projects. Effective and timely communication between the RPMU, the NCUs and the core stakeholders is a key element in that respect.

The project has developed an Adaptive Management Plan to improve performance during the period of COVID-19 restrictions. The adaptive management approaches included implementation of consultancies that did not necessarily require face-to-face meetings and conduct of virtual meetings online. In case of prolonged travel restrictions, the project staff was prepared to rely on national instead of international consultants to support the countries. Once the international travel was possible, the regional staff travelled to Timor-Leste and PNG to monitor progress and provide additional assistance. The adaptive approaches were reported in the annual PIRs.

In addition to the implementation-related reports that are discussed above as part of the project M&E systems, ATSEA-2 also prepare Quality Assurance (QA) Reports as per UNDP requirement. The QA reports have been prepared for the project design stage and for the 2 years of the project implementation

through completion of standard UNDP QA forms. In comparison to the annual PIRs and biannual PARs, the QA reports contain useful information on links to UNDP strategic priorities, on generation of lessons learned from implementation, on monitoring of social and environmental impacts and risks, and on the project governance.

PIRs are shared to the NPDs and NFPs on an annual basis by email. Annual project progress vis-à-vis delivery of approved AWP were also reported at the annual NPB and RSC meetings. A more popularized version of the project progress, challenges, lessons and some case studies are also packaged through the Annual Project Progress Report magazine and quarterly e-newsletters which are distributed through various channels and networks. Apart from the NPB, NIMC, and RSC meetings where feedback are encouraged, a Contact Us section is also provided in the project website to receive further feedback from stakeholders

#### 4.3.8 Communication and knowledge management

The main aspects of communication and knowledge management are discussed above under achievement for Outcome 3.1. Additional issues related to this subject are discussed in the text below.

In order to raise the standard of writing, reporting and presentation of ATSEA-2 publications, a training in writing skills was conducted in August 2021 for 15 RPMU and NCU staff guided by a professional writer consultant.

The project has used a variety of communication channels. In addition to the ATSEA-2 quarterly newsletter released to registered contacts and posted in the ATSEA-2 website, the project has also posted articles at the GEF IW Portfolio Bulletin. Total of 16 articles were published in 2020-2021 and 4 more articles were submitted for publication in 2022. Link to a list of press releases or news materials communicated with the general public is accessible via this link: [https://www.dropbox.com/scl/fi/jg642h2ddlsbx35fqlr18/List-of-Articles\\_Combined.xlsx?cloud\\_editor=preview&dl=0&rlkey=tiimgfelkokgmw3017oqev9np](https://www.dropbox.com/scl/fi/jg642h2ddlsbx35fqlr18/List-of-Articles_Combined.xlsx?cloud_editor=preview&dl=0&rlkey=tiimgfelkokgmw3017oqev9np). The outside communication becomes very important in relation to demonstration of early results of ATSEA-2 and sharing of experience with other similar programmes.

In Indonesia, for engagement with third parties at the ground level, the project created a WhatsApp group platform for regular communication and coordination purpose. The platform is also used for exchanging files and other information and helps in coordination for submission near reporting deadlines. The main challenge in reporting is related to English writing when excessive time is spent for reviewing and addressing inputs before approval for submission.

In TL, the MTR observes that the internal communication with the project stakeholders is regular. The case of Site Mobiliser absence for the red snapper project in Viqueque proves that in order to be more effective, it needs to highlight ground problems and enhance the quality of implementation with an efficient "early warning" tool based on a comprehensive M&E system to contribute to project progress and sustainability.

The MTR observed that the project has been effective in communication and promotion of its key messages to a variety of audiences. Furthermore, the MTR has found that external project communication is adequate for demonstration of the project progress and its desired impact to the public. The presence of the project on social networks and internet helps to implement appropriate public outreach and awareness campaigns.

Based on the above assessment of the 7 components above the overall rating Project Implementation & Adaptive Management rating is **Satisfactory (S)**.

### 4.3.9 Cross-cutting

The UNDP Social and Environmental Screening Process (SESP) was conducted as part of the project preparation phase, and the results annexed to the Project Document. The SESP concluded that ATSEA-2 received the Gender Marker Score 2 indicating that the project has gender equality as a significant objective. Although a Gender and Social Inclusion Plan was annexed to the Project Document, it does not have a specific target related to gender equity. In order to enhance the gender focus, ATSEA-2 initiated mainstreaming of Gender Equity and Social Inclusion (GESI) principles in the project management and implementation of its activities.

In December 2020, a rapid needs assessment survey on GESI was conducted for the RPMU and NCUs in December 2020. The survey results indicated that for a more effective application of GESI principles, the project teams needed further orientation on application of GESI in the project planning, implementation, M&E, and communication.

As a follow-up to the survey, the project organised two rounds of six GESI learning sessions, one for the RPMU (February to April 2021) and the other one for the NCUs (October to November 2021). All sessions were held online and addressed a range of issues, including selection of gender-sensitive indicators, development of gender-responsive monitoring systems, as well as implementation of gender-sensitive reporting and communication mechanisms.

Jointly with the Global Marine Commodities (GMC) project, ATSEA-2 organised a regional webinar titled “Mainstreaming Gender and Social Inclusion in Fishery and Marine Sector in the ATS Region” as a side event of the 2021 East Asian Seas Congress 2021. The webinar provided participants with understanding of key principles of GESI and the importance of mainstreaming GESI in various project initiatives as a critical factor of sustainable development.

In August 2021, a workshop was held with 15 NCU enumerators for a combined GESI and Social and Environmental Safeguard (SES). With use of the Kobo Toolbox<sup>23</sup>, the combined GESI+SES survey was conducted in all eight ATS project sites with engagement of about 80 respondents from the ATSEA-2 coastal fishing communities. The survey results were used as input into a draft GESI Action Plan for the ATS region and considered in development of related SES Management Plans at the country and regional level.

The GESI+SES studies in the project sites provided evidence of gender segregation in productive, reproductive, and public roles, resulting in imbalanced power relations between men and in accessing marine and fisheries resources. It also showed that many gender issues in the fishing sector had been neglected as a result of the perception of fisheries as a masculine domain due to stereotyping of women’s physical condition unsuited to fishing and cruising at sea, and presupposed lack of women’s technical knowledge related to fisheries. Consequently, the gender imbalance limited the ability of women to overcome inequalities caused by climate change and environmental degradation.

At the level of the participating countries, the project teams included gender-disaggregated data for participants of the various project events. However, there has been no further disaggregation of the gender data with relation to age, education, social status, and other categories.

The MTR field study in Indonesia found involvement of women at a certain level of activities. For instance, women were engaged in developing a seaweed soap business in Rote Ndao, but their participation decreased along with time, and they are not equipped with safety tools and COVID-19 preventive measures. In addition, the Indonesia NPD has recommended modification of some activities

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<sup>23</sup> KoboToolbox is an open-source software and platform for field data collection.

or outputs of the Indonesia component that are too ambitious and impossible to stage into women empowerment-based activities. Representation of women at the national level and project level in Indonesia (the actual NPB and tentative NIMC membership, the NCU) is quite good.

Similarly, the MTR field study in Timor-Leste found active involvement of women in several livelihood project activities. Women leadership has particularly taken an active role in several alternative income generation activities supported by the project, such as the recycling business and tree planting activities in Betano. However, COVID-19 pandemic had a negative impact on the activities.

#### 4.3.10 Impact of COVID-19

The COVID-19 pandemic proved to be a serious challenge due to travel and physical meeting restrictions, local lockdowns, reallocation of government budgets for relevant measures, and several project team members and consultants' absence through illness after contracting the virus.

Due to travel limitations and consideration of the health and safety protocols on COVID-19, some target activities requiring more on-the-ground and face-to-face interactions were affected. For example, the survey using research a vessel with LIPI, regional exchange visits related to rights-based management, the ToT on EAFM, and the MCS training had to be postponed to a later date<sup>24</sup>. Consequently, COVID-19 has been reported as a new Social and Environmental Risk in the regular progress reporting by the RPMU and NCUs and corresponding management measures were adopted to keep the project on track.

In response to the COVID-19 challenge, the project tried to identify measures to avoid further delays in the implementation of these activities, such as collaboration with the RPOA-IUU Secretariat and the NCUs for a hybrid type of training, tentative conversion of exchange visits on rights-based management on fisheries into a webinar or online forum/workshop and further coordination with LIPI on the provision of technical support. Impact of COVID-19 was studied as part of the GESI+SES survey that yielded information on how various measures and restrictions have affected livelihoods of local fishing communities, and women in particular. The results also serve as input for preparation of the GESI Action Plan. The surveys at the community level provide that the COVID-19 pandemic has exacerbated gender disparity as women became more affected by various related restrictions.

In 2021, the project started a gradual move from the fully virtual *modus operandi* towards a more hybrid mechanism for its coordination in the past year. In some cases, there was even return to in-person interactions that allowed for more effective access to and interactions with the stakeholders of the ATS region.

### 4.4 Sustainability

The sustainability is defined as continuation of benefits from an intervention after the development assistance has been completed. The important aspect here is the sustainability of results, not necessarily sustainability of the activities that had produced the results. The assessment of sustainability requires evaluation of risks that may affect the continuation of the results.

The Project Document stipulates that sustainability of the project results beyond the project duration will be ensured through implementation of the project *per se*, that is through institutional strengthening at regional, national, and local levels coupled with a strong resource mobilization strategy and establishment of financing mechanisms for gradual rolling out of the updated SAP and NAPs. In

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<sup>24</sup> The ToT on EAFM as well as the MCS (Fisheries Intelligence Training) eventually were conducted and completed.

addition, the project's approach to generating interlinked global environmental and local socio-economic benefits is expected to leverage interest and support from the target local communities for adoption of measures such as EAFM and area-based management of critical habitats important for food security and the environmental status of the ATS.

In general, the project interventions have the potential to ensure long-term sustainability of results. However, in order to fulfil this potential, due consideration should be given to the serious risks and challenges that are discussed in the text below.

#### 4.4.1 Financial sustainability

While there is an overall likelihood that the various ATSEA-2 products such as legislative and management approaches and ecosystem assessment studies will be sustained after completion of the ATSEA-2 project, the main challenge to financial sustainability is the possible lack of funding for operation of the RGM and for implementation of the updated SAP.

ATSEA-2 has a specific Output 1.1.4 embedded in the SRF on establishment of financial mechanisms for the SAP and NAPs implementation. Although implementation of this output was originally planned to be undertaken sequentially after the SAP update, the RSC members recognized the time needed for securing inputs on identification of adequate financing mechanism and initiated development of the Financial Landscape Assessment (FLA) for the ATS region as a basis for preparation of a 5-year cost estimate and financing plan for implementation of the updated regional SAP.

The draft FLA report that was presented to the 3<sup>rd</sup> RSC meeting in December 2021 indicates an undoubted challenge of effective financing for regional governance initiatives in general and for the future ATS RGM in particular. The same report suggests relying on combination of public budgets and donor funding as short-term sources of finance. However, the FLA report acknowledged limited availability of public funds in Timor-Leste and PNG and cited examples of other funding constraints in Indonesia where the MMAF had on a number of occasions struggled or even failed to expend its allocated budget. Nevertheless, the stakeholders interviewed during the MTR in Indonesia suggested to approach more innovative financing sources, such as locally established trust funds as sources for financing.

According to the FLA, the availability of public funding for the ATS region is driven by lack of or competing priorities. Indonesia and Australia on one hand significantly depend on coastal ecosystems and economic services of the ATS, the two smaller countries have only limited coastline with only small artisanal or subsistence fisheries and little additional marine-based activity. Moreover, the ATS coastal areas are distant from major population centres and sometimes have a difficult access.

Probability of allocation of funding for ATS RGM and SAP from bilateral funding sources is also questionable. As indicated elsewhere in this MTR report, Indonesia receives significant development assistance for marine and coastal management, but this is not the case of Timor-Leste and Papua New Guinea due to absence of marine and coastal industries and preferences of the two countries for more critical development issues and more significant economic sectors.

Although the participating countries consider preparation of a 3<sup>rd</sup> phase of the project (ATSEA-3) under GEF funding, it should be seen whether the ATSEA-3 can be prepared and submitted for approval quickly with the aim to avoid repetition of the long gap period between ATSEA-1 and ATSEA-2.

It has to be noted that establishment of a regional self-financing mechanism for implementation of the regional SAP was one of the planned outcomes of the Phase 1 of the ATSEA project implemented. However, this result was not achieved and the ATSEA Terminal Evaluation report states that “...the

*countries wanted to first agree in principle the priority actions for effective management of the ATS ecosystems and address the financing later”<sup>25</sup>.*

Endorsement of ATSEA-2 and active participation in it by the governments of the 4 ATS littoral countries can be considered as a sort of commitment for future financing but as such can't be considered sufficient if not accompanied by other concrete steps. However, lack of detailed co-financial information under ATSEA-2 contributes to uncertainty about the likelihood of available financial resources beyond the time boundary of the GEF assistance. This uncertainty justifies the need for potential ATSEA-3 to support mainstreaming of the RGM and updated SAP/NAPs into the budget frameworks of the participating governments.

Based on the above, financial sustainability is rated **Moderately Likely (ML)**.

#### 4.4.2 Socio-economic sustainability

Despite the delivery of several management tools and guidelines for more effective management of the ATS coastal areas, the socio-economic risk to sustainability is high due to income disparities and relatively large section of population in the ATS coastal areas living below the poverty line.

Moreover, awareness at the project sites for the local communities to support the project seems to be in many cases lacking as demonstrated by decreased participation in capacity building and training events. This finding proves the need for improved outreach and through enhanced capacity building coverage. The project captures key experiences, lessons and results from various project sites and initiatives through its quarterly newsletters, annual project progress report magazine, and regular posts through the ATSEA-2 website and social media platforms, and will continue to assess means to further strengthen wider information reach to support efforts in building awareness, transferring knowledge and promote replicability of best or good practices.

Lack of facilities for ecotourism development and damaged public infrastructures limit opportunities for income generation and diversification for the littoral communities are identified as another reason for increased risk to socio-economic sustainability.

The project has developed several management plans for marine and coastal ecosystems with the aim to integrate these plans into governmental programmes at national and local level. However, this process is far from being straightforward as it depends on the level of ownership and buy-in of the project interventions by the target population. Nevertheless, lessons learned and the project's successful aspects are being documented on a continued basis through several knowledge products made available to wide audiences including potential future beneficiaries.

The MTR made some observations on insufficient ownership by population by some local governments and communities, sites, e.g. the Papua Provincial Government in Indonesia or the local authority (posto administrativo and suco) level in Timor-Leste. Local ownership can be increased by demonstrating value achievements and progress. Also, building partnerships with private sector, community-based organisations and local universities can help to increase the local ownership of the project results. Furthermore, MTR observed that various key stakeholders have good interest in having project benefits continue to flow; however, important efforts need to be made to increase the quality (not quantity) of public and stakeholder awareness actions in support of the long-term objectives of the ATSEA 2 project.

Based on the above, the socio-economic sustainability of the project results is rated **Moderately Likely (ML)**.

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<sup>25</sup> Arafura and Timor Seas Ecosystem Action Programme, Terminal Evaluation Report, UNDP (2014)

#### 4.4.3 Institutional framework and governance sustainability

The risks to sustainability of the ATS regional institutional frameworks and governance is discussed above under financial sustainability.

ATSEA-2 is contributing to harmonization of the existing national regulatory and institutional frameworks related to coastal and marine management in the 3 beneficiary countries. However, due to the relative complexity of the national legislative approval procedures, the process leading to approval of the various management plans and their incorporation into the legislation and national as well as local level is a gradual and time-consuming process.

The existing national institutional frameworks for marine and coastal management in Indonesia appear to be relatively strong as a result of continued international development assistance. ATSEA-2 has made a tangible contribution to strengthening the national institutional and governance frameworks in the other two countries. Interviews with stakeholders in TL and PNG hinted that many institutions involved in implementation of the various management plans still do not have sufficient capacity and in some cases are seriously understaffed. While the project in its remaining period can address the capacity building, staffing of responsible agencies is beyond the assistance the project can provide. At the regional level, efforts and consultations are ongoing with support from national advisers to support the securing of country consensus on the establishment of a Regional Governance Mechanism.

The MTR also observes disconnection between the developed policies and action plans and their practical implementation. The project has supported discussions on integrating enabling policies and regulations (that support SAP/NAP and integrated management approaches) into national and sub-national institutional frameworks. As of yet, however, there is no evidence of integration of the policies and plans into the national legislations. Even if this integration occurs, the success in implementation heavily depends on the ability to enforce the updated legislation. There is no assistance provided by the project on enforcement. Successful implementation and enforcement of local regulations and plans will be important element of their replication or scaling up, as well as their integration into national and sub-national institutional and policy frameworks.

Another risk to institutional frameworks and governance could be insufficient ownership of the SAP and NAPs processes by provincial and district government administrations. This risk could be particularly high in complicated legislative and governance systems based on decentralisation such as those in Indonesia.

Further in Indonesia, the project has been confronted with governmental restructuring and transformation that can negatively affect further progress towards achievement of the project outcomes. Changes in the NPB members are also another challenge that can hamper sustainability of the project results.

In Timor-Leste, the MTR noted that key ministries such as MAF as well as affected local governments have the required mechanisms for accountability, transparency, and technical knowledge transfer in place. However, these mechanisms need to be strengthened to address the national environment agenda, in particular the climate change adaptation strategy.

In Papua New Guinea, the MTR observed that the institutional and governance sustainability is closely linked with the relevance of the ATSEA-2 interventions to national needs and priorities.

However, the above relations are valid mainly at the level of the national institutional frameworks in the 3 beneficiary countries. To ensure sustainability at the level of the target beneficiaries in the littoral communities, sustainability depends on the level of inclusion of local leaders into the processes of coastal and marine ecosystem management and conservation, and on provision of incentives for

involvement of non-governmental stakeholders, including private sector, through adjustments of policy and regulatory frameworks, which the project targets to strengthen through the ongoing efforts in establishing a regional governance mechanism with a Stakeholder Partnership Forum and engagement of local governments and communities through ICM and other on-the-ground initiatives.

Based on the above, the institutional and governance sustainability of the project results is rated **Moderately Likely (L)**.

#### 4.4.4 Environmental sustainability

The ATSEA-2 project's assistance is critical for decreasing pressures on critical habitats and ecosystems through implementation of several measures and tools such as integrated coastal management, designation of new MPAs, and strengthening the management effectiveness of existing MPAs, as well as promotion of EAFM, EbA and fishery improvement approaches. With respect to endangered species, the developed regional action plan on the protection of migratory turtle species, if implemented, will make an important contribution to strengthening the enabling framework for enhanced protection of these species.

The project is also helping to prioritize regional and national efforts at reducing impacts from land-based and marine sources of pollution through assessment of pollution hotspots across the ATS region, improvement of oil spill preparedness and response, as well as development of pollution prevention plans and establishment of oil spill early warning systems. These efforts contribute to reducing pressures on coastal and marine ecosystems and enhance the likelihood of environmental sustainability.

On the other hand, the MTR observed that many local communities continue practices leading to environmental degradation, marine pollution, and excessive catching of endangered marine species.

Based on the above, environmental sustainability of the project is rated **Moderately Likely (L)**.

Based on the aggregated assessment of the four sustainability categories above, the MTR team assigns the overall rating for sustainability as **Moderately Likely (ML)**.

## 5. CONCLUSIONS AND RECOMMENDATIONS

Based on the previous section of the fact findings, this section synthesizes and interprets the findings into conclusions that make judgments supported by the findings from the previous section. Recommendations are then specific actions the MTR team proposes to be taken by various project stakeholders that are based on the findings and conclusions.

### 5.1 Conclusions and Recommendations for the regional component

**Conclusion 1:** Start of implementation of the project was delayed due to the protracted negotiations for obtaining agreements and official signatures on documents for the project management arrangements and slow recruitment of the regional and national project teams. COVID-19 restrictions imposed in early 2020 caused further delays in implementation. Consequently, numerous project activities had to be postponed and/or modified. Despite several adaptive management actions of the project teams the delivery of several outputs was slower than originally expected. There is a risk that not all end-of-project targets will be achieved by the original project completion date of June 2024.

***Recommendation 1:*** *In accordance with UNDP and GEF policies, the UNDP CO in Indonesia as the Principal Project Representative should prepare and submit request for an extension of 12-18 months in order to recover the time lost due to the slow project start and COVID-19 restrictions.*

**Conclusion 2:** The ATSEA-2 Project Document was prepared at the time when an explicit Theory of Change (ToC) was not yet required for GEF projects. Upon recommendation of the 2<sup>nd</sup> RSC meeting, a comprehensive ToC for the project was prepared and subsequently presented to the countries. The ToC provides a framework and causal links between intermediate and final results. It will be desirable to use the ToC in monitoring of the project results. This can be particularly important when the intended impacts are longer-term and information about intermediate outcomes is needed to inform decisions.

***Recommendation 2:*** *The RPMU in cooperation with the NCUs should use the ATSEA-2 ToC in monitoring of the progress in the project implementation in order to identify early indicators of progress or lack of progress towards achievement of the planned targets and to facilitate prioritization of activities.*

**Conclusion 3:** Few indicators and their end-of-project targets contained in the project SRF were determined on basis of incomplete baseline data. Additional baseline data and information from the field sites collected from the project-supported studies suggest that those indicators and related targets in the SRF are not realistic and need to be reconsidered in order to ensure their attainability within the remaining timeframe of the project. Moreover, the MTR team considers that the EOP targets on financing for the RGM functionality and SAP implementation are overambitious given the complicated negotiations and approval processes.

***Recommendation 3:*** *With guidance from UNDP and following consultative processes, the RPMU in cooperation with PEMSEA and the NCUs should conduct a critical revision of the actual indicators and targets in the project SRF, in particular for Outcomes 1.1 and 2.1, and prepare a proposal for revised/alternative indicators and/or targets for submission and approval of the NPBs and the RSC at its 4<sup>th</sup> meeting.*

**Conclusion 4:** Financial mechanisms for SAP/NAPs implementation and for functioning of the RGM beyond the time boundaries of the project are critical for sustainability of the ATSEA-2 results. The

completed Financial Landscape Assessment indicated that the original expectation of secured contributions from the ATSEA-2 countries is not realistic as the short-term financial sustainability will be dependent on donor funding for Phase-3 of the project.

**Recommendation 4a:** *The PEMSEA, RPMU and NCUs should prepare an exit strategy for the project with emphasis on formalisation of financial commitments of the countries to the RGM functionality and the SAP/NAPs implementation.*

**Conclusion 5:** The time for full achievement of several outcomes could exceed the lifetime of the ATSEA-2 project and will require follow-up donor financing. GEF-8 that is currently being finalised appears to be one of the funding sources for a follow-up phase of the project.

**Recommendation 5:** *UNDP in cooperation with the beneficiary countries should initiate consultations with the GEF OFPs from the ATS beneficiary countries regarding the potential preparation of ATSEA-3 project concept.*

**Conclusion 6:** Relevance of the ATSEA-2 interventions to the needs and priorities of the beneficiary countries is an important factor of the project sustainability. Fully operational NIMCs will serve as an effective vehicle for mainstreaming the ATS SAP/NAPs priority actions into relevant national development plans. Although by the MTR stage the NIMCs were formally established in PNG and TL, they were not fully functional in terms of facilitating inclusion of ATSEA priority actions into national development policies and plans.

**Recommendation 6:** *The RPMU in cooperation with PEMSEA and the NCUs in cooperation with the participating countries should ensure that all three NIMCs are fully functional through ensuring permanent representation of stakeholder institutions on the NIMCs. Furthermore, the ATSEA-2 project teams should map existing national and regional sustainable development planning processes and identify short- and medium-term opportunities for mainstreaming the SAP/NAPs priority actions into the national development policy and planning frameworks. Results of this work should be presented for consideration of the NIMCs.*

**Conclusion 7:** The MTR observed that the RSC has duly executed its oversight function for the project. However, several important documents were prepared and had to wait until the meeting of the RSC. Increased frequency of the RSC meetings will accelerate approval of important decisions for critical actions in the project implementation.

**Recommendation 7:** *PEMSEA and RPMU in cooperation with the Implementing and Executing Agencies should more actively use options for holding ad-hoc intersessional meetings of the RSC to ensure timely approval of important documents, effective management of project risks and endorsement of critical decisions needed for implementation of the project.*

**Conclusion 8:** The project ultimate goal is protection and sustainable management of ATS marine and coastal resources through implementation of the regional SAP and related NAPs. More active involvement of target beneficiary communities could be ensured if the local leaders and community-based organisations fully understand the need for the SAP/NAPs actions particularly in cases of impacts of the actions on local livelihood and subsistence challenges.

**Recommendation 8:** *PEMSEA and the RPMU should consider preparation of popular versions of the updated SAP/NAPs for better information of the target communities.*

## 5.2 Conclusions and Recommendations for the Indonesia component

**Conclusion 9:** The MTR observed that several project indicators and/or related targets for the Indonesia component are either not relevant or not attainable.

**Recommendation 9:** *The RPMU in cooperation with the NCU Indonesia should conduct a critical revision and reassessment of the following elements of the project SRF:*

- *Modify Activity 2.1.3-8 on IUU fishing through conducting a study to establish a baseline on IUU fishing in FMA 718 in Aru and Merauke areas as project sites*
- *Modify Activity 2.1.3-10 on improved provincial registration of vessel systems for a more specific definition of the target vessel systems in Maluku and Papua covering three commodities (red snapper, shrimp, and barramundi)*
- *Revise the EOP target for Indicator 16 through utilization of new MPA management effectiveness scoring of EVIKA and potentially adopt a new indicator for the Kolepom MPA to comply with Indonesian government requirements*
- *Reconsider relevance of Activity 2.3.2-16 on the feasibility study for ecotourism development in the Kolepom MPA*
- *Modify Activities 2.3.3-6 and 2.3.3-7 on conducting a feasibility study on alternate livelihood tourism opportunities for the communities in Aru Islands, Rote, and Merauke and possibly other sites through education for local communities on turtles' conservation while providing alternative nature-based livelihoods or capacity building options*
- *Reconsider relevance of Activity 2.4.3-4 on technical training for maintenance and repair of the solar-powered water desalination units and eventually replace with activities related to water, sanitation, and hygiene (WASH) projects, for access to safe and affordable drinking water*
- *Modify the EOP targets for under Indicators 13 and 14 to make them clearer and more specific and attainable*

**Conclusion 10:** Several project stakeholders perceive the administrative and procurement procedures under UNDP CO Indonesia causing delays in the project implementation.

**Recommendation 10:** *The UNDP CO in Indonesia in cooperation with the NCU should conduct a critical review of the procurement and other administrative assistance and identify causes of delays.*

**Conclusion 11:** The once per year frequency of meetings of the NPB Indonesia is not sufficient for achieving needed decisions for smooth implementation of the planned activities in Indonesia.

**Recommendation 11:** *The NCU Indonesia should intensify consultations with the NPB and UNDP Indonesia for focusing more on performance and achieving results through arrangement of the NPB meetings at least semi-annually (at the middle and the end/beginning of the year)*

## 5.3 Conclusions and Recommendations for the Timor-Leste component

**Conclusion 12:** The MTR observes the stakeholder engagement for the Timor-Leste component not sufficiently inclusive.

**Recommendation 12:** *The Timor-Leste NCU in cooperation with the UNDP CO should ensure inclusion of additional stakeholders, in particular:*

- *Local authorities at Suco level need to be more involved in the decision-making on implementation of projects in their areas for reinforcing their ownership of project interventions for community development, coastal management, and environmental protection, in particular with respect to IUU fishing in the Timor Sea*

**Conclusion 13:** The MTR observed insufficiencies in the actual M&E system in Timor-Leste. In particular, the M&E activities did not sufficiently cover the various community livelihood projects' activities relevant for the ATSEA-2 project.

**Recommendation 13:** *The NCU in cooperation with the RPMU should strengthen the M&E system to reflect the activities more comprehensively as a 'bridge' between UNDP ATSEA 2 project and the Government of Timor-Leste, and to gather evidence on the impact of the community livelihoods support projects in the country.*

**Conclusion 14:** The MTR concluded that in the preparatory phase, the project had not sufficiently identified relevant income generation activities for the project target communities

**Recommendation 14:** *The NCU in cooperation with the RPMU should conduct comprehensive planning for alternate livelihood support projects for communities in the targeted municipalities. Beneficiary community groups should be supported in development of business plans and sharing of success stories in order to identify opportunities for making the best possible use of their comparative advantages and optimize achievement of results.*

## 5.4 Conclusions and Recommendations for Papua New Guinea

**Conclusion 15:** The flagship deliverable for the Papua New Guinea component is the development of the Artisanal Fisheries Management Plan (AFMP for the South Fly District (SFD). It is expected that the Plan will be officially gazetted and will thus become a law to be incorporated into local legislation at the village level. Successful implementation of the Plan will require effective management of the AFMP by the fishing villages' authorities.

**Recommendation 15:** *PEMSEA in cooperation with the NCU and RPMU should ensure provision of capacity building on AFMP management, implementation, and surveillance to the local communities in the SFD.*

**Conclusion 16:** Indicators 13 and 14 in the project SRF are poorly defined and there are no specific activities defined in the Project Document for achievement of the respective EOP targets for PNG. Assessments completed under the project proved that the EOP targets were determined based on outdated baseline data and therefore unrealistic and unclear.

**Recommendation 16:** *The RPMU in cooperation with PEMSEA and the NCU PNG should conduct a critical revision and reassessment of the EOP targets for Output 2.1.1 in the project SRF:*

- *Reset the target for Indicator 13 on more sustainable production of dried fish maw to also cover production and use of fish maw carcass;*
- *Redefine the target for Indicator 14 on improved use of fishing gears by artisanal fisheries in line with the South Fly Fore-coast AFMP*

**Conclusion 17:** Budget allocation for the PNG component in the approved Project Document is underestimated and lack of funding can negatively affect roll out of the South Fly AFMP and completion

of the first NAP for PNG. Implementation of community-level livelihood activities in the SFD will be strengthened through attracting additional resources from various available sources of financing.

*Recommendation 17: PEMSEA in cooperation with the RPMU and PNG NCU should assess options for re-allocation of the project funds to the PNG component and consider reaching out to the private sector (e.g. Ok Tedi Development Foundation) for joint activities and additional support to implementation of community level activities, including linking with the GEF Small Grants Programme in PNG and with the Australian High Commission in PNG.*

## MTR Ratings & Achievement Summary Table

Measure	MTR Rating <sup>1</sup>	Achievement Description
Project Strategy/ Project Formulation	N/A	Project design consistent with the objectives IW1 and IW3 and aligned programmes of the GEF-6 International Waters (IW) Focal Area Definition of the Project Objective, outcomes, and outputs clear, practicable and feasible within the project time frame and with majority of indicators and their targets suitable for measurement of progress to achievement of the planned results Few indicators/targets found not in line with the SMART criteria
Progress Towards Results	Objective Achievement Rating: <b>MS</b>	Good progress on targeting direct beneficiaries (total 49,695 individuals (43%), out of which 20,006 women (40%); no data available on assessment of progress on level of improvement of sustainable management of fisheries, lower than targeted total area of project-targeted MPAs
	Outcome Achievement Rating 1.1: <b>S</b>	RCC in place and functional, stakeholder participation promoted through identification of SPF membership, national SPF established in PNG, proposal for RGM developed and submitted for RSC approval, NIMC formalised in 2 countries, little progress on intersectoral cooperation, TDA updating in progress, Financial Landscape Assessment (FLA) conducted, further steps towards funding of the RGM and SAP/NAPs not clear
	Outcome 1.2 Achievement Rating: <b>S</b>	Review of existing legal frameworks and development of 4 new local regulations completed, series of regional and national training activities conducted on institutional and stakeholder capacity building, some CB activities postponed due to COVID-19 restrictions
	Outcome 1.3 Achievement Rating: <b>S</b>	Regional CCVA completed and Guidance for Facilitators prepared (submitted for RSC endorsement), pilot case study in an area-specific fishery in Oeseli Village, Indonesia completed
	Outcome 1.4 Achievement Rating: <b>S</b>	TDA update, stocktaking exercise on original SAP implementation and preparatory work for SAP/NAPs update ongoing
	Outcome 2.1 Achievement Rating: <b>MS</b>	Red snapper fisheries and value chain assessments completed, draft Regional EAFM plan for red snapper submitted for RSC approval, baseline assessment on IUU fishing and related trainings completed, Draft Fore-Coast AFMP for PNG undergoing consultation, further information needed on reduced fishing pressure and improved use of fishing gear
	Outcome 2.2 Achievement Rating: <b>MS</b>	Baseline studies and capacity building events on oil spill response and marine pollution assessment completed, Pollution Task Team in place in NTT, training on oil spill modelling and development of marine pollution early warning/integrated reporting system, little progress on concrete strengthening of oil spill response systems

<sup>1</sup> Evaluation rating indices (except sustainability – see Para 70): 6=Highly Satisfactory (HS): The project has no shortcomings in the achievement of its objectives; 5=Satisfactory (S): The project has minor shortcomings in the achievement of its objectives; 4=Moderately Satisfactory (MS): The project has moderate shortcomings in the achievement of its objectives; 3=Moderately Unsatisfactory (MU): The project has significant shortcomings in the achievement of its objectives; 2=Unsatisfactory (U) The project has major shortcomings in the achievement of its objectives; 1=Highly Unsatisfactory (HU): The project has severe shortcomings in the achievement of its objectives.

Measure	MTR Rating <sup>1</sup>	Achievement Description
	Outcome 2.3 Achievement Rating: S	Studies on ecosystem valuation and support to 2 existing MPA and one MPA designated and preparation for designation of one new MPA ongoing, Regional MPA Network Design and Regional Action Plan for Sea Turtle prepared and approved
	Outcome 2.4 Achievement Rating: S	Documents for supporting the development of ICM for two coastal areas produced, 5-year ICM plan for Barique (Manatuto) promulgated, ICM Framework Document for Rote Ndao, Indonesia in place
	Outcome 3. Achievement Rating: HS	Remarkable number of studies and reports made available through project website, newsletter with quarterly periodicity, presence on various social media, engagement in more than 30 events
Project Implementation & Adaptive Management	Rating: S	6 out of 7 aspects rated (S), only risk identification and management rated (MS)
Sustainability	Rating: ML	All 4 aspects of sustainability rated ML

## Summary of Recommendations

No.	Recommendation	Entity Responsible
<b>Overall recommendations</b>		
1	In accordance with UNDP and GEF policies, the UNDP CO in Indonesia as the Principal Project Representative should prepare and submit request for an <del>no cost</del> extension of 12-18 months in order to recover the time lost due to the slow project start and COVID-19 restrictions	UNDP CO
2	The RPMU in cooperation with the NCUs should use the ATSEA-2 ToC in monitoring of the progress in the project implementation in order to identify early indicators of progress or lack of progress towards achievement of the planned targets and to facilitate prioritization of activities.	RPMU and NCUs
3	With guidance from UNDP and following consultative processes, the RPMU in cooperation with PEMSEA and the NCUs should conduct a critical revision of the actual indicators and targets in the project SRF, in particular for Outcomes 1.1 and 2.1, and prepare a proposal for revised/alternative indicators and/or targets for submission and approval of the NPBs and the RSC.	RPMU, PEMSEA and NCUs
4	The PEMSEA, RPMU and NCUs should prepare an exit strategy for the project with emphasis on formalisation of financial commitments of the countries to the RGM functionality and the SAP/NAPs implementation	PEMSEA, RPMU and NCUs
5	UNDP in cooperation with the beneficiary countries should initiate consultations with the GEF OFPs from the ATS beneficiary countries regarding the potential preparation of ATSEA-3 project concept.	UNDP COs
6	The RPMU in cooperation with PEMSEA and the NCUs in cooperation with the participating countries should ensure that all three NIMCs are fully functional through ensuring permanent representation of stakeholder institutions on the NIMCs. Furthermore, the ATSEA-2 project teams should map existing national and regional sustainable development planning processes and identify short- and medium-term opportunities for mainstreaming the SAP/NAPs priority actions into the national development policy and planning frameworks. Results of this work should be presented for consideration of the NIMCs.	RPMU, PEMSEA and NCUs
7	PEMSEA and RPMU in cooperation with the Implementing and Executing Agencies should more actively use options for holding ad-hoc intersessional meetings of the RSC to ensure timely approval of important documents, effective management of project risks and endorsement of critical decisions needed for implementation of the project.	RPMU and PEMSEA
8	PEMSEA and the RPMU should consider preparation of popular versions of the updated SAP/NAPs for better information of the target communities	RPMU, PEMSEA and NCUs
<b>For Indonesia</b>		
9	The RPMU in cooperation with the NCU Indonesia should conduct a critical revision and reassessment of the following elements of the project SRF: <ul style="list-style-type: none"> <li>Modify Activity 2.1.3-8 on IUU fishing through conducting a study to establish a baseline on IUU fishing in FMA 718 in Aru and Merauke areas as project sites</li> </ul>	RPMU, PEMSEA and NCU

No.	Recommendation	Entity Responsible
	<ul style="list-style-type: none"> <li>• Modify Activity 2.1.3-10 on improved provincial registration of vessel systems for a more specific definition of the target vessel systems in Maluku and Papua covering three commodities (red snapper, shrimp, and barramundi)</li> <li>• Revise the EOP target for Indicator 16 through utilization of new MPA management effectiveness scoring of EVIKA and potentially adopt a new indicator for the Kolepom MPA to comply with Indonesian government requirements</li> <li>• Reconsider relevance of Activity 2.3.2-16 on the feasibility study for ecotourism development in the Kolepom MPA</li> <li>• Modify Activities 2.3.3-6 and 2.3.3-7 on conducting a feasibility study on alternate livelihood tourism opportunities for the communities in Aru Islands, Rote, and Merauke and possibly other sites through education for local communities on turtles' conservation while providing alternative nature-based livelihoods or capacity building options</li> <li>• Reconsider relevance of Activity 2.4.3-4 on technical training for maintenance and repair of the solar-powered water desalination units and eventually replace with activities related to water, sanitation, and hygiene (WASH) projects, for access to safe and affordable drinking water</li> <li>• Modify the EOP targets for under Indicators 13 and 14 to make them clearer and more specific and attainable</li> </ul>	
10	The UNDP CO in Indonesia in cooperation with the NCU should conduct a critical review of the procurement and other administrative assistance and identify causes of delays	UNDP CO
11	The NCU Indonesia should intensify consultations with the NPB and UNDP Indonesia for focusing more on performance and achieving results through arrangement of the NPB meetings at least semi-annually (at the middle and the end/beginning of the year)	NCU
<b>For Timor-Leste</b>		
12	<p>The Timor-Leste NCU in cooperation with the UNDP CO should ensure inclusion of additional stakeholders, in particular:</p> <ul style="list-style-type: none"> <li>• Local authorities at Suco level need to be more involved in the decision-making on implementation of projects in their areas for reinforcing their ownership of project interventions for community development, coastal management, and environmental protection, in particular with respect to IUU fishing in the Timor Sea</li> </ul>	NCU and UNDP CO
13	The NCU in cooperation with the RPMU should strengthen the M&E system to reflect the activities more comprehensively as a 'bridge' between UNDP ATSEA 2 project and the Government of Timor-Leste, and to gather evidence on the impact of the community livelihoods support projects in the country	RPMU and NCU
14	The NCU in cooperation with the RPMU should conduct comprehensive planning for alternate livelihood support projects for communities in the targeted municipalities. Beneficiary community groups should be supported in development of business plans and sharing of success stories in order to identify opportunities for making the best possible use of their comparative advantages and optimize achievement of results	RPMU and NCU
<b>For Papua New Guinea</b>		
15	PEMSEA in cooperation with the NCU and RPMU should ensure provision of capacity building on AFMP management, implementation and surveillance to the local communities in the SFD	RPMU, PEMSEA and NCU
16	<p>The RPMU in cooperation with PEMSEA and the NCU PNG should conduct a critical revision and reassessment of the EOP targets for Output 2.1.1 in the project SRF:</p> <ul style="list-style-type: none"> <li>• Reset the target for Indicator 13 on more sustainable production of dried fish maw to also cover production and use of fish maw carcass;</li> <li>• Redefine the target for Indicator 14 on improved use of fishing gears by artisanal fisheries in line with the South Fly Fore-coast AFMP</li> </ul>	RPMU, PEMSEA and NCU
17	PEMSEA in cooperation with the RPMU and PNG NCU should assess options for re-allocation of the project funds to the PNG component and consider reaching out to the private sector (e.g. Ok Tedi Development Foundation) for joint activities and additional support to implementation of community level activities, including linking with the GEF Small Grants Programme in PNG and with the Australian High Commission in PNG	RPMU, PEMSEA and NCU

## 5.5 Lessons learned and best practices

The establishment of Field Facilitators in Indonesia and Site Mobilisers in Timor-Leste proves to be a good example of a bridge between the central level of the NCUs and the project field locations. These arrangements help to attract interest and commitment of local authorities for organization of training and awareness raising events. The outposted members of the project teams also serve as an effective and efficient tool for conveying the project objectives and initiatives to community-based organisations and groups.

The experience from implementation of the projects shows that the baseline data compiled during the project preparatory phase was incomplete. Filling of gaps in the baseline data during the first years of implementation prove that few indicators and related EOP targets are not realistic. The takeaway lesson is that in case of incomplete baseline data it is desirable to revise the results' targets at the project mid-term stage. More complete baseline data and other information on actual realities on the ground and changed external conditions make grounds for making the indicators and targets more realistic and attainable.

In addition to complicated legislative procedures adoption of new or revised national laws, endorsement of regional legal and financial commitments requires additional complicated consultations and negotiations between the participating countries. Indicators and targets for which the achievement is outside the control of the project, such as adoption of laws and policies and allocation of resources by the beneficiary governments carry a high risk of non-achievement within the 5-year lifetime of the project. Inclusion of such indicators and targets in the project frameworks should be carefully considered and eventually avoided to the extent possible.

## **6.ANNEXES**

### ***ANNEX 1: UNDP-GEF MIDTERM REVIEW TERMS OF REFERENCE***

[https://procurement-notices.undp.org/view\\_notice.cfm?notice\\_id=88757](https://procurement-notices.undp.org/view_notice.cfm?notice_id=88757)

[https://procurement-notices.undp.org/view\\_notice.cfm?notice\\_id=88759](https://procurement-notices.undp.org/view_notice.cfm?notice_id=88759)

[https://procurement-notices.undp.org/view\\_notice.cfm?notice\\_id=88869](https://procurement-notices.undp.org/view_notice.cfm?notice_id=88869)

## ANNEX 2: EVALUATION MATRIX

Evaluation Criteria	Evaluation Questions	Indicators	Data Sources	Data Collection Methods
Project Strategy	<p>Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?</p> <p>Does the progress so far indicate that the project could in the future catalyse beneficial development effects that could be included in the project results framework and monitored on an annual basis?</p> <p>Are broader development and gender aspects of the project being monitored effectively?</p> <p>Develop and recommend SMART 'development' indicators, including sex-disaggregated indicators and indicators that capture development benefits <sup>38</sup>.</p> <p>How relevant is the project strategy to address the country priorities? Is the project in line with the national sector development priorities and plans?</p> <p>To what extent were perspectives of those affected by project decisions and of those who could affect the outcomes, taken into account during project design processes?</p> <p>Does the project strategy provide an effective route towards expected/intended results?</p> <p>To what extent were lessons learned from other relevant projects incorporated into the project design?</p> <p>Are the underlying assumptions for the problem addressed by the project still valid?</p>	<p>Project activities in line with the country development and sectoral priorities and plans</p> <p>Activities produce outputs according to the project logframe</p> <p>Lessons learned from previous projects taken into account for implementation</p> <p>Assumptions and risks identified are effectively managed</p>	<p>UNDP programme/project documents</p> <p>UNDP programme/project Annual Work Plans</p> <p>Programmes/projects/ thematic areas evaluation reports</p> <p>Government's national planning documents</p> <p>Human Development Reports</p> <p>MDG progress reports</p> <p>Government partners progress reports</p> <p>Interviews with beneficiaries</p> <p>UNDP staff</p> <p>Development partners (UN agencies, bilateral development agencies)</p> <p>Government partners involved in specific results/thematic areas</p> <p>Concerned civil society partners</p> <p>Concerned associations and federations</p>	<p>Desk reviews of secondary data</p> <p>Interviews with government partners</p> <p>Interviews with NGOs partners/service providers</p> <p>Interviews with funding agencies and other UNCT</p> <p>Interviews with UNDP staff, development partners and government partners, civil society partners, associations, and federations</p>
Progress Towards Results	<p>Which are the aspects of the project that have already been successful and how the project can further expand these benefits?</p> <p>How does the GEF Tracking Tool at the Baseline compare with the GEF TT completed before the Midterm Review?</p> <p>How far has the regional context been taken into consideration while selecting the project/ programme?</p> <p>Was there any partnership strategy in place for implementation of the project and if so how effective was it?</p>	<p>GEF TT used as project management instrument</p> <p>The project has partnership strategy and actions taken to promote cooperation between partners</p>	<p>Project/programme/thematic areas evaluation reports</p> <p>Progress reports on projects</p> <p>UNDP staff</p> <p>Development partners</p> <p>Government partners</p> <p>Beneficiaries</p> <p>Progress reports on projects</p> <p>Programme documents</p> <p>Annual Work Plans/Progress Reports</p> <p>Evaluation reports</p> <p>MDG/Human Development Reports</p>	<p>Desk reviews of secondary data</p> <p>Interviews with government partners, development partners, UNDP staff, civil society partners, associations, and federations</p>
	Has the project or programme been implemented within the original timeframe and budget?	Project implementation within the original timeframe and budget	Programme documents Annual Work Plans	Desk reviews of secondary data

Evaluation Criteria	Evaluation Questions	Indicators	Data Sources	Data Collection Methods
Project Implementation & Adaptive Management	<p>To what extent the work-planning processes are results-based?</p> <p>To what extent has the project's results framework/logframe been used as a management tool and were there any changes to it since the project start?</p> <p>Have UNDP and the PMU taken prompt actions to solve implementation issues?</p> <p>Have there been any delays in project start-up and implementation and if so what were the causes and how they have been solved?</p> <p>What mechanisms does UNDP have in place to monitor implementation? Are these effective?</p> <p>Have there been any outside factors (e.g. political instability) affecting on implementation effectiveness?</p>	<p>Annual workplans elaborated according to the logframe</p> <p>Implementation issues solved by PMU/UNDP</p> <p>Implementation monitoring tools in place and effectively used</p>	<p>Annual Progress Reports</p> <p>Evaluation reports</p> <p>Government partners Development partners</p> <p>UNDP staff (Programme Implementation Support Unit)</p>	<p>Interviews with government partners and development partners</p>
	<p>To what extent financial controls have been established that allow the project management to make informed decisions regarding the budget at any time and allow for the timely flow of funds?</p> <p>Has there been over-expenditure or under-expenditure on the project?</p> <p>Were the resources focused on the set of activities that were expected to produce significant results?</p> <p>Were the project resources concentrated on the most important initiatives or were they scattered/spread thinly across initiatives?</p>	<p>Financial controls established and used to provide feedback on implementation</p> <p>Activities prioritized for achievement of significant results</p>	<p>Programme documents</p> <p>Annual Work Plans</p> <p>Annual Progress Reports</p> <p>Evaluation reports</p> <p>Government partners Development partners</p> <p>UNDP staff (Programme Implementation Support Unit)</p>	<p>Desk reviews of secondary data</p> <p>Interviews with government partners and development partners</p>
	<p>Have changes been made and are they effective?</p> <p>Are the existing responsibilities and reporting lines clear?</p> <p>To what extent is decision-making in the project transparent and undertaken in a timely manner?</p>	<p>Decision-making on implementation transparent and timely</p> <p>Implementation of components with multiple responsible partners clear and timely</p>	<p>Programme documents</p> <p>Annual Work Plans</p> <p>Annual Progress Reports</p> <p>Evaluation reports</p> <p>Government partners Development partners</p> <p>UNDP staff (Programme Implementation Support Unit)</p>	<p>Desk reviews of secondary data</p> <p>Interviews with government partners and development partners</p>

Evaluation Criteria	Evaluation Questions	Indicators	Data Sources	Data Collection Methods
Project Implementation & Adaptive Management (continued)	Has the project developed and leveraged partnerships with direct and tangential stakeholders? Do the stakeholders have roles in project decision-making that support efficient and effective project implementation? To which extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives and are there any limitations to stakeholder awareness of project outcomes/ participation in project activities?	Mechanisms for involvement of other stakeholders in place Other stakeholders aware of the project and involved in implementation	Programme documents Annual Work Plans Annual Progress Reports	Desk reviews of secondary data
	How the Project Team and partners undertake and fulfill the GEF reporting requirements? To what extent have lessons derived from the adaptive management process been documented, shared with and internalized by key partners and incorporated into project implementation? Have the PIRs been shared with the Project Board and other key stakeholders?	Quality reporting according to GEF reporting requirements Lessons for adaptive management documented and taken into account for implementation	Evaluation reports Progress reports UNDP programme staff	Desk reviews of secondary data Interview UNDP programme staff
	How regular and effective has been the internal project communication with project stakeholders? Are there any ways of external communication established to inform about the project progress the public? Are there any aspects of the project that might yield excellent communications material as additional project output?	Quality and effectiveness of internal communication Possibilities for additional communication material identified	Evaluation reports Progress reports UNDP programme staff	Desk reviews of secondary data Interview UNDP programme staff

Evaluation Criteria	Evaluation Questions	Indicators	Data Sources	Data Collection Methods
Sustainability	<p>What is the likelihood of financial and economic resources not being available once the GEF assistance ends?</p> <p>To what extent financial and economic instruments and mechanisms have been established or will be established to ensure the ongoing flow of benefits once the GEF assistance ends?</p> <p>What additional factors are needed to create an enabling environment for continued financing?</p>	Existence of counterpart/stakeholder funding for the project outcomes Additional factors for continued financing identified	<p>Programme documents</p> <p>Annual Work Plans</p> <p>Annual Progress Reports</p> <p>Evaluation reports</p> <p>Government partners Development partners</p> <p>UNDP staff (Programme Implementation Support Unit)</p>	<p>Desk reviews of secondary data</p> <p>Interviews with government partners and development partners</p>
	<p>Has the project put in place frameworks, policies, governance structures and processes that will create mechanisms for institutional and technical knowledge transfer after the project's closure?</p> <p>To what extent has the project been developing institutional capacity (systems, structures, staff, expertise, etc.) that will be self-sufficient after the project closure date?</p> <p>Has the project achieved stakeholders' consensus regarding courses of action after the project's closure?</p>	<p>Institutional frameworks for continuation of activities established</p> <p>Level of self-sufficiency of the established institutional frameworks</p>	<p>Programme documents</p> <p>Annual Work Plans</p> <p>Annual Progress Reports</p> <p>Evaluation reports</p> <p>Government partners Development partners</p> <p>UNDP staff (Programme Implementation Support Unit)</p>	<p>Desk reviews of secondary data</p> <p>Interviews with government partners and development partners</p>
	<p>Are there any social or political risks that may jeopardize sustainability of project outcomes?</p> <p>Are there any environmental factors that could undermine and reverse the project's outcomes, including factors that have been identified by project stakeholders?</p> <p>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?</p> <p>Is there sufficient public/ stakeholder awareness in support of the objectives of the project?</p>	<p>Social, political and environmental risks identified and taken into account</p> <p>Level of stakeholder awareness and ownership of the project results</p>	<p>Programme documents</p> <p>Annual Work Plans</p> <p>Annual Progress Reports</p> <p>Evaluation reports</p> <p>Government partners Development partners</p> <p>UNDP staff (Programme Implementation Support Unit)</p>	<p>Desk reviews of secondary data</p> <p>Interviews with government partners and development partners</p>

SAMPLE QUESTIONS RELATING TO THE PROMOTION OF UN VALUES FROM A HUMAN DEVELOPMENT PERSPECTIVE				
Evaluation Criteria	Evaluation Questions	Indicators	Data Sources	Data Collection Methods
Supporting policy dialogue on human development issues	To what extent does the initiative support the government in monitoring achievement of MDGs? What assistance has the initiative provided supported the government in promoting human development approach and monitoring MDGs? Comment on how effective this support has been.	Level of contribution of the project to the achievement of MDGs	Project documents Evaluation reports HDR reports MDG reports National Planning Commission Ministry of Finance	Desk review of secondary data Interviews with government partners
Contribution to gender equality	To what extent was the UNDP initiative designed to appropriately incorporate in each outcome area contributions to attainment of gender equality? To what extent did UNDP support positive changes in terms of gender equality and were there any unintended effects? Provide example(s) of how the initiative contributes to gender equality. Can results of the programme be disaggregated by sex?	Level of monitoring of gender related issues	Project documents Evaluation reports UNDP staff Government partners Beneficiaries	Desk review of secondary data Interviews with UNDP staff and government partners Observations from field visits
Addressing equity issues (social inclusion)	To what extent does the project take into account the needs of vulnerable and disadvantaged to promote social equity, for example, women, youth, disabled persons? Provide example(s) of how the initiative takes into account the needs of vulnerable and dis- advantaged groups, for example, women, youth, disabled persons. How has UNDP programmed social inclusion into the initiative?	Level of monitoring of social inclusion related issues	Project documents Evaluation reports UNDP staff Government partners Beneficiaries	Desk review of secondary data Interviews with UNDP staff and government partners Observations from field visits

### ***ANNEX 3: INTERVIEW GUIDE (GENERAL QUESTIONNAIRE)***

#### **1. General Questions to Various Stakeholders**

- In which role you have been involvement in the project?
- Have you received training or technical assistance from the project? If so, how useful was it for you in relation to your job? Please explain.

#### **2. Project Design/ Strategy (To Project Team; NPDs; NFPs; Various Stakeholders)**

- What were the major challenges you have faced so far in the project? Can they be addressed by adjusting the project design and/or implementation strategy?
- Is the gender strategy of the project sufficiently defined?
- Are the goals and results of the project clear, practical and achievable over the course of the project?
- Develop and recommend SMART “development” indicators, including sex-disaggregated indicators and indicators that reflect development benefits
- How relevant is the project strategy to addressing country priorities? Is the project in line with the priorities and development plans of the national sector?
- To what extent were the views of those affected by the design decisions and those who could influence the results taken into account during the design process?
- Does the project strategy provide an efficient path to the expected / expected results?
- To what extent have lessons learned from other relevant projects been incorporated into the design of the project?

#### **3. Project Implementation (To Project Team; NPDs; NFPs; IA; EA; Various Stakeholders)**

- How do you assess adequacy of management arrangements and technical support to the project?
- How do you assess the coordination and communication aspects of the project?
- Is the gender strategy of the project sufficiently implemented?
- Are the broader developmental and gender aspects of the project being effectively monitored?
- To what extent are work planning processes based on results?
- To what extent have the results framework / project logframe been used as a management tool and have there been any changes since the beginning of the project?
- Did UNDP and PMU take prompt action to address implementation issues?
- Were there any delays in the launch and implementation of the project, and if so, what were the reasons and how were they resolved?
- Were there any external factors (such as political instability) affecting the effectiveness of implementation?
- Are the existing responsibilities and reporting lines clear?
- To what extent is project decision making in a transparent and timely manner?
- Has the project developed and used partnerships with direct and indirect stakeholders?
- Do stakeholders have design decision-making roles that support effective and efficient project implementation?

- To what extent has stakeholder participation and public awareness contributed to the progress towards achieving project objectives, and are there any constraints on stakeholder awareness of project outcomes / participation in project activities?

**Financial (To Project Team-RPMU and NCUs; IA and EA; NPDs; NFPs):**

- To what extent has financial control been established that allows project management to make informed budget decisions at all times and ensures that funds are received on time?
- Have there been excessive or insufficient project costs?
- Were resources focused on a set of activities that were expected to produce significant results?
- Were the project resources focused on the most important initiatives or were they scattered / allocated among the initiatives?

**Monitoring (To Project Team; NPDs; NFPs; Various Stakeholders):**

- What mechanisms does UNDP have to monitor implementation? Is it effective?
- What have been the main lessons learned from the project so far?

**Communications (To Various stakeholders):**

- To what extent has stakeholder participation and public awareness contributed to the progress towards achieving project objectives, and are there any constraints on stakeholder awareness of project outcomes / participation in project activities?
- To what extent are lessons learned from the adaptive management process documented, disseminated and learned by key partners and incorporated into project implementation?
- How regular and effective was the internal communication of the project with the project stakeholders?
- Are there any means of external communication to inform the public about the progress of the project?
- Are there any aspects of the project that can provide excellent communication material as a complementary project outcome?

**(To Project Team-RPMU and NCUs; GEF OFPs; IA and EA; NPDs; NFPs)**

- How do you assess the cooperation on the project with UNDP as the GEF Implementing Agency?
- Have changes been made and are they effective?

**4. Project Results (To Project Team; IA; EA; Various Stakeholders)**

- Have there been any planned activities that have been difficult to complete according to the schedule? If so, have the delays affected progress toward expected results?
- What have been the main lessons learned from the project so far?
- What aspects of the project have already been successful and how can the project extend these benefits?

**5. Sustainability (To Project Team, IA, EA, Various Stakeholders)**

- What are the main challenges for the remaining period of implementation of the project?

- What is the likelihood that financial and economic resources will not be available after the end of GEF assistance?
- To what extent have financial and economic instruments and mechanisms been or will be created to ensure a continuous flow of benefits after the end of GEF assistance?
- What additional factors are needed to create an enabling environment for continued funding?
- Has the project put in place a framework, policy, governance structures and processes that will establish mechanisms for the transfer of institutional and technical knowledge after project completion?
- To what extent does the project develop institutional capacities (systems, structures, personnel, experience, etc.) that will be self-sufficient after the closing date of the project?
- Has the project reached a stakeholder consensus on the direction of activities after the closure of the project?
- Are there any social or political risks that could jeopardize the sustainability of the project results?
- Are there any environmental factors that could undermine and reverse the results of the project, including factors that have been identified by the project stakeholders?
- What is the risk that the level of stakeholder interest (including ownership by governments and other key stakeholders) will be insufficient to ensure the sustainability of project results / benefits?
- Is there sufficient public / stakeholder awareness to support the objectives of the project?

## ***ANNEX 4: MTR RATING SCALES***

<b>Ratings for Progress Towards Results: (one rating for each outcome and for the objective)</b>		
6	Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as “good practice”.
5	Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
4	Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
3	Moderately Unsatisfactory (MU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
1	Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets and is not expected to achieve any of its end-of-project targets.
<b>Ratings for Project Implementation &amp; Adaptive Management: (one overall rating)</b>		
6	Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as “good practice”.
5	Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
4	Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
3	Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
2	Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
1	Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.
<b>Ratings for Sustainability: (one overall rating)</b>		
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 5: LIST OF PERSONS INTERVIEWED AND ITINERARY***

(Note: The International Consultant was home-based and interviews were conducted virtually. For National Consultants of Indonesia and Timor-Leste some field missions and face to face interviews were conducted, while other interviews were also conducted virtually.)

### **Indonesia**

<b>Date of travel</b>	<b>Place</b>	<b>Time (</b>	<b>Activities conducted</b>
Wednesday, 01 June 2022	Jepara, Semarang, Jakarta, and Kupang	06:00– 20:00	<ul style="list-style-type: none"> <li>- Departured from Ahmad Yani International Airport</li> <li>- Arrived in Kupang</li> <li>- Discussions with the ATSEA-2 NCU colleagues and local partners</li> </ul>
Thursday, 02 June 2022	University of Nusa Cendana and National Water Conservation Area Center (BKKPN), Kupang	08:00-08.30 08.30-09.00 09:30-10:30 10:30-11:00 11:00-12:00 12:00-13:00 13:30-14:00 14:00-15:00 15:30-16:30 17:00-20:00	<ul style="list-style-type: none"> <li>- Travel from hotel to BKKPN Kupang</li> <li>- Interview with Mr. Imam Fauzi (Head of BKKPN Kupang)</li> <li>- Travel from BKKPN Kupang to hotel for attending ATSEA-2 Project's Marine Pollution training</li> <li>- University of Nusa Cendana</li> <li>- Interview with Mr. Jotham Ninef (Lecturer of University of Nusa Cendana)</li> <li>- Travel to Airport</li> <li>- Praying in Musholla at La Tari Airport</li> <li>- Online Interview assisting Mr. Dalibor Kysela with the Indonesia's NPB, Ms. Sitti Hamdyah (Rescheduled)</li> <li>- Flight to Rote</li> <li>- Travel to hotel, praying, and dinner</li> </ul>
Friday, 03 June 2022	Oeseli Village, Rote Nde	08:30-10:00 10:30-11:00 11:00-11:30 12:00-13:00 13:00-16:00 18:30-20:00	<ul style="list-style-type: none"> <li>- Travel from Ba'a to Oeseli</li> <li>- Interview with Housewives' Business on Natural Soap Production</li> <li>- Interview with Local Communities on Coral Reef Conservation</li> <li>- Jumah praying, lunch, and taking a nap</li> <li>- Return to hotel</li> <li>- Dinner</li> </ul>
Saturday, 04 June 2022	Landu Tii Village & Nusa Manuk Island, Rote Nde	08:00-12:00 12:00-13:00 13:00-18:30 18:30-19:30	<ul style="list-style-type: none"> <li>- Field Visit to Landu Tii Village &amp; Nusa Manuk Island, Rote Ndao</li> <li>- Lunch</li> <li>- Field Visit and return to accommodation</li> <li>- Debriefed discussion</li> </ul>
Sunday to Monday, 05-06 June 2022	Jepara and Semarang	05:00-17:00	<ul style="list-style-type: none"> <li>- Return to Jepara</li> </ul>

## Timor-Leste

Date	NAME	POSITION	INSTITUTION
03 June 2022	Dr. Abilio Fonseca. ATSEA 2 Partner. UNTL	Partner	National University of Timor-Leste (UNTL)
03 June 2022	Nelson Antonia de Jesus Medeiros Madeira	National Director of Pollution Control, SEA	SEA Environment
03 June 2022	Aquelino Amaral	National director for bilateral Cooperation	MNEC (Ministry of Foreign Affairs)
03 June 2022	Gil Bento	National Director	Secretary state of Cooperative
04 June 2022	Pedro A. M. Rodrigues	Chief of Department	MAF
04 June 2022	Celestino da Cunha Barreto	National Director	MAF/Fishery directorate
04 June 2022	Constancio dos Santos	Chief of Department	MAF/Fishery directorate
04 June 2022	Acacio Guterres	Director General	MAF/Fishery directorate
27 May 2022	Jose Monteiro	Senior staff of Fishery	Trained of EAFM
27 May 2022	Elezito de Jesus Ximenes	Representative Fishery department	Municipality Lautem
28 May 2022	Fernando Joaquim	Representative Fishery department	MAF
26 May 2022	Jaime Alves	Representative Fishery department	MAF
29 May 2022	Venancio da Costa Ximenes	Coordinator ICM	MOSA
29 May 2022	Felixiano Baptista	Chefe Suco Uma boku	MOSA
29 May 2022	Jacinta M da Cruz	Head of women group	Beneficiary of plastic recycling training in postu Barique
29 May 2022	Florindo da Costa Magalaens	Administrator Post Administrative Barique	MOSA
30 May 2022	Arantes Isaac Sarmento	Administrator of Municipality Manufahi	Ministry of Administration/STATAL
30 May 2022	Adelino de Araujo Costa	Administrator Post Administrative Same	Ministry of Administration/STATAL
31 May 2022	Frans Flores	Advisor of Fishery Cooperative	Fishermen Betano
31 May 2022	Saturnina da Silva	Chief of Sub village Selihasan Betano	Ministry of Administration/STATAL
31 May 2022	Hermenegildo Pereira	Representative Fishery department	Municipality Manufahi
01 June 2022	Fernando da Silva	Representative Fishery department	Municipality Manatuto

### Interviews by the International Consultant (virtual)

Organisation	Name	Position
ATSEA-2 RPMU	Handoko Adi Susanto Ingrid Narcise,  Casandra Tania,  Dwi Aryo Djiptohandono, Kate Aguilung Nur Junaidi, Vita Andriana,	Regional Project Manager Policy and Result-Based Specialist (Component 1 Coordinator) Biodiversity Specialist (Component 2 Coordinator) Communications/KM Specialist (Component 3 Coordinator) M&E Specialist Project Associate (Admin and Finance) Project Associate (Admin and Finance)
UNDP CO Indonesia	Agus Prabowo, Iwan Kurniawan,	Head of Environment Unit Technical Officer/Programme Manager
UNDP Regional Hub Bangkok	Jose Padilla,	Regional Technical Adviser,
UNDP CO Timor-Leste	Lazima Onta Bhatta, Domingos Leqi Sigamaria, Honorina Sarmiento,	Deputy Resident Representative Climate Change Specialist M&E Officer
UNDP CO Papua New Guinea	Linda Kapus-Barae,	Project Manager
PEMSEA	Aimee Gonzales	Executive Director
ATSEA-2 NCU Indonesia	Dwi Ariyoga Gautama, Nara Wiwardhana, Laeli Sukmahayani,	National Project Coordinator for ATSEA-2 M&E Specialist Gender Specialist
ATSEA-2 NCU Timor- Leste	Almerindo DaSilva, Norman Mushabe,	National Project Coordinator for ATSEA-2 Marine Fishery Specialist
ATSEA-2 NCU PNG	Kenneth Yhuanje, Joe Kiningi,	National Project Coordinator Admin and Finance Officer
MMAF Indonesia	Yayan Hikmayani,	Head of Center for Fisheries. Research; National Project Director for ATSEA-2
MMAF Indonesia	Sitti Hamdyah,	Coordinator for International Cooperation NPB member
Ministry of Agriculture and Fisheries (MFA) Timor- Leste	Acacio Guterres	Director General for Fisheries, National Project Director for ATSEA-2
National Fisheries Authority (NFA) PNG	Noan Pakop,	Deputy Managing Director National Project Director for ATSEA-2
Ministry of Environment and Forestry Indonesia	Laksmi Dhewanthi,	Senior Advisor, GEF Operational Focal Point
Secretariat of State for Environment Timor  Leste	Joao Carlos Soares	Director, GEF Operational Focal Point
South Fly District Fisheries	Dainah Gigiba,	District Fisheries Officer
Western Province Fisheries PNG	Odori Koloni,	Provincial Fisheries Advisor, NIMC member
DAWE Australia	Andrew Chek,	Acting Director of Pacific Engagement Section, National Focal Point for ATSEA-2
	Gellwyn Yusuf,	National Advisor for RGM and SPF in Indonesia
	Augusto da Silva	National Advisor for RGM and SPF in Timor- Leste
TierraMar Consulting	Anissa Lawrence, Managing Director	Advisor for RGM and SPF in Australia

<b>Organisation</b>	<b>Name</b>	<b>Position</b>
RPOA-IUU Secretariat	Arif Hidayatullah,	Alternate Coordinator, in Jakarta; ATSEA-2 Partner
Coral Triangle Centre Bali;	Rili Djohani,	Executive Director,
University of PNG	Ralph Mana	Associate Professor - Marine Science SPF member
OK Tedi Foundation;	Havini Vira	CEO, SPF member
AJI Indonesia	Febrina Galuh,	Executive Director Media Partner of ATSEA-2
Argo Asia;	Shoeb Kagda,	Media Partner of ATSEA-2
Oil Spill Response Limited (OSRL) Singapore;	Norman Ramos,	Principal Consultant/Trainer, ATSEA-2 Partner

## ***ANNEX 6: LIST OF DOCUMENTS CONSULTED***

1. Guidance for Conducting Midterm Reviews of UNDP-supported, GEF-financed Projects UNDP-GEF, 2014
2. The GEF Monitoring and Evaluation Policy, GEF Evaluation Office, 2010
3. UNDP Evaluation Guidelines, UNDP, 2019
4. Outcome-Level Evaluations, A Companion Guide, UNDP, 2011
5. Glossary of Key Terms in Evaluation and Results Based Management, OECD, 2010
6. Ethical Guidelines for Evaluations, UNEG, 2008
7. Integrating Human Rights and Gender Equality in Evaluations, UNEG, 2014
8. Strategic Action Programme for the Arafura and Timor Seas Region, prepared for ATSEA-1, 2012
9. Transboundary Diagnostic Analysis for the Arafura and Timor Seas Region, prepared for ATSEA-1, 2011
10. Arafura and Timor Seas Action Programme, Terminal Evaluation Report, UNDP, 2014
11. Implementation of the Arafura and Timor Seas Regional and National Strategic Action Programs, GEF PIF, UNDP, 2014
12. Implementation of the Arafura and Timor Seas Regional and National Strategic Action Programs (ATSEA-2); Second Phase of the Arafura Timor Seas Ecosystem Action (ATSEA) Programme, GEF Project Document, UNDP 2017
13. Proceedings from ATSEA-2 Project Inception Workshop, UNDP, 2019
14. Inception Meeting Reports Indonesia and Timor-Leste, 2019, PNG, 2021
15. ATSEA-2 Project Implementation Reviews (PIRs), UNDP 2020 and 2021
16. ATSEA-2 Annual Work Plans and Budgets (Regional, Indonesia and Timor-Leste 2019-2022; PNG 2021-2022)
17. ATSEA-2 Project Assurance Reports (PARs), semi-annual, Regional/PNG and Indonesia, 2019-2022
18. UNDP Country Programme Document(s) (CPDs) IDN CPD 2021-2025; TL CPD 2021-2025; PNG CPD 2018-2022
19. Minutes of the ATSEA-2 Regional Steering Committee (RSC) meetings, 2019-2021
20. Annual Progress Reports (ATSEA-2 Publications), 2020 and 2021
21. Regional Profile of Coastal and Marine Ecosystems: Their Connectivity, Ecological Importance, and Socio-Cultural Impact on the Arafura and Timor Seas Region, ATSEA-2 Report 2020
22. Setting Goals, Objectives, and Design of Resilient Arafura and Timor Seas MPA Network, ATSEA-2 Report 2020
23. Proceedings of the ATSEA-2 Stakeholder Partnership Forum Consultative Webinar Series: Building a Better ATS for Tomorrow, ATSEA-2 Report, 2020
24. EAFM Plan for Timor-Leste South Coast Red Snapper Fishery, Fishwell Consulting for ATSEA-2, 2021
25. ICM Baseline Report for two villages in TL, ATSEA-2 Report 2021
26. Integrated Coastal Management (ICM) Strategic Implementation Plan in Posto Administrativo of Barique, Manatuto Municipality, ATSEA-2 Report 2021
27. Valuation of Ecosystem Services in the Arafura and Timor Seas Region, ATSEA-2 Report, 2021
28. Training on Database and Information Management System for the Arafura and Timor Seas, ATSEA-2 Report, 2021
29. Assessment of Coastal Ecosystem Economic Value in Southeast Aru - Kepulauan Aru Regency, ATSEA-2 Report, 2021
30. Assessment of Mangrove Ecosystem Economic Value Surround SAP P. Kolepom Merauke Regency, ATSEA-2 Report, 2021
31. The Analysis of Threatened, Charismatic, and Migratory Species Distribution around the Arafura and Timor Seas, ATSEA-2 Report, 2021
32. Status of Sea Turtles in the Arafura and Timor Seas, ATSEA-2 Report, 2021
33. Roadmap for the Establishment of New Marine Protected Areas in the Arafura and Timor Seas, ATSEA-2 Report, 2021

34. Report on Regional and National Consultations Regarding the Draft MPA Network Design and Regional Sea Turtle Action Plan, ATSEA-2 Report, 2021
35. Gender Equality and Social Inclusion Analysis for ATS Region, ATSEA-2 Report, 2021
36. Gender Assessment Report for Aru Islands, Maluku, ATSEA-2 Report, 2021
37. Gender Assessment Report for Rote Ndao, NTT, ATSEA-2 Report, 2021
38. Oeseli village, Rote Ndao, Indonesia Community Action Plan, prepared for ATSEA-2, 2021
39. ATSEA-2 in Papua New Guinea Capacity Development Plan, prepared for ATSEA-2, 2021
40. Stakeholder Evaluation and Capacity Assessment in Marine and Fisheries; that relates to South Fly, Western Province, ATSEA-2 Report, 2021
41. Papua New Guinea Legal Framework in Marine and Fisheries; that relates to South Fly, Western Province, ATSEA-2 Report, 2021
42. Guidance Document on the Development of a Regional Governance Mechanism for the ATS Region, prepared for ATSEA-2, 2021
43. Regional Governance Assessment, ATSEA-2 Report, 2021
44. Proceedings of the Consultative Meeting on the Regional Stakeholder Partnership Forum (SPF), ATSEA-2 Report, 2021
45. Facilitation of Developing National Inter-Ministry Committees (NIMCS) to Support Arafura and Timor Seas Governance, ATSEA-2 Report, 2021
46. Collaborative Surveillance Best Practices and Lessons Learned Against IUU Fishing, ATSEA-2 Report, 2021
47. Review of National Policies and Regulations of RPOA-IUU Participating Countries, ATSEA-2 Report, 2021
48. Supporting Efforts in Developing Tools for the FAO Global Record Initiative, ATSEA-2 Report, 2021
49. Fish Consumption Level and Value Chains Assessment Based on Household Survey in Merauke and Aru Regency, Indonesia, ATSEA-2 Report, 2021
50. Fisheries business plan in Merauke and Aru Regencies, Indonesia, ATSEA-2 Report, 2021
51. An Ecosystem Approach to Fisheries Management for Red Snapper in the Arafura and Timor Seas – Fishery Baselines, ATSEA-2 Report, 2021
52. Scaling up RBM in the ATS: Taking a rights-based approach to the management of small-scale red snapper fisheries in the ATS region, ATSEA-2 Report, 2021
53. Report on EAFM Training and Training of Trainers, ATSEA-2 Report, 2021
54. Stakeholder Consultation Report for Arafura and Timor Seas Red Snapper EAFM Planning, ATSEA-2 Report, 2021
55. Assessing the Vulnerability of the Arafura and Timor Seas Region to Climate Change, ATSEA-2 Report, 2021
56. Marine and Land-based Pollution Assessment on the Southern Coast of Rote Ndao Regency, Indonesia, ATSEA-2 Report, 2021
57. Marine and Land-based Pollution Assessment in the Arafura and Timor Seas Region, ATSEA-2 Report, 2021
58. Draft Fore-coast Artisanal Fisheries Management Plan South Fly, Western Province, ATSEA-2 Report, 2022
59. Quarterly ATSEA-2 Newsletters, Issues 1-8, 2020-2022

## ANNEX 7: PROJECT RESULTS MATRIX (*DISCUSSED AT INCEPTION WORKSHOP CONDUCTED ON 18 NOVEMBER 2019*)

Objective/Outcome	Key Indicator(s)	Baseline	End of Project target	Source of Information	Risks and assumptions
<b>Objective:</b> To enhance sustainable development of the Arafura-Timor Seas (ATS) region to protect biodiversity and improve the quality of life of its inhabitants through conservation and sustainable management of marine-coastal ecosystems (as indicated in the SAP).	1. Number of women and men as direct beneficiaries of project activities	0	Cumulative total of direct beneficiaries: 55,000 women 60,000 men	Monitoring reports for field interventions Work plans	<u>Risks:</u> Resource users could be reluctant to participate in project activities. <u>Assumptions:</u> Women participation is assumed consistent with findings of stakeholder consultations and genera practice at the project sites.
	2. Globally over-exploited fisheries (by volume) moved to more sustainable levels	0	Up to 25% (by volume) for the ATS region, representing approximately 0.25% of global levels	Monitoring reports Compliance reports Capture fisheries statistics	<u>Risks:</u> There are risks that enabling decisions for regulatory authorities will not be issued timely. <u>Assumptions:</u> The integrated approaches applied under this project will be sustained after project closure.
	3. Landscapes and seascapes under improved biodiversity management	0	800,000 ha	Ministerial decree	<u>Risks:</u> Enabling decisions are not timely granted; Resource users including communities are reluctant to collaborate; Impacts of climate change undermine the sustainability of the conservation efforts; <u>Assumptions:</u> Baseline conditions are satisfactorily representative; There is support locally and nationally for designation of new MPAs; The time required to obtain enabling decisions is sufficient.
<b>Component 1: Regional, National and Local Governance for Large Marine Ecosystem Management</b>					
<b>Outcome 1.1:</b> Regional and national mechanisms for cooperation in place and operational	<b>Outputs:</b> 1.1.1 Regional Coordination Committee and a supporting Secretariat created to promote regional level planning, cooperation and monitoring in the implementation of the SAP and NAPs; formal regional cooperation agreement adopted and implemented where feasible 1.1.2 Improved stakeholder participation at the regional and national levels through the establishment of a Stakeholder Partnership Forum for the implementation of the SAP and NAPs (SAP) with representation of local people and women's groups 1.1.3 Improved inter sectoral coordination at the national and local levels in support of the implementation of integrated approaches to NRM, water resources, biodiversity conservation and climate change adaptation, through national inter-ministry committees in Indonesia, Timor-Leste, and Papua New Guinea 1.1.4 Financial mechanisms in place to support the implementation of the SAP and NAPs and the replication and upscaling of demonstration projects				
	4. Regional governance mechanism	Informal cooperation under ATSEF, and conceptualization of ATS governance mechanism	Regional governance mechanism established and functioning with at least 2 of 4 countries contributing dues	Ministerial Declaration	<u>Risks:</u> Littoral countries cannot reach agreement on structure or financing arrangements for regional governance mechanism; <u>Assumptions:</u>

Objective/Outcome	Key Indicator(s)	Baseline	End of Project target	Source of Information	Risks and assumptions
		outlined in Ministerial Declaration			There is political and financing support for establishing and sustaining a regional governance mechanism;
	5. National Inter-Ministerial Committees (NIMCs)	NIMCs loosely formed, with no clear mandate for ATS priority concerns <input type="checkbox"/>	NIMCs established, functioning and formalized through legal and/or institutional arrangements in each of the three beneficiary countries	Ministerial Declaration	<u>Risks:</u> Changes in key policies and/or decision makers lead to reduced support for the NIMCs; Overlapping sectoral mandates or other conflicts <u>Assumptions:</u> Key cross-sectoral stakeholders support and will actively participate in the NIMCs;
	6. SAP implementation finance secured by governments and development partners	0	25%	Sectoral annual work plans Medium term development plans	<u>Risks:</u> There is risk that there are changes to key enabling decision makers. <u>Assumptions:</u> NIMC's will be able to facilitate mainstreaming SAP financing.
<b>Outcome 1.2:</b> Strengthened institutional and human resource capacity towards integrated approaches in natural resource management and biodiversity conservation	<b>Outputs:</b> 1.2.1 Harmonization of national and local policy in Indonesia and Timor-Leste to strengthen the regulatory and institutional frameworks in support of SAP/NAP implementation and linkages to NBSAPs through support to national inter-ministerial committees 1.2.2 Localization and translation of guidelines and/or handbook on integrated approaches to marine and coastal management, biodiversity conservation and climate change adaptation in local language by building on existing/completed initiatives; implementation of training of trainers benefitting at least 100 participants in Indonesia; 60 in Timor-Leste, and 10 in Papua New Guinea 7. Number of local regulations issued to support implementation of NAP that reflect regional harmonization of national and subnational policies	Priority actions in the NAPs are not mainstreamed in national and local policy and Programming frameworks	<u>Indonesia:</u> Draft of three local regulations (PERDA) developed and submitted to the provincial government to support implementation of NAP <u>Timor-Leste:</u> Two local regulations issued to support implementation of NAP <u>Papua New Guinea:</u> District Sustainable Marine Resource Plan for South Fly District approved	Draft local regulations and policies	<u>Risks:</u> Enabling decisions required for implementing recommended measures are delayed; <u>Assumptions:</u> The time required to obtain enabling decisions is sufficient; Key stakeholders support integration of NAP priority actions in national and subnational programming and budgetary frameworks;
	8. Knowledge transferred from capacitated trainers to resource beneficiaries	Limited local knowledge on integrated approaches	<u>Indonesia:</u> 100 resource beneficiaries receive training on integrated approaches from the capacitated trainers <u>Timor-Leste:</u> 60 resource beneficiaries receive training on integrated approaches from the capacitated trainers <u>Papua New Guinea:</u> 10 resource beneficiaries receive training on integrated approaches from the capacitated trainers	Training records	<u>Risks:</u> Insufficient capacity to support management changes; <u>Assumptions:</u> Increased awareness and capacity will lead to a change in behavior among key stakeholders involved in coastal and marine resource management and conservation;

Objective/Outcome	Key Indicator(s)	Baseline	End of Project target	Source of Information	Risks and assumptions
<b>Outcome 1.3:</b> Better understanding of climate change impacts on marine and coastal ecosystems lead to regional action	<p><u>Outputs:</u></p> <p>1.3.1 Improved understanding of climate change impacts on fisheries and marine/coastal ecosystems through regional collaborative assessment</p> <p>1.3.2 Case study on climate change impact pathways on an ATS area-specific fishery; regional climate change workshop organized</p> <p>9. Regional climate change predictive capacity strengthened</p>	<p>There are no coordinated regional climate change assessment efforts addressing regional coastal and marine concerns in the ATS region</p>	<p>ATS regional CC guidance toolkit endorsed by RCC</p>	<p>Guidance toolkit Case study Workshop minutes RCC meeting minutes</p>	<p><u>Risks:</u> Baseline conditions and input variables are unreliable, and/or unavailable. <u>Assumptions:</u> Qualified professionals from institutions in each of the 4 ATS littoral countries agree to collaborate on a regional CC assessment.</p>
<b>Outcome 1.4:</b> Updated transboundary diagnostic analysis (TDA), strategic action program (SAP), and national action program (NAPs)	<p><u>Outputs:</u></p> <p>1.4.1 Updated ATS transboundary diagnostic analysis (TDA) endorsed by the ATS Regional Coordination Committee</p> <p>1.4.2 Updated SAP, incorporating improved understanding of climate change impacts, supported by Ministerial Declaration; NAPs updated or formulated accordingly</p> <p>1.4.3 National responses to the priority actions agreed upon in the updated SAP are formulated into national action programs and mainstreamed into national planning and budgetary frameworks</p> <p>10. Proportion of countries that are implementing specific measures from the SAP (i.e. adopted national policies, laws, budgeted plans)</p>	0	<p>Indonesia: Priority actions under ATS NAP mainstreamed into national development programs and budgets</p> <p>Timor-Leste: Priority actions under ATS NAP mainstreamed into national development programs and budgets</p> <p>Papua New Guinea: Priority actions under ATS NAP mainstreamed into national development programs and budgets</p>	<p>National and subnational development programming and budgetary frameworks</p>	<p><u>Risks:</u> Changes in key policies and/or decision makers lead to reduced support for mainstreaming the NAPs; Overlapping sectoral mandates or other conflicts; <u>Assumptions:</u> Governmental stakeholders appreciate the benefit of mainstreaming the NAP into development programming and budgetary frameworks;</p>
<b>Component 2: Improving LME Carrying Capacity to Sustain Provisioning, Regulating and Supporting Ecosystem Services</b>					
<b>Outcome 2.1:</b> Improved management of fisheries and other coastal resources for livelihoods, nutrition and ecosystem health in Indonesia, Timor-Leste, and Papua New Guinea	<p><u>Outputs:</u></p> <p>2.1.1 Ecosystem approach to fisheries management (EAFM) targeting women and men fishers implemented at the LME level for shared stocks and in area-specific fisheries</p> <p>2.1.2 Development of profiles of 3 fisheries in the ATSEA, value-chain analysis and preassessment to move selected fisheries towards certification/eco-labelling</p> <p>2.1.3 Regional and national actions strengthened in support of the Regional Plan of Action for Responsible Fishing Practices Including Combating IUU Fishing in the Region and the Indonesian Presidential Task Force on Combating Illegal Fishing, e.g., through better surveillance, enforcement and monitoring, resulting in a further reduction of IUU fishing in the ATS by 10%, around 150,000 tons</p>	0	5	<p>Endorsed EAFM plans Approved FIPs</p>	<p><u>Risks:</u> Insufficient capacity to support management changes; Insufficient coordination leads to delays; Enabling decisions are not timely granted; Impacts of climate change undermine the sustainability of implementation of the EAFM plan; <u>Assumptions:</u> The time required to obtain enabling decisions is sufficient; Existing legal and regulatory frameworks accommodate implementation of EAFM;</p>

Objective/Outcome	Key Indicator(s)	Baseline	End of Project target	Source of Information	Risks and assumptions
	12. Number of targeted communities of fishers have adopted an ecosystem approach to fisheries management	0	5	Endorsed EAFM plans Approved FIPs	<p><b>Risks:</b> Insufficient coordination leads to delays; Enabling decisions are not timely granted; Resource users are reluctant to collaborate; <b>Assumptions:</b> The time required to obtain enabling decisions is sufficient; The fishing community and other private sector actors are willing to participate in the project activities and appreciate the long-term benefits of more responsible resource use over short-term impacts; Technological and market-based solutions that create economic incentives for applying integrated approaches are available and feasible to implement in project areas;</p>
	13. Reduced fishing pressure	Aru, Indonesia: Approx. 775 registered fishing vessels in Aru operating in the red snapper and shrimp fisheries (combined). South Fly, PNG: 2 tons per year dried fish maw (bladder) produced.	Aru, Indonesia: 25% reduction in fleet size within the shrimp and red snapper fisheries. South Fly, PNG: 1 ton per year dried fish maw (bladder) produced.	Records kept by fishing ports, to be validated or updated during implementation Available compliance records Monitoring reports	<p><b>Risks:</b> Insufficient coordination leads to delays; Resource users are reluctant to collaborate; <b>Assumptions:</b> The fishing community and other private sector actors are willing to participate in the project activities and appreciate the long-term benefits of more responsible resource use over short-term impacts; Technological and market-based solutions that create economic incentives for applying integrated approaches are available and feasible to implement in project areas;</p>
	14. Improved use of fish gear/techniques	Aru, Indonesia: Approx. 775 registered fishing vessels in Aru operating in the shrimp and red snapper fisheries; 775 vessels (<30 GT) which do not have VMS; 1400 vessels using gillnet gear. Merauke, Indonesia: Approx. 500 registered fishing vessels operating in the barramundi fishery in Merauke. South Coast, Timor-	Aru, Indonesia: 50% of vessels within the shrimp and red snapper fisheries using improved gear; 50% vessels using VMS; 25% vessels applying improved gear to reduce turtle bycatch. Merauke, Indonesia: 50% barramundi fishers using improved gear. South Coast, Timor-Leste: 50% vessels within the mackerel <sup>1</sup> fishery using improved gear/techniques. South Fly, PNG: 25% artisanal fishers using improved gear/techniques.	Records kept by fishing ports, to be validated or updated during implementation Available compliance records Monitoring reports	<p><b>Risks:</b> Insufficient coordination leads to delays; Resource users are reluctant to collaborate; <b>Assumptions:</b> The fishing community and other private sector actors are willing to participate in the project activities and appreciate the long-term benefits of more responsible resource use over short-term impacts; Technological and market-based solutions that create economic incentives for applying integrated approaches are available and feasible to implement in project areas;</p>

<sup>1</sup> Mackerel was replaced with red snapper as per recommendations from the project Inception Meeting.

Objective/Outcome	Key Indicator(s)	Baseline	End of Project target	Source of Information	Risks and assumptions
<b>Outcome 2.2:</b> Reduced marine pollution improves ecosystem health in coastal/ marine hotspots in the Arafura and Timor Seas		Leste: Approx. 150 registered vessels in the south coast municipalities. South Fly, PNG: Approx. 2700 households involved in small-scale fishing			
<b>Outcome 2.3:</b> Coastal and Marine Biodiversity Conserved through Protection of Habitats and Species	Outputs: 2.2.1 Enhanced data and information regarding the sources and sinks of contaminants in the ATS; pollution hotspots identified; appropriate controls of point and non-point sources of pollution initiated oil spill early warning systems and capacities strengthened				
	15. Strengthened oil spill oil response systems and capacities	Oil and gas development is expanding in the ATS region, but local communities lack awareness and capacity to respond to marine pollution incidents	Oil spill early response systems and procedures are included in the ICM plans of Rote Ndao in Indonesia and Municipio Manatuto in Timor-Leste	Approved ICM plans	<b>Risks:</b> Early warning systems are not operationalized; <b>Assumptions:</b> Local government units are committed to provide required resources to operationalize oil spill response systems;
<b>Outcome 2.3:</b> Coastal and Marine Biodiversity Conserved through Protection of Habitats and Species	Outputs: 2.3.1 Updated information and database on coral, mangrove and seagrass beds in the ATS, supported by ecosystem valuation studies; priority conservation areas identified in Indonesia and Timor-Leste 2.3.2 New MPAs designated in Indonesia and Timor-Leste; covering about 645,000 ha in area, including approximately 220,000 ha of mangrove ecosystems; with corresponding management plans prepared and implemented; and regional ATS MPA network designed 2.3.3 Endangered marine turtles protected through an agreed regional action plan				
	16. Protected area management effectiveness score	Indonesia: Southeast Aru MPA METT: 92 Timor-Leste: NKS NP METT: 50	Indonesia: Southeast Aru MPA METT: 92 Timor-Leste: NKS NP METT: 50	METT score	<b>Risks:</b> MPA management authorities are reluctant to collaborate; Insufficient capacity to support management changes; Delays caused by lack of sufficient or timely cofinancing support; <b>Assumptions:</b> Baseline conditions are satisfactorily representative; There is political and financial commitment for improving management effectiveness;
	17. Number of threatened species under enhanced protection	0	1 (marine turtles)	Endorsed regional action plan	<b>Risks:</b> Littoral countries cannot reach agreement on coverage and/or management arrangements of the proposed action plan; <b>Assumptions:</b> There is consensus among the 4 littoral countries to develop and implement a regional action plan to enhance protection of marine turtles; Existing legal and regulatory frameworks accommodate such an action plan;
<b>Outcome 2.4:</b>	Outputs:				

Objective/Outcome	Key Indicator(s)	Baseline	End of Project target	Source of Information	Risks and assumptions
Integrated Coastal Management, incorporating climate change adaptation considerations, implemented at the local level towards more sustainable use and conservation of ecosystem goods and services	2.4.1 Integrated coastal management plans (ICM) that support SAP/NAP implementation developed and implemented through formulation and enactment of local regulations				
	2.4.2 Climate change adaptation incorporated in ICM plans and demonstrations implemented for one at-risk coastal site in Timor-Leste				
	2.4.3 Climate Change adaptation, with a particular focus on ecosystem-based adaptation, incorporated in ICM plans and demonstrations implemented for two at-risk coastal sites in Indonesia				
	18. Adoption and implementation of ICM plans and reforms to protect coastal zones in LMEs – Number of beneficiary countries adopting and applying ICM within ATS region	No coastal areas are currently under ICM; Timor-Leste is currently preparing ICM plans with support of PEMSEA	2	Local decisions	<p><u>Risks:</u> Enabling decisions are not timely granted; Resource users including communities are reluctant to collaborate; Weak coordination of project activities; <u>Assumptions:</u> Baseline conditions are satisfactorily representative; There is political and financial commitment for developing and implementing ICM; The time required to obtain enabling decisions is sufficient;</p>
	19. Number of women and men supported with alternative livelihoods that contribute to improved management of natural resources and increased resilience of their local communities with respect to the impacts of climate change	0	Total: 1500, including 850 women and 650 men	Field surveys, monitoring reports	<p><u>Risks:</u> Insufficient management capacity. Cultural and/or customary barriers restrictive <u>Assumptions:</u> Women at project sites actively participate</p>
<b>Component 3: Knowledge management</b>					
<b>Outcome 3.1:</b> Improved monitoring of the status of the ATS and dissemination of information	<b>Outputs:</b> 3.1.1 A set of holistic (SMART) indicators established by applying the GEF Process, Stress Reduction and Environmental/Socioeconomic Status framework to monitor ocean health, SAP and NAP implementation; indicators used for progress evaluation, SAP and TDA updating and priority setting 3.1.2 Improved dissemination of information and best practices through formulation and implementation of a communications strategy, including but not limited to an enhanced ATSEA project website, bulletins, publications and videos in English and national languages, and contributions to IW-LEARN activities allocating 1% of the project grant.				
	20. Mechanism in place to produce a monitoring report on stress reduction measures	There are some indicators included in the ATS SAP, but there is no unified	Monitoring mechanisms in place for some of the project related indicators	RCC memorandum Monitoring reports	<p><u>Risks:</u> The littoral countries cannot reach agreement on financing SAP implementation, including monitoring and reporting; <u>Assumptions:</u> Enabling stakeholders are committed to support monitoring and reporting on SAP implementation;</p>
	21. Dissemination of project results and ATS information	Since the end of the first phase of the ATSEA program, there has been limited dissemination of	Participation in one GEF IW Conference; submission of at least one Results and one Experience Note; and integration of ATS	Meeting minutes Content on IW: Learn Information on CTI	<p><u>Risks:</u> Insufficient collaboration with other projects and initiatives; <u>Assumptions:</u></p>

Objective/Outcome	Key Indicator(s)	Baseline	End of Project target	Source of Information	Risks and assumptions
		SAP/NAP implementation	Knowledge management onto the existing CTI knowledge management platform	website and other knowledge platforms	Proactive collaboration with other projects and initiatives will be maintained throughout the project.

## ***ANNEX 8: CONSULTANTS' AGREEMENT FORMS***

### **Evaluators:**

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

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

**Name of Consultant:** Dalibor Kysela

**Name of Consultancy Organization (where relevant):** N.A.

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

Signed at Vienna on 18 April 2022

Signature:  \_\_\_\_\_

**Evaluators/Consultants:**

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

**MTR Consultant Agreement Form**

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

Name of Consultant: Achmad Solikhin

Name of Consultancy Organization (where relevant): N/A

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

Signed at *Jalan H. Karmani RT. 03 RW. 01, Jambu Barat, Mlonggo, Jepara* on 13 June 2022

Signature:



**Evaluators/Consultants:**

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
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6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.
8. Must ensure that independence of judgement is maintained and that evaluation findings and recommendations are independently presented.
9. Must confirm that they have not been involved in designing, executing or advising on the project being evaluated.

**MTR Consultant Agreement Form****Agreement to abide by the Code of Conduct for Evaluation in the UN System:**

Name of Consultant: Amorim Vieira

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 Dili Timor-Leste (Place) on 10-July-2022 (Date)Signature:  \_\_\_\_\_

## ***ANNEX 9: AUDIT TRAIL***

### **FOR THE MTR REPORT ON UNDP/GEF PROJECT**

#### **IMPLEMENTATION OF THE ARAFURA AND TIMOR SEAS REGIONAL AND NATIONAL STRATEGIC ACTION PROGRAMMES (ATSEA-2)**

<b>Origin</b>	<b>Comment Location</b>	<b>Comment/Feedback on the draft MTR report</b>	<b>MTR team response and actions taken</b>
RPMU	Project Info Table	Several corrections	Accepted and corrected
RPMU	Executive Summary p. ii	Insert IW under progress on Component 1	No action taken. Progress is summarised in relation to EOP targets.
RPMU	Executive Summary p. ii	Corrections on progress to SPF and NIMCs	Accepted and text corrected
RPMU	Executive Summary p. iii	Corrections on SAP/NAP updates	Accepted and text corrected
RPMU	Executive Summary p. iii	Correction of number of beneficiaries	Accepted and the number corrected
RPMU	Executive Summary p. iii	Insert on studies under Component 2	Accepted and text amended
RPMU	Executive Summary p. iii	Corrections and inserts on progress on MPA establishment	Accepted and text corrected/amended
RPMU	Executive Summary p. iii-iv	Corrections and inserts on progress in CCVA and ICM plans	Accepted and text corrected/amended
RPMU		Multiple corrections and inserts in the MTR Ratings & Achievement Summary Table	Accepted and table amended
RPMU	Scope and Methodology, p.1	Correction of geographic scope	Accepted and text corrected
RPMU	Project Context, p.4	Amend the text in the last para	Accepted
RPMU	Expected results p.6	Several inserts and corrections	Accepted and text amended/corrected
RPMU	Implementation arrangements, p.8	Insert NFA in PNG	Accepted
RPMU	Box 2 p.13	Insert UN SDG No. 17	Accepted and box amended
RPMU	Table 5 p. 14	Missing assessment of Outcome 1.1, 1.2 and 2.1	Accepted and assessment inserted in the table
RPMU		Recommendation of EVIKA	No action taken as the revision under Outcome 2.3 is included
RPMU	Output 1.1.1 p. 16	Amend the new RSC contents	No action taken as only the recommended elements are listed
RPMU		Missing info on national consultations	Accepted and text amended
RPMU	Output 1.1.3 p.18	Missing update on NPB/NIMC/SPF meetings in PNG	Accepted and text amended
RPMU	Outcome 1.1 p. 19	Comment on NIMC functionality	No action taken. The information from the interviews suggests that NIMCs have been established but not functional
RPMU	Outcome 1.1 p. 19	Comment on Output 1.1.4	NO action taken. The FLA completion is already in the text. Apart from the FL mapping no concrete roadmap is available towards securing SAP implementation finance (Indicator 6)
RPMU	Table 7 p. 19	Several corrections/inserts	Accepted and data in the table corrected/amended

Origin	Comment Location	Comment/Feedback on the draft MTR report	MTR team response and actions taken
RPMU	Output 1.2.1, p. 20	Missing update on MPA inclusion in marine spatial plan for the Papua province	Accepted and text updated and amended
RPMU		Missing update on draft SFAFMP	Accepted and text updated
RPMU	Output 1.2.2, p. 21	Update on trainings and number of participants	Accepted and text/numbers updated
RPMU	Table 8, p. 23	Update and correction on publication and LCAP	Accepted and info in the table corrected/amended
RPMU	Outcome 1.3 p. 24	Comment on the CCVA completion	Accepted and text modified for clarity
RPMU	Output 1.4.1 p. 25	Correction on conduct of IW and NWGs on TDA/SAP/NAPs	Accepted and text corrected
RPMU	Table 10 p. 26	Several corrections and inserts	Accepted and table corrected/amended
RPMU	Output 2.1.1 p. 28	Statement about support to alternative livelihood	Accepted and text revised with clarification from NC TL
RPMU	Output 2.1.3 p. 29	Clarification on the IUU fishing assessment	Accepted and text revised for clarity
RPMU	Output 2.1.3 p. 29	Comments on IUU baseline and policy assessment	Accepted and text revised
RPMU	Output 2.1.3 p. 30	Correction on length of the FIT	Accepted and the number corrected
RPMU	Output 2.1.3 p. 30	Update on PokWas Mas	Accepted and text amended
RPMU	Output 2.1.3 p. 30	Update on draft AFMP in PNG	Accepted and text corrected
RPMU	Outcome 2.1 p.31	Missing barramundi profile	Accepted and text amended
RPMU	Table 11 p.31	Several updates	Accepted and table updated and related updates in the text below
RPMU	Output 2.2.1 p.32	Statement on Marine Pollution WG (Pokja)	Accepted and text revised based on update from IDN NC
RPMU	Table 12 p.33	Several corrections and amendments	Accepted and table updated
RPMU	Output 2.3.1 p.34	Update on approval of MPA network design	Accepted and text revised
RPMU	Output 2.3.1 p.35	Update on on-line learning system for DIMS	Accepted and text amended
RPMU	Output 2.3.1 p.35	Update on stakeholder consultations in Manufahi and NKS	Accepted and text amended
RPMU	Output 2.3.2 p.36	Update on Manufahi and Nino Konis Santana MPAs	Accepted and text amended
RPMU	Output 2.3.3 p.37	Small corrections on turtle field assessments	Accepted and text corrected
RPMU	Outcome 2.3 p.37	Comment on delivery of output on MPA network design	Accepted and text revised for clarity
RPMU	Table 12 p. 38	Several updates	Accepted and bullet points added to the table and details to the text below
RPMU	Table 13 p. 41 and text below	Several updates on communication channels	Accepted and table and text updated
RPMU	Outcome 3.1 p.42	Small correction	Accepted and text corrected
RPMU	Table 14 p. 43 and text below	Several updates	Accepted and data in the table and text below revised and updated
RPMU	Remaining barriers p. 47	Small corrections	Accepted and text corrected
RPMU	Management arrangements p. 45	Insert info about MoA for the PNG component	Accepted and text amended
RPMU	Management arrangements p. 47	Comment about NCU's participation in RSC meetings	Accepted and added as footnote
RPMU	Management arrangements p. 47	Comment about intersessional meetings	Accepted and added as footnote
RPMU	Finance and co-finance p. 50	Comment about statement on CDR breakdown for TL	Accepted and statement deleted
RPMU	Table 16	Total co-financing amount	Accepted and co-financing data revised with updated information. It should be noted that the total co-financing amount does not include the GEF grant
RPMU	Project level M&E p. 51	Correction PAR instead of APR	Accepted and text corrected
RPMU	Project level M&E p. 51	Correction of the PIR preparation	Accepted and text corrected

Origin	Comment Location	Comment/Feedback on the draft MTR report	MTR team response and actions taken
RPMU	Project level M&E p. 51	Comments about IW participation in PNG and TL	Accepted and text amended with concrete details of the participation
RPMU	Box 5 p. 52	Comment about number of IW participants in TL	Accepted and text amended with concrete details of the participation
RPMU	Text below Box 5 p. 52	Comment about 1 <sup>st</sup> AWP discussion	Accepted and text revised
RPMU	GEF TTs	Correction about MTR TTs not available	Accepted and text corrected
RPMU	Development of ToC p. 53	Comments about the ToC focus	Accepted and text corrected
RPMU	Management of risks p. 54	Comment about risk register update	Accepted and text revised upon review of the updated risk log
RPMU	Stakeholder engagement p- 56	Comments on stakeholder engagement in IDN, TL, PNG	Accepted and text revised
RPMU	SES p. 56-57	Comment about the SES update	Accepted and text revised
RPMU	Communication and KM p. 58	Request to clarify the TL statement	Accepted and text revised with NC input
RPMU	Cross-cutting p. 59	Request to include key communication materials on GESI	NO action taken. The main GESI events and communication channels are mentioned in the text
RPMU	Cross-cutting p. 60	Comments on statements for Indonesia and TL	Accepted and text revised
RPMU	Impact of COVID p. 60	Update on survey for GESI/SES	Accepted and text amended
RPMU	Impact of COVID p. 60	Comment on ToT MCS FIT	Noted but no action taken.
RPMU	Financial sustainability p. 62	Comment on financial sustainability	Accepted and text amended
RPMU	Socio-econ. sustainability p.63	Comments on participation in CB	Accepted and text revised
RPMU	Institutional frameworks p. 63-64	Comments on disconnection btw policies and implementation	Accepted and text amended
RPMU	Environment. sustainability p. 64	Request to include EAFM, EbA and FIP	Accepted and text amended
RPMU	Environment. sustainability p. 64	Request to include oil spill preparedness etc.	Accepted and text amended
RPMU	Conclusion/Recommendation 3 p. 66	Request to include concrete targets and indicators for Outcomes 1.1 and 2.1	Accepted and Conclusion 3 amended for specification
RPMU	Conclusion/Recommendation 6 p.67	Correction on NIMC establishment in TL	Accepted and Conclusion 6 re-worded and Recommendation 6 re-focussed on NIMC functionality
RPMU	Conclusion/Recommendation 7 p.67	Comment on intersessional RSC meetings	Accepted and Recommendation 7 re-worded for specification
RPMU	Conclusion 8 p. 68	Incomplete sentence	Accepted and Conclusion 8 amended
RPMU	Recommendation 9 p. 68	Comment on the list of targeted revisions	Accepted and the list amended
RPMU	Recommendation 12 p. 69	Comment on the 1 <sup>st</sup> bullet point	Accepted and text revised based on input from the NC TL
RPMU	Recommendation 13 p. 69	Request for clarification	Accepted and text revised based on input from the NC TL
RPMU	Recommendation 14 p. 69	Comment on the feasibility study	On hold until clarification from the NCU TL
RPMU	Recommendations for PNG p.69	Comment on concerns for fish maw target	Accepted and recommendations for PNG amended based on the revised PNG country report
<b>Additional comments</b>			
RPMU	Project Information Table p. i	Correction of the financing and co-financing data	Accepted and table revised
RPMU	Executive Summary p. ii-iii	Several suggested inserts and corrections	Accepted and text revised
RPMU	MTR Ratings table p. v	Several suggested inserts and corrections	Accepted and table revised
RPMU	Summary of conclusions	Suggested correction based on updated TL report	Accepted and text revised
RPMU	Recommendations table	Corrections based on updated IDN and TL reports	Accepted
RPMU	Expected results p. 7	Add TL and PNG	Accepted and text amended

Origin	Comment Location	Comment/Feedback on the draft MTR report	MTR team response and actions taken
RPMU	Timing and milestones p.8	Add info on Regional IW	Accepted and text amended
RPMU	Table 5 p. 14	Comment on EOP indicator for Outcome 3.1	Partially accepted. Only the original EOP considered not specific. Suggested EOP target modified
RPMU	Progress towards outcomes p. 15	Comment on IDN Component end date	Accepted and comment added as footnote
RPMU	Summary Outcome 1.1 p. 19	Correction of the 1 <sup>st</sup> paragraph	Accepted and text corrected
RPMU	Table 7 p. 20	Inserts on additional deliverables	Accepted and table amended
RPMU	Output 1.2.1 p. 21	Small corrections of the text	Accepted and text corrected
RPMU	Output 1.2.2 p. 23	Insert additional info on PNG trainings	Accepted and text amended
RPMU	Outcome 1.3 p. 25	Additional amendment of the summary	Accepted and text amended
RPMU	Table 10 p. 29	Insert info on data on vessels/gears	Accepted and table amended
RPMU	Output 2.1.1 p. 30	Comment on site mobiliser in Viqueque	Accepted and text amended
RPMU	Outcome 2.1 p. 33	Comment on registration systems on fishing vessels	Accepted and clarification added as footnote
RPMU	Table 11 p. 34	Insert two additional deliverables	Accepted and table amended
RPMU	Output 2.2.1 p. 34 and 35	Small inserts in the text	Accepted and table amended
RPMU	Output 2.3.1 p. 38	Clarification on the text and footnotes	Accepted and text revised
RPMU	Output 2.3.2 p. 39	Clarification on MPA coverage in TL	Accepted and clarification inserted as footnote
RPMU		Insert summary info on regional MPA network	Accepted and text amended
RPMU	Table 13 p.40	Small insert on capacitation of beneficiaries	Accepted and table amended
RPMU	Table 14, p., 47	Insert on new TL MPA	Accepted and table amended
RPMU	Objective assessment p. 47	Comment on MPA coverage in TL	Accepted and text amended
RPMU	Financing and co-financing p. 54	Revise the figures	Accepted and Tables 15 and 16 revised
RPMU	COVID-19 impact	Additional info on training completion as footnote	Accepted and footnote inserted
RPMU	Conclusion 6 p. 71	Rephrase text with addition of TL and IDN	Accepted and Conclusion revised
RPMU	Recommendation 6 p. 71	Comment on NIMC functionality	Accepted and Recommendation rephrased
RPMU	Recommendation 9 p. 72	Modify in line with the updated IDN recommendations	Accepted and Recommendation rephrased
RPMU	Recommendation 11 p. 73	Modify in line with the updated IDN recommendations	Accepted and Recommendation rephrased
RPMU	Recommendations on TL	Modify in line with the updated TL recommendations	Accepted and Recommendations 12 and 14 amended
RPMU	Recommendation 12	Delete the part on Ministry of Defence	Accepted and recommendation modified after clarification from UNDP
RPMU	Recommendation 17 on PNG	Comment on involvement of Australian HC in PNG	Accepted and Conclusion/Recommendation 17 modified
Comments from UNDP QARE			
QARE	Executive Summary, p. v	Insert numbers of beneficiaries for the Objective	Accepted and numbers inserted
QARE	Executive Summary, p. v	Insert data on women participation under Objective 1.1	Accepted and table inserted in the summary text on p. ii
QARE	Expected results p.7	Insert how socio-economic benefits extend to women	Accepted and text amended with expected socio-economic benefits
QARE	Timing and milestones	Highlight significant socio-economic and environmental changes	No action taken. The environmental changes are discussed elsewhere (Outcome 2.3) No data is available about socio-economic changes.
QARE	Table 6 p. 16	Mainstream the gender related achievements	Accepted and multiple inserts made on gender-related achievements (Output 1.1.2, Outcomes 2.1, 2.2 and 2.3)
QARE	Table 7 p. 19	Missing gender stats on the trainings	Accepted and gender stats of the trainings inserted
QARE	Table 9 p. 26	Classify not-in-the-ProDoc activities	Accepted and table revised

Origin	Comment Location	Comment/Feedback on the draft MTR report	MTR team response and actions taken
QARE	Output 2.1.1 p. 30	Insert key points from the report on RBM approach	Accepted and text amended
QARE	Remaining barriers p. 47	Unclear comment	No action taken
QARE		Explanation needed on coordination and integration of diverse stakeholders	No action taken. Explanation is in the remaining text of the paragraph
Multiple	Presentation of preliminary findings on 4 July	Concerns about no-cost extension acceptance by GEF and project budget implication	Accepted and text of conclusion/recommendation expanded with justification, impact on budget addressed in management response
		More specific recommendation on procurement in IDN	Accepted and text of the recommendation expanded
		Request to revise financing status of the project	Accepted and financial table revised in line with the CDRs
		Comment on disconnection of the project M&E from the TL Government system	Accepted and recommendation
		Comment on insufficient definition of several indicators and targets	Accepted and the matter addressed in country-specific recommendations
		Several comments on sustainability aspects	Noted and text of the section revised
<i>Additional comments on MTR report quality review 18, 23 and 30 August 2022</i>			
UNDP	Title page	Numerous inserts	Partially accepted and names of the MTR team inserted. The other information is in the Synopsis and the Project Information Table in Executive Summary
UNDP	Cover page and executive summary	Multiple formatting and text tables amendment	Accepted and amendments done
UNDP (QARE and BRH)	Executive Summary	MTR ratings QARE: It should have ratings underlying the achievement description. It can't be N/A. It is owing to stakeholder participation should be rated BRH: N/A should be fine. The description would suffice.	Rating of N/A retained and substantiated with descriptive notes
UNDP	TR purpose p-1	Inserts of bullet points	Accepted and done
UNDP	Summary of conclusions p. vii	Abridged description of cross-cutting issues	Accepted and text amended on p. ix
UNDP	MTR approach and methodology	Several inserts requested	Accepted and text amended including project geographic area picture
UNDP	Project Description p. 6	Insert abridged development context	Accepted and text amended
UNDP		Insert problems the project addresses	No action taken. The problem description is already in the text after ATSEA.2 Context
UNDP (IDN and BRH)	Project design p.12	Insert figure on current ToC; Suggest adding reference to the TOC in this section but put the TOC in an Annex or a link to an accessible file.	Note: initially TOC was not part of project design. As suggested by UNDP, current TOC diagrams added with link to the full document.
UNDP		Insert info on relevance to national development priorities	Accepted and text amended with info for IDN, TL and PNG
UNDP	Table 5 p. 16	Insert analysis of cross-cutting issues	Accepted and a statement inserted into the para below the table
UNDP	Progress towards results p. 16	Insert remaining barriers to achieving the project objectives.	No action taken. This section is already in the text on p. 49 under assessment of Project Objective
UNDP	Progress towards results i. 17-48	Adjust Tables 5-16 according to the guideline	Accepted and tables reformatted and amended

Origin	Comment Location	Comment/Feedback on the draft MTR report	MTR team response and actions taken
UNDP	Financial tables p. 59	Three additional tables required	Partially Accepted and table on breakdown by years and on planned/actual co-financing inserted. The table on ATLAS codes is beyond the requirements of the MTR Guidelines
UNDP	Project level M&E systems p. 60	Put the overall findings ahead and numerous questions	Partially Accepted. Overall finding statement on M&E inserted. The questions are already addressed in the text
UNDP	Reporting p. 67	Include information on adaptive management	1 <sup>st</sup> paragraph under Section 4.4 slightly amended to provide more clear statement on stakeholder involvement in M&E.
UNDP	Communication and KM p. 67	Include information on press clippings	Accepted and text amended
UNDP		Questions on communications	Accepted. Info on news & events inserted
UNDP	Sustainability p. 71	Questions on financial sustainability	No action taken as the required information is already in the text
UNDP	Sustainability p. 72	Questions on socio-economic sustainability	No action taken as the required information is already in the text
UNDP			4 <sup>th</sup> paragraph under Section 4.4.2 slightly modified to clarify findings and assessment.
UNDP	Sustainability p. 73	Questions on institutional sustainability	No action taken as the required information is already in the text
UNDP	Conclusions and Recommendations p. 75	Include additional inputs in conclusions	No action taken. The responses to the comments do not constitute conclusions to be mentioned here
UNDP		Insert MTR rating table	Accepted and table inserted in the format from the MTR Guidelines
UNDP		Suggested modification on Recommendation 1 and 3 wording	Accepted and text amended
UNDP	Annexes	Insert mission itinerary as annex 2	No action taken. There was no mission of the IC and information on the missions of the NCs is already under Annex 5
UNDP	Annexes (PNG component)	Reformat table in Annex 2 and numbering and categorization of questions in Annex 3	Reformatting corrected; same applied to Annex 3 of Main Report

## ***ANNEX 10: MANAGEMENT RESPONSE***

### **Management Response to the Midterm Review of the GEF/UNDP/PEMSEA Project on Second Phase of the Arafura Timor Seas Ecosystem Action (ATSEA-2)**

Project Title: GEF/UNDP/PEMSEA Project on Implementation of the Arafura and Timor Seas Regional and National Strategic Action Programs (ATSEA-2); Second Phase of the Arafura Timor Seas Ecosystem Action (ATSEA-2) Program  
Project PIMS: 5439

GEF Project ID (PMIS): 6920

Midterm Review Mission Completion Date: 07 June 2022 (refers to actual field missions by National Consultants)

Date of Issue of Management Response: 08 August 2022 (First release to all RSC members)

Prepared by: Dr. Handoko Adi Susanto, Regional Project Manager, ATSEA-2 Regional Project Management Unit

Contributors: Members of RPMU, NCUs, PEMSEA Executive Director, National Project Directors, Members of the RSC, UNDP Indonesia

Cleared by: Dr. Jose Erez Padilla, Regional Technical Adviser, UNDP Bangkok Regional Hub, and ATSEA-2 Regional Steering Committee/

Mr. Tashi Dorji, OIC RTA, UNDP Bangkok Regional Hub

#### **Context, background and findings**

The ATSEA-2 Project which is mandated to support the implementation of the Arafura Timor Seas regional Strategic Action Program and National Actions Programs adopted in 2014, started in 2019 and is expected to be completed by 2024. On its third year of project implementation, the Midterm Review as required by GEF/UNDP was conducted. The MTR focused mainly on the delivery or progress vis-a-vis the project's Strategic Results Framework and cross-cutting issues related to gender, impacts brought by the Covid-19 pandemic, and assessed the project's design, relevance, implementation and adaptive management, and likelihood for sustainability. The MTR provided a total of 17 recommendations (8 for the overall or regional implementation, 3 for each country implementation in Indonesia, Papua New Guinea and Timor-Leste) with key recommendations pertaining to the need for project extension and development of exit strategy and measures to sustain key efforts and gains expected to be delivered by the ATSEA-2 project. Some recommendations were also provided to reassess some end of project targets and indicators which may no longer be aligned with current status or focus of concerned country partners, while other recommendations pertain to procedural matters. The MTR reports were circulated and consulted mainly with the Project team at regional and country level, UNDP Indonesia and Timor-Leste, National Project Directors (NPDs) and relevant stakeholder to ensure accuracy. Insights from NPDs were also sought in the development of the management response. The RSC Meeting to review the MTR findings, recommendations and management response convened on 15 August 2022 also adopted the management response in principle, with some agreed actions to be further confirmed through the NPB and RSC meetings in September and November 2022. No further comments were received from the RSC after the request for final review both on the MTR reports and the Management Response.

<p><b>Evaluation Recommendation or Issue 1. Re. Attainability of End of Project Targets Within the Project Timeframe – In accordance with UNDP and GEF policies, the UNDP CO in Indonesia as the Principal Project Representative should prepare and submit request for an extension of 12-18 months in order to recover the time lost due to the slow project start and COVID-19 restrictions.</b> The start of implementation of the project was delayed due to the protracted negotiations for obtaining agreements and official signatures on documents for the project management arrangements and slow recruitment of the regional and national project teams. COVID-19 restrictions imposed in early 2020 caused further delays in implementation. Consequently, numerous project activities had to be postponed and/or modified. Despite several adaptive management actions of the project teams the delivery of several outputs was slower than originally expected. There is a risk that not all end-of-project (EOP) targets will be achieved by the original project completion date of June 2024.</p> <p><b>Management Response:</b> The Project welcomes the recommendation. In line with this, the ATSEA-2 Project Team initiated its assessment of the remaining multi-year work plan and budget to identify the most feasible timeframe for the extension for the project, which will be submitted to the Implementing Partners, Implementing Agency and Executing Agencies for further review. Based on the result of the assessment and discussions with relevant project partners, the Project Team, in collaboration with the IA and EAs, will seek further guidance and approval from the RSC as Project Board and to complete the required UNDP/GEF requirements for the proposed no-cost extension.</p>				
Key Action(s)	Completion Date	Responsible Unit(s)	Tracking	
			Status  (initiated; not initiated; completed; no longer applicable)	Comments
1.1 Complete a comprehensive work plan and budget assessment of available funding, forecast expenditures for the project, and develop scenario on most feasible timeframe for project extension.	31 August 2022	RPMU and NCU	Initiated	The work plan and budget assessment are ongoing at per country and regional level to provide initial reference to the Project Team and Project Board.
1.2 Building on the assessment, complete the proposed Work Plans and Budget for 2023 and 2024 (including the most feasible no-cost extension period) and submit to UNDP, PEMSEA, NPBs and RSC.	14 October 2022	RPMU and NCU	Initiated	Parallel to the assessment, the NCUs and RPMU are already developing draft AWP's and Budget for 2023 and 2024 with budget assessment on possible extension period.
1.3 Convene the NPBs per country to review the proposed work plans and	30 September (NPBs)	NCUs, RPMU, UNDP, PEMSEA	Not initiated	To be scheduled and organized with NPBs and RSC.

budget for Country Components, and the RSC to review the regional component and overall proposal for project extension and corresponding work plans and budget.	05 November 2022 (RSC)	Implementing Partners per country/NPBs, and RSC		
1.4 Upon final RSC approval, RPMU will coordinate with UNDP and PEMSEA to formalize the extension of the project based on the agreed most feasible timeframe.	16 December 2022	RPMU PEMSEA UNDP	Not initiated	The RPMU will seek further guidance from UNDP on the process.
<p><b>Evaluation Recommendation or Issue 2. Re. Application of Theory of Change for Project Monitoring</b> – <i>The RPMU in cooperation with the NCUs should use the ATSEA-2 ToC in monitoring of the progress in the project implementation in order to identify early indicators of progress or lack of progress towards achievement of the planned targets and to facilitate prioritization of activities.</i> The ATSEA-2 Project Document was prepared at the time when an explicit Theory of Change (ToC) was not yet required for GEF projects. Upon recommendation of the 2<sup>nd</sup> RSC meeting, a comprehensive ToC for the project was prepared and subsequently presented to the countries. The ToC provides a framework and causal links between intermediate and final results. It will be desirable to use the ToC in monitoring of the project results. This can be particularly important when the intended impacts are longer-term and information about intermediate outcomes is needed to inform decisions.</p> <p><b>Management Response:</b> The Project would like to further clarify that in line with the GEF and UNDP M&amp;E reporting requirements, the key bi-annual and annual monitoring reports pertaining to Project Assurance Report (PAR) and Project Implementation Report (PIR) are currently aligned or based on the Project's approved Strategic Results Framework (SRF). The Theory of Change (ToC) that was completed by the Project in 2021 has been further recommended by the 3<sup>rd</sup> RSC to serve as key reference to guide the development of the ATS Strategic Action Plan (SAP) Monitoring System as well the updating of the Transboundary Diagnostic Analysis (TDA), SAPs and National Action Programs (NAPs) in 2022-2023.</p> <p>Recognizing the value of the MTR recommendation on the ToC, the ATSEA-2 Project Team will take into account the elements of the ToC together with the existing SRF as part of its internal quarterly monitoring and reporting, in order to ensure that elements of the ToC are already considered and reflected when subsequent PAR and PIR reports are developed and submitted to UNDP and GEF.</p>				
Key Action(s)	Completion Date	Responsible Unit(s)	Tracking	
			Status (initiated; not initiated; completed; no longer applicable)	Comments

1.1 Align the ToC with the AWP and SRF-based internal quarterly M&E reporting system of ATSEA-2 and ensure that further reporting to GEF and UNDP captures/includes ToC elements.	30 September 2022 (to be applied up to end of project reporting)	RPMU and NCU	Not initiated	The RPMU and NCUs will ensure to reflect this starting from the next internal quarterly reporting and will be maintained up to end of the project reporting.
1.2 Ensure that the ToC document is provided as a key reference document in the development of the ATS SAP Monitoring System.	20 January 2023	RPMU	Not initiated	The engagement of consultant for the ATS SAP MS is in process and is targeted to be formalized by November 2022 to align with SAP updating process. The ToC will be included as key reference for the consultant.
1.3 Ensure that the ToC document is provided as part of the key reference documents for the updating of the TDA, SAP and NAPs.	30 December 2023	RPMU	Initiated	The TDA updating process is already ongoing and the ToC was part of the reference documents provided to TDA consultants. The same will be shared to SAP and NAPs consultant once the updating process is initiated by end of 2022..
<b>Evaluation Recommendation or Issue 3. Re. Attainability of Some End of Project Targets–</b> <i>With guidance from UNDP and following consultative processes, the RPMU in cooperation with PEMSEA and the NCUs should conduct a critical revision of the actual indicators and targets in the project SRF, in particular for Outcomes 1.1 and 2.1, and prepare a proposal for revised/alternative indicators and/or targets for submission and approval of the NPBs and the RSC at its 4<sup>th</sup> meeting.</i> Few indicators and their end-of-project (EOP) targets contained in the project SRF were determined on basis of incomplete baseline data. Additional baseline data and information from the field sites collected from the project-supported studies suggest that those indicators and related targets in the SRF are not realistic and need to be reconsidered in order to ensure their attainability within the remaining timeframe of the project.				
<b>Management Response:</b> The Project welcomes the opportunity to review the End of Project Targets for Outcome 1.1, which are highly contingent on the countries' political and financial commitments to support the operationalization of the regional governance mechanism (RGM) and implementation of the updated SAP and NAPs. With regard to the target on 'Regional governance mechanism established and functioning with at least 2 of 4 countries contributing dues', considering the iterative consultation process currently being undertaken with the countries on the design of the RGM, a project extension might be helpful to complete the consensus-building, adoption and initiation process for the agreed mechanism. Securing the financial contribution of 2 out of the 4 countries, would require more time considering the policies, priorities, and legal and administrative processes and requirements in each country. With regard to the target of '25%				

<p>SAP implementation finance secured by governments and development partners', a project extension will enable the completion of the updated SAP and NAPs, preparation of a 5-year financing plan to support their implementation, and submission/presentation of the plans to the NIMCs and other partners for consideration/mainstreaming into their respective planning and budgeting processes.</p> <p>The project notes that for Outcome 2.1 several EOPs and indicators need to be modified to better suit current conditions and interventions conducted so far. With regard to reduced fishing effort, for Aru Indonesia, the EOP is recommended to be modified to improved fishing fleet registration for shrimp and red snapper fishers, while for PNG, as the Project showed that the baseline was outdated, the EOP and indicator for dried fish maw production shall be re-examined and further revised. With regard to improved use of fish gear/techniques, as the practices and legislations may be different country by country, the improved fish gear/techniques shall be defined better following existing national/local legislations for easier monitoring. For PNG, baselines in support of the EOPs and indicators will be updated based on planned assessments to be conducted as part of the South Fly Artisanal Fishery Management Plan (SFAFMP). The results arising from Outcome 2.1 interventions also contributes to achieving the Objective level target on ATS region's contribution to move globally over-exploited fisheries to more sustainable levels and in this case it is important to set clear parameters that assessment and monitoring on fish stocks will focus on Red Snapper as key regional commodity and ATSEA-2 target.</p> <p>Apart from Outcomes 1 and 2.1 cited above, the Project would like to provide further information that based on most recent discussions and confirmation from Indonesia and Timor-Leste, the Overall Project Objective on Landscapes and Seascapes (Indicator #3 with End of Project Target of 800,000 ha coverage on MPAs) would need further adjustment. Based on the final Marine Spatial Planning completed for the newly established Kolepom MPA in Indonesia, the coverage is only up to 353,287ha (lower than the 555,000 original target), whereas in the case of Betano-Klakuk in Timor-Leste, the assessment and boundary mapping, recently completed and currently undergoing stakeholder consultation, indicated that the coverage is only 20,906 ha (lower than the 90,000 original target). The assessment in Betano covers only up to 2 nautical miles outer boundary as the maximum allowed in MPAs in Timor-Leste as confirmed by MAF. While the support to existing MPAs in SE Aru in Indonesia (covering 114,000ha) and Nino Konis Santana in Timor-Leste (covering 55,660 ha) remains the same. In line with this, the new overall total coverage would amount only to 543,853ha (lower than the 800,000 target). Taking into consideration the results of country assessments, the Project would like to seek further guidance from UNDP and to seek further feedback from the RSC on the revision of the EOP.</p>				
Key Action(s)	Completion Date	Responsible Unit(s)	Tracking	
			Status (initiated; not initiated; completed; no longer applicable)	Comments
1.1 For Outcome 1.1: The RPMU, in cooperation with the NCU's and PEMSEA, will develop alternative target related to RGM and submit the	05 November 2022	RPMU, NCU's, PEMSEA	Initiated	Concerns about the End of Project Target has been raised in internal project M&E meetings. The project team will proceed to formulate alternatives.

same for discussion in the 4 <sup>th</sup> RSC Meeting	30 June 2023	RPMU, NCU's	Initiated	The data collection in Probolinggo and Merauke is ongoing as well as additional primary data gathering are being conducted related to fisheries in the 3 countries as part of the ongoing TDA updating. Data generated from these initiatives will be further used to update the regional baseline estimate on Red Snapper at the regional level.
<p>1.2 For Outcome 2.1: On monitoring and reporting on regional Red Snapper fish stocks, the RPMU will facilitate further assessment building on the completed regional baseline estimates on Red Snapper and the ongoing assessment in Probolinggo and Merauke. RPMU will also continue coordination with NCUs in the completion of assessments to establish more updated baselines to facilitate better measurement of progress on reduced fishing effort and use of sustainable fishing gears and techniques (more specific proposed actions on this are provided under the country component recommendations below)</p> <p>1.4 Related to the End of Project Target on the project's support to expanding and ensuring effectiveness of MPAs in the region, the NCUs will submit the final Marine Spatial and Zoning Plan of Kolepom MPA to NPB Indonesia, and the Final Assessment in Betano-Klakuk to NPB Timor-Leste for final review and confirmation of the hectare coverage.</p>	30 September 2022	NCU Indonesia and Timor-Leste; and NPBs in Indonesia and Timor-Leste	Initiated	<p>The Marine Spatial /Zoning Plan in Kolepom MPA has been completed and the final coverage has been confirmed. The reduction on coverage in Kolepom was also raised by Indonesia in the RSC meetings. While the Assessment in Betano-Klakuk has been completed and MAF has confirmed that measurement of up to 2 nautical miles outer boundary is the maximum allowable limit in the country, but stakeholder consultations is still ongoing. The results of these assessments were also reported in the PIR 2022. NPB meetings in both countries are targeted to</p>

					be conducted in October, in preparation also for the RSC meeting in November.
1.5 The final decision arising from the NPBs will be submitted to the 4 <sup>th</sup> RSC Meeting in 2022 and included in the subsequent PAR and PIR reporting to UNDP and GEF to serve as official basis for the reduction of the EOP on hectare coverage on MPAs.	05 November 2022	NCU Indonesia and Timor-Leste; RPMU; RSC	Not initiated		The 4 <sup>th</sup> RSC meeting is targeted to be convened in November of 2022. This matter will be included as part of the meeting agenda ( <i>subject to further consultation with UNDP on process related to changing of EOPs</i> ).
1.6 UNDP will facilitate the updating of the EOP.	30 June 2023 (in time with next PIR Reporting)	UNDP Indonesia	Not initiated		The results of the Kolepom and Betano assessments have already been reported as part of PIR 2022, but further confirmation on changing of EOPs are still subject to further discussion/confirmation as cited above.
<b>Evaluation Recommendation or Issue 4. Re. Exit Strategy</b> – <i>The PEMSEA, RPMU and NCUs should prepare an exit strategy for the project with emphasis on formalisation of financial commitments of the countries to the RGM functionality and the SAP/NAPs implementation.</i>					
Financial mechanisms for SAP/NAPs implementation and for functioning of the RGM beyond the time boundaries of the project are critical for sustainability of the ATSEA-2 results. The completed Financial Landscape Assessment indicated that the original expectation of secured contributions from the ATSEA-2 countries is not realistic as the short-term financial sustainability will be dependent on donor funding for Phase-3 of the project.					
<b>Management Response:</b> The Project Document has stipulated measures on sustainability and replicability which will mainly depend on the success of ATSEA-2 to establish the regional and national mechanisms with wider stakeholder engagement, and corresponding financial mechanism to support longer term regional collaboration and implementation of the updated SAP and NAPs, as well as country support to align and mainstream updated SAP and NAPs priorities in national development programs or plans.					
In line with the ATS countries SAP vision, the Project agrees with the MTR recommendation and is committed to continue carrying out the project target activities in support of RGM, SAP and NAPs. The Project will work closely with the countries and other project partners to secure commitments and support, and to systematically plan the transition into an RGM, including the completion and adoption of the updated SAP and NAPs to guide post ATSEA-2 regional collaboration and action, and completion of the 5-Year Sustainable Financing Plan in support of the SAP and NAPs implementation and RGM operations, formalized through a Ministerial Declaration.					
Key Action(s)	Completion Date	Responsible Unit(s)	Tracking		

				Status  (initiated; not initiated; completed; no longer applicable)	Comments
1.1 Secure RSC approval on the preferred or most viable RGM model and transition plan at the 4 <sup>th</sup> RSC Meeting.	05 November 2022	RPMU	Initiated	Building on country recommendations a consolidated RGM model has been developed and agreed upon with National Advisers. Country consultations are ongoing.	
1.2 Roll out the transition plan at the regional and national level in cooperation with the countries, including developing the key elements of the RGM	30 December 2023	RPMU, NCU's, NPB and RSC	Not initiated	This will serve to test the operation of the RGM before the formal adoption through a Ministerial Declaration.	
1.3 Complete the updated SAP and NAPs and secure country endorsements at NPB and RSC level.	30 December 2023	NCUs and RPMU NPB and RSC	Not initiated		
1.4 Complete the 5-Year cost estimate and Sustainable Financial Plan, conduct country consultations, and coordinate with countries to secure initial country commitments for financial support for RGM and the implementation of updated SAP and NAPs.	30 December 2023	RPMU	Initiated	Initial scoping and consultations were undertaken as part of the Financial Landscape Assessment	
1.5 Secure high-level country commitment in all ATS countries to formally recognize the RGM as long-term regional collaboration mechanism by adopting the RGM with Financial Plan, as well as the	30 January 2024	NCUs and RPMU NPB and RSC	Not initiated	.	

updated SAP and NAPs through a Ministerial Declaration.					
<b>Evaluation Recommendation or Issue 5. Re. ATSEA Programme Sustainability – UNDP in cooperation with the beneficiary countries should initiate consultations with the GEF OFPs from the ATS beneficiary countries regarding the potential preparation of ATSEA-3 project concept.</b> The time for full achievement of several outcomes could exceed the lifetime of the ATSEA-2 project and will require follow-up donor financing. GEF-8 that is currently being finalised appears to be one of the funding sources for a follow-up phase of the project.					
<b>Management Response:</b> The ATSEA-2 Project Team is committed to work closely with UNDP and PEMSEA and the ATS countries in this endeavor. The ongoing updating of the TDA, SAP and NAPs may serve as basis in developing the Project Concept for ATSEA-3 with the key objective of ensuring continuity in regional and country efforts and to support long-term implementation of the SAP and NAPs.					
Key Action(s)	Completion Date	Responsible Unit(s)	Tracking		
			Status (initiated; not initiated; completed; no longer applicable)	Comments	
1.1 Under UNDP's guidance, secure country support and commitment to pursue the development of ATSEA-3 Project through discussion with NPBs and RSC.	05 November 2022	UNDP, PEMSEA RSC	Not initiated	The recommendation for Phase 3 will be first discussed at the Project Board meeting on 15 August 2022. It is expected that building from the meeting discussion, next steps will be further clarified.	
1.2 In close consultation with the ATS member countries UNDP (and PEMSEA) to take the lead (with RPMU support) in facilitating the development of PIF and securing of country endorsements.	28 February 2023	UNDP, PEMSEA (with RPMU assistance)	Not initiated		
1.3 UNDP to facilitate submission of country endorsed Project Identification Form (PIF) alongside with a Project Preparation Grant (PPG) request for GEF's review and approval	31 May 2023	UNDP, PEMSEA, RSC/RCC (with RPMU assistance)	Not initiated		

<p><b>Evaluation Recommendation or Issue 6. Re. NIMC operationalization—</b> <i>The RPMU in cooperation with PEMSEA and the NCUs in cooperation with the participating countries should ensure that all three NIMCs are fully functional through ensuring permanent representation of stakeholder institutions on the NIMCs. Furthermore, the ATSEA-2 project teams should map existing national and regional sustainable development policy and planning frameworks. Results of and medium-term opportunities for mainstreaming the SAP/NAPs priority actions into the national development policy and planning frameworks. Results of this work should be presented for consideration of the NIMCs. Relevance of the ATSEA-2 interventions to the needs and priorities of the beneficiary countries is an important factor of the project sustainability. Fully operational NIMCs will serve as an effective vehicle for mainstreaming the ATS SAP/NAPs priority actions into relevant national development plans.</i></p>				
<p><b>Management Response:</b> The Project would like to clarify that the NIMC in PNG has been established and has been operating since 2021, while the NIMC in Timor-Leste was informally convened with an 8 member task team in 2020, and was formally established through a Declaration in June 2022. In the case of Indonesia, the institutional assessment and documents to support legality of NIMC have been completed, however the formal establishment and operationalization of NIMC in Indonesia was hampered by the ongoing reorganization of MIMAF.</p> <p>Recognizing the value of the MTR recommendation to pursue deeper and more meaningful engagement and function of NIMC to support mainstreaming of SAP and NAP priorities in country programs and plans, the Project will pursue the formalization of the NIMC in Indonesia within 2022 and support further strengthening of all NIMCs in the three countries by incorporating joint planning, sharing of relevant information and programs, and reporting of ongoing programs or initiatives that are already aligned with ATSEA programme as part of regular agenda of the NIMC meetings. The NIMC will also be tapped to play a crucial role in the process of updating and review of the country NAPs to ensure that priority areas that will be identified and agreed upon will be submitted for consideration in subsequent national development programs, and relevant plans and/or policies.</p>				
Key Action(s)	Completion Date	Responsible Unit(s)	Tracking	
			Status	Comments
1.1 Conduct regular NIMC meetings to undertake collaborative planning, discussion, and reporting of progress, strategies and approaches in support of the ATSEA programme, SAP and NAPs.	10 June 2024	NCUs NIMCs	(initiated; not initiated; completed; no longer applicable)  Initiated	Note that NIMC meetings in PNG and TL have already been undertaken and will continue on an annual or biannual basis. Subsequent NIMC meetings in all 3 countries will include regular agenda on SAP and NAP joint planning and reporting.

1.2 Engage the NIMCs in each country in the updating process of SAP and NAPs to identify areas of alignment and support, and secure inputs from the NIMC members in the updated SAP and NAPs and corresponding SAP and NAP Financial Plans.	30 December 2023	NCUs NIMCs	Not initiated	The updating of SAP and NAPs are targeted to commence by December 2022 up to 2023
1.3 Upon completion and endorsement of the updated SAP and NAPs at NPB/NIMC and RSC/RCC level, secure country commitments to submit key priorities of the SAP and NAPs in their respective country or relevant Ministries development programs or plans.	30 November 2023	NCUs and RPMU NIMCs RSC/RCC	Not initiated	The updated SAP and NAPs are expected to be endorsed at least at NPB and RSC level by 2023
1.4. Include country commitments to mainstream updated SAP and NAP priorities in their national development planning and programmes as part of the 2 <sup>nd</sup> ATS Ministerial Declaration.	30 January 2024	RPMU and NCUs NPBs ATS Countries	Not initiated	The Ministerial Forum is expected to be convened in 2024
<p><b>Evaluation Recommendation or Issue 7. Re. RSC Meetings—</b> <i>PEMSEA and RPMU in cooperation with the Implementing and Executing Agencies should more actively use options for holding ad-hoc intersessional meetings of the RSC to ensure timely approval of important documents, effective management of project risks and endorsement of critical decisions needed for implementation of the project.</i></p> <p>The MTR observed that the RSC has duly executed its oversight function for the project. However, several important documents were prepared and had to wait until the meeting of the RSC. Increased frequency of the RSC meetings will accelerate approval of important decisions for critical actions in the project implementation.</p> <p><b>Management Response:</b> The Project would like to clarify that as part of the adopted ToR of the RSC, ad hoc intersessional meetings may be convened upon request. In the past years, the Project has also organized thematic RSC discussion to secure RSC guidance and inputs on crucial regional reports or assessments. One intersessional RSC meeting was also organized in 2020 as part of management response to gauge impact and provide guidance in project implementation at the time of COVID.</p>				

Noting the value of accelerating approval and to ensure more effective project management, the ATSEA-2 Project Team concurs with the recommendation and will coordinate and secure RSC approval to put in place a mid-year RSC meeting (preferably virtual to save cost) as part of its regular meetings. The mid-year meetings are envisioned to mainly facilitate intersessional review of key progress as well as review and guide possible adjustment in annual work plan and budget as deemed necessary.				
Key Action(s)	Completion Date	Responsible Unit(s)	Tracking	
			Status (initiated; not initiated; completed; no longer applicable)	Comments
1.1 Secure RSC approval on the inclusion of mid-year/intersessional RSC meeting in its annual activities/meetings, or to organize intersessional high-level thematic discussions as needed.	05 November 2022	RPMU	Not initiated	This may form part of the Project Board discussion on August 15, 2022 or may be tabled for further discussion and confirmation at the 4 <sup>th</sup> RSC Meeting in November 2022.
1.2 Upon concurrence from RSC, the RPMU to include convening of the mid-year RSC meetings as part of its annual work plan.	05 November 2022	RPMU	Not initiated	
<b>Evaluation Recommendation or Issue 8. Re. Enhancing Community Understanding and Engagement of SAP/NAP Implementation – PEMSEA and the RPMU should consider preparation of popular versions of the updated SAP/NAPs for better information of the target communities.</b> The project ultimate goal is protection and sustainable management of ATS marine and coastal resources through implementation of the regional SAP and related NAPs. More active involvement of target beneficiary communities could be ensured if the local leaders and community-based organisations fully understand the need for the SAP/NAPs actions particularly in cases of impacts of the actions on local livelihood and subsistence challenges.				
<b>Management Response:</b> The Project concurs with the MTR recommendation and will pursue the inclusion of development of supporting information materials and conduct of awareness building activities as part of the SAP and NAPs implementation. In particular, local Communication Plan linked to specific target activities at the site levels will be developed and customized on their needs and priorities. Key products and activities to be pursued may include: brochures, posters, project sign boards, community environmental contests, local policy briefs which can serve as reference for public consultations and local strategic planning, targeted information materials and engagement of targeted stakeholders, etc.				
Key Action(s)	Completion Date	Responsible Unit(s)	Tracking	

				<b>Status</b>  (initiated; not initiated; completed; no longer applicable)	<b>Comments</b>
1.1	Support NCU in developing local communication plans to guide information dissemination and stakeholder activities in support of SAP and NAPs implementation	30 December 2023	RPMU and NCU	Not initiated	An ATSEA-2 Communications and Stakeholder Engagement Plan has been developed at the regional level and will serve as guide in further development of specific local communication plans
1.2	Develop different types of information materials or products and activities that would cater to specific target local stakeholders and beneficiaries	30 December 2023	RPMU and NCU	Not initiated	
1.3	Tap media networks of ATSEA-2 to facilitate wider reach	10 June 2024	RPMU and NCU	Not initiated	

#### KEY RECOMMENDATIONS FOR INDONESIA COMPONENT

<p><b>Evaluation Recommendation or Issue 9. Re. Relevance or Attainability of Some End of Project Target and Activities</b> – <i>The RPMU in cooperation with the NCU Indonesia should conduct a critical revision and reassessment of the following elements of the project SRF which were observed to be either not relevant or not attainable:</i></p> <ul style="list-style-type: none"> <li>• <i>Modify Activity 2.1.3-8 on IUU fishing through conducting a study to establish a baseline on IUU fishing in FMA 718 in Aru and Merauke areas as project sites</i></li> <li>• <i>Modify Activity 2.1.3-10 on improved provincial registration of vessel systems for a more specific definition of the target vessel systems in Maluku and Papua covering three commodities (red snapper, shrimp, and barramundi)</i></li> <li>• <i>Revise the EOP target for Indicator 16 through utilization of new MPA management effectiveness scoring of EVIKA and potentially adopt a new indicator for the Kolepom MPA to comply with Indonesian government requirements</i></li> <li>• <i>Reconsider relevance of Activity 2.3.2-16 on the feasibility study for ecotourism development in the Kolepom MPA</i></li> <li>• <i>Modify Activities 2.3.3-6 and 2.3.3-7 on conducting a feasibility study on alternate livelihood tourism opportunities for the communities in Aru Islands, Rote, and Merauke and possibly other sites through education for local communities on turtles' conservation while providing alternative nature-based livelihoods or capacity building options</i></li> <li>• <i>Reconsider relevance of Activity 2.4.3-4 on technical training for maintenance and repair of the solar-powered water desalination units and eventually replace with activities related to water, sanitation, and hygiene (WASH) projects, for access to safe and affordable drinking water</i></li> </ul>
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- *Modify the EOP targets for under Indicators 13 and 14 to make them clearer and more specific and attainable*

**Management Response:** The Project concurs with the MTR recommendation and will pursue the clarification of each the identified EOPs with concern. In particular, the Project would like to propose modification on the following two (2) targets related to Protected Area Management Effectiveness Score of SE Aru and Support to Water Desalination Plant in Nusa Manuk, for further confirmation with the NPB and RSC:

- In compliance with both the MMAF requirement on the use of the EVIKA system and the ATSEA-2 Project requirement on the use of the METT system, the NCU will pursue assessment for both systems and report results at mid-term (within 2022) and end of project. It should be noted that the Project's end of project METT rating of 92 (from baseline of 39) was also deemed unrealistic taking into consideration that more mature MPAs in Indonesia have yet to reach the rating of 80 METT. Thus, a proposed target of not more than 70 METT (50-85% for EVIKA) will be submitted for consideration as new EOP.
- For target output to provide capacity in maintenance and repair for Nusa Manuk's water desalination plant, it should be noted that the facility has been broken way before the start of the ATSEA-2 project and this was further confirmed in inspections of ATSEA-2. Given the remaining available limited time and resources, the ATSEA-2 Project Team proposes to drop the target and reallocate the interventions to Landu Tii of Rote Ndao which has the same issues as Nusa Manuk on access to clean water. Since the project team already have interventions in the location, there will be higher impact by providing a more comprehensive intervention in Landu Tii. This location was also identified as hotspot for oil spill and climate impact.
- Note: The proposed change in hectare coverage in the newly established MPA in Kolepom is included as part of Management Response under Recommendation or Issue #3.

Key Action(s)	Completion Date	Responsible Unit(s)	Tracking	
			Status (initiated; not initiated; completed; no longer applicable)	Comments
1.1 Submit the MTR recommendation and convene the NPB and RSC to secure their approval and to formalize the change of EOP and activity level, as follows: Activity level - Baseline IUU fisheries in 718 with specific focus in Aru and Merauke area	30 September 2022	NCUs NIMCs NPB RSC	Initiated	This will be targeted for submission at the NPB meeting for early September 2022 and for further discussion and confirmation at the 4 <sup>th</sup> RSC Meeting in November 2022.

<ul style="list-style-type: none"> <li>- Improve fishing vessel registration at the provincial level for red snapper, shrimp and barramundi in Maluku and Papua</li> <li>- Modify feasibility tourism assessment to feasibility for fisheries processing product or another relevant alternative livelihood</li> <li>- Propose changing of location for WASH project from Nusa Manuk to Landu Tii</li> </ul> <p>End of Project (EOP) Target:</p> <ul style="list-style-type: none"> <li>- Align EVIKA and METT tracking tools to support management effectiveness in SE Aru</li> <li>- Specify the EOP of reduce fishing pressure and improve use fish/gear techniques based on further assessments</li> </ul>				<p>The assessment on fishing vessel from 3 commodities has already been identified in the EAFM assessment and IUU assessment</p>
<p>1.2 Collaborate with MMAF and Provincial Government of Maluku and Papua to escalate initiatives on fishing vessel registration</p>	30 December 2023	NCUs NIMCs NPB	Initiated	<p>The fisheries fishing vessel registration is already ongoing as part of the EAFM action plan implementation. NCU will further assist the Provincial Governments in the process</p>
<p>1.3 Conduct an assessment on EVIKA and METT for SE Aru to see how EVIKA aligns with the METT system and report both EVIKA and METT scores (at mid-term or within 2022 and end of project) to comply both with the ATSEA-2 project requirement on METT and the internal country requirement on EVIKA.</p>	30 September 2022 and 30 January 2024	NCUs NIMCs NPB	Initiated	<p>Expert to do the assessment has been engaged. Result for assessment this 2022 is expected to be available by end of September 2022. The second rating will be done by end of project.</p>

1.4 Conduct feasibility study on fisheries processing product or another relevant alternative livelihood	30 December 2022	NCUs NIMCs NPB	Initiated	<p>The TOR has been developed and under procurement process from UNDP for Aru and Merauke.</p> <p>The implementation forms part of the EAFM action plan for Red Snapper, Shrimp and Barramundi</p> <p>Feasibility study in Rote Ndao is already available and is being implemented since 2021</p>
1.5 Collaborate with MMAF, local government and other partner to manage gap assessment related to water, sanitation, and hygiene (WASH) for access to safe and affordable drinking water in Landu Tii	30 December 2023	NCUs NIMCs UNDP	Not initiated	<p>Actions will build on recommendations and will be aligned with ICM action plan that has already been developed</p>
<b>Evaluation Recommendation or Issue 10. Re.- Administrative and Procurement Procedures for Indonesia Component- <i>The UNDP CO in Indonesia in cooperation with the NCU should conduct a critical review of the procurement and other administrative assistance and identify causes of delays. Several project stakeholders perceive the administrative and procurement procedures under UNDP CO Indonesia causing delays in the project implementation.</i></b>				
<b>Management Response:</b> The ATSEA-2 Project Team is committed to work closely with UNDP procurement unit to identify the gaps or aspects causing delays in the procurement process and to jointly identify strategic actions. The project team also seeks further guidance from UNDP to manage the procurement and financial process from field site locations where there are limited access and facilities.				
Key Action(s)	Completion Date	Responsible Unit(s)	Tracking	
			Status (initiated; not initiated; completed; no longer applicable)	Comments
1.1 Coordinate with UNDP to identify major issues or cause on delay of administration and procurement processes	30 September 2022	NCUs UNDP	Initiated	The issue has been raised and initially discussed at Senior Management Team level, further guidance from UNDP is needed

1.2 Conduct vendor registration for potential stakeholders that are or will be involved in project implementation and promote potential vendors from hotel, car rentals and other third party particularly in project sites	30 December 2023	NCUs NPB UNDP	Initiated	The registration in relation to current activities is already ongoing. More explanation of UNDP procedure will need to be provided to potential vendors in field sites
1.3 Identify an additional team to support administration and procurement staffing to further support and facilitate more efficient administration process and secure approval of the same in the NPB meeting	30 September 2022	NCUs NPB UNDP	Initiated	The additional scope of work from administration staff from NCU has already been approved by the NPB. The hiring process is ongoing.  Further process will be undertaken for the development of TOR for procurement support.
<b>Evaluation Recommendation or Issue 11. Re.– NPB Indonesia Meetings- The NCU Indonesia should intensify consultations with the NPB and UNDP Indonesia for focusing more on performance and achieving results through arrangement of the NPB meetings at least semi-annually (at the middle and the end/beginning of the year).</b> The once per year frequency of meetings of the NPB Indonesia is not sufficient for achieving needed decisions for smooth implementation of the planned activities in Indonesia.				
<b>Management Response:</b> The Project welcomes the recommendation. In line with this, the ATSEA-2 Project Team has initiated in 2021 the convening of at least 2 NPB meeting in a year to track project implementation and arrange the strategic workplan. The ATSEA-2 Project Team will coordinate further with the NPB to discuss more strategic issues and design a more performance and results-based agenda. Specific issues will be further identified and tackled at technical meetings with resulting major recommendations elevated to the NPB for final review and decisions.				
Key Action(s)	Completion Date	Responsible Unit(s)	Tracking	
			Status	Comments
1.1 Coordinate and facilitate periodic meetings with NIMCs or MIMAF related to technical issues based on thematic issues	28 January 2024	NCUs NPB UNDP	Not initiated	The formalization of NIMC will be pursued within 2022. Periodic meetings will be convened once NIMC is fully operational.

1.2 NCU to ensure and arrange at least 2 (two) NPB meetings in a year focusing more on performance and results-based agenda	28 January 2024	NCUs NPB UNDP	Not initiated	NCU will seek further assistance from UNDP and consult further with the NPB in developing a template MoM/guide for conducting results-based NPB meetings
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**KEY RECOMMENDATIONS FOR TIMOR-LESTE COMPONENT**

**Evaluation Recommendation or Issue 12. Re. Stakeholder Ownership of Project Interventions**– *The Timor-Leste NCU in cooperation with the UNDP CO should ensure inclusion of additional stakeholders, in particular, local authorities at Suco level need to be more involved in the decision-making on implementation of projects in their areas for reinforcing their ownership of project interventions for community development, coastal management, and environmental protection, in particular with respect to IUU fishing in the Timor Sea*

**Management Response:** The Project notes the findings and recommendations and is fully committed to ensure that key stakeholders are properly informed and engaged in the activities being or to be undertaken in their respective sites or areas, including in Suco as suggested by the MTR. This will be undertaken by ensuring proper identification, notification, and engagement of relevant stakeholders on the different activities as part of the roll out of ICM plan and other livelihood related initiatives in concerned communities. A pre- and post- activity simple survey will also be included as part of regular initiative to track stakeholder feedback and concerns.

Key Action(s)	Completion Date	Responsible Unit(s)	Tracking	
			Status (initiated; not initiated; completed; no longer applicable)	Comments
1.1 With support from site mobilizer, identify and engage relevant stakeholders at the site level in various project activities	08 March 2024	NCU	Initiated	The site mobiliser is already undertaking actions in mobilizing relevant stakeholders to ensure that they are properly informed and engaged in the activities being or to be undertaken in their respective sites or areas, including in Suco

<b>Evaluation Recommendation or Issue 13. Re. Measurement of Impacts of Livelihood Initiatives–</b> <i>The NCU in cooperation with the RPMU should strengthen the M&amp;E system to reflect the activities more comprehensively as a ‘bridge’ between UNDP ATSEA 2 project and the Government of Timor-Leste, and to gather evidence on the impact of the community livelihoods support projects in the country.</i>				
<b>Management Response:</b> <p>The Project notes the findings and recommendations and is fully committed to ensure that the M&amp;E system is strengthened to reflect the activities more comprehensively as a ‘bridge’ between UNDP ATSEA 2 project and the Government of Timor-Leste. The project is already monitoring and reporting impacts of various livelihood activities through the adopted ICM plan etc. and will further ensure extra effort to gather evidence on the impact of the community livelihoods support projects in the country as the ICM Plan implementation progresses. The project is also considering recruiting an M&amp;E officer to support the NCU, with expertise in communication who will further assist the project in communicating its activities and results on the ground as well as their respective impacts on community livelihoods in the country. The M&amp;E for the UNDP country office has also been providing support towards M&amp;E related activities and will strengthen it in coordination with the project site mobilizers to collect all the relevant evidence on the impact of the community livelihood support projects in the country.</p>				
Key Action(s)	Completion Date	Responsible Unit(s)	Tracking	
			Status (initiated; not initiated; completed; no longer applicable)	Comments
1.1 Implement and monitor the impacts of the ICM Plan implementation for Posto Administrative Barique in Manatuto Municipality	08 March 2024	ATSEA-2 PMU and UNDP TL CO	Initiated	ATSEA-2 will support specific community-based activities in support of the ICM plan in PA Barique. The activities under the plan will be implemented by a selected NGO following the issuance of a call for proposals, where different NGOs have expressed interest. Final selection of appropriate NGO is expected by September. The community-based activities will include M&E to gather evidence on the impact of the community livelihoods support projects.
1.2 Recruit an M&E expert to support the NCU	30 December 2022	ATSEA-PMU/UNDP TL Country Office	Not initiated	The recruitment of the Communication Assistant/M&E will be initiated and finalized by early 2023

1.3. Conduct a refresher training on M&E for relevant project staff	30 March 2023	RPMU UNDP CO	Not initiated	A briefing on M&E on basic M&E terminologies and process specific to the requirements of UNDP and GEF in support of ATSEA-2 M&E requirements were provided to the National Project Coordinator by the M&E Specialist of RPMU. However, a refresher training with additional elements on impact/results-based monitoring and reporting is further needed for the national project coordinator as well as other NCU staff.
<b>Evaluation Recommendation or Issue 14. Re. Alternative Livelihood Tourism Initiatives –</b> <i>The NCU in cooperation with the RPMU should conduct comprehensive planning for alternate livelihood support projects for communities in the targeted municipalities. Beneficiary community groups should be supported in development of business plans and sharing of success stories in order to identify opportunities for making the best possible use of their comparative advantages and optimize achievement of results.</i>				
<b>Management Response:</b> <p>The project takes note of the recommendation and in coordination with RPMU, the beneficiary community groups will be supported accordingly to support sharing of success stories and identifying opportunities for making the best possible use of their comparative advantages and optimize achievement of results. The project is already doing this by offering financial and cooperatives management trainings etc. for the established cooperative and other beneficiary group members. The project will further continue to build on these to continue improving the ability of targeted beneficiary community groups for good and sustainable results.</p> <p>Four (4) calls for proposals have been issued and potential NGOs/CBOs/CSOs have expressed interest to facilitate the implementation of the specific livelihood activities related to marine turtles conservation, establishment of drought resilient home gardens and ICM plan implementation. The actions to be undertaken includes promotion of ecotourism and livelihood opportunities for the local communities—through the established local groups/cooperatives—while strengthening the management of marine coastal resources. Through these engagements, the selected NGOs will implement activities following a clear business framework and ensure more systematic execution of activities, including monitoring and reporting of impacts or benefits. The capacity of these NGOs/CBOs/CSOs will also be strengthened to further help in sustaining the results.</p>				
Key Action(s)	Completion Date	Responsible Unit(s)	Tracking	
			Status (initiated; not initiated; completed; no longer applicable)	Comments

1.1 Complete the process for Call for proposals	31 August 2022	UNDP CO ATSEA-2 PMU	Initiated	The review of proposals and contract awards to be finalized in August 2022 and activities implementation to start in September 2022 for a period not exceeding one year.
1.2 Coordinate with RPMU for a comprehensive planning to ensure more strategic and systemic design and implementation of targeted alternate livelihood support projects	31 August 2023	NCU RPMU	Initiated	Discussions and coordination are ongoing Key strategic points to be considered include: identification of the stakeholders, conduct of pre and post engagement surveys, development and stakeholder consultation and awareness building on a clear business plan for community-based alternative livelihoods, and inclusion of regular monitoring of impacts to beneficiaries.
1.3 Carry out and monitor the implementation and impacts of the agreed plans in close consultation with the targeted communities and supporting NGOs/CBOs/CSOs	08 March 2024	NCU RPMU	Not initiated	To be undertaken upon roll out of the plans

#### KEY RECOMMENDATIONS FOR PAPUA NEW GUINEA COMPONENT

<b>Evaluation Recommendation or Issue 15. Re. Capacity Building for South Fly Artisanal Fishery Management Plan Implementation – PEMSEA in cooperation with the NCU and RPMU should ensure provision of capacity building on AFMP management and enforcement to the local governments in the SFD communities.</b> The flagship deliverable for the Papua New Guinea component is the development of the Artisanal Fisheries Management Plan (AFMP for the South Fly District (SFD). It is expected that the Plan will be officially gazetted and will thus become a law to be incorporated into local legislation at the village level. Successful implementation of the Plan will require effective management of the AFMP by the fishing villages' authorities.				
<b>Management Response:</b> The Project concurs with the recommendation. The draft SFAFMP which is currently undergoing stakeholder consultation includes an EAFM training to facilitate better understanding and support to the adoption and implementation of the SFAFMP. As part of long-term implementation of the SFAFMP, capacity building plan and support to strengthen enforcement of SFAFMP will be further developed together with NFA and the South Fly Stakeholder Committee once it is formally established by end of 2022/early 2023.				
Key Action(s)	Completion Date	Responsible Unit(s)	Tracking	
			Status	Comments

				(initiated; not initiated; completed; no longer applicable)	
1.1 Develop training and awareness materials on the SFAFMP	30 November 2022	NCU PNG, Eco Custodian Advocates	Initiated	EAFM Training materials available, SFAFMP summary information poster generated as part of the plan development	
1.2 Conduct EAFM training(s) on the SFAFMP	31 August 2022 and 31 March 2023	NCU PNG, Eco Custodian Advocates	Not Initiated	An EAFM training is already targeted to be conducted in August 2022. Additional EAFM training is expected to be conducted by 2023 upon roll out of the SFAFMP	
1.3 Conduct Awareness on SFAMP in South Fly villages	30 June 2023	NCU PNG	Initiated	Some awareness building activities have been undertaken during the initial field work to collect data. It will be a continuing activity	
1.4 Artisanal fishery data collection training	31 March 2023	NCU PNG	Not Initiated	Villagers will be trained on simple data collection so they can collect important data from the start of implementation to monitor effectiveness	
<b>Evaluation Recommendation or Issue 16. Re. The RPMU in cooperation with PEMSEA and the NCU PNG should conduct a critical revision and reassessment of the EOP targets for Output 2.1.1 in the project SRF:</b> <ul style="list-style-type: none"><li>Reset the target for Indicator 13 on more sustainable production of dried fish maw to also cover production and use of fish maw carcass;</li><li>Redefine the target for Indicator 14 on improved use of fishing gears by artisanal fisheries in line with the South Fly Fore-coast AFMP</li></ul> Indicators 13 and 14 in the project SRF are poorly defined and there are no specific activities defined in the Project Document for achievement of the respective EOP targets for PNG. Assessments completed under the project proved that the EOP targets were determined based on outdated baseline data and therefore unrealistic and unclear.					
<b>Management Response:</b> For supporting information, it should be noted that the production and trade of dried fish maw remains to be unregulated in PNG which makes monitoring and reporting difficult at this time. In line with this, NFA is in the process of developing a management plan for the fish maw fishery. As part of that process, NFA will be collecting data on fish maw harvest including in South Fly. This NFA work aligns with ATSEA-2 objectives for managing fish maw harvest. The project will collaborate with NFA on fish maw management in South Fly. The project therefore concurs with the recommendation. To address this, further surveys have to be conducted in South Fly communities to collect quantitative data on current fish maw harvest and the fishing gear used by the artisanal fishers to complement some baseline data collected for the artisanal fisheries management plan. Once the key fish maw target species have been identified and their populations have been estimated then their sustainable harvest rate can be determined and harvest quota set. Baseline data on fishing gear used need to be updated before the management plan is implemented and fishing gear restrictions applied. Once the baseline fishing gear use and the gear restrictions are known then a target for improved use of fishing gears can be set.					
Key Action(s)	Completion Date	Responsible Unit(s)	Tracking		

				Status (initiated; not initiated; completed; no longer applicable)	Comments
1.1 Collaborate with NFA and develop a field work proposal for fish maw data collection	30 September 2022	NFA, NCU PNG	Initiated	NFA has started on the proposal in 2022 and the proposal is at review stage.	
1.2 Conduct quantitative data collection on fish maw harvest and the use of fish carcass	31 March 2023	NFA, NCU PNG	Not initiated	There will be primary data collected for the TDA updating process. Some of these data will be on fish maw harvest which will complement the data collected by NFA and ATSEA project for fishery management in South Fly.	
1.3 Sustainable harvest assessment and fish maw harvest target setting	28 April 2023	NFA, NCU PNG	Not initiated		
1.4 Confirm baseline data on fishing gear use and based on this set the targets for the SFAFMP	30 December 2022	NFA, NCU PNG	Not initiated	There will be further primary data collected for the TDA updating process to update or confirm baseline data on fishing gear use.	
1.5 Assess/monitor compliance of small-scale fishers on the SFAFMP on the use of sustainable fishing gears and techniques	10 June 2024	NFA, NCU PNG	Not initiated		
<b>Evaluation Recommendation or Issue 17. Re. Other Resources for Strengthening of Community Livelihood Activities – PEMSEA and UNDP in cooperation with the RPMU and PNG NCU should assess options for re-allocation of the project funds to the PNG component and consider reaching out to the private sector (e.g. Ok Tedi Development Foundation) for joint activities and additional support to implementation of community level activities, including linking with the GEF Small Grants Programme in PNG and with the Australian High Commission in PNG.</b> Budget allocation for the PNG component in the approved Project Document is underestimated and lack of funding can negatively affect roll out of the South Fly AFMP and completion of the first NAP for PNG. Implementation of community-level livelihood activities in the SFD will be strengthened through attracting additional resources from various available sources of financing.					
<b>Management Response:</b> The project concurs with the recommendation. The NCU PNG will discuss the budgetary constraints of the PNG component with RPMU, PEMSEA, and UNDP and explore options for making funding available to successful implementation and completion of projects in PNG. NCU PNG will also conduct joint planning as part of its periodic NPB and NIMC/SPF meetings to discuss with NFA and other development partners potential collaboration and co-financing support (in cash or in kind) for relevant aspects of the projects.					

Key Action(s)	Completion Date	Responsible Unit(s)	Tracking	
			Status (initiated; not initiated; completed; no longer applicable)	Comments
1.1 Develop 2023 AWP and budget (including a work plan and budget estimation for 2024) and discuss with RPMU, PEMSEA and UNDP	31 August 2022	NCU PNG	Initiated	2023 AWP and budgeted planning in progress
1.2 Discuss and establish formal arrangements with cross sectoral development partners (e.g. Small Grants Programme, Australian High Commission, etc.) for in cash or in-kind support on specific ATSEA-2 PNG activities	31 March 2023	NCU PNG, NFA	Initiated	As part of NFA's co-financing commitment to the Project, a more detailed financial plan will be discussed and included as part of the ATSEA-2 PNG AWP and Budget for 2023 and 2024 to facilitate targeted delivery of NFA's support. Moreover, talks of MOU or LOA with Australian High Commission have been initiated but further discussions need to be conducted to identify more concrete collaboration and actions.
1.3 Discuss with NFA to mainstream National Secretariat role as part of a functional unit of NFA	31 March 2023	NCU PNG, NFA	Not initiated	

\*\*\*

## ***ANNEX 11: MTR REPORT CLEARANCE FORM***

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

**Commissioning Unit (M&E Focal Point)**

Name: **Mr. Dikot Harahap** (UNDP Indonesia-QARE)

Signature:  Date: 9/10/2022

**Regional Technical Advisor (Nature, Climate and Energy)**

Name: **Mr. Tashi Dorji** (UNDP Bangkok Regional Hub)

Signature:  Date: 9/10/2022

***ANNEX 12: INDIVIDUAL COUNTRY MTR REPORTS FOR INDONESIA,  
PAPUA NEW GUINEA, AND TIMOR-LESTE***

**IMPLEMENTATION OF THE ARAFURA AND TIMOR SEAS REGIONAL  
AND NATIONAL STRATEGIC ACTION PROGRAMMES (ATSEA-2)  
SECOND PHASE OF THE ARAFURA TIMOR SEAS ECOSYSTEM  
ACTION (ATSEA)**

**MID-TERM REVIEW COUNTRY REPORTS FOR  
INDONESIA, PAPUA NEW GUINEA, AND TIMOR-LESTE**

**QUICK LINKS TO COUNTRY REPORTS:**

**INDONESIA COMPONENT****PAPUA NEW GUINEA COMPONENT**

**ERROR! REFERENCE SOURCE NOT FOUND.**



**IMPLEMENTATION OF THE ARAFURA AND TIMOR SEAS  
REGIONAL AND NATIONAL STRATEGIC ACTION PROGRAMMES (ATSEA-2):  
SECOND PHASE OF THE ARAFURA TIMOR SEAS ECOSYSTEM ACTION (ATSEA)**

**INDONESIA COMPONENT**

**GEF ID: 6920**

**UNDP-GEF PIMS ID: 5439**

**MID-TERM REVIEW REPORT  
(18 April 2022- 30 August 2022)**

**Midterm Review Team Members**

**Written by:**

**Mr. Achmad Solikhin (National Consultant for Indonesia)**

**Supervised by:**

**Mr. Dalibor Kaysela (International Consultant)**

**Mr. Amorim Vieira (National Consultant for Timor Leste)**

**August 2022**

## ***SYNOPSIS***

Title of UNDP supported GEF financed project:	Implementation of the Arafura and Timor Seas Regional and National Strategic Action Programmes: Second Phase of the Arafura Timor Seas Ecosystem Action (ATSEA-2)
UNDP Project ID:	5439
GEF Project ID:	6920
Evaluation time frame:	18 April-5 August 2022
CEO endorsement date:	24 November 2017
Project implementation start date:	1 February 2019 (Indonesia)
Project operational closure:	December 2023
Date of evaluation report:	20 August 2022
Region and Countries included in the project:	Indonesia
GEF Focal Area Objective:	International Waters Objective IW 1: Catalyse sustainable management of transboundary water systems by supporting multi-state cooperation through foundational capacity building, targeted research, and portfolio learning Objective IW 3: Enhance multi-state cooperation & catalyse investments to foster sustainable fisheries, restore & protect coastal habitats, reduce pollution of coasts & large marine ecosystems
Implementing partner and other strategic partners:	Ministry of Marine Affairs and Fisheries, Republic of Indonesia
Mid-term review team members:	<ul style="list-style-type: none"><li>• Mr. Dalibor Kysela (International Consultant)</li><li>• Mr. Amorim Vieira (National Consultant for Timor-Leste)</li><li>• Mr. Achmad Solikhin (National Consultant for Indonesia)</li></ul>
Acknowledgements:	Please refer to the next page

## I. Acknowledgement

The midterm review (MTR) report of the Indonesia Component of the ATSEA-2 Project is a comprehensive project evaluation report that was successfully completed to assess the ATSEA-2 project management relevance, effectiveness, efficiency, sustainability, and impacts. The report also depicts achievements and challenges subsequently used to render critical recommendations for the project improvement.

After completing the ATSEA-2 Project's MTR report, we would like to acknowledge the support of the regional project coordinating unit, Indonesia's national project coordinating team, PEMSEA, and UNDP Indonesia. We also thank all the following resource persons who have provided their time in responding to our interview, questions, and data/information requests: Dr. Amehr Hakim S.Pi, M.Si; Dr. Kurniawan S.T, M.Si.; Dr. Absalom Solossa; Dr. Santoso Budi Widiarto, S.Sos, M.P; Dr. Imam Fauzi; Dr. Jotham Ninef; Dr. Erawan Asikin; Dr. Ervina Indrayani, Dr. James Abrahamz, Ms. Elin Shinta; and Reef Check representatives (Mr. Derta Prabuning and Mr. Bolong). We also would like to extend our sincere gratitude to all the personnel getting involved in Indonesia's ATSEA-2 Project, whose names are as follows:

1. Mr. Nara Wisesa Wiwardhana, facilitated Indonesia's MTR schedule, field visits, and online interviews arrangement;
2. Ms. Nathazha Bostanova Eunika Sipasulta, assisted in administrative regards during Indonesia's MTR study;
3. Mr. Mikael Leuape, assisted in field visits, technical matters, and transportation;
4. Mr. Dwi Ariyoga Gautama, Mr. Hasbi, and Mr. Johanis Valentino Fofied, facilitated connection with regional and national stakeholder respondents;
5. Ms. Laeli Sukmahayani and Ms. Lestari Handayani, provided information and data on gender and financial issues, respectively.

Finally, We would like to appreciate all the great endeavors of all stakeholders in the ATSEA-2 Project who have contributed to enhancing the sustainable management of marine-coastal ecosystems in Kabupaten Aru Islands, Kabupaten Merauke, and Kabupaten Rote Ndao. We ascertain that the report is far from perfect because of some shortcomings. We appreciate your kind input and advice for the improvement of the report. Thank you for your kind support and attention.

Jepara, 20 August 2022

MTR National Consultant for  
Timor-Leste

Mr. Amorim Vieira

MTR National Consultant for  
Indonesia

Mr. Achmad Solikhin

MTR International Consultant

Mr. Dalibor Kysela

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## ***ACRONYMS AND ABBREVIATIONS***

ATSEA	Arafura Timor Seas Ecosystem Action
ATS	Arafura and Timor Seas
BKKPN	Balai Kawasan Konservasi Perairan Nasional
BAPPENAS	Badan Perencanaan Pembangunan Nasional
BRH	Bangkok Regional Hub
BRIN	Badan Riset dan Inovasi Nasional /National Innovation and Research Agency
BRSDM	Badan Riset dan Sumber Daya Manusia/Agency for Marine and Fisheries Research and Human Resources
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
CTI	Coral Triangle Initiative
EA	East-Asia
EbA	Ecosystem-based Approach
EAFM	Ecosystem Approach to Fisheries Management
EOP	End of Project
FAO	Food and Agriculture Organization
FIP	Fisheries Improvement Project
FMA	Fisheries Management Area
GEF	Global Environment Facility
GESI	Gender Equity and Social Inclusion
GHGs	Greenhouse Gases
GRI	Global Record Initiative
ICM	Integrated Coastal Management
IUU	Illegal, Unreported and Unregulated
IPIECA	International Petroleum Industry Environmental Conservation Association
LIPI	Indonesian Institute of Sciences
LPAC	Local Project Appraisal Committee Meeting
LME	Large Marine Ecosystem
METT	Management Effectiveness Tracking Tool
MMAF	Ministry of Marine Affairs and Fisheries
MoF	Ministry of Finance
MCS	Monitoring, Control, and Surveillance
MTR	Midterm Review
MPA	Marine Protected Area
NCU	National Coordination Units
NBSAPs	National Biodiversity Strategies and Action Plans
NDC	Nationally Determined Contribution
NIMCs	National Inter-Ministerial Committees
NPB	National Project Board
NRM	Natural Resources Management
NTT	Nusa Tenggara Timur
PEMSEA	Partnership in Environmental Management for the Seas of East Asia
PNG	Papua New Guinea
PT	Perseroan Terbatas
ToC	Theory of Change
ToT	Training of Trainer
TT	Tracking Tool

RSC	Regional Steering Committee
RGM	Regional Governance Mechanism
RPOA IUU	Regional Plan of Action to Combat Illegal, Unreported and Unregulated
SAP	Strategic Action Programme
SEA	Southeast Asia
SESP	Social and Environmental Screening Procedure
SPF	Stakeholder Partnership Forum
SRF	Strategic Results Framework
SWRO	Seawater Reverse Osmosis
TDA	Transboundary Diagnostic Analysis
TOR	Term of Reference
UN	United Nations
UNDP	United Nations Development Programme
WASH	Water, Sanitation, and Hygiene
WPP	Wilayah Pengelolaan Perikanan
VMS	Vessel Monitoring System

## 1. EXECUTIVE SUMMARY

### 1.1 Project Information

This report summarizes the findings of the Midterm Review conducted via virtual meetings between 01 July and 05 August 2022 for the Indonesia component of the Implementation of The Arafura and Timor Seas Regional and National Strategic Action Programs (ATSEA-2); Second Phase of the Arafura Timor Seas Ecosystem Action (ATSEA) Program, (hereby referred to as the ATSEA-2 Project) that received a US\$3,180,000 grant from the Global Environment Facility (GEF) in 2019.

**Table 8. ATSEA-2 Project information**

Project Title:	Implementation of The Arafura and Timor Seas Regional and National Strategic Action Programs (ATSEA-2); Second Phase of the Arafura Timor Seas Ecosystem Action (ATSEA) Program			
Atlas Award ID	00096036	Sources of Fund (Global and Indonesia)	At CEO Endorsement (US\$)	Actual Spent at MTR (US\$)
UNDP-GEF PIMS ID	5439	GEF Fund	9,745,662	1,299,794
Atlas Output Project ID	6920	- <i>GEF Indonesia Comp.</i>	<i>3,180,000</i>	<i>1,299,794</i>
Country	Indonesia	UNDP Indonesia, Grant/Cash	75,000	N/A
Region	Asia and Pacific	UNDP Indonesia, In-Kind	50,000	N/A
Focal Area	International Waters	Donor Agency, In-Kind - <i>USAID Adapt Asia-Pacific Program, In-Kind</i>	85,651 <i>85,651</i>	N/A <i>N/A</i>
GEF Implementing Agency	United Nations Development Programme Country Office (UNDP Country Office Indonesia)	Government, In-kind - <i>Government of Indonesia, In-Kind</i>	<i>16,345,261</i>	<i>19,260,349</i>
Managing & Guiding Agency	Indonesia National Coordinating Unit	Government, Grant/Cash - <i>Government of Indonesia, Grant</i> - <i>LIPI, Grant</i>	<i>400,000</i> <i>300,000</i>	<i>450,484</i> <i>N/A</i>
Implementing Partner	Ministry of Marine Affairs and Fisheries	Total Project Cost	27,001,574	21,010,627
Other Partners	<ul style="list-style-type: none"> <li>Global Environment Facility</li> <li>UNDP Indonesia</li> <li>Indonesian Institute of Sciences (LIPI)</li> <li>USAID Adapt Asia-Pacific Program</li> </ul>	ProDoc Signature Date (LPAC Date): 24 November 2017		
		Operational Closed Date: December 2023 (Indonesia component)	Planned Start Date: June 2018	Planned End Date: 28 January 2024

Table 1 shows the project information sheet highlighting brief information about the ATSEA-2 Project. The sheet consists of project title, implementation site, budget, executing agency, implementing agency, and partners.

## 1.2 Project Description

The ATSEA-2 Project is a regional transboundary project in the Arafura and Timor Seas financed and supported by the GEF and UNDP, respectively. The Project is designed to promote sustainable development of the Arafura-Timor Seas region to improve the quality of life of its inhabitants through restoration, conservation, and sustainable management of marine-coastal ecosystems. Under the country management of Indonesia, the Project delivers a UNPDF country program on outcome 3, namely: by 2020, Indonesia is sustainably managing its natural resources, on land and at sea, with increased resilience to the effects of climate change, disasters, and other shocks. The Project also has expected two UNDP Strategic Plan Outputs, which are Output 1.3 (national and regional solutions for sustainable management of natural resources, ecosystem services, chemicals and waste) and Output 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). The Project is executed in ATS region with expected deliverables: 1) a functioning regional governance mechanism, 2) approximately 125 km of integrated coastline management, 3) up to 25% of sustainable fisheries in the ATS, 4) improved scientific knowledge in climate change, improved ecosystem health, 5) improved fisheries management of red snapper, barramundi and shrimp fisheries, 6) designation of two MPAs, 7) the inclusion of oil spill response systems and procedures, and 8) regional MPA network and action plan for protecting endangered marine turtles. Furthermore, the expected deliverables targeted to achieve in Indonesia, are: 1) functional national governance mechanism, 2) established NIMC, 3) improved management of fisheries and coastal resources, 4) reduced marine pollution, 5) conserved coastal and marine biodiversity through habitat and species protection, and 6) integrated coastal management incorporating climate change adaptation.

The Indonesian component of the ATSEA-2 project is implemented through a National Implementation Modality (NIM). The designated Implementing Partner for Indonesia was the Ministry of Marine Affairs and Fisheries (MMAF), serving as the Project's National Focal Agency. A National Coordinating Unit (NCU) was established to oversee the day-to-day coordination of the project at the country level. The Indonesia component's Atlas award ID is 00096036, UNDP-GEF PIMS ID of 5439, and an atlas output project ID of 6920. The Indonesian component received GEF financial support of USD 3,180,000, with co-financing commitments from MMAF, UNDP Indonesia, and other donors.

## 1.3 Project Progress Summary

After conducting the MTR study on the ATSEA-2 Project, vital information can be taken into account for project improvement. The ATSEA-2 Project in Indonesia is still in progress to achieve one objective, six outcomes, and ten outputs under two components (Component 1 on local to regional governance for LME management and Component 2 on improving LME carrying capacity). In addition, the ATSEA-2 Project Team also supports Component 3 on knowledge management consisting of one outcome and two outputs. Most of the activities of the Project are still on track and ongoing to achieve determined outputs. However, some identified activities were delayed due to several factors, such as the Covid-19 pandemic and natural disasters, red tape and bureaucracy, governmental structure transformation, and administrative procedures. There are also some activities that have yet to start and are targeted to commence in 2023 in accordance with the multiyear work plan for the project.

Of the above components, Component 1 is the most challenging to execute because of several reason: 1) the topic discussed under the Component 1 is much more unthematic and untechnical, 2) the project needs to obtain several ministerial endorsements under the components, such as National Interministerial Committee (NIMC), Strategic Action Program (SAP), Regional Governance Mechanism (RGM), and Stakeholder Partnership Forum (SPF). Several issues might be causing delays in the achievements of the regional and national project results, such as NIMC establishment under Component 1 and Marine Protected Area (MPA) establishment under Component 2. Referring to the Strategic Results Framework (SRF)/Logframe and upon

assessment of this MTR, several targets, outputs, and activities under the Indonesia components need to be revisited and/or altered as some are impossible and ambitious to reach within the limited time and resources of the project.

The project team has worked well to adopt agile and adaptive management in addressing challenges at the national and local sites. At the national level, the challenges remain difficult to handle as they pertain to more administrative issues, whereas at the local level, for instance, during the Covid-19 pandemic and Seroja tropical cyclones, the project team worked or partnered with third parties and site mobilizers to help in on-the-ground activities.

## 1.4 MTR Ratings & Achievement Summary

Table 2 highlights MTR ratings and achievement summary showing project strategy measurements, progress towards results, project implementation and adaptive management, and sustainability. Each parameter analyzed in the Project will describe achievements.

**Table 2. MTR ratings and achievement summary**

Measure	MTR Rating <sup>1</sup>	Achievement Description
Project Strategy/Project Formulation	N/A	The Project under Indonesia component was designed to promote sustainable development of the Arafura-Timor Seas region by concerning three project sites, Rote Ndao, Aru, and Merauke, to improve the quality of life of its inhabitants through restoration, conservation, and sustainable management of marine-coastal ecosystems. The SRF/log frame articulates Indonesia's components composed of outcomes and outputs, which support the national, regional, and international commitments to marine-coastal ecosystem management. It is also noted that ToC was developed later as a part of regional knowledge management activities, and the SRF can be complemented with ToC to delve into a deep understanding of the contexts by providing specific and relevant interventions. The SRF also has identified externalities and threats to the viability of the Project, and with these recognitions, the Project team has also adopted agile and adaptive management. The SRF is generally SMART, but after the implementation and assessment of the mid-year Project period, some indicators, outputs, and activities are recommended for clarification and possible modification. It is also recognized that there was inadequate data for some aspects during Project Design which led to no information or lack of baselines.
Progress Towards Results	Objective Achievement Rating: Moderately satisfactory (MS)	Under the Indonesia management, Indonesia components have contributed to achieving several indicators under the overall project objectives: <ol style="list-style-type: none"> <li>1) Direct beneficiaries number: In the Indonesia country program, 336 and 115 who were chartered with training or capacity-building programs are men and women, respectively.</li> <li>2) Global over-exploited fisheries: Assessments were undertaken as part of EAFM to help establish baseline information regarding vessels operating in the area. In Aru, Indonesia, the supporting assessments (to secure baseline) conducted by the project have found the use of varying fishing vessels in the area (339 active demersal fisheries vessels in FMA 718; dropline vessels: 169 boats (target snappers &amp; other demersal species); longline vessels: 104 boats (bottom long line target snappers and co-occurring species); and gillnet vessels: 66 boats (target mix fishery). Current interventions being pursued by the project through EAFM is envisioned to put in place mechanisms and monitoring tools that would guide community fishers to responsibly and sustainably fish.</li> </ol>

<sup>1</sup> Evaluation rating indices (except sustainability – see Para 70): 6=*Highly Satisfactory (HS)*: The project has no shortcomings in the achievement of its objectives; 5=*Satisfactory (S)*: The project has minor shortcomings in the achievement of its objectives; 4=*Moderately Satisfactory (MS)*: The project has moderate shortcomings in the achievement of its objectives; 3=*Moderately Unsatisfactory (MU)*: The project has significant shortcomings in the achievement of its objectives; 2=*Unsatisfactory (U)*: The project has major shortcomings in the achievement of its objectives; 1=*Highly Unsatisfactory (HU)*: The project has severe shortcomings in the achievement of its objectives.

		<p>Indonesia components have also contributed to IUU fishing through a report on fisheries loss assessment and fisheries surveillance gap in WPP 718 and to EAFM through providing continuing support to the FMA718 Management Plan, completion of EAFM Plans for Red Snapper, Shrimp, and Barramundi for project sites, and completing fisheries profiles and developing FIP plans.</p> <p>3) Land-and seascape for biodiversity management: Indonesia has initiated the development of MPA Kolepom strengthened with the issuance of the Papua Governor Decree and is supporting the strengthening of management effectiveness of the MPA in SE Aru. There are some issues in determining the targeted area of MPA Kolepom and endorsement from the Minister as an established MPA, and valuing the MPA Aru management effectiveness. The marine spatial planning and zonation plan completed in Kolepom have shown that the hectare coverage is at 353,287ha which is lower than the 550,000ha originally targeted in the ProDoc. In terms of monitoring and measuring management effectiveness of the existing MPA in SE Aru, the ProDoc requires METT scoring, while the Indonesian government has its own system (EKPP3K which was recently changed to EVIKA), thus, assessment is needed to see how EVIKA aligns with METT system for future reporting of METT scores.</p>
	<p>Component 1 Achievement</p> <p>Rating: Moderately satisfactory (MS)</p>	<p>Under component 1, NIMC establishment has been delayed due to the reorganization in MMAF. Updating of TDA is ongoing for regional level and will serve as guide in the updating of regional SAP and subsequent updating of Indonesia's NAP; once the NAP is updated a 5-year cost estimate and financing plan for implementation of the NAP will also be developed. After the updated TDA, next step is to update the regional SAP (scheduled for 4th quarter of 2022-mid-2023). The updated SAP will then serve as guide for the updating of the NAP (mid-2023 to early 2024). Three local regulations were issued. Other outputs are successfully accomplished, and please refer to Table 6. Progress Towards Results Matrix for the details.</p>
	<p>Component 2 Achievement</p> <p>Rating: Moderately satisfactory (MS)</p>	<p>Under component 2, some outputs were completed, such as three communities of fishers adopting EAFM for red snapper, shrimp and barramundi fisheries, three EAFM assessments and plans completed, two are already undergoing implementation and one (barramundi) undergoing socialization process. ; Marine Habitat and Ecosystem Status and Biodiversity Atlas acquired, and others. However, under the Component 2, there are activities that need to be expedited to be finished so that the targeted indicators at the mid-and end-project level can be attained, such as data on reduced fishing efforts and improved use of fish gear/techniques, ICM framework community consultations in Rote Ndao, development of Early Warning System Development and Integrated Reporting System on Marine Pollution, and others. Please refer to Table 6. Progress Towards Results Matrix for the details. In addition, some activities and indicators need to be adjusted within the remaining period of project implementation.</p>
Project Implementation & Adaptive Management	Moderately satisfactory (MS)	<p>Overall, the Indonesia components are supported by a good team with good management arrangements. The project requires many consideration and assessments for the approved indicators, outputs, and activities that are ambitious to seize within the remaining one-half-year project implementation period; more agile and adaptive management to address several ensuring risks (third party engagement to site mobilize resources); frequent NPB meetings and intensive communications with recommendations to expedite the ongoing activities and to address some identified challenges faced by Indonesia's NCU; strong partnership with NGOs, local universities, and private sector; monitoring and adjusting the co-finance with the annual work plan, and more continuous awareness-based education, capacity building and training to empower women and local communities in the targeted project sites. Not all high-level members of the NPB sometimes attend the meetings, leading to non-culminated discussions of technical issues. In addition, NPB (which meets annually) are not frequently updated with the pending issues and progress status.</p>
Sustainability	Moderately likely (ML)	<p>With the remaining one-half-year project implementation, the project requires to put in place sustainability issues and factors before project closure concerning identified risks in socio-economic, finance, institution and governance, and the environment. As suggested by the GEF FP, innovative, replicable, and potential activities can be scaled-</p>

		up and up-scaled by other projects or sites. Please refer to the detailed point on sustainability.
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## 1.5 Concise Summary of Conclusions

The MTR report scrutinized the Indonesia components of the ATSEA-2 Project parameters, including project strategy, progress towards results, project implementation and adaptive management, sustainability, and cross-cutting sector. Four sub-parameters were analyzed under a parameter of progress towards results, such as a project objective, eight outcomes, and twenty-two key performance indicators. The Indonesia project management has contributed two components (Component 1 and 2) supporting the entire regional project components, but for component 3, the Indonesia component only provides indirect support. The Indonesia components have been executed along with the approved SRF / log frame. Still, after further assessments, there are indicators, targets, and outputs that need to be adjusted and revisited for immediate follow-up action. The Project activities are mostly ongoing to achieve their outcomes, with one delayed activity and some planned activities to be executed in 2023.

Several challenges hamper the successful actualization of project activities, such as governance transformation, Covid-19 pandemic, Seroja cyclones, and complicated administrative and procurement processes. The Indonesia NCU has also faced difficulties in communicating and carrying out meeting arrangements with NPB, and the annual change in NPB personnel results in disturbance in the project leadership system. The NPB is not frequently updated about the NCU project progress both technical and non-technical issues from Q4 of 2021 to Q1 of 2022 (apart from the annual NPB meeting conducted prior to RSC meeting in December 2022), and the NCU is requested to provide updates directly to them through informal consultations. These threats have forged the Indonesia project team to apply agile and adaptive management excellently, and site mobilizing partnered with third parties (local universities and NGOs) is one of the common solutions taken by the project. Co-finance MSC system is still considered not well-managed, whereas the GEF finance is well-reported. The project also requires frequent NPB meetings and intensive communications with recommendations to expedite the ongoing activities and to address some identified challenges faced by Indonesia's NCU; strong partnership with NGOs, local universities, and the private sector; monitoring and adjusting the cofinance with the annual work plan, and more continuous awareness-based education, capacity building and training to empower women and local communities in the targeted project sites. Issues on sustainability before project closure concerning identified risks in socio-economic, finance, institution and governance, and the environment are required to notice.

## 1.6 Recommendation Summary

Table 3 shows recommendations for the project improvement. Thirteen key recommendations are provided to the implementing partner, agency, and relevant stakeholders to help improve project management and expedite aspects that were delayed in the project implementation. For the details, please refer to Table 8.

**Table 3. Key recommendations for the Project**

Rec No.	Recommendations	Entity Responsible
1.	Outcomes under Indonesia Component: Some Indonesia component activities are completed, but there are some activities that are ongoing, delayed, and have not yet started mainly due to COVID limitations, as well as some challenges encountered with Seroja cyclone, lengthy procurement process in UNDP, and reorganization from the Agency for Marine and Fisheries Research and Human Resources (BRSDM) to National Research Innovation Agency (BRIN).	RSC, NPB, NCU Indonesia, and UNDP Indonesia

2.	Recommend to reword the output 1.4.3 under Indonesia component.	RSC, NPB, NCU Indonesia, and UNDP Indonesia
3.	Building on the initial assessment undertaken, the MTR recommends to revisit Target Activities 2.1.3-8 and 2.1.3-10 under Indonesia component and to specify specific areas to be covered. Such change can be noted in Indonesia's annual work planning and not at SRF level.	RSC, NPB, NCU Indonesia, and UNDP Indonesia
4.	Recommend to clarify the Indicator and EOP for MPA Management Effectiveness of SE Aru in Indonesia.	RSC, NPB, NCU Indonesia, and UNDP Indonesia
5.	Recommend to adopt the new EOP for MPA Kolepom area building on the finalized Marine Spatial Plan and Zonation Plan in the area.	RSC, NPB, NCU Indonesia, and UNDP Indonesia
6.	Considering the remoteness of the area, lack of facilities, and lack of local government support on ecotourism development, the MTR recommends to revisit and reassess the target output from Activity 2.3.2-16 on the conduct of a feasibility study for ecotourism opportunities in Merauke, with a focus on the Kolepom MPA.	RSC, NPB, NCU Indonesia, and UNDP Indonesia
7.	Considering the assessment in Kolepom, Rote and Merauke, where it was found that there is no significant turtle presence in the area, the MTR recommends to provide alternative activities and revisit outputs for Activity 2.3.3-6 and 2.3.3-7 on conducting a feasibility study to explore alternate livelihood tourism opportunities for communities in Aru Islands, Rote, and Merauke and possibly other sites based around turtles and piloting a project in Indonesia for establishing tourism opportunities, respectively.	RSC, NPB, NCU Indonesia, and UNDP Indonesia
8.	Based on the MTR survey and the Project assessment, the machine of seawater reverse osmosis (SWRO) desalination plant was no longer functional years before the ATSEA-2 project started. As such the project target activity to provide support on technical training for maintenance and repair of would no longer be realistic and feasible. The MTR also noted that Nusa Manuk is not part of the key sites of ATSEA-2 as it is located in a separate island which require further resources from the project. Considering the remaining resources and time for the project, the MTR recommends to reassess Target Activity 2.4.3-4 on Technical Training for Maintenance and Repair of the Solar-powered Water Desalination Units.	RSC, NPB, NCU Indonesia, and UNDP Indonesia
9.	On reduced fishing effort, the MTR recommends to revisit the EOP for Indonesia and to make the target clearer and more specific.	RSC, NPB, NCU Indonesia, and UNDP Indonesia
10.	On improved use of fish gear/techniques, the MTR recommends to revisit the EOP for Indonesia and to make target clearer and more specific.	RSC, NPB, NCU Indonesia, and UNDP Indonesia
11.	Administrative procedures for product and service procurements under UNDP Indonesia have been sensated to retard the project implementation. The UNDP admin and procurement processes entail a number of steps and considerations which have for several instances have affected the implementation of some activities.	UNDP Indonesia

12.	The Project Team still needs guidance from NPB and UNDP Indonesia to address several challenges. Agile and adaptive management and results-based management are still critical references for the NPB and UNDP Indonesia to be applied during the project implementation by focusing more on performance and achieving results (outputs, outcomes, and impacts).	NPB and UNDP Indonesia
13.	<p>At the local sites, there are some recommendations that need to be considered:</p> <ul style="list-style-type: none"> <li>• The Project is suggested 1) to furnish essential learning and applying knowledge prior to providing capacity building and training for local communities, 2) to provide safety tools (K3), apply preventive measures during or post the Pandemic, and equip them with affordable facilities, 3) to collaborate with private sectors in managing MPAs in Aru and Kolepom, and 4) to optimize engagement of local universities and NGOs in assisting the Project activities at the site level, mainly research and data valorization, EAFM learning extension, etc.</li> <li>• As a part of exit strategies, the NCU Indonesia is recommended to identify potential, innovative, and replicable activities. The project is requested to consider institutional framework, governance, and environmental externalities that might threaten the project's viability and sustainability.</li> </ul>	NCU Indonesia

## 2. INTRODUCTION

### 2.1 Purpose of the MTR and Objectives

According to the Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects (2014), a midterm review (MTR) report is a pivotal monitoring tool to identify challenges and outline corrective actions to ensure that a project is on track to achieve maximum results by its completion. As a part of the UNDP Evaluation Policy (2019), the MTR study is purposed to provide the following aspects:

1. learning by supporting better decision-making and driving organizational learning among stakeholders;
2. accountability by helping stakeholders to hold UNDP and its partners accountable for contributing to development results at different levels; and
3. improved national evaluation capacity that enhances progress toward the sustainable development goals.

On this occasion, the Implementation of the Arafura and Timor Seas Regional and National Strategic Action Programs (ATSEA-2); Second Phase of the Arafura Timor Seas Ecosystem Action (ATSEA) Program, which is subsequently called as the ATSEA-2 Project, have executed its activities since 2019 in the Arafura and Timor Seas (ATS) region, which comprises Australia, Indonesia, Papua New Guinea (PNG), and Timor-Leste. Under Indonesia components, the Project Document was signed on 01 February 2019, and subsequently followed with a kick-off meeting on 3 February 2019. However, it is noted that the PMT NCU was recruited on 15 July 2019 equipped with field facilitators in 2020. In the third year of the Project, an MTR study for Indonesia's project components needs to be undertaken with the objectives of assessing the achievement of the UNDP-supported and GEF-financed Project's objectives by evaluating key results, relevance, effectiveness, efficiency, sustainability, impacts, and cross-cutting sectors; and providing about fifteen critical recommendations on how to improve the project management at the level of national (Indonesia) until the Project is completed.

The objectives of this MTR for Indonesia's project component are:

- 1) to assess the achievement of the ATSEA-2 Project's objectives, especially Indonesia's contribution/components, by evaluating key results, relevance, effectiveness, efficiency, sustainability, impacts, and cross-cutting sectors; and
- 2) to produce about fifteen critical recommendations on improving project management at the level of Indonesia until the Project is completed.
- 3) to assess early indicators of project success or failure in Indonesia components and identify the main implementation challenges and risks to the sustainability of the Project implemented in three Indonesia sites,
- 4) to recognize necessary changes and project interventions due to unprecedented events (e.g., Covid-19) in Indonesia project's components and outline corrective actions to ensure that the components are on track to achieve maximum results by its completion.

This MTR was prepared to:

- be undertaken independent of the project management to ensure independent quality assurance;
- apply UNDP-GEF norms and standards for midterm reviews;
- assess achievements of outputs and outcomes, likelihood of the sustainability of outcomes, and if the Project met the minimum M&E requirements; and
- provide recommendations to increase the likelihood of the Project delivering all of its intended outputs and achieving intended outcomes.

This MTR analyzed two components of the project wherein specific target deliverables were identified for the Indonesian components. They include:

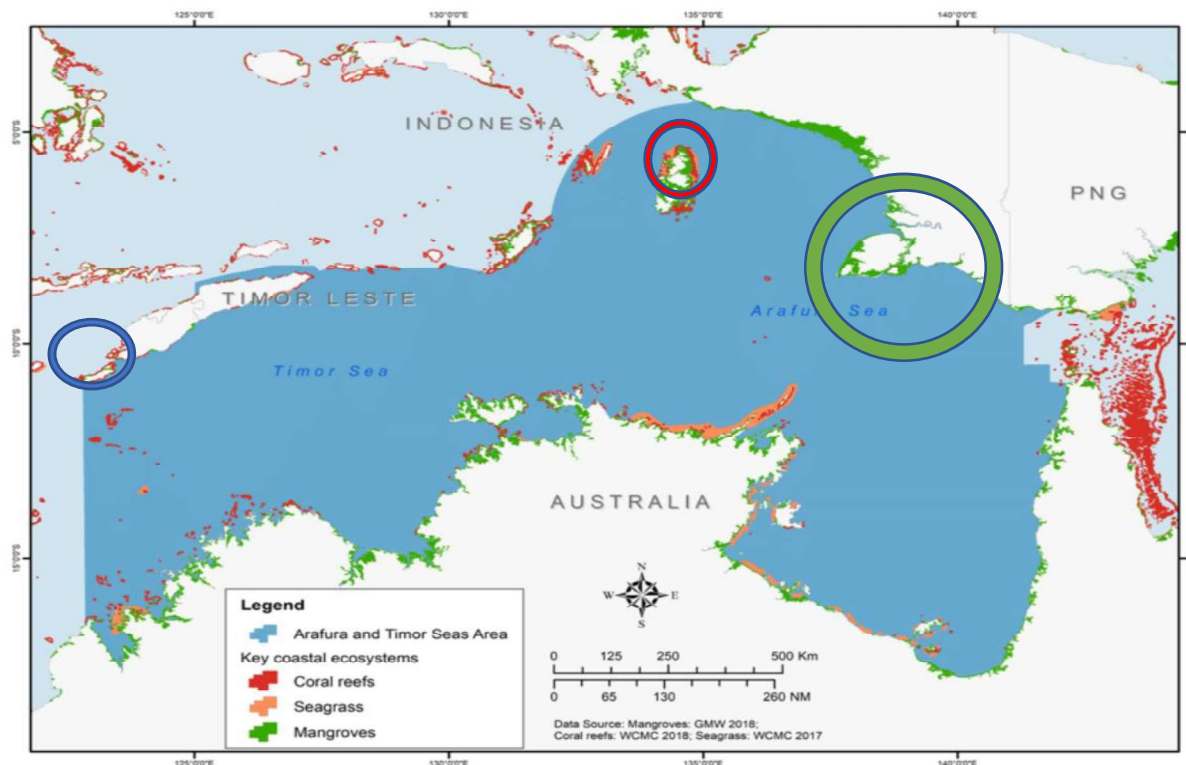
- Component 1: Regional, national and local governance for large marine ecosystem (LME) management
  - 1.1 Regional and national mechanisms for cooperation in place and operational
    - a. Improved *stakeholder participation* at the regional and national levels through the establishment of a *Stakeholder Partnership Forum* for the implementation of the SAP and NAPs (SAP) with representation of local people and women's groups,
    - b. Improved *intersectoral coordination* at the national and local levels in support of the implementation of integrated approaches to NRM, water resources, biodiversity conservation and climate change adaptation through *national inter-ministry committees in Indonesia, Timor-Leste, and Papua New Guinea*.
  - 1.2 NIMCs established, functioning and formalizing thru legal and or institutional arrangements in each of the three beneficiary countries
    - a. Harmonization of national and local policy in Indonesia and Timor-Leste to strengthen the regulatory and institutional frameworks in support of SAP/NAP implementation and linkages to NBSAPs through support to national inter-ministerial committees.
  - 1.4 Updated TDA, SAP, and NAP
    - a. National responses to the priority actions agreed upon in the updated SAP are formulated into national action programs and mainstreamed into national planning and budgetary frameworks
- Component 2: Improving LME carrying capacity to sustain provisioning, regulating, and supporting ecosystem services
  - 2.1 Improved management of fisheries and other coastal resources for livelihoods, nutrition, and ecosystem health in Indonesia, Timor-Leste, and Papua New Guinea
    - a. Ecosystem Approach to Fisheries Management (EAFM) targeting women and men fishers implemented at the LME level for shared stocks and in area-specific fisheries,
    - b. Development of profiles of three fisheries in the ATSEA, value-chain analysis and pre-assessment to move selected fisheries towards certification/eco-labelling,
    - c. Regional and national actions strengthened in support of the Regional Plan of Action for Responsible Fishing Practices including combating IUU Fishing in the region and the Indonesian Presidential Task Force on Combating Illegal Fishing, e.g. through better surveillance, enforcement, and monitoring, resulting in a further reduction of IUU fishing in the ATS by 10% around 150,000 tons.
  - 2.2 Reduced marine pollution improves ecosystem health in coastal/marine hotspots in the Arafura and Timor
    - a. Enhanced data and information regarding the sources and sinks of contaminants in the ATS, pollution hotspots identified, appropriate controls of point and non-point sources of pollution, initiated oil spill early warning systems and capacities strengthened.
  - 2.3 Coastal and marine biodiversity conserved through protection of habitats and species
    - a. Updated information and database on coral, mangrove, seagrass beds in the ATS, supported by ecosystem valuation studies, priority conservation areas identified in Indonesia and Timor-Leste.
    - b. New MPAs designated in Indonesia and Timor-Leste, covering about 645,000 ha in area, including approximately 220,000 ha of mangrove ecosystems with corresponding management plans prepared and implemented, and regional ATS MPA network designated.
  - 2.4 Integrated coastal management, incorporating climate change adaptation considerations, implemented at the local level towards more sustainable use and conservation of ecosystem goods

- a. Integrated coastal management (ICM) plans that support SAP/NAP implementation developed and implemented through formulation and enactment of local regulations.

Regarding Component 3 on knowledge management, there are also assessments for the element since Indonesia's ATSEA-2 Project Team also supports component 3, one outcome, and two outputs.

## 2.2 Scope and Methodology

This MTR assesses months of the Project progress, achievements and implementation taking into account the status of the Project activities, outputs and the resource disbursements made up to 30 June 2022. The MTR also reports on the progress against objective, outcome, output, and impact indicators listed in the latest Project Results Framework (PRF) as to how these outcomes and outputs will be achieved within the Project duration (up to 28 January 2024 for Indonesia component). The MTR report concludes with recommendations, as appropriate, for the key stakeholders of the Project. The MTR will be approached through the criteria of relevance, effectiveness, efficiency, sustainability, and impact, as defined, and explained in the UNDP "Guidance for Conducting Midterm Reviews of UNDP-supported, GEF-financed Projects", and the GEF M&E policy. The ATSEA-2 Project's Mid-Term Review study for Indonesia project sites was conducted from 06 May to 24 June 2022. Schedule of key milestone achievements is summarized in Table 1. a. Three sites of the Project were evaluated, including Kabupaten Aru Islands (District), Kabupaten Merauke (District), and Kabupaten Rote Ndao (District). Please see Figure 1 for the geographical map.



**Figure 1.** Geographical map of Kabupaten Aru (red circle), Kabupaten Merauke (green circle), Kabupaten Rote Ndao (blue circle) (Source: UNDP Indonesia Project Document)

### *MTR Approach and Data Collection Methods*

The approach of the study was guided by two fundamental documents, namely: the Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects and the UNDP's Evaluation Guidelines. Under these Guidelines, pivotal components will be evaluated (Please refer to the Evaluation Matrix), including:

1. **Project strategy** (relevance) – the extent to which the activity is suited to local and national development priorities and organizational policies, including changes over time): This covers project design and Strategic Results Framework (SRF)/log frame.
2. **Progress towards results** (effectiveness) – the extent to which an objective has been achieved or how likely it is to be achieved): This part includes log-frame indicators review, GEF tracking tool or core indicator analysis, barriers analysis for the achievement of project objectives, and strategies to sustain the successfully completed activities.
3. **Project implementation and adaptive management** (efficiency) – the extent to which results have been delivered with the least costly resources possible and results – the positive and negative, and foreseen and unforeseen, changes to and effects produced by a development intervention): In GEF terms, results include direct project outputs, short-to-medium-term outcomes, and longer-term impact, including global environmental benefits, replication effects and other local effects). This part covers management arrangement, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, social and environmental standards, reporting, communication, and knowledge management.
4. **Sustainability** (the likely ability of an intervention to continue to deliver benefits for an extended period of time after completion): Projects need to be environmentally as well as financially and socially sustainable). This component comprises financial risks, socio-economic risks to sustainability, institutional framework and governance risks to sustainability, and environmental risks to sustainability.
5. **Cross-cutting sector**: In this MTR study, there are some cross-cutting issues that are scrutinized, such as gender equity and women empowerment, climate change and the Covid-19 pandemic, innovativeness in the results area, and unexpected positive or negative results.

To acquire the data that will be used to analyse the above components, several participatory and consultative methods are harnessed to ensure the engagement of implementing agency, partners, and beneficiaries. These methods are based on a qualitative and quantitative evaluation to acquire evidence. Before using the techniques, an evaluation matrix is constructed, and the One-Stop Source of Key Project Information is used as the main reference. Possible methods used are such as:

1. Systematic evidence evaluation or systematic literature review. This method is used to review a wide range of sources/information, most notably, One-Stop Source of Key Project Information, to inform debates and decisions on specific issues. This method is beneficial for providing changes by means of the existence of robust evidence extracted from a wide range of sources (Pullin et al. 2018, University of Oxford 2020). The documents that will become the major sources for this method are such as PIF, UNDP Initiation Plan, UNDP Project Document, UNDP Social and Environmental Screening Procedure (SESP), all project implementation reports (PIRs), Quarterly progress reports and work plans of the various implementation task teams, audit reports, GEF focal area Tracking Tools/Core Indicators at CEO endorsement and midterm (International Waters and Biodiversity Tracking Tools), oversight mission reports, all monitoring reports prepared by the project, project guidelines, manuals and system, UNDP country program document, minutes of the meeting, project site location map, and financial and administration guidelines used by the Project Team, and other relevant documents.
2. Key informant interview (offline and online meetings). This procedure is harnessed to acquire qualitative and primary data about stakeholders' experiences, memories, and feelings. This

procedure will be carried out through vis-a-vis meetings or virtual meetings by using zoom or Google meets platform. Stakeholders who are engaged in this process are listed in Table 2. The confidentiality of all interviews (persons and data) will be stressed and paramount. A questionnaire is possibly prepared by adhering to all the points in the Evaluation Matrix to guide the consultant in questioning the interviewees. The consultant will listen carefully to all their views without judging their performance in order to ascertain the progress and status of the implementation of the ATSEA-2 Project. Data obtained from this procedure will also be beneficial in validating information stipulated in the MTR evaluation matrix.

3. Field visits. A national consultant from Indonesia will have the opportunity to visit three sites of the Project implementation, namely Kabupaten Aru Island, Kabupaten Merauke, and Kabupaten Rote Ndao. During the field visits, interviews and focus group discussions are possibly performed. Extracted data from this method is primary data that will be utilized to validate the evidence or data that is used to answer parameter questions in the Evaluation Matrix.

## 2.3 Constraints

The MTR study was carried out through a hybrid system, online (virtual meeting) and on-site (visiting the project sites). The system was chosen to respond to the Covid-19 pandemic with a principle of “no-harm for consultants and stakeholders”. The international consultant who is responsible to oversee the overall MTR could not participate in the on-site system or conduct field visits. In contrast, the national consultant has the responsibility to conduct field visits to validate the data acquired from a preliminary MTR study. During the interview with national stakeholders, the language barrier was still a major constraint because the international consultant could not speak Bahasa Indonesia. As a result, the national consultant is responsible for assisting the international consultant.

Besides these above issues, different sites of the ATSEA-2 Project implementation, most notably Aru Island and Kolepom Island, are difficult to be accessed by transportation, which is an additional challenge faced by the national consultant. The MTR online interview with relevant stakeholders is also considered challenging because of the difficulties of the stakeholders' time for the discussion. The consultant also confronted difficulties expressing questions in detail as the Project Team members or implementing partners were present during the interviews. It is also noted that not all respondents are able to cooperate in the interview, meaning they don't provide transparent information and do not respond. Some data are sometimes found not to match one another and are not available in the ATSEA-2 One-Stop Source of Information but the Project Management Team, RPMU and NCU Indonesia, have worked well in providing the consultant un-accessed and unavailable documents. In addition, accessing the Source deposited in Dropbox is also somewhat challenging. Different interviewees with similar questions under a similar purview have different answers, leading to the cumbers of the interviewer in analyzing and concluding the answers.

## 2.4 Structure of the MTR Report

The MTR report is structured in line with the Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects (UNDP 2014) and covers the following sections:

- Acknowledgment
- Table of Contents
- Acronyms and Abbreviation
- Executive Summary

- Introduction
- Project Description and Background Context
- Findings, which comprise project strategy, progress towards results, project implementation and adaptive management, sustainability
- Conclusions and Recommendations
- Annexes

The structure details can also be referred to in the Table of Contents.

### ***3. PROJECT DESCRIPTION AND BACKGROUND CONTEXT***

#### **3.1 Development context**

The Arafura and Timor Seas (ATS) region is a tropical transboundary corridor that connects four countries, including Australia, Indonesia, Papua New Guinea (PNG), and Timor-Leste; and binding the Pacific and Indian Oceans with the Coral Triangle. The region has a rich mega biodiversity hotspot, composed of 160 species of coral, 350 species of reef fish, 25% of the world's mangroves, 90% species of mangrove, 45 mangrove tree species, and 36 species of seagrass beds (UNDP 2017). In addition, the region is also occupied by many endangered species of CITES-listed marine turtles, dugongs, sharks and rays, and shorebirds and seabirds.

However, due to anthropogenic factors, there are many observed threats, destructing the environment in the region. These burdens are such as unsustainable management of fisheries (IUU fishing), habitat degradation (overexploitation of mangrove trees), waste pollution, and loss of biodiversity. The presence of climate change also exacerbates the problems. Another problem observed is the inequality of gender, which is later mainstreamed in the ATSEA-1 and ATSEA-2 Project framework. As a result, urgent and collective actions need to be taken to address the aforementioned issues with also considering people-centered benefits. A multinational and intergovernmental action was previously performed by local leaders, regional government representatives, experts, and conservationists to address the problems, which is later known as the ATSEA-1 Project. The project launched in 2010 was composed of Australia, Indonesia, and Timor-Leste with the purpose of creating sustainable solutions for problems affecting coastal and marine resources in the region. A culminated point was attained by signing a Ministerial Declaration to support implementing a regional ATS strategic action program and the establishment of a regional governance mechanism. Subsequently, at the terminal evaluation, there were three outcomes embodied, namely:

1. completion of a transboundary diagnostic analysis (TDA),
2. development of a strategic action programme (SAP),
3. implementation of an innovative demonstration project.

These results became a fundamental foundation to develop the ATSEA-2 Project.

#### **3.2 Problems that the Project Sought to Address**

Building on the ATS SAP adopted under ATSEA-1, the ATSEA-2 project was developed with a mandate to provide support in the implementation of the SAP, covering governance and environmental targets. They include unsustainable fisheries and decline and loss of living coastal and marine resources; modification, degradation, and loss of coastal and marine habitats; marine and land-based pollution; decline and loss of biodiversity and vital marine species; and impacts of climate change. The environmental burdens are affected by several critical factors, including national macro-economic conditions, domestic politics and policies, land supply and rights claims, regional development policy, and demographic and labor market change.

#### **3.3 Project Description and Strategy**

The ATSEA-2 Project is a regional collaborative project that focuses on sustainable fisheries, marine biodiversity, and marine ecosystem conservation in the ATS region. The project is supported and financed by UNDP and GEF, respectively, which commenced in 2019 and will be completed in 2024. The project is designed and aimed to enhance sustainable development of the Arafura-Timor Seas region to improve the

quality of life of its inhabitants through restoration, conservation, and sustainable management of marine-coastal ecosystems. Three interventions are proposed to seize the objectives as mentioned earlier, namely:

- Component 1: Regional, national and local governance for large marine ecosystem (LME) management
- Component 2: Improving LME carrying capacity to sustain provisioning, regulating and supporting ecosystem services
- Component 3: Knowledge management

With mutual collaborations and support from Timor-Leste, and Papua New Guinea, the Government of Indonesia proposed outcome 3 under the UN Partnership for Development Framework (UNPDF) (UN Indonesia 2019). The outcome stresses environmental sustainability and enhanced resilience to shocks, namely: by 2020, Indonesia is sustainably managing its natural resources, on land and at sea, with an increased resilience to the effects of climate change, disasters and other shocks. In Indonesia, three sites are targeted for project implementation: Kabupaten Aru Islands, Kabupaten Merauke, and Kabupaten Rote Ndao. At the country level, the project activities are arranged by synchronizing national coordination units (NCUs) with guidance from RPMU and a reporting line to national project boards.

### 3.4 Project Implementation Arrangement

The ATSEA-2 Project is managed based on the UNDP-GEF projects' standard arrangements for International Waters Focal Area. Stakeholders engaged in the implementation arrangement are as follows:

- Implementing agency
- Executing agency or UNDP implementing partner
- Regional steering committee
- National project boards
- Regional project management unit
- National coordination units
- Project partners

At the national level of Indonesia, UNDP Indonesia is designated as the GEF implementing agency. The Ministry of Marine Affairs and Fisheries (MMAF) is the implementing partner for Indonesia. National project board (NPB) of the ATSEA-2 Project for Indonesia component is comprised of lead governmental agency, national planning/development agency, and UNDP Indonesia. For the details, Figure 2 draws the ATSEA-2 structure organization, whereas Figure 3 depicts Indonesia's ATSEA-2 Project organogram.

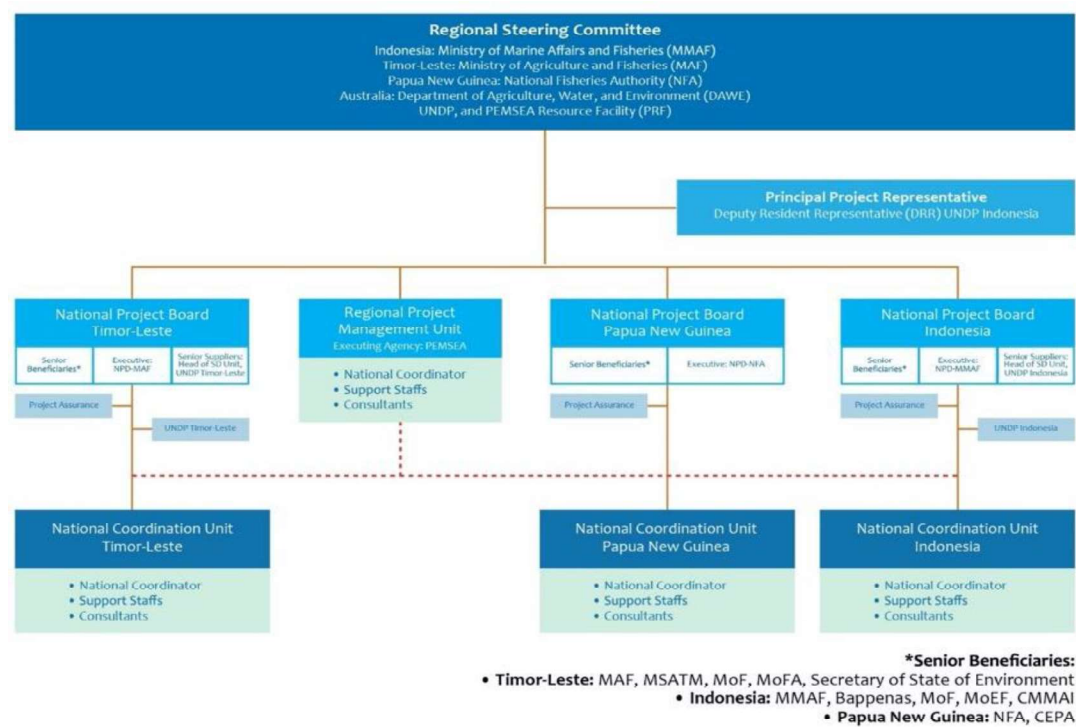


Figure 2. ATSEA-2 organizational structure

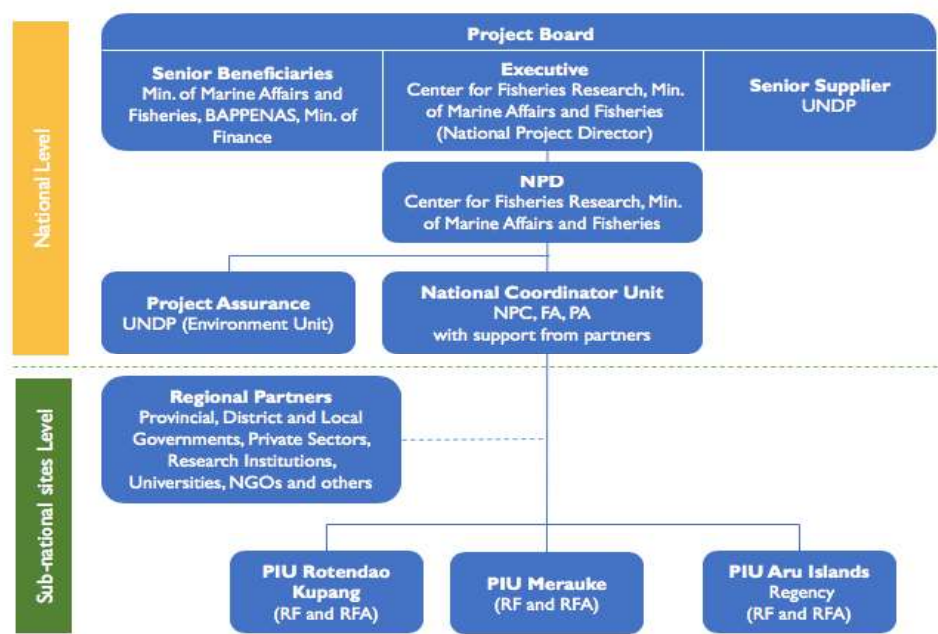


Figure 3. Indonesia's ATSEA-2 Project organizational chart

### 3.5 Project Timing and Milestones

Table 4 captures critical timelines planned for the Indonesia's ATSEA-2 project management lifecycle. Two pieces of information are provided in the Table 4 on milestones and timeline.

**Table 4.** Key timelines planned for project implementation.

Key project's milestones	Date
Project Identification Form (PIF) Approval: <ul style="list-style-type: none"> <li>- Indonesia</li> <li>- UNDP-GEF</li> </ul>	7 August 2014 24 August 2014
Local Project Appraisal Committee Meeting (LPAC)	24 November 2017
Planned Start of the Project	June 2018
Project Document Signature (Indonesia)	01 February 2019
Signing of Project Cooperation Agreement (PCA) and Memorandum of Agreement (MoU) <ul style="list-style-type: none"> <li>- UNDP and PEMSEA (PCA)</li> <li>- PEMSEA and PNG (MoU)</li> </ul>	24 July 2019 21 October 2020
Project Kick-Off meeting/Inception Meetings	03 October 2019
Installation of Indonesia's NCUs	June 2019
Planned End Date of the Project <ul style="list-style-type: none"> <li>- Operational Closed Date</li> <li>- Financial Closed Date</li> </ul>	June 2023 December 2024
Planned Midterm Review	18 April-5 August 2022
Actual Midterm Review <ul style="list-style-type: none"> <li>- Inception Report Submission</li> <li>- MTR Mission and Site Visits</li> <li>- Mission Wrap-up and Initial Findings</li> <li>- MTR Report Review Process</li> <li>- Audit Trail and Creation of Final MTR Report</li> <li>- Management Responses</li> </ul>	27 April 2022-05 August 2022 06 May 2022 12-30 May 2022 03 June 2022 27 June-08 July 2022 20 July 2022 21-27 July 2022
Planned Terminal Evaluation	10 March 2024
Original Indonesia Planned Closing Date	23 June 2023
Revised Closing Date	31 December 2024

### 3.6 Main Stakeholders

Stakeholders involved in the ATSEA-2 Project are highlighted in the Project Document Part IV of the Stakeholder Involvement Plan. The Stakeholders are from regional (UNDP-GEF BRH, PEMSEA), national (MMAF, LIPI, UNDP Indonesia, BAPPENAS, MoF), local (provincial, regency and district government, NGOs, local communities, universities, women group, youth-led organizations) and corporate/business levels. The engagement of the stakeholders is based on stakeholder engagement analysis with considering national and regional consultation processes. An approach used for the engagement is based on a wide range of involvement and participation. Stakeholders engaged have clear responsibilities and roles, but private sectors planned to be involved in the Project have not been actualized. Four private sectors are identified, and two of them are from Indonesia, namely: PT Intan Seafood Indonesia and International Petroleum Industry Environmental Conservation Association (IPIECA).

## 4. FINDINGS

### 4.1 Project Strategy

#### 4.1.1 Project Design and Relevance

##### 4.1.1.1 Relevance

The ATSEA-2 Project, especially the Indonesia Annual Work Plan, has addressed GEF-6 Strategic Programme, United Nations Development Programme Strategic Plan 2022-2025, and UN country programme document for Indonesia (2016-2020). Component 1 and 2 of the ATSEA-2 Project, which is transcribed in Indonesia's Annual Work Plan, and these component activities or results contributing to Component 3 of the Project have been bolstered to GEF-6 Strategic Programme on:

- A. Biodiversity Focal Area Strategy
  - Objective 1 on Improving Sustainability of PAS,
  - Objective 3 on Sustainable Use of Biodiversity,
  - Objective 4 on Mainstreaming Biodiversity Conservation and Sustainable Use into Production Landscapes/Seascapes and Sectors,
- B. Climate Change Mitigation Focal Area Strategy
  - Objective 2 on Demonstrating systemic impacts of mitigation options
- C. International Water Focal Area Strategy
  - Objective 3 on Enhancing multi-state cooperation and catalyzing investments to foster sustainable fisheries, restore and protect coastal habitats, and reduce pollution of coasts and Large Marine Ecosystems

The Indonesia component is also positively parallel and contributing to the UNDP Strategic Plan and UN Country Program for Indonesia. In particular, UNDP Strategic Plan 2018-2021 that is addressed of the Project covers output 1.3 on solutions at national and subnational on sustainable management of resources, ecosystem and waste, and output 2.5 on legal and regulatory frameworks, policies and institutions on conservation, sustainable use & access; aligned with international conventions. Referring to the UNDP Strategic Plan 2022-2025, Indonesia's project components have followed a 3x6x3 framework consisting of 3 directions of change, six signature solutions, and three enablers. However, for the signature solution, the components only address poverty and inequality, governance, resilience, environment, and gender equality.

In terms of the UN Country Program for Indonesia, the Project is reciprocal to support Indonesia's 2016-2020 Outcome 3 on environmental sustainability and enhanced resilience to shock, and the Country programme document for Indonesia (2021-2025) on Outcome 3. resilience to climate change and disasters. From the above, it can be seen that the signature solutions and outcomes of these documents cited for the ATSEA-2 Project Document are still valid, although the Country programme document for Indonesia (2021-2025) on Outcome 3 is more specified only for climate change issues.

For Indonesia, the project is in line with the following priorities of the Indonesian Long-Term National Development Plan of 2005- 2025 (Law 17/2007):

- F.1: The improving management and utilization of natural resources and of the preservation of the functions of the natural environment as reflected in the maintained functions, carrying capacity, and the ability to restore it in facilitating the quality of social and economic life in a harmonious, balanced, and sustainable manner;
- F.2: The maintained diversity of species and uniqueness of natural resources for realizing value-added, national competitiveness, and assets of national development; and

F.3: The increased awareness, attitude, and behaviour of the people in the management of natural resources and in the conservation of the functions of the natural environment for maintaining the comforts and quality of life.

Furthermore, the project aligns with the following legislative instruments as follows:

- Indonesian National Act 23/1997 that mandates that environmental management activities should be undertaken in an integrated manner among concerned government institutions, sectors and communities from planning through implementation;
- Law No. 27/2007 (amended through Law No. 1/2014 in conjunction with Law No. 23/2014 on regional governance) that mandates provincial governments to prepare ICM strategic, zoning, management, and action plans; and
- Law No. 23/2009 that provides for environmental management and protection considering ecosystem-based approaches and climate change.

#### *4.1.1.2 Project Design*

In this part, several issues investigated are 1) lessons from other relevant projects incorporated into the project design, 2) country priorities addressed in the project, 3) project sustainability, viability, and externalities factors affecting the project, 4) environmental and social risks and their adequate mitigation and management measures, 5) decision-making processes, 6) gender issues raised. From the approved Project Document, the project has replicated and scaled up the ATSEA-1 Project as best practices to address some issues related to coastal and marine management in ATS. In addition, Indonesia's NCU has leveraged the networks and acquired lessons learned from the Coral Triangle Initiative (COREMAP-CTI) project funded by the World Bank. For instance, a seagrass and mangrove soap business in Rote Ndao is an initial project of COREMAP-CTI, wherein ATSEA-2 Project provides further support by building on the capacity building activities previously undertaken, and support to implementation and monitoring of the activity that aims to empower women.

The Project also supports Indonesia's national priorities, which overcome five environmental concerns (climate change, marine pollution, loss of biodiversity, habitat degradation, and unsustainable fisheries). All the expanded priority actions of the Project, constructing Indonesia's Component 1 and 2, have been mainstreamed into national development programs and budgets. For instance, the Project has assisted in increasing the GoI's MPA target to 32.5 million ha or about 10% of Indonesian archipelagic waters by 2030. The Project still supports several management activities for the newly established MPA Kolepom and MPA Aru, but the MPA area coverage of Kolepom Island that also become the targeted project output, is still below the initial project target. Furthermore, the Project has facilitated the GoI's responses to regional action programs, such as PEMSEA's ICM, CTI Regional Plan of Action, RPOA-IUU, and ATS NAP.

The Project has obviously valued sustainability issues in finance, socio-economy, institutional framework, governance mechanism, and environment. For example, in terms of Indonesia's institutional framework and governance mechanism, sustainable measures were designed to operationalize national governance and its institutional arrangement embedded in Component 1 (NIMCs and SPF). In addition, the Project has also envisaged the concerted sustainable efforts of GoI in strengthening regional networks with ATSEF, CTI-CFF, and RPOA-IUU. Reproducibility or replicability issues of the Project were also designed considering several opportunities, such as a marine pollution monitoring system, alternative community-based livelihoods, ICM and EAFM action plans, and voluntarily communities-based MCS.

The Project also assessed the identified risks that could impact the Project in seizing the goals. The assessment was depicted in the Project Risks Assessment and Mitigation Measures escorted with the Risk

Assessment Guiding Matrix. However, some risk assessments are likely not relevant and need to be evaluated again. In addressing that problem, the NCU Indonesia periodically assesses the potential issues/risks, and also discusses the risks in the reporting mechanism (i.e., national notes/reports for PIR submission). For instance, Seroja tropical cyclones exposing Indonesia's climate vulnerability were considered to possess critical to high impacts on the Project implementation. In addition, organizational risks in Indonesia and implementing partners (administrative bureaucracy in UNDP Indonesia) have high effects on the Project. Additional externalities are also identified during the project implementation, such as provincial and village conflicts, and unacceptance of sub-national government to integrate the ATSEA-2 Project.

The Project developed a Social and Environmental Screening Procedure (SESP) Report highlighting three principled approaches, namely a human rights-based approach, gender equality and women empowerment, and environmental sustainability. The value of the assessment was categorized as "no risk identified". It means that the Project does not have adverse impacts on people and the environment. The Project is considered to have positive impacts on the three above principles, leading to no measures and processes taken to effectively manage risks but keeping the Project on enhancing positive impacts by full and effective engagement of stakeholders.

Decision-making was usually observed in the program and non-program decisions, routine and strategic decisions, tactical (policy) and operational decisions, and organizational and personal decisions. The approved Project Document phrased strategic, tactical, and operational decisions in which the decisions are taken at the regional, national, sub-national, and local levels. Based on our review, there have been alterations in the organogram structures. It is also found that some leaders in the structures are revised due to institutional transformation mandated by the GoI's President. It can be seen in the ATSEA-2 Project's Indonesia NCU organogram that at the national level, National Project Board is composed of Senior Beneficiaries, Executive, and Senior Suppliers providing significant roles impacting organizational objectives, and goals, or even policy matters. At the outcome level, a decision-making platform, national SPF, which facilitates more active involvement of multi-stakeholders in marine ecosystems management and conservation, was under consideration to establish yet not required. However, the design should be embodied with good governmentality and governance and improved decision makings leading to improved project performance.

The Project Document followed the UNDP Gender Marker 2, promoting gender equality in a significant and consistent way. It is also noted that the Document was designed to consider equal consideration and targeting of men and women in all and specific activities, respectively. Women also have equal rights, responsibilities, and opportunities throughout Indonesia's ATSEA-2 Project organogram.

#### 4.1.2 Results Framework/Logframe

Under this section, the Project appraised SMART midterm and end-of-project targets, and the MTR consultant also suggested specific amendments to the targeted indicators. The design of the results framework designed in the Project Document was apparent with clear outcomes, outputs, milestones, activities for each output, and kind of SMART indicators to monitor implementation and achievements. These parameters are subsequently contextualized in the annual work plan, where the plan comprises output, outcome, indicators, targets, planned activities, timeframe, responsible parties, planned sources of funds, and planned budget.

There are no changes in the outcomes level, but Indonesia's outputs were observed to add one or two points from the previously approved annual work plan to seize the targeted outcome. For instance, the 2022 and 2021 endorsed AWP added output of 2.4.3 on climate change adaptation, while in the 2019 and 2020 AWP, the output was not yet appended. This reason is because the NCU Indonesia did not arrange the implementation of the output in 2019 and 2020 but only changed the number of activities. Based on the interview, there have been no shifted indicators, and all the indicators are compliant with the Project

Document. However, it is also noted that NCU Indonesia has raised possible concerns and changes in some indicators since the 1<sup>st</sup> RSC meeting, equipped with scientific justifications/studies. The studies, which are strengthened with the MTR report, can be evidence to support the further discussions between UNDP, GEF, and NPB in formalizing the changes. The indicators are made somewhat SMART because they are sometimes found without clear 4W+1H and irrelevant measures. For instance, under the outcome of Coastal and Marine Biodiversity Conserved through Protection of Habitats and Species, an indicator is set, namely, a protected area management effectiveness score (METT) in Southeast Aru MPA is 39 at the mid target. The indicator is not relevant again because the score is not gauged with the METT approach but E-KKP3K (the former name of EVIKA) or EVIKA. As a result, the Indonesia NCU is requested to conduct a study or provide scientific justifications on the alignment of METT method with EVIKA method. In addition, the indicator is only to respond to the "where", when, and "what" points without appointing the points of "who" and "how".

After the project activities implementation, some assessments of the targeted outputs, indicators, and their verification method showed that some indicators and outputs need to be revised under Indonesia NCU's work plan. They are proposed as follows (Table 5 and its explanations):

**Table 5. Proposed indicators and outputs for the ATSEA-2 Indonesia components**

Original outputs and indicators in SPF	Study findings	Proposed modifications
All targeted indicators	Considering no cost extension from the GEF Secretariat and the approaching project closure of the Indonesia components, all impossible targeted indicators should be reexamined in their timeframe or project life considering the closing operations and administrative and finance of Indonesia components in 2023 and 2024. Please refer to the next columns for the explanations of impossible indicators and their proposed changes.	Please refer to the following points.
Output 1.4.3 National responses to the priority actions agreed upon in the updated SAP are formulated into national action programs and mainstreamed into national planning and budgetary frameworks	This output requires the update of NAP after TDA and SAP updates, and a 5-year financial plan development. Such processes for updating these regards require many times, consultations, and validations from several stakeholders.	Indonesia's priority actions under the updated ATS NAP are "submitted for mainstreaming" into national development programs and budgets by Indonesia's NPB and NCU after the updated NAP is validated and endorsed by the NPB and NIMC
Output 2.1.3-8 Target: Conduct study to estimate IUU fishing (quantitatively - in tons) in FMA718.	There are no data available as determined in the output. In addition, the hired consultant for this study could not provide the detailed IUU fishing data in due course. However, preliminary studies were carried out to support the study, including an unreported fishing loss assessment and an e-logbook fishing use assessment in Aru Island and Merauke Regency. Two	Proposed Revised Activity Description for 2.1.3-8: Conduct a study to estimate and establish baseline on IUU fishing in FMA 718, focusing in Aru and Merauke areas as project sites

	<p>data that have not yet extracted are illegal and unregulated fishing loss assessment. These data require additional actions from the NCU Indonesia, such as development of fisheries database in Maluku and continuing to facilitate e-logbook and vessel registration. If the study is not feasible, unreported fishing data can be used as a main regional reference or baseline assessment on IUU fishing.</p> <p>The ATS Coverage in WPP 718 does not include Rote Ndao. Rote Ndao is part of WPP 573 that is not specifically designed for fisheries industry, but for aquaculture. The area is one of the main focus from province and district level related to seaweed, while fisheries mainly focus on food security. Different with Aru and Merauke, as these sites are designed for fisheries industry that is under the management of national and provincial level and have high potential of IUU.</p>	
<p>Outcome of Coastal and Marine Biodiversity Conserved through Protection of Habitats and Species, an indicator was set; namely, the Ministry of a protected area management effectiveness (METT) score in Southeast Aru MPA is 39 at the SRF baseline mid target.</p>	<p>For scoring, MPA management effectiveness in fishery sector, the GoI issued SK Dirjen PRL No. 36/KEP-DJPRL/2021 on Evaluation Team of PA Effectiveness Score, and 28/ KEP-DJPRL/2020 on the Guidelines on PA Effectiveness Score; METT was not longer in use for fishery effectiveness scoring but EVIKA is now used.</p>	<ul style="list-style-type: none"> <li>• MTR recommends to change the indicator to: Protected Area Management Effectiveness Score (Management Effectiveness Tracking Tool to comply with project requirement and EVIKA system to comply with Indonesian government national requirement)</li> <li>• MTR recommends to change the EOP to: Maximum of 70 METT score (or lower considering that more mature MPAs in Indonesia have reached only maximum of 78 METT in the case of Wakatobi MPA and 70 METT in the case of Bunaken MPA based on 2017 data). For EVIKA system, target the score of 50-85% (optimized management of MPA) where the EVIKA assessment is carried out based on SK No. 28/ KEP-DJPRL/2020 and by SK No. 36/KEP-DJPRL/2021.</li> <li>• Suggested additional supporting activity: Conduct an assessment on EVIKA and METT for SE Aru to see how EVIKA aligns with the METT system. Report both EVIKA and METT scores to comply with the ATSEA-2 project requirement</li> </ul>

		on METT and the internal country requirement on EVIKA
Objective level of landscapes and seascapes under improved biodiversity management: Indonesia was set to reach 550,000 ha in the new MPA Kolepom.	Reduction in the MPA coverage area from the SRF end-target has been raised by the NCU Indonesia since the 2019 regional inception workshop supported with internal consultations and the results of zonation planning studies. Long period between the PPG and project initiation, most notably, assessments to support the establishment of the MPA had progressed since the PPG was undertaken, resulting to updated proposals on the areal scope of the MPA, is also another cause of the proposed coverage area reduction of the MPA.	MTR recommends to change the EOP to: Establish a new MPA in Kolepom covering 353,287 ha, and support strengthening management effectiveness of existing MPA in SE Aru covering 114,000 ha.
Output 2.3.2-16 on undertaking a feasibility study for establishing ecotourism opportunities in Merauke, with a focus on the Kolepom MPA.	Based on the respondents' recommendation, the newly initiated MPA as a subject for ecotourism development, supported by local communities, needs sustainable management. Providing infrastructure, transportation, and accessibilities for nature tourism should be a subject to address the identified problem from the study. The Project can also offer interventions to promote other agro-fishery culture tourisms, develop nature-based livelihoods, provide gender empowerment-based capacity building or training activities, minimize the negative impact on nature and increase tourists' safety and comfort.	Suggested alternative activity: In line with the completed EAFM Plan in Merauke as well as the Management Plan for Kolepom, pursue more nature-based capacity development, gender empowerment-based capacity building, and alternative livelihood activities. Instead of tourism, focus interventions on alternative sustainable fisheries livelihoods.
Outputs of 2.3.3-6 and 2.3.3-7 on conducting a feasibility study to explore alternate livelihood tourism opportunities for communities in Aru Islands, Rote, and Merauke and possibly other sites based around turtles and piloting a project in Indonesia for establishing tourism opportunities, respectively. The NPB and RSC can further discuss this output.	Based on the NCU Indonesia assessments, Kolepom, Rote, and Merauke do not have significant turtle presence. For your important considerations, from our MTR field survey, the communities still illicitly and reticently catch turtles for making bracelets.  It is also identified that the local housewives' communities in Rote Ndao have developed a seaweed/mangrove soap business, but there are no safety tools used by the communities during the fabrication of soaps, leading to the exposure of chemicals, NaOH, and additives. Similitude to the ecotourism	Suggested alternative activities: Conduct more turtles conservation education for local communities while providing alternative nature-based livelihoods or capacity building empowerment for communities, taking into consideration involvement of women, particularly in seaweed/mangrove soap business, seaweed farming, sugar palm business, mangrove seed-based super cake enterprise, and so forth. Noting that the ongoing home-based seaweed/mangrove soap business run by housewives do not have proper safety tools, which can lead to exposure of chemicals, NaOH, and additives, the

	<p>in Kolepom MPA, infrastructure still becomes a bottleneck for ecotourism development.</p> <p>As a result, further turtles conservation education for local communities needs to be strengthened and continued for increasing awareness while providing alternative nature-based livelihoods or capacity building empowerment for communities with considering the involvement of women, such as a seaweed/mangrove soap business, seaweed farming, sugar palm business, mangrove seed-based super cake enterprise, and so forth.</p> <p>Based on the respondents' recommendation, providing infrastructure, accessibilities, and transportation for nature tourism should be a subject to address the identified problem from the study.</p>	MTR recommends the Project to collaborate with the local government and the hired vendors in setting up a separate and specific production area in the community with proper safety procedures, tools/facilities.
Original EOP: Aru, IDN: 25% reduction in fleet size within shrimp and red snapper fisheries	There is impossibility to reduce fleet size but possibility to support the registration of 25% fishing fleet for shrimp and red snappers within remaining project lifetime.	Suggested modified EOP: Support registration of 25% fishing fleet for shrimp and red snapper fisheries under the Provincial Government of Maluku.
Original EOP: Aru, IDN: 50% of vessels within the shrimp and red snapper fisheries; 50% using VMS; and Merauke, IDN: 50% barramundi fishers using improved gear.	There is incorrectness to determine barramundi fishers place which it should be in Merauke not Aru. FYI There is no barramundi initiative in Aru. This is a mistake in the SRF. Barramundi is in Merauke.	Suggested modified EOP: Support 50% shrimp, red snapper and barramundi fisheries using fishing gear or additional fishing gear that are selective to the Endangered, Threatened and Protected (ETP) species.
Output 2.4.3-4 on Technical Training for Maintenance and Repair of the Solar-powered Water Desalination Units.	Based on the MTR survey and the Project assessment, the machine of seawater reverse osmosis (SWRO) desalination plant still bursts, so a technical training for maintenance and repair of the desalination could not be undertaken. It is suggested to drop the output and divert it to the other crucial activities for alternative livelihood and women empowerment. It is hopefully recommended to search for simple and affordable alternative technologies to filter or convert seawater or brackish water into safe drinking water, such as activated carbon pellets, mixed zeolite	Suggested Alternative Activity: Introduce a pilot activity within the project site of ATSEA-2 in Indonesia (Landu Tii in Rote Ndao) where there is also a need for safe drinking water and conduct activities related to water, sanitation, and hygiene (WASH) projects, supporting the communities to access safe and affordable drinking water

	and calcined hydrotalcite, chitosan/bionanofibers filtration membrane, and thermal distillation or inflatable solar still. The relevant water, sanitation, and hygiene (WASH) projects can be also proposed as an alternative, supporting the communities to access safe and affordable drinking water.	
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The detailed explanation of Table 5 is depicted in the following points:

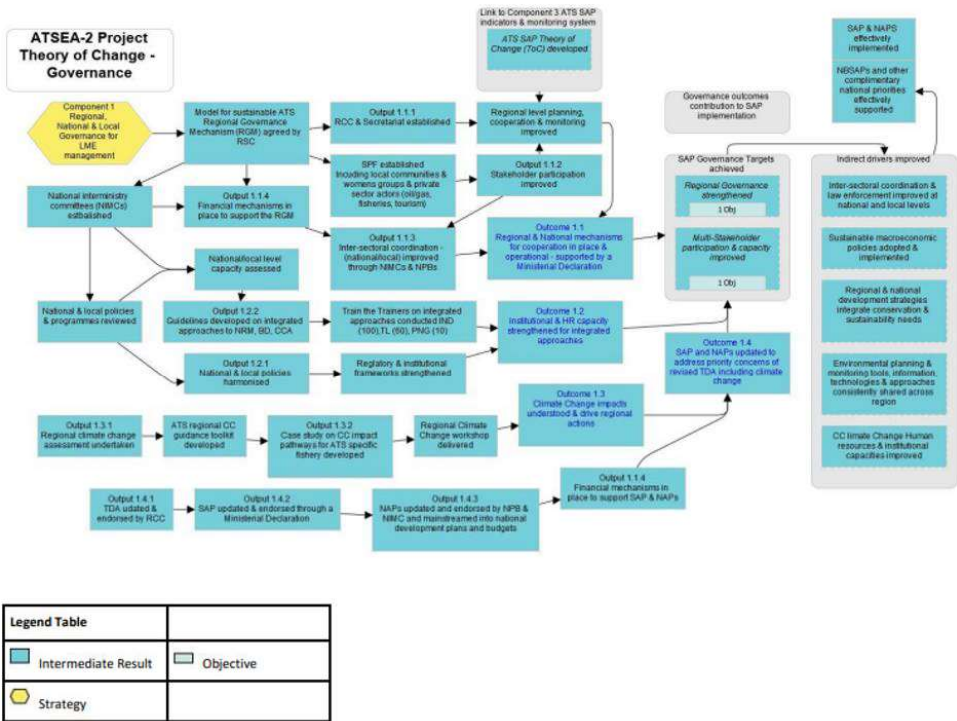
1. All impossible targeted indicators should be reexamined in their timeframe or project life considering the closing operations and administrative and finance of Indonesia components in 2023 and 2024, respectively. Please refer to the next points for the explanations of impossible indicators and their proposed changes.
2. Under the outcome of Updated transboundary diagnostic analysis (TDA), strategic action program (SAP), and national action program (NAPs); a proposed indicator for Indonesia is at the end of the project target, Indonesia's priority actions under ATS NAP are "submitted for mainstreaming" into national development programs and budgets by Indonesia's NPB and NCU after the validated NAP is endorsed by the national project board and NIMC, and is furthered with stakeholder consultations (please refer to ProDoc activities 1.4.3-1, 1.4.3-2, and 1.4.3-3).
3. Under the output 2.1.3-8 Target, to conduct a study to estimate IUU fishing in FMA 718 quantitatively, there are no data available as determined in the output. In addition, the hired consultant for this study could not provide the detailed IUU fishing data in due course. However, preliminary studies were carried out to support the study, including an unreported fishing loss assessment and an e-logbook fishing use assessment in Aru Island and Merauke Regency.
4. Under the outcome of Coastal and Marine Biodiversity Conserved through Protection of Habitats and Species, an indicator was set; namely, the Ministry of a protected area management effectiveness (METT) score in Southeast Aru MPA is 39 at the SRF baseline. By taking into consideration the interviewed respondents, the proposed indicator will be: the Directorate General of Marine Spatial Management (Ditjen PRL) of MMAF assessed the effectiveness of protected area management in Southeast Aru MPA by using the EVIKA assessment tool with a targeted score of 50-85% (optimized management of MPA) at the end target of the Project. This proposed indicator will be further internally discussed and reviewed by RPMU and NCU for their considerations.
5. Under the objective level of landscapes and seascapes under improved biodiversity management, Indonesia was set to reach 550,000 ha in the new MPA Kolepom. A proposed indicator will be: At the end target of the Project, the ATSEA-2 Project Team and MMAF established and or initiated new MPAs in WPP 718 with a new set of 353,287 ha MPA in Kolepom. Reduction in the MPA coverage area from the SRF end-target has been raised raised by the NCU Indonesia since the 2019 regional inception workshop supported with internal consultations and the results of zonation planning studies. Long period between the PPG and project initiation, most notably, assessments to support the establishment of the MPA had progressed since the PPG was undertaken, resulting to updated proposals on the areal scope of the MPA, is also another cause of the proposed coverage area reduction of the MPA.  
However, Maluku and Papua Government have requested that the remaining area will be subsequently extended in the same MPA or will be initiated in other islands of WPP 718.
6. Under the output 2.3.2-16 on undertaking a feasibility study for establishing ecotourism opportunities in Merauke, with a focus on the Kolepom MPA. It is noted that the study report

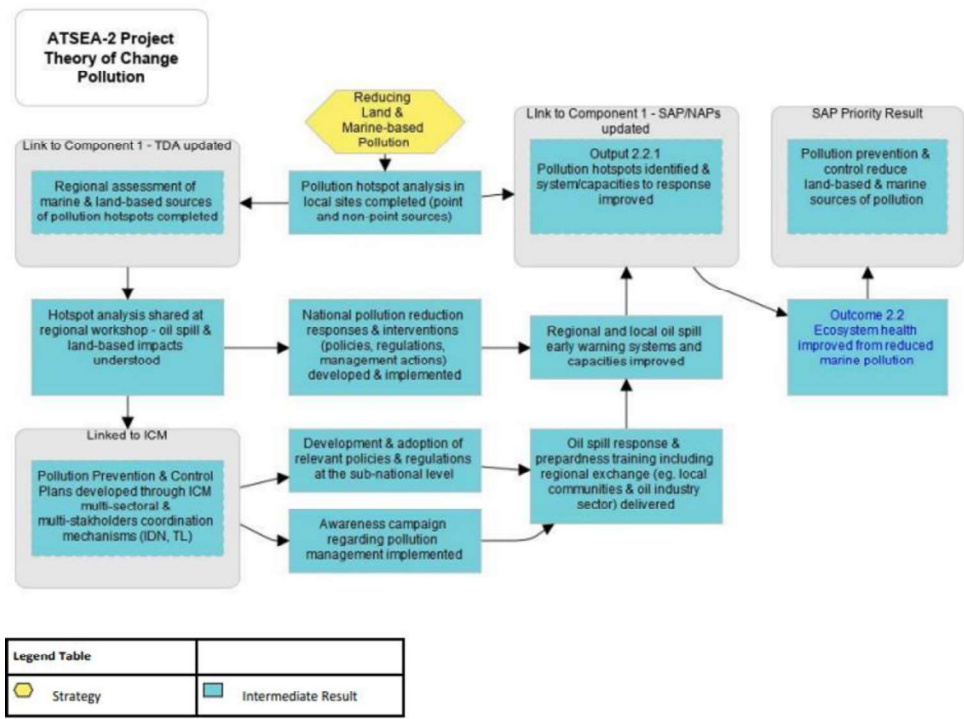
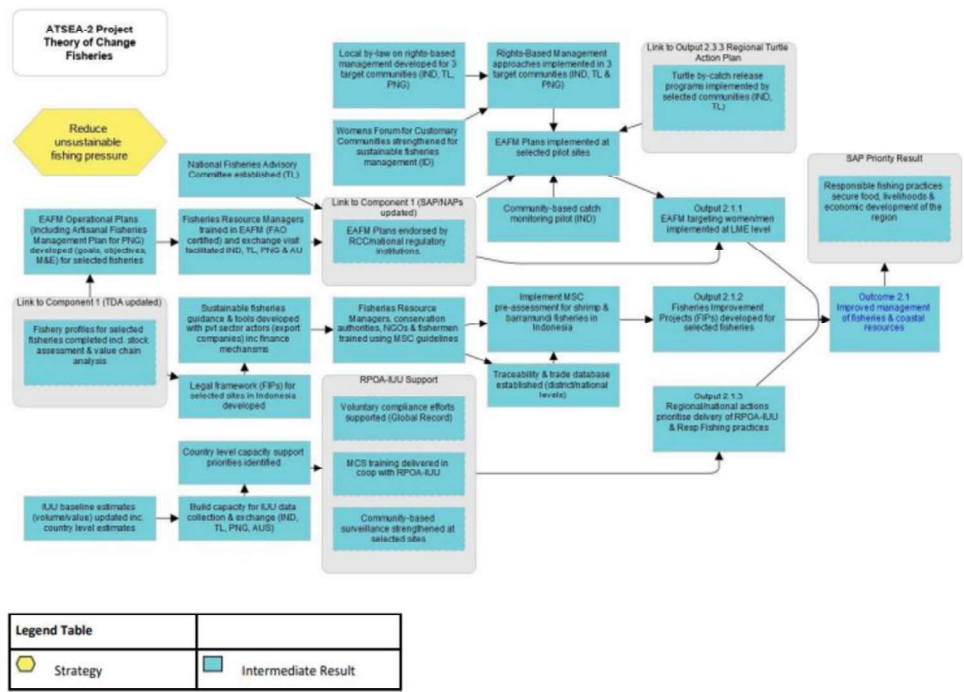
revealed that the MPA is not feasible for ecotourism objects because of its remoteness and no available facilities. In addition, local government does not provide support for the development of ecotourism. The NPB and RSC can further discuss this output. Based on the respondents' recommendation, the newly initiated MPA as a subject for ecotourism development, supported by local communities, needs sustainable management. Providing infrastructure, transportation, and accessibilities for nature tourism should be a subject to address the identified problem from the study. The Project can also offer interventions to promote other agro-fishery culture tourisms, develop nature-based livelihoods, provide gender empowerment-based capacity building or training activities, minimize the negative impact on nature and increase tourists' safety and comfort.

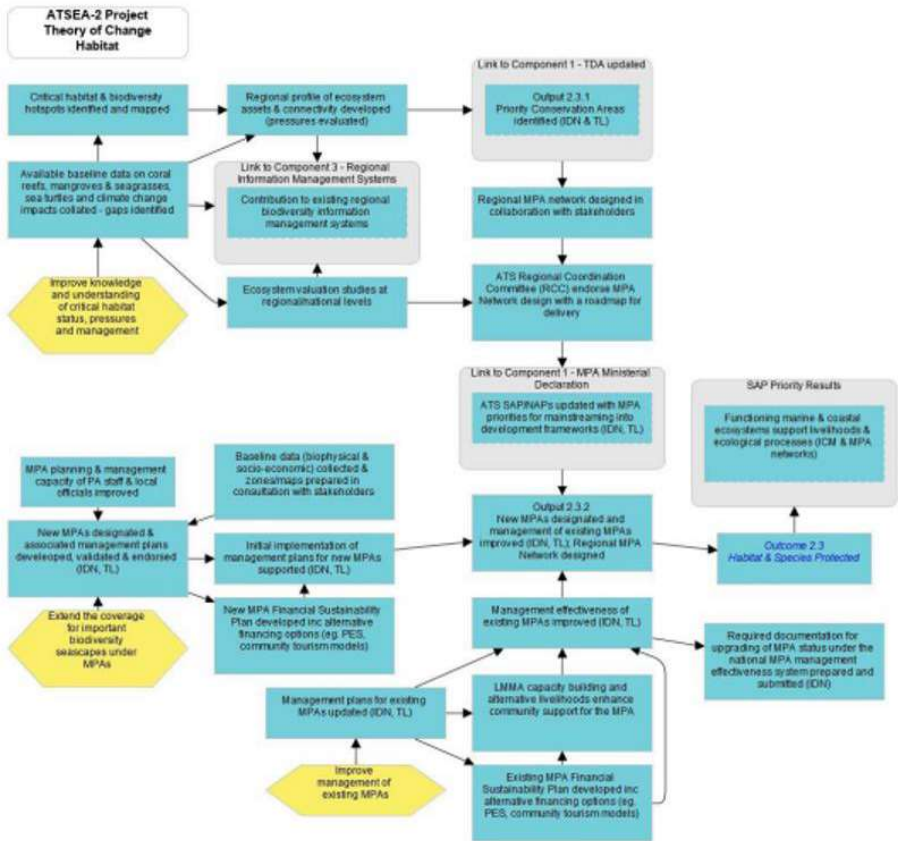
7. Under the outputs of 2.3.3-6 and 2.3.3-7 on conducting a feasibility study to explore alternate livelihood tourism opportunities for communities in Aru Islands, Rote, and Merauke and possibly other sites based around turtles and piloting a project in Indonesia for establishing tourism opportunities, respectively; based on the NCU Indonesia assessments, Kolepom, Rote, and Merauke do not have significant turtle presence. For your important considerations, from our MTR field survey, the communities still illicitly and reticently catch turtles for making bracelets. As a result, further turtles conservation education for local communities needs to be strengthened and continued for increasing awareness while providing alternative nature-based livelihoods or capacity building empowerment for communities with considering the involvement of women, such as a seaweed/mangrove soap business, seaweed farming, sugar palm business, mangrove seed-based super cake enterprise, and so forth. It is also identified that the local housewives' communities in Rote Ndao have developed a seaweed/mangrove soap business, but there are no safety tools used by the communities during the fabrication of soaps, leading to the exposure of chemicals, NaOH, and additives. Similitude to the ecotourism in Kolepom MPA, infrastructure still becomes a bottleneck for ecotourism development. The NPB and RSC can further discuss this output. Based on the respondents' recommendation, providing infrastructure, accessibilities, and transportation for nature tourism should be a subject to address the identified problem from the study.
8. Under the output 2.1.3-10 on improvement of registered vessels system. It is noted that the NCU Indonesia in partnership with MMAF will support the program of "Registered Vessels from Indonesian Archipelagic Waters (R-VIA) that has been implemented in the Arafura Sea. However, the R-VIA is only utilized for tuna fisheries but not demersal fisheries. The output needs to be specified by envisaging the use of the R-VIA in ATS for tuna fisheries.
9. Under the output 2.4.3-4 on Technical Training for Maintenance and Repair of the Solar-powered Water Desalination Units; and based on the MTR survey and the Project assessment, the machine of seawater reverse osmosis (SWRO) desalination plant still bursts, so a technical training for maintenance and repair of the desalination could not be undertaken. For critical considerations, the communities need safe drinking water for their daily lives. At least 50 gallons (190 l) of water are demanded to support one family, with 200 families on the Nusa Manuk Island. For the NPB and RSC considerations to the outputs:
  - a. It is suggested to drop the output and divert it to the other crucial activities for alternative livelihood and women empowerment.
  - b. It is hopefully recommended to search for simple and affordable alternative technologies to filter or convert seawater or brackish water into safe drinking water, such as activated carbon pellets, mixed zeolite and calcined hydrotalcite, chitosan/bionanofibers filtration membrane, and thermal distillation or inflatable solar still.
  - c. The relevant water, sanitation, and hygiene (WASH) projects can be also proposed as an alternative, supporting the communities to access safe and affordable drinking water.
10. Under two indicators of the Component 2 on the reduced fishing efforts and the improved use of fish gear/techniques. After the project-public consultation was staged, there were some assessments on these indicators with considering the limited project lifetime. From these indicators, it is suggested only to support register 25% fishing fleet in shrimp and red snapper fisheries under

province gov of Maluku; and to support 50% shrimp, red snapper and barramundi using fishing gear or additional fishing gear that selective to the ETP species.

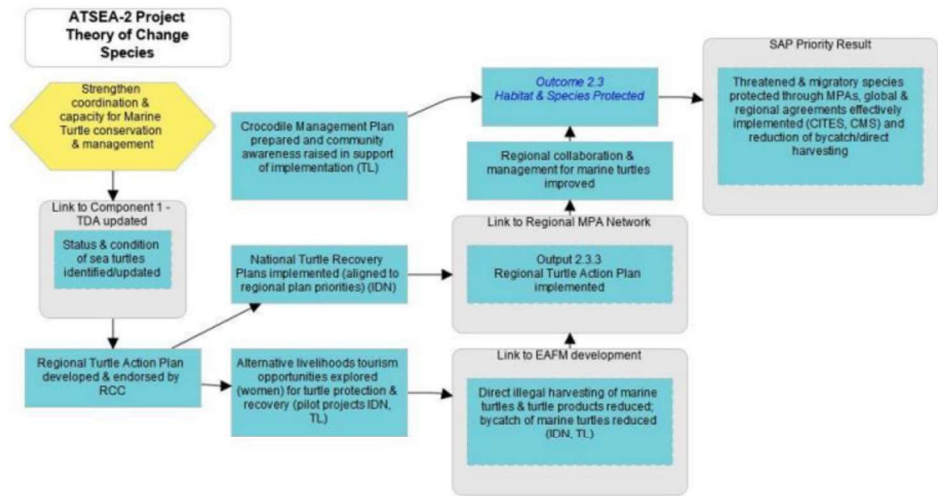
At the first Project Document approval, a theory of change (ToC) was not made, but Strategic Framework/LogFrame was available, and the ToC was developed in 2021 based on the recommendation from the 2nd RSC Meeting, which emphasized the causal analysis between each component (1, 2, and 3) and SAP and NAP priority results (Diagram 1 a-f). The ATSEA-2 ToC was subdivided into per project Component ToCs to provide better clarity for each aspect. Later, the Strategic Framework/Logframe promising flexibility, actual participation, and true learning through M&E sometimes likely restrains them because of strict funding legislation and administrative procedures. It is also recommended to design ToC, delving into deep understanding of the contexts, and later to combine ToC with the Logframe, designing the specifics of each particular intervention. These combined tools can guide the Project with sound and evidence-based program strategies, with assumptions and risks, clearly analyzed and spelled out.



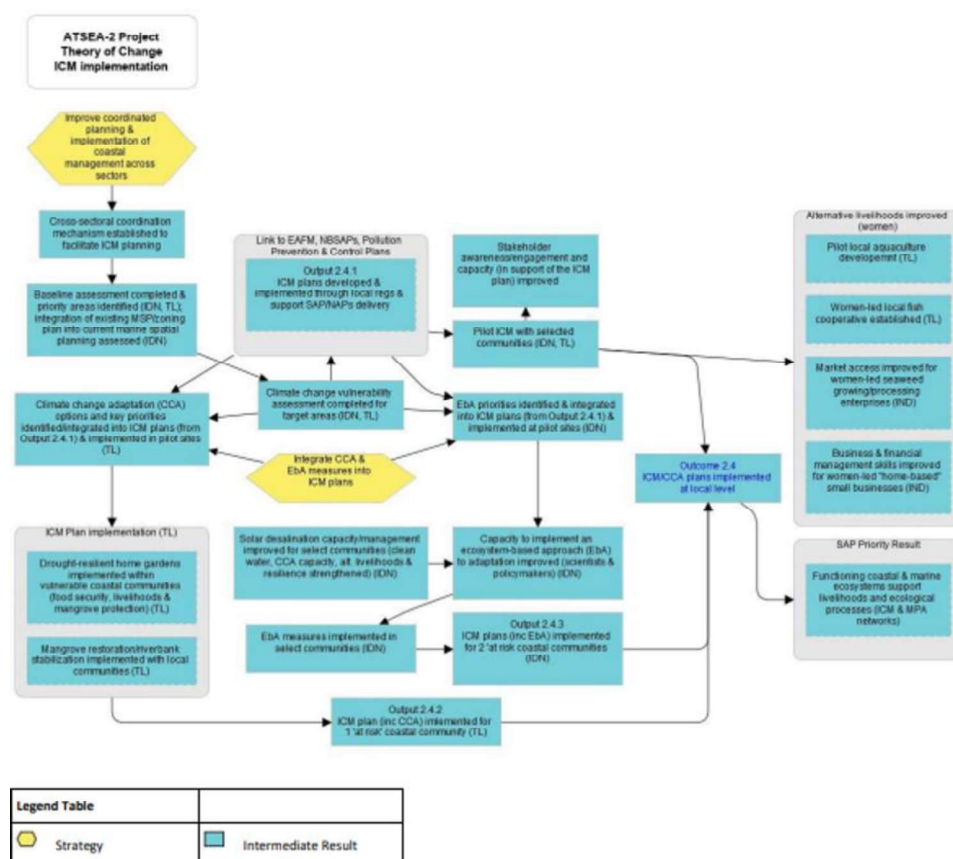




Legend Table	
	Strategy
	Intermediate Result



Legend Table	
	Strategy
	Intermediate Result



**Diagram 1.** ATSEA-2 Project Theory of Change (Results Chain) per component relevant to Indonesia component: (a) Component 1-Governance; Component 2- (b) Fisheries, (c) Marine pollution (d) Habitat (e) Species; and (f) ICM.

## 4.2 Progress Towards Results

### 4.2.1 Progress Towards Outcomes Analysis

Under the Project Towards Results section, we compared the midterm tracking tool (TT) data with data provided in the GEF TT submitted to the GEF for CEO endorsement. There are updated data and Information which have not yet been rectified in the MTR TT to date. These include:

1. The targeted MPA area in Kolepom Island is 550,000 ha, but the Papua Governor's Decree No.188.4/295/2019 declared that the proposed MPA is 353,287 ha as Marine Sanctuary and the remain coverage has not yet been achieved,
2. The GEF TT recorded that the management effectiveness of MPA is measured using EVIKA, but in the MTR TT is still envisaged to adopt METT. Scientific justifications and their approval from NPB and RSC to alter METT to EKKP3K or EVIKA are required. According to the MMAF's EKKP3K assessment, the score is 46.21%, meaning the MPA is minimally managed in terms of monitoring and outreach.
3. Two FIPs were ongoing to be developed, but there are preliminary assessments conducted to aid the FIPs development. One FIP for red snapper was implemented and had A+ rating from MSC. The assessments include one EAFM on Red Snapper Strategy and Action Plan, one EAFM for Shrimp (Pre-Assessment and Assessment with Action Plan), and one EAFM for Barramundi (Pre-Assessment and Assessment with Action Plan).
4. Indonesia's NIMC has not yet been established, but a conceptual model for the NIMC was completed consisting of key agencies and a legal framework. The delay in the establishment is due to government restructures.
5. Under the reduced fishing pressures, the target for registering 775 fishing vessels in Aru has not yet been achieved. The Project has staged assessments to extract data and its analysis that will be expected to complete in June 2022. From the NCU Indonesia assessments, there were two findings:
  - Snapper fisheries profile key findings: 339 active demersal fisheries vessels in FMA 718; dropline vessels: 169 boats (target snappers & other demersal species); longline vessels: 104 boats (bottom long line target snappers and co-occurring species); and gillnet vessels: 66 boats (target mix fishery)
  - Shrimp fisheries profile key findings: 2 gears commonly used by small scale shrimp fisheries in Aru (2019): Gillnet (jaring insang): 1.372 gears; Trammel net (jaring angkat): 142 gears. In industrial scale in February 2022, only 7 fishing boats have a license operated for shrimp.
6. Under the improved use of fish gear/techniques, a target to gauge about 1,400 vessels using gillnet in Aru Island has not yet been reached. The phenomenon is also similar to a target for Merauke Island, intending to measure 50% barramundi fishers using improved gear. The Project has staged assessments to extract data and its analysis that will be expected to complete in June 2022. In addition, it is also found food waste generated from unoptimized barramundi fish commodities. The fish catchers only utilize and trade swim bladder instead of meat. As a result, reduction of the wastes through circularity becomes another concern of the NCU Indonesia.
7. Based on the data on stakeholder engagement, there are 38,380 direct beneficiaries in terms of training and capacity building; the Indonesia component contributed the highest participants, as many as 276 persons consisting of 209 men and 67 women.

Table 6 shows the current status of the progress towards outcomes. Most of the outputs' indicator is on target to be achieved, although there are some concerns to the indicators, which are recommended to consider for shifting. The proposed shifts are highlighted under point 4.1.2 on Results Framework/Logframe. From the MTR study, it can be seen only one outcome under Indonesia components was attained, but the other outcomes are still ongoing to achieve. The ongoing and planned activities that

support the accomplishment of the ongoing results must be expedited. We noted that Indonesia's ATSEA-2 Project will be operationally closed in 2023. If possible, the Indonesia Project can be extended for 1 to 2 years since there are many challenges confronted by the Team.

**Table 6. Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets)**

Project Strategy	Indicator	Baseline Level	Level in 2 <sup>nd</sup> PIR (self-reported) (2019 to July 2021)	Midterm Target	End-of-project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating	Remaining Barriers
<b>Outcome 1: Regional and national mechanisms for cooperation in place and operational</b>	Indicator: Regional governance mechanism	Informal cooperation under ATSEF, and conceptualization of ATS governance mechanism outlined in Ministerial Declaration	The regional governance mechanism assessment has been completed and will undergo further country consultations in 2021 as part of consensus building process on most viable regional mechanism for ATS region. In relation to this, the Stakeholder Partnership Forum (SPF) draft TOR and Guidelines have also been completed and will also undergo further country consultations (Q3-Q4 of 2021); identification of SPF members at country level have also been initiated. Formal SPF is expected to convene before end of 2021.	<i>(not set or not applicable)</i>	Regional governance mechanism established and functioning with at least 2 of 4 countries contributing dues	<p>Relevant activities that were/have been conducted are:</p> <ul style="list-style-type: none"> <li>- SPF conceptual model for WPP718 was developed;</li> <li>- SPF Financial Aspect and Members Responsibility Assessment was completed;</li> <li>- SPF Legal Framework Assessment was completed;</li> <li>- Various FGDs related to SPF conducted involving relevant ministries and stakeholders (including meeting of former ATSEF members in Indonesia in March 2020 and FGD on SPF in June 2021);</li> <li>- LPP WPP 718 (FKPPS is no longer exist) was established and has operationalized since 2020;</li> <li>- In support of the development of Fisheries Management Plan for FMA 718 and establishment of Fisheries Management Body, ATSEA-2 (thru NCU) provided experts and facilitated technical meetings since 2019;</li> <li>- Inputs/support were provided to the development of Fisheries Management Plan for FMA 718, establishment of Fisheries Management Body LPP WPP 718, and updating of its operational guidelines</li> <li>- ATSEA-2 is officially part of the WPP 718 partnership working group in Maluku, and has participated in National Commission Meetings and working group meetings;</li> <li>- ATSEA-2 is part of the launching of Harvest Strategy for Blue Swimming Crab, Snapper, and Grouper, and launching of the Fisheries Management Body in 2020.</li> </ul>	Modestly satisfactory	<p>Referring to adopted <i>workplan for Indonesia's NCU, key activities to achieve outputs for regional governance mechanism (RGM) such as developed SPF conceptual model, financial aspect, member responsibility assessment, and legal framework assessment were completed. Consultations for the RGM establishment is on-going.</i></p> <p>However, as refer to the baseline indicator, One Ministerial Declaration was made in 2014 where ATS countries agreed to establish an RGM including an RCC, Regional Secretariat and SPF.</p> <p>A new Ministerial Declaration is targeted to be signed before the end of the project in 2024 where the specific RGM arrangements (resulting from the current national and regional consultations) will be adopted.</p>	<p>None (NCU/Indonesia has worked actively for supporting this target. The Indonesia's NCU has worked actively also to support the development of FMA 718, LPP WPP 718, SFP member of Maluku LPP WPP 718, and the launching of Harvest Strategy for Blue Swimming Crab, Snapper, and Grouper, and the launching of the Fisheries Management Body in 2020.)</p>

Project Strategy	Indicator	Baseline Level	Level in 2 <sup>nd</sup> PIR (self-reported) (2019 to July 2021)	Midterm Target	End-of-project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating	Remaining Barriers
Output 1.1.2 Improved stakeholder participation at the regional and national levels through the establishment of a Stakeholder Partnership Forum for the implementation of the SAP and NAPs with representation of local people and women's groups	1.1.2.4. Identify and agree on the national representation on the SPF and their roles					<p>1. SPF Conceptual Model, Financial Aspect and Members Responsibility Assessment, and Legal Framework Assessment for WPP718 was developed</p> <p>2. Various SPF FGDs in 2020 and 2021 were performed with the aim to provide inputs to SPF establishment</p> <p>3. SPF roles were discussed as a part of RGM and SPF consultations</p> <p>Not yet established NIMCs but conducted engagement of relevant stakeholders on NIMC conceptual model development</p> <p>- FKPPS (no exist) a LPP WPP 718</p> <p>- Launched 1) Harvest Strategy for Blue Swimming Crab, Snapper, and Grouper; and 2) Management Body of Fisheries Management Area in Indonesia</p> <p>- Provided inputs and meetings on the Fisheries Management Plan for WPP 718; and Operational Guidelines of the WPPNRI LPP ATSEA-2</p> <p>- Supported the enhancement of LPP WPPNRI 718, including meetings, partnership on Maluku working group, and technical and scientific meetings (EAFM, FIP, IUUF)</p> <p>- LPP WPP 718 was established operationalized in 2020,</p> <p>- Supported by experts and meetings: 1) Fisheries Management Plan development for FMA 718, and 2) Fisheries Management Body establishment</p> <p>- ATSEA-2 is officially a part of the WPP 718 partnership working group in Maluku, and participates in National Commission Meetings and working group meetings</p>	Moderately Satisfactory	<p>Activity 1.1.2.4, 1.1.2.-6, and 1.1.2-7 was ongoing but activity 1.1.2.-5 was delayed but the PMT has endeavored to achieve the target (NIMC establishment).</p> <p>Actions to be taken:</p> <p>a. Finalisation of SPF legal draft with Biro Hukum KKP,</p> <p>b. Engagement of identified stakeholders in SPF activities/meetings,</p> <p>c. Facilitation of SPF on NAP implementation</p> <p>d. NIMC establishment</p> <p>e. Discussion on NAP implementation, collaborative action plans, and knowledge exchanges with stakeholders and NIMCs</p> <p>f. Regular coordination on NAP implementation with LPP WPP 718 and synchronization of ATSEA prog with Perikanan Terukur Policy in WPP 718.</p> <p>g. Continuous support LLP National Commission Meetings and working group meetings</p>	None
	1.1.2.5. Through participation of the national coordinator, advocate for synergies between the NIMC and other bodies addressing regional cooperation, CTI-CFF, RPoA-IUU, etc								
	1.1.2.6. Conduct an annual meeting of relevant stakeholders including the FKPPS (Forum Coordination for Fisheries Resource Utilization Management)								
	1.1.2.7. Support the establishment of a fisheries management body according to the model proposed in FMP 718								

Project Strategy	Indicator	Baseline Level	Level in 2 <sup>nd</sup> PIR (self-reported) (2019 to July 2021)	Midterm Target	End-of-project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating	Remaining Barriers
	National Inter-Ministerial Committees (NIMCs)	NIMCs loosely formed, with no clear mandate for ATS priority concerns	40% of the target has been achieved (2 out of 3 NIMCs established) and legalization/formalization ongoing.  NIMCs established in Timor-Leste and Papua New Guinea. While NIMC institutional mapping and assessment, and FGD for NIMC establishment in Indonesia has been conducted, formal adoption of NIMC in Indonesia targeted within 2021.	<i>(not set or not applicable)</i>	NIMCs established, functioning and legal formalized thru institutional arrangements in each of the three beneficiary countries	<p>Activities undertaken are:</p> <ul style="list-style-type: none"> <li>- NIMC institutional mapping and assessment were completed;</li> <li>- Conceptual model for IDN's NIMC were developed and consulted with key agencies relevant to NAP and legal framework for the formalization of the NIMC;</li> <li>- TOR for NIMC Indonesia as a part of the conceptual model was developed and submitted to MMAF;</li> <li>- Pending in the adoption of NIMC structure and roles;</li> <li>- Adoption of NPB TOR, followed with National Project Board (NPB) Meetings for annual project progress and work plan;</li> <li>- Annual NPB meeting conducted since 2019;</li> <li>- NPB was established since 2020 to review progress and review and approve IDN component budget and work plans;</li> <li>- Coordination with relevant entities with regard to FMA/FMP 718 is continued;</li> </ul> <p>Various relevant stakeholders (national and local) were engaged mostly in consultations related to RGM and SPF, SAP Stocktaking, EAFM, FIP, MPA establishment, GESI survey, etc.</p>	Moderately Unsatisfactory	<p>The Indonesia NIMC has not yet established (delayed) but several supporting elements for the establishment have been developed, such as NPB TOR, NIMC TOR, legalization framework, and conceptual model.</p> <p><i>That is presumably because there is an ongoing transition from BRSDM to BRIN, wherein hosting of MMAF within MMAF is also being discussed.</i></p> <p>Follow-up action: The planned NIMC Legality Coordination Meeting will take place in Q3 of 2022.</p>	<i>The establishment of NIMC is still delayed due to governmental transformation in Indonesia</i>

Project Strategy	Indicator	Baseline Level	Level in 2 <sup>nd</sup> PIR (self-reported) (2019 to July 2021)	Midterm Target	End-of-project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating	Remaining Barriers
Output 1.1.3 Improved inter-sectoral coordination at the national and local levels in support of the implementation of integrated approaches to NRM, water resources, biodiversity conservation and climate change adaptation, through national inter-ministry committees (NIMCs) in Indonesia, Timor-Leste, and Papua New Guinea	1.1.3.2. Conduct an institutional assessment of relevant inter-ministerial agencies and subnational counterparts that would be involved in the NIMC, in line with recent institutional restructurings, and including similar existing frameworks such as CTI, PEMSEA, etc					NIMC institutional mapping, conceptual model, and legal framework was developed with input from various FGDs under key agencies relevant to NAP implementation  Proposed TOR for NIMC was a part of the SPF conceptual model  Delayed establishment of NIMC due to the governmental transition. The NIMC Legality Coordination Meeting will take place in Q3 of 2022.  <ul style="list-style-type: none"> <li>Coordination with relevant entities for FMA/FMP 718,</li> <li>Consultations with national and local stakeholders related to RGM and SPF, SAP Stocktaking, EAFM, FIP, MPA establishment, GESI survey, etc.</li> </ul>	Moderately Satisfactory	Activity 1.1.3-2, 1.1.3-3, and 1.1.3-5 was completed but activity 1.1.3-4 was not completed due to delayed NIMC establishment.  Actions to be followed up: a. Finalization of NIMC legal draft b. Facilitation annual NIMC meetings c. Continuous NPB annual meeting d. Continuous discussions with various relevant entities (i.e., CTI-CFF, RPOA-IUU) for NAP implementation	The establishment of NIMC is still delayed due to governmental transformation in Indonesia
Output 1.1.4 Financial mechanisms in place to support the implementation of the SAP and NAPs and the replication and upscaling of projects	1.1.4.4 Develop a 5-year cost estimate and financing plan for implementation of the NAP following its completion. The financing plan will include estimated contributions from national and subnational budgets; identification of financing gaps; and an outline of alternative financing opportunities through public-private partnerships, donor funding and other arrangements					This activity is targeted to execute in 2023	N/A	This activity is expected to be achieved in 2023. Action to follow up is to develop a 5-year financial estimate and plan after the updating of the SAP and NAP in 2023.	None (this activity will be executed in 2023)

Project Strategy	Indicator	Baseline Level	Level in 2 <sup>nd</sup> PIR (self-reported) (2019 to July 2021)	Midterm Target	End-of-project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating	Remaining Barriers
<p><b>Outcome 2:</b> Strengthened institutional and human resource capacity towards integrated approaches in natural resource management and biodiversity conservation</p> <p><b>Output 1.2.1</b> Harmonization of national and local policy in Indonesia, Timor-Leste, and Papua New Guinea to strengthen the regulatory and institutional frameworks in support of SAP/NAP implementation and linkages to NBSAPs through support to national inter-ministerial committees</p>	Indicator: Number of local regulations issued to support implementation of NAP that reflect regional harmonization of national and subnational policies	Priority actions in the NAPs are not mainstreamed in national and local policy and programming frameworks	<p>35% of target has been achieved.</p> <p>At regional level political economy of regionalism assessment completed, and gender equity and social inclusion initiatives and learning activities conducted. At the country level, policy assessments were carried out in Indonesia and PNG in relation mainly to fisheries and biodiversity, while assessment is scheduled in Timor-Leste in 2021. On local regulations, in Indonesia the Governor decree on establishment of new MPA in Kolepom ratified, and legalization of Marine Pollution Task Force in NTT underway. In Timor-Leste, an Official Order issued by the Municipal Administrator of Manututo Municipality formally launched the ICM Sub Task Team in PA Barique.</p>	(not set or not applicable)	<ul style="list-style-type: none"> <li>Indonesia: Draft of three local regulations (PERDA) developed and submitted to the provincial government to support implementation of NAP</li> <li>Timor-Leste: Two local regulations issued to support implementation of NAP</li> <li>Papua New Guinea: District Sustainable Marine Resource Plan for South Fly District approved</li> </ul>	<ul style="list-style-type: none"> <li>Development of local policies: <ul style="list-style-type: none"> <li>SK Gubernur Papua (No. 188.4/295/2019) about Initiation on MPA Kolepom establishment;</li> <li>SK Gubernur Papua (No. 188.4/21536/SET) about working group for MPA Kolepom Zonation Plan;</li> <li>SK Gubernur Papua (No. 188.4/228/2020) about establishment of the Fishery Crime Forum;</li> <li>SK Gubernur NTT (No.260/2021) about Marine Pollution Task Force in NTT;</li> <li>Institutional mapping in support of NIMC completed and covered regulation assessment that support the institutional framework relevant to SAP and NAP implementation;</li> <li>Some aspects of policies and regulation assessment were included in the NIMC institutional policy and mapping document, but academic papers are targeted to be developed in 2022;</li> <li>(a) harvest strategy policy brief, (b) ICM and Eba policy development in Rote Ndao, and (c) FIP and EAFM Policy assessment papers in Merauke;</li> <li>Biodiversity and EAFM assessment was conducted and also included policy aspects;</li> <li>Several FGDs and workshops conducted in support of: SPF concept and legal framework, - NIMCs concept and legal draft, three decrees implementation, RGM concept, ICM assessment, and NAP work plan development.</li> </ul> </li> </ul>	Satisfactory	Local policies were developed to support NAPs and SAP. The endorsement of decrees, especially SK Gubernur on MPA, by Minister of KKP needs to be followed up.	None

Project Strategy	Indicator	Baseline Level	Level in 2 <sup>nd</sup> PIR (self-reported) (2019 to July 2021)	Midterm Target	End-of-project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating	Remaining Barriers
	1.2.1-2. Conduct an assessment of national and subnational policies and regulations related to fisheries and biodiversity conservation and climate change adaptation, with emphasis towards identifying inadequacies and opportunities for strengthening provisions in support of integrated approaches, such as EAFM, Eba, etc., taking into account the regional context of the LME approach.					<ul style="list-style-type: none"> <li>• Policies and regulation assessment was included in NIMC institutional policy and mapping document but academic papers have not yet developed to support (a) harvest strategy policy brief, (b) ICM and Eba policy development in Rote Ndao, and (c) FIP and EAFM Policy assessment papers in Merauke</li> <li>• EAFM and biodiversity assessments were conducted and included to policy aspects</li> <li>• Support the issuance of 1) NTT Governor's Decree on Marine Pollution Task Force establishment, and 2) Papua Governor's Decree on IUU Fishing Forum/ Fisheries Crime Forum.</li> <li>• Several FGDs and workshops were conducted in support of: 1) SPF concept and legal framework, 2) NIMC's concept and legal draft, 3) Korpom's Management and Zonation Plan, 4) NTT Marine Pollution Task Force's Action Plan, 5) RGM Concept, 6) ICM Assessment, 6) NAP Work Plan development.</li> </ul>	Highly satisfactory	<p>Some assessments on biodiversity, EAFM, and their policies were included in NIMC institutional policy and mapping documents. However, academic papers have not yet been provided to support ICM and Eba policy development in Rote Ndao, and EAFM and FIP policy papers in Merauke</p> <p>In addition, there are some actions to be followed up:</p> <p>a. Development of provincial fisheries database platform linked with Perikanan Terukur policy</p> <p>b. Continuous coordination for Fisheries Management Plan development, and integrating enabling regulation or policy for MPA in Korpom, ICM in Rote Ndao, Marine Pollution Task Force in NTT, EAFM and FIP in Aru and Merauke</p>	None
	1.2.1-3. Based upon the regional and national assessments, in Activities 1.2.1-1 and 1.2.1-2, respectively, facilitate expert discussion on integrating enabling policies and incentives into national and provincial regulatory and development frameworks, in particular Act No. 23/2014 on Regional Governance, in order to advance the priority actions of the NAP.								

	Indicator: Knowledge transferred from capacitated trainers to resource beneficiaries	Limited knowledge on integrated approaches	100% of target achieved in Indonesia, 100% in Timor-Leste, and 80% in PNG.  Data on recorded project resource beneficiaries that have been capacitated under various capacity building initiatives: 193 in Indonesia (exceeded end of project target); 148 in Timor-Leste (exceeded end of project target); and 8 in PNG (close to meeting end of project target). From regional-led activities, a total of 165 beneficiaries (146 if numbers of E-EAFM training participants reflected in 3 countries are deducted). More capacity building activities are lined-up to end of project.	(Not set or not applicable)	<ul style="list-style-type: none"> <li>Indonesia: 100 resource beneficiaries receive training on integrated approaches from the capacitated trainers</li> <li>Timor-Leste: 60 resource beneficiaries receive training on integrated approaches from the capacitated trainers</li> <li>Papua New Guinea: 10 resource beneficiaries receive training on integrated approaches from the capacitated trainers</li> </ul>	<ul style="list-style-type: none"> <li>Project resource beneficiaries warranted with trainings and capacity building were 276 persons, consisting of 209 men and 67 women; Trainings conducted: ToT for field survey on ecosystem and habitat status in Aru Tenggara and Kolepom MPA in 2020; EAFM training in Aru and Merauke in 2021; Data science training in 2021; Ecosystem rehabilitation training in Oeseli, Rote in Q1 2022; Pokmaswas training in Aru in Q1 2022; Assessments on Policy (SPF, NIMC, ICM), Fisheries (EAFM, FIP, Fisheries Business), Gender, and Biodiversity (Aru Expedition, Economic Valuation, EVIKA) were conducted;</li> <li>Stocktaking of guidelines is part of EAFM and EVIKA assessments.</li> </ul>	Highly Satisfactory	<p>The number of beneficiaries of the Project exceeds the expected end-of-project target (100 people), namely 276 persons, consisting of 209 men and 67 women.</p> <ul style="list-style-type: none"> <li>However, there is a big gap in participants number that can be used by the regional project coordinating units as a reference for the project improvement. The gap is presumably due to the huge coverage area for Indonesia components as compared with other sites, Timor-Leste and PNG.</li> <li>The training needs to embed or infiltrate and impart the knowledge to the beneficiaries. In the field, the local communities participating in the training still do not understand general views on the issues tackled, such as marine pollution and climate change as well as turtle conservation. Post-assessment and sustainable trainings or educations are needed.</li> <li>Youth and children are still lacked to target in the knowledge transfers.</li> <li>The participants still tend to request finance support or money, and voluntarily participation of the local communities should be enhanced.</li> <li>The local communities are still observed to hiddenly pollute marine by littering, killing turtles for bracelets, etc.</li> <li>No safety tools (K3) for housewives piloting a seaweed soap business.</li> </ul> <p>Other capacity building and training that are scheduled in 2022 also need to follow up: MSC training (planned for May 2022), women forum capacity building (planned for Q3 2022), and gender mainstreaming capacity building (planned starting Q3 2022).</p>	None
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Project Strategy	Indicator	Baseline Level	Level in 2 <sup>nd</sup> PIR (self-reported) (2019 to July 2021)	Midterm Target	End-of-project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating	Remaining Barriers
Output 1.2.2 Localization and translation of guidelines and/or handbook on integrated approaches to marine and coastal management, biodiversity conservation and climate change adaptation in local language by building on existing/completed initiatives	1.2.2.1 Undertake a capacity assessment to identify needs and priorities with respect to marine and coastal management, biodiversity conservation, and climate change adaptation for those charged with planning, design, and implementation roles. This will include stocktaking of existing handbooks and guidelines of relevance					<ul style="list-style-type: none"> <li>- Conducted assessments on policies (SPF, NIMC, ICM), fisheries (EAFM, PIP, Fisheries Business), gender and biodiversity (Aru Expedition, Economic Valuation, EVIKA);</li> <li>- Conducted stocktaking guidelines as a part of EAFM and EVIKA assessments.</li> <li>- Conducted/planned fisheries, biodiversity, ICM and marine pollution capacity building, part of component 2</li> <li>- EAFM capacity building was held in Aru and Merauke</li> <li>- In Rote Ndao at least 109 participants from coastal community and youth are trained to support marine ecosystem restoration</li> </ul>	Moderately Satisfactory	Activity 1.2.2-1 was completed but activity 1.2.2-2 and 1.2.2-3 were not yet completed. Below are the follow-up actions: <ol style="list-style-type: none"> <li>Strengthen capacity on gender-based program development at the district level government, and on Gender responsive budgeting and planning in collaboration with MMAF Planning Bureau</li> <li>Mainstream gender awareness in project planning and implementation</li> <li>Monitor, evaluate and assess mainstreaming of gender issues into project activities with various partners</li> <li>Develop a capacity building program based on capacity needs assessment</li> <li>Roll-out the planned ToT progs.</li> <li>Knowledge materials will be developed with local languages</li> </ol>	None (Please refer to the follow-up actions to progress the completion of the on-going activities).
	1.2.2.2 Develop a capacity building program on addressing the recommendations from the capacity assessment undertaken and building activities into capacity building programmes of key governmental and non-government organizations					<ul style="list-style-type: none"> <li>- Conducted: ToT for field survey on ecosystem and habitat status in Aru Tenggara and Kolepoon MPA in 2020, EAFM training in Aru and Merauke in 2021.</li> </ul>			
	1.2.2.3 Roll out a train the trainer program, a tailored capacity building program. The "change agents" trained under this activity will be enabled to lead the broader capacity building program.					<ul style="list-style-type: none"> <li>- Conducted: ToT for field survey on ecosystem and habitat status in Aru Tenggara and Kolepoon MPA in 2020, EAFM training in Aru and Merauke in 2021.</li> </ul>			
	1.2.2.4 Adapt key training materials identified in the capacity assessment according to local language and social circumstances					<ul style="list-style-type: none"> <li>- Data Science Training in 2021</li> <li>- ToT conducted/planned under 2022 AWP: Ecosystem Rehabilitation training in Osseli; Rote (Q1 2022), Pokmaswas training in Aru (Q1 2022), MSC training (May 2022), women forum capacity building (Q3 2022), gender mainstreaming capacity building (Q3 2022)</li> <li>- Monitoring the PokMasWas guideline in Aru and Merauke with DFW</li> <li>- Monitoring ICM Guidelines by Rote Ndao villagers with YRCI</li> <li>- Procuring companies/consultant to develop a marine pollution monitoring guideline for local community in Rote Ndao, and gender mainstreaming guidelines for local stakeholders in Rote Ndao and Aru</li> </ul>			

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<p>Outcome Updated TDA, SAP, and NAP</p> <p>Output 1.4.3 National responses to the priority actions agreed upon in the updated SAP are formulated into national action programs and mainstreamed into national planning and budgetary frameworks</p>	<p>1.4.3-1 Renew the ATS NAP for Indonesia in response to the updated ATS SAP</p> <p>1.4.3-2 Validate the renewed Indonesia NAP through a special session with the NIMC and the national project board. Following validation, the NAP is endorsed by the national project board and NIMC</p> <p>1.4.3-3 Facilitate stakeholder consultations with the NIMC and national and subnational planning authorities, advocating for inclusion of specific actions included in the ATS NAP into national and subnational development planning and budgetary frameworks</p>					<p>All the activities are targeted to implement in 2023.</p> <p>The updating of TDA is ongoing, while updating of SAP is scheduled in the Q4 of 2022, while updating of NAP is scheduled in 2023.</p> <p>Indonesia has conducted a review of the implementation of the existing NAP. Ongoing initiatives are also all contributing to the implementation of the existing NAP.</p>	N/A	<p>- Procuring consultant in reviewing NAP implementation and updating ATS NAP for Indonesia. This activity will be carried out after updating SAP.</p> <p>- Conducting workshops and meeting for NAP updates, and submitting the NAP to NIMC and NPB for endorsement</p> <p>- Conducting stakeholder consultations and socializing the NAP</p> <p>- Including specific NAP objectives/targets in national and subnational planning and budgetary frameworks</p>	<p>While waiting the updated ATS SAP at the regional level, NCU Indonesia still progresses to update Indonesia's NAP.</p>

<b>Outcome 3:</b> <b>Improved management of fisheries and other coastal resources for livelihoods, nutrition and ecosystem health in Indonesia, Timor-Leste, and Papua New Guinea</b>	Number of management plans and appropriate measures implemented for rebuilding or protecting fish stocks including alternative management approaches	<i>(not set or not applicable)</i>	35% of target has been achieved (focused on the development of plans so far; implementation aspect of the plan to be initiated).  ATSEA-2 supported the development and completion of management plan for FMA718; and for specific commodities, the Project also supported the completion of: 1 EAFM on Red Snapper Strategy and Action Plan, 1 EAFM for shrimp, and 1 EAFM for barramundi. In support of development of management plans, the following were undertaken in 2019-2021: a draft EAFM baseline report is available and development of regional EAFM Plan to be completed by end of 2021. At country level, in Indonesia the final EAFM pre-assessments and assessments done, and FIPs (with value chain) for red snapper in Aru, shrimp in Aru, and barramundi in Merauke done. In Timor-Leste, stock assessment and value chain assessment of red snapper done in 4 municipalities done (Viqueque, Lautem, Manatuto and Manufahi) done and undergoing consolidation. For PNG, biophysical and socio-economic characteristics assessments done in PNG ATS areas, and the development of artisanal fishery management plan for South Fly to be initiated in Q3 of 2021.	<i>(not set or not applicable)</i>	<b>5</b>	<ul style="list-style-type: none"> <li>- Supported the development and completion of management plan for FMA718;</li> <li>- EAFM Pre-Assessment on profiling of red snapper in Aru, shrimp in Aru, barramundi in Merauke was carried out, and its socialization and training activities were undertaken (EAFM socialization and training in Aru and Merauke, and Regional E-EAFM training and ToT);</li> <li>- EAFM Red Snapper Strategy and Action Plan was developed, and adopted by MMAF;</li> <li>- Initiated a discussion on establishment of EAFM Learning Center in Papua;</li> <li>- A gender assessment report for Aru with link to fisheries was completed in 2021;</li> <li>- Supported the Launching of Harvest Strategy for Blue Swimming Crab, Snapper, and Grouper and Management Body of Fisheries Management Area in Indonesia and launching of the Fisheries Management Body for The Fisheries Management Areas of Indonesia, known as LPP WPPNRI;</li> <li>- Participation in the Regional-Led EAFM Advisory Forum;</li> <li>- Value chain analysis was conducted:             <ul style="list-style-type: none"> <li>a. FIP red snapper pre-assessment,</li> <li>b. List of potential companies for Barramundi,</li> <li>c. Fish consumption level and value chains assessment based on household survey in Merauke and Aru Regency,</li> <li>d. Fisheries business plan in Merauke and Aru Regencies,</li> <li>e. Initial pre-assessment MSC shrimp;</li> </ul> </li> <li>- In collaboration with DFM, the monitoring guideline as key training material was developed and will implemented by Pokmaswas in Aru, Merauke, and Rote Ndao.</li> </ul>	Moderately Satisfactory	Two management plans developed are: Management Plan of FMA718, and EAFM Red Snapper Strategy and Action Plan. Two plans are still under finalization: <ul style="list-style-type: none"> <li>- 1 EAFM for Shrimp (Pre-Assessment and Assessment with Action Plan)</li> <li>- 1 EAFM for Barramundi (Pre-Assessment and Assessment with Action Plan)</li> </ul> <p>There is implementation progress information of these plans, such as:</p> <ul style="list-style-type: none"> <li>a. - ETP species awareness</li> <li>b. Fisheries resources management</li> <li>c. EAFM implementation</li> </ul> <p>The NCU has successfully conducted many EAFM assessments, including fishes and shrimp stocks in Aru and Merauke, and developed followed-up actions, such as EAFM learning center, launching LPP WPPNRI and harvest strategy.</p> <p>Follow-up actions that should be taken: POKMASWAS's Monitoring Guidelines implementation in Aru, Merauke, and Rote Ndao; and Gender Mainstreaming Guidelines for local stakeholders in Rote Ndao and Aru as part of the Gender Knowledge Transfer process.</p> <p>Fish MSC process of identified three fisheries are also requested to follow-up. Relevant to MSC, STELINA tool will be used by the ATSEA-2 for fish suppliers in understanding traceability and logistics of fishes traded.</p>	Most of the activities will be carried out in 2023. Followed-up actions need to be accelerated to achieve the targets
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Output 2.1.1 Ecosystem approach to fisheries management (EAFM) targeting women and men fishers implemented at the LME level for shared stocks and in area-specific fisheries	<p><b>2.1.1-8.</b> In collaboration with the FMP 718 fisheries management body, the project will facilitate development of a work plan for the EAFM planning steps required for realizing EAFM plans for red snapper and shrimp fisheries in Aru Islands District, Maluku Province and Barramundi in Merauke district, province Papua in additional</p> <p><b>2.1.1-9.</b> In conjunction with Activity 2.1.2-3, carry out profiling of the red snapper, shrimp, and barramundi fisheries</p> <p><b>2.1.1-10.</b> Based upon the results of the fisheries profile, develop the EAFM plan through: (1) identifying and prioritizing issues and goals, through stakeholder consultations; (2) developing objectives, indicators, benchmarks, and monitoring and evaluation tools; and (3) design a set of management measures and outreach programs to implement over the course of the ATSEA-2 project</p> <p><b>2.1.1-11.</b> Facilitate approval of the EAFM plans through provisioning of draft provincial decision (PERDA) to be submitted to the Government of Maluku Province.</p> <p><b>2.1.1-12.</b> Education. Conduct training on EAFM certified by the Agency for Human Resource Development (BPSDM) for at least 20 Fisheries Resource Managers on Demersal and shrimp Fisheries.</p> <p><b>2.1.1-13.</b> Catch Control. Support the newly launched Data and Statistic Improvement Program towards catch-based data at the Directorate of Fisheries Resource Management of MMAF by piloting the implementation of a new method of data collection at targeted villages in Aru and Merauke</p> <p><b>2.1.1-14.</b> (Strengthening Women's Forum for Customary Communities in Aru). Strengthening sustainable fisheries management for improved livelihoods.</p> <p><b>2.1.1-15.</b> Incentives, Marine Turtle Bycatch Release (Aru, Merauke, Tual/Langgur). In collaboration with other interventions, working with fishers to reduce net entanglement and bycatch of marine turtles through improved gear technology and handling practices.</p>	<ul style="list-style-type: none"> <li>- EAFM work plan and strategy for red snapper and shrimp in Aru, and for barramundi in Merauke was completed</li> <li>Completed activities: <ul style="list-style-type: none"> <li>- EAFM Pre-Assessment on Red Snapper and Shrimp in Aru</li> <li>- EAFM Barramundi Pre-Assessment in Merauke</li> <li>- Snapper and Shrimp Fishery Profile in Aru District and Surrounding Areas Indonesia FMA WPP718</li> <li>- Fisheries Profile Report for Barramundi in Merauke</li> <li>- Socialization activities were undertaken and will be planned in support of the aforementioned assessments and profiling</li> <li>- Adoption of EAFM Red Snapper Strategy and Action Plan by MMAF</li> <li>- Socialization activities were undertaken in support of the red snapper action plan</li> <li>- Legal assessment will be carried out in 2023.</li> <li>- IDN representatives participated in the regional E-EAFM trainings in 2021 led by the RPMU</li> <li>- EAFM socialization and training in Aru and Merauke conducted by Unpatti (EAFM Learning Center) and facilitated by TAKA</li> <li>- Process of encouraging Local universities to develop EAFM Learning centers in Papua Province initiated in 2021 by holding audiences at Musamus University (UNMUS) Merauke</li> <li>- Due to the transferring of E-BRPL to BRIN but no PIC for the system, a new fisheries database and data collection will be handled by ATSEA-2 Project.</li> <li>- Aru's gender assessment report was completed and presented in the BBRSE National Webinar and disseminated to stakeholders</li> <li>- Customary women forum assessment and discussions and its training for Rote Ndao were planned June 2022.</li> </ul> </li> </ul>	Moderately Satisfactory	<p>Activity 2.1.1-8 , 2.1.1-9, and 2.1.1-12 was completed but the other have not yet achieved. Some follow-up actions are such as:</p> <ul style="list-style-type: none"> <li>- Development of Learning Center on EAFM Papua, and Center on EAFM Papua, and its action plan</li> <li>- Development of EAFM working group for Aru District and Merauke to monitor and evaluate implementation of EAFM Red Snapper and Shrimp Action Plan</li> <li>- Development of EAFM and FIP policy assessment paper</li> <li>- Discussions on translating EAFM and FIP academic draft of Aru into provincial decision policy (SK, Pergub, Perbup, etc).</li> <li>- Establishment of EAFM Learning Center in Musamus</li> <li>- Strengthening fisheries data collection process in Aru and Merauke district as part of FMA 718 in line with Perikanan tekukur policy</li> <li>- Supporting fisheries data verification and analysis in collaboration with LC EAFM Papua and LPP WPP 718</li> <li>- Develop academic papers to support policy brief for Harvest Strategy in red snapper based on YKAN analysis results</li> <li>- Revitalizing and establishing one (1) Women's customary institution in Doboo including development of workplan and basic budgeting scheme (in Aru)</li> <li>- Building capacities on managerial skill and budgeting for Women's customary institution</li> <li>- Building capacities of local communities; Training for village development and budgeting process for women. Mentoring women cadres on bringing women needs in village development planning process</li> <li>- Facilitating consensus &amp; acceptance of women's role related to marine and coastal natural resources use in Aru</li> </ul>	None (Please refer to the follow-up actions to progress the completion of the on-going activities).
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						<ul style="list-style-type: none"> <li>Awareness building on ETP species was undertaken as part of the EAFM socialization process that have been conducted in Aru District</li> <li>eDNA analysis shows that the existing CITES Species are found in the Kolepom initial Marine Protected Area.</li> </ul>		<ul style="list-style-type: none"> <li>Facilitating women group in fisheries production to get "PIRT certificate" and improve market leverage of products</li> <li>Awareness campaign targeting community in Aru to raise awareness on women's role in marine and fisheries protection management</li> <li>For Aru:               <ul style="list-style-type: none"> <li>Develop awareness strategy and facilitate sea turtle and other ETP species awareness program - linked with FIP, MPA (direct threat to turtles within the MPA), and other ETP species in Aru (shark, cetacean)</li> <li>Facilitate training in Aru on Sea turtle and other ETP species bycatch handling in fisheries, in collaboration with MMAF observers</li> </ul> </li> <li>For Merauke:               <ul style="list-style-type: none"> <li>Develop awareness/campaign strategy for ETP species in Merauke based on bycatch data collected in 2022, result of eDNA analysis, with the aim to improve fisheries compliance</li> </ul> </li> </ul>	

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	Number of targeted communities of fishers have adopted an ecosystem approach to fisheries management	(not set or applicable)	<p>35% of target achieved (this is linked to the development of EAFM plans and FIPs as reported in previous section).</p> <p>Building on the developed EAFM Action Plan for red snapper, shrimp and barramundi, and FIP Action plan for red snapper in Indonesia, adoption of the plans are underway and undergoing socialization in targeted communities. Following the EAFM &amp; FIP action plan is the identification of how many relevant communities (coastal villages, fishermen forum/group, etc) that would need to adopt the approach.</p> <p>Related to previous section, the focus from 2019-2021 was on the conduct of EAFM assessments and profiling and drafting of EAFM plans. EAFM plans at regional level, and other sites (Timor-Leste) are still being developed.</p>	(not set or not applicable)	5	<ul style="list-style-type: none"> <li>- There are two communities adopted EAFM, namely Aru Islands District, Maluku Province for red snapper and shrimp; and Merauke for barramundi;</li> <li>- Stakeholder consultations and socialization were used for final EAFM Assessment, Pre-Assessment, Fisheries Profile for red snapper, shrimp and barramundi;</li> <li>- MSC assessors assessed the EAFM Pre-Assessment on Red Snapper.</li> <li>- Local assessors assessed the EAFM shrimp and barramundi assessment in 2022;</li> <li>- Local universities (Musamus University and University of Patimura) are engaged to develop EAFM Learning Centers and conduct its relevant training;</li> <li>- Recruitment and engagement of a consultant undertaking community development for women's forum in Aru to support fisheries business. TOR is developed;</li> <li>- IDN representatives participated in the regional E-EAFM trainings in 2021 led by the RPMU;</li> </ul>	Moderately Satisfactory	<p>The Project Team provided information regarding targeted communities adopted EAFM.</p> <p><i>However, there is no exact variables or parameters on the degree of EAFM adoption, and most of the activities are concentrated on development, socialization and training related to EAFM.</i></p> <p>Furthermore, adoption of final EAFM Plans in the communities will be targeted for 2022-2023 and socialization process related to EAFM plans in Indonesia still ongoing.</p>	None

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2.1.2 Development of profiles of 3 fisheries in the ATSEA, value-chain analysis and preassessment to move selected fisheries towards certification/eco-labelling	2.1.2.1. Prepare a detailed work plan for the activities under this output, through consultations with relevant regional and national ATIS stakeholders, including members of the SPF and other existing expert and policy related forums.					- Fisheries profile work plan and value chain analysis were developed.	Moderately satisfactory	Activity 2.1.2-1, 2.1.2-2, and 2.1.2-3 were completed and there are still several actions to be followed up:	None (The target is still on track to achieve targets. Some actions were carried to attain the target and please refer to the follow-up actions to progress the completion of the on-going activities)
	2.1.2.2. Conduct Value-Chain Analysis on red snapper, shrimp and barramundi fisheries in ATIS region					- Completed FIP red snapper pre-assessment - Completed Value chain-list of potential companies for Barramundi - Completed Fish Consumption Level and Value Chains Assessment based on Household Survey in Merauke and Aru Regency - Completed Fisheries Business Plan in Merauke and Aru Regencies		a. Development of FIP & EAFM Policy Assessment Papers in Merauke b. Discussions on marine & fisheries institutional aspects in Merauke c. Development of MSC guidance	
	2.1.2.3. Develop Fisheries profile of red snapper and shrimp fisheries in Aru, and of barramundi fishery in Merauke.					- Completed Fisheries Profile for Red Snapper and Shrimp in Aru - Completed Fisheries Profile for Barramundi in Merauke - Policy assessment in Aru and Merauke to support FIP (planned in AWP 2022)		d. Stakeholder consultation related to the EAFM and value chain fisheries assessment in Merauke e. Field test fishing gear using "bottom trammel net"	
	2.1.2.4. Facilitate legal framework at district, provincial and national levels to assure the endorsement by "DG Penguatan Daya Saing Produk Kelautan dan Perikanan" (DG Competitive Strengthening of Marine and Fisheries Products) on action plan for improvement of the three fisheries.					- Discussions on the fisheries assessment result and quota distribution for each commodity in Fisheries Management Plan - Planned to develop the guidance tools in 2022		f. Facilitation MSC training or capacity building of key fisheries stakeholders in Merauke and Aru g. Identification of STELINA needs at district level (Aru & Merauke)	
	2.1.2-5. Develop guidance tools for sustainable fisheries operation of the three fisheries in cooperation with private sector (export companies), including options for sustainable financial mechanisms for achieving and maintaining eventual MSC certification.					- Conducted discussions with MSC; - Training of MSC will be carried out in 2022		h. Socialization of STELINA i. Development of FIP strategy and action plan in Merauke District	
	2.1.2-6. Training of fisheries managers, conservation authorities, non-governmental organizations, and fishermen of shrimp in Aru and barramundi in Merauke using MSC guidelines.					- STELINA database is already and the Project will socialize the STELINA data in Q3 of 2022			
	2.1.2-7. Establish electronic database linking to traceability and trade at district and national levels.					- Completed pre-assessment on red snapper - Completed Initial pre-assessment MSC shrimp			
	2.1.2-8. Facilitate and conduct pre-assessment activities based on the MSC guidelines on red snapper, shrimp fishery in Aru and barramundi fishery in Merauke.								

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	Reduced fishing pressure	<p>• Aru, Indonesia: Approx. 775 registered fishing vessels in Aru operating in the red snapper and shrimp fisheries (combined).</p> <p>• South Fly, PNG: 2 tons per year dried fish maw (bladder) produced.</p>	<p>at the regional level IUU assessment reports related to baseline estimates, policies and regulations, supporting efforts in developing tools for FAO GRI and co-surveillance best practices and lessons learned have been completed in support of RPOA-IUU. At the country level, in Indonesia key findings on fisheries vessels were covered as part of snapper fisheries and shrimp fisheries profiles; several related coordination activities also undertaken. In Timor-Leste, training on IUU fishing vessel identification and methods have been carried out. In PNG, data collection methods on dried fish maw have yet to be conducted.</p>	<i>(not set or not applicable)</i>	<p>• Indonesia: 25% reduction in fleet size within the shrimp and red snapper fisheries.</p> <p>• South Fly, PNG: 1 ton per year dried fish maw (bladder) produced.</p>	<p><b>Key findings:</b></p> <ul style="list-style-type: none"> <li>- Workshop on Building Data Science Capacity for Marine and Fisheries Resources Surveillance and Building Coordination Forum for Fisheries Handling Criminal Actions in Papua; Building data science and surveillance capacity for marine fisheries resources surveillance was conducted;</li> <li>- Papua Governor Decree on Fisheries Crime Forum was signed and its Forum was established;</li> <li>- Finalization of IUU fishing/fisheries loss assessment reports in Aru and Merauke in WPP 718 after field visiting; Benefiting from UU Cipta Kerja to support the ATSEA-2 Project on registered vessels from Indonesian Archipelagic Waters in the Arafura Sea. New initial regulation UU Cipta Kerja mandates all registration of vessels from Transportation Agency must be thru MMAF. Ministry discussions ongoing thus the planned coordination between MMAF and provincial governments is still pending;</li> <li>- In collaboration with the Destructive Fishing Watch (DFW), synchronization process of TDKP registration for small scale fishers in Aru and its training on use of e-logbook for small scale fishers completed in Aru and Merauke;</li> <li>- Finalization of community-based surveillance assessment, PokWasMas, Selection of PokWasMas to support capacity building and planned activities.</li> </ul>	Moderately satisfactory	<p>The Project succeeded to conduct profiling on snapper fishing vessels and shrimp gears but there is no information on registered fishing vessels as a result of the project intervention. Some actions need to follow up:</p> <ol style="list-style-type: none"> <li>1. Follow up profiling assessment for snapper and shrimp vessels and gears, and measure registered fishing vessels, Selection of PokWasMas to provide capacity building and relevant activities for community-based surveillance;</li> <li>2. Endorsement of IUU Fishing Taskforce Decree by Minister of KKP;</li> <li>3. Follow up coordination between provincial governments and MMAF on UU Cipta Kerja mandates on registering vessels from Transportation Agency;</li> <li>5. Finalization of fisheries loss assessment report (beneficial for baseline assessment)</li> <li>6. Quantity of IUU fishing has not yet been determined due to lack of data but the data is mostly from 'unreported'. As a result, development of fisheries database in Maluku and facilitation of e-logbook and vessel registration can generate data.</li> </ol>	Quantitative data on registered fishing must be completely provided for justifications that the target was achieved. In addition, please refer to the follow-up actions to progress the completion of the on-going activities.

Project Strategy	Indicator	Baseline Level	Level in 2 <sup>nd</sup> PIR (self-reported) (2019 to July 2021)	Midterm Target	End-of-project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating	Remaining Barriers
	Improved use of fish gear/techniques	<ul style="list-style-type: none"> <li>Aru, Indonesia: Approx. 775 registered fishing vessels in Aru operating in the shrimp and red snapper fisheries; 775 vessels (&lt;30 GT) which do not have VMS; 1400 vessels using gillnet gear.</li> <li>Merauke, Indonesia: Approx. 500 registered fishing vessels operating in the barramundi fishery in Merauke.</li> <li>South Coast, Timor-Leste: Approx. 150 registered vessels in the south coast municipalities.</li> <li>South Fly, PNG: Approx. 2700 households involved in small-scale fishing</li> </ul>	<p>INDONESIA:</p> <p>&gt;EAFM Plan and FIPs developed (presented in previous sections) are also geared to provide guidance on improved use of fish gears and techniques. From 2019-2021, the key activities focused first on profiling and assessments. Thus, data pertaining to improved use of fish gear/techniques will be reflected in subsequent reporting in line with implementation of EAFM plan and FIPs.</p> <p>TIMOR-LESTE:</p> <p>&gt; Training for Fisheries on IUT Fishing Vessel Identification Method and other surveillance measure and safety at sea conducted for Municipalities of Viqueque, Manufahi and Covalima (Dec. 2020)</p> <p>&gt; MAF is also implementing a program to improve fish gear/techniques (which includes specification of maximum number of people per group per small fishing vessels)</p>	(not applicable)	<ul style="list-style-type: none"> <li>Aru, Indonesia: 50% of vessels within the shrimp and red snapper fisheries using improved gear; 50% vessels using VMS; 25% vessels applying improved gear to reduce turtle bycatch.</li> <li>Merauke, Indonesia: 50% barramundi fishers using improved gear.</li> <li>South Coast, Timor-Leste: 50% vessels within the mackerel fishery using improved gear/techniques.</li> <li>South Fly: PNG: 25% artisanal fishers using improved gear/techniques.</li> </ul>	<ul style="list-style-type: none"> <li>Snapper fisheries profile: 339 active demersal vessels, dropline vessels: 169 boats, longline vessels: 104 boats, and gillnet vessels: 66 boats ;</li> <li>Shrimp fisheries profile: Two common gears in Aru: Gillnet (jaring insang): 1,372 gears; Trammel net (jaring angkat): 142 gears;</li> <li>Coordination with the provincial government of Maluku and Papua on fishing vessel registration under provincial permit (&lt; 30 GT) in Merauke and Aru district;</li> <li>Development, socialization and training related to EAFM and FIP for Indonesia, pertaining on the improved use guidance for fish gears and techniques;</li> <li>Data obtained from the above activities will be used for EAFM plan and FIPs (beneficial for baseline or indicator assessment).</li> </ul>	Moderately Satisfactory	<p>Some activities related to socialization and trainings on the improved use of fish gears were undertaken but there is no information on the number of registered fishing vessels after getting interventions from the Project.</p> <p>That is possibly that the Project has just started to coordinate with the provincial government of Maluku and Papua on registering vessels under 30 GT.</p> <p><i>In addition, according to GEF TT, a target to gauge about 1,400 vessels using gillnet in Aru Island has not yet been reached. The phenomenon is also similar to a target for Merauke Island, intending to measure 50% barramundi fishers using improved gear. The Project has staged assessments to extract data and its analysis that will be expected to complete in June 2022.</i></p>	Quantitative data must be provided on the improved use of fish gear/techniques or registered fishing vessels. Please refer to the follow-up actions to progress the completion of the on-going activities.

<p><b>Output 2.1.3</b> Regional and national actions strengthened in support of the Regional Plan of Action for Responsible Fishing Practices Including Combating IUU Fishing in the Region and the Indonesian Presidential Task Force on Combating Illegal Fishing, through better surveillance, enforcement and monitoring, resulting in a further reduction of IUU fishing in the ATS by 10%, around 150,000 tons</p>	<p>2.1.3-8. Conduct study to estimate IUU fishing (quantitatively - in tons) in FMA 718.</p> <p>2.1.3-9. Conduct assessment of IUU fishing (mostly as unreported) of small-scale fishers (&lt; 30 GT) in Aru, Merauke, Tanimbar, and Rote Ndao with the results feeding into Activity 2.1.3-2.</p> <p>2.1.3-10. Improve Registered Vessels System. In collaboration with MMAF, support the program of "Registered vessels from Indonesian Archipelagic Waters (R-VIA) that has been implemented in the Arafura Sea.</p> <p>2.1.3-11. Community based Surveillance. Coordinate program with RPoA-IUU secretariat in Jakarta to strengthen community-based surveillance (Kelompok Pengawasan Masyarakat - PokWasMas) in Aru and Merauke.</p>	<ul style="list-style-type: none"> <li>- Supported the regional baseline assessment on IUU fishing</li> <li>- Training on building data science capacity for marine fisheries resources surveillance</li> <li>- Drafted a report on fisheries loss assessment and fisheries surveillance gap in WPP 718</li> <li>- Field activities undertaken and draft Report on fisheries loss assessment and fisheries surveillance gap in WPP 718</li> <li>- Supported the ongoing synchronization process/facilitation of TDKP registration for small scale fishers in Aru under provincial permit (&lt; 30 GT)</li> <li>- Training on use of e-logbook for small scale fishers in Aru and Merauke</li> <li>- Workshop on Building Coordinating Forum for Fisheries Handling Criminal Actions in Papua</li> <li>- Established Papua Governor Decree on Fisheries Crime Forum</li> <li>- Completed assessment of community-based surveillance-PokWasMas in Aru archipelago district</li> <li>- Participated in the Fisheries Intelligence Training (on MCS) facilitated at the regional level</li> </ul>	<p>Moderately Unsatisfactory</p>	<p>All activities are still undergoing but data extraction on IUU Fishing is still difficult to obtain (only unreported). Actions to be followed up:</p> <p>a. Develop a simple method to track movement of small vessels in Aru and Merauke</p> <p>b. Develop a small vessel tracking database at the province level (Maluku &amp; Papua), and share/link data to MMAF</p> <p>c. Pilot the use and registration of KUSUKA (Pelaku Usaha Kelautan dan Perikanan)</p> <p>d. Monitor &amp; coordinate with DFW/ on TDKP registration support process in Aru</p> <p>e. Continue TDKP registration support process in Aru once DFW contract ends</p> <p>For Merauke:</p> <p>g. Facilitate regular meeting for member of IUU Fishing (TPP) Forum in Papua</p> <p>h. Facilitate the capacity building on the member from IUU Fishing (TPP) Forum in Papua</p> <p>i. Facilitate capacity building and coordination of Pokmaswas in Merauke</p> <p>For Aru:</p> <p>j. Coordinate with IUU Fishing (TPP) Forum in Maluku Province and identify ATSEA's possible support to their action plan (RAD)</p> <p>k. Facilitate capacity building and coordination of Pokmaswas in Aru</p>	<p>None (Please refer to the follow-up actions to progress the completion of the on-going activities).</p>
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<p><b>Outcome 5:</b></p> <p><b>Reduced marine pollution improves ecosystem health in coastal/ marine hotspots in the Arafura and Timor Seas</b></p>	<p>Strengthened oil spill response systems and capacities</p>	<ul style="list-style-type: none"> <li>Oil and gas development is expanding in the ATS region, but local communities lack awareness and capacity to respond to marine pollution incidents</li> </ul>	<p>20% of target has been achieved.</p> <p>The ATSEA-2 focuses on 2 areas (a) marine debris, and (b) oil spill. To date, at the regional level, the regional assessment on marine and land-based pollution and hotspot analysis has been completed, including the conduct of a Regional Webinar on Marine and Land-based Pollution. At the country level, in Indonesia the Pollution Assessment Report for Rote Ndao has been completed, and a Marine Pollution Task Team in East Nusa Tenggara has been established. In Timor-Leste, the Marine and Land-based Pollution Assessment in South Coast (covering 4 municipalities) has been completed with final validation ongoing. Beach clean-up activities also undertaken combined with awareness building workshops.</p>	<p><i>(not set or not applicable)</i></p>	<ul style="list-style-type: none"> <li>Oil spill response systems and procedures are included in the ICM plans of Rote Ndao in Indonesia and Municipio Manatuto in Timor-Leste</li> </ul>	<p>Assessment on Marine and Land-based Pollution in Rote Ndao was completed and key results were incorporated into the Regional Pollution Assessment report.</p> <p>Establishment of Marine Pollution Task Force Team in 2020 and its Secretariat in East Nusa Tenggara equipped with one-year Action Plan finalized by provincial government; Completed Webinar on the Mitigation and Management of Oil Spill in Timor Sea;</p> <p>Plan to establish a monitoring database, and develop Early Warning System Development and Integrated Reporting System on Marine Pollution in Timor Seas in 2022. In support of building the database, field survey was conducted in the entire southern coast of Rote Ndao. Early Warning System consultancy as part of ICM planning process will commence in 2022;</p> <p>Completed ICM Assessment and Drafting of ICM Concept Framework.</p>	<p>Moderately Satisfactory</p>	<p>The Project succeeded to conduct a Marine and Land-based Pollution and ICM Assessment and developed both Marine Pollution Task Force Team and its Action Plan. The Project also has also staged a capacity building and knowledge management events. However, the Project is suggested to follow up the establishment of monitoring database and Early Warning System Development and Integrated Reporting System on Marine Pollution in Timor Seas.</p> <p>However, there is no information on measured parameters of responses performed by local communities to marine pollution incidents.</p> <p>From the MTR field assessment, there are several key points for considerations:</p> <ul style="list-style-type: none"> <li>- Marine Pollution POKJA has not fully accommodated several institutions who have power and interests, such as Directorate of Custom and Excise, Pelindo, local communities, etc;</li> <li>- The Meetings organized by POKJA is interesting but not all members are present, and similar persons who have knowledge and background in the regards should be engaged continuously;</li> <li>- Local communities still have lack of information related to the oil spill and Action Plan developed.</li> <li>- Besides oil spill, plastics and microplastic are also recommended to add in the indicator;</li> <li>- Regional or multi-lateral regulation for handling, MSC, etc oil spill in the ATS is recommended to develop.</li> </ul>	<p>None</p>
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Project Strategy	Indicator	Baseline Level	Level in 2 <sup>nd</sup> PIR (self-reported) (2019 to July 2021)	Midterm Target	End-of-project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating	Remaining Barriers
2.2.1 Enhanced data and information regarding the sources and sinks of contaminants in the ATS; pollution hotspots identified; appropriate controls of point and non-point sources of pollution initiated oil spill early warning systems and capacities strengthened	2.2.1.5. Undertake a pollution hotspot analysis for the Indonesia portion of the ATS region, with results feeding into the regional assessment under Activity 2.2.1.2					Completed assessment on Marine and Land-based Pollution in Rote Ndao	Moderately Satisfactory	Activity 2.2.1-5 was completed but the remaining activities have not yet been completed. Actions to be taken are: - Build Early Warning System and integrated reporting system on marine pollution in Timor Sea - Develop and socialize of district level oil spill action plan - Facilitate Oil Pollution Action Plan implementation at the village level - Develop and design strategy and material for media campaign & awareness related to marine pollution - Provide assistance for Marine Pollution Working Group secretariat (2022-2023)	None
	2.2.1-6. Using ICM multi-sectoral coordination structures formed under Outcome 2.4, develop a Pollution Prevention and Control Plan as a part of the ICM process in Kabupaten Rote Ndao. This activity will include Stakeholder engagement to determine goals, scope and priorities for action for managing point and non-point source pollution					a. Drafted ICM Concept Framework in Rote Ndao b. Established NTT Marine Pollution Task Force c. Developed Action Plan for NTT Marine Pollution Task Force d. Supported the Early Warning System Development and Integrated Reporting System on Marine Pollution in Timor Seas			
	2.2.1-7. Oil Spill Response and Preparedness Training. Training on oil spill response and preparedness for stakeholders in the district of Kabupaten Rote Ndao. This will include establishing and testing communication links to villages regarding critical information, such as health impacts, whether safe to fish/harvest seaweed, etc., that will need to be communicated in a disaster response situation					Conducted Webinar on the Mitigation and Management of Oil Spill in Timor Sea			

<p><b>Outcome 6:</b></p> <p><b>Coastal and Marine Biodiversity Conserved through Protection of Habitats and Species</b></p>	Protected area management effectiveness score	<ul style="list-style-type: none"> <li>Indonesia: Southeast Aru MPA METT: 39</li> <li>Timor-Leste: NKS NP METT: 24</li> </ul>	<p>NOTE: METT scores to be reported in next PIRs, focus for 2019-2021 was mainly on baseline assessment and profiling.</p> <p>In line with the ATSEA-2 targets on biodiversity conservation, this section covers the following key accomplishments:</p> <p>completion of updated baseline data/profile of key marine ecosystems in ATS and ecosystem valuation; completed MPA Network Design and proposed roadmap for new MPAs; establishment of Kolepom as new MPA in Indonesia, updated draft biodiversity atlas in Indonesia, and support to enhanced management of existing MPA in Maluku.</p> <p>In Timor-Leste, the conduct of stakeholder coordination meeting on the planned establishment of new MPA in Manufahi.</p> <p>Support to existing MPAs have just been initiated and as such, specific reporting on METT improvement in 2 existing MPAs in Indonesia and Timor-Leste is targeted in next PIR reporting</p>	<ul style="list-style-type: none"> <li>Indonesia: Southeast Aru MPA METT: 92</li> <li>Timor-Leste: NKS NP METT: 50</li> </ul>	<ul style="list-style-type: none"> <li>MPA Priority Location Analysis in WPP 718 was developed;</li> <li>Work plan and proposed strategy for development of EAFM plan for red snapper and shrimp in Aru, and for baramundi in Merauke were completed;</li> <li>EAFM Red Snapper Strategy and Action Plan have been adopted by MMAF, and its socialization are carried out;</li> <li>Completed Economic Valuation Assessment for Kolepom;</li> <li>Support to new MPA (Kolepom) with total coverage of 360,268 ha: <ul style="list-style-type: none"> <li>a. METT improvement monitoring to follow once the MPA is fully established,</li> <li>b. Drafting zonation plan,</li> <li>c. Completed E-DNA analysis,</li> <li>d. Dissemination of biodiversity, consumption and fisheries business survey,</li> <li>e. No Take Zone Priority Area Analysis in Kolepom was developed,</li> <li>f. Zonation Taskforce is in place,</li> <li>g. Fisheries consumption and market chain analysis in Aru and Merauke completed and shared,</li> <li>h. Mangrove Economic Valuation report completed,</li> <li>i. Preparation for the Working Group to develop Management Plan of MPA in Kolepom initiated through an FGD in 2021.</li> </ul> </li> <li>Completed marine biodiversity atlas including for Aru, Rote, and Merauke;</li> <li>Online ToT for Aru and Kolepom was conducted in support of field survey on ecosystem and habitat status;</li> <li>Other related initiatives: (a) Assessment on Fisheries Consumption and Business, (b) Gender assessment in Aru;</li> <li>In Rote Ndao, participatory coral reef ecosystem restoration exercise was conducted in 2 villages (Oeseli &amp; Booi);</li> <li>Support to enhancement of the existing MPA management in Aru, Maluku: <ul style="list-style-type: none"> <li>a. MPA management planning training,</li> <li>b. Ecology &amp; socio-economy assessment report for Southeast Aru using the Southeast Aru MPA Monitoring SOP,</li> <li>c. Gender Field Assessment in Aru Archipelago.</li> </ul> </li> </ul>	Moderately Satisfactory	<p>There is no information on METT score for the targeted PA Southeast Aru MPA.</p> <p>However, there is an updated score measured using EKKP3K or EVIKA with a total of 46.21% surpassing the METT score. However, the indicator still stipulates the use of METT as a baseline score. Scientific justifications drafted in a report with approval from RSC, NPB, and known by donors should be staged.</p> <p>In addition, the end-of-project target METT value is too high, and it can be additional consideration for revising the outcome 6.</p> <p>New scoring system will be also introduced, including EKKP3K and EVIKA.). The official use of EVIKA was stated in the Decree of the Director General of Marine Spatial Planning (PRL) No. 28 of 2020.</p>	There is a change in method for assessing MPA management effectiveness and the score for EVIKA.
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Project Strategy	Indicator	Baseline Level	Level in 2 <sup>nd</sup> PIR (self-reported) (2019 to July 2021)	Midterm Target	End-of-project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating	Remaining Barriers
						<p>d. SE Aru MPA METT Score: Baseline score 39, Midterm score- not yet available, The score for EKKP3K-EVKA is 46.21 (qualitative interpretation: minimum management) for SE ARU that is above the METT score, Completed biophysical monitoring of Marine Resources in Aru Tenggara Islands MPA, and its meetings. Results of the Meetings are used as basic data for developing technical ToK for the monitoring program in SAP Aru, Sharing of results of Fisheries consumption and business assessment in BBRSE-KP webinar in 2021,</p> <p>h. Aru Expedition (habitats and biodiversity survey) was undertaken,</p> <p>i. Assessment of coastal ecosystem economic value in Southeast Aru was developed,</p> <p>j. Habitat and ecosystem status of SE Aru Islands Marine Sanctuary was developed,</p> <p>k. Rezonation analysis of SE Aru was conducted,</p> <p>l. Online ToT for Aru and Kolepom was conducted in support of field survey on ecosystem and habitat status, Other related initiatives: (a) Assessment on Fisheries Consumption and Business, (b) Gender assessment in Aru.</p> <p>m.</p>			
Output 2.3.1 Updated information and database on coral, mangrove and seagrass beds in the AITS, supported by ecosystem valuation studies; priority conservation areas	2.3.1-6. Building upon the results of the regional activities listed above and on those of CTI-CFF, work with relevant governmental, NGO and institutional level stakeholders in identifying priority marine and coastal conservation areas					<ul style="list-style-type: none"> <li>- Completed Marine Habitat and Ecosystem Status and Biodiversity Atlas</li> <li>- Completed Assessment of MPA Priority locations in Arafura and Timor Seas</li> <li>- Completed Economic Valuation Assessment for Kolepom</li> <li>- Completed Biophysical Monitoring of Marine Resources in Aru Tenggara Islands MPA</li> <li>- Completed Aru Expedition (habitats and biodiversity survey) In Rote Ndao, participatory coral reef ecosystem restoration exercise was conducted in 2 villages (Osseli &amp; Boa)</li> </ul>	Highly Satisfactory	The Project was completed some activities supporting marine and coastal conservation areas.	None

<p><b>Output 2.3.2 New MPAs designated in Indonesia and Timor-Leste; covering about 645,000 ha in area, including approximately 220,000 ha of mangrove ecosystems; with corresponding management plans prepared and implemented; and regional ATS MPA network designed</b></p>	<p><b>SOUTHEAST ARU MPA</b></p> <p>2.3.2-5. Support the protected area management authority in updating and strengthening the management plan for the Southeast Aru MPA, with the aim of improving management effectiveness. The project will also facilitate the process of approving the management plan by the MMAF.</p> <p>2.3.2-6 Develop an updated financial sustainability plan for the Southeast Aru MPA, based upon in-depth stakeholder consultations and a review of alternative financing options exploring use of Payments for Ecosystem Services (PES), community tourism models and other mechanisms</p> <p>2.3.2-7 Organize a donor workshop, possibly in conjunction with the annual RCC/SPF meeting, with the purpose of securing financing from private sector, the donor community, or other interested stakeholders</p> <p>2.3.2-8. Engage local communities. Support implementation of the financial sustainability and updated management plan, with the focus on participatory integrated approaches engaging local communities, possibly the three villages nearest to the MPA (villages of Apara, Longgar, and Batimun). Tentative implementation activities include: (a) alternative livelihood opportunities, e.g., fish and other marine resource processing within the buffer zone of the MPA, (b) community-led marine debris awareness and clean-up at Enu Island; (c) awareness building of traditional systems for MPA management; (d) and awareness building regarding oil spill preparedness and response.</p> <p>2.3.2-9. Support the protected area management authority in preparing supporting documentation for upgrading the status of the MPA from the current green to blue, under the Indonesian management effectiveness scale.</p> <p>PULAU KOLEPOM MPA (PAPUA)</p> <p>2.3.2-10. Support the Protected Area Management Authority in the establishment of the legal framework, to a national level MPA by expanding the boundaries out to 12 nautical miles from the shoreline for the new MPA in Kolepon, ensuring alignment with EAFM approach for FMP 718 and ICM/marine spatial planning for Kolepon</p> <p>2.3.2-11 Sponsor capacity building for protected management area authority staff as well as provincial and district officials in MPA planning and management</p>	<ul style="list-style-type: none"> <li>- Various meetings on biophysical monitoring/survey of resources in SAP Aru Tenggara with the aim to develop a technical ToR for the monitoring program in SAP Aru</li> <li>- Developed assessment of Coastal Ecosystem Economic Value in Southeast Aru</li> <li>- Completed ecology &amp; socio-economy assessment report for Southeast Aru, included in the Aru Expedition Report and the Biodiversity Atlas.</li> <li>- Conducted online ToT updating on Aru Tenggara and Kolepom MPA</li> <li>- Conducted rezonation analysis of Southeast Aru</li> <li>- Dissemination of the results of Biodiversity, Gender and Fisheries Consumption and Business Assessment for Aru, and sharing of results of Fisheries consumption and business assessment in BBRSE-KP webinar in 2021</li> </ul> <p>Implemented in 2023</p> <p>Implemented in 2023</p> <p>a. Online Training of Trainers (ToT) on the Ecosystem and Habitat Status Data Updating in Saiker Aru Tenggara &amp; Kolepom MPA</p> <p>b. ToT on the customary women forum and Gender transformation for Rote Ndao</p> <p>(a) Assessment on Fisheries Consumption and Business and (b) Gender Assessment in Aru</p> <ul style="list-style-type: none"> <li>- Governor Decree Papua No.188.4/295/2019 was signed and ratified in December 2020 establishing Kolepom Island as new MPA covering 353,287 Ha</li> <li>- Regional Secretary of Papua, also signed appointment Decree No.</li> </ul>	<p>Moderately Satisfactory</p>	<ul style="list-style-type: none"> <li>Activity 2.3.2-12 was completed and the remaining activities under this output is ongoing. Actions need to be taken: <ul style="list-style-type: none"> <li>o Facilitate capacity building and coordination of Pokwasmas in Aru</li> <li>o Explore the possibility &amp; feasibility to develop UAV/Drone-based monitoring system in Aru MPA</li> <li>o Review and update the financial sustainability plan for SE Aru MPA</li> <li>o Conduct donor workshop on the financial sustainability plan</li> <li>o Develop alternative livelihood to reduce direct use of marine resources</li> <li>o Facilitate women group in fisheries production to get "PIRT certificate" and market leverage of product</li> <li>o Strengthen Sasi governance within Aru MPA as a form of sustainable traditional marine resource governance</li> <li>o Facilitate monitoring in SAP ARU based on SATKER and Dobo monitoring and outreach plan</li> <li>o Facilitate process to improve EVIKA score</li> <li>o Facilitate integration on EAFM action plan activities to support MPA initiation in Kolepom island</li> <li>o Conduct consultation to ensure alignment of MPA Zonation &amp; Management Plan with RPP WPP 718, Perikanan Terukur policy, RZW2P3K Papua, RTRW, Kab. Merauke, and results of Merauke EAFM assessment</li> <li>o Finalize Zonation &amp; Management Plan</li> <li>o Facilitate public consultation for Kolepom MPA establishment, encouraging women's leadership and participation in decision making processes</li> <li>o Facilitate awareness and the capacity building on benefits of MPA establishment to local</li> </ul> </li> </ul>	<p>None (Please refer to the follow-up actions to progress the completion of the on-going activities).</p>
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Project Strategy	Indicator	Baseline Level	Level in 2 <sup>nd</sup> PIR (self-reported) (2019 to July 2021)	Midterm Target	End-of-project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating	Remaining Barriers
						<p>&gt; Engagement of media done as part of press and stakeholder socialization event in Merauke to introduce ATSEA-2 and its initiatives in 2021</p> <p>a) Draft MPA documents including zonation recommendations for Kolepom presented at online pre-workshop FGDs</p> <p>b) Preparation for the Working Group to develop Management Plan of MPA in Kolepom initiated through an FGD in 2021; process will continue to 2022</p> <p>Targeted in 2023</p> <p>Not feasible to do</p> <p>Targeted in 2023</p>		communities in the roll out of the plans	
<b>Output 2.3.3</b> <b>Endangered marine turtles protected through an agreed regional action plan</b>	<p>2.3.3-5 Implementation of the Regional Action Plan through undertaking national activities funded by each country, as identified in national turtle recovery plan</p> <p>2.3.3-6 Feasibility study to explore alternate livelihood tourism opportunities for communities in Aru Islands, Rote, and Merauke and possibly other sites based around turtles</p> <p>2.3.3-7 Pilot project in Indonesia for establishing tourism opportunities subject to outcomes from Feasibility Study. This project will focus on reducing direct illegal harvesting of marine turtles, marine turtle eggs and dugongs. Partner with projects under way to reduce bycatch of turtles. In collaboration with the EAFM efforts under Outcome 2.1, activities will include support for trials of bycatch reduction devices, capacity and awareness building with fishers and improving regulations and compliance</p>				<p>- Development of the new Turtle NPOA for Indonesia by MIMAF. Piloting of the NPOA is in Aru MPA.</p> <p>- The assessment of alternative livelihood in Rote Ndao is already available and ongoing process to support production of soap from seaweed</p> <p>- Not feasible to apply</p>	<p>Targeted in 2023</p> <p>Targeted in 2023</p> <p>Targeted in 2023</p>	<p>Modestly Unsatisfactory</p>	<p>All the activities are ongoing to implement. However, activity 2.3.3-7 is not feasible to do.</p>	<p>None (Alternative activities must be carried out soon.)</p>

<p><b>Outcome 7:</b>  <b>Integrated Coastal Management, incorporating climate change adaptation considerations, implemented at the local level towards more sustainable use and conservation of ecosystem goods and services</b></p>	<p>Adoption and implementation of ICM plans and reforms to protect coastal zones in LMEs – Number of beneficiary countries adopting and applying ICM within ATS region</p>	<p>• No coastal areas are currently under ICM; Timor-Leste is currently preparing ICM plans with support of PEMSEA</p>	<p>ICM initiatives in both Indonesia and Timor-Leste have been initiated. In particular, in Indonesia an ICM kick off meeting in Rote Ndao has been conducted; and a related effort is the establishment of Marine Pollution Task Force in East Nusa Tenggara. In Timor-Leste, the ICM Sub Task Team in PA Barique has been established and ongoing assessment is being undertaken for the development of the ICM Plan.</p>	<p><i>(not set or not applicable)</i></p>	<p><b>2</b></p>	<ul style="list-style-type: none"> <li>- To support the Rote Ndao's ICM, the Marine Pollution Task Force was established accompanying with a 3-year Action Plan for management of marine pollution. The Action Plan will be finalized by Reef Check Indonesia Foundation in Q2 of 2022.</li> <li>- The Action Plan covers 6 targets (strengthening data information; reporting mechanisms; increase capacity; increase community participation; strengthen regulation in East Nusa Tenggara; and to help facilitate networking and sharing of information and efforts on marine pollution).</li> <li>- ICM Kick-off meetings were conducted on-site and online. The meetings collaborated with the Reef Check Indonesia Foundation, FAO livelihood project, and BKKPN Kupang; BKKPN has planned to establish an office in Rote Ndao, supporting and synergizing programs and resources;</li> <li>- Ecological &amp; socio-economic assessments as well as gender assessment related to ICM concept development for Rote Ndao was conducted;</li> <li>- The ICM Policy Framework has not yet finalized with 4 potential pilot sites.</li> <li>- Related to climate change, the Project made an initiative in Rote Ndao on participatory coral reef ecosystem restoration exercise, involving 109 participants;</li> <li>- Development and finalization of Eba Framework aligned with ICM;</li> <li>- Planting tree activities supporting riverbank stabilization and spring water conservation in Manufahi and Manututo;</li> <li>- Gender assessment result for Rote Ndao was completed and was shared at the BBRSE national webinar.</li> </ul>	<p>Moderately satisfactory</p>	<p>The ICM Plans and Policy Framework have not yet been applied, and are still under finalization. However, several documents were made to support the development of ICM.</p> <p>There are follow-up that can be taken into account:</p> <ol style="list-style-type: none"> <li>1. The ICM Action Plan needs to be finalised by the Reef Check Indonesia Foundation. Once adopted, key sustainable initiatives need to be taken.</li> <li>2. The establishment of ICM office in Kupang, and it needs to follow up with BKKPN Kupang.</li> <li>3. Dissemination and follow-up actions for ecological, socio-economic, and gender assessment for the Rote Ndao's ICM concept development.</li> <li>4. However, several activities in the field as a part of the Action Plans have been executed, such as piloting a business, mangrove and coral reef conservation, etc. before the finalization and adoption of the ICM Action Plan.</li> <li>5. The commitment and voluntary efforts from local communities are still low, and they still look for financial support and direct economy benefits.</li> <li>6. The communities are also observed to still not understand the objectives or issues tackled.</li> <li>7. Lack of children and young people in the activities conducted and should propose them in the Action Plan.</li> <li>8. Destructive actions to turtle and environment by local communities are still found (cutting trees, killing turtles, litterings).</li> <li>9. The ICM Policy Framework that has not yet finalised.</li> <li>10. Finalization of ICM-based Eba in Rote Ndao.</li> </ol>	<p>None</p>
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<b>Output 2.4.1</b> <b>Integrated coastal management plans (ICM) that support SAP/NAP implementation developed and implemented through formulation and enactment of local regulations</b>	<p>2.4.1-1. Prepare a detailed work plan for the activities under this output, through consultations with relevant stakeholders, including members of the SPF and other existing expert and policy related forums, such as the existing Rote Ndao cross-sectoral committee.</p> <p>2.4.1-2. Undertake a gap analysis to understand what baseline assessment information exists and undertake a study to integrate the management of coastal management in marine spatial planning. This will complement the existing Marine Spatial Planning zoning map prepared by TNC under the "Planning for Sustainable Use: Developing coastal and marine spatial plan to inform investment plan and sustainable use of marine resources that benefits people and biodiversity in south coast area of Rote Ndao.</p> <p>2.4.1-3. Carry out a climate change vulnerability assessment for the target areas within Kabupaten Rote Ndao. This could include downscaling information available in a province level vulnerability assessment sponsored by the Ministry of Environment and Forestry.</p> <p>2.4.1-4. Preparation and adoption of an integrated management plan for the south coast of Rote Ndao. The project will work with provincial and district officials to identify a cluster of villages/communities or implementation of the pilot ICM activities.</p> <p>2.4.1-5. Improved Access to the Market for Women-Run Seaweed Growing and/or Processing Enterprises. Establishing and strengthening alternative resilient livelihoods.</p> <p>2.4.1-6. Business and Financial Management Training for Women-Run Home-Based Small Business Activities. Establishing and strengthening alternative resilient livelihoods.</p>	<ul style="list-style-type: none"> <li>- The Task Force Action Plan was developed with a 3-year period covering 6 targets (strengthening data information; strengthening information reporting mechanisms; increase capacity; increase community participation; strengthen regulation in East Nusa Tenggara; and to help facilitate networking and sharing of information and efforts on marine pollution)</li> <li>- Conducted ecological &amp; socio-economic assessments related to ICM concept development for Rote Ndao</li> <li>- Gender assessment result was completed for Rote Ndao and shared at the BBRSE national webinar.</li> <li>- N/A</li> <li>- Kick off meeting on ICM activities was conducted</li> <li>- ICM Policy framework was finalized with 4 potential pilot sites</li> <li>- Collaboration and training on seaweed has not yet been carried out, but supporting studies such as the socio-economic assessment related to ICM concept development and gender assessment was conducted.</li> <li>- Gender assessment in Rote Ndao was completed) and socio-economic assessments related to ICM concept development is ongoing</li> </ul>	Moderately Satisfactory	<p>All the activities are still ongoing but there are follow-up actions to be done:</p> <ol style="list-style-type: none"> <li>1) Facilitate ICM Action Plan adoption at Rote Ndao District level,</li> <li>2) Strengthen/conduct capacity building for partners or local government at the district level,</li> <li>3) Coordinate with NTT provincial government to build capacity and improve climate resilience</li> <li>4) Link the provincial education on natural disaster early warning system program to Rote Ndao coastal communities</li> <li>5) Raise awareness of climate change vulnerability, impact, and mitigation effort to the local stakeholder in Rote Ndao</li> <li>6) Develop an ICM Policy Framework in Rote Ndao</li> <li>7) Assist and facilitate in village development planning and budgeting (Perdes, RKPDs, APBDs, and local management system/hoholok)</li> <li>8) Develop Academic Paper to support ICM and Eba policy development at Rote Ndao district</li> <li>9) Facilitate collaboration of seaweed farmer groups with Seaweed association or seaweed industry to strengthen quality control and access market for Seaweed</li> <li>10) Identify gap assessment for seaweed quality, potential product diversity and market access in South Coastal Rote Ndao</li> <li>11) Improve product quality using several drying methods</li> <li>12) Facilitate training on responsible seaweed aquaculture based on existing best practice to support better environment seaweed farming and supply chain practices</li> </ol>	None
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								13) Assist with business analysis and develop market link for seaweed product from Rote Ndao 14) Facilitate business and financial Management Training and empowerment to Women-Run Home-Based Small Business Activities in selected area	

Number of women and men supported with alternative livelihoods that contribute to improved management of natural resources and increased resilience of their local communities with respect to the impacts of climate change	(not set or applicable)	This target is also linked with the above target on ICM. Part of ICM Plan (once completed and adopted) is the conduct of key sustainable initiatives. Initiatives related to alternative livelihoods have just started as provided below, and as such number of men and women supported will be part of subsequent PIR reporting in line with the roll-out of ICM plan and livelihood activities.	(not set or not applicable)	<ul style="list-style-type: none"> <li>Total: 850 women and 650 men</li> </ul>	<p>To support local communities' livelihood in Nusa Manuk island, Rote Barat Daya Sub-district, Rote Ndao:</p> <ul style="list-style-type: none"> <li>- A preliminary survey on the status of the solar-powered water desalination in Nusa Manuk island in Rote Barat Daya sub-district was conducted and found that desalination units were broken since 2013. Initial discussions conducted with Dinas PU to secure more data about the units;</li> <li>- Assessment of alternative livelihood in Rote Ndao (soap from seaweed), Atu, and Merauke;</li> <li>- A technical training for maintenance and repairing of the existing solar-powered desalination unit was targeted;</li> <li>- Coordination with the Fisheries Department of Rote Ndao is required to map the distribution of the solar powered water desalination facilities in the area, to collect latest data on these equipments' current condition and functionality, and to identify a partner to support the program;</li> <li>- Gender Assessment in Rote Ndao was completed, highlighting the situation and needs of women in fisheries sector;</li> <li>- Development of EbA framework was initiated in 2021 and is being aligned with ICM concept in Rote Ndao.</li> </ul>	Moderately Satisfactory	<p>There are key issues need to be followed up:</p> <ol style="list-style-type: none"> <li>Solar-powered water desalination status and further actions to do (Ground check to be conducted in 2022, if plants are not feasible to be repaired easily, NCU will recommend to drop the target);</li> <li>Collaborating with similar program-having NGOs, especially ICCTF program of YAPEKA;</li> <li>Looking for a sustainable finance mechanism from partners to support the local communities' pro-climate livelihood (local business or nature based business solutions);</li> <li>Actions for actualizing the gender assessment report in Rote-Ndao.</li> </ol> <p>From MTR field assessment:</p> <ul style="list-style-type: none"> <li>- There is a seaweed soap business but they are not well-equipped with finance, safety tools, and training (one time from ATSEA-2).</li> <li>- The housewives participated in the business is decreased because of they did not feel direct beneficiaries.</li> <li>- Coral reef restoration has been found working but the spot for rehabilitation is incorrect due to local communities or village interventions/power;</li> <li>- Mangrove protection, coral reef conservation, and nature-based business are needed much infrastructure or facilities and finance to support their sustainability.</li> <li>- Local communities are still lack of understanding about climate change, marine litters, and turtles conservation.</li> <li>- Ecotourism development in Rote Ndao is possible with capacities and infrastructures support.</li> <li>- In piloting project or business for communities, they need a comprehensive activity</li> </ul>	None (Please refer to the follow-up actions to progress the completion of the on-going activities).
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Project Strategy	Indicator	Baseline Level	Level in 2 <sup>nd</sup> PIR (self-reported) (2019 to July 2021)	Midterm Target	End-of-project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating	Remaining Barriers
<b>Output: 2.4.3 Climate Change adaptation, with a particular focus on ecosystem-based adaptation, incorporated in ICM plans and demonstrations implemented for two at-risk coastal sites in Indonesia</b>	2.4.3-1. Develop Eba key priorities and activities, and support local government unit stakeholders in integrating these activities into the ICM plan.					Development of Eba framework initiated in 2021 and is being aligned with ICM concept in Rote Ndao; Development and finalization of Eba framework will continue in 2022 Implemented in Q3 of 2022	Moderately Satisfactory	All the activities are still ongoing and there are some activities that need to be followed up:	None (Please refer to the follow-up actions to progress the completion of the on-going activities. The continuity. There are several problems appearing, such as plastic debris, turtles killing, forest degradation, etc done by local communities.)
	2.4.3-2. Capacity building of scientists and policymakers in ecosystem based approach to adaptation. This will include knowledge exchange of good practices and experience in ecosystem-based adaptation at technical and policy levels.  2.4.3-3. Eba measures implemented in select communities in Kabupaten Rote Ndao, including implementing good practices for mangrove and other coastal vegetation restoration together with local communities.  2.4.3-4. Technical Training for Maintenance and Repair of the Solar-powered Water Desalination Units. Establishing alternative resilient livelihoods and strengthening climate change adaptive capacity within the larger aim of integrated					In Rote Ndao, participatory coral reef ecosystem restoration exercise was conducted in 2 villages  The desalination was damaged and could not possible to repair.		1. Facilitate socialization on EBA approach to climate adaptation assessment in Rote Ndao  2. Facilitate capacity building/training on Eba approach to climate adaptation for local scientists and policy makers in NTT & Rote Ndao level  3. Conduct community awareness with households with particular engagement of youth and women on the importance of coastal ecosystems to foster a sense of stewardship  4. Provide alternatives for SWRA activity  5. Conduct training of community members in ecosystem restoration and related livelihoods  6. Support implementation of ecosystem restoration process  7. Facilitate Training to community group for monitor and care for the ecosystem  8. Support Eba measures implemented in select communities in Kabupaten Rote Ndao	

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<b>Outcome 1: Regional and national mechanisms for cooperation in place and operational</b>	Indicator: Regional governance mechanism	Informal cooperation under ATSEF, and conceptualization of ATS governance mechanism outlined in Ministerial Declaration	The regional governance mechanism assessment has been completed and will undergo further country consultations in 2021 as part of consensus building process on most viable regional mechanism for ATS region. In relation to this, the Stakeholder Partnership Forum (SPF) draft TOR and Guidelines have also been completed and will also undergo further country consultations (Q3-Q4 of 2021); identification of SPF members at country level have also been initiated. Formal SPF is expected to convene before end of 2021.	<i>(not set or not applicable)</i>	Regional governance mechanism established and functioning with at least 2 of 4 countries contributing dues	<p>Relevant activities that were/have been conducted are:</p> <ul style="list-style-type: none"> <li>- SPF conceptual model for WPP718 was developed;</li> <li>- SPF Financial Aspect and Members Responsibility Assessment was completed;</li> <li>- SPF Legal Framework Assessment was completed;</li> <li>- Various FGDs related to SPF conducted involving relevant ministries and stakeholders (including meeting of former ATSEF members in Indonesia in March 2020 and FGD on SPF in June 2021);</li> <li>- LPP WPP 718 (FKPPS is no longer exist) was established and has operationalized since 2020;</li> <li>- In support of the development of Fisheries Management Plan for FMA 718 and establishment of Fisheries Management Body, ATSEA-2 (thru NCU) provided experts and facilitated technical meetings since 2019;</li> <li>- Inputs/support were provided to the development of Fisheries Management Plan for FMA 718, establishment of Fisheries Management Body LPP WPP 718, and updating of its operational guidelines</li> <li>- ATSEA-2 is officially part of the WPP 718 partnership working group in Maluku, and has participated in National Commission Meetings and working group meetings;</li> <li>- ATSEA-2 is part of the launching of Harvest Strategy for Blue Swimming Crab, Snapper, and Grouper, and launching of the Fisheries Management Body in 2020.</li> </ul>	Moderately satisfactory	<p><i>Referring to adopted workplan for Indonesia's NCU, key activities to achieve outputs for regional governance mechanism (RGM) such as developed SPF conceptual model, financial aspect, member responsibility assessment, and legal framework assessment were completed. Consultations for the RGM establishment is on-going.</i></p> <p>The Indonesia's NCU has worked actively also to support the development of FMA 718, LPP WPP 718, SFP member of Maluku LPP WPP 718, and the launching of Harvest Strategy for Blue Swimming Crab, Snapper, and Grouper, and the launching of the Fisheries Management Body in 2020.</p> <p>However, as refer to the baseline indicator, One Ministerial Declaration was made in 2014 where ATS countries agreed to establish an RGM including an RCC, Regional Secretariat and SPF.</p> <p>A new Ministerial Declaration is targeted to be signed before the end of the project in 2024 where the specific RGM arrangements (resulting from the current national and regional consultations) will be adopted.</p>	None

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Output 1.1.2 Improved stakeholder participation at the regional and national levels through the establishment of a Stakeholder Partnership Forum for the implementation of the SAP and NAPs with representation of local people and women's groups	1.1.2-4. Identify and agree on the national representation on the SPF and their roles.  1.1.2-5. Through participation of the national coordinator, advocate for synergies between the NIMC and other bodies addressing regional cooperation, CTI-CFF, RPoA-IUU, etc.  1.1.2-6. Conduct an annual meeting of relevant stakeholders including the FKPPS (Forum Coordination for Fisheries Resource Utilization Management)					<p>4. SPF Conceptual Model, Financial Aspect and Members Responsibility Assessment, and Legal Framework Assessment for WPP718 was developed</p> <p>5. Various SPF FGDs in 2020 and 2021 were performed with the aim to provide inputs to SPF establishment</p> <p>6. SPF roles were discussed as a part of RGM and SPF consultations</p> <p>Not yet established NIMCs but conducted engagement of relevant stakeholders on NIMC conceptual model development</p> <ul style="list-style-type: none"> <li>- FKPPS (no exist) à LPP WPP 718</li> <li>- Launched 1) Harvest Strategy for Blue Swimming Crab, Snapper, and Grouper; and 2) Management Body of Fisheries Management Area in Indonesia</li> <li>- Provided inputs and meetings on the Fisheries Management Plan for WPP 718; and Operational Guidelines of the WPPNRI LPP ATSEA-2</li> <li>- Supported the enhancement of LPP WPPNRI 718, including meetings, partnership on Maluku working group, and technical and scientific meetings (EAFM, FIP, IUUF)</li> <li>- LPP WPP 718 was established/operationalized in 2020,</li> <li>- Supported by experts and meetings: 1) Fisheries Management Plan development for FMA 718, and 2) Fisheries Management Body establishment</li> <li>- ATSEA-2 is officially a part of the WPP 718 partnership working group in Maluku, and participates in National Commission Meetings and working group meetings</li> </ul>	Moderately Satisfactory	<p>Activity 1.1.2-4, 1.1.2-6, and 1.1.2-7 was ongoing but activity 1.1.2-5 was delayed but the PMT has endeavored to achieve the target (NIMC establishment).</p> <p>Actions to be taken:</p> <ul style="list-style-type: none"> <li>a. Finalisation of SPF legal draft with Biro Hukum KKP,</li> <li>b. Engagement of identified stakeholders in SPF activities/meetings,</li> <li>c. Facilitation of SPF on NAP implementation</li> <li>d. NIMC establishment</li> <li>e. Discussion on NAP implementation, collaborative action plans, and knowledge exchanges with stakeholders and NIMCs</li> <li>f. Regular coordination on NAP implementation with LPP WPP 718 and synchronization of ATSEA prog with Perikanan Terukur Policy in WPP 718.</li> <li>g. Continuous support LLP National Commission Meetings and working group meetings</li> </ul>	None
	1.1.2-7. Support the establishment of a fisheries management body according to the model proposed in FMP 718.								

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	National Inter-Ministerial Committees (NIMCs)	NIMCs loosely formed, with no clear mandate for ATS priority concerns	40% of the target has been achieved (2 out of 3 NIMCs established) and legalization/formalization ongoing.  NIMCs established in Timor-Leste and Papua New Guinea. While NIMC institutional mapping and assessment, and FGD for NIMC establishment in Indonesia has been conducted, formal adoption of NIMC in Indonesia targeted within 2021.	<i>(not set or not applicable)</i>	NIMCs established, functioning and legal formalized thru institutional and/or arrangements in each of the three beneficiary countries	<p>Activities undertaken are:</p> <ul style="list-style-type: none"> <li>- NIMC institutional mapping and assessment were completed;</li> <li>- Conceptual model for IDN's NIMC were developed and consulted with key agencies relevant to NAP and legal framework for the formalization of the NIMC;</li> <li>- TOR for NIMC Indonesia as a part of the conceptual model was developed and submitted to MMAF;</li> <li>- Pending in the adoption of NIMC structure and roles;</li> <li>- Adoption of NPB TOR, followed with National Project Board (NPB) Meetings for annual project progress and work plan;</li> <li>- Annual NPB meeting conducted since 2019;</li> <li>- NPB was established since 2020 to review progress and review and approve IDN component budget and work plans;</li> <li>- Coordination with relevant entities with regard to FMA/FMP 718 is continued;</li> </ul> <p>Various relevant stakeholders (national and local) were engaged mostly in consultations related to RGM and SPF, SAP Stocktaking, EAFM, FIP, MPA establishment, GESI survey, etc.</p>	Moderately Unsatisfactory	<p>The Indonesia NIMC has not yet established (delayed) but several supporting elements for the establishment have been developed, such as NPB TOR, NIMC TOR, legalization framework, and conceptual model.</p> <p><i>That is presumably because there is an ongoing transition from BRSDM to BRIN, wherein hosting of MMAF within MMAF is also being discussed.</i></p> <p>Follow-up action: The planned NIMC Legality Coordination Meeting will take place in Q3 of 2022.</p>	NIMC Indonesia has not yet been established.

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Output 1.1.3 Improved inter-sectoral coordination at the national and local levels in support of the implementation of integrated approaches to NRM, water resources, biodiversity conservation and climate change adaptation, through national inter-ministry committees (NIMCs) in Indonesia, Timor-Leste, and Papua New Guinea	1.1.3-2. Conduct an institutional assessment of relevant inter-ministerial agencies and subnational counterparts that would be involved in the NIMC, in line with recent institutional restructurings, and including similar existing frameworks such as CTI, PEMSEA, etc.					NIMC institutional mapping, conceptual model, and legal framework was developed with input from various FGDs under key agencies relevant to NAP implementation  Proposed TOR for NIMC was a part of the SPF conceptual model  Delayed establishment of NIMC due to the governmental transition. The NIMC Legality Coordination Meeting will take place in Q3 of 2022.  <ul style="list-style-type: none"> <li>Coordination with relevant entities for FMA/FMP 718.</li> <li>Consultations with national and local stakeholders related to RGM and SPF, SAP Stocktaking, EAFM, FIP, MPA establishment, GESI survey, etc.</li> </ul>	Moderately Satisfactory	Activity 1.1.3-2, 1.1.3-3, and 1.1.3-5 was completed but activity 1.1.3-4 was not completed due to delayed NIMC establishment.  Actions to be followed up: a. Finalization of NIMC legal draft b. Facilitation annual NIMC meetings c. Continuous NPB annual meeting d. Continuous discussions with various relevant entities (i.e., CTI-CFF, RPOA-IUU) for NAP implementation	None (Please refer to the follow-up actions to progress the completion of the on-going activities).
Output 1.1.4 Financial mechanisms in place to support the implementation of the SAP and NAPs and the replication and upscaling of projects	1.1.4-4 Develop a 5-year cost estimate and financing plan for implementation of the NAP following its completion. The financing plan will include estimated contributions from national and subnational budgets; identification of financing gaps; and an outline of alternative financing opportunities through public-private partnerships, donor funding and other arrangements					This activity is targeted to execute in 2023	N/A	This activity is expected to be achieved in 2023. Action to follow up is to develop a 5-year financial estimate and plan after the updating of the SAP and NAP in 2023.	None

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<p><b>Outcome 2:</b> Strengthened institutional and human resource capacity towards integrated approaches in natural resource management and biodiversity conservation</p> <p><b>Output 1.2.1</b> Harmonization of national and local policy in Indonesia, Timor-Leste, and Papua New Guinea to strengthen the regulatory and institutional frameworks in support of SAP/NAP implementation and linkages to NBSAPs through support to national inter-ministerial committees</p>	Indicator: Number of local regulations issued to support implementation of NAP that reflect regional harmonization of national and subnational policies	Priority actions in the NAPs are not mainstreamed in national and local policy and programming frameworks	<p>35% of target has been achieved.</p> <p>At regional level political economy of regionalism assessment completed, and gender equity and social inclusion initiatives and learning activities conducted. At the country level, policy assessments were carried out in Indonesia and PNG in relation mainly to fisheries and biodiversity, while assessment is scheduled in Timor-Leste in 2021. On local regulations, in Indonesia the Governor decree on establishment of new MPA in Kolepom ratified, and legalization of Marine Pollution Task Force in NTT underway. In Timor-Leste, an Official Order issued by the Municipal Administrator of Manututo Municipality formally launched the ICM Sub Task Team in PA Barique.</p>	(not set or not applicable)	<ul style="list-style-type: none"> <li>Indonesia: <ul style="list-style-type: none"> <li>Draft of three local regulations (PERDA) developed and submitted to the provincial government to support implementation of NAP</li> </ul> </li> <li>Timor-Leste: Two local regulations issued to support implementation of NAP</li> <li>Papua New Guinea: <ul style="list-style-type: none"> <li>District Sustainable Marine Resource Plan for South Fly District approved</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Development of local policies: <ul style="list-style-type: none"> <li>SK Gubernur Papua (No. 188.4/295/2019) about Initiation on MPA Kolepom establishment;</li> <li>SK Gubernur Papua (No. 188.4/21536/SET) about working group for MPA Kolepom Zonation Plan;</li> <li>SK Gubernur Papua (No. 188.4/228/2020) about establishment of the Fishery Crime Forum;</li> <li>SK Gubernur NTT (No.260/2021) about Marine Pollution Task Force in NTT;</li> <li>Institutional mapping in support of NIMC completed and covered regulation assessment that support the institutional framework relevant to SAP and NAP implementation;</li> <li>Some aspects of policies and regulation assessment were included in the NIMC institutional policy and mapping document, but academic papers are targeted to be developed in 2022; (a) harvest strategy policy brief, (b) ICM and Eba policy development in Rote Ndao, and (c) FIP and EAFM Policy assessment papers in Merauke;</li> <li>Biodiversity and EAFM assessment was conducted and also included policy aspects;</li> <li>Several FGDs and workshops conducted in support of: SPF concept and legal framework, - NIMCs concept and legal draft, three decrees implementation, RGM concept, ICM assessment, and NAP work plan development.</li> </ul> </li> </ul>	Satisfactory	<p>Local policies were developed to support NAPs and SAP. <i>The endorsement of decrees, especially SK Gubernur on MPA, by Minister of KKP needs to be followed up.</i></p> <p>Academic papers are also needed to follow up, including (a) harvest strategy policy brief, (b) ICM and Eba policy development in Rote Ndao, and (c) FIP and EAFM Policy assessment papers in Merauke.</p>	None

Project Strategy	Indicator	Baseline Level	Level in 2 <sup>nd</sup> PIR (self-reported) (2019 to July 2021)	Midterm Target	End-of-project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating	Remaining Barriers
	1.2.1-2. Conduct an assessment of national and subnational policies and regulations related to fisheries and biodiversity conservation and climate change adaptation, with emphasis towards identifying inadequacies and opportunities for strengthening provisions in support of integrated approaches, such as EAFM, Eba, etc., taking into account the regional context of the LME approach.					<ul style="list-style-type: none"> <li>• Policies and regulation assessment was included in NIMC institutional policy and mapping document but academic papers have not yet developed to support (a) harvest strategy policy brief, (b) ICM and Eba policy development in Rote Ndao, and (c) FIP and EAFM Policy assessment papers in Merauke</li> <li>• EAFM and biodiversity assessments were conducted and included to policy aspects</li> <li>• Support the issuance of 1) NTT Governor's Decree on Marine Pollution Task Force establishment, and 2) Papua Governor's Decree on IUU Fishing Forum/ Fisheries Crime Forum.</li> <li>• Several FGDs and workshops were conducted in support of: 1) SPF concept and legal framework, 2) NIMC's concept and legal draft, 3) Kolepom's Management and Zonation Plan, 4) NTT Marine Pollution Task Force's Action Plan, 5) RGM Concept, 6) ICM Assessment, 6) NAP Work Plan development.</li> </ul>	Moderately Satisfactory	Some assessments on biodiversity, EAFM, and their policies were included in NIMC institutional policy and mapping documents. However, academic papers have not yet been provided to support ICM and Eba policy development in Rote Ndao, and EAFM and FIP policy papers in Merauke	None
	1.2.1-3. Based upon the regional and national assessments, in Activities 1.2.1-1 and 1.2.1-2, respectively, facilitate expert discussion on integrating enabling policies and incentives into national and provincial regulatory and development frameworks, in particular Act No. 23/2014 on Regional Governance, in order to advance the priority actions of the NAP.							In addition, there are some actions to be followed up: <ol style="list-style-type: none"> <li>a. Development of provincial fisheries database platform linked with Perikanan Terukur policy</li> <li>b. Continuous coordination for Fisheries Management Plan development, and integrating enabling regulation or policy for MPA in Kolepom, ICM in Rote Ndao, Marine Pollution Task Force in NTT, EAFM and FIP in Aru and Merauke</li> </ol>	None

	Indicator: Knowledge transferred from capacitated trainers resource beneficiaries	Limited knowledge on integrated approaches	100% of target achieved in Indonesia, 100% in Timor-Leste, and 80% in PNG.  Data on recorded project resource beneficiaries that have been capacitated under various capacity building initiatives: 193 in Indonesia (exceeded end of project target); 148 in Timor-Leste (exceeded end of project target); and 8 in PNG (close to meeting end of project target). From regional-led activities, a total of 165 beneficiaries (146 if numbers of E-EAFM training participants reflected in 3 countries are deducted). More capacity building activities are lined-up to end of project.	(Not set or not applicable)	<ul style="list-style-type: none"> <li>Indonesia: 100 resource beneficiaries receive training on integrated approaches from the capacitated trainers</li> <li>Timor-Leste: 60 resource beneficiaries receive training on integrated approaches from the capacitated trainers</li> <li>Papua New Guinea: 10 resource beneficiaries receive training on integrated approaches from the capacitated trainers</li> </ul>	<ul style="list-style-type: none"> <li>- Project resource beneficiaries warranted with trainings and capacity building were 276 persons, consisting of 209 men and 67 women; Trainings conducted: ToT for field survey on ecosystem and habitat status in Aru Tenggara and Kolepom MPA in 2020; EAFM training in Aru and Merauke in 2021; Data science training in 2021; Ecosystem rehabilitation training in Oeseli, Rote in Q1 2022; Pokmaswas training in Aru in Q1 2022; Assessments on Policy (SPF, NIMC, ICM), Fisheries (EAFM, FIP, Fisheries Business), Gender, and Biodiversity (Aru Expedition, Economic Valuation, EVIKA) were conducted;</li> <li>- Stocktaking of guidelines is part of EAFM and EVIKA assessments.</li> </ul>	Highly Satisfactory	<p>The number of beneficiaries of the Project exceeds the expected end-of-project target, namely 100 persons.</p> <ul style="list-style-type: none"> <li>- However, there is a big gap in participants number that can be used by the regional project coordinating units as a reference for the project improvement. The gap is presumably due to the huge coverage area for Indonesia components as compared with other sites, Timor-Leste and PNG.</li> <li>- The training needs to embed or infiltrate and impart the knowledge to the beneficiaries. In the field, the local communities participating in the training still do not understand general views on the issues tackled, such as marine pollution and climate change as well as turtle conservation. Post-assessment and sustainable trainings or educations are needed.</li> <li>- Youth and children are still lacked to target in the knowledge transfers.</li> <li>- The participants still tend to request finance support or money, and voluntarily participation of the local communities should be enhanced.</li> <li>- The local communities are still observed to hiddenly pollute marine by littering, killing turtles for bracelets, etc.</li> <li>- No safety tools (K3) for housewives piloting a seaweed soap business.</li> </ul> <p>Other capacity building and training that are scheduled in 2022 also need to follow up: MSC training (planned for May 2022), women forum capacity building (planned for Q3 2022), and gender mainstreaming capacity building (planned starting Q3 2022).</p>	None
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Project Strategy	Indicator	Baseline Level	Level in 2 <sup>nd</sup> PIR (self-reported) (2019 to July 2021)	Midterm Target	End-of-project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating	Remaining Barriers
Output 1.2.2 Localization and translation of guidelines and/or handbook on integrated approaches to marine and coastal management, biodiversity conservation and climate change adaptation in local language by building on existing/completed initiatives	1.2.2.1 Undertake a capacity assessment to identify needs and priorities with respect to marine and coastal management, biodiversity conservation, and climate change adaptation for those charged with planning, design, and implementation roles. This will include stocktaking of existing handbooks and guidelines of relevance					<ul style="list-style-type: none"> <li>- Conducted assessments on policies (SPF, NIMC, ICM), fisheries (EAFM, PIP, Fisheries Business), gender and biodiversity (Aru Expedition, Economic Valuation, EVIKA);</li> <li>- Conducted stocktaking guidelines as a part of EAFM and EVIKA assessments.</li> <li>- Conducted/planned fisheries, biodiversity, ICM, and marine pollution capacity building, part of component 2.</li> <li>- EAFM capacity building was held in Aru and Merauke</li> <li>- In Rote Ndao at least 109 participants from coastal community and youth are trained to support marine ecosystem restoration</li> </ul>	Moderately Satisfactory	Activity 1.2.2-1 was completed but activity 1.2.2-2 and 1.2.2-3 were not yet completed. Below are the follow-up actions: <ol style="list-style-type: none"> <li>Strengthen capacity on gender-based program development at the district level government, and on Gender responsive budgeting and planning in collaboration with MMAF Planning Bureau</li> <li>Mainstream gender awareness in project planning and implementation</li> <li>Monitor, evaluate and assess mainstreaming of gender issues into project activities with various partners</li> <li>Develop a capacity building program based on capacity needs assessment</li> <li>Roll-out the planned ToT progs.</li> <li>Knowledge materials will be developed with local languages</li> </ol>	None (Please refer to the follow-up actions to progress the completion of the on-going activities).
	1.2.2.2 Develop a capacity building program on addressing the recommendations from the capacity assessment undertaken and building activities into capacity building programmes of key governmental and non-government organizations.					<ul style="list-style-type: none"> <li>- Conducted: ToT for field survey on ecosystem and habitat status in Aru Tenggara and Kolepoon MPA in 2020. EAFM training in Aru and Merauke in 2021.</li> </ul>			
	1.2.2.3 Roll out a train the trainer program, a tailored capacity building program. The "change agents" trained under this activity will be enabled to lead the broader capacity building program.					<ul style="list-style-type: none"> <li>- Data Science Training in 2021</li> <li>- ToT conducted/planned under 2022 AWP: Ecosystem Rehabilitation training in Osseli; Rote (Q1 2022), Pokmaswas training in Aru (Q1 2022), MSC training (May 2022), women forum capacity building (Q3 2022), gender mainstreaming capacity building (Q3 2022)</li> </ul>			
	1.2.2.4 Adapt key training materials identified in the capacity assessment according to local language and social circumstances					<ul style="list-style-type: none"> <li>- Monitoring the PokMasWas guideline in Aru and Merauke with DFW</li> <li>- Monitoring ICM Guidelines by Rote Ndao villagers with YRCI</li> <li>- Procuring companies/consultant to develop a marine pollution monitoring guideline for local community in Rote Ndao, and gender mainstreaming guidelines for local stakeholders in Rote Ndao and Aru</li> </ul>			

Project Strategy	Indicator	Baseline Level	Level in 2 <sup>nd</sup> PIR (self-reported) (2019 to July 2021)	Midterm Target	End-of-project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating	Remaining Barriers
<p>Outcome Updated TDA, SAP, and NAP</p> <p>Output 1.4.3 National responses to the priority actions agreed upon in the updated SAP are formulated into national action programs and mainstreamed into national planning and budgetary frameworks</p>	<p>1.4.3-1 Renew the ATS NAP for Indonesia in response to the updated ATS SAP</p> <p>1.4.3-2 Validate the renewed Indonesia NAP through a special session with the NIMC and the national project board. Following validation, the NAP is endorsed by the national project board and NIMC</p> <p>1.4.3-3 Facilitate stakeholder consultations with the NIMC and national and subnational planning authorities, advocating for inclusion of specific actions included in the ATS NAP into national and subnational development planning and budgetary frameworks</p>					<p>All the activities are targeted to implement in 2023.</p> <p>The updating of TDA is ongoing, while updating of SAP is scheduled in the Q4 of 2022, while updating of NAP is scheduled in 2023.</p> <p>Indonesia has conducted a review of the implementation of the existing NAP. Ongoing initiatives are also all contributing to the implementation of the existing NAP.</p>	N/A	<ul style="list-style-type: none"> <li>- Procuring consultant in reviewing NAP implementation and updating ATS NAP for Indonesia. This activity will be carried out after updating SAP.</li> <li>- Conducting workshops and meeting for NAP updates, and submitting the NAP to NIMC and NPB for endorsement</li> <li>- Conducting stakeholder consultations and socializing the NAP</li> <li>- Including specific NAP objectives/targets in national and subnational planning and budgetary frameworks</li> </ul>	<p>None (Please refer to the follow-up actions to progress the completion of the on-going activities).</p>

<b>Outcome 3:</b> <b>Improved management of fisheries and other coastal resources for livelihoods, nutrition and ecosystem health in Indonesia, Timor-Leste, and Papua New Guinea</b>	Number of management plans and appropriate measures implemented for rebuilding or protecting fish stocks including alternative management approaches	<i>(not set or not applicable)</i>	35% of target has been achieved (focused on the development of plans so far; implementation aspect of the plan to be initiated).  ATSEA-2 supported the development and completion of management plan for FMA718; and for specific commodities, the Project also supported the completion of: 1 EAFM on Red Snapper Strategy and Action Plan, 1 EAFM for shrimp, and 1 EAFM for barramundi. In support of development of management plans, the following were undertaken in 2019-2021: a draft EAFM baseline report is available and development of regional EAFM Plan to be completed by end of 2021. At country level, in Indonesia the final EAFM pre-assessments and assessments done, and FIPs (with value chain) for red snapper in Aru, shrimp in Aru, and barramundi in Merauke done. In Timor-Leste, stock assessment and value chain assessment of red snapper done in 4 municipalities done (Viqueque, Lautem, Manatuto and Manufahi) done and undergoing consolidation. For PNG, biophysical and socio-economic characteristics assessments done in PNG ATS areas, and the development of artisanal fishery management plan for South Fly to be initiated in Q3 of 2021.	<i>(not set or not applicable)</i>	<b>5</b>	<ul style="list-style-type: none"> <li>- Supported the development and completion of management plan for FMA718;</li> <li>- EAFM Pre-Assessment on profiling of red snapper in Aru, shrimp in Aru, barramundi in Merauke was carried out, and its socialization and training activities were undertaken (EAFM socialization and training in Aru and Merauke, and Regional E-EAFM training and ToT);</li> <li>- EAFM Red Snapper Strategy and Action Plan was developed, and adopted by MMAF;</li> <li>- Initiated a discussion on establishment of EAFM Learning Center in Papua;</li> <li>- A gender assessment report for Aru with link to fisheries was completed in 2021;</li> <li>- Supported the Launching of Harvest Strategy for Blue Swimming Crab, Snapper, and Grouper and Management Body of Fisheries Management Area in Indonesia and launching of the Fisheries Management Body for The Fisheries Management Areas of Indonesia, known as LPP WPPNRI;</li> <li>- Participation in the Regional-Led EAFM Advisory Forum;</li> <li>- Value chain analysis was conducted:             <ul style="list-style-type: none"> <li>a. FIP red snapper pre-assessment,</li> <li>b. List of potential companies for Barramundi,</li> <li>c. Fish consumption level and value chains assessment based on household survey in Merauke and Aru Regency,</li> <li>d. Fisheries business plan in Merauke and Aru Regencies,</li> <li>e. Initial pre-assessment MSC shrimp;</li> </ul> </li> <li>- In collaboration with DFM, the monitoring guideline as key training material was developed and will implemented by Pokmaswas in Aru, Merauke, and Rote Ndao.</li> </ul>	Moderately Satisfactory	Two management plans developed are: Management Plan of FMA718, and EAFM Red Snapper Strategy and Action Plan. Two plans are still under finalization: <ul style="list-style-type: none"> <li>- 1 EAFM for Shrimp (Pre-Assessment and Assessment with Action Plan)</li> <li>- 1 EAFM for Barramundi (Pre-Assessment and Assessment with Action Plan)</li> </ul> <p>There is implementation progress information of these plans, such as:</p> <ul style="list-style-type: none"> <li>a. - ETP species awareness</li> <li>b. Fisheries resources management</li> <li>c. EAFM implementation</li> </ul> <p>The NCU has successfully conducted many EAFM assessments, including fishes and shrimp stocks in Aru and Merauke, and developed followed-up actions, such as EAFM learning center, launching LPP WPPNRI and harvest strategy.</p> <p>Follow-up actions that should be taken: POKMASWAS's Monitoring Guidelines implementation in Aru, Merauke, and Rote Ndao; and Gender Mainstreaming Guidelines for local stakeholders in Rote Ndao and Aru as part of the Gender Knowledge Transfer process.</p> <p>Fish MSC process of identified three fisheries are also requested to follow-up. Relevant to MSC, STELINA tool will be used by the ATSEA-2 for fish suppliers in understanding traceability and logistics of fishes traded.</p>	None
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Output 2.1.1 Ecosystem approach to fisheries management (EAFM) targeting women and men fishers implemented at the LME level for shared stocks and in area-specific fisheries	<p><b>2.1.1-8.</b> In collaboration with the FMP 718 fisheries management body, the project will facilitate development of a work plan for the EAFM planning steps required for realizing EAFM plans for red snapper and shrimp fisheries in Aru Islands District, Maluku Province and Barramundi in Merauke district, province Papua in additional</p> <p><b>2.1.1-9.</b> In conjunction with Activity 2.1.2-3, carry out profiling of the red snapper, shrimp, and barramundi fisheries</p> <p>2.1.1-10. Based upon the results of the fisheries profile, develop the EAFM plan through: (1) identifying and prioritizing issues and goals, through stakeholder consultations; (2) developing objectives, indicators, benchmarks, and monitoring and evaluation tools; and (3) design a set of management measures and outreach programs to implement over the course of the ATSEA-2 project.</p> <p>2.1.1-11. Facilitate approval of the EAFM plans through provisioning of draft provincial decision (PERDA) to be submitted to the Government of Maluku Province.</p> <p><b>2.1.1-12.</b> Education. Conduct training on EAFM certified by the Agency for Human Resource Development (BPS-SDM) for at least 20 Fisheries Resource Managers on Demersal and shrimp Fisheries.</p> <p>2.1.1-13. Catch Control. Support the newly launched Data and Statistic Improvement Program towards catch-based data at the Directorate of Fisheries Resource Management of MMAF by piloting the implementation of a new method of data collection at targeted villages in Aru and Merauke</p> <p>2.1.1-14. (Strengthening Women's Forum for Customary Communities in Aru). Strengthening sustainable fisheries management for improved livelihoods.</p> <p>2.1.1-15. Incentives, Marine Turtle Bycatch Release (Aru, Merauke, Tual/Langgur). In collaboration with other interventions, working with fishers to reduce net entanglement and bycatch of marine turtles through improved gear technology and handling practices.</p>	<ul style="list-style-type: none"> <li>- EAFM work plan and strategy for red snapper and shrimp in Aru, and for barramundi in Merauke was completed</li> <li>Completed activities: <ul style="list-style-type: none"> <li>- EAFM Pre-Assessment on Red Snapper and Shrimp in Aru</li> <li>- EAFM Barramundi Pre-Assessment in Merauke</li> <li>- Snapper and Shrimp Fishery Profile in Aru District and Surrounding Areas Indonesia FMA WPP718</li> <li>- Fisheries Profile Report for Barramundi in Merauke</li> <li>- Socialization activities were undertaken and will be planned in support of the aforementioned assessments and profiling</li> <li>- Adoption of EAFM Red Snapper Strategy and Action Plan by MMAF</li> <li>- Socialization activities were undertaken in support of the red snapper action plan</li> <li>- Legal assessment will be carried out in 2023.</li> <li>- IDN representatives participated in the regional E-EAFM trainings in 2021 led by the RPMU</li> <li>- EAFM socialization and training in Aru and Merauke conducted by Unpatti (EAFM Learning Center) and facilitated by TAKA</li> <li>- Process of encouraging Local universities to develop EAFM Learning centers in Papua Province initiated in 2021 by holding audiences at Musamus University (UNMUS) Merauke</li> <li>- Due to the transferring of E-BRPL to BRIN but no PIC for the system, a new fisheries database and data collection will be handled by ATSEA-2 Project.</li> <li>- Aru's gender assessment report was completed and presented in the BBRSE National Webinar and disseminated to stakeholders</li> <li>- Customary women forum assessment and discussions and its training for Rote Ndao were planned June 2022.</li> </ul> </li> </ul>	Moderately Satisfactory	<p>Activity 2.1.1-8 , 2.1.1-9, and 2.1.1-12 was completed but the other have not yet achieved. Some follow-up actions are such as:</p> <ul style="list-style-type: none"> <li>- Development of Learning Center on EAFM Papua, and Center on EAFM Papua, and its action plan</li> <li>- Development of EAFM working group for Aru District and Merauke to monitor and evaluate implementation of EAFM Red Snapper and Shrimp Action Plan</li> <li>- Development of EAFM and FIP policy assessment paper</li> <li>- Discussions on translating EAFM and FIP academic draft of Aru into provincial decision policy (SK, Pergub, Perbup, etc).</li> <li>- Establishment of EAFM Learning Center in Musamus</li> <li>- Strengthening fisheries data collection process in Aru and Merauke district as part of FMA 718 in line with Perikanan tekukur policy</li> <li>- Supporting fisheries data verification and analysis in collaboration with LC EAFM Papua and LPP WPP 718</li> <li>- Develop academic papers to support policy brief for Harvest Strategy in red snapper based on YKAN analysis results</li> <li>- Revitalizing and establishing one (1) Women's customary institution in Doboo including development of workplan and basic budgeting scheme (in Aru)</li> <li>- Building capacities on managerial skill and budgeting for Women's customary institution</li> <li>- Building capacities of local communities; Training for village development and budgeting process for women. Mentoring women cadres on bringing women needs in village development planning process</li> <li>- Facilitating consensus &amp; acceptance of women's role related to marine and coastal natural resources use in Aru</li> </ul>	None (Please refer to the follow-up actions to progress the completion of the on-going activities).
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						<ul style="list-style-type: none"> <li>Awareness building on ETP species was undertaken as part of the EAFM socialization process that have been conducted in Aru District</li> <li>eDNA analysis shows that the existing CITES Species are found in the Kolepom initial Marine Protected Area.</li> </ul>		<ul style="list-style-type: none"> <li>Facilitating women group in fisheries production to get "PIRT certificate" and improve market leverage of products</li> <li>Awareness campaign targeting community in Aru to raise awareness on women's role in marine and fisheries protection management</li> </ul> <p>For Aru:</p> <ul style="list-style-type: none"> <li>Develop awareness strategy and facilitate sea turtle and other ETP species awareness program - linked with FIP, MPA (direct threat to turtles within the MPA), and other ETP species in Aru (shark, cetacean)</li> <li>Facilitate training in Aru on Sea turtle and other ETP species bycatch handling in fisheries, in collaboration with MMAF observers</li> </ul> <p>For Merauke:</p> <ul style="list-style-type: none"> <li>Develop awareness/campaign strategy for ETP species in Merauke based on bycatch data collected in 2022, result of eDNA analysis, with the aim to improve fisheries compliance</li> </ul>	

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	Number of targeted communities of fishers have adopted an ecosystem approach to fisheries management	(not set or applicable)	<p>35% of target achieved (this is linked to the development of EAFM plans and FIPs as reported in previous section).</p> <p>Building on the developed EAFM Action Plan for red snapper, shrimp and barramundi, and FIP Action plan for red snapper in Indonesia, adoption of the plans are underway and undergoing socialization in targeted communities. Following the EAFM &amp; FIP action plan is the identification of how many relevant communities (coastal villages, fishermen forum/group, etc) that would need to adopt the approach.</p> <p>Related to previous section, the focus from 2019-2021 was on the conduct of EAFM assessments and profiling and drafting of EAFM plans. EAFM plans at regional level, and other sites (Timor-Leste) are still being developed.</p>	(not set or not applicable)	5	<ul style="list-style-type: none"> <li>- There are two communities adopted EAFM, namely Aru Islands District, Maluku Province for red snapper and shrimp; and Merauke for barramundi;</li> <li>- Stakeholder consultations and socialization were used for final EAFM Assessment, Pre-Assessment, Fisheries Profile for red snapper, shrimp and barramundi;</li> <li>- MSC assessors assessed the EAFM Pre-Assessment on Red Snapper.</li> <li>- Local assessors assessed the EAFM shrimp and barramundi assessment in 2022;</li> <li>- Local universities (Musamus University and University of Patimura) are engaged to develop EAFM Learning Centers and conduct its relevant training;</li> <li>- Recruitment and engagement of a consultant undertaking community development for women's forum in Aru to support fisheries business. TOR is developed;</li> <li>- IDN representatives participated in the regional E-EAFM trainings in 2021 led by the RPMU;</li> </ul>	Moderately Satisfactory	<p>The Project Team provided information regarding targeted communities adopted EAFM.</p> <p><i>However, there is no exact variables or parameters on the degree of EAFM adoption, and most of the activities are concentrated on development, socialization and training related to EAFM.</i></p> <p>Furthermore, adoption of final EAFM Plans in the communities will be targeted for 2022-2023 and socialization process related to EAFM plans in Indonesia still ongoing.</p>	None

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2.1.2 Development of profiles of 3 fisheries in the ATSEA, value-chain analysis and preassessment to move selected fisheries towards certification/eco-labelling	2.1.2-1. Prepare a detailed work plan for the activities under this output, through consultations with relevant regional and national ATS stakeholders, including members of the SPF and other existing expert and policy related forums.					- Fisheries profile work plan and value chain analysis were developed.	Moderately satisfactory	Activity 2.1.2-1, 2.1.2-2, and 2.1.2-3 were completed and there are still several actions to be followed up:	None (Please refer to the follow-up actions to progress the completion of the on-going activities).
	2.1.2-2. Conduct Value-Chain Analysis on red snapper, shrimp and barramundi fisheries in ATS region					- Completed FIP red snapper pre-assessment - Completed Value chain-list of potential companies for Barramundi - Completed Fish Consumption Level and Value Chains Assessment based on Household Survey in Merauke and Aru Regency - Completed Fisheries Business Plan in Merauke and Aru Regencies		a. Development of FIP & EAFM Policy Assessment Papers in Merauke b. Discussions on marine & fisheries institutional aspects in Merauke	
	2.1.2-3. Develop Fisheries profile of red snapper and shrimp fisheries in Aru, and of barramundi fishery in Merauke.					- Completed Fisheries Profile for Red Snapper and Shrimp in Aru - Completed Fisheries Profile for Barramundi in Merauke		c. Development of MSC guidance d. Stakeholder consultation related to the EAFM and value chain fisheries assessment in Merauke	
	2.1.2-4. Facilitate legal framework at district, provincial and national levels to assure the endorsement by "DG Penguatan Daya Saing Produk Kelautan dan Perikanan" (DG Competitive Strengthening of Marine and Fisheries Products) on action plan for improvement of the three fisheries.					- Policy assessment in Aru and Merauke to support FIP (planned in AWP 2022) - Discussions on the fisheries assessment result and quota distribution for each commodity in Fisheries Management Plan		e. Field test fishing gear using "bottom trammel net"	
	2.1.2-5. Develop guidance tools for sustainable fisheries operation of the three fisheries in cooperation with private sector (export companies), including options for sustainable financial mechanisms for achieving and maintaining eventual MSC certification.					- Planned to develop the guidance tools in 2022		f. Facilitation MSC training or capacity building of key fisheries stakeholders in Merauke and Aru	
	2.1.2-6. Training of fisheries managers, conservation authorities, non-governmental organizations, and fishermen of shrimp in Aru and barramundi in Merauke using MSC guidelines.					- Conducted discussions with MSC; - Training of MSC will be carried out in 2022		g. Identification of STELINA needs at district level (Aru & Merauke)	
	2.1.2-7. Establish electronic database linking to traceability and trade at district and national levels.							h. Socialization of STELINA	
	2.1.2-8. Facilitate and conduct pre-assessment activities based on the MSC guidelines on red snapper, shrimp fishery in Aru and barramundi fishery in Merauke.					- STELINA database is already and the Project will socialize the STELINA data in Q3 of 2022		i. Development of FIP strategy and action plan in Merauke District	
						- Completed pre-assessment on red snapper - Completed Initial pre-assessment MSC shrimp			

Project Strategy	Indicator	Baseline Level	Level in 2 <sup>nd</sup> PIR (self-reported) (2019 to July 2021)	Midterm Target	End-of-project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating	Remaining Barriers
	Reduced fishing pressure	<ul style="list-style-type: none"> <li>Aru, Indonesia: Approx. 775 registered fishing vessels in Aru operating in the red snapper and shrimp fisheries (combined).</li> <li>South Fly, PNG: 2 tons per year dried fish maw (bladder) produced.</li> </ul>	<p>at the regional level IUU assessment reports related to baseline estimates, policies and regulations, supporting efforts in developing tools for FAO GRI and co-surveillance best practices and lessons learned have been completed in support of RPOA-IUU. At the country level, in Indonesia key findings on fisheries vessels were covered as part of snapper fisheries and shrimp fisheries profiles; several related coordination activities also undertaken. In Timor-Leste, training on IUU fishing vessel identification and methods have been carried out. In PNG, data collection methods on dried fish maw have yet to be conducted.</p>	<i>(not set or not applicable)</i>	<ul style="list-style-type: none"> <li>Indonesia: 25% reduction in fleet size within the shrimp and red snapper fisheries.</li> <li>South Fly, PNG: 1 ton per year dried fish maw (bladder) produced.</li> </ul>	<p><b>Key findings:</b></p> <ul style="list-style-type: none"> <li>Workshop on Building Data Science Capacity for Marine and Fisheries Resources Surveillance and Building Coordination Forum for Fisheries Handling Criminal Actions in Papua; Building data science and surveillance capacity for marine fisheries resources surveillance was conducted;</li> <li>Papua Governor Decree on Fisheries Crime Forum was signed and its Forum was established;</li> <li>Finalization of IUU fishing/fisheries loss assessment reports in Aru and Merauke in WPP 718 after field visiting; Benefiting from UU Cipta Kerja to support the ATSEA-2 Project on registered vessels from Indonesian Archipelagic Waters in the Arafura Sea. New initial regulation UU Cipta Kerja mandates all registration of vessels from Transportation Agency must be thru MMAF. Ministry discussions ongoing thus the planned coordination between MMAF and provincial governments is still pending;</li> <li>In collaboration with the Destructive Fishing Watch (DFW), synchronization process of TDKP registration for small scale fishers in Aru and its training on use of e-logbook for small scale fishers completed in Aru and Merauke;</li> <li>Finalization of community-based surveillance assessment, PokWasMas. Selection of PokWasMas to support capacity building and planned activities.</li> </ul>	Moderately satisfactory	<p>The Project succeeded to conduct profiling on snapper fishing vessels and shrimp gears but there is no information on registered fishing vessels as a result of the project intervention. Some actions need to follow up:</p> <ol style="list-style-type: none"> <li>Follow up profiling assessment for snapper and shrimp vessels and gears, and measure registered fishing vessels, Selection of PokWasMas to provide capacity building and relevant activities for community-based surveillance;</li> <li>Endorsement of IUU Fishing Taskforce Decree by Minister of KKP,</li> <li>Follow up coordination between provincial governments and MMAF on UU Cipta Kerja mandates on registering vessels from Transportation Agency,</li> <li>Finalization of fisheries loss assessment report (beneficial for baseline assessment)</li> <li>Quantity of IUU fishing has not yet been determined due to lack of data but the data is mostly from 'unreported'. As a result, development of fisheries database in Maluku and facilitation of e-logbook and vessel registration can generate data.</li> </ol>	None (Please refer to the follow-up actions to progress the completion of the on-going activities).

Project Strategy	Indicator	Baseline Level	Level in 2 <sup>nd</sup> PIR (self-reported) (2019 to July 2021)	Midterm Target	End-of-project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating	Remaining Barriers
	Improved use of fish gear/techniques	<ul style="list-style-type: none"> <li>Aru, Indonesia: Approx. 775 registered fishing vessels in Aru operating in the shrimp and red snapper fisheries; 775 vessels (&lt;30 GT) which do not have VMS; 1400 vessels using gillnet gear.</li> <li>Merauke, Indonesia: Approx. 500 registered fishing vessels operating in the barramundi fishery in Merauke.</li> <li>South Coast, Timor-Leste: Approx. 150 registered vessels in the south coast municipalities.</li> <li>South Fly, PNG: Approx. 2700 households involved in small-scale fishing</li> </ul>	<p>INDONESIA:</p> <p>&gt;EAFM Plan and FIPs developed (presented in previous sections) are also geared to provide guidance on improved use of fish gears and techniques. From 2019-2021, the key activities focused first on profiling and assessments. Thus, data pertaining to improved use of fish gear/techniques will be reflected in subsequent reporting in line with implementation of EAFM plan and FIPs.</p> <p>TIMOR-LESTE:</p> <p>&gt; Training for Fisheries on IUT Fishing Vessel Identification Method and other surveillance measure and safety at sea conducted for Municipalities of Viqueque, Manufahi and Covalima (Dec. 2020)</p> <p>&gt; MAF is also implementing a program to improve fish gear/techniques (which includes specification of maximum number of people per group per small fishing vessels)</p>	(not applicable)	<ul style="list-style-type: none"> <li>Aru, Indonesia: 50% of vessels within the shrimp and red snapper fisheries using improved gear; 50% vessels using VMS; 25% vessels applying improved gear to reduce turtle bycatch.</li> <li>Merauke, Indonesia: 50% barramundi fishers using improved gear.</li> <li>South Coast, Timor-Leste: 50% vessels within the mackerel fishery using improved gear/techniques.</li> <li>South Fly: PNG: 25% artisanal fishers using improved gear/techniques.</li> </ul>	<ul style="list-style-type: none"> <li>Snapper fisheries profile: 339 active demersal vessels, dropline vessels: 169 boats, longline vessels: 104 boats, and gillnet vessels: 66 boats ;</li> <li>Shrimp fisheries profile: Two common gears in Aru: Gillnet (jaring insang): 1,372 gears; Trammel net (jaring angkat): 142 gears;</li> <li>Coordination with the provincial government of Maluku and Papua on fishing vessel registration under provincial permit (&lt; 30 GT) in Merauke and Aru district;</li> <li>Development, socialization and training related to EAFM and FIP for Indonesia, pertaining on the improved use guidance for fish gears and techniques;</li> <li>Data obtained from the above activities will be used for EAFM plan and FIPs (beneficial for baseline or indicator assessment).</li> </ul>	Moderately Satisfactory	<p>Some activities related to socialization and trainings on the improved use of fish gears were undertaken but there is no information on the number of registered fishing vessels after getting interventions from the Project.</p> <p>That is possibly that the Project has just started to coordinate with the provincial government of Maluku and Papua on registering vessels under 30 GT.</p> <p><i>In addition, according to GEF TT, a target to gauge about 1,400 vessels using gillnet in Aru Island has not yet been reached. The phenomenon is also similar to a target for Merauke Island, intending to measure 50% barramundi fishers using improved gear. The Project has staged assessments to extract data and its analysis that will be expected to complete in June 2022.</i></p>	None

<p><b>Output 2.1.3</b> Regional and national actions strengthened in support of the Regional Plan of Action for Responsible Fishing Practices Including Combating IUU Fishing in the Region and the Indonesian Presidential Task Force on Combating Illegal Fishing, through better surveillance, enforcement and monitoring, resulting in a further reduction of IUU fishing in the ATS by 10%, around 150,000 tons</p>	<p>2.1.3-8. Conduct study to estimate IUU fishing (quantitatively - in tons) in FMA 718.</p> <p>2.1.3-9. Conduct assessment of IUU fishing (mostly as unreported) of small-scale fishers (&lt; 30 GT) in Aru, Merauke, Tanimbar, and Rote Ndao with the results feeding into Activity 2.1.3-2.</p> <p>2.1.3-10. Improve Registered Vessels System. In collaboration with MMAF, support the program of "Registered vessels from Indonesian Archipelagic Waters (R-VIA) that has been implemented in the Arafura Sea.</p> <p>2.1.3-11. Community based Surveillance. Coordinate program with RPoA-IUU secretariat in Jakarta to strengthen community-based surveillance (Kelompok Pengawasan Masyarakat - PokWasMas) in Aru and Merauke.</p>	<ul style="list-style-type: none"> <li>- Supported the regional baseline assessment on IUU fishing</li> <li>- Training on building data science capacity for marine fisheries resources surveillance</li> <li>- Drafted a report on fisheries loss assessment and fisheries surveillance gap in WPP 718</li> <li>- Field activities undertaken and draft Report on fisheries loss assessment and fisheries surveillance gap in WPP 718</li> <li>- Supported the ongoing synchronization process/facilitation of TDKP registration for small scale fishers in Aru under provincial permit (&lt; 30 GT)</li> <li>- Training on use of e-logbook for small scale fishers in Aru and Merauke</li> <li>- Workshop on Building Coordinating Forum for Fisheries Handling Criminal Actions in Papua</li> <li>- Established Papua Governor Decree on Fisheries Crime Forum</li> <li>- Completed assessment of community-based surveillance-PokWasMas in Aru archipelago district</li> <li>- Participated in the Fisheries Intelligence Training (on MCS) facilitated at the regional level</li> </ul>	<p>Moderately Unsatisfactory</p>	<p>All activities are still ongoing but data extraction on IUU Fishing is still difficult to obtain (only unreported). Actions to be followed up:</p> <p>a. Develop a simple method to track movement of small vessels in Aru and Merauke</p> <p>b. Develop a small vessel tracking database at the province level (Maluku &amp; Papua), and share/link data to MMAF</p> <p>c. Pilot the use and registration of KUSUKA (Pelaku Usaha Kelautan dan Perikanan)</p> <p>d. Monitor &amp; coordinate with DFW/ on TDKP registration support process in Aru</p> <p>e. Continue TDKP registration support process in Aru once DFW contract ends</p> <p>For Merauke:</p> <p>g. Facilitate regular meeting for member of IUU Fishing (TPP) Forum in Papua</p> <p>h. Facilitate the capacity building on the member from IUU Fishing (TPP) Forum in Papua</p> <p>i. Facilitate capacity building and coordination of Pokmaswas in Merauke</p> <p>For Aru:</p> <p>j. Coordinate with IUU Fishing (TPP) Forum in Maluku Province and identify ATSEA's possible support to their action plan (RAD)</p> <p>k. Facilitate capacity building and coordination of Pokmaswas in Aru</p>	<p>None (Please refer to the follow-up actions to progress the completion of the on-going activities.)</p>
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<p><b>Outcome 5:</b>  <b>Reduced marine pollution improves ecosystem health in coastal/ marine hotspots in the Arafura and Timor Seas</b></p>	<p>Strengthened oil spill response systems and capacities</p>	<ul style="list-style-type: none"> <li>Oil and gas development is expanding in the ATS region, but local communities lack awareness and capacity to respond to marine pollution incidents</li> </ul>	<p>20% of target has been achieved.</p> <p>The ATSEA-2 focuses on 2 areas (a) marine debris, and (b) oil spill. To date, at the regional level, the regional assessment on marine and land-based pollution and hotspot analysis has been completed, including the conduct of a Regional Webinar on Marine and Land-based Pollution. At the country level, in Indonesia the Pollution Assessment Report for Rote Ndao has been completed, and a Marine Pollution Task Team in East Nusa Tenggara has been established. In Timor-Leste, the Marine and Land-based Pollution Assessment in South Coast (covering 4 municipalities) has been completed with final validation ongoing. Beach clean-up activities also undertaken combined with awareness building workshops.</p>	<p><i>(not set or not applicable)</i></p>	<ul style="list-style-type: none"> <li>Oil spill response systems and procedures are included in the ICM plans of Rote Ndao in Indonesia and Municipio Manatuto in Timor-Leste</li> </ul>	<p>- Assessment on Marine and Land-based Pollution in Rote Ndao was completed and key results were incorporated into the Regional Pollution Assessment report;</p> <p>- Establishment of Marine Pollution Task Force Team in 2020 and its Secretariat in East Nusa Tenggara equipped with one-year Action Plan finalized by provincial government;</p> <p>- Completed Webinar on the Mitigation and Management of Oil Spill in Timor Sea;</p> <p>- Plan to establish a monitoring database, and develop Early Warning System Development and Integrated Reporting System on Marine Pollution in Timor Seas in 2022. In support of building the database, field survey was conducted in the entire southern coast of Rote Ndao. Early Warning System consultancy as part of ICM planning process will commence in 2022;</p> <p>- Completed ICM Assessment and Drafting of ICM Concept Framework.</p>	<p>Moderately Satisfactory</p>	<p>The Project succeeded to conduct a Marine and Land-based Pollution and ICM Assessment and developed both Marine Pollution Task Force Team and its Action Plan. The Project also has also staged a capacity building and knowledge management events. However, the Project is suggested to follow up the establishment of monitoring database and Early Warning System Development and Integrated Reporting System on Marine Pollution in Timor Seas.</p> <p>However, there is no information on measured parameters of responses performed by local communities to marine pollution incidents.</p> <p>From the MTR field assessment, there are several key points for considerations:</p> <ul style="list-style-type: none"> <li>- Marine Pollution POKJA has not fully accommodated several institutions who have power and interests, such as Directorate of Custom and Excise, Pelindo, local communities, etc;</li> <li>- The Meetings organized by POKJA is interesting but not all members are present, and similar persons who have knowledge and background in the regards should be engaged continuously;</li> <li>- Local communities still have lack of information related to the oil spill and Action Plan developed.</li> <li>- Besides oil spill, plastics and microplastic are also recommended to add in the indicator;</li> <li>- Regional or multi-lateral regulation for handling, MSC, etc oil spill in the ATS is recommended to develop.</li> </ul>	<p>None</p>
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Project Strategy	Indicator	Baseline Level	Level in 2 <sup>nd</sup> PIR (self-reported) (2019 to July 2021)	Midterm Target	End-of-project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating	Remaining Barriers
2.2.1 Enhanced data and information regarding the sources and sinks of contaminants in the ATS; pollution hotspots identified; appropriate controls of point and non-point sources of pollution initiated oil spill early warning systems and capacities strengthened	2.2.1-5. Undertake a pollution hotspot analysis for the Indonesia portion of the ATS region, with results feeding into the regional assessment under Activity 2.2.1-2  2.2.1-6. Using ICM multi-sectoral coordination structures formed under Outcome 2.4, develop a Pollution Prevention and Control Plan as a part of the ICM process in Kabupaten Rote Ndao. This activity will include Stakeholder engagement to determine goals, scope and priorities for action for managing point and non-point source pollution.  2.2.1-7. Oil Spill Response and Preparedness Training. Training on oil spill response and preparedness for stakeholders in the district of Kabupaten Rote Ndao. This will include establishing and testing communication links to villages regarding critical information, such as health impacts, whether safe to fish/harvest seaweed, etc., that will need to be communicated in a disaster response situation.	2.2.1-5. Undertake a pollution hotspot analysis for the Indonesia portion of the ATS region, with results feeding into the regional assessment under Activity 2.2.1-2  2.2.1-6. Using ICM multi-sectoral coordination structures formed under Outcome 2.4, develop a Pollution Prevention and Control Plan as a part of the ICM process in Kabupaten Rote Ndao. This activity will include Stakeholder engagement to determine goals, scope and priorities for action for managing point and non-point source pollution.  2.2.1-7. Oil Spill Response and Preparedness Training. Training on oil spill response and preparedness for stakeholders in the district of Kabupaten Rote Ndao. This will include establishing and testing communication links to villages regarding critical information, such as health impacts, whether safe to fish/harvest seaweed, etc., that will need to be communicated in a disaster response situation.	2.2.1-5. Undertake a pollution hotspot analysis for the Indonesia portion of the ATS region, with results feeding into the regional assessment under Activity 2.2.1-2  2.2.1-6. Using ICM multi-sectoral coordination structures formed under Outcome 2.4, develop a Pollution Prevention and Control Plan as a part of the ICM process in Kabupaten Rote Ndao. This activity will include Stakeholder engagement to determine goals, scope and priorities for action for managing point and non-point source pollution.  2.2.1-7. Oil Spill Response and Preparedness Training. Training on oil spill response and preparedness for stakeholders in the district of Kabupaten Rote Ndao. This will include establishing and testing communication links to villages regarding critical information, such as health impacts, whether safe to fish/harvest seaweed, etc., that will need to be communicated in a disaster response situation.	2.2.1-5. Undertake a pollution hotspot analysis for the Indonesia portion of the ATS region, with results feeding into the regional assessment under Activity 2.2.1-2  2.2.1-6. Using ICM multi-sectoral coordination structures formed under Outcome 2.4, develop a Pollution Prevention and Control Plan as a part of the ICM process in Kabupaten Rote Ndao. This activity will include Stakeholder engagement to determine goals, scope and priorities for action for managing point and non-point source pollution.  2.2.1-7. Oil Spill Response and Preparedness Training. Training on oil spill response and preparedness for stakeholders in the district of Kabupaten Rote Ndao. This will include establishing and testing communication links to villages regarding critical information, such as health impacts, whether safe to fish/harvest seaweed, etc., that will need to be communicated in a disaster response situation.	2.2.1-5. Undertake a pollution hotspot analysis for the Indonesia portion of the ATS region, with results feeding into the regional assessment under Activity 2.2.1-2  2.2.1-6. Using ICM multi-sectoral coordination structures formed under Outcome 2.4, develop a Pollution Prevention and Control Plan as a part of the ICM process in Kabupaten Rote Ndao. This activity will include Stakeholder engagement to determine goals, scope and priorities for action for managing point and non-point source pollution.  2.2.1-7. Oil Spill Response and Preparedness Training. Training on oil spill response and preparedness for stakeholders in the district of Kabupaten Rote Ndao. This will include establishing and testing communication links to villages regarding critical information, such as health impacts, whether safe to fish/harvest seaweed, etc., that will need to be communicated in a disaster response situation.	Completed assessment on Marine and Land-based Pollution in Rote Ndao  a. Drafted ICM Concept Framework in Rote Ndao  b. Established NTT Marine Pollution Task Force  c. Developed Action Plan for NTT Marine Pollution Task Force  d. Supported the Early Warning System Development and Integrated Reporting System on Marine Pollution in Timor Seas  Conducted Webinar on the Mitigation and Management of Oil Spill in Timor Sea	Moderately Satisfactory	Activity 2.2.1-5 was completed but the two remaining activities have not yet been completed. Actions to be taken are: - Build Early Warning System and integrated reporting system on marine pollution in Timor Sea - Develop and socialize of district level oil spill action plan - Facilitate Oil Pollution Action Plan implementation at the village level - Develop and design strategy and material for media campaign & awareness related to marine pollution - Provide assistance for Marine Pollution Working Group secretariat (2022-2023)	None (Please refer to the follow-up actions to progress the completion of the on-going activities).

<p><b>Outcome 6:</b></p> <p><b>Coastal and Marine Biodiversity Conservation through Protection of Habitats and Species</b></p>	<p>Protected area management effectiveness score</p>	<ul style="list-style-type: none"> <li>Indonesia a: Southeast Aru MPA METT: 39</li> <li>Timor-Leste: NKS NP METT: 24</li> </ul>	<p>NOTE: METT scores to be reported in next PIRs, focus for 2019-2021 was mainly on baseline assessment and profiling.</p> <p>In line with the ATSEA-2 targets on biodiversity conservation, this section covers the following key accomplishments:</p> <p>completion of updated baseline data/profile of key marine ecosystems in ATS and ecosystem valuation; completed MPA Network Design and proposed roadmap for new MPAs; establishment of Kolepom as new MPA in Indonesia, updated draft biodiversity atlas in Indonesia, and support to enhanced management of existing MPA in Maluku.</p> <p>In Timor-Leste, the conduct of stakeholder coordination meeting on the planned establishment of new MPA in Manufahi.</p> <p>Support to existing MPAs have just been initiated and as such, specific reporting on METT improvement in 2 existing MPAs in Indonesia and Timor-Leste is targeted in next PIR reporting</p>	<p>(not set or not applicable)</p>	<ul style="list-style-type: none"> <li>Indonesia: Southeast Aru MPA METT: 92</li> <li>Timor-Leste: NKS NP METT: 50</li> </ul>	<ul style="list-style-type: none"> <li>- MPA Priority Location Analysis in WPP 718 was developed;</li> <li>- Work plan and proposed strategy for development of EAFM plan for red snapper and shrimp in Aru, and for barramundi in Merauke were completed;</li> <li>- EAFM Red Snapper Strategy and Action Plan have been adopted by MMAF, and its socialization are carried out;</li> <li>- Completed Economic Valuation Assessment for Kolepom;</li> <li>- Support to new MPA (Kolepom) with total coverage of 360,268 ha;</li> <li>j: METT improvement monitoring to follow once the MPA is fully established,</li> <li>k: Drafting zonation plan,</li> <li>l: Completed E-DNA analysis,</li> <li>m: Dissemination of biodiversity, consumption and fisheries business survey,</li> <li>n: No Take Zone Priority Area Analysis in Kolepom was developed,</li> <li>o: Zonation Taskforce is in place,</li> <li>p: Fisheries consumption and market chain analysis in Aru and Merauke completed and shared,</li> <li>q: Mangrove Economic Valuation report completed,</li> <li>r: Preparation for the Working Group to develop Management Plan of MPA in Kolepom initiated through an FGD in 2021.</li> <li>- Completed marine biodiversity atlas including for Aru, Rote, and Merauke;</li> <li>- Online ToT for Aru and Kolepom was conducted in support of field survey on ecosystem and habitat status;</li> <li>- Other related initiatives: (a) Assessment on Fisheries Consumption and Business, (b) Gender assessment in Aru;</li> <li>- In Rote Ndao, participatory coral reef ecosystem restoration exercise was conducted in 2 villages (Oeseli &amp; Booi);</li> <li>- Support to enhancement of the existing MPA management in Aru, Maluku:</li> <li>n: MPA management planning training,</li> <li>o: Ecology &amp; socio-economy assessment report for Southeast Aru using the Southeast Aru MPA Monitoring SOP,</li> <li>p: Gender Field Assessment in Aru Archipelago.</li> </ul>	<p>Moderately Satisfactory</p>	<p>There is no information on METT score for the targeted PA Southeast Aru MPA.</p> <p>However, there is an updated score measured using EKKP3K or EVIKA with a total of 46.21% surpassing the METT score. However, the indicator still stipulates the use of METT as a baseline score. Scientific justifications drafted in a report with approval from RSC, NPB, and known by donors should be staged.</p> <p>In addition, the end-of-project target METT value is too high, and it can be additional consideration for revising the outcome 6.</p> <p>New scoring system will be also introduced, including EKKP3K and EVIKA.). The official use of EVIKA was stated in the Decree of the Director General of Marine Spatial Planning (PRL) No. 28 of 2020.</p>	<p>Changes in MPA effectiveness method and its score system based on EVIKA</p>
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Project Strategy	Indicator	Baseline Level	Level in 2 <sup>nd</sup> PIR (self-reported) (2019 to July 2021)	Midterm Target	End-of-project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating	Remaining Barriers
						<p>q. SE Aru MPA METT Score: Baseline score 39, Midterm score- not yet available, The score for EKKP3K-EVKA is 46.21 (qualitative interpretation: minimum management) for SE ARU that is above the METT score, Completed biophysical monitoring of Marine Resources in Aru Tenggara Islands MPA, and its meetings. Results of the Meetings are used as basic data for developing technical ToK for the monitoring program in SAP Aru, Sharing of results of Fisheries consumption and business assessment in BBRSE-KP webinar in 2021,</p> <p>u. Aru Expedition (habitats and biodiversity survey) was undertaken,</p> <p>v. Assessment of coastal ecosystem economic value in Southeast Aru was developed,</p> <p>w. Habitat and ecosystem status of SE Aru Islands Marine Sanctuary was developed,</p> <p>x. Rezonation analysis of SE Aru was conducted,</p> <p>y. Online ToT for Aru and Kolepom was conducted in support of field survey on ecosystem and habitat status, Other related initiatives: (a) Assessment on Fisheries Consumption and Business, (b) Gender assessment in Aru.</p> <p>z.</p>			
Output 2.3.1 Updated information and database on coral, mangrove and seagrass beds in the AITS, supported by ecosystem valuation studies; priority conservation areas	2.3.1-6. Building upon the results of the regional activities listed above and on those of CTI-CFF, work with relevant governmental, NGO and institutional level stakeholders in identifying priority marine and coastal conservation areas					<ul style="list-style-type: none"> <li>- Completed Marine Habitat and Ecosystem Status and Biodiversity Atlas</li> <li>- Completed Assessment of MPA Priority locations in Arafura and Timor Seas</li> <li>- Completed Economic Valuation Assessment for Kolepom</li> <li>- Completed Biophysical Monitoring of Marine Resources in Aru Tenggara Islands MPA</li> <li>- Completed Aru Expedition (habitats and biodiversity survey) In Rote Ndao, participatory coral reef ecosystem restoration exercise was conducted in 2 villages (Osseli &amp; Boa)</li> </ul>	Highly Satisfactory	The Project was completed some activities supporting marine and coastal conservation areas.	None

<p><b>Output 2.3.2 New MPAs designated in Indonesia and Timor-Leste; covering about 645,000 ha in area, including approximately 220,000 ha of mangrove ecosystems; with corresponding management plans prepared and implemented; and regional ATS MPA network designed</b></p>	<p><b>SOUTHEAST ARU MPA</b></p> <p>2.3.2-5. Support the protected area management authority in updating and strengthening the management plan for the Southeast Aru MPA, with the aim of improving management effectiveness. The project will also facilitate the process of approving the management plan by the MMAF.</p> <p>2.3.2-6 Develop an updated financial sustainability plan for the Southeast Aru MPA, based upon in-depth stakeholder consultations and a review of alternative financing options exploring use of Payments for Ecosystem Services (PES), community tourism models and other mechanisms</p> <p>2.3.2-7 Organize a donor workshop, possibly in conjunction with the annual RCC/SPF meeting, with the purpose of securing financing from private sector, the donor community, or other interested stakeholders</p> <p>2.3.2-8. Engage local communities. Support implementation of the financial sustainability and updated management plan, with the focus on participatory integrated approaches engaging local communities, possibly the three villages nearest to the MPA (villages of Apara, Longgar, and Baimun). Tentative implementation activities include: (a) alternative livelihood opportunities, e.g., fish and other marine resource processing within the buffer zone of the MPA, (b) community-led marine debris awareness and clean-up at Enu Island; (c) awareness building of traditional systems for MPA management; (d) and awareness building regarding oil spill preparedness and response.</p> <p>2.3.2-9. Support the protected area management authority in preparing supporting documentation for upgrading the status of the MPA from the current green to blue, under the Indonesian management effectiveness scale.</p> <p>PULAU KOLEPOM MPA (PAPUA)</p> <p>2.3.2-10. Support the Protected Area Management Authority in the establishment of the legal framework, to a national level MPA by expanding the boundaries out to 12 nautical miles from the shoreline for the new MPA in Kolepon, ensuring alignment with EAFM approach for FMP 718 and ICM/marine spatial planning for Kolepon</p> <p>2.3.2-11 Sponsor capacity building for protected management area authority staff as well as provincial and district officials in MPA planning and management</p>	<ul style="list-style-type: none"> <li>- Various meetings on biophysical monitoring/survey of resources in SAP Aru Tenggara with the aim to develop a technical ToR for the monitoring program in SAP Aru</li> <li>- Developed assessment of Coastal Ecosystem Economic Value in Southeast Aru</li> <li>- Completed ecology &amp; socio-economy assessment report for Southeast Aru, included in the Aru Expedition Report and the Biodiversity Atlas.</li> <li>- Conducted online ToT updating on Aru Tenggara and Kolepom MPA</li> <li>- Conducted rezonation analysis of Southeast Aru</li> <li>- Dissemination of the results of Biodiversity, Gender and Fisheries Consumption and Business Assessment for Aru, and sharing of results of Fisheries consumption and business assessment in BBRSE-KP webinar in 2021</li> </ul> <p>Implemented in 2023</p> <p>Implemented in 2023</p> <p>a. Online Training of Trainers (ToT) on the Ecosystem and Habitat Status Data Updating in Saiker Aru Tenggara &amp; Kolepom MPA</p> <p>b. ToT on the customary women forum and Gender transformation for Rote Ndao</p> <p>(a) Assessment on Fisheries Consumption and Business and (b) Gender Assessment in Aru</p> <ul style="list-style-type: none"> <li>- Governor Decree Papua No.188.4/295/2019 was signed and ratified in December 2020 establishing Kolepom island as new MPA covering 353,287 Ha</li> <li>- Regional Secretary of Papua, also signed appointment Decree No.</li> </ul>	<p>Moderately Satisfactory</p>	<p>Activity 2.3.2-12 was completed and the remaining activities under this output is ongoing. Actions need to be taken:</p> <ul style="list-style-type: none"> <li>o Facilitate capacity building and coordination of Pokwasmas in Aru</li> <li>o Explore the possibility &amp; feasibility to develop UAV/Drone-based monitoring system in Aru MPA</li> <li>o Review and update the financial sustainability plan for SE Aru MPA</li> <li>o Conduct donor workshop on the financial sustainability plan</li> <li>o Develop alternative livelihood to reduce direct use of marine resources</li> <li>o Facilitate women group in fisheries production to get "PIRT certificate" and market leverage of product</li> <li>o Strengthen Sasi governance within Aru MPA as a form of sustainable traditional marine resource governance</li> <li>o Facilitate monitoring in SAP ARU based on SATKER and Dobo monitoring and outreach plan</li> <li>o Facilitate process to improve EVIKA score</li> <li>o Facilitate integration on EAFM action plan activities to support MPA initiation in Kolepom island</li> <li>o Conduct consultation to ensure alignment of MPA Zonation &amp; Management Plan with RPP WPP 718, Perikanan Terukur policy, RZW2P3K Papua, RTRW, Kab. Merauke, and results of Merauke EAFM assessment</li> <li>o Finalize Zonation &amp; Management Plan</li> <li>o Facilitate public consultation for Kolepom MPA establishment, encouraging women's leadership and participation in decision making processes</li> <li>o Facilitate awareness and the capacity building on benefits of MPA establishment to local</li> </ul>	<p>None (Please refer to the follow-up actions to progress the completion of the on-going activities).</p>
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	<p>2.3.2-12. Support the gap analysis of baseline data and information (socio economic and environmental) and mapping.</p> <p>2.3.2-13. Facilitate stakeholder consultations, carry out biophysical and socio-economic studies, zonation and mapping, and compile the documentation required to apply for designation of the proposed MPA.</p> <p>2.3.2-14. Facilitate preparation, consultation, and endorsement of a draft management plan, building on the existing MPA being developed, and including extensive stakeholder consultation.</p> <p>2.3.2-15. Develop a financial sustainability plan for the expanded Kolepom MPA, based upon in-depth stakeholder consultations and a review of alternative financing options exploring use of Payments for Ecosystem Services (PES), community tourism models and other mechanisms</p> <p>2.3.2-16. Undertake a feasibility study for establishing ecotourism opportunities in Merauke, with a focus on the Kolepom MPA</p> <p>2.3.2-17. Organize a donor workshop, possibly in conjunction with the annual RCC/SPF meeting with the purpose of securing financing from private sector, the donor community, or other interested stakeholders</p> <p>2.3.2-18. Support implementation of the financial sustainability and expanded management plans, with the focus on participatory integrated approaches engaging local communities</p>	<p>188.4/21536/SET on Compilation of a Zoning Plan in Kolepom Island</p> <ul style="list-style-type: none"> <li>- Kolepom MPA establishment roadmap and conservation parameters identified</li> <li>- Zonation Task Force in place <ul style="list-style-type: none"> <li>a. Papua's stakeholder has been certified as "Senior officer of Marine Protected Area Management Planning" through a Standard Technical Guidance on Conservation Area Management (MPA Planning) training</li> <li>b. Training of Trainers (ToT) online for conducting a Field Survey on the Ecosystem and Habitat Status Data Updating in Sukker Aru Tenggara &amp; Kolepom MPA</li> </ul> </li> </ul> <ul style="list-style-type: none"> <li>&gt; Baseline data completed</li> <li>&gt; Maps included in Biodiversity Atlas</li> <li>&gt; Sites selected for monitoring program and data that will serve as basis for monitoring program identified</li> <li>&gt; Biodiversity, consumption and fisheries business survey results from Kolepom- completed and disseminated in 2021</li> <li>&gt; Fisheries consumption and market chain analysis in Aru and Merauke completed and shared at BBRSE National</li> <li>&gt; Completed Mangrove Economic Valuation report</li> <li>&gt; Zonation analysis in Kolepom ongoing;</li> <li>&gt; E-DNA assessment for Kolepom MPA</li> <li>&gt; Assessment of optimal No Take Zone location for Kolepom MPA completed</li> <li>&gt; Stakeholder Analysis and further field data collection conducted in Kolepom to feed into the RPZ development/establishment</li> <li>&gt; Awareness raising activities to communities and local government conducted related to MPA establishment in Kolepom</li> </ul>	<p>Journalist association and the community</p> <ul style="list-style-type: none"> <li>o Develop media campaign and promotion with local university and community, and develop campaign material for Media, with gender issues mainstreamed into the campaign strategy</li> <li>o Conduct Media Gathering with local journalist association and local media in Merauke</li> <li>o Support series of public consultation to develop Zonation planning in Kolepom from the working group of MPA, encouraging women's leadership and participation in decision making processes</li> <li>o Facilitate Working group to develop management plan of MPA for Kolepom island, advocating to take into account the interest of women groups</li> <li>o Facilitate DKP Papua in the development of community-based management concept for MPA Kolepom, advocating to take into account the interest of women groups</li> <li>o Conduct Training for village development and budgeting process for women including mentoring of women cadres on integrating women needs in village development planning process</li> <li>o Facilitate coordination of MPA establishment process with key villages within MPA area</li> <li>o Support of the Kolepom MPA management in the development of the financial sustainability plan including consultations on the plan</li> <li>o Upon completion of the proposed financial plan present the same at a donor workshop to be organized at the regional level with annual RCC/SPF</li> <li>o Upon adoption of the financial sustainability and management plan in Kolepom, support the local MPA management and the</li> </ul>
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Project Strategy	Indicator	Baseline Level	Level in 2 <sup>nd</sup> PIR (self-reported) (2019 to July 2021)	Midterm Target	End-of-project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating	Remaining Barriers
						<p>&gt; Engagement of media done as part of press and stakeholder socialization event in Merauke to introduce ATSEA-2 and its initiatives in 2021</p> <p>a) Draft MPA documents including zonation recommendations for Kolepom presented at online pre-workshop FGDs</p> <p>b) Preparation for the Working Group to develop Management Plan of MPA in Kolepom initiated through an FGD in 2021; process will continue to 2022</p> <p>Targeted in 2023</p> <p>Not feasible to do</p> <p>Targeted in 2023</p>		communities in the roll out of the plans	
<b>Output 2.3.3</b> <b>Endangered marine turtles protected through an agreed regional action plan</b>	<p>2.3.3-5 Implementation of the Regional Action Plan through undertaking national activities funded by each country, as identified in national turtle recovery plan</p> <p>2.3.3-6 Feasibility study to explore alternate livelihood tourism opportunities for communities in Aru Islands, Rote, and Merauke and possibly other sites based around turtles</p> <p>2.3.3-7 Pilot project in Indonesia for establishing tourism opportunities subject to outcomes from Feasibility Study. This project will focus on reducing direct illegal harvesting of marine turtles, marine turtle eggs and dugongs. Partner with projects under way to reduce bycatch of turtles. In collaboration with the EAFM efforts under Outcome 2.1, activities will include support for trials of bycatch reduction devices, capacity and awareness building with fishers and improving regulations and compliance</p>					<p>Targeted in 2023</p> <p>- Development of the new Turtle NPOA for Indonesia by MIMAF. Piloting of the NPOA is in Aru MPA.</p> <p>- The assessment of alternative livelihood in Rote Ndao is already available and ongoing process to support production of soap from seaweed</p> <p>- Not feasible to apply</p>	Moderately Unsatisfactory	All the activities are ongoing to implement. However, activity 2.3.3-7 is not feasible to do.	None

<p><b>Outcome 7:</b> Integrated Coastal Management, incorporating climate change adaptation considerations, implemented at the local level towards more sustainable use and conservation of ecosystem goods and services</p>	<p>Adoption and implementation of ICM plans and reforms to protect coastal zones in LMEs – Number of beneficiary countries adopting and applying ICM within ATS region</p>	<p>• No coastal areas are currently under ICM; Timor-Leste is currently preparing ICM plans with support of PEMSEA</p>	<p>ICM initiatives in both Indonesia and Timor-Leste have been initiated. In particular, in Indonesia an ICM kick off meeting in Rote Ndao has been conducted; and a related effort is the establishment of Marine Pollution Task Force in East Nusa Tenggara. In Timor-Leste, the ICM Sub Task Team in PA Barique has been established and ongoing assessment is being undertaken for the development of the ICM Plan.</p>	<p><i>(not set or not applicable)</i></p>	<p><b>2</b></p>	<ul style="list-style-type: none"> <li>- To support the Rote Ndao's ICM, the Marine Pollution Task Force was established accompanying with a 3-year Action Plan for management of marine pollution. The Action Plan will be finalized by Reef Check Indonesia Foundation in Q2 of 2022.</li> <li>- The Action Plan covers 6 targets (strengthening data information; reporting mechanisms; increase capacity; increase community participation; strengthen regulation in East Nusa Tenggara; and to help facilitate networking and sharing of information and efforts on marine pollution).</li> <li>- ICM Kick-off meetings were conducted on-site and online. The meetings collaborated with the Reef Check Indonesia Foundation, FAO livelihood project, and BKKPN Kupang; BKKPN has planned to establish an office in Rote Ndao, supporting and synergizing programs and resources;</li> <li>- Ecological &amp; socio-economic assessments as well as gender assessment related to ICM concept development for Rote Ndao was conducted;</li> <li>- The ICM Policy Framework has not yet finalized with 4 potential pilot sites.</li> <li>- Related to climate change, the Project made an initiative in Rote Ndao on participatory coral reef ecosystem restoration exercise, involving 109 participants;</li> <li>- Development and finalization of Eba Framework aligned with ICM;</li> <li>- Planting tree activities supporting riverbank stabilization and spring water conservation in Manufahi and Manatuto;</li> <li>- Gender assessment result for Rote Ndao was completed and was shared at the BBRSE national webinar.</li> </ul>	<p>Moderately satisfactory</p>	<p>The ICM Plans and Policy Framework have not yet been applied, and are still under finalization. However, several documents were made to support the development of ICM.</p> <p>There are follow-up that can be taken into account:</p> <p>11. The ICM Action Plan needs to be finalised by the Reef Check Indonesia Foundation. Once adopted, key sustainable initiatives need to be taken.</p> <p>12. The establishment of ICM office in Kupang, and it needs to follow up with BKKPN Kupang.</p> <p>13. Dissemination and follow-up actions for ecological, socio-economic, and gender assessment for the Rote Ndao's ICM concept development.</p> <p>14. However, several activities in the field as a part of the Action Plans have been executed, such as piloting a business, mangrove and coral reef conservation, etc. before the finalization and adoption of the ICM Action Plan.</p> <p>15. The commitment and voluntary efforts from local communities are still low, and they still look for financial support and direct economy benefits.</p> <p>16. The communities are also observed to still not understand the objectives or issues tackled.</p> <p>17. Lack of children and young people in the activities conducted and should propose them in the Action Plan.</p> <p>18. Destructive actions to turtle and environment by local communities are still found (cutting trees, killing turtles, litterings).</p> <p>19. The ICM Policy Framework that has not yet finalised.</p> <p>20. Finalization of ICM-based Eba in Rote Ndao.</p>	<p>None (Please refer to the follow-up actions to progress the completion of the on-going activities).</p>
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<b>Output 2.4.1</b> <b>Integrated coastal management plans (ICM) that support SAP/NAP implementation developed and implemented through formulation and enactment of local regulations</b>	<p>2.4.1-1. Prepare a detailed work plan for the activities under this output, through consultations with relevant stakeholders, including members of the SPF and other existing expert and policy related forums, such as the existing Rote Ndao cross-sectoral committee.</p> <p>2.4.1-2. Undertake a gap analysis to understand what baseline assessment information exists and undertake a study to integrate the management of coastal management in marine spatial planning. This will complement the existing Marine Spatial Planning zoning map prepared by TNC under the "Planning for Sustainable Use: Developing coastal and marine spatial plan to inform investment plan and sustainable use of marine resources that benefits people and biodiversity in south coast area of Rote Ndao.</p> <p>2.4.1-3. Carry out a climate change vulnerability assessment for the target areas within Kabupaten Rote Ndao. This could include downscaling information available in a province level vulnerability assessment sponsored by the Ministry of Environment and Forestry.</p> <p>2.4.1-4. Preparation and adoption of an integrated management plan for the south coast of Rote Ndao. The project will work with provincial and district officials to identify a cluster of villages/communities or implementation of the pilot ICM activities.</p> <p>2.4.1-5. Improved Access to the Market for Women-Run Seaweed Growing and/or Processing Enterprises. Establishing and strengthening alternative resilient livelihoods.</p> <p>2.4.1-6. Business and Financial Management Training for Women-Run Home-Based Small Business Activities. Establishing and strengthening alternative resilient livelihoods.</p>	<ul style="list-style-type: none"> <li>- The Task Force Action Plan was developed with a 3-year period covering 6 targets (strengthening data information; strengthening information reporting mechanisms; increase capacity; increase community participation; strengthen regulation in East Nusa Tenggara; and to help facilitate networking and sharing of information and efforts on marine pollution)</li> <li>- Conducted ecological &amp; socio-economic assessments related to ICM concept development for Rote Ndao</li> <li>- Gender assessment result was completed for Rote Ndao and shared at the BBRSE national webinar.</li> <li>- N/A</li> <li>- Kick off meeting on ICM activities was conducted</li> <li>- ICM Policy framework was finalized with 4 potential pilot sites</li> <li>- Collaboration and training on seaweed has not yet been carried out, but supporting studies such as the socio-economic assessment related to ICM concept development and gender assessment was conducted.</li> <li>- Gender assessment in Rote Ndao was completed) and socio-economic assessments related to ICM concept development is ongoing</li> </ul>	Moderately Satisfactory	<p>All the activities are still ongoing but there are follow-up actions to be done:</p> <ol style="list-style-type: none"> <li>1) Facilitate ICM Action Plan adoption at Rote Ndao District level,</li> <li>2) Strengthen/conduct capacity building for partners or local government at the district level,</li> <li>3) Coordinate with NTT provincial government to build capacity and improve climate resilience</li> <li>4) Link the provincial education on natural disaster early warning system program to Rote Ndao coastal communities</li> <li>5) Raise awareness of climate change vulnerability, impact, and mitigation effort to the local stakeholder in Rote Ndao</li> <li>6) Develop an ICM Policy Framework in Rote Ndao</li> <li>7) Assist and facilitate in village development planning and budgeting (Perdes, RKPDs, APBDs, and local management system/hoholok)</li> <li>8) Develop Academic Paper to support ICM and Eba policy development at Rote Ndao district</li> <li>9) Facilitate collaboration of seaweed farmer groups with Seaweed association or seaweed industry to strengthen quality control and access market for Seaweed</li> <li>10) Identify gap assessment for seaweed quality, potential product diversity and market access in South Coastal Rote Ndao</li> <li>11) Improve product quality using several drying methods</li> <li>12) Facilitate training on responsible seaweed aquaculture based on existing best practice to support better environment seaweed farming and supply chain practices</li> </ol>	None (Please refer to the follow-up actions to progress the completion of the on-going activities).
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Project Strategy	Indicator	Baseline Level	Level in 2 <sup>nd</sup> PIR (self-reported) (2019 to July 2021)	Midterm Target	End-of-project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating	Remaining Barriers
								13) Assist with business analysis and develop market link for seaweed product from Rote Ndao 14) Facilitate business and financial Management Training and empowerment to Women-Run Home-Based Small Business Activities in selected area	

Number of women and men supported with alternative livelihoods that contribute to improved management of natural resources and increased resilience of their local communities with respect to the impacts of climate change	(not set or applicable)	This target is also linked with the above target on ICM. Part of ICM Plan (once completed and adopted) is the conduct of key sustainable initiatives. Initiatives related to alternative livelihoods have just started as provided below, and as such number of men and women supported will be part of subsequent PIR reporting in line with the roll-out of ICM plan and livelihood activities.	(not set or applicable)	<ul style="list-style-type: none"> <li>Total: 850 women and 650 men</li> </ul>	To support local communities' livelihood in Nusa Manuk island, Rote Barat Daya Sub-district, Rote Ndao: <ul style="list-style-type: none"> <li>- A preliminary survey on the status of the solar-powered water desalination in Nusa Manuk island in Rote Barat Daya sub-district was conducted and found that desalination units were broken since 2013. Initial discussions conducted with Dinas PU to secure more data about the units;</li> <li>- Assessment of alternative livelihood in Rote Ndao (soap from seaweed), Aru, and Merauke;</li> <li>- A technical training for maintenance and repairing of the existing solar-powered desalination unit was targeted;</li> <li>- Coordination with the Fisheries Department of Rote Ndao is required to map the distribution of the solar powered water desalination facilities in the area, to collect latest data on these equipments' current condition and functionality, and to identify a partner to support the program;</li> <li>- Gender Assessment in Rote Ndao was completed, highlighting the situation and needs of women in fisheries sector;</li> <li>- Development of EbA framework was initiated in 2021 and is being aligned with ICM concept in Rote Ndao.</li> </ul>	Moderately Satisfactory	<p>There are key issues need to be followed up:</p> <p>e. Solar-powered water desalination status and further actions to do (Ground check to be conducted in 2022, if plants are not feasible to be repaired easily, NCU will recommend to drop the target).</p> <p>f. Collaborating with similar program-having NGOs, especially ICCTF program of YAPEKA,</p> <p>g. Looking for a sustainable finance mechanism from partners to support the local communities' pro-climate livelihood (local business or nature based business solutions),</p> <p>h. Actions for actualizing the gender assessment report in Rote-Ndao.</p> <p>From MTR field assessment:</p> <ul style="list-style-type: none"> <li>- There is a seaweed soap business but they are not well-equipped with finance, safety tools, and training (one time from ATSEA-2).</li> <li>- The housewives participated in the business is decreased because of they did not feel direct beneficiaries.</li> <li>- Coral reef restoration has been found working but the spot for rehabilitation is incorrect due to local communities or village interventions/power;</li> <li>- Mangrove protection, coral reef conservation, and nature-based business are needed much infrastructure or facilities and finance to support their sustainability.</li> <li>- Local communities are still lack of understanding about climate change, marine litters, and turtles conservation.</li> <li>- Ecotourism development in Rote Ndao is possible with capacities and infrastructures support,</li> <li>- In piloting project or business for communities, they need a comprehensive activity</li> </ul>	Alternative activities must be carried out soon, and Please refer to the follow-up actions to progress the completion of the on-going activities.
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Project Strategy	Indicator	Baseline Level	Level in 2 <sup>nd</sup> PIR (self-reported) (2019 to July 2021)	Midterm Target	End-of-project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating	Remaining Barriers
<b>Output: 2.4.3 Climate Change adaptation, with a particular focus on ecosystem-based adaptation, incorporated in ICM plans and demonstrations implemented for two at-risk coastal sites in Indonesia</b>	2.4.3-1. Develop Eba key priorities and activities, and support local government unit stakeholders in integrating these activities into the ICM plan.					Development of Eba framework initiated in 2021 and is being aligned with ICM concept in Rote Ndao; Development and finalization of Eba framework will continue in 2022 Implemented in Q3 of 2022	Moderately Satisfactory	starting from initiation to closing with self-reliance impacts.	None (Please refer to the follow-up actions to progress the completion of the on-going activities).
	2.4.3-2. Capacity building of scientists and policymakers in ecosystem based approach to adaptation. This will include knowledge exchange of good practices and experience in ecosystem-based adaptation at technical and policy levels.  2.4.3-3. Eba measures implemented in select communities in Kabupaten Rote Ndao, including implementing good practices for mangrove and other coastal vegetation restoration together with local communities.  2.4.3-4. Technical Training for Maintenance and Repair of the Solar-powered Water Desalination Units. Establishing alternative resilient livelihoods and strengthening climate change adaptive capacity within the larger aim of integrated					In Rote Ndao, participatory coral reef ecosystem restoration exercise was conducted in 2 villages  The desalination was damaged and could not possible to repair.		All the activities are still ongoing and there are some activities that need to be followed up:  1. Facilitate socialization on EBA approach to climate adaptation assessment in Rote Ndao  2. Facilitate capacity building/training on Eba approach to climate adaptation for local scientists and policy makers in NTT & Rote Ndao level  3. Conduct community awareness with households with particular engagement of youth and women on the importance of coastal ecosystems to foster a sense of stewardship  4. Provide alternatives for SWRA activity  5. Conduct training of community members in ecosystem restoration and related livelihoods  6. Support implementation of ecosystem restoration process  7. Facilitate Training to community group for monitor and care for the ecosystem  8. Support Eba measures implemented in select communities in Kabupaten Rote Ndao	

### 4.2.3 Remaining Barriers to Achieve Objectives

Under the Indonesia ATSEA-2 Project Management, several barriers are identified to hamper the successful delivery of project deliverables. They are primarily as follows:

- Long and time-consuming administrative procurement (service and goods) and human resources procedures ruled by the UNDP Indonesia, leading to the delayed implementation of activities;
- Difficulties to harness or engage local NGOs or sophisticated communities as implementing partners, being involved in the Project due to language barriers, particularly English-demanded applications;
- Changes in leadership management - National Project Boards - affecting the Indonesia PMT goals, directly and indirectly, and positively or negatively, especially spending time for induction;
- Governmental restructures and transitions in Indonesia MMAF, especially BRSDM and LIPI, will be changed into BRIN, leading to several delays, especially in Indonesia NIMC and data collection;
- Most PMT members have confirmed that implementing component 1 is so challenging because the outputs (such as MPA establishment) require the endorsement by the Indonesia Minister of MMAF;
- Difficulties in meeting arrangement, especially for gathering the NPBs or high-level eminent people (internal and or external meetings) to hold the Project meetings;
- Unprecedented events are also considered to hamper the project activities' implementation, such as the Covid-19 and Seroja cyclones.
- Discontinued vertical communications and consultations with the NPB are observed, and they request to be updated with the current project status.

## 4.3 Project Implementation and Adaptive Management

### 4.3.1 Management Arrangements

In the section on Management Arrangement, the MTR study focuses on the quality of GEF, UNDP support, NPB, Indonesia ATSEA-2 NCU, and current management arrangements stipulated in the Project Document (changes for effectiveness, clear responsibilities, and reporting lines, and transparent and a timely matter decision making). The Project Document stipulated that the Indonesia ATSEA-2 Project management arrangement is under the National Implementation Modality with an implementing partner of the Indonesia Ministry of Marine Affairs and Fisheries (MMAF).

The management arrangement was also composed based on the UNDP-GEF Project's standard arrangements in the International Waters focal area (Figure 2 and 3), which, for the Indonesia team, it is composed by:

- a. National Project Boards (Senior Beneficiaries, Executive, and Senior Suppliers),
- b. UNDP Environment Unit Representative for Indonesia,
- c. Programme Manager of UNDP Indonesia, and
- d. National Coordinating Units.

If referred to the approved Project Document, it can be seen slight modifications of the organogram are identified. The changes are more concerned with structural change, including reorganizing the ATSEA-2 Project organization's hierarchy (RPMU and NCU PNG line) and adding institution/employee positions (CMMAI in the Senior Beneficiaries of NPB). For instance, the Indonesia NCU has added a recent M&E officer and gender specialist whose M&E and gender consultants previously handled jobs. Three field officers are also designated to aid the implementation

at three sites of the Project. However, the changes do not change the responsibilities or designated works of the units. In addition, UNDP Indonesia has no changes in responsibilities, mainly tasked with conducting project assurance quality, performance, and audits. The Indonesia NCU also still works for daily coordination with NPBs and agencies, communities, and sectors of communities on-the-ground project activities implementation across.

From our study, the Indonesia management arrangement was clearly described and appropriately developed to support the achievement of results. UNDP Indonesia also has supported the Indonesia Team, but procedural and administrative issues become a bottleneck for the project implementation (delays). M&E and reporting system is well-managed under the Indonesia NCU with reviews from UNDP Indonesia and NPBs, but most of the comments provided, for instance, in PIR, are too general that need to be specified for the project improvements. At the Indonesia components, high decision-makers are always ensured their contribution to providing quality support:

1. At the GEF level: The GEF is updated with the project progress by MMAF and UNDP Indonesia through at least one meeting. All ministries in the NPB review the project progress before updating to GEF, and the GEF is mainly concerned with senior beneficiaries, country priorities, and their challenges.
2. UNDP Indonesia level: The project manager is coordinated with the project manager by providing input, directions, and management support. UNDP Indonesia periodically stages M&E and tracks the progress of the project, which will be accommodated for being highlighted for senior boards.
3. NPB level: NCU has harnessed the presence of NPB for updating project progress and connecting with certain echelons under MMAF in integrating the annual project work plan. The board has the responsibility to provide approval in recruitment, work plan, and budget allocation.

The management of risks was considered moderate based on the Project Document. Still, unprecedented events (Covid-19 and Seroja cyclone), and governmental issues (government structure re-organization) that are still difficult to manage, have the high potential to impact the desired outcomes. During the pandemic and cyclones, the project team staged innovative and solutive strategies, namely: 1) conducting intense online coordination and meetings, 2) engaging third parties to execute site activities, and 3) opting to put plan B if plan A doesn't work. Since the Indonesia NCU operationalization will close in 2023, Component 1 of the project is envisaged as a significant challenge to implement because of Indonesia's bureaucracy and red tape, especially in getting endorsements of national documents. A six-month extended timeframe for the actualization of Indonesia components to achieve deliverables can be a major solution for the above, considering that Covid-19 has suspended the activities implementation for almost 2.5 years. This issue needs to be discussed further with considering the decisions from the GEF Secretariat. For a government ownership regard, the Project has also engaged governmental bodies as an implementing partner (NPD and Executive), and it is very effective to achieve expected outputs. The government has aligned national development and environmental agendas in the Project Document and vice versa. They also have committed to assisting the Project in being successful and completed. The GoI also aligned the Indonesia components with regional and international agreements on marine and fisheries management, such as RPOA IUU Fishing, UNSDGs, etc. They are responsible for defining and planning what should be done at the national level, which is in line with the regional plan of action, to achieve the strategies, long and short-term goals.

#### 4.3.2 Work Planning

The study evaluated several issues, including suspended activities and their causes and solutions, results/outcomes-based work planning, and the project's results framework/ logframe use as a management tool. The study showed that there is only one delayed activity, namely: Under Component 1, output 1.1.2 on NIMC establishment: the output has not yet been achieved due to the governmental structure transition from BRSDM to BRIN. However, concerted efforts were performed to achieve the output by developing NPB TOR, NIMC TOR, legalization framework, and conceptual model.

All project design and its work-planning process are based on results-based management (RBM), focusing on performance and the achievement of results (outputs, outcomes, and impacts) by ensuring that all interventions have relevancy, efficiency, effectiveness, and impact on the results. In addition, the work planning has the following indicators for RBM, such as:

- a. clear and structured framework/logframe with clear objectives,
- b. continuous M&E and its obvious reporting line,
- c. multi-stakeholder engagement for project design,
- d. clear management of risks documented in PIR,
- e. dissemination of knowledge products and results for continuous learning.

There have been proposed changes in the project's results framework/ log frame to date, especially in indicators and output levels, such as the use of METT score for MPA management effectiveness altered into EVIKA, a proposed KPI for new initiated MPA Kolepom area, and technical training for SWRO maintenance. All the detailed changes are amplified in Point 4.1.2 on Results Framework/Log frame.

#### 4.3.3 Finance and Co-finance

Under the section on finance and cofinance, the MTR report is concentrated on the effectiveness of financial planning, including

- 1) strong financial controls established to inform decision-makers and to ease fund disbursement and payments,
- 2) variance on planned and actual budget,
- 3) fund management and audits,
- 4) cofinancing monitoring and its updated information to partners, and
- 5) fund allocation changes.

It is very well-understood that in the approved Project Document, the finance and co-finance of the Indonesia component are still merged with the Papua New Guinea Component. The budget is clearly broken down in the Project Document by ATLAS category with highlighting budget notes for the Indonesia Component. The Project fund is also allocated within the determined five-year project implementation timeframe. UNDP Indonesia as Principal Project Representative will manage Award ID 00096036 (Indonesia), and Indonesia receives additional direct benefit from one third of the regional budget allocation. It will be reported through annual BAST to the Ministry of Finance.

**Table 7.** Finance and co-finance for the ATSEA-2 Project' Indonesia component

a. Allocation and disbursement of Indonesia's fund per sources (as of 31 March 2022)

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
GEF Agency for Indonesia	GEF	Grant for Indonesia Component	3,180,000	1,299,794	40.87%
Donor Agency	UNDP Indonesia	Grant	75,000	N/A	N/A
Donor Agency	UNDP Indonesia	In-kind	50,000	N/A	N/A
Recipient Country Government	Government of Indonesia, Ministry of Marine Affairs and Fisheries (MMAF)	In-kind	16,345,261	19,260,349	117.83%
Recipient Country Government	Government of Indonesia - <i>Government of Indonesia, Grant LIPI, Grant</i>	Grant	400,000	450,484	112.62%
			300,000	N/A	N/A
		<b>TOTAL</b>	<b>20,350,261</b>	<b>21,010,627</b>	<b>102.81%</b>

b. Allocation and disbursement of GEF funds- IDN Component (as of 31 March 2022)

Project Component	5-year Budget (US\$)	Expenditures (US\$)	%
Component 1	345,674	219,647.66	63.55
Component 2	2,785,150	1,066,986.29	38.31
Project Management	49,176	14,169.71	28.81
<b>Total</b>	<b>3,180,000</b>	<b>1,300,803.66</b>	<b>40.91</b>

UNDP Indonesia controls the Indonesia component's finance and cofinance, fund disbursement, and payments based on the regulations enacted by the UNDP Country Office Indonesia. Since the approved annual work plan becomes a financial reference for activity implementation, every budget allocation must be coordinated in its cost-sharing and use. We also noted that there is no transfer of funds from the approved annual work plan to the following year, and if there is a budget revision, it must be approved at the NPB meeting. The team is also constantly updated with the finance delivery report from UNDP Indonesia and prepares a three-monthly CDR update. There is also no fund transfer to the Indonesia ministry, and all are centered on UNDP by using the NIM COSS mechanism. For instance, the Combined Delivery Report (CDR) is issued annually with a signature from MMAF and UNDP Indonesia. UNDP Indonesia also controls the service and good procurement and payment process. There are also found variances in the planned and actual budget due to delayed activities as an implication of the Covid-19 pandemic and still at the mid-stage of project implementation. Under the Indonesia component, there is no project bank account, spot check, and auditing as a part of the micro-assessment. It is also found challenging to monitor the cofinance and its updated information monthly, and the CRD for cofinance is received only during the MTR stage although it is generally updated in the PIRs.

Table 7a and 7b shows co-financing for UNDP Supported GEF Financed Projects. It shows that the Indonesia Component received a GEF grant of USD 3,180,000 with co-financing from UNDP Indonesia (in-kind and cash), the Ministry of Marine Affairs and Fisheries (in-kind and cash), and other donors. To date, the financial delivery of the Indonesia component has been 53% based on the proposed annual work plan (AWP) budget (USD 2,47,671) and the mid-approved AWP budget (USD 1,299,794). However, as compared to the 5 year WP budget (USD 3,180,000), the financial delivery rate is only 41%. From Table 7b, component 1 spent the highest percentage of expenditure as of 31 March 2022 compared component 1 and project management. Component 2 and project management had the lower percentage of expenditure below 40% but the percentage of expenditure as of 31 March 2022 was 40.91%.

For the co-financing mechanism, there are no data for the Mid-CDR to UNDP Indonesia, LIPI, and other donors' cofinance. UNDP Indonesia has confirmed that during the MTR study, they could not provide a co-financing report (CDR) whereas at the 3<sup>rd</sup> RSC Meeting, NPD or Indonesia MMAF has received a confirmation from LIPI to exclude the in-kind contribution from LIPI within supporting the ATSEA-2 project due to institutional changing in Indonesian government. To date, only the MMAF cofinance (grant and in-kind) reports were received, detailing the in-kind co-finance expenses from BRSDM Secretariat (USD 10,834,855), Fishery Research Center (USD 7,508,941), and Tuna Fishery Research Site (USD 916,533). For the co-finance grant contributed by MMAF, the total surpassed its committed co-finance grant, namely USD 450,484, with its delivery rate of 112.62%. The delivery rate from the MMAF in-kind and grant cofinancing is at 117.83% and 112.63%, respectively, surpassing their initial co-finance commitments. All the financial delivery of the Indonesia component is about 102.81%. We also noted that there are different data shown between the Project Document and Annex G. That is because the confirmation letter attached in annex G of the MMAF co-finance was submitted to the ATSEA-2 Project before validation and signing of the Project Document. Since the MMAF co-finance contributions surpassed its committed contribution, MMAF will continue to provide more support to the ATSEA-2 project objectives and targets in the next half term of the project. For co-finance, it is also noted that UNDP Indonesia had no co-finance report forwarded to the Indonesia team and RPMU. Somehow, the ATSEA-2 Project should ensure that their recorded co-finance commitment can be ensured its delivery within supporting the project implementation.

#### 4.3.4 Project-Level Monitoring and Evaluation System

In terms of project monitoring and evaluation system, parameters analyzed include M&E system quality (budget and resource), appropriateness to specific content, necessary information availability, critical partners engagement, alignment with national systems, usage of references, participatory monitoring, follow-up actions, and adaptive management, GEDSI-based development objectives, and management risks.

In the Project Document, there is an M&E budget allocated to certain M&E activities with designated responsible parties and timeframe. However, no information in the Indonesia component related to the monitoring budget plan is detailed, but under the Regional component of knowledge management, reporting is highlighted clearly. If referring to the budget expense, the budget for the M&E system is still sufficient, and the resources (for instance, the current associate officer for M&E was recruited as a permanent officer, and previously, the former officer was a consultant handling M&E and gender issues).

Overall, the M&E System under the Indonesia ATSEA-2 Project is comprehensive, clear, and appropriate; the system follows the GEF and UNDP M&E standards. The M&E system is also developed to accommodate the specific context of the Project. For instance, in the PIR, as a mandatory report, a template that tracks the progress status, SES, management risks,

recommendations from reviewers, and cross-cutting sectors of the Project, is created. In NCU Indonesia, M&E associate/specialist coordinates all the reports by seeking inputs from team members and approval from the project coordinator before submission to RPMU, UNDP Country Office Indonesia, and NPD.

The responsible M&E officer and Coordinator, with the assistance of Indonesia PMT, have provided the necessary information on the M&E products/tools by collecting updated information or data from field visits, meetings, reports, and other knowledge products. The data are collected from the ground (site level) to the national level, and targeted outcomes and outputs are always tracked. The acquired national reports are subsequently submitted to RPMU with approval from the NCU coordinator. At the ground level, there has been an initiation to develop a people-centered data collection or participatory monitoring systems for Oil Spills, IUU Fishing, and other marine areas protection with the assistance of SPF or POKJA, or PokWasMas. The ground data can be submitted to the Indonesia NCU for M&E.

For management responses for the M&E reports, such as PIR, there are spaces for involved key boards, such as the project manager, GEF Focal Point, implementing partner, UNDP Country Office, and others to evaluate and provide comments on the Project with rating it. However, no detailed information can be extracted from their review, and the NCU needs detailed information and recommendation to expedite the achievement of project objectives. Information on GEDSI, most notably, women empowerment, is strongly mainstreamed in the Project Document and reported in the PIR. However, most issues are stressed in quantity (gender statistics) with enough information or description on gender quality. The gender data is also suggested to be separated based on age, education, and job, if applicable, to ascertain how these suggested variables reflect gender roles, relations, and inequalities in targeted communities and the Project. During the field visit, children and young people are still found limited to engage, and not all activities in the field engage women (presumably because the activities only required men to work).

Risk management is addressed well as stipulated in the PIRs, especially during the Covid-19 pandemic (as a substantial risk). The PMT has successfully applied adaptive management for the Project, such as intense virtual meetings and continuous engagement of stakeholders. With the unprecedented risk, the Indonesia NCU still execute the activities well without any complaints or grievances by partnering their works with NGOs or other third parties. The project team has also extracted lessons learned from their project implementation by documenting them in reports, regular updates, and monthly presentation meetings. They will also acquire adjustment and support for activities from NPD/UNDP Country Office/RPMU/MMAF, and the lessons are also informed to RSC by infiltrating them into annual work plans.

#### 4.3.5 Stakeholder Engagement

In view of stakeholders' engagement, this report addresses issues on the appropriate partnership, support from local to national government stakeholders, active roles from the stakeholders in decision making, stakeholder involvement and public awareness for project achievement, and limitations of stakeholder awareness and participation. From this study, the Project Document portrayed stakeholder involvement plans by considering highly participatory and inclusive engagement processes. They also provided guiding principles as an approach to excel stakeholder participation. Under the Indonesia NCU Component, they have partnered with government, local communities, and NGOs in necessary and appropriate cooperations intended to help expedite activities. In the Project Document and other docs (Conceptual Model of SFM), they have identified the potential private sectors, but there is no information detailed in reports on their actual engagement. The Indonesia NCU colleagues are also interested in engaging local NGOs, but due to their finite capacities and administrative procedures ruled by the UNDP Indonesia, they are hampered from contributing.

Local, sub-national, and national governments have established mutual partnerships. Still, at a certain level, local government (PEMDA), due to limited financial support, can not fill gaps in establishing ecotourism, especially with a lack of infrastructures, facilities, and accessibility for ecotourism development. Local and sub-national governments have participated actively in the ATSEA-2 project component 2, such as developing POKJA, issuing decrees on MPA initiation and zonation, marine task force, and fishery crime forum. Local and sub-national government parties are directly and indirectly engaged in project decision-making, and NPBs accommodate their voices for project improvements. For instance, local and sub-national governmental representatives are invited to participate in several ATSEA-2 activities, working groups, meetings, ICM committees, EAFM assessments, etc.

However, during the MTR study, we observed that, for instance, some representatives sometimes don't attend the invited meetings, and the representatives are not continuously engaged. In addition, other stakeholders having potential interest and power (influence) are not involved in groups or conferences. At the local level, the communities still lack a basic understanding of the issues addressed by the ATSEA-2 Project, such as climate change, biodiversity loss, marine pollution, etc. Their presences are also still oriented toward "fast obtainment of money/profit" rather than subjecting the activities as the primary sources for socio-ecological and economic benefits. In addition, capacity building and training are not performed continuously, leading to difficulties in fostering a sense of ownership and empowerment within control over their future development.

#### 4.3.6 Reporting

Under this part, assessments are focused on the reporting and sharing of adaptive management changes, project team and partners in fulfilling the GEF reporting requirement, sharing PIRs with to project board and key stakeholders, and taking lessons from adaptive management. From the reporting, all activities are updated and tracked in their progress. There are three identified reports that the NCU Indonesia has contributed to providing comments partially and entirely:

- a. Internal reports: The NCU Indonesia contributes to monthly updates, quarterly progress reports, and quarterly PAR. The NCU renders inputs to the inputs for the ATSEA-2 annual progress report.
- b. UNDP required reports: The NCU Indonesia is tasked to prepare the UNDP PAR, whereas the QA report is carried out only by the Project Manager with the information from NCU.
- c. GEF required reports: The NCU Indonesia is only to provide inputs for the PIRs reporting.

From the above, the Indonesia NCUs have contributed to developing PIR, mid and end-year PAR, quality assurance form, and internal quarterly reporting.

Adjustments in the project as a part of adaptive management are well addressed in the reporting, including delayed key milestones and risk management. These are informed and overcome with recommendations or comments by a project manager, GEF technical adviser, and other principal board members. The Indonesia NCU colleagues have fulfilled the GEF requirements by providing a PMT report incorporated to PIR and updated information on GEF TT at the start and mid-project timelines. The Indonesia project team has updated the RPMU about their activities, project progress, risks, adaptive management, and other parameters that align with the PIR format. Before submitting the national annual report to NPBs, it must be checked by the Project Coordinator, and if there are no further inputs, the report can be forwarded to RPMU and finally to GEF. Under UNDP requirements, the Indonesia team contributed reports in the form of PARs and quality assurance reports, but for the audit check and internal spot check report, Indonesia's budget (fund received and expenditures) is audited under the regional management within a certain period.

At the ground level, where the Project engages third parties, they created a Whatsapp group platform for regular communication and coordination. The platform is also used for exchanging files, information, and documentation. If the activities or reporting deadline is almost close, a daily to weekly coordination is taken. The challenge for reporting is mostly concerned with English writing, spending much time reviewing and addressing inputs before being approved.

#### 4.3.7 Communications

This part concerns effective and regular internal and external communication, feedback mechanism from communication, communications intended for outcomes' achievement and long-term investment, educational and awareness aspects, and communication materials. Under Indonesia's NCU, in monitoring project status, the team conducts regular internal and external communications among team members, field executors/assistants, partners, and regional units. They also organize an NPB meeting run twice per year. Meeting arrangements (informal consultations) for NPB and its derived institutions with its project team also are intensively carried out to address sudden and immediate challenges through several digital platforms if physical presence is not doable. However, NPB also confirmed that they have not yet received any updates related to the meetings, pending issues, and the project progress at national and regional points since the Q4 of 2021 and Q1 of 2022. That happens because presumably the NPB could not remember the detailed information stemming from RPMU and NCU Indonesia at the same time. It is also noted that the RPMU and NCU Indonesia always develop and disseminate the ATSEA-2 Annual Progress Report magazine in the Q1 of each year to all RSC members, including NPB. Furthermore, they also stage internal meetings to update the project progress. To ensure the workable field activities, field facilitators constantly update and conduct regular visits at least once a month, monitor project implementation committed by the partners, and receive communities' feedback. They also do regular communications at the district and sub-national levels.

Besides verbal communication, the non-verbal communication system is also developed by benefiting from social media, press, and media partnerships. Readers use and harness publicly accessible knowledge products of the Project, and social media (Instagram, website, Facebook, and Twitter) are also updated for a successful outreach campaign. All Indonesian components' knowledge products are centralized in one integrated regional knowledge management and documentation system.

However, no knowledge management officer or staff is responsible for creating, synthesizing, and disseminating effective communication results (informing, listening, and conversing) and documentation to improve work processes and create organizational learning. As a result, a knowledge management mechanism is handled by the knowledge management specialist at the regional unit, supported by Indonesia's NCU in providing data and information.

At the local site, an educational and awareness program for local communities is considered lacking attention and not continuous. They still face difficulties in capturing the essence and basic understanding of the programs, leading to the creation of complexity in capacity development. After obtaining capacity building and training, the communities are still considered to have a low sense of ownership, meaning that the community's degree of ownership and responsibility towards any programs or activities running in the community is still lacking. For instance, they still pollute the marine by not managing plastic waste, cutting down forest trees but conserving mangroves only, and not valorizing all parts of extracted barramundi fishes.

### 4.3.8 Cross-cutting Sectors

#### 4.3.8.1 Gender and Women Empowerment

Under the cross-cutting gender and women empowerment issue, the Indonesia NCU team, with the assistance of a gender specialist/consultant, has applied gender marker 2, highlighting the promotion of gender equality in a significant and consistent way. It is also clearly integrated as a primary measure in the ATSEA-2 objective and outcome (outcome 2.1 on improved fisheries management, especially 2.1.1 on EAFM, and 2.4 on ICM and KPI: number of women and men supported with the alternative livelihood).

Related to the gender data, the Indonesia team has successfully included gender-sensitive data (sex-desegregated data to understand gender quota and distinguish participants (meetings, workshops, FGDs, etc.)). They also always ensure putting the number of women in certain activities. However, there has been no gender data isolated based on age, education, social status, and other categories. Furthermore, it is noted that misunderstanding in gender mainstreamed and integrated into the Program always occurs. Gender perspectives were also integrated before project inception and design stipulated in the Project Document to see the trajectory where women's interest is accommodated and tailored. In addition, the capacity of staff to integrate the perspectives into the Program is still low, and gender issues are not just a job for gender specialists, but all staff should also generally know to put in place gender issues.

Based on the MTR field study, women are involved at a certain level of activities. For instance, women are engaged in developing a seaweed soap business in Rote Ndao, but their participation is considered to decrease along with time, and they are not equipped with safety tools and Covid-19 preventive measures. The decrease in women participation is due to group dynamics (interests, internal family affairs, and advantage considerations) but the production of soap increases. In addition, the NPD has recommended altering some activities or outputs of the Indonesia components that are too ambitious and impossible to stage. Some activities stipulated in Table 5 can be altered into women empowerment-based activities as recommended by NPD. At the national level and project level, women have posited in strategic positions, NPB, potential NIMC structure, and PMT at Indonesia NCU. Some gender and women empowerment activities were performed, and knowledge products were excellently produced, such as:

1. EAFM socialization and training led by EAFM Learning Center in Aru and Merauke were conducted by engaging 27 Men trainees and 8 Women trainees.
2. GESI assessments (inequality, barriers, opportunities, and needs) and action plan were completed in Aru and Rote Ndao to support the embodiment of ICM and EbA Action Plan;
3. Many local to national activities were undertaken by applying the principle of gender equality and women empowerment.

#### 4.3.8.2 Covid-19 Pandemic and Natural Disaster

The ATSEA-2 Project has responded to the pandemic by developing a study on the ATSEA-2's New Normal Project Management Plan. In the study report, the project has been impacted by the pandemic, assessed its components risks and work plan and budget adjustment, and has created agile strategies in Indonesia sites/components.

Indonesia's NCU colleagues have taken many endeavors to address the Covid-19, impeding filed activities implementation. They recruited contractors and consultants as a part of site mobilization to manage specific activities to achieve targets, such as national NGOs (reef check, YKAN, etc.) and local universities, based on the procurement procedures issued by UNDP Indonesia. They also have partnered with them to develop products of knowledge. They staged some activities at the site levels

and virtually. From the MTR study, the Indonesia NCU also would like to procure local NGOs that are more experienced with local situations and understanding to assist the project site implementation. However, that is totally restrained by English-based procurement and procedures that must be met.

The Project team has also performed intense coordination among team members and partners through weekly to monthly virtual meetings intended to track the progress status of activities in achieving outputs. We also noted that UNDP Indonesia had ruled stringent strategic measures to curb and adapt to the pandemic with the principle "do no harm", stopping its staff members and consultants from traveling. As a result, the third parties who are committed to being able to travel with flexibility are designed as site-level implementing agents. After the completion of the activities, they are required to present the results in the ATSEA-2 Project forums.

Due to the presence of Covid-19, the Indonesia NCU also has carried out online meetings and consultations, maximized coordination with local contacts, and secured more local assistance. The company of Seroja tropical cyclones was also influential in affecting the project implementation. They also applied adaptive management by adjusting the timeline of activities in Rote Ndao and ruled regular communications with partners at the site level. It is also noted that Seroja cyclones damaged many infrastructures and created a limited access to travel. As a result, for instance, YRCI had difficulties conducting site activities. They worked mostly to develop knowledge products by a literature review (ICM framework) and coordinate virtually with Kupang's stakeholders.

#### 4.3.9 Social and Environmental Standards (Safeguards)

The Project Document initially developed a Social and Environmental Screening (SES) stipulated in the SES procedure report with emphasizing three approaches, namely Project mainstreaming on the human-rights based approach, improving gender equality and women's empowerment, and mainstreaming environment sustainability. The score of the screening was low risk. However, the updated SES procedure report was available along with the UNDP's revised Social and Environmental Standards coming into effect on 1 January 2021. The Project attempted to provide additional information by stressing on four principles, namely:

1. Mainstreaming on the human-rights-based approach.
2. Improving gender equality and women's empowerment.
3. Mainstreaming sustainability and resilience.
4. Strengthening accountability to stakeholders.

The Project identified eight risks with a score of moderate. Through the updated screening, a Social and Environmental Safeguards Management Plan (SESMP) for the Arafura and Timor Seas Ecosystem Action Phase 2 (ATSEA-2) Programme was developed to minimize the impact on the environment and reach the set of environmental objectives of the ATSEA-2 Project. The document and screening are mostly concentrated at the regional level without detailing national conditions. The updated SES matters are also always reported in the space of PIR.

## 4.4 Sustainability

### 4.4.1 Financial Risks to Sustainability

This part lies in the potential resources for financing and finance and finance delivery updates. Based on our MTR study, at the national to local sites, the Project is required to conduct research on the sustainable financing mechanism that concerns analyzing business plan models, developing innovative finance, and accessing new and existing finance available in Indonesia. It is also noted

that the Project has planned to create a 5-year cost estimate and financing plan contributed from national and subnational budgets and other possible funds. The program has been supported through assessments of the financial landscape.

From the MTR interviews, several stakeholders have issues with securing finance to sustain the potential ATSEA-2 Project outcomes. They have recommended the Project to help access the existing financing sources, such as Fundraising, National Voluntary Fund, "Badan Layanan Umum (BLU)" fund, CSR fund by establishing a public-private partnership platform, "Dana Alokasi Khusus (DAK)" fund through mainstreaming the activities in local government budget-based policies. It is also noted that the Dana Wali Amanah (Trustee Fund), as printed in presidential Regulation No. 80/2011, can be a source for the MPA financing. International sources that have the potential to provide financing are from Asia Development Bank, GIZ, NORAD, Green Climate Fund, EU-READI/European Unions, USAID, and the World Bank.

Regarding the co-finance mechanism, there is a lack of information on co-finance reporting, and to date, we have only received the co-financed from the MMAF of the GoI. In addition, the details of budget allocation from co-finance are still unclear without any justifications provided in the Project Documents. Under the report of MMAF, they spent an actual contribution of USD 19,710,833. LIPI has also excluded itself from the Project's co-finance, and the institution sent a letter to the Project. For co-finance, it is also noted that UNDP Indonesia had no co-finance report forwarded to the Indonesia team and RPMU. Somehow, the ATSEA-2 Project should ensure that their recorded co-finance commitment can be ensured its delivery within supporting the project implementation.

#### 4.4.2 Socio-economic to Sustainability

This sustainability issue concerns social or political risks, stakeholder ownership, the sufficiency of public/stakeholder awareness, and lessons learned for replicating the Project. At the RPMU and Indonesia NCU level, it is noted due to governance issues, LIPI has requested to exclude itself from the Project's co-finance, and the institution sent a letter to the Project. The local government (PEMDA) is also observed to have a low sense of ownership to support of certain activities, especially ecotourism development. In addition, at the local sites, the local communities' awareness to support the Project is still lacking. For instance, their participation in capacity building and training decreases time by time. As a result, the NCU Indonesia keeps striving to conduct continuous capacity building and training for them. In addition, limited main facilities in ecotourism development and damaged public infrastructures (SWRO) that will be targeted for project activities implementation are identified to cut the sustainability current of the Project. In addition, piloting a business plan in Rote Ndao need sustainable education, capacity building or training, access to support, and safety.

In addition, the Project has developed many action plans, such as ICM Action Plan in Rote Ndao, Action Plan for NTT Marine Pollution Task (Pokja), Kolepom MPA Management and Zonation Plan; and these need to be ensured its implementation and sustainability rather than only documented in a directory or repository. In supporting their sustainability, some respondents requested to continuously engage relevant stakeholders, building PPP, and optimize the human resources from local NGOs and local universities.

Besides the Project Document, the NCU Indonesia identifies externalities from process and buy-in programs of partners. They understand that integrating activities into governmental programs is not straightforwardly carried on. For instance, the Project could not obtain Papua's provincial government ownership for considering the project activities as additional governmental work. That is because Papua Government is not much more familiar to collaborate with the third party than West Papua Government. In addition, the new development of the region into three provinces has caused additional issue in partnership and collaboration. Conflicts in project sites sometimes occur, choking the project site implementation. For instance, in 2019-2020, there was a Papua conflict, resulting in

the prohibition to travel in the area. In Aru, there is also a village conflict, engendering the Project to adjust their project activities without exacerbating the conflict.

The Project also noted several exit strategies for the potential activities when the Project is closed nearly. They noticed that most activities are harmonized and in line with the MMAF plan actions and local government strategies, and these institutions can ensure the continuity of the activities. In addition, the Project has committed to achieving self-reliance for assisting communities at the ground level.

#### 4.4.3 Institutional Framework and Governance Risks

The Project has been confronted with governmental restructure and transformation that jeopardize the project outcomes achievement. Pusrisikan BRSDM and LIPI will be transformed into BRIN under the Ministry of Education, Culture, Research, and Technology. Changes in project board members are also another challenge to hamper the sustainability of the project. It is also noted that LIPI co-finance has been taken out from the Project co-finance contributions, leading to the disturbance in the profiling of the red snapper fishery as a part of the EAFM outcome. Long procedural procurement systems in UNDP Indonesia become another issue that can move the embodiment of sustainability slower.

#### 4.4.4 Environmental Risks to Sustainability

Based on the SESP risk assessment, environmental risk is considered low. However, at the site level, such as Rote Ndao, although mangrove rehabilitation and preservation are conducted, local communities are still found to cut forest trees down in forest areas for fuel. In addition, marine pollution and hidden turtle catching are still spotted. Basic understanding and essences of understanding specific transboundary issues addressed in the Project are still low during capacity building and training practices. Other environmental risks identified include IUU fishing, habitat destruction, and gender equality issues in accessing and governing marine resources.

Barramundi fish wastes in Merauke and unprecedented events due to climate change, such as the Seroja cyclones in Rote Ndao, can be the potential climate-and environmental risks, endangering the outcome viability. Circularity and nature-based solutions can be applied to address the burdens, which can be mainstreamed in future project planning. In addition, climate change adaptation in the Project should not overlook the GHGs sequestered. We noted that the Project also had rehabilitated the degraded ecosystem of mangroves, and GHGs measurement can be an additional target in future project design.

## 5. CONCLUSIONS AND RECOMMENDATIONS

### 5.1 Conclusions

The Indonesia stakeholders (NPB, NCU, partners, and UNDP Indonesia) have worked excellently to expedite the planned activities in accomplishing the outputs of the ATSEA-2 Project. They have applied their activities along with the Project Document's Strategic Framework/Logframe, which is also tracked and compliant with GEF and UNDP requirements and internal systems. However, the TOC, as a regional part of knowledge management that is usually combined with the log frame, was developed after the Project Document approval, primarily used to provide a better understanding of the links between interventions and the changes the Project wants to achieve. Furthermore, after several assessments and consultations, several KPIs (indicators) and outputs for the Indonesia component are perceived to be impossible to reach (Please refer to point 4.1.2). The impossible or ambitious outputs (ecotourism development and SWRO capacity building) to achieve will be altered into more potential activities, such as capacity building and training for empowering women

The Indonesia component has succeeded in applying agile and adaptive management by integrating project/program design, management, and monitoring to systematically test assumptions and risks that occurred, especially due to the Covid-19 pandemic and Seroja cyclones. However, the governmental transformation of the GoI and administrative procedures in UNDP Indonesia are still a significant threat to project outcomes, governance, and institutional sustainability. Communication, stakeholders engagement, M&E, reporting system, work planning, and finance are effectively managed. Indonesia's delivery report for finance use is moderate, with an actual budget use of GEF finance and MMAF co-finance of 40,87% and 80.36%, respectively. However, co-finance information is still challenging to be analyzed, although reporting template is provided. That is because only one report of the MMAF of the GoI is available. Co-finance from LIPI was withdrawn, and the GoI informed the official confirmation. Risks to achieving the sustainability of the Project in terms of finance, governance, institution, socio-economic, and environment are still identified in the Indonesia component. As a result, from this MTR study, some recommendations are given, and please refer to Point 5.2.

### 5.2 Recommendations

Referring to the conclusion and issues occurring in the project, below are the recommendations suggested for the Indonesia components.

**Table 8. Recommendations for the project management**

Rec No.	Recommendations	Entity Responsible
1.	Outcomes under Indonesia Component: Some Indonesia component activities are completed, but there are some activities that are ongoing, delayed, and have not yet started mainly due to COVID limitations, as well as some challenges encountered with Seroja cyclone, lengthy procurement process in UNDP, and reorganization from BRSDM to BRIN. The NPB and NCU should expedite these activities' implementation with no cost extension from the GEF Secretariat as a main donor, as it would not be feasible	RSC, NPB, NCU Indonesia, and UNDP Indonesia

	to achieve some of the EOPs given the current timeframe (project closure by 2023) and preferably align project closure of Indonesia component with the overall end date for the entire ATSEA-2 Project. The acceleration of all ongoing and pending activities within the remaining project lifetime for Indonesia components will impose some implications to the project planning and budgeting.	
2.	<p>Recommend to reword the output 1.4.3 under Indonesia component:</p> <p>Under the outcome of updated TDA, SAP, and NAPs, instead of “Priority actions under ATS NAP mainstreamed into national development programs and budgets” as EOP, the MTR recommends to modify the EOP as follows:</p> <p>“Indonesia's priority actions under the updated ATS NAP are "submitted for mainstreaming" into national development programs and budgets by Indonesia's NPB and NCU after the updated NAP is validated and endorsed by the NPB and NIMC (please refer to ProDoc activities 1.4.3-1, 14.3-2, and 1.4.3-3).</p>	RSC, NPB, NCU Indonesia, and UNDP Indonesia
3.	<p>Building on the initial assessment undertaken, the MTR recommends to revisit Target Activities 2.1.3-8 and 2.1.3-10 under Indonesia component and to specify specific areas to be covered. Such change can be noted in Indonesia’s annual work planning and not at SRF level:</p> <ul style="list-style-type: none"> <li>➤ Original Activity 2.1.3.-8: Conduct a study to estimate IUU fishing (quantitatively- in tons) in FMA 718.</li> <li>➤ Proposed Revised Activity Description for 2.1.3-8: Conduct a study to estimate and establish baseline on IUU fishing in FMA 718, focusing in Aru and Merauke areas as project sites.</li> </ul> <p>And</p> <ul style="list-style-type: none"> <li>➤ Original Activity 2.1.3-10: Improve Registered Vessels System: In collaboration with MMAF, support the program of registered vessels from Indonesian Archipelagic Waters (R-VIA) that has been implemented in the Arafura Sea.</li> <li>➤ Proposed Revised Activity Description for 2.1.3-10: Improve Registered Vessels System at the Provincial Level (Maluku and Papua) covering three commodities (red snapper, shrimp, and barramundi)</li> </ul>	RSC, NPB, NCU Indonesia, and UNDP Indonesia
4.	<p>Recommend to clarify the Indicator and EOP for MPA Management Effectiveness of SE Aru in Indonesia.</p> <ul style="list-style-type: none"> <li>➤ Original Indicator: Protected Area Management Effectiveness Score</li> <li>➤ Original EOP: 92 (from baseline of 39)</li> <li>➤ MTR recommends to change the indicator to: Protected Area Management Effectiveness Score (Management Effectiveness Tracking Tool to comply with project requirement and EVIKA system)</li> </ul>	RSC, NPB, NCU Indonesia, and UNDP Indonesia

	<p>to comply with Indonesian government national requirement)</p> <ul style="list-style-type: none"> <li>➤ MTR recommends to change the EOP to: Maximum of 70 METT score (or lower considering that more mature MPAs in Indonesia have reached only maximum of 78 METT in the case of Wakatobi MPA and 70 METT in the case of Bunaken MPA based on 2017 data). For EVIKA system, target the score of 50-85% (optimized management of MPA) where the EVIKA assessment is carried out based on SK No. 28/ KEP-DJPRL/2020 and by SK No. 36/KEP-DJPRL/2021.</li> <li>➤ Suggested additional supporting activity: Conduct an assessment on EVIKA and METT for SE Aru to see how EVIKA aligns with the METT system. Report both EVIKA and METT scores to comply with the ATSEA-2 project requirement on METT and the internal country requirement on EVIKA.</li> </ul>	
5.	<p>Recommend to adopt the new EOP for MPA Kolepom area building on the finalized Marine Spatial Plan and Zonation Plan in the area.</p> <ul style="list-style-type: none"> <li>➤ Under the objective level of landscapes and seascapes under improved biodiversity management, Indonesia was originally set to establish a new MPA in Kolepom covering: 555,000 ha</li> <li>➤ MTR recommends to change the EOP to: Establish a new MPA in Kolepom covering <b>353,287 ha</b>, and support strengthening management effectiveness of existing MPA in SE Aru covering 114,000 ha.</li> </ul>	RSC, NPB, NCU Indonesia, and UNDP Indonesia
6.	<p>Considering the remoteness of the area, lack of facilities, and lack of local government support on ecotourism development, the MTR recommends to revisit and reassess the target output from Activity 2.3.2-16 on the conduct of a feasibility study for ecotourism opportunities in Merauke, with a focus on the Kolepom MPA.</p> <ul style="list-style-type: none"> <li>➤ Suggested alternative activity: In line with the completed EAFM Plan in Merauke as well as the Management Plan for Kolepom, pursue more nature-based capacity development, gender empowerment based capacity building, and alternative livelihood activities. Instead of tourism, focus interventions on alternative sustainable fisheries livelihoods.</li> </ul>	RSC, NPB, NCU Indonesia, and UNDP Indonesia
7.	<p>Considering the assessment in Kolepom, Rote and Merauke, where it was found that there is no significant turtle presence in the area, the MTR recommends to provide alternative activities and revisit outputs for Activity 2.3.3-6 and 2.3.3-7 on conducting a feasibility study to explore alternate livelihood tourism opportunities for communities in Aru Islands, Rote, and Merauke and possibly other sites based around turtles and piloting a project in Indonesia for establishing tourism opportunities, respectively.</p>	RSC, NPB, NCU Indonesia, and UNDP Indonesia

	<p>➤ Suggested alternative activities: Conduct more turtles conservation education for local communities while providing alternative nature-based livelihoods or capacity building empowerment for communities, taking into consideration involvement of women, particularly in seaweed/mangrove soap business, seaweed farming, sugar palm business, mangrove seed-based super cake enterprise, and so forth. Noting that the ongoing home-based seaweed/mangrove soap business run by housewives do not have proper safety tools, which can lead to exposure of chemicals, NaOH, and additives, the MTR recommends the Project to collaborate with the local government and the hired vendors in setting up a separate and specific production area in the community with proper safety procedures, tools/facilities.</p>	
8.	<p>Based on the MTR survey and the Project assessment, the machine of seawater reverse osmosis (SWRO) desalination plant was no longer functional years before the ATSEA-2 project started. As such the project target activity to provide support on technical training for maintenance and repair of would no longer be realistic and feasible. The MTR also noted that Nusa Manuk is not part of the key sites of ATSEA-2 as it is located in a separate island which require further resources from the project. Considering the remaining resources and time for the project, the MTR recommends to reassess Target Activity 2.4.3-4 on Technical Training for Maintenance and Repair of the Solar-powered Water Desalination Units.</p> <p>➤ MTR Suggestion: Drop the target activity in Nusa Manuk Island on Technical Training for Maintenance and Repair of the Solar-powered Water Desalination Units.</p> <p>➤ Suggested Alternative Activity: Introduce a pilot activity within the project site of ATSEA-2 in Indonesia (Landu Tii in Rote Ndao) where there is also a need for safe drinking water and conduct activities related to water, sanitation, and hygiene (WASH) projects, supporting the communities to access safe and affordable drinking water.</p>	RSC, NPB, NCU Indonesia, and UNDP Indonesia
9.	<p>On reduced fishing effort, the MTR recommends to revisit the EOP for Indonesia and to make the target clearer and more specific:</p> <p>➤ Original EOP: Aru, IDN: 25% reduction in fleet size within shrimp and red snapper fisheries</p> <p>➤ Suggested modified EOP: Support registration of 25% fishing fleet for shrimp and red snapper fisheries under the Provincial Government of Maluku.</p>	RSC, NPB, NCU Indonesia, and UNDP Indonesia

10.	<p>On improved use of fish gear/techniques, the MTR recommends to revisit the EOP for Indonesia and to make target clearer and more specific:</p> <ul style="list-style-type: none"> <li>➤ Original EOP: Aru, IDN: 50% of vessels within the shrimp and red snapper fisheries; 50% using VMS; and Merauke, IDN: 50% barramundi fishers using improved gear.</li> <li>➤ Suggested modified EOP: Support 50% shrimp, red snapper and barramundi fisheries using fishing gear or additional fishing gear that are selective to the Endangered, Threatened and Protected (ETP) species.</li> </ul>	RSC, NPB, NCU Indonesia, and UNDP Indonesia
11.	<p>Administrative procedures for product and service procurements under UNDP Indonesia have been sensated to retard the project implementation. In addition, UNDP Indonesia is requested to consider establishing procedures to hire local NGOs (tender or bidding) with Bahasa Indonesia-based application requirements. That is noted because size mobilization for local NGOs or communities in the targeted project sites is very versatile to expedite the project implementation as the implementing agencies or partners could not handle the site project implementations due to several issues, such as Covid-19 pandemic, Seroja cyclones, and other unprecedented events.</p> <p>The UNDP admin and procurement processes entail a number of steps and considerations which have for several instances have affected the implementation of some activities.</p>	UNDP Indonesia
12.	<p>The Project Team still needs guidance from NPB and UNDP Indonesia to address several challenges. Agile and adaptive management and results-based management are still critical references for the NPB and UNDP Indonesia to be applied during the project implementation by focusing more on performance and achieving results (outputs, outcomes, and impacts).</p> <ul style="list-style-type: none"> <li>• These need intense coordination and consultation meetings between NCU Team with NPB, UNDP Indonesia, and RSC at least bi-yearly (at the middle and the end/beginning to discuss the project progress and annual work plan approval). NPB should be charged permanently as a standing board during the project period (5 years).</li> <li>• Co-financing meetings with the Indonesia component's partners must regularly be carried out to align financing priorities and annual work plans. Monitoring the use of co-finance commitments needs to be updated monthly with a similar CDR template and detailed justifications of expenses as monitoring the GEF finance budget.</li> </ul>	

	<ul style="list-style-type: none"> <li>The logical framework and ToC as a management tool need to be combined to examine any changes in the Project since the Project has been commenced.</li> </ul>	
13.	<p>At the local sites, there are some recommendations that need to be considered:</p> <ul style="list-style-type: none"> <li>The Project is suggested 1) to furnish essential learning and applying knowledge prior to providing capacity building and training for local communities, 2) to provide safety tools (K3), apply preventive measures during or post the Pandemic, and equip them with affordable facilities, 3) to collaborate with private sectors in managing MPAs in Aru and Kolepom, and 4) to optimize engagement of local universities and NGOs in assisting the Project activities at the site level, mainly research and data valorization, EAFM learning (LEAD EAFM and EAFM Essential activities) extension, MPA management, plan of action actualization, MSC system enhancement, etc.</li> <li>As a part of exit strategies, the NCU Indonesia is recommended to identify potential, innovative, and replicable activities that be applied to other sites as a lesson learned at the end of project closure; and identify local to international financing bodies that can sustainably support the potential activities. The project is requested to consider institutional framework, governance, and environmental externalities that might threaten the project's viability and sustainability.</li> </ul>	NCU Indonesia

## **6. REFERENCES**

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United Nations Development Programme (UNDP). 2014. Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects. New York: UNDP.

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United Nations Development Programme (UNDP). 2019. The Revised UNDP Evaluation Policy. New York: UNDP.

United Nations Indonesia. 2019. UN Partnership for Development Framework (UNPDF). Jakarta: UN Indonesia.

## 7.ANNEXES

### Annex 1. TOR of MTR national consultant for Indonesia

#### *Midterm Review Terms of Reference* (excluding TOR annexes)

##### 1.1.1.1.1.1 BASIC CONTRACT INFORMATION

**Location:** Home based, with possibility of travel to sites

**Application Deadline:** March 18, 2022

**Type of Contract:** Individual Contract

**Post Level:** National In-Country Consultant (for Indonesia)

**Languages Required:** English; knowledge of Bahasa would be an advantage

**Starting Date:** April 1, 2022

**Duration of Initial Contract:** 30 working days

**Expected Duration of Assignment:** 9 weeks (April to June 2022)

##### 1.1.1.1.1.2 BACKGROUND

#### **A. Project Title**

Implementation of the Arafura and Timor Seas Regional and National Strategic Action Programs (ATSEA-2); Second Phase of the Arafura Timor Seas Ecosystem Action (ATSEA) Program

#### **B. Project Description**

This is the Terms of Reference for the UNDP-GEF Midterm Review (MTR) of the full or medium-sized project titled “Implementation of the Arafura and Timor Seas Regional and National Strategic Action Programs (ATSEA-2); Second Phase of the Arafura Timor Seas Ecosystem Action (ATSEA) Program ” (*PIMS 5439*), implemented through UNDP/PEMSEA, which is to be undertaken in 2022. The project started in 2019 and is in its third year of implementation. This Term of Reference (ToR) sets out the expectations for this MTR. The MTR process must follow the guidance outlined in the document [Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects](#) and the UNDP’s Evaluation Guidelines [www.undp.org/evaluation](http://www.undp.org/evaluation) (Jan 2019).

The ATSEA-2 Project is the 2nd phase of the GEF-financed, UNDP-supported ATSEA program, and was designed to enhance regional collaboration and coordination in the Arafura and Timor Seas (ATS) region, which is composed of Australia, Indonesia, Papua New Guinea (PNG), and Timor-Leste.

Building upon the foundational results realized in the first phase of the ATSEA program (2009-2014), whereby the ATS Transboundary Diagnostic Analysis (TDA) and regional ATS Strategic Action Program (SAP) and corresponding National Action Programs (NAPs)<sup>28</sup> were developed and adopted, the ATSEA-2 project focuses on supporting the implementation of the 10-year ATS SAP endorsed through a Ministerial Declaration in 2014. The SAP responds to the findings of the TDA and aims to pursue the following environmental objectives addressing the five major transboundary concerns in the ATS region: (1) Recovering and sustaining fisheries; (2) Restoring degraded habitats for sustainable provision of ecosystem services; (3) Reducing land-based and marine sources of pollution; (4) Protecting key marine species; and (5) Adaptation to the impacts of climate change.

In accordance with the SAP's long-term objective, the ATSEA-2 project aims to enhance sustainable development of the ATS region to protect biodiversity and improve the quality of life of its inhabitants through conservation and sustainable management of marine-coastal ecosystems. To achieve this objective, the project's intervention has been organized in three components, under which nine outcomes and 22 outputs are expected. The project components include:

Component 1: Regional, National and Local Governance for Large Marine Ecosystem Management

Component 2: Improving LME Carrying Capacity to Sustain Provisioning, Regulating and Supporting Ecosystem Services

Component 3: Knowledge Management

The project is closely aligned with the GEF-6 International Waters (IW) strategic programs, particularly Objective 3 "Enhance multi-state cooperation and catalyze investments to foster sustainable fisheries and protect coastal habitats, and reduce pollution of coasts and Large Marine Ecosystems (LMEs)". It also applies a multifocal approach which covers international waters and biodiversity focal areas, as well as increased resilience to climate change.

The project is being managed under National Implementation Modality (NIM) with full country office support. In particular, UNDP Indonesia serving as the Principal Project

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<sup>28</sup> Under ATSEA-1, the countries of Indonesia and Timor-Leste have developed and adopted their respective National Action Programs (NAPs). PNG was an observer country during ATSEA-1.

Representative (PPR) is managing Indonesia component (Award ID 00096036) and Regional and PNG component (Award ID 00111335), while Timor-Leste component (Award ID 00111339) is being executed by UNDP Timor-Leste. The Partnerships in Environmental Management for the Seas of East Asia (PEMSEA) is serving as executing agency for the regional and PNG component of the project. Indonesia, PNG, and Timor-Leste are the three participating countries to the project with corresponding co-financing support, while Australia is providing technical and co-financing support to the project.

The project has a five-year timeframe starting from 2019 to 2024. The project implementation began in 2019 but with varying starting dates based on the signing of the Project Document by member countries: Indonesia-01 February 2019; Timor-Leste-05 March 2019, Papua New Guinea-29 July 2019, while at the regional level the activities started from 24 July 2019 following the signature of Project Cooperation Agreement (PCA) between PEMSEA and UNDP Indonesia. The Indonesia, Timor-Leste, and regional components' project inception meetings were conducted in the last quarter of 2019, while PNG's inception meeting was conducted only on 31 May 2021, following the series of discussions and finalization of the Memorandum of Agreement (MOA) between PEMSEA and the National Fisheries Agency (NFA) of PNG which was signed on 21 October 2020. The Regional Project Management Unit (RPMU) serving as Secretariat and based in Bali, Indonesia was operationalized beginning early 2020, while National Coordinating Units (NCUs) were operationalized in Indonesia and Timor-Leste in 2019, and in PNG in 2021.

The total GEF grant for the project is US\$ 9,745,662, with corresponding co-financing commitments (in-kind and in cash) amounting to US\$60,201,173 from the ATS government partners, UNDP Indonesia, UNDP PNG, and NGO partners. For the Indonesia component, the total GEF grant is at US\$ 3,180,00, with corresponding co-financing commitment amounting to US\$ 33,490,522.

Based on World Health Organization (WHO) data on COVID19, from January 3, 2021 to February 9, 2022, there have been a total of 4,626,936 confirmed cases and 144,784 deaths from COVID-19 in Indonesia; 20,942 confirmed cases and 122 deaths in Timor-Leste; and 37,983 confirmed cases and 597 deaths in Papua New Guinea. Large social restrictions or lockdowns in these countries, including in the ATSEA-2 project sites, were implemented since 2020 to prevent Covid-19 pandemics. In Indonesia large-scale social restrictions were put in place since March 2020 with some restrictions reduced towards end of 2021. The latest Minister of Home Affairs Instruction (Inmendagri) No. 12/2022 stated that PPKM Level 4 to Level 1 on the islands of Java and Bali would be implemented until February 28, 2022, while the regions of Jakarta and its greater areas, the major cities of Yogyakarta and Surabaya, as well as Bali, will continue to enforce PPKM Level 3. In Timor-Leste, varying measures (lockdowns and sanitary fences) were implemented in different municipalities since 2020. Temporary measures in response to COVID-19 has been imposed up to March 2022. In Papua New Guinea, state of emergency and lockdowns were implemented for several months from March 2020, followed by specific lockdowns in September to October

2021 due to spike in COVID cases. In line with this, as early as March 2020 the Regional Project Management Unit (RPMU) together with the National Coordinating Units (NCUs) have identified and put in place adaptive management measures by maximizing the use of virtual or online mechanisms for coordination and communication as well as strengthening coordination with local counterparts for on-the-ground initiatives. While the project has managed to carry out significant number of activities, the various lockdowns and safety measures implemented by the ATS countries from 2020 and up to current time, have impeded the conduct of planned regional exchange learning visits as well as some field validation and primary data gathering activities. This has also affected some of the project financial delivery as several site visits and face to face activities or meetings had to be converted to virtual means or postponed to a later date. Based on internal assessment, some works can continue on-schedule, while some may need to be further deferred and likely to delay and some may need readjustment to adapt to the new normal. Apart from COVID-19, natural calamities such as the Seroja cyclone in April 2021 have also affected some activities including in the area of Rote Ndao in Indonesia, and large parts of Timor-Leste.

### **C. MTR Purpose**

The MTR will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document's Strategic Results Framework, 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, including gender mainstreaming and approach to the vulnerable group, and its risks to sustainability. The MTR will also look at any project interventions that have contributed directly or indirectly to government's effort of COVID-19 recovery both at the national level and project sites. Related to COVID-19, key ATSEA-2 initiatives such as the inclusion of COVID-19 impacts in the conduct of the Gender Equity and Social Inclusion (GESI) survey and analysis, particularly to women in the fisheries sector, as well as to community livelihoods, would be worth looking into as part of the MTR. The MTR is targeted to be conducted at this time given that the project is already halfway through its implementation. This MTR is in accordance with the UNDP/GEF evaluation plan for the project.

Result of the MTR will be submitted to the GEF. The MTR findings and responses outlined in the management response will be incorporated as recommendations for enhanced implementation during the final half of the project's duration.

#### **1.1.1.1.1.3 DUTIES AND RESPONSIBILITIES**

### **D. MTR Approach and Methodology**

The MTR report must provide evidence-based information that is credible, reliable and useful.

The MTR team will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Social and

Environmental Screening Procedure (SESP), the Project Document, project reports including Annual Project Review/PIRs, project budget revisions, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review. The MTR team will review the baseline GEF focal area [GEF Core Indicators](#)<sup>29</sup>//Tracking Tools submitted to the GEF at CEO endorsement, and the midterm GEF focal area Core Indicators/Tracking Tools that must be completed before the MTR field mission begins.

The MTR team is expected to follow a collaborative and participatory approach<sup>30</sup> ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), the UNDP Regional Technical Advisor, direct beneficiaries, and other key stakeholders.

Engagement of stakeholders is vital to a successful MTR.<sup>31</sup> Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to executing agencies (UNDP, PEMSEA), senior officials and task team/ component leaders, key experts and consultants in the subject area, Project Board, project stakeholders, academia, local government and CSOs, etc. Additionally, the MTR team, particularly the national in-country consultants are expected to conduct field missions subject to travel and safety restrictions in the project sites. In Indonesia, the following project sites will be covered by the MTR:

No	Location
1	Kabupaten Aru Islands (District)
2	Kabupaten Merauke (District)
3	Kabupaten Rote Ndao (District)

<sup>29</sup> [Guidelines on Core Indicators and Sub-Indicators](#)

<sup>30</sup> For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results, 05 Nov 2013](#).

<sup>31</sup> For more stakeholder engagement in the M&E process, see the [UNDP Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 3, pg. 93.

On 11 March 2020, the World Health Organization (WHO) declared COVID-19 a global pandemic. It should be noted that an overall approach and method for conducting of MTR of UNDP-supported GEF-financed projects has been adjusted to consider the COVID19 pandemic, particularly on the conduct of field visits<sup>32</sup>. As COVID19 restrictions and challenges are still very much prevalent in the project participating countries and sites, the review should consider a mixed methodology that takes into account the conduct of the MTR virtually and remotely, including the use of remote interview methods and extended desk reviews, data analysis, surveys and evaluation questionnaires. This should be detailed in the MTR Inception Report and agreed with the Commissioning Unit.

For this MTR, an International Consultant (IC) will be engaged and will work remotely with national in-country consultants' support in the field if it is safe for them to operate and travel. There will be one national in-country consultant (NC) for Indonesia and one for Timor-Leste. No stakeholders, consultants or UNDP staff should be put in harm's way and safety is the key priority. A short validation mission may be considered for the national in-country consultants if it is confirmed to be safe for staff, consultants, stakeholders and if such a mission is possible within the MTR schedule.

The specific design and methodology for the MTR should emerge from consultations between the MTR team and the above-mentioned parties regarding what is appropriate and feasible for meeting the MTR purpose and objectives and answering the evaluation questions, given limitations of budget, time and data. The MTR team must, however, use gender-responsive methodologies and tools and ensure that gender equality and women's empowerment, as well as other cross-cutting issues and SDGs are incorporated into the MTR report.

The final methodological approach including interview schedule, field visits (for country/national consultants, if possible), tools (i.e., surveys, evaluation questionnaires, remote interviews if travel is not feasible, etc.) and data to be used in the MTR should be clearly outlined in the Inception Report and be fully discussed and agreed between UNDP, stakeholders and the MTR team.

The final MTR report must 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.

## **E. Detailed Scope of the MTR**

The MTR team will assess the following four categories of project progress (in national reports and full MTR report). See the [Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects for](#) extended descriptions.

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<sup>32</sup> COVID19 Evaluation Guidance :  
<http://web.undp.org/evaluation/guideline/documents/covid19/update/June2021/UNDP%20DE%20Guidance%20Plannin g%20and%20Implementation%20during%20COVID19%203%20June%202021.pdf>

## i. Project Strategy

### Project design:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of participating countries?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- Review the extent to which relevant gender issues were raised in the project design (e.g. the impact of the project on gender equality in the programme country, involvement of women's groups, engaging women in project activities). See Annex 9 of [Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects](#) for further guidelines.
- If there are major areas of concern, recommend areas for improvement.

### Strategic Results Framework (SRF)/Logframe:

1. Undertake a critical analysis of the project's SRF indicators and targets, assess how "SMART" the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
2. Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?
3. Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.
4. Ensure broader development and gender aspects of the project are being monitored effectively. Develop and recommend SMART 'development' indicators, including sex-disaggregated indicators and indicators that capture development benefits.

## ii. Progress Towards Results

- Review the logframe indicators against progress made towards the end-of-project targets; populate the Progress Towards Results Matrix, as described in 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 the project objective and each outcome; make recommendations from the areas marked as "not on target to be achieved" (red).

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

Project Strategy	Indicator <sup>33</sup>	Baseline Level <sup>34</sup>	Level in 1 <sup>st</sup> PIR (self-reported)	Midterm Target <sup>35</sup>	End-of-project Target	Midterm Level & Assessment <sup>36</sup>	Achievement Rating <sup>37</sup>	Justification for Rating
<b>Objective:</b>	Indicator (if applicable):							
<b>Outcome 1:</b>	Indicator 1:							
	Indicator 2:							
<b>Outcome 2:</b>	Indicator 3:							
	Indicator 4:							
	Etc.							
<b>Etc.</b>								

**Indicator Assessment Key**

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

In addition to the progress towards outcomes analysis:

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

## 1. Project Implementation and Adaptive Management

### Management Arrangements

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

<sup>33</sup> Populate with data from the Logframe and scorecards

<sup>34</sup> Populate with data from the Project Document

<sup>35</sup> If available

<sup>36</sup> Colour code this column only

<sup>37</sup> Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

- 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?

### 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 by the Commissioning Unit and project team, 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
		<b>TOTAL</b>			

- Include the separate GEF Co-Financing template (filled out by the Commissioning Unit and project team) which categorizes co-financing amounts by source 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 risks<sup>38</sup> (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.

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<sup>38</sup> Risks are to be labeled 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; Labor and Working Conditions; Community Health, Safety and Security.

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 & Knowledge Management

- 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).

## **2. Sustainability**

- Validate whether the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Register 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 consultant/team will include a section in the MTR report for evidence-based **conclusions**, in light of the findings.

Additionally, the MTR consultant/team 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.

The MTR consultant/team should make no more than 15 recommendations total.

**Ratings**

The MTR team will include its ratings of the project's results and brief descriptions of the associated achievements in a *MTR Ratings & Achievement Summary Table* in the Executive Summary of the MTR report. See the TOR Annexes for the Rating Table and ratings scales.

*Table. MTR Ratings & Achievement Summary Table for (Project Title)*

Measure	MTR Rating	Achievement Description
<b>Project Strategy</b>	N/A	
<b>Progress Towards Results</b>	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.	
<b>Project Implementation &amp; Adaptive Management</b>	(rate 6 pt. scale)	
<b>Sustainability</b>	(rate 4 pt. scale)	

## F. Expected Outputs and Deliverables

The MTR team shall prepare and submit:

- MTR Inception Report: MTR team clarifies objectives and methods of the Midterm Review no later than 2 weeks before the MTR mission. To be sent to the Commissioning Unit and project management. Completion date: (April 8, 2022)
- Presentation: MTR team presents initial findings to project management and the Commissioning Unit at the end of the MTR mission. Completion date: (April 30, 2022)
- Draft MTR Report: MTR team submits the draft full report with annexes within 3 weeks of the MTR mission. Completion date: (May 15, 2022)
- Final Report\*: MTR team submits the revised report with annexed and completed Audit Trail detailing how all received comments have (and have not) been addressed in the final MTR report. To be sent to the Commissioning Unit within 1 week of receiving UNDP comments on draft. Completion date: (May 30, 2022)

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

## G. Institutional Arrangements

The principal responsibility for managing this MTR resides with the Commissioning Units. The Commissioning Unit for this project's MTR is UNDP Indonesia Country Office for the contracting of International Consultant (IC) who will be in-charge of the review of the regional and PNG component and overall MTR, as well as for the contracting of a National In-Country Consultant (NC) for the Indonesia component. While UNDP Timor-Leste will serve as the Commissioning Unit for the contracting of NC for the Timor-Leste component.

The Commissioning Units will contract the consultants and ensure the timely provision of the travel arrangements within the country for the MTR team, if the travel is permitted. The Project Team (RPMU and NCUs) will be responsible for liaising with the MTR team members to provide all relevant documents, set up stakeholder interviews, and arrange field visits if possible. In particular, the Regional Project Management Unit (RPMU) and NCU PNG will provide necessary logistical support to the IC, while the National Coordinating Units (NCUs) in Indonesia and Timor-Leste will provide logistical support to the respective NCs.

The Commissioning Units and Project Team will provide logistic support in the implementation of remote/virtual meetings if travel to project site is restricted. An updated stakeholder list with contact details (phone and email) will be provided by the Commissioning Unit to the MTR team.

If travel is possible, the national in-country consultant shall conduct a field visit to the following project sites in Indonesia:

No	Location
1	Kabupaten Aru Islands (District)
2	Kabupaten Merauke (District)
3	Kabupaten Rote Ndao (District)

## H. Duration of the Work

The total duration of the MTR will be approximately 30 days over a period of 9 weeks starting April 1, 2022, and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

- (18 March 2022): Application closes
- (30 March 2022): Selection of MTR Team
- (1 April 2022): Prep the MTR Team (handover of project documents)
- (4 April 2022) 3 days: Document review and preparing MTR Inception Report
- (8 April 2022) 2 days: Finalization and Validation of MTR Inception Report- latest start of MTR mission
- (10-25 April 2022) 13 days: MTR mission: stakeholder meetings, interviews, field visits
- (30 April 2022): Mission wrap-up meeting & presentation of initial findings- earliest end of MTR mission
- (15 May 2022) 10 days: Preparing draft report
- (30 May 2022) 2 days (r: 1-2): Incorporating audit trail on draft report/Finalization of MTR report (note: accommodate time delay in dates for circulation and review of the draft report)
- (1-10 June 2022): Preparation & Issue of Management Response
- (17 June 2022): Expected date of full MTR completion

The date start of contract is 1 April 2022.

## I. Duty Station

The MTR Team will be composed of three consultants, one International Consultant (IC), one National In-Country Consultant (NC) for Indonesia, and one National In-Country Consultant (NC) for Timor-Leste.

The IC will be home based and will be working remotely in coordination with the NCs. Possible field visits may be arranged for the NCs in accordance with travel and safety restrictions in the sites due to COVID-19.

The IC will serve as the team leader and will be tasked to provide guidance to the NCs, and undertake the overall design and writing of the MTR Report for the project with its annexes as required in the [Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects](#). Apart from producing the overall consolidated MTR report, the IC will also undertake an in-depth review of the regional and PNG component. The IC will be supported by NCs from the other two project participating countries (Indonesia and Timor-Leste). The NCs will act as a focal point for coordinating and working with relevant stakeholders in their respective countries and will be responsible in preparing a more in-depth evaluation of the in-country activities and progress.

The IC, in collaboration with the NCs, is expected to deliver the following key outputs:

- (1) Consolidated MTR Inception Report
- (2) National Report on PNG
- (3) Full/consolidated MTR Report with annexes (which includes the key findings, conclusions and recommendations from the National Reports from PNG, Indonesia, and Timor-Leste)

The NCs, in coordination with the IC, are expected to deliver the following key outputs:

- (1) National Reports of their respective countries
- (2) Ensure that key inputs from national reports are covered in the consolidated MTR Report to be prepared by the IC.

**Travel:**

- Local travel may be possible to be undertaken by the NCs in respective project sites in their respective country of assignments during the MTR mission, subject to COVID-19 travel and safety restrictions in the concerned sites;
- The BSAFE training course must be successfully completed prior to commencement of travel; Herewith is the link to access this training: <https://training.dss.un.org/courses/login/index.php> . These training modules at this secure internet site is accessible to Consultants, which allows for registration with private email.
- Individual Consultants are responsible for ensuring they have vaccinations/inoculations when travelling to certain countries, as designated by the UN Medical Director.
- Consultants are required to comply with the UN security directives set forth under <https://dss.un.org/dssweb/>
- All related travel expenses will be covered and will be reimbursed as per UNDP rules and regulations upon submission of an F-10 claim form and supporting documents.

#### 1.1.1.1.1.4 REQUIRED SKILLS AND EXPERIENCE FOR NATIONAL IN-COUNTRY CONSULTANT (NC)

**J. Qualifications of the Successful Applicant**

The National Consultant (NC) should have prior experience and exposure to similar projects and evaluations in other regions globally. The selected applicant cannot have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.

The selection of consultant will be aimed at maximizing the overall qualities in the following areas:

Education:

- Master's Degree on sociology, development studies/ management, environmental science, environment & natural resources management, social anthropology, or any related course (20%)

Experience:

- Minimum five (5) years of relevant professional experience especially on results-based monitoring and evaluation methodologies and applying SMART indicators and reconstructing or validating baseline scenarios (20%);
- Experience in the evaluation of technical assistance projects, preferably UN agencies and major donors (20%);
- Minimum 2 years work experience with institutions, programmes and local and national governments in the ATS region, experience working with Indonesian government agencies, NGOs. government process is an asset (10%)
- Demonstrated understanding of issues related to sustainable fisheries, coastal and marine habitats and biodiversity, climate change, marine and land-based pollution, including experience in gender sensitive evaluation and analysis, and experience working on application of EAFM, ICM, EbA approaches (20%)
- Excellent English writing and communication skills. Demonstrated ability to assess complex situations in order to succinctly and clearly distill critical issues and draw forward looking conclusions (5%)

- Experience leading multi-disciplinary, multi-national teams to deliver quality products in high stress, short deadline situations (5%)
- Experience with implementing evaluations remotely will be considered an asset.

### Language

- Fluency in written and spoken English. Knowledge of Bahasa would be an advantage.

## **K. Ethics**

The MTR International Consultant (IC) and entire MTR team 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 UNEG ‘Ethical Guidelines for Evaluation’. The MTR team 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 team 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.

## **L. Schedule of Payments**

- 20% payment upon satisfactory delivery of the final MTR Inception Report and approval by the Commissioning Unit (UNDP Indonesia)
  - 40% payment upon satisfactory delivery of the draft MTR report to the Commissioning Unit
  - 40% payment upon satisfactory delivery of the final MTR report and approval by the Commissioning Unit and RTA (via signatures on the MTR Report Clearance Form- ToR Annex F) and delivery of completed MTR Audit Trail
- Criteria for issuing the final payment of 40%<sup>39</sup>:
- 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).

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<sup>39</sup> The Commissioning Unit is obligated to issue payments to the MTR consultant 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 consultant, 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 consultant, suspend or terminate the contract and/or remove the individual contractor from any applicable rosters. See the UNDP Individual Contract Policy for further details:

[https://popp.undp.org/\\_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP\\_POPP\\_DOCUMENT\\_LIBRARY/Public/PSU\\_Individual%20Contract\\_Individual%20Contract%20Policy.docx&action=default](https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PSU_Individual%20Contract_Individual%20Contract%20Policy.docx&action=default)

- The Audit Trail includes responses to and justification for each comment listed.

Due to the current COVID-19 situation and its implications, a partial payment may be considered if the consultant invested time towards the deliverable but was unable to complete to circumstances beyond his/her control.

#### 1.1.1.1.1.5 APPLICATION PROCESS

### M. Recommended Presentation of Offer

- Letter of Confirmation of Interest and Availability** using the [template](#)<sup>40</sup> provided by UNDP;
- CV and a Personal History Form** ([P11 form](#)<sup>41</sup>);
- 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 Indonesia Procurement Unit Menara Thamrin 7-9th Floor Jl. MH Thamrin Kav. 3 Jakarta 10250 in a sealed envelope indicating the following reference “Consultant for Implementation of the Arafura and Timor Seas Regional and National Strategic Action Programs (ATSEA-2) Midterm Review” or by email at the following address ONLY: (bids.id@undp.org) by **(23:59 PM GMT +7 on 18 March 2022)**. Incomplete applications will be excluded from further consideration.

### N. Criteria for Selection of the Best Offer

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

### O. Annexes to the MTR ToR

Annexes include: (reference ToR Annexes in Annex 3 of *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*)

- List of documents to be reviewed by the MTR Team
- Guidelines on Contents for the Midterm Review Report
- Midterm Review Evaluative Matrix Template

<sup>40</sup>

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

<sup>41</sup> [http://www.undp.org/content/dam/undp/library/corporate/Careers/P11\\_Personal\\_history\\_form.doc](http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc)

- UNEG Code of Conduct for Evaluators/Midterm Review Consultants
- MTR Required Ratings Table and Ratings Scales
- MTR Report Clearance Form
- Audit Trail Template
- Progress Towards Results Matrix and MTR Ratings & Achievement Summary Tables (in Word)
- [GEF co-financing template](#) (in Word)

## Annex 2. Field visit schedule

Date of travel	Place	Time (Kupang Time)	Activities conducted
Wednesday, 01 June 2022	Jepara, Semarang, Jakarta, and Kupang	06:00– 20:00	<ul style="list-style-type: none"> <li>- Departured from Ahmad Yani International Airport</li> <li>- Arrived in Kupang</li> <li>- Discussions with the ATSEA-2 NCU colleagues and local partners</li> </ul>
Thursday, 02 June 2022	University of Nusa Cendana and National Water Conservation Area Center (BKKPN), Kupang	08:00-08.30 08.30-09.00 09:30-10:30 10:30-11:00 11.00-12.00 12:00-13:00 13:30-14:00 14:00-15:00 15:30-16:30 17:00-20:00	<ul style="list-style-type: none"> <li>- Travel from hotel to BKKPN Kupang</li> <li>- Interview with Mr. Imam Fauzi (Head of BKKPN Kupang)</li> <li>- Travel from BKKPN Kupang to hotel for attending ATSEA-2 Project's Marine Pollution training</li> <li>- University of Nusa Cendana</li> <li>- Interview with Mr. Jotham Ninef (Lecturer of University of Nusa Cendana)</li> <li>- Travel to Airport</li> <li>- Praying in Musholla at La Tari Airport</li> <li>- Online Interview assisting Mr. Dalibor Kysela with the Indonesia's NPB, Dr. Sitti Hamdyah (Rescheduled)</li> <li>- Flight to Rote</li> <li>- Travel to hotel, praying, and dinner</li> </ul>
Friday, 03 June 2022	Oeseli Village, Rote Nde	08:30-10:00 10:30-11:00 11:00-11:30 12:00-13:00 13:00-16:00 18:30-20:00	<ul style="list-style-type: none"> <li>- Travel from Ba'a to Oeseli</li> <li>- Interview with Housewives' Business on Natural Soap Production</li> <li>- Interview with Local Communities on Coral Reef Conservation</li> <li>- Jumah praying, lunch, and taking a nap</li> <li>- Return to hotel</li> <li>- Dinner</li> </ul>
Saturday, 04 June 2022	Landu Tii Village & Nusa Manuk Island, Rote Nde	08:00-12:00 12:00-13:00 13:00-18:30 18:30-19:30	<ul style="list-style-type: none"> <li>- Field Visit to Landu Tii Village &amp; Nusa Manuk Island, Rote Ndao</li> <li>- Lunch</li> <li>- Field Visit and return to accommodation</li> <li>- Debriefed discussion</li> </ul>
Sunday to Monday, 05-06 June 2022	Jepara and Semarang	05:00-17:00	<ul style="list-style-type: none"> <li>- Return to Jepara</li> </ul>

### **Annex 3. List of documents reviewed**

- UNDP project document
- UNDP social and environmental screening procedure (SESP)
- Project inception report
- Project implementation reports
- Annual work plans Indonesia component: 2019, 2020, 2021, and 2022
- Audit reports
- Finalized GEF focal area tracking tools
- Oversight mission reports
- All monitoring reports
- Financial and administration guidelines
- Project operational guidelines, manuals and systems
- UNDP country/countries programme document(s)
- Minutes of the ATSEA-2 project board meetings and other meetings
- Project site location maps
- Other knowledge products that have not yet mentioned above

## Annex 4. UNEG code of conduct for MTR consultant

### Evaluators/Consultants:

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

### MTR Consultant Agreement Form

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

Name of Consultant: Achmad Solikhin

Name of Consultancy Organization (where relevant): N/A

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

Signed at *Jalan H. Karmani RT. 03 RW. 01, Jambu Barat, Mlonggo, Jepara* on *13 June 2022*

Signature:



### Annex 5. Summary of Co-finance contributions to the ATSEA-2 Project

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
GEF Agency for Indonesia	GEF	Grant for Indonesia Component	3,180,000	1,299,794	40.87%
Donor Agency	UNDP Indonesia	Grant	75,000	N/A	N/A
Donor Agency	UNDP Indonesia	In-kind	50,000	N/A	N/A
Recipient Country Government	Government of Indonesia, Ministry of Marine Affairs and Fisheries (MMAF)	In-kind	16,345,261	19,260,349	117.83%
Recipient Country Government	Government of Indonesia - <i>Government of Indonesia, Grant</i> - <i>LPII, Grant</i>	Grant	400,000 300,000	450,484 N/A	112.62% N/A
		TOTAL	20,350,261	21,010,627	102.81%

## Annex 6. Detailed co-finance contributions from MMAF

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount (\$)
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Build Cost of RITF Office for Secretariat RPMU Office, Benoa)	Grant	Investment Mobilized	450,484
Total Co-financing				
Total Commitment Co-financing, Grant (Based on Project Document)				
				450,484
				400,000

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount (\$)
Recipient Country Government	Ministry of Marine Affairs and Fisheries (RITF Building Value for Secretariat RPMU Office, Year 2020 to 2021)	In-kind	Investment Mobilized	900,967
Recipient Country Government	Ministry of Marine Affairs and Fisheries (AMFRHR Building Value for CFR and NCU Secretariat Office, Year 2018 to 2021)	In-kind	Investment Mobilized	6,161,874
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Budget for Electricity Subscription on AMFRHR Building, Year 2019)	In-kind	Recurrent Expenditure	65,079
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Budget for Electricity Subscription on AMFRHR Building, Year 2020)	In-kind	Recurrent Expenditure	53,284
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Budget for Electricity Subscription on AMFRHR Building, Year 2021)	In-kind	Recurrent Expenditure	67,797

Recipient Country Government	Ministry of Marine Affairs and Fisheries (Building Maintenance Budget of CFR Office, Year 2018)	In-kind	Recurrent Expenditure	17,877
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Building Maintenance Budget of CFR Office, Year 2019)	In-kind	Recurrent Expenditure	101,224
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Building Maintenance Budget of CFR Office, Year 2020)	In-kind	Recurrent Expenditure	67,493
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Building Maintenance Budget of CFR Office, Year 2021)	In-kind	Recurrent Expenditure	48,553
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Internet Services at AMFRHR Building, Year 2019)	In-kind	Recurrent Expenditure	58,804
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Internet Services at AMFRHR Building, Year 2020)	In-kind	Recurrent Expenditure	48,178
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Internet Services at AMFRHR Building, Year 2021)	In-kind	Recurrent Expenditure	44,762
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Budget Salaries and Allowance for CFR's Staff, Year 2018)	In-kind	Recurrent Expenditure	1,386,280
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Budget Salaries and Allowance for CFR's Staff, Year 2019)	In-kind	Recurrent Expenditure	1,438,727
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Budget Salaries and Allowance for CFR's Staff, Year 2020)	In-kind	Recurrent Expenditure	1,232,780
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Budget Salaries and Allowance for CFR's Staff, Year 2021)	In-kind	Recurrent Expenditure	1,203,183
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Budget for Operational and Office Maintenance at CFR, Year 2018)	In-kind	Recurrent Expenditure	444,058
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Budget for Operational and Office Maintenance at CFR, Year 2019)	In-kind	Recurrent Expenditure	375,112

Recipient Country Government	Ministry of Marine Affairs and Fisheries (Budget for Operational and Office Maintenance at CFR, Year 2020)	In-kind	Recurrent Expenditure	188,797
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Budget for Operational and Office Maintenance at CFR, Year 2021)	In-kind	Recurrent Expenditure	289,266
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Research Budget: Harvest Strategy for Neritic Tuna Fisheries Resources at FMA 571, 572 and 573, Year 2018)	In-kind	Recurrent Expenditure	20,717
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Research Budget: The Assessment of Management and Dynamics of Demersal Fisheries Resources at FMA 573, Year 2018)	In-kind	Recurrent Expenditure	20,717
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Research Budget: The Assessment of Shark and Ray Protection Policy, Year 2018)	In-kind	Recurrent Expenditure	20,717
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Research Budget: The Moratorium's Impact on Demersal and Shrimp Fishery System at FMA 718, Year 2019)	In-kind	Recurrent Expenditure	19,329
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Research Budget: The Assessment on Squid Fishery at FMA 718, Year 2020)	In-kind	Recurrent Expenditure	12,427
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Research Budget: The Assessment on Squid Fishery at FMA 718, Year 2021)	In-kind	Recurrent Expenditure	8,165
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Management Support Service at CFR, Year 2018)	In-kind	Recurrent Expenditure	310,323
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Management Support Service at CFR, Year 2019)	In-kind	Recurrent Expenditure	242,159

Recipient Country Government	Ministry of Marine Affairs and Fisheries (Mananagement Support Service at CFR, Year 2020)	In-kind	Recurrent Expenditure	184,063
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Mananagement Support Service at CFR, Year 2021)	In-kind	Recurrent Expenditure	112,120
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Mananagement Support Service at Secretariat AMFRHR, Year 2019)	In-kind	Recurrent Expenditure	1,963,209
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Mananagement Support Service at Secretariat AMFRHR, Year 2020)	In-kind	Recurrent Expenditure	1,349,593
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Mananagement Support Service at CFR at Secretariat AMFRHR, Year 2021)	In-kind	Recurrent Expenditure	771,889
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Budget for Water Subscription on AMFRHR Building, Year 2019)	In-kind	Recurrent Expenditure	5,717
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Budget for Water Subscription on AMFRHR Building, Year 2020)	In-kind	Recurrent Expenditure	5,206
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Budget for Water Subscription on AMFRHR Building, Year 2021)	In-kind	Recurrent Expenditure	4,317
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Budget for Electricity Subscription on RITF Building, Year 2020)	In-kind	Recurrent Expenditure	8,412
Recipient Country Government	Ministry of Marine Affairs and Fisheries (Budget for Electricity Subscription on RITF Building, Year 2021)	In-kind	Recurrent Expenditure	7,174
Total Co-financing				19,260,349
Total Commitment Co-financing, In-Kind (Based on Project Document)				16,345,261

### Annex 7. Audit Trail (Indonesia Component)

Author	#	Para No./ comment location	Comment/Feedback on the draft MTR report	MTR team response and actions taken
Kate Aguilung (RPMU)	1.	Page 7 para 1	The MTR is expected to cover the full Indonesian component targets and not only the Annual Work Plans. I deleted the statement and retained the rest.	Revised
Kate Aguilung (RPMU)	2.	Page 7 para 1	Please insert target on pollution management	Revised and added with marine pollution management target
Kate Aguilung (RPMU)	3.	Page 7 para 2	The statement seems incomplete, please add statements to indicate why component 1 is the most challenging.	Revised and added some reasons. Of the above components, component 1 is the most challenging to execute because of several reason: 1) the topic discussed under the component 1 is much more unthematic and untechnical, 2) the needs from RPMU to obtain many ministerial endorsements under the components, such as NIMC, SAP, RGM, and SPF.
Kate Aguilung (RPMU)	4.	Page 7 Para 2	This is under Component 2.	Revised with additional information. Several issues might be causing delays in the achievements of the

Kate Aguilera (RPMU)	5.	Page 8 Table 2: progress Towards Results point 2	<p>Assessments were undertaken as part of EAFM to help establish baseline information regarding vessels operating in the area: In Aru, Indonesia, the supporting assessments (to secure baseline) conducted by the project have found the use of varying fishing vessels in the area (339 active demersal fisheries vessels in FMA 718; Dropline vessels: 169 boats (target snappers &amp; other demersal species); Longline vessels: 104 boats (bottom long line target snappers and co-occurring species); and Gillnet vessels: 66 boats (target mix fishery). Current interventions being pursued by the project through EAFM is envisioned to put in place mechanisms and monitoring tools that would guide community fishers to responsibly and sustainably fish.</p>	<p>regional and national project results, such as NIMC establishment under Component 1 and MPA establishment under Component 2.</p>
			<p>Revised and added your comments:</p> <p>Assessments were undertaken as part of EAFM to help establish baseline information regarding vessels operating in the area. In Aru, Indonesia, the supporting assessments (to secure baseline) conducted by the project have found the use of varying fishing vessels in the area (339 active demersal fisheries vessels in FMA 718; dropline vessels: 169 boats (target snappers &amp; other demersal species); longline vessels: 104 boats (bottom long line target snappers and co-occurring species); and gillnet vessels: 66 boats (target mix fishery). Current interventions being</p>	

				<p>pursued by the project through EAFM is envisioned to put in place mechanisms and monitoring tools that would guide community fishers to responsibly and sustainably fish.</p> <p>Indonesia components have also contributed to IUU fishing through a report on fisheries loss assessment and fisheries surveillance gap in WPP 718 and to EAFM through providing continuing support to the FMA718 Management Plan, completion of EAFM Plans for Red Snapper, Shrimp, and Barramundi for project sites, and completing fisheries profiles and developing FIP plans.</p>
Kate Aguilera (RPMU)	6.	Page 8 progress Results point 3	Table 2: Towards Results point 3	<p>Revised and added:</p> <p>There are some issues in determining the targeted area of MPA Kolepom and endorsement from the Minister as an established</p> <p>May be best to clearly state the issues, such as: The marine spatial planning and zonation plan completed in Kolepom have shown that the hectare coverage is at 353,287ha which is lower than the 550,000ha originally targeted in the ProDoc. In terms of monitoring and measuring management effectiveness of the existing MPA in SE Aru, the ProDoc requires METT scoring, while the Indonesian government has its own system (EKKP3K which was recently</p>

		<p>changed to EVIKA), thus, assessment is needed to see how EVIKA aligns with METT system for future reporting of METT scores.</p>	<p>MPA, and valuing the MPA Aru management effectiveness. The marine spatial planning and zonation plan completed in Kolehombombona have shown that the hectare coverage is at 353,287ha which is lower than the 550,000ha originally targeted in the ProDoc. In terms of monitoring and measuring management effectiveness of the existing MPA in SE Aru, the ProDoc requires METT scoring, while the Indonesian government has its own system (EKKP3K which was recently changed to EVIKA), thus, assessment is needed to see how EVIKA aligns with METT system for future reporting of METT scores</p>
Kate Aguilera (RPMU)	7.	<p>Page 8 progress Results point 1</p> <p>Table 2: Towards</p>	<p>Please update using most updated data and to ensure alignment with updated data for the Regional MTR report. Update as of June 2022, Data on recorded project resource beneficiaries that have been capacitated under various capacity building initiatives: Overall total who benefited on capacity building/trainings in Indonesia is at 451 wherein 336 is men and 115 is women (exceeded end of project</p> <p>Revised with new data: 451 wherein 336 is men and 115 is women</p>

			target). See updated tracking list via: Detailed Tracking of Stakeholder Engagement 2019 to mid-2022	
Kate Aguilin (RPMU)	8.	Page 8 Table 2: Component 1 Achievement Rating: Moderately satisfactory	<p>Please note that this is not a delayed activity. There is a process. Before the NAP updating can start, the TDA updating process should be completed first and this process is currently ongoing. After the updated TDA, next step is to update the regional SAP (scheduled for 4th quarter of 2022-mid-2023). The updated SAP will then serve as guide for the updating of the NAP (mid-2023 to early 2024).</p>	<p>Added and revised:</p> <p>Updating of TDA is ongoing for regional level and will serve as guide in the updating of regional SAP and subsequent updating of Indonesia's NAP; once the NAP is updated a 5-year cost estimate and financing plan for implementation of the NAP will also be developed. After the updated TDA, next step is to update the regional SAP (scheduled for 4th quarter of 2022-mid-2023). The updated SAP will then serve as guide for the updating of the NAP (mid-2023 to early 2024).</p>
Kate Aguilin (RPMU)	9.	Page 8 Table 2: Component 2 Achievement Rating: Moderately satisfactory	This has been completed and community consultations are already ongoing.	Revised

Kate Aguilera (RPMU)	10.	Page 9: Para 1 on Concise summary of conclusions	Please advise if these are the contributing factors why in the previous section it was stated that NPB is not frequently updated on project progress?	The NPB is not frequently updated about the NCU project progress both technical and non-technical issues in Q4 of 2021 to Q1 of 2022, and the NCU is requested to provide updates directly to them through informal consultations.  They also informed that NCU is closely communicated with the NPD but not the NPB.
Kate Aguilera (RPMU)	11.	Page 9: para 1 on Recommendation Summary	Note that development of management response is separate and will build upon the findings and recommendations put forward by the MTR team.	Revised and deleted
Dwi Ariyoga Gautama (NCU IDN)  Kate Aguilera (RPMU)	12.	Table 3 point 2	Would you mind specify the substance need to be adjust in this output?  Agree with Yoga. As this section will be the basis of the project in developing management response, it is important to have clear statements on the proposed recommendations including the proposed rewording/revision, if possible.	Stated in details in Table 8. Since limited pages requirement for summary part

Ingrid Narcise (RPMU)				
Dwi Ariyoga Gautama (NCU IDN)	13.	Table 3 point 3	This is for revisit the baseline and set up new target?	Revised and added with set up new target
Kate Aguilng (RPMU) Dwi Ariyoga Gautama (NCU IDN)	14.	Table 3 point 4	<p>Mas Achmad and Mas Yoga, if a new target for METT score is yet to be consulted with the government based on METT scores of other MPAs in Indonesia, it may be good to recommend for the setting of new target to be discussed at NPB level.</p> <p>Yes Kate, I agree to discuss in next NPB meeting related to the realistic target. The is no MPA existing in Indonesia that already achieve those level</p>	Revised Recommend to utilize the new MPA management effectiveness scoring of EVIKA and setting its new score at the end project target with NPB, with providing scientific analysis, justifications, and comparative studies.
Dwi Ariyoga Gautama (NCU IDN) Kate Aguilng (RPMU)	15.	Table 3 point 5	Kindly clarify the statement further. Is the MTR suggesting for Indonesia component to explore establishing new MPAs (apart from Kolepom) in order to meet the original target of 550,000ha? It's important to recognize also that the establishment of new MPAs require a number of steps and activities as experienced in Kolepom and these activities require time and financial resources which may not be available or sufficient within the current budget for this outcome.	Revised Recommend to adopt the new indicator for MPA Kolepom area: to lower the area coverage of established MPA Kolepom or to support the new establishment of MPA Babar Island in the WPP718

Ingrid Narcise (RPMU)			<p>Within the timeline and resources, we could not facilitate additional new MPA. The only potential strategy is to support other new mpa establishment in Babar Island but it only small part for Arafura waters (WPP718) still it could not achieve other 200k ha (NOTE: This would require further consultation from MMAF as this was not part of the original ProDoc)</p> <p>If it is not realistic to establish new/additional MPAs within the project timeframe to reach the 550,000 hectare target, would it be more justifiable to request/recommend for revision (i.e., lowering) of the target areal coverage? This is subject for review and deliberation, anyway. (Rather than committing to new/ revised targets that are not guaranteed to be achieved?)</p>	
Kate Aguling (RPMU)	16.	Table 3 point 6	<p>Would be good to add a short reason.</p> <p>Possibly due to the remoteness of the area and relatively limited and challenging access?</p>	Detailed in Table 8
Cassandra Tania (RPMU)				
Kate Aguling (RPMU)	17.	Table 3 point 7	<p>Would be good to insert short reason as well.</p>	Detailed in Table 8

Cassandra Tania (RPMU)			Again, except for Rote, that might be due to the remoteness of the areas and relatively limited and challenging access?	
Kate Aguilin (RPMU)	18.	Table 3 point 9	Required political processes?	Revised and added.  The Indonesia component has been confronted with enormous challenge to actualize Component 1 due to political and bureaucracy regards. A possible time extension for the project is recommended without cost extension.
Kate Aguilin (RPMU)	19.	Table 3 point 10	As the Project Team has experienced delays in procurement several times. May be best to provide direct statement. For example, the UNDP admin and procurement processes entail a number of steps and considerations which have for several instances have affected the implementation of some activities.	Detailed in Table 8
Kate Aguilin (RPMU)	20.	Table 3 point 11	This is dependent on the government, is there a specific suggestion from the MTR on how this can be avoided or mitigated?	Revised  The Project Team is recommended to conduct intense coordination and consultation meetings between NCU Team with NPB, UNDP Indonesia, and RSC at least bi-yearly (at the middle and the end/beginning both for formal and non-formal arrangements), eliminate the change in NPB by contracting or designating

			permanent representatives from MMAF, conduct co-financing meetings with the Indonesia component's partners to align financing priorities and annual work plans. Please refer to Table 8 for the details.
Kate Aguilin (RPMU)	21.	Table 3 point 12a	<p>Please clarify.</p> <p>At the field in Rote Ndao, local communities are engaged to conduct some environmental activities, but they did not really understand how the activities are aimed. They also did not really understand about climate change, marine pollution, etc. As a result, we still found marine littering, tree cutting for fuel, turtles killing for accessories and meat, etc.</p>
Kate Aguilin (RPMU)	22.	Table 3 point 12b	<p>From the field observations, both the project and its partners have provided some facilities but the facilities are still considered lack to develop, such as seagrass and mangrove soap business, and planting mangrove seeds in coastal line, etc.</p>
Kate Aguilin (RPMU)	23.	Table 3 point 13	<p>Revised</p> <p>The project is requested to consider sustainable finance from internal (a-5 year financing plan, extended</p>

			<p>GEF support, etc) and external sources (BLU, MMAF Trust Fund, private sector, etc), economic-social (lack of communities and local government ownership), institutional governance (changes in government institution, cumbersome UNDP procurements, lack of local communities and local government ownership), and environmental externalities (microplastics, food wastes from barramundi fish, tree logging, and turtle smuggling and killing) that might threaten the project's viability and sustainability. This part is detailed in Table 8 for your perusal.</p>
<p>Kate Aguilang (RPMU)</p> <p>Dwi Ariyoga G. (NCU IDN)</p>	24.	Page 12 Para 2	<p>Revised and added</p> <p>On this occasion, the Implementation of the Arafura and Timor Seas Regional and National Strategic Action Programs (ATSEA-2); Second Phase of the Arafura Timor Seas Ecosystem Action (ATSEA) Program, which is subsequently called as the ATSEA-2 Project, have executed</p>

			its activities since 2019 in the Arafura and Timor Seas (ATS) region, which comprises Australia, Indonesia, Papua New Guinea (PNG), and Timor-Leste. Under Indonesia components, the Project Document was signed on 01 February 2019, and subsequently followed with a kick-off meeting on 3 February 2019. However, it is noted that the PMT NCU was recruited on 15 July 2019 equipped with field facilitators in 2020.
Kate Aguilin (RPMU)	25.	Page 12 para 3	As this report is focusing in Indonesia component, it may be helpful to narrow down the list of targets specific to Indonesia only.
Kate Aguilin (RPMU)	26.	Page 16 para 1	Note that the principle applies not only to MR consultants but to stakeholders who will be engaged as part of the MTR.
Kate Aguilin (RPMU)	27.	Page 16 para 2	We understand from NCU that they had to be present in some interviews in order to set the zoom calls. We apologize, but kindly note that the Project team understands that this is an independent review.
Kate Aguilin (RPMU)	29.	Page 16 para 2	Kindly advise which info was not available? Was the project team able to provide the missing info upon MTR consultants' request? If yes, we hope this can be reflected as well. Thank you.
			<p>Revised and added</p> <p>Revised and added</p> <p>That is fine and all is good. Thank you for your understanding and we noted the information</p> <p>Thank you for your advise. Added some information.</p> <p>Some data are sometimes found not to match one another and are not available in the ATSEA-2</p>

				One-Stop Source of Information but the Project Management Team, RPMU and NCU Indonesia, have worked well in providing the consultant un-accessed and unavailable documents.
Kate Aguilin (RPMU)	30.	Page 22 para 1	Statements referring or specific to Indonesia component sometimes overlaps with statements that refer to regional component. Would be good to separate the statements clearly or just focus on Indonesia.	Deleted, and added some information for the previous statement.  In addition, Indonesia's NCU has leveraged the networks and acquired lessons learned from the Coral Triangle Initiative (COREMAP-CTI) project funded by the World Bank. For instance, a seagrass and mangrove soap business in Rote Ndao is an initial project of COREMAP-CTI, that is also engaged by the ATSEA-2 Project NCU to empower women.
Kate Aguilin (RPMU)	31.	Page 22 para 2	Note that a number of target activities are still ongoing and also the newly established MPA in Kolepom also has lower ha coverage compared to the initial project target.	Revised and added some info:  All the expanded priority actions of the Project, constructing Indonesia's Component 1 and 2, have been mainstreamed into national development programs and budgets. For instance, the

			Project has assisted in increasing the GoI's MPA target to 32.5 million ha or about 10% of Indonesian archipelagic waters by 2030. The Project still supports several management activities for the newly established MPA Kolehombom and MPA Aru, but the MPA area coverage of Kolehombom Island that also become the targeted project output, is still below the initial project target
Kate Aguilera (RPMU)	32.	Page 23 para 1	<p>Note that risks are potential issues which may or may not happen. An updating of the project's risk log is also done periodically to assess which risks are no longer relevant/mitigated and to see if new risks arise.</p> <p>Revised and added some information:</p> <p>However, some risk assessments are likely not relevant and need to be evaluated again. In addressing that problem, the NCU Indonesia periodically assesses the potential issues/risks, and also discusses the risks in the reporting mechanism (i.e. national notes/reports for PIR submission).</p>
Kate Aguilera (RPMU)	33.	Page 23 para 3	<p>The Regional SPF is not yet formally established, pending RSC approval of the RGM model. Potential members have been identified and engaged in previous consultations.</p> <p>National SPF is under consideration in Indonesia but is not required.</p> <p>Revised and added some information.</p> <p>At the outcome level, a decision-making platform, national SPF,</p>

			which facilitates more active involvement of multi-stakeholders in marine ecosystems management and conservation, was under consideration to establish yet not required.
Kate Aguilung (RPMU)  Dwi Ariyoga G. (NCU IDN)	34.	Page 24 para 1	<p>Revised and added some reasons:</p> <p>There are no changes in the outcomes level, but Indonesia's outputs were observed to add one or two points from the previously approved annual work plan to seize the targeted outcome. For instance, the 2022 and 2021 endorsed AWP added output of 2.4.3 on climate change adaptation, while in the 2019 and 2020 AWP, the output was not yet appended. This reason is because the NCU Indonesia did not arrange the implementation of the output in 2019 and 2020 but only changed the number of activities.</p>
Kate Aguilung (RPMU)	35.	Page 24 para 1	<p>Revised and added some information:</p> <p>Based on the interview, there have been no shifted indicators, and all the indicators are compliant with the Project Document. However, it is also noted that NCU Indonesia</p>

			<p>targets should be backed up by proper justification and study as major change would require further UNDP and GEF discussions. In late 2021, the marine spatial planning/zonation was finally completed and could serve as key reference to justify the request to lower the target. It is hoped that this can be formalized with the Project Board as a result of MTR.</p>	<p>has raised possible concerns and changes in some indicators since the 1<sup>st</sup> RSC meeting, equipped with scientific justifications/studies. The studies, which are strengthened with the MTR report, can be evidence to support the further discussions between UNDP, GEF, and NPB in formalizing the changes</p>
Kate Aguilung (RPMU)	36.	Page 24 para 1	<p>As mentioned by the UNDP RTA during the presentation of findings, it would be good for Indonesia to assess how EVIKA aligns with METT to enable the Indonesian component to report using METT score as targeted in the ProDoc. This suggestion from RTA may need further discussion within Indonesia.</p>	<p>Revised and added some info:</p> <p>For instance, under the outcome of Coastal and Marine Biodiversity Conserved through Protection of Habitats and Species, an indicator is set, namely, a protected area management effectiveness score (METT) in Southeast Aru MPA is 39 at the mid target. The indicator is not relevant again because the score is not gauged with the METT approach but E-KKP3K (the former name of EVIKA) or EVIKA. As a result, the Indonesia NCU is requested to conduct a study or provide scientific justifications on the alignment of METT method with EVIKA method.</p>

Kate Aguilung (RPMU)	37.	Page 24 para 2	For clarity is it possible to convert this into a table form. One column refers to the original statement in the SRF, the 2nd column for the findings, and 3rd column for the suggested modification from the MTR?	Revised and made into Tabulated information (Table 5).
Dwi Ariyoga G. (NCU IDN)	38.	Page 24 point 3	The study is conduct from RPMU and also NCU but the consultant could not provide estimate IUU fishing since the limited record/available data of the issues.	Added information: Under the output 2.1.3-8 Target, to conduct a study to estimate IUU fishing in FMA 718 quantitatively, there are no data available as determined in the output. In addition, the hired consultant for this study could not provide the detailed IUU fishing data in due course.
Kate Aguilung (RPMU)	39.	Page 24 point 4	39 was indicated in the SRF as the baseline.	Revised
Kate Aguilung (RPMU) Dwi Ariyoga G. (NCU IDN) Ingrid Narcise (RPMU)	40.	Page 24 point 4	<p>Yoga, kindly note also the suggestion from UNDP RTA for Indonesia to assess how EVIKA aligns with METT to enable Indonesia to report using METT score. I believe they are trying to use common measuring system for Indonesia and TL where METT targets are identified. Is it possible for Indonesia NCU to facilitate this review on EVIKA and METT complementarity? The target 50-85% was this a suggestion from NCU?</p> <p>We could facilitate the assessment with hire consultant. but the result only for the purpose, since the MEFA not use the score and MMAF also only use EVIKA part. The target 50-</p>	Accommodated your information and internal discussion

			<p>85% is categorize MPA manage optimum, the target is come from BKKPN Kupang (MMAF). With the existing support we could manage in this level</p> <p>Perhaps the NCU (or together with RPMU) could have a meeting/exercise to review the METT form to see what a realistic target might be relative to the baseline and current status and plans, and also do a comparison with EVIKA? It could be an internal exercise, subject to further discussion with concerned government units/stakeholders.</p> <p>I agree with Ingrid's suggestion, we can set up separate discussion about this even after the MTR.</p>	
<p>Kate Aguilung (RPMU)</p> <p>Dwi Ariyoga G. (NCU IDN)</p> <p>Cassandra Tania (RPMU)</p>	41.	Page 25 point 5	<p>Yoga, was this something proposed by the NPD?</p> <p>They not proposed, but there is request from Maluku governance to support in Babar island initiated MPA</p> <p>Will this be feasible? Will it be possible to just reduce the target coverage to 353,287 ha?</p> <p>I agree with Cassie. If it is still a request or proposal from Maluku, how likely would it be to establish the new MPAs before the end of the project?</p>	<p>NOTE: Based on final information from NCU and Maluku, the request in Babar Island will no longer push through as the scope will not include the part in ATS region. As such, the statement was deleted from the report.</p>

Ingrid Narcise (RPMU)		Currently, there is a strong justification to request for reduction of the target since it was the result of the consultations and zonation process, and it has been raised by Indonesia beginning from the regional inception workshop in 2019.  The long gap between the PPG and project initiation may be a factor that could also be cited (i.e., assessments to support the establishment of the MPA had progressed since the PPG was undertaken, resulting to updated proposals on the areal scope of the MPA).	
Cassandra Tania (RPMU)	42. Page 24 point 6	These explanations can be added to Table 3 as suggested by Kate.	Added to the Table of Recommendations
Kate Aguling (RPMU)  Cassandra Tania (RPMU)	43. Page 24 para 7	Please state title of the study conducted  Please add this reasoning to Table 3 as suggested.	Added and revised.  I think the NCU has not hired a consultant for conducting the study but they conducted assessments:  Under the outputs of 2.3.3-6 and 2.3.3-7 on conducting a feasibility study to explore alternate livelihood tourism opportunities for communities in Aru Islands, Rote, and Merauke and possibly other sites based around turtles and piloting a project in Indonesia for establishing tourism opportunities, respectively; based on the NCU

Kate Aguilin (RPMU)	44. Page 25 para 7	I believe awareness building has been initiated, perhaps for clarity the statement can be slightly modified to indicate “further strengthen and ensure continuous mechanism for awareness building”?	Indonesia assessments, Kolepom, Rote, and Merauke do not have significant turtle presence.  Revised As a result, further turtles conservation education for local communities needs to be strengthened and continued for increasing awareness
Kate Aguilin (RPMU)	45. Page 25 point 8	Adding our concern on 2.1.3-10.  Improve Registered Vessels System. In collaboration with MMAF, support the program of “Registered vessels from Indonesian Archipelagic Waters (R-VIA) that has been implemented in the Arafura Sea.  MMAF only using this tools for Tuna fisheries. In ATS we only focus on demersal fisheries	Revised and added a new proposed output:  Under the output 2.1.3-10 on improvement of registered vessels system. It is noted that the NCU Indonesia in partnership with MMAF will support the program of “Registered Vessels from Indonesian Archipelagic Waters (R-VIA) that has been implemented in the Arafura Sea. However, the R-VIA is only utilized for tuna fisheries but not demersal fisheries. The output needs to be specified by envisaging the use of the R-VIA in ATS for tuna fisheries.

Kate Aguilera (RPMU)	46. Page 26 point 9	Thank you for noting this, but for MTR purposes, it would be best if recommendations will come from the perspective of the consultant (not the project team) based on the findings.	Revised and reworded some statements
Kate Aguilera (RPMU)	47. Page 29 para 1	Is this referring to the GEF Core Indicator form we submitted separately by email to MTR international consultant? Please note that the GEF TT developed during Project Design was updated using the GEF Core Indicator Form for mid-term reporting as required by UNDP. For reference, here's the GEF Core Indicator Form for mid-term (the same was re-sent to Mr. Dalibor).	Yes, this is and revised
Dwi Ariyoga G. (NCU IDN)	48. Page 29 point 1	In prodoc 555,000 ha	Revised
Dwi Ariyoga G. (NCU IDN)	50. Page 29 point 3	FIP for red snapper already implementing and have A+ rating from MSC	Added and revised Two FIPs were ongoing to behave not yet been developed, but there are preliminary assessments conducted to aid the FIPs development. One FIP for red snapper was implemented and had A+ rating from MSC. The assessments include one EAFM on Red Snapper Strategy and Action Plan, one EAFM for Shrimp (Pre-Assessment and Assessment with Action Plan), and one EAFM for

Dwi Ariyoga G. (NCU IDN)	51. Page 29 point 5	<p>Snapper fisheries profile key findings: 339 active demersal fisheries vessels in FMA 718; Dropline vessels: 169 boats (target snappers &amp; other demersal species); Longline vessels: 104 boats (bottom long line target snappers and co-occurring species); and Gillnet vessels: 66 boats (target mix fishery)</p> <p>Shrimp fisheries profile key findings:</p> <p>2 gears commonly used by small scale shrimp fisheries in Aru (2019): Gillnet (jaring insang): 1.372 gears; Trammel net (jaring angkak): 142 gears . But for industrial scale per february 2022 only 7 fishing boat have licence to operate for shrimp</p>	<p>Barramundi (Pre-Assessment and Assessment with Action Plan).</p> <p>Added and revised.</p> <p>5. Under the reduced fishing pressures, the target for registering 775 fishing vessels in Aru has not yet been achieved. The Project has staged assessments to extract data and its analysis that will be expected to complete in June 2022. From the NCU Indonesia assessments, there were two findings:</p> <ul style="list-style-type: none"> <li>- Snapper fisheries profile key findings: 339 active demersal fisheries vessels in FMA 718; dropline vessels: 169 boats (target snappers &amp; other demersal species); longline vessels: 104 boats (bottom long line target snappers and co-occurring species); and gillnet vessels: 66 boats (target mix fishery)</li> <li>- Shrimp fisheries profile key findings: 2 gears commonly used by small scale shrimp fisheries in Aru (2019): Gillnet (jaring insang): 1.372 gears; Trammel net (jaring angkak): 142 gears. In</li> </ul>
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				industrial scale in February 2022, only 7 fishing boats have a licence operated for shrimp.
Dwi Ariyoga G. (NCU IDN)	52.	Page 29 point 6	Noted. Our concern not in number of fishing gear, but related to waste. The fisheries commodities only utilize swim bladder instead of meat. More strategic to reduce the fish waste	<p>Added and revised.</p> <p>6. Under the improved use of fish gear/techniques, a target to gauge about 1,400 vessels using gillnet in Aru Island has not yet been reached. The phenomenon is also similar to a target for Merauke Island, intending to measure 50% barramundi fishers using improved gear. The Project has staged assessments to extract data and its analysis that will be expected to complete in June 2022. In addition, it is also found food waste generated from unoptimized barramundi fish commodities. The fish catchers only utilize and trade swim bladder instead of meat. As a result, reduction of the wastes through circularity becomes another concern of the NCU Indonesia.</p>
Kate Aguilung (RPMU)	53.	Page 31 Table 5.	Please update accordingly, based on MTR consultant's assessment of the additional or updated information provided in above sections, and from the additional corrections or inputs from Yoga in the table.	Updated

Ingrid Narcise (RPMU)	54.	Page 31 outcome 1	Table 5	<p>The baseline information is referring to the Ministerial Declaration signed in 2014, where ATS countries agreed to establish an RGM including an RCC, Regional Secretariat and SPF.</p> <p>A new Ministerial Declaration is targeted to be signed before the end of the project in 2024 where the specific RGM arrangements (resulting from the current national and regional consultations) will be adopted.</p>	Revised with thanks
Ingrid Narcise (RPMU)	55.	Page 38 Justifications for rating		The participants still tend to EXPECT some financial support or money...? (Kindly clarify.)	It is noted that local communities who are engaged in the ATSEA-2 in Rote Ndao, such as for business development, mangrove conservation, etc, request many support (finance and infrastructures) and they still consider participating in the activities if the activities can provide economical benefits.
Dwi Ariyoga G. (NCU IDN)	56.	Page 39		DFW	Revised
Ingrid Narcise (RPMU)	57.	Page 40		Procuring consultant in reviewing NAP implementation and updating ATS NAP for Indonesia. This activity will be carried out after updating SAP.	Added information.

Kate Aguilng (RPMU)  Dwi Ariyoga Gautama (NCU IDN)	58. Page 63 Para 2	Yoga: This needs further discussion in Indonesia considering the suggestion from the UNDP RTA.  Noted kate, similar with above respond	Noted
Kate Aguilng (RPMU)	59. Page 64 Para 2	For clarity, please include statement about the request made by Indonesia in the 3rd RSC to delete LIPI's co-financing commitment as LIPI has already been changed in view of the reorganization. An official letter was also submitted by LIPI to the Project to explain why it can no longer deliver on its commitment. Copy of letter included in One Stop Source. As for other donors, this pertains only to UNDP Indonesia. For clarity, it may be good to have a clear statement as well that co-financing delivery report was not available from UNDP Indonesia during the MTR.	Revised and added the information  For the co-financing mechanism, there are no data for the Mid-CDR to UNDP Indonesia, LIPI, and other donors' cofinance. UNDP Indonesia has confirmed that during the MTR study, they could not provide a co-financing report (CDR) whereas at the 3rd RSC Meeting, NPD or Indonesia MMAF has received a confirmation from LIPI to exclude the in-kind contribution from LIPI within supporting the ATSEA-2 project due to institutional changing in Indonesian government.
Kate Aguilng (RPMU)	60. Page 67 under Communications Para 1	Kindly note that every 1st quarter of each new year, the ATSEA-2 Annual Progress Report magazine is also shared	Noted and added your information.

<p>Dwi Ariyoga Gautama (NCU IDN)</p>		<p>to all RSC members (including NPDs). There are also smaller meetings conducted with NPD on the project.</p> <p>Mas Han and Mas Yoga, please reconfirm that meetings were conducted with NPD.</p> <p>Absolutely, the project are require update quarterly to MMAF for financial report and highlight in government system. Even for CDR and BAST sign from NPD, they request detail information and actual spending list as the support document. My opinion, is our NPD not well remember of those detailed and sometimes mix within the information from RPMU and NCU since we are same project.</p>	<p>However, NPB also confirmed that they have not yet received any updates related to the meetings, pending issues, and the project progress at national and regional points since the Q4 of 2021 and Q1 of 2022. That happens because presumably the NPB could not remember the detailed information stemming from RPMU and NCU Indonesia at the same time. It is also noted that the RPMU and NCU Indonesia always develop and disseminate the ATSEA-2 Annual Progress Report magazine in the Q1 of each year to all RSC members, including NPB. Furthermore, they also stage internal meetings to update the project progress.</p>
<p>Kate Aguilin (RPMU)</p>	<p>61. Page 68 on Gender and Women Empowerment Para 2</p>	<p>Please note that is a requirement in Project Design and as such there is an annex on Gender in the ProDoc. There are also specific Project Outputs (under ICM and EbA) wherein focus on women are more specific. GESI Learning Sessions were also conducted to RPMU and NCU team members to help them become more aware of GESI principles and applications. Though we agree that further learning is needed.</p>	<p>Revised and added information</p> <p>Furthermore, it is noted that misunderstanding in gender mainstreamed and integrated into the Program always occurs. Gender perspectives were also integrated before project inception and design stipulated in the Project Document to see the trajectory</p>

			where women's interest is accommodated and tailored. In addition, the capacity of staff to integrate the perspectives into the Program is still low, and gender issues are not just a job for gender specialists, but all staff should also generally know to put in place gender issues.
Kate Aguilin (RPMU)  Dwi Ariyoga Gautama (NCU IDN)	62.	Page 68 on Gender and Women Empowerment Para 3	<p>Revised and added information</p> <p>Based on the MTR field study, women are involved at a certain level of activities. For instance, women are engaged in developing a seaweed soap business in Rote Ndao, but their participation is considered to decrease along with time, and they are not equipped with safety tools and Covid-19 preventive measures. The decrease in women participation is due to group dynamics but the production of soap increases,</p>
Kate Aguilin (RPMU)	63.	Page 71 under Socio-Economic Sustainability para 2	<p>Added and revised</p> <p>Please see further clarification from Yoga below. The existing process are as mention, the NCU strategy to increasing their ownership still on going with make sure the</p>

Dwi Ariyoga G (NCU IDN)			<p>DKP of Papua as the team leader for all process. The challenge from other site area. In Papua they not familiar to have collaboration with other third party compare to West Papua.</p> <p>The Papua also divide it into 3 new province in June 2022. the process of this is one of potential issues for full involvement of the project collaboration in Merauke since it already become new Province called South Papua.</p>	<p>Besides the Project Document, the NCU Indonesia identifies externalities from process and buy-in programs of partners. They understand that integrating activities into governmental programs is not straightforwardly carried on. For instance, the Project could not obtain Papua's provincial government ownership for considering the project activities as additional governmental work. That is because Papua Government is not much more familiar to collaborate with the third party than West Papua Government. In addition, the new development of the region into three provinces has caused additional issue in partnership and collaboration.</p>
Kate Aguilung (RPMU)	64.	Page 72 Table 8	Kindly update to align with changes that will be made by the MTR consultant in previous sections of the report based on his assessment of the additional/updated info provided by the project team.	Revised and updated
Kate Aguilung (RPMU)	65.	Page 73 Table 8 point 1	We hope that the MTR could also note that the project closure date for Indonesia component is earlier than other components (Regional, TL and PNG). Note that for GEF, ATSEA-2 is considered as 1 project. In Mr. Dalibor's recommendation, he also included possible no-cost	<p>Revised and added:</p> <p>Outcomes under Indonesia Component:</p>

			extension. We hope the portion of Indonesia MTR could also look into this as this will have implication in subsequent work planning and budgeting for the remaining years of this project. Thank you.	Some Indonesia component activities are completed, but there are some activities that are ongoing, delayed, and have not yet started. The NPB and NCU should expedite these activities' implementation without no cost extension from the GEF Secretariat as a main donor, which has not finished before the operationalization of the Indonesia component is closed by 2023. The acceleration of all ongoing and pending activities within the remaining project lifetime for Indonesia components will impose some implications to the project planning and budgeting.
Cassandra Tania (RPMU)	66.	Page 74 Table 8 point 5	Will this be feasible? Will it be possible to just reduce the target?  Same suggestion made by other project team members in previous section of this report.	Revised and added information:  Under the objective level of landscapes and seascapes under improved biodiversity management, Indonesia was set to reach 550,000 ha in the new MPA Kolepom. A proposed indicator will be: At the end target of the Project, the ATSEA-2 Project Team and MMAF established and or initiated new MPAs in WPP 718 with a new set of 353,287 ha MPA in Kolepom,

			<p>It is also noted that the RSC and NPB could consider lowering the area coverage of established MPA Kolehombom and or to support the new establishment of MPA Babar Island in the WPP718</p> <p>In addition, the Maluku and Papua Government have requested to the project that the remaining area will be subsequently extended in the same MPA or will be initiated in other islands of WPP 718.</p>
Kate Aguilera (RPMU)	67.	Page 71 para 1 under Socio-Economic Sustainability	<p>Comment from Yoga as submitted to Mr. Dalibor for the overall report: ID have facilitated community training related to rehabilitation and marine processing product, another capacity building are targeted to the government and cso level. Related to the outreach we admit it still need to be improved in terms of the coverage.</p>
Dwi Ariyoga G. (NCU IDN)			<p>Revised and added phrases.</p> <p>For instance, their participation in capacity building and training decreases time by time. As a result, the NCU Indonesia keeps striving to conduct continuous capacity building and training for them. I</p>
Dwi Ariyoga Gautama (NCU IDN)	68.	Page 41 outcome 3 justification of ratings	<p>Deleted the previous statement.</p> <p>The eafm implementation update are available in YKAN report</p>

Dwi Ariyoga Gautama (NCU IDN)	69.	Page 42 Outcome 2.1.1 justification for ratings	Perda would be too high and difficult to achieve. We propose provincial policy. Could be SK, Perbup or Pergub	Added information and revised Discussions on translating EAFM and FIP academic draft of Aru into provincial decision/policy (SK, Pergub, Perbug, etc).
NCU Indonesia and RPMU	70.	Table 3, 5, and 8. MTR recommendations	Request to update all the MTR recommendations	Added information and revised Please refer to the last updated MTR report
UNDP Indonesia: Iwan Kurniawan	71.	Procurement Team Discussion	Recommendation: Bottlenecks in conducting and operating the procurement processes Take lessons to improve the procurement processes Common issues in project implementation, document signature, and procurement processes à GEF Secretariat and UNDP	It was conducted with the NCU Indonesia and UNDP Project Associate on Procurement Processes
UNDP Indonesia: Iwan Kurniawan	72.	Inclusive and participatory M&E	What is the M&E system or standards used for the Project?	It refers to the UNDP M&E system infiltrated to the NCU Indonesia, and adopted by the NCU Indonesia  There is also difference in MTR and TE guidance defined by GEF and country level. All the guidelines must be aligned with the GEF M&E system.

UNDP Indonesia: Iwan Kurniawan	73.	Theory of Change	Unclear indicators or SMART indicators in the ToC documents	There are difference indicators developed from the ToC and SPF, and in the ToC, there are indicators developed and these should be combined with SPF. However, the ToC was developed lately after the SRF development has been carried out.
PEMSEA: Aimee Gonzalees	74	Mismatched data/information	Could you clarify about mismatched data and information?	There are some data/information that are found in the document prepared by RPMU and NCU Indonesia. It is already noted.
UNDP Indonesia: Iwan Kurniawan	75.	Co-finance report	UNDP Indonesia will provide the co-finance report	There is no report received to date
Cecilia Novarina (QARE UNDP IDN)	76.	Chapter 3. Point 3.1 Context development	Can we add some brief gender context (and also other cross-cutting context) relevant to the project?	Revised and added in para 2 of the paragraph. The other cross cutting sectors were also added in para 2, including pollution, biodiversity loss, etc.
Cecilia Novarina (QARE UNDP IDN)	77.	Point 3.5 Project timing and milestones	As required by GEF guideline, we need to also define Significant socio-economic and environmental changes since the beginning of project implementation and any other major external contributing factors	It was addressed in other points. Please refer to point 4.3.9 as requested by International MTR consultant. Thank you
Cecilia Novarina (QARE)	78.	Point 3.5 Project timing and milestones	Why is this picture here?	There is no picture in the point. It appears maybe the misplace or moved picture (Fig.3) during the

UNDP IDN)			review processes using track change system
Cecilia Novarina (QARE UNDP IDN)	79.	Point 4.2 Results Framework/Logframe	Additional to the points already made, the MTR should assess the extent to which broader development (cross-cutting) effects. (See annex 9 of the GEF MTR Guide)
Cecilia Novarina (QARE UNDP IDN)	80.	Table 5. Proposed indicators and outputs for the ATSEA-2 Indonesia components	<p>This needs to be reframed so it does not give the impression that we do bad planning</p> <p>For indicators considered impossible, please give reasoning why.</p> <p>The statement was revised by deleting the word of ambitious.</p> <p>The impossible indicators were addressed in Table 5 in the next columns. Please be informed that all the impossible indicators were detailed and given their reasons: why the indicators must be reassessed or changed.</p>
Cecilia Novarina (QARE UNDP IDN)	81.	Table 6. Under indicator of Indicator: Knowledge transferred from capacitated trainers to resource beneficiaries	Revised and noted.
Cecilia Novarina (QARE UNDP IDN)	82.	Point 4.2.3 on Remaining barriers to achieve objectives	In the field studies and this MTR study, I did not find any specific problems in gender equality and women empowerment. For other cross-cutting sectors, they are

				detailed in point 4.3.8 cross-cutting sector
Cecilia Novarina (QARE UNDP IDN)	83.	Point 4.3.2	? “reputed word”	Reworded
Cecilia Novarina (QARE UNDP IDN)	84.	Point 4.3.8.1 on Gender and Women Empowerment	so what does this mean?	<p>The statement is coherent with the previous statement.</p> <p>The statement was made from the NCU Indonesia’s suggestions (Mr. Dwi Ariyoga).</p> <p>There is a seaweed enterprise established by local women communities in Rote Ndao. At the first of establishment, many women participated but after several gatherings or soap production, the number of women participated decreased.</p> <p>It is noted during the field visit to Rote Ndao during MTR study, and it was confirmed by the NCU Indonesia but the NCU Indonesia confirmed that although the number of participated women decreased the soap production increased.</p>

Cecilia Novarina (QARE UNDP IDN)	85.	Point 4.3.8.1 on Gender and Women Empowerment	why is it impossible? any underlying cause?	<p>It was explained in Table 5. Some of impossible and ambitious activities are such as:</p> <ol style="list-style-type: none"> <li>1. Ecotourism development due to remoteness of the targeted area</li> <li>2. Repairing of desalinated engine due to high tech technology that is so costly</li> <li>3. etc.</li> </ol> <p>The statement is revised and please refer to Table 5.</p> <p>Thank you</p>
Dikot Harahap (QARE UNDP IDN)	86	Synopsis	<p>Please include a synopsis:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> MTR time frame and date of MTR report</li> <li><input type="checkbox"/> Region and countries included in the project</li> <li><input type="checkbox"/> GEF Operational Focal Area/Strategic Program</li> <li><input type="checkbox"/> Executing Agency/Implementing Partner and other project partners</li> <li><input type="checkbox"/> MTR team members</li> </ul>	<p>Synopsis added</p>
Dikot Harahap (QARE	87	Acronyms and Abbreviations	<p>Please check that all acronyms and abbreviations are well-captured here.</p> <p>The first abbreviation pop'd up shall be spelled out.</p>	List updated

UNDP IDN)				
Dikot Harahap (QARE UNDP IDN)	87	Structure of MTR report	Please follow the structure as per UNDP's guidance on GEF MTR <a href="https://undp.org">TS (undp.org)</a>	Some sections reorganized in accordance with prescribed sequence or outline
Dikot Harahap (QARE UNDP IDN)	88	MTR objectives	Additional suggestions on MTR objectives for clarity	Suggestions adopted
Dikot Harahap (QARE UNDP IDN)	89	Scope and Methodology	Include map of project location for illustration.	Map added
Dikot Harahap (QARE UNDP IDN) and Jose Padilla (UNDP BRH)	90	Project Design (Results framework/logframe)	<ul style="list-style-type: none"> <li>&gt; Put a figure on the current TOC for illustration</li> <li>&gt; Suggest adding reference to the TOC in this section but put the TOC in an Annex or a link to an accessible file.</li> </ul>	TOC diagrams added with link to ToC document

Dikot Harahap (QARE UNDP IDN)	91	Project Design and Relevance	Alignment with country priorities	Alignment with Indonesian Long- term Development Plan (2005- 2025) added
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**IMPLEMENTATION OF THE ARAFURA AND TIMOR SEAS  
REGIONAL AND NATIONAL STRATEGIC ACTION PROGRAMMES  
(ATSEA-2)**

**SECOND PHASE OF THE ARAFURA TIMOR SEAS ECOSYSTEM  
ACTION (ATSEA)**

**GEF ID 6920**

**UNDP PIMS ID 5439**

**MID-TERM REVIEW REPORT  
(18 April 2022- 30 August 2022)**

**(PAPUA NEW GUINEA COMPONENT)**

Midterm Review Consultant:  
Dalibor Kysela, International Consultant

August 2022

## ***SYNOPSIS***

### **Title of UNDP supported GEF financed project:**

Implementation of the Arafura and Timor Seas Regional and National Strategic Action Programs

(ATSEA-2); Second Phase of the Arafura Timor Seas Ecosystem Action (ATSEA) Program

**UNDP Project ID:** 5439

**GEF Project ID:** 6920

**Evaluation time frame:** 18 April 2022 – 20 August 2022

**CEO endorsement date:** 8 March 2017

**Project implementation start date:** 29 July 2019 (Papua New Guinea)

**Project operational closure:** 10 June 2024

**Date of evaluation report:** 20 August 2022

**Countries included in the project:** Papua New Guinea

### **GEF Focal Area Objective:**

Objective IW 1: Catalyse sustainable management of transboundary water systems by supporting multi-state cooperation through foundational capacity building, targeted research, and portfolio learning

Objective IW 3: Enhance multi-state cooperation & catalyse investments to foster sustainable fisheries, restore & protect coastal habitats, reduce pollution of coasts & large marine ecosystems

### **Implementing partner and other strategic partners:**

Partnerships in Environmental Management for the Seas of East Asia (PEMSEA)

National Fisheries Authority of Papua New Guinea

### **Mid-Term Review Consultant:**

Mr. Dalibor Kysela, International Consultant (Overall MTR report and Papua New Guinea country report)

### **Acknowledgements:**

The author of the Mid-Term Review Report wish to express appreciation to all project stakeholders whom he has interviewed during the data collection phase for their open views on progress in the project implementation and candid opinions on achievement of the planned targets. Effective and timely assistance with organisation of the stakeholder interviews and timely provision of all project-related documentation contributed to the smooth conduct and successful completion of the Mid-Term Review.

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## Acronyms and Abbreviations

ATS	Arafura and Timor Seas
ATSEA	Arafura and Timor Seas Ecosystem Action Program
ATSEF	Arafura and Timor Seas Expert Forum
BRH	Bangkok Regional Hub (UNDP)
CCA	Climate Change Adaptation
CTC	Coral Triangle Centre
CTI	Coral Triangle Initiative
EA	Executing Agency
EAFM	Ecosystem Approach to Fisheries Management
GEF	Global Environment Facility
GESI	Gender Equity and Social Inclusion
IA	Implementing Agency
IUU	Illegal, Unreported, and Unregulated (fishing)
IW	International Waters (GEF focal area)
LME	Large Marine Ecosystem
LTA	Long-Term Agreement
M&E	Monitoring and Evaluation
MCS	Monitoring, Control, and Surveillance
MPA	Marine Protected Area
MTR	Mid-term review
NAP	National Action Programme
NCU	National Coordination Unit
NFA	National Fisheries Authority (Papua New Guinea)
NGO	Non-Governmental Organization
NIMC	National Inter-Ministerial Committee
NPB	National Project Board
PPR	Primary Project Representative
PEMSEA	Partnerships in Environmental Management for the Seas of East Asia
PNG	Papua New Guinea
PPG	Project Preparation Grant (GEF)
PRF	PEMSEA Resource Facility
RBM	Rights-based Management (Fisheries)
RCC	Regional Coordination Committee
RGM	Regional Governance Mechanism
RPM	Regional Project Manager

RPMU	Regional Project Management Unit
RpoA-CTI	Reginal Plan of Action – CTI
RpoA-IUU	Regional Plan of Action to Promote Responsible Fishing Practices incl. Combating IUU Fishing in the Region
RSC	Regional Steering Committee
SAP	Strategic Action Programme
SESP	Social and Environmental Screening Procedure
SFAFMP	South Fly Artisanal Fishery Management Plan
SGP	Small Grants Programme (UNDP-GEF)
SPF	Stakeholder Partnership Forum
SRF	Strategic Results Framework
SSF	Small-Scale Fisheries
TDA	Transboundary Diagnostic Analysis
ToC	Theory of Change
TOR	Terms of Reference
UNDP	United Nations Development Programme
UNDP CO	UNDP Country Office

## 1.EXECUTIVE SUMMARY

This report summarizes the findings of the Midterm Review (MTR) conducted via virtual meetings between 20 May and 31 July 2022 for the Papua New Guinea component of the UNDP-GEF Project *Implementation of the Arafura and Timor Seas Regional and National Strategic Action Programs (ATSEA-2); Second Phase of the Arafura Timor Seas Ecosystem Action (ATSEA) Program*, (hereby referred to as the ATSEA-2 Project) that received a US\$530,000 grant from the Global Environment Facility (GEF) in March 2017.

### 1.1 Project Information Table

Project Title	Implementation of the Arafura and Timor Seas Regional and National Strategic Action Programs (ATSEA-2); Second Phase of the Arafura Timor Seas Ecosystem Action (ATSEA) Program		
UNDP Project ID (PIMS #):	5439	PIF Approval Date:	29 October 2014
GEF Project ID (PMIS #):	6920	CEO Endorsement Date:	8 March 2017
Country(ies):	Papua New Guinea,	ProDoc Signature Date:	29 July 2019
Region:	Asia Pacific	Date project manager hired: (National Coordinator)	March 2021
Focal Area:	International Waters	Inception Workshop date:	31 May 2021 (PNG)
GEF Focal Area Strategic Objective:	GEF-6	Midterm Review Date:	May – August 2022
Trust Fund:		Planned closing date:	30 June 2024
Executing Agency/ Implementing Partner	PEMSEA National Fisheries Authority of Papua New Guinea		
Other execution partners:			
<b>Project Financing</b>	<i>at CEO endorsement (US\$)</i>	<i>at Midterm Review (US\$)</i>	
[1] GEF financing:	530,000	113,244.47	
[2] UNDP contribution:	25,000	-	
[3] Governments (in-kind):	500,000	23,107.50	
[4] Governments (in-cash):	1,500,000	110,937.95	
[5] Total co-financing [2 + 3+ 4]:	1,525,000	134,045.95	
<b>PROJECT TOTAL COSTS [1 + 5]</b>	<b>2,055,000</b>	<b>247,290.42</b>	

## 1.2 Project Description

The ATSEA-2 project is the second phase of the GEF-financed, UNDP-supported ATSEA program, and is designed to enhance regional collaboration and coordination in the Arafura and Timor Seas (ATS) region. ATSEA-2 specifically focusses on supporting the implementation of the endorsed strategic action program (SAP), a 10-year vision for the Arafura-Timor Seas with the long-term objective “to promote sustainable development of the Arafura-Timor Seas region to improve the quality of life of its inhabitants through restoration, conservation and sustainable management of marine-coastal ecosystems”. The GEF alternative establishes a regional governance mechanism that strengthens the enabling policies and capacities of institutions and individuals, including the integration of Papua New Guinea, resulting in a sustained transboundary response to over-exploited fisheries and increased pressures on the globally significant biodiversity in the ATS region, including the impacts of climate change. Integrated approaches are designed to incentivize local communities to more sustainable use coastal and marine resources, enhancing their own livelihoods while safeguarding the ecosystem goods and services that are the backbone of their socio-economic well-being.

The project objective is to enhance sustainable development of the ATS region to protect biodiversity and improve the quality of life of its inhabitants through conservation and sustainable management of marine-coastal ecosystems (as indicated in the SAP).

In order to achieve the above objective, the project’s intervention is organized in three components with total of nine outcomes.

Component 1: Regional, National and Local Governance for Large Marine Ecosystem Management

Component 2: Improving LME Carrying Capacity to Sustain Provisioning, Regulating and Supporting Ecosystem Services

Component 3: Knowledge Management

The project was approved for implementation as a full-size GEF-6 project on 8 March 2017. The implementation of the project started with the official signature by the participating governments on 1 February 2019 (Indonesia), 5 March 2019 (Timor-Leste) and 29 July 2019 (Papua New Guinea). The overall Project Inception Workshop was conducted on 19 November 2019. The original planned end date of the project is June 2024.

Along with the regional component, the ATSEA-2 PNG project component is managed by PEMSEA under the NGO implementation modality.

## 1.3 Project Progress Summary

Under Component 1, the project supported assessment of a Regional Governance Mechanism (RGM) and proposal for the ATS Stakeholder Partnership Forum (SPF). The documents for a proposed RGM were submitted for national consultations. The project established and operationalised its Regional Steering Committee and the PNG National Project Board as the project governance bodies for the regional and PNG levels, advanced formalisation of the National Inter-Ministerial Committee in PNG and progressed for establishment of the regional SPF with participation of PNG stakeholders.

Upon review of the existing national legal framework, the project advanced identification and establishment of National Inter-Ministerial Committee (NIMC) and initiated development of an Artisanal Fisheries Management Plan for the South Fly District. By this token, the project has strengthened the existing national institutional and policy frameworks and created grounds for their integration into regional approaches on coastal and marine resource management and conservation of

biodiversity. The institutional and legal framework analysis in PNG also served as reference in the identification and establishment of National Inter-Ministerial Committee (NIMC).

The project has built on various achievements of the Phase-1 of the ATSEA project, in particular initiated update of the Transboundary Diagnostic Analysis and updates of the regional Strategic Action Programme and related National Action Programmes (NPAs) in Indonesia and Timor-Leste. As Papua New Guinea had not participated in ATSEA-1, the project creates grounds for preparation of the first NAP for PNG that is scheduled to commence in 4<sup>th</sup> quarter of 2022.

Furthermore, the project supported assessment of PNG stakeholders and their capacities and development of a capacity development plan. On this basis, a series of regional and national training activities was conducted where a number of PNG resource beneficiaries were trained or mentored on different aspects of sustainable resources management of marine and coastal resources. Despite late start of the project in PNG and the COVID-19 restrictions applied, the number of PNG trainees has already exceeded the end-of-project target for PNG.

Under Component 2, the project supported preparation and completion of the Biophysical and Socioeconomic Assessment Report with fisheries aspect included and the South Fly Artisanal Fishery Baseline Assessment Report to inform and facilitate more targeted approaches for the preparation of the first NAP for PNG.

For improved management of fisheries, the project supported development of reports on the Ecosystem Approach on Fisheries Management (EAFM) and on the Rights-Based Management Approaches to Fisheries in the ATS Region that included input from the PNG component.

#### 1.4 MTR Ratings & Achievement Summary Table

Measure	MTR Rating <sup>1</sup>	Achievement Description
Progress towards results	Outcome 1.1 Achievement Rating: S	The national consultative process related to participation of the PNG in the RGM, and formation of the SPF was conducted with inclusion of key national authorities and the state university. Despite the late start of the project in the PNG, the key bodies for the project, namely the NPB and the NIMC were established. Because of the small size of the NIMC and SPF, the SPF and NIMC meetings were combined as the NIMC members make up the SPF with the non-state stakeholders.
	Outcome 1.2 Achievement Rating: S	Assessment of legal and institutional framework was completed and endorsed by the NPB (2021). It includes key policies and regulations in PNG on marine and fisheries particularly relating to South Fly District (SFD). PNG participated in various regional organized trainings on EAFM, EAFM ToT, Data Information Management System, Fisheries Intelligence.
	Outcome 1.3	No deliverable for PNG
	Outcome 1.4 Achievement Rating: S	Bio-Physical and Socio-Economic Outline for the South Fly District completed. NWG for TDA update confirmed and oriented, and data collection for TDA update in progress

<sup>1</sup> Evaluation rating indices (except sustainability – see Para 70): 6=Highly Satisfactory (HS): The project has no shortcomings in the achievement of its objectives; 5=Satisfactory (S): The project has minor shortcomings in the achievement of its objectives; 4=Moderately Satisfactory (MS): The project has moderate shortcomings in the achievement of its objectives; 3=Moderately Unsatisfactory (MU): The project has significant shortcomings in the achievement of its objectives; 2=Unsatisfactory (U) The project has major shortcomings in the achievement of its objectives; 1=Highly Unsatisfactory (HU): The project has severe shortcomings in the achievement of its objectives.

	Outcome 2.1 Achievement Rating: S	Draft Artisanal Fisheries Management Plan (subject to consultations). EAFM ToT training was conducted using hybrid mechanism – online via zoom and offline with a training hub in Port Moresby. Through this training, 8 participants from Papua New Guinea were capacitated. More realistic targets contributing to Indicator 13 and 14 of the ProDoc on reduction in fishing pressure and use of sustainable fishing gears or techniques needed.
	Outcome 2.2	No deliverable for PNG
	Outcome 2.3	No deliverable for PNG
	Outcome 2.4	No deliverable for PNG
	Outcome 3	No deliverable for PNG

## 1.5 Concise Summary of Conclusions

Three major conclusions were derived as a result of the MTR desktop review and virtual interviews:

- The flagship deliverable for the Papua New Guinea component is the development of the Artisanal Fisheries Management Plan (AFMP for the South Fly District (SFD). It is expected that the Plan will be officially iroject and will thus become a law to be incorporated into local legislation at the village level. Successful implementation of the Plan will require effective management of the AFMP by the fishing villages' authorities.
- Indicators 13(on reduced fishing pressure related to dried fish maw production in PNG) and 14 (use of sustainable fishing gears and techniques pertaining to artisanal fishers in PNG) in the project SRF are poorly defined and there are no specific activities defined in the Project Document for achievement of the respective EOP targets for PNG. Assessments completed under the project proved that the EOP targets were determined based on outdated baseline data and therefore unrealistic and unclear.
- Budget allocation for the PNG component in the approved Project Document is underestimated and lack of funding can negatively affect roll out of the South Fly AFMP and completion of the first NAP for PNG. Implementation community-level livelihood activities in the SFD will be strengthened through attracting additional resources from business companies and GEF Small Grants Programme.

## 1.6 Recommendation Summary Table

No.	Recommendation	Entity Responsible
<i>For Papua New Guinea</i>		
1	PEMSEA in cooperation with the NCU and RPMU should ensure provision of capacity building on AFMP management, implementation and surveillance to the local communities in the SFD	RPMU, PEMSEA and NCU
2	The RPMU in cooperation with PEMSEA and the NCU PNG should conduct a critical revision and reassessment of the EOP targets for Output 2.1.1 in the project SRF: <ul style="list-style-type: none"> <li>• Reset the target for Indicator 13 on more sustainable production of dried fish maw to also cover production and use of fish maw carcass;</li> <li>• Redefine the target for Indicator 14 on improved use of fishing gears by artisanal fisheries in line with the South Fly Fore-coast AFMP</li> </ul>	RPMU, PEMSEA and NCU
3	PEMSEA in cooperation with the RPMU and PNG NCU should assess options for re-allocation of the project funds to the PNG component and consider reaching out to the private sector (e.g. Ok Tedi Development Foundation) for joint activities and additional support to implementation of community level activities, including linking with the GEF Small Grants Programme in PNG and with the Australian High Commission in PNG	RPMU, PEMSEA and NCU

## 2. INTRODUCTION

This report presents the findings relevant for the Papua New Guinea (PNG) part of the UNDP/GEF project “Implementation of the Arafura and Timor Seas Regional and National Strategic Action Programs – Second Phase of the Arafura Timor Seas Ecosystem Action”, further referred to as the ATSEA-2 project.

### 2.1 Purpose of the MTR and Objectives

As outlined in the GEF Monitoring and Evaluation Policy, Mid-Term Reviews are mandatory for all GEF-financed full-sized projects and constitute an important part of the GEF projects’ monitoring and evaluation plan. MTRs are primarily undertaken for adaptive management purposes, i.e., to identify challenges and outline corrective actions to ensure that a project is on track to achieve maximum results by its completion. In order to fulfil the above purpose, MTRs are conducted in order to assess the projects’ progress towards results, implementation and adaptive management for improvement of outcomes, facilitate early identification of risks to sustainability and provide supportive recommendations.

The objective of the MTR is to provide the project partners i.e. GEF, UNDP, key stakeholders/ private institutions and the Governments of Indonesia, Timor-Leste, Papua New Guinea, and Australia with an independent assessment of progress towards achievement of the project objectives and outcomes as specified in the Project Document. As such, the MTR serves to:

- assess early signs of project success or failure with the goal of identifying the necessary changes to be made to set the Project on-track to achieve its intended results;
- strengthen the adaptive management and monitoring functions of the Project;
- enhance the likelihood of achievement of Project and GEF objectives through analyzing Project strengths and weaknesses and suggesting measures for improvement;
- enable informed decision-making;
- create the basis for replication of successful Project outcomes achieved to date
- identify and validate proposed changes to the ProDoc to ensure achievement of all Project objectives; and
- assess whether it is possible to achieve the objectives in the given timeframe, taking into consideration the pace at which the Project is proceeding.

This MTR was prepared to:

- be undertaken independent of the project management to ensure independent quality assurance;
- apply UNDP-GEF norms and standards for midterm reviews;
- assess achievements of outputs and outcomes, likelihood of the sustainability of outcomes, and if the Project met the minimum M&E requirements; and
- provide recommendations to increase the likelihood of the Project delivering all of its intended outputs and achieving intended outcomes.

This MTR has been conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects<sup>42</sup>.

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<sup>42</sup> Guidance for Conducting Midterm Reviews of UNDP-supported, GEF-financed Projects UNDP-GEF, 2014  
 GEF Evaluation Policy, GEF/ME/C.56/02/Rev.01, June 13, 2019  
 UNDP Evaluation Guidelines, UNDP, 2019

## 2.2 Scope and Methodology

The MTR covers all activities undertaken in the framework of the ATSEA-2 project. The time scope of the MTR is the implementation period of the project from June 2019 up to June 2022. The geographic scope for this report is the Papua New Guinea part of the ATS region. Refer to Display 1 below on site specific to PNG.



**Display 1:** Project areas of the ATS region

The MTR has been carried out using a participatory approach that seeks to inform and consult with key stakeholders associated with the project using the primary evaluation criteria for GEF MTRs listed in the Terms of Reference for the evaluation, i.e., Project Strategy, Progress towards Results, Project Implementation & Adaptive Management, and Sustainability.

The Terms of Reference (ToR) for the MTR is provided as Annex 1.

## 2.3 MTR Approach and Data Collection Methods

The MTR used the following evaluation instruments:

*Evaluation Matrix:* An evaluation matrix was constructed based on the evaluation scope presented in the TOR. The matrix is structured along the four GEF evaluation criteria for MTRs and includes principal evaluation questions. The matrix provided overall direction for the evaluation and was used as a basis for interviewing stakeholders and reviewing project documents. The evaluation matrix is provided as Annex 2.

*Documentation Review:* The reviewer conducted a review of documents that were made available by the Regional Project Management Unit (RPMU) and the UNDP CO in Indonesia as well as other documents found from various other sources.

*Interviews:* The reviewer conducted a number of virtual consultations through the zoom platform with the key project stakeholders from the PNG using semi-structured interview questions. Through the interviews, the consultants obtained information about the key informants' impressions and experiences

from implementation of the project. Triangulation of results, i.e., comparing information from different sources, such as documentation and interviews, or interviews on the same subject with different stakeholders, was used to corroborate or check the reliability of evidence. The interview guide is provided as Annex 3 and the list of people interviewed as Annex 5 to this report.

*Data analysis:* The reviewer used a combination of the above methods for gathering information in order to triangulate information and data and thereby ensure their accuracy and robustness. After the data collection phase with conducting interviews, observing selected outputs and reviewing data from existing data sources, data analysis followed as the final phase of MTR. Data analysis involved organizing and classifying the information collected, tabulating it, summarizing it, and comparing the results with other appropriate information to extract useful information that responds to the evaluation questions and fulfils the purposes of MTR. In this process, the reviewer took care of checking factual evidence ensuring its accuracy and translating the data into usable formats or units of analysis related to the evaluation questions. List of documents consulted is provided as Annex 6 to this report.

## 2.4 Structure of the MTR Report

This report closely follows the structure of the MTR report outlined in the Terms of Reference that was prepared by UNDP Country Office in Indonesia as the commissioning unit for this MTR. This MTR report is designed to meet UNDP-GEF's "Project-level Monitoring: Guidelines for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects" of 2014: [http://web.undp.org/evaluation/documents/guidance/GEF/midterm/Guidance\\_Midterm%20Review%20\\_EN\\_2014.pdf](http://web.undp.org/evaluation/documents/guidance/GEF/midterm/Guidance_Midterm%20Review%20_EN_2014.pdf)

The following elements that have been covered in the MTR:

### Project Strategy

- Project design
- Results framework/logframe

### Progress Towards Results

- Progress towards outcomes analysis
- Remaining barriers to achieving the project objective

### Project Implementation and Adaptive Management

- Management arrangements
- Work planning
- Finance and co-finance
- Project-level monitoring and evaluation systems
- Stakeholder engagement
- Reporting and communications

### Sustainability

- Financial risks to sustainability
- Socio-economic risks to sustainability
- Institutional framework and governance risks to sustainability
- Environmental risks to sustainability

The first part of the report describes the project background and summarizes factual information that was assembled during the initial data collection phase. The second part contains information that was collected through consultations with the key stakeholders and desk review of relevant documentation. The third part provides evidence-based conclusions connected to the findings from the second part and recommendations in the form of corrective actions for the design, implementation, management arrangements as well as for monitoring and evaluation of the project.

## **2.5 Constraints and Limitations**

The findings and conclusions contained in this report are based primarily on a thorough desk review of documents that were made available to the reviewer, as well as on a series of virtual interviews conducted through the zoom platform.

In this way, the reviewer was able to conduct a detailed assessment of progress towards the expected results. However, due to the travel restrictions related to COVID-19 outbreak, the reviewer was not able to visit the PNG project sites and observe changes for documentation of results on the ground. It was also not possible to directly obtain opinions of the target beneficiaries, in particular, those belonging to vulnerable groups living in the coastal areas of the PNG ATS region.

### **3. PROJECT DESCRIPTION AND BACKGROUND CONTEXT**

#### **3.1 Project Context**

The tropical and semi-enclosed Arafura and Timor Seas (ATS) are shared by Australia, Indonesia, Timor-Leste (TL) and Papua New Guinea (PNG). The ATS region is located at the intersection of the Northern Australian Shelf waters to the south, and the Indonesian Sea to the north. Linking the Indian and Pacific oceans, the ATS region covers more than 170 million ha, contains key coastal ecosystems such as coral reefs and seagrass, common in waters adjacent to Indonesia and Timor-Leste, and mangroves, widely distributed from Papua to the north coast of Australia.

In June 2002, the Preparatory Committee IV meeting with stakeholders from Australia, Indonesia, and Timor-Leste for the World Summit on Sustainable Development (WSSD) formed the Arafura and Timor Seas Expert Forum (ATSEF) in order to address challenges in the development of natural resources management in the ATS region.

ATSEF supported development of the first GEF-funded UNDP-implemented project “Arafura Timor Seas Ecosystem Action” (ATSEA project) (2009-2014). The latter project served as a formative phase for development and adoption of the first Transboundary Diagnostic Analysis (TDA), a regional Strategic Action Programme (SAP) and corresponding National Action Programmes (NAP) for Indonesia and Timor-Leste.

In 2019, ATSEA-2 programme started as a regional partnership of four littoral countries: Indonesia, Timor-Leste, and Papua New Guinea with the support of Australian Government in order to collectively manage high marine and fisheries resources in the ATS region in line with the adopted SAP under ATSEA-1.

#### **3.2 Challenges that the project addresses**

The marine environment in the ATS region is in serious decline, primarily as a result of over-harvesting and other direct and indirect impacts of anthropogenic stresses and global climatic changes. The priority environmental concerns are outlined in Table 1 below.

**Table 9:** Priority environmental concerns in the Arafura and Timor seas region<sup>2</sup>

<b>Priority Environmental Concerns</b>	<b>Key Causal Factors</b>	<b>Key Impacts</b>
Unsustainable fisheries & decline & loss of living coastal & marine resources	Illegal, unreported and regulated fishing; unsustainable practices; fisheries bycatch	<ul style="list-style-type: none"> <li>• Depletion of shared trans-boundary and pelagic fisheries – sharks/rays, red and gold band snappers, trepang, prawns/shrimp, tuna (Arafura Sea, Timor Sea)</li> <li>• Over-exploitation of coastal fisheries resources – trepang, trochus, coral reef fisheries (Arafura Sea, Timor-Leste, Gulf of Carpentaria)</li> <li>• Fisheries ‘bycatch’ – shrimp/prawn trawling (Arafura Sea, Gulf of Carpentaria), red snapper (Timor Sea)</li> </ul>
Modification, degradation & loss of coastal & marine habitats	Coastal development, bottom trawling, fuel wood (mangroves), dynamite fishing, pollution (sediments)	<ul style="list-style-type: none"> <li>• Decline &amp; loss of soft bottom habitats (bottom trawling) – Arafura Sea, Gulf of Carpentaria, Bonaparte Gulf</li> <li>• Decline &amp; loss of mangroves – Timor-Leste (fuel wood), Aru Sea (coastal development)</li> <li>• Decline &amp; loss of coral reefs (sediments, dynamite fishing) – NTT, Maluku, Aru Sea, Timor-Leste</li> <li>• Decline &amp; loss of seagrasses (sediments, dieback)</li> </ul>
Marine & land-based pollution (e.g. marine debris, sediments, oil spills)	Coastal development (nutrients, sediments), mining (sediments, toxicants), land degradation (sediments), oil spills, marine debris	<ul style="list-style-type: none"> <li>• Sediment runoff – land degradation (Dili, Timor-Leste), mining activities (Gulf of Carpentaria, Aru Sea, Papua)</li> <li>• Toxicants (coastal mining activities) – Gulf of Carpentaria (Nhulunbuy, Milner Bay, Bing Bong, Weipa, Karumba), Aru Sea (and Papua), Kupang, Wetar Island</li> <li>• Eutrophication – Darwin Harbor, Aru Sea</li> <li>• Marine debris – Gulf of Carpentaria, Arafura Sea</li> <li>• Oil spills &amp; impacts – Timor Sea, southern NTT (‘Montara’ oil spill)</li> </ul>
Decline & loss of biodiversity & key marine species	Illegal and unsustainable harvesting, fisheries bycatch (ghostnets, trawling, tuna long-lines), habitat loss, and climate change	<ul style="list-style-type: none"> <li>• Marine turtles – Aru Sea, northern Australia (illegal and unsustainable harvest, fisheries bycatch, marine debris, tuna long-lines)</li> <li>• Dugongs – Aru Sea, northern Australia (illegal and unsustainable harvest, fisheries bycatch, marine debris)</li> <li>• Cetaceans – ATS (fisheries bycatch, shipping, seismic activities)</li> <li>• Sharks/rays – ATS, northern Australia (IUU fishing, unsustainable harvest, fisheries bycatch)</li> <li>• Sea snakes – ATS, northern Australia (fisheries bycatch)</li> <li>• Seabirds/shorebirds – ATS (oil and gas industry impacts, fisheries bycatch, illegal and unsustainable harvest)</li> </ul>
Impacts of climate change	Fossil fuel-based global energy consumption, land use, land use change, and forestry	<ul style="list-style-type: none"> <li>• Ocean warming – dynamics of the Indo-Pacific Warm Pool, ocean thermostat</li> <li>• Increased sea temperatures – northern seas warming, impacts on ocean processes, marine biodiversity (particularly marine reptiles, corals)</li> <li>• Increased extreme climatic events (cyclonic activities, rainfall, drought) – increased cyclonic frequency &amp; intensity</li> <li>• Sea level rise – coastal flooding, saltwater intrusion, loss of coastal habitat &amp; biodiversity</li> </ul>

These transboundary priority environmental concerns are influenced by several key drivers, including national macro-economic conditions, including economic growth, consumption patterns, and labour markets; domestic politics and policies, and regulation, including taxation, industry protection, environmental policy, industry assistance and development; and region-specific trends, including land supply, land rights claims, views on the environment, regional development policy, demographic, and labour market changes.<sup>3</sup>

<sup>2</sup> ATSEA, 2012. Transboundary Diagnostic Analysis for the Arafura and Timor Seas Region

<sup>3</sup> Stacey, Ne, Nurhakim, et. al, Socio-economic Profile of the Arafura and Timor Seas. Report prepared for the ATSEA Programme, 2011

### 3.3 Project description and strategy

The ATSEA-2 project is the second phase of the GEF-financed, UNDP-supported ATSEA program, and is designed to enhance regional collaboration and coordination in the Arafura and Timor Seas (ATS) region. ATSEA-2 specifically focuses on supporting the implementation of the endorsed strategic action program (SAP), a 10-year vision for the Arafura-Timor Seas with the long-term objective “to promote sustainable development of the Arafura-Timor Seas region to improve the quality of life of its inhabitants through restoration, conservation and sustainable management of marine-coastal ecosystems”. The GEF alternative establishes a regional governance mechanism that strengthens the enabling policies and capacities of institutions and individuals, including the integration of Papua New Guinea, resulting in a sustained transboundary response to over-exploited fisheries and increased pressures on the globally significant biodiversity in the ATS region, including the impacts of climate change. Integrated approaches are designed to incentivize local communities to more sustainable use coastal and marine resources, enhancing their own livelihoods while safeguarding the ecosystem goods and services that are the backbone of their socio-economic well-being.

The project objective is to enhance sustainable development of the ATS region to protect biodiversity and improve the quality of life of its inhabitants through conservation and sustainable management of marine-coastal ecosystems (as indicated in the SAP).

In order to achieve the above objective, the project’s intervention is organized in three components with total of nine outcomes.

Component 1: Regional, National and Local Governance for Large Marine Ecosystem Management

Component 2: Improving LME Carrying Capacity to Sustain Provisioning, Regulating and Supporting Ecosystem Services

Component 3: Knowledge Management

The original project results framework is provided as Annex 6 to this report.

### 3.4 Expected project results

Expected results of the ATSEA-2 project related to PNG include:

- A functioning regional governance mechanism, endorsed through a Ministerial Declaration by the four littoral countries of Australia, Indonesia, Papua New Guinea, and Timor-Leste, and supported by a representative stakeholder partnership forum and national inter-ministerial committees;
- Updating of the Transboundary Diagnostic Analysis (TDA) and the Strategic Action Programme (SAP) and preparation of the first NAP for PNG;
- Approximately 125 km of coastline under integrated coastal management, with scalable demonstration activities implemented, offering alternative, climate adaptive, livelihood opportunities and strengthening the resilience of local coastal communities;
- Up to 25% of over-exploited fisheries in the ATS region moved to more sustainable levels (this represents approximately 0.25% globally by volume), by building on the efforts of the three beneficiary governments to address IUU fishing;
- Improved scientific knowledge regarding climate change impacts on ATS ecosystem goods and services, and strengthened adaptive capacity of local communities;
- Ecosystem health improved as a result of implementing the ecosystem approach to fisheries management, both regionally, on a large marine ecosystem scale, and locally, for fisheries with

special focus in PNG on artisanal fishery management anchored on principles of ecosystem approach to fisheries management (EAFM) and rights-based management (RBM) for fisheries;

- Improved fisheries management for various fish species as part of the AFMP in South Fly District, PNG;
- Design of a regional MPA network, and a regional action plan on enhanced protection of endangered marine turtles endorsed through RCC, and a Roadmap for achieving the proposed regional MPA Network included in ATS SAP and approved as part of the Ministerial Declaration.

**Global Environmental Benefits:** According to the approved Project Document, the project is expected to generate global environmental benefits in the GEF focal areas International Waters and Biodiversity as listed in Table 2 below.

**Table 10:** Global Environmental Benefits

Corporate Results	Replenishment Targets	Project Targets
Maintain globally significant biodiversity and the ecosystem goods and services that it provides to society	Improved management of landscapes and seascapes covering 300 million hectares	800,000 ha under improved management
Promotion of collective management of transboundary water systems and implementation of the full range of policy, legal, and institutional reforms and investments contributing to sustainable use and maintenance of ecosystem services	20% of globally over-exploited fisheries (by volume) moved to more sustainable levels	Up to 25% (by volume) for the ATS region, representing approximately 0.25% of global levels

**Socio-Economic Benefits:** The global environmental benefits will be underpinned by socio-economic benefits, such as improved livelihoods and food security, accruing from improved delivery of ecosystems services from integrated natural resources management and sustainable fisheries.

**Knowledge Management:** The project is expected to generate a significant mass of knowledge and technical capacity for replication and scaling up of experiences and best practices generated by the project and the implementation of the SAP and NAPs. When the project ends, these resources will continue to be available to national and regional partners, as well as to a wider international audience.

### 3.5 Project implementation arrangements

This regional project was designed for implementation under the NGO implementation modality for regional component and the PNG national component and under the National Implementation Modality (NIM) for the Timor-Leste and Indonesia national components. UNDP as the GEF Implementing Agency (IA) is ultimately responsible to GEF for the channelling of resources to the executing agencies (or UNDP implementing partners) in accordance with UNDP rules and regulations. Partnerships in Environmental Management for the Seas of East Asia (PEMSEA) Resource Facility (PRF) was designated as the Implementing Partner for the regional component and the PNG national component, based on the standard Project Cooperation Agreement signed between UNDP Indonesia and the PRF.

A separate Memorandum of Agreement was signed between PEMSEA and the National Fisheries Authority (NFA) of PNG on the Implementing Arrangements for the PNG component.

### 3.6 Project timing and milestones

The project request was submitted to GEF on 7 August 2014. For elaboration of the full-size project, a Project Preparatory Grant was approved by the GEF on 30 September 2014. The main project was approved for implementation as a full-size GEF-6 project on 8 March 2017. The implementation of the project started with the official signature by the participating governments on 1 February 2019 (IDN), 5 March 2019 (TL) and 29 July 2019 (PNG). The original planned end date of the project is June 2024.

The specific timeline of the project in the PNG is summarized in Table 3 below.

**Table 11: Key project dates**

<b>Milestone</b>	<b>Date</b>
PIF Approval	29 October 2014
CEO Endorsement	8 March 2017
LPAC Date	24 November 2017
Project Document Signature by the PNG Government	29 July 2019
Project Cooperation Agreement Signature (PEMSEA and UNDP)	24 July 2019
Memorandum of Agreement (PEMSEA and PNG NFA)	21 October 2020
Establishment of National Coordination Unit Papua New Guinea	March 2021
Project Inception Workshop Papua New Guinea	31 May 2021
Date of the Mid-term Review	May – June 2022
Expected Date of Terminal Evaluation	10 March 2024
Planned Closing Date	10 June 2024

The GEF grant approved for the ATSEA-2 project amounts to US\$ 9,745,662, with total expected co-financing of US\$ 60,201,173. The co-financing is composed of contributions from UNDP and the governments of the participating countries. The part of the total GEF grant allocated to the PNG component amounts to US\$ 530,000. While co-financing commitment from PNG amounts to US\$ 2,025,000 (US\$1.5 million grant and US\$525,000 in-kind).

### 3.7 Main project stakeholders

During the project preparatory phase, a simplified stakeholder analysis was conducted that provided an overview of the main project stakeholders, their interests in relation to the project itself, their influence on the project as well as importance for the success of the project.

The Project Document provides an overview of main stakeholder types involved in and affected by activities of the project. The stakeholder analysis was conducted mainly on a national level in the three participating countries with some recommendations for the regional level activities.

Government-related stakeholders include:

- National ministries, departments and agencies covering natural resources and environment, agriculture, fisheries, health, education, transportation, energy, tourism, industry, foreign affairs, economic development, and finance;
- National and local law enforcement agencies (e.g., maritime police, coast guard, etc.); and
- Subnational level: village/township, municipalities, city, district and provincial governments and their respective national/central government counterparts.

In addition to the government related stakeholders, the project also plans to engage directly with:

- International and national non-government organizations (NGOs) working in specialized fields (e.g., sustainable fisheries, biodiversity conservation, alternative livelihoods, microfinance, ecotourism, women's issues, etc.) as well as those institutions active at the sub-national level in community organization and engagement;
- Representatives of local communities and coastal communities in the ATS region;
- Academic, research, scientific and technical institutions (e.g., universities, polytechnics, specialized training institutes);
- Regional level: regional intergovernmental organizations, and donor and financing agencies;
- Professional associations, scientific and technical societies;
- Business support organizations (e.g., chambers of commerce, financial institutions, industry associations); and
- Individual corporations (e.g., for CSR-related contributions).

## 4. *FINDINGS*

This section brings a summary of empirical facts based on data collected during the review. The MTR reviewer paid particular attention to cross-verification of the evaluative evidence using multiple sources of information and, to the extent possible, avoid overreliance on opinions obtained during the interviews with the project stakeholders.

### 4.1 Project Strategy

The reviewer conducted an analysis of the design of the project, as outlined in the Project Document, and assessed whether the project strategy is proving to be effective in reaching the desired results. In doing so, the reviewer judged the extent to which the project addresses country priorities and is country driven. Furthermore, the reviewer assessed the extent to which the project objectives are consistent with the priorities and objectives of the GEF.

#### Project Design

ATSEA-2 is well aligned with the Papua New Guinea Policy on Protected Areas (2014) that provides the basis for legislation to cover all aspects associated with marine protected areas. It also supports the objectives of the PNG Fisheries Strategic Plan 2021–2030, namely the Key Area Result #9 “Maintain and Strengthen Sustainable Fisheries Management and Healthy Ecosystems”.

The above findings demonstrate the high relevance of the project to the governments of the 3 beneficiary ATS countries.

The design of the ATSEA-2 project is also consistent with the following objectives and respective programmes of the GEF-6 International Waters (IW) Focal Area:

- Objective IW 1: Catalyze sustainable management of transboundary water systems by supporting multi-state cooperation through foundational capacity building, targeted research, and portfolio learning
  - Programme 1: Foster cooperation for sustainable use of transboundary water systems and economic growth
- Objective IW 3: Enhance multi-state cooperation & catalyze investments to foster sustainable fisheries, restore & protect coastal habitats, reduce pollution of coasts & large marine ecosystems
  - Programme 6: Prevent Loss & Degradation of Coastal Habitats
  - Programme 7: Foster Sustainable Fisheries

The ATSEA-2 project is in line with the objectives of the UNDP Country Programme Document (CPD) for Papua New Guinea as summarised in Box 1 below:

**Box 7:** Relevant outcomes and outputs of UNDP CPDs of the ATSEA littoral countries

Country/CPD	Outcomes and Outputs
Country Programme Document for Papua New Guinea (2018-2022)	<p>Outcome 3: By 2022, Papua New Guinea demonstrates improved performance in managing environmental resources and risks emanating from climate change and disasters</p> <p>Output 3.1: Legislation, policy and strategic plans for climate-proofing, conservation, sustainable use of natural resources and disaster risk management in place</p> <p>Output 3.2: Capacities of communities and public officials enhanced to manage protected areas and address climate and disasters risks</p>

In relation to the UN Sustainable Development Goals (SDGs) of the 2030 Agenda for Sustainable Development, ATSEA-2 contributes directly to the SDGs #13 and #14 and indirectly to several other SDGs as summarized in Box 2 below.

**Box 8: Relation of the ATSEA-2 project to UN SDGs**

<b>Sustainable Development Goals</b>	<b>SDG Targets Relevant to ATSEA-2</b>
<b>Direct contribution to SDGs</b>	
13. Climate action	<p>13.2 Integrate climate change measures into national policies, strategies and planning</p> <p>13.3 Improve education, awareness-raising and human and institutional capacity on climate change mitigation, adaptation, impact reduction and early warning</p>
14. Conserve and sustainably use the oceans, seas, and marine resources for sustainable development	<p>14.2 By 2020, sustainably manage and protect marine and coastal ecosystems to avoid significant adverse impacts, including by strengthening their resilience, and take action for their restoration in order to achieve healthy and productive oceans</p> <p>14.4 By 2020, effectively regulate harvesting and end overfishing, illegal, unreported and unregulated fishing and destructive fishing practices and implement science-based management plans, in order to restore fish stocks in the shortest time feasible, at least to levels that can produce maximum sustainable yield as determined by their biological characteristics</p>
<b>Indirect contribution to SDGs</b>	
1. End poverty in all its forms everywhere	<p>1.4 Ensure that all men and women, in particular the poor and the vulnerable, have equal rights to economic resources, as well as access to basic services, ownership and control over land and other forms of property, inheritance, natural resources, appropriate new technology and financial services, including microfinance</p> <p>1.b Create sound policy frameworks at the national, regional, and international levels, based on pro-poor and gender-sensitive development strategies, to support accelerated investment in poverty eradication actions</p>
5. Achieve gender equality and empower all women and girls	5.C Adopt and strengthen sound policies and enforceable legislation for the promotion of gender equality and the empowerment of all women and girls at all levels
8. Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all	<p>8.3 Promote development-oriented policies that support productive activities, decent job creation, entrepreneurship, creativity and innovation, and encourage the formalization and growth of micro-, small- and medium-sized enterprises, including through access to financial services</p> <p>8.4 Improve progressively, through 2030, global resource efficiency in consumption and production and endeavour to decouple economic growth from environmental degradation</p>
10. Reduce inequality within and among countries	10.2 By 2030, empower and promote the social, economic, and political inclusion of all, irrespective of age, sex, disability, race, ethnicity, origin, religion or economic or other status
12. Ensure sustainable consumption and production patterns	12.2 By 2030, achieve the sustainable management and efficient use of natural resources
17. Revitalize the global partnership for sustainable development	17.16 Enhance the global partnership for sustainable development, complemented by multi-stakeholder partnerships that mobilize and share knowledge, expertise, technology and financial resources, to support the

	<p>achievement of the sustainable development goals in all countries, in particular developing countries</p> <p>17.17 Encourage and promote effective public, public-private and civil society partnerships, building on the experience and resourcing strategies of partnerships</p> <p>17.18 By 2020, enhance capacity-building support to developing countries, including for least developed countries and small island developing States, to increase significantly the availability of high-quality, timely and reliable data disaggregated by income, gender, age, race, ethnicity, migratory status, disability, geographic location and other characteristics relevant in national contexts</p>
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## Results Framework/Logframe and Theory of Change

There is no specific results framework for the PNG component. Analysis of the project Strategic Results Framework is provided in the overall MTR Report for the ATSEA-2 project. A Theory of Change (ToC) was also not developed during Project Design as it was not yet a GEF requirement at the time. The 2<sup>nd</sup> RSC meeting of ATSEA-2, however, recognized the value of a ToC to show linkages and causality on ATS SAP and ATSEA-2 Project. The full ToC document was completed and endorsed by the 3<sup>rd</sup> RSC in 2021. The full ToC document is accessible via: [https://www.dropbox.com/s/hyc6afpcxmgn7pe/ATSEA-2%20Theory%20of%20Change\\_18Nov2021\\_rev.pdf?dl=0](https://www.dropbox.com/s/hyc6afpcxmgn7pe/ATSEA-2%20Theory%20of%20Change_18Nov2021_rev.pdf?dl=0)

## 4.2 Progress Towards Results

### Progress towards outcomes analysis

The information presented in this section has been sourced from the semi-annual Project Assurance Reports (PAR), the GEF Project Implementation Reviews (PIR) for the fYs 2021 and 2021, technical reports produced by the project (e.g., reports on the project website), as well as information collected from on-line interviews with the key project stakeholders.

The implementation progress is presented for each Outcome in separate Tables 4- 8. The analysis of progress is related to the outcomes relevant for the PNG part of the project. Overall progress analysis is contained in the summary MTR Report for the project.

The Outcome ratings in Tables 4-8 are based on the premise that the project has to be completed within the officially approved implementation period, i.e., by June 2024. Hence the rating scores are given on the expectation whether the outcomes will or will not achieve their respective end-of-project targets by the end of the approved project period. The GEF guidelines for mid-term reviews require the reviewers to provide only one overall rating for each Outcome and the overall Objective. Rating for the output indicators is given by the colour shading of the Deliverables column in Tables 4-7.

**Table 12: Achievements at MTR for Outcome 1.1**

<b>Component 1: Regional, National and Local Governance for Large Marine Ecosystem Management</b>						
<b>Outcome 1.1: Regional and national mechanisms for cooperation in place and operational</b>						
<b>Indicator</b>	<b>Baseline level</b>	<b>End of Project Target</b>	<b>Midterm Level</b>	<b>Achievement Rating</b>	<b>Justification for rating</b>	<b>Remaining barriers</b>
1. Regional governance mechanism	Informal cooperation under ATSEF, and conceptualization of ATS governance mechanism outlined in Ministerial Declaration	Regional governance mechanism established and functioning with at least 2 of 4 countries contributing dues	No deliverable for the PNG component			
2. National Inter-Ministerial Committees (NIMCs)	NIMCs loosely formed, with no clear mandate for ATS priority concerns	NIMCs established, functioning and formalized through legal and/or institutional arrangements in each of the three beneficiary countries	TOR for NIMC in PNG adopted NIMC established in PNG SPF 1 <sup>st</sup> meeting – Project Inception (31 May 2021) NIMC/SPF 2 <sup>nd</sup> meeting (23 November 2021) NIMC/SPF meeting held on 3 May 2022	S	Refer to the text below the table	None
3. SAP implementation finance secured by governments and development partners	0	25%	No deliverable for the PNG component			

In June 2020, the project commissioned a regional governance assessment with the aim to identify the most viable mechanism for ATS governance, in support of implementation of the ATS SAP and the NAPs. The Regional Governance Assessment (RGA) report, issued in September 2021, puts forward a proposal for the RGM and recommendations to facilitate informed decision-making on the final collaborative mechanism for the ATS region.

The proposed regional mechanism composed of various mutually supportive elements is expected to enable a regional response for improving management and governance of the ATS ecosystems using the regional Strategic Action Programme (SAP) as common framework for action. The recommended mechanism has four main elements, namely i) a Regional Coordinating Committee (RCC), ii) a regional Stakeholder Partnership Forum (SPF), iii) an SAP Coordination Unit with SPF Secretariat, and iv) a new Regional Steering Committee (RSC).

While there was no specific PNG end of project target for Indicator 4, the project completed a stakeholder analysis as reference for inclusion into the SPF and institutional assessment of relevant inter-ministerial agencies and subnational counterparts. In support of the RGM, a country consultation report was also completed and submitted for input into the development of a consolidated RGM model.

A consultative meeting on the regional SPF was convened in May 2021 with a total of 48 participants in attendance. However, Papua New Guinea was represented only by the two members of the ATSEA-2 National Coordination Unit (NCU) and one representative of the NFA. The meeting was informed by the results and recommendations of the RGA report, insights and inputs generated from the national

consultations in the ATS countries, and recommendations from the 3<sup>rd</sup> RSC meeting. Participants of the consultative meeting emphasised the value of the RGM/SPF for support of the SAP and NAPs implementation through facilitation of broader stakeholder engagement, collaboration on data exchange and research initiatives, as well as identification of common issues, plans and potential projects.

Further to the recommendations of the RGA report, a national consultation workshop on the RGM and SPF in the PNG was held on 20 October 2021 with 10 participants from the National Fisheries Authority, Conservation and Environment Protection Authority, Climate Change Development Authority, Department of Justice and Attorney General, as well as University of PNG. The results were presented to the 3<sup>rd</sup> RSC Meeting in December 2021 in which the RSC endorsed a roadmap for finalization of the process for the RGM and SPF establishment.

The 1<sup>st</sup> national ATSEA-2 project inception meeting with the SPF members was held on 31 May 2022 and the 2<sup>nd</sup> SPF meeting was held on 23 November 2021 with participation of representatives of the UNDP CO, the NFA and CEPA, the UPNG and the Ok Tedi Foundation. The 1<sup>st</sup> SPF meeting for 2022 was held on 3 May 2022.

Furthermore, assessment was conducted of the PNG legal framework in marine and fisheries in relation to the South Fly District as a basis for organising the NIMC, identifying members for the national SPF and preparing a capacity development plan for the project. ToRs for establishment of NIMC and NPB were prepared and adopted. As of 4<sup>th</sup> quarter of 2021, the NPB for Papua New Guinea was established and operational.

The 1<sup>st</sup> PNG NPB meeting was held in October 2021 while the NIMC meeting was conducted jointly with the SPF meeting in November 2021. Both meetings helped with review of various thematic assessment reports of the PNG component, as well review of progress and approval of work plan and budget for 2022. The meetings engaged representatives from the national and sub-national governments, academia, NGOs/CSOs, and the private sector to support the ATSEA-2 interventions in PNG. Another NIMC meeting was completed on 3 May 2022 and reviewed progress related to national RGM/SPF consultations, the development of draft Artisanal Fishery Management Plan, update on TDA updating process, and review of remaining work for 2022.

#### **Summary Assessment of Outcome 1.1:**

The national consultative process related to participation of the PNG in the RGM, and formation of the SPF was conducted with inclusion of key national authorities and the state university. Despite the late start of the project in the PNG, the key bodies for the project, namely the NPB and the NIMC were established. Because of the small size of the NIMC and SPF, the SPF and NIMC meetings were combined as the NIMC members make up the SPF with the non-state stakeholders. According to the MTR interviews with the PNG project stakeholders, there were concerns about whether the NIMC fully operational.

Based on the above, the progress under Outcome 1.1 is rated **Satisfactory (S)**.

**Table 13: Achievements at MTR for Outcome 1.2**

<b>Outcome 1.2: Strengthened institutional and human resource capacity towards integrated approaches in natural resource management and biodiversity conservation</b>						
<b>Indicator</b>	<b>Baseline level</b>	<b>End of project target</b>	<b>Midterm Level</b>	<b>Achievement rating</b>	<b>Justification for rating</b>	<b>Remaining barriers</b>
4. Knowledge transferred from capacitated trainers to resource beneficiaries	Limited knowledge on integrated approaches	Papua New Guinea: 10 resource beneficiaries receive training on integrated approaches from the capacitated trainers	Total 22 individuals trained ToT postponed due to COVID-19 restrictions	S	Refer to the text below the table	NONE

Assessment of legal and institutional framework was completed and endorsed by the NPB (2021). It includes key policies and regulations in PNG on marine and fisheries particularly relating to South Fly District (SFD).

Papua New Guinea participated only in the regional trainings as follows:

- Virtual Database and Information Management System (DIMS) (28-29 April 2021) for 3 participants;
- E-EAFM training as part of the parallel E-EAFM trainings facilitated by RPMU with the 3 ATS countries for 9 participants (14-18 June 2021)
- EAFM ToT for 5 participants (12-14 October 2021)
- Fisheries intelligence training for 5 participants (5-8 April 2022)

Up to the MTR stage, the cumulative total of people trained in PNG reached 22.

#### **Summary Assessment of Outcome 1.2:**

PNG participated in the first phase of the ATSEA project only as observer due to a perceived lack of engagement by key stakeholders in PNG. To address this issue and prepare for the launch of the GEF/UNDP/PEMSEA ATSEA-2 Programme, the National Fisheries Authority (NFA) set out to engage key regional stakeholders during an inception meeting.

Held via Zoom on 31 May 2021, the virtual inception meeting was attended by a range of stakeholders, including representatives from NFA, National Fisheries College, PNG Sustainable Development Program Ltd, OK Tedi Development Foundation, and the University of PNG. The overall objective of the meeting was to facilitate a common understanding and ensure joint ownership of the Programme by partners and stakeholders, in terms of its vision, aims, objectives and outputs. In addition, the meeting reviewed key elements of the Strategic Results Framework, in a bid to facilitate discussion between stakeholders and to identify areas for potential collaboration.

The stakeholders from Western Province and South Fly district did not join the Zoom meeting, due to poor internet connectivity. However, a face-to-face meeting was held in Daru with the government officials and an NGO, while in Kadawa village some of the villagers along the South Fly coast were also included in initial meetings, where the ATSEA-2 Programme was introduced to them and their involvement was discussed. These sessions were held a week prior to the main inception meeting, held in Port Moresby, PNG.

Based on the above, the progress under Outcome 1.2 is rated **Satisfactory (S)**.

**Table 14: Achievements at MTR for Outcome 1.4**

<b>Outcome 1.4: Updated ATS transboundary diagnostic analysis (TDA) endorsed by the ATS RCC</b>						
<b>Indicators</b>	<b>Baseline</b>	<b>End-of-Project Targets</b>	<b>Midterm Level</b>	<b>Achievement Rating</b>	<b>Justification for the Rating</b>	<b>Remaining Barriers</b>
10. Proportion of countries that are implementing specific measures from the SAP (i.e. adopted national policies, laws, budgeted plans)	0	Papua New Guinea: Priority actions under ATS NAP mainstreamed into national development programs and budgets	Bio-Physical and Socio-Economic Outline for the SFD (May 2021) NWG for TDA update confirmed (March 2022) Data collection for TDA update in progress	S	Refer to the text below the table	NONE
Not in the ProDoc		N.A.	Stocktaking review of ATS SAP implementation (ongoing)			

A report on Bio-Physical and Socio-Economic Outline for the SFD was produced in May 2021. The report discusses the main socio-economic characteristics of the SFD and contain data on status of the key marine species in the area.

The TDA updating process was initiated with recruitment of a national consultant for the TDA updating team

Regional Inception Workshop on TDA updating was conducted in two parts in early 2022 in order to clarify objectives and methodology for the TDA update. It was agreed that the TDA process would entail the following four major milestones: i) development/conduct of thematic assessments; ii) convening of National Working Groups (NWGs) for data inputs and technical review; iii) conduct of TDA regional workshop; and iv) compilation, validation, and approval of the updated TDA. Meetings on data gap analysis and priorities for primary data collection were conducted with the national TDA consultants in March 2022.

One of the main outputs of the TDA process will be a Country Synthesis Report (CSR) to be prepared by the national consultants with inputs and guidance from the PNG NWG. This report will serve as part of thematic assessments focusing on environmental, fishery & aquaculture, socio-economic and governance aspects. The agreed TDA workplan comprises convening of TDA validation workshops at the national levels for finalisation of the CSR and submission of a consolidated regional TDA report for review and endorsement by the 4<sup>th</sup> RSC in November 2022.

In December 2021, a rapid stocktaking review of implementation of the ATS SAP was initiated. Although this activity is not included indicated in the Project Document, the project deemed it necessary and useful as no stocktaking had been done since adoption of the SAP in 2014. It is based on a desktop assessment of initiatives contributing towards the governance and ecosystem objectives and targets in the SAP. Information resulting from the stocktaking exercise will serve as input into the TDA/SAP update and into the development of PNG's 1<sup>st</sup> NAP.

Completion of the regional SAP update will provide overall framework for updating the NAPs in Indonesia and Timor-Leste. As PNG is expected to develop its first NAP, the process of development of the NAP in PNG will be initiated before the actual updating of the NAPs for Indonesia and Timor-Leste.

Based on the above findings, the progress towards achievement of the PNG-relevant end-of-project targets under Outcome 1.4 **is rated Satisfactory (S).**

**Table 15: Achievements at MTR for Outcome 2.1**

<b>Outcome 2.1: Improved management of fisheries and other coastal resources for livelihoods, nutrition and ecosystem health in Indonesia, Timor-Leste, and Papua New Guinea</b>						
<b>Indicators</b>	<b>Baseline</b>	<b>End-of-Project Targets</b>	<b>Midterm Level</b>	<b>Achievement Rating</b>	<b>Justification for the Rating</b>	<b>Remaining Barriers</b>
11. Number of management plans and appropriate measures implemented for rebuilding or protecting fish stocks including alternative management approaches	0	5 management plans (for the region) (Note: 1 for PNG)	Draft Artisanal Fisheries Management Plan (subject to consultations)	S	Refer to text below the table	None
12. Number of targeted communities of fishers have adopted an ecosystem approach to fisheries management	0	5 communities (in the region)	South Fly District-rights based fisheries			
13. Improved use of fish gear/techniques	South Fly, PNG: Approx. 2700 households involved in small-scale fishing	South Fly: PNG: 25% artisanal fishers using improved gear/techniques				Limited availability of data

In PNG, the development of an Artisanal Fishery Management Plan (AFMP) for the South Fly District was still in progress at the MTR. Draft of the AFMP was available at MTR and was subject to consultations with national stakeholders. The Plan is expected to target 14 villages in the district. Once the management plan is completed, ATSEA-2 will develop a system for community-based monitoring, control, and surveillance to ensure compliance with the AFMP.

In order to ensure extensive participation of key stakeholders for development of an ATS regional EAFM plan for red snapper, ATSEA-2 established an EAFM Advisory Forum (AF), comprising representatives from local, national, and regional governments, academia, private enterprises, and non-profit organisations.

Upon extensive stakeholder consultations, ATSEA-2 supported development of a regional EAFM plan for improved fisheries management for four red snapper species (saddletail snapper, crimson snapper, red emperor and goldband) through the implementation of a regional EAFM plan. Total 4 EAFM AF meetings were held on the following topics: 1) Fishery Scoping and Issues, 2) Management Goals and Objectives, 3 Management Actions, and 4) Review, roles, activities. There were 3-5 participants for the PNG in the AF meetings.

For PNG, the Project Document envisaged support for adoption of a local by-law on rights-based management approach to in-shore red snapper fisheries. However, assessments conducted under the project confirmed there are no red snapper fisheries in PNG hence this activity becomes outdated.

In June 2021, a five-day EAFM ToT training was conducted using hybrid mechanism— online via zoom and offline with a training hub in Port Moresby. Through this training, 8 participants from Papua New Guinea were capacitated on main EAFM issues including field-based conditions, limitations, and opportunities, as well as awareness and support of key stakeholders to the activities and objectives

related to the ATS fisheries management. Five participants then proceed to the ToT on EAFM that was held in October of 2021.

In 2021, the project commissioned a regional baseline assessment on IUU fishing with the main focus on illegal fishing due to limited availability of data on unregulated and unreported fishing. However, Papua New Guinea datasets for vessels operating in the country were not available to the consultants undertaking the assessment.

### Summary assessment of Outcome 2.1:

The EAFM offers a holistic approach focusing not only on the sustainable harvest of target species but moving towards systems and decision-making processes that balance ecological well-being with human and societal welfare. Through creation of the EAFM AF and FDGs, ATSEA-2 made the EAFM Plan development process as participatory as possible, ensuring that plans are built based on the bottom-up approach with necessary ownership from the national authorities.

While the PNG duly participated in the EAFM AF and meetings and ToT training, the IUU baseline assessment in the PNG was less productive due to unavailability of data on operating vessels in the SFD.

The MTR consultant found Indicator 13 in the project SRF poorly defined and the EOP target for PNG unrealistic as there are no activities defined in the Project Document supporting achievement of the target. Moreover, MTR interviews with stakeholders revealed concerns about possibility to achieve the targeted amount of the dried fish maw.

Similarly, definition of Indicator 14 and its EOP target for PNG is unclear and not supported by any specific activities in the Project Document. In order to improve the PNG part of the project SRF, it is necessary to revise the SRF and develop more specific and realistic targets for Indicators 13 and 14.

Based on the above findings, the progress towards achievement of the end-of-project targets for Outcome 2.1 is rated **Satisfactory (S)**.

**Table 16: Achievements at MTR for Outcome 2.3**

Outcome 2.3. Coastal and marine biodiversity conserved through protection of habitat and species		
Indicators	End-of-Project Targets	Midterm Level
16. Protected area management effectiveness score	None for PNG	Valuation of Ecosystem Services in the ATS Region Database and Information Management System (DIMS) Training
17. Number of threatened species under enhanced protection	1 (marine turtles)- for Regional level	Sea Turtle Status report Proposed RPOA for Protection of Sea Turtles in ATS region

PNG was included in the ATS regional assessment on valuation of the ecosystem services. The report puts the estimated total economic value of the ATS region at US\$ 7.3 billion with highest contributions from ecotourism, service provision including fisheries, wood, and aquaculture.

Furthermore, 2 representatives from the NFA 1 representative of the Conservation and Environment Protection Authority participated a piloting 2-day virtual training on Database and Information Management System (DIMS) in April 2021. team has created an online course for the Database and Information Management System (DIMS). On basis of this event, an online training was developed comprising eight chapters; the first two focus on how to use Quantum GIS or GIS to input, manage and update the data, the following three chapters about geoprocessing and map layout, and the final three

chapters on download of spatial data, use participatory mapping and Android-based Apps (the KoBo Toolbox) for gathering data in the field.

In 2021, the project supported compilation of a Sea Turtle Status report that contains consolidated information on distribution, migration, genetic structure and population trends for six sea turtle species found in the region, on the various threats they face, and on existing legal infrastructure supporting their protection and conservation. The report provided a foundation for preparation of a Regional Sea Turtle Action Plan for the ATS Region that was presented during national and regional Consultations conducted in the four ATS countries and was subject to further in-country reviews.

With the inputs from the national and regional consultations, both the draft MPA Network Design and Roadmap, as well as the Regional Sea Turtle Action Plan were further refined and presented at the 3<sup>rd</sup> RSC Meeting in December 2021. Papua New Guinea together with Australia and Timor-Leste endorsed both documents at the RSC meeting, while Indonesia submitted its formal endorsement in June 2022.

Remaining barriers to achieving the project objective in PNG

At the ATSEA-2 project inception, the following barriers to sustainable management of the ATS were recognised and highlighted in the Project Document:

- Lack of a strong regional mechanism for collective regional action and transboundary management of the ATS
- Weak inter-sectoral coordination and law enforcement at national and local level
- Lack of access to environmental planning tools, technologies, and approaches for sound environmental management of the ATS
- Insufficient baseline data

During the first years of implementation, ATSEA-2 has produced numerous reports and studies that signify the progress made on introduction and use of integrated approaches, such as the ICM and EAFM in Indonesia and Timor-Leste. By the same token, the project has also made a tangible contribution towards amendment of the baseline information in the form of collection of primary data and filling data gaps on the biophysical and socio-economic conditions in the ATS region, on valuation of the ATS ecosystems, and on the status of important habitats and marine species in several parts of the ATS region. The additional data will serve for update of the transboundary diagnostic analysis (TDA) from the first phase of the ATSEA programme.

Despite some progress, less tangible results have been achieved in the respective areas of creation of the RGM and intersectoral cooperation at the national and local level where the progress was hampered by the need to replace the planned in-person meetings of regional project stakeholders with on-line meetings due to COVID-19 travel and meeting restrictions.

### **4.3 Project Implementation and Adaptive Management Arrangements**

This section of the MTR report provides assessment of seven components of the project implementation and adaptive management, namely management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation, management of risks, stakeholder engagement, as well as reporting and communications.

#### **Management arrangements**

The ATSEA-2 regional component and the PNG national component are being implemented under the NGO implementation modality. The Partnerships in Environmental Management for the Seas of East

Asia (PEMSEA) Resource Facility (PRF) is the Implementing Partner for the regional component and the Papua New Guinea national component (through the National Fisheries Authority (NFA), based on the standard Project Cooperation Agreement signed between UNDP Indonesia and the PRF. A Memorandum of Agreement was also signed separately between PEMSEA and NFA in support of the implementing arrangements of the PNG component

The ATSEA-2 PNG National Coordination Unit (NCU) was established as of March 2021 for coordinating implementation of the project activities and preparation of national technical and financial reports. The NCU comprises 2 people – the National Project Coordinator and the Administrative and Finance Officer. The NCU supports the ATSEA-2 Focal Ministry in PNG – the National Fisheries Authority (NFA), to coordinate the implementation, delivery, and monitoring of the project targets. As the key ATSEA-2 coordinating entity in the PNG, the NCU works closely with the Regional Project Management Unit (RPMU) to ensure alignment and consistency of the PNG component implementation with the regional, Indonesia and Timor-Leste components ATSEA-2 project.

Since its establishment, the low manpower PNG NCU limited effective implementation of the project on-site activities in the SFD as the NCU did not have dedicated presence on the ground required for the field work. This deficiency was mitigated in March 2022 with appointment of one Site Mobilizer.

National Project Board was established in PNG to support implementation of the national level activities, approve and review national project work plans and progress reports, and support strategic decisions required to facilitate implementation of the project activities. The PNG NPB has a direct line of communication with the RSC and oversees the work of the NCU.

The membership of the PNG NPB is summarised in Box 3 below.

**Box 9: Membership of the National Project Boards**

Papua New Guinea
National Fisheries Authority (NFA) – chair
Conservation & Environment Protection Authority
Department of National Planning
Climate Change & Development Authority
South Fly District Development Authority
ATSEA-2 PNG (Secretariat to NPB)

The MTR reviewer considers that the established project governance and management arrangements in the PNG are adequate for the size and level of complexity of the project, with the exception of the delayed appointment of the Site Mobiliser. Therefore, the project management arrangement component is rated **Satisfactory (S)**.

### Work planning

The planning of work for the ATSEA-2 project is conducted at two levels. The country-level Annual Work Plans (AWPs) are prepared by the NCU and submitted for review and approval to the NPB level before their submission to the annual RSC meetings.

The AWPs serve as a basis for implementation of activities and utilization of the project resources. The MTR reviewer found that the PNG national AWPs are developed in line with the project SRF in a tabular format comprising the activities for each relevant output and outcome, quarterly timeframes, and responsible parties for their implementation, as well as related budgetary allocation.

The MTR reviewed the national AWP for 2020-2022 and found them sufficiently detailed not only for the planning of activities but also ready for use as monitoring tools for tracking progress in the project implementation.

Based on the above, the MTR reviewer rates the project work planning in the PNG **Satisfactory (S)**.

#### Finance and co-finance

The tables below provide a summary of resources allocation for the project and of level of disbursement of the GEF grant funds as well as the estimated actual amount of co-finance up to MTR.

The total budget in the ATSEA-2 Project Document contains specific allocations for the 3 beneficiary countries. Table 9 below displays breakdown of the disbursements of the GEF project grant portion for the PNG into the project components.

**Table 17:** Disbursement of GEF funds on the PNG component (as of 31 March 2022)

PNG Project Component	Budget (US\$)	Expenditures (US\$)			%
		2021	2022	2021-2022	
Component 1	316,704	100,270.79	12,973.68	113,244.47	35.76%
Component 2	192,872	30,292.04	6,106.47	36,398.51	18.87%
Project Management	20,424	9,869.66	-	9,869.66	48.32%
Total PNG	530,000	140,432.49	19,080.15	159,512.64	30.10%

The data in Table 9 shows that as of 31 March 2022 the total disbursement of the PNG allocation of the GEF grant was US\$ 159,512.64 corresponding to the rate of the implementation 30.10%. Given the fact that as of March 2022, the project stands half-way through its implementation period, the overall implementation progress is well below the optimal 50%. The progress was negatively affected by imposition of countrywide regulations on travel and meeting restrictions related to the COVID-19 outbreak. Training and awareness activities in the project field locations had to be postponed while several meetings and group discussions had to be shifted to virtual communication platforms and contributed thus to lower than planned expenditures.

The rates of implementation for the individual project components reflect the achieved progress towards the project targets. The relatively higher implementation rate for Component 1 signpost the progress made in relation to PNG participation in the development of the RGM and on institutional and stakeholders capacity building assessment.

The budget allocation of US\$ 20,424 on Project Management is 3.85%. Although the NCU was operational only as of 1 April 2021, the PM component shows relatively higher rate of implementation (48.32% of the allocation was spent at the project mid-point). This appears to be due of underestimation of the NCU cost during the project preparation. Aspect related to estimation of costs in PNG part of the project budget were discussed during the RPMU's mission in PNG in June 2022.

The project Combined Delivery Reports (CDRs) indicate strong control over the budget by UNDP and the annual workplans show that budget revisions are being made to best suit the project interests while aligning with the GEF and UNDP budgeting rules and regulations. The MTR reviewer did not find any serious issues related to the financial management of the project and consider the current financial controls for disbursement of the GEF funds sufficient.

For parallel co-financing, the PNG NCU has established a monitoring system based on compilation of the NFA co-financing expenditures.

The data on parallel co-financing are summarized in Table 10 below.

**Table 18:** Allocation of co-financing for the project by funding source (as of December 2021)

Co-financier	Type	Investment Mobilised	At inception Planned (US\$)	At MTR Actual (US\$)
Recipient Government	In-kind	Recurrent Expenditure	500,000	23,107.50
Recipient Government	In-cash	Grant	1,500,000	110,937.95
UNDP PNG	In-kind	Recurrent Expenditure	25,000	0
<b>Total co-financing</b>			<b>1,525,000</b>	<b>134.045.95</b>

Data in Table 10 indicates that the total co-financing of the PNG component at the MTR stage stands at US\$ 134.045.95 that is 8.8 % of the co-financing that had been pledged at the project inception. The low level of actual co-financing at the MTR indicates risk to the financial sustainability of the Government support to the project.

Based on the above, the rating for the finance and co-finance is **Moderately Satisfactory (MS)**.

#### Project-level monitoring and evaluation systems

##### *At design*

The monitoring & evaluation (M&E) plan defined in the ATSEA-2 Project Document comprises the following components:

- Project Inception Report, prepared immediately following the Inception Workshop;
- Project Assurance Report (PAR) – mandated by UNDP, prepared semi-annually by PEMSEA for consolidation by the RPMU before submission to the NPB and RSC
- Project Implementation Review (PIR) mandated by the GEF, prepared annually by the RPMU, reviewed by PEMSEA and assessed by UNDP;
- UNDP ATLAS Monitoring Reports, comprising the quarterly Combined Delivery Reports (CDRs),
- Midterm Review (MTR), undertaken at the mid-point of the project lifetime;
- Terminal Evaluation (TE), to be conducted three months prior to the termination of the project

The MTR found the design of the project performance monitoring and evaluation systems more or less in line with the UNDP Programme and Operations Policies and Procedures (POPP) and the UNDP and GEF Evaluation Policies.

##### *At implementation*

Project Inception Workshop for the ATSEA-2 PNG component was organised on 31 May 2021 with 17 participants that included representatives of the NFA, the UPNG, the PNG Sustainable Development Programme and Ok Tedi Foundation.

The available IW proceedings show that the workshop fulfilled the main objective to assist the key stakeholders to understand and take ownership of the project's goal and objective through review of the

Project Document, in particular the Strategic Results Framework (indicators, means of verification, assumptions) and discussion of roles and responsibilities in relation to the M&E and reporting requirements. The IW did not include discussion and finalisation of the first AWP. However, the 2019-2020 AWP for PNG was presented at the 1<sup>st</sup> RSC meeting in 2019.

Further parts of the M&E system are discussed in the overall MTR Report.

Based on the above, the monitoring and evaluation system of the project in PNG is rated **Satisfactory (S)**.

#### Identification and management of risks

The ATSEA-2 Project Document made several assumptions for the proposed project strategy and identified main risks associated with these assumptions. The risks were characterized and compiled into a risk matrix with 9 risks identified during the preparatory phase of the project. The risk matrix is composed of the risk description and type, assessment of risk impacts and probability (both rated on the 5-point scales), and corresponding risk mitigation measures. There were no specific risks related to the PNG component.

#### Stakeholder engagement

Following the development and subsequent update of the Stakeholder Communication and Engagement Plan, ATSEA-2 managed to partner with institutional stakeholders at the level of central governments. However, there are some limitations to engagement with local and tangential stakeholders and target beneficiaries due to several limitations.

The principal entry point for continuous engagement of core stakeholders in ATSEA-2 has been the establishment of the RSC and the NPBs with membership of the NFA as the PNG national Implementing Partner and other agencies of the central governments.

In order to broaden consultations for RGM and SPF, ATSEA-2 appointed national advisors in all 4 ATS Countries since October 2021 to facilitate national consultation workshops led National Focal Agencies in each country.

The PNG national consultation workshop was conducted through a hybrid modality on 29 October 2021. The workshop helped generate the following inputs or insights: (a) Initial concurrence on the importance to have an ATS regional collaboration/mechanism; (b) Suggestions on the proposed regional governance structure mainly on how to further simplify the elements of the mechanism particularly the proposed SPF, and the consideration on nuances in each country which may influence the model of the structure at the national and sub-national level; (c) Information on key transboundary issues as well as national issues that are relevant to the management and development of the ATS region; (d) Expected/proposed roles and services of the ATS regional collaboration mechanism toward addressing priority transboundary issues (e.g., platform for policy dialogue, knowledge-sharing, capacity building, technical support and joint project development for donor funding in support of SAP and NAPs implementation and) Emphasis on the need to further reinvigorate and build information about ATSEA and its objectives, targets and initiatives to build stronger buy-in from the countries

Engagement of local stakeholders and ultimate project beneficiaries was found weaker due to absence of the outpost Site Mobiliser in 2021 so there was insufficient ensure follow-up with local government entities (district & village level) and the target beneficiaries at the project field sites. The site mobilizer was engaged as of 1 March 2022.

Apart from involvement of the PNG core institutional stakeholders, the project identified some tangential stakeholders such as the Ok Tedi Development Foundation (OTDF) as a not-for-profit arm of the Ok Tedi Mining Limited that is a major company in the South Fly District. Although OTDF is interested in further cooperation, with ATSEA-2, this interest is limited by the fact that only 3 out of the 14 ATSEA-2 target villages in PNG are affected by the cooper mine activities and therefore within the scope of OTDF support.

Based on the above, the MTR rates the PNG stakeholder engagement in the project formulation and implementation as **Moderately Satisfactory (S)**.

#### Social and Environmental Standards (SES)

In PNG, the project mainstreamed human rights-based approach for sustainable use and conservation of ecosystem goods and services in the SFD. Participation by marginalized groups including indigenous and local people is ensured through community activities focused on strengthening capacities and increasing awareness of local resource users, in order to more sustainably utilized coastal and marine resources.

The SESP concluded that ATSEA-2 received the Gender Marker Score 2 indicating that the project has gender equality as a significant objective. Although a Gender and Social Inclusion Plan was annexed to the Project Document, it does not have a specific target related to gender equity. In order to enhance the gender focus, ATSEA-2 initiated mainstreaming of Gender Equity and Social Inclusion (GESI) principles in the project management and implementation of its activities.

The initial results of the SESP assessment from the project preparation phase were revised and updated through the SESP update conducted at the end of 2021. Following this assessment, a draft Social and Environmental Safeguards Management Plan (SESMP) was prepared as a management tool to monitor the environmental management safeguards and thus ensure achievement of the project objectives with minimal adverse social and environmental impacts. The SESMP was prepared for the overall project and does not contain any specific parts related to individual country components.

#### Reporting

Reporting during project implementation helps to identify potential issues that may endanger the project's capacity to achieve its development objectives. Reporting also helps to make informed decisions, offers valuable information for project evaluation, and provides lessons to be learnt for future projects. Effective and timely communication between the RPMU, the NCUs and the core stakeholders is a key element in that respect.

Reporting on the PNG component is integrated into the biannual PARs prepared for the ATSEA-2 regional component. Total seven PARs were prepared by PEMSEA in cooperation with the PNG NCU and made available to the MTR consultant. The reports are well structured according to the elements of the project SRF and contain sufficient level of details about the completed activities with links to the deliverables in the Dropbox. Inputs relevant to the PNG component are also duly reported in the annual GEF PIRs. Annual PNG Progress (technical and financial delivery) is also submitted and presented to annual NPB and RSC meetings.

### Communication and knowledge management

The aspects of communication and knowledge management are discussed in the overall MTR report. A number of ATSEA-2 knowledge products is available for download from the project website, including few reports on stakeholder assessment for the PNG component.

### Cross-cutting

In October 2021, the project organised a GESI learning session for the PNG NCU that was held online and addressed a range of issues, including selection of gender-sensitive indicators, development of gender-responsive monitoring systems, as well as implementation of gender-sensitive reporting and communication mechanisms.

In August 2021, a workshop was held with 15 NCU enumerators for a combined GESI and Social and Environmental Safeguard (SES). With use of the Kobo Toolbox<sup>1</sup>, the combined GESI+SES survey was conducted in all eight ATS project sites including the South Fly District. The survey results were used as input into a draft GESI Action Plan for the ATS region and considered in development of related SES Management Plans at the country and regional level.

The GESI+SES studies in the project sites provided evidence of gender segregation in productive, reproductive, and public roles, resulting in imbalanced power relations between men and in accessing marine and fisheries resources. It also showed that many gender issues in the fishing sector had been neglected as a result of the perception of fisheries as a masculine domain due to stereotyping of women's physical condition unsuited to fishing and cruising at sea, and presupposed lack of women's technical knowledge related to fisheries. Consequently, the gender imbalance limited the ability of women to overcome inequalities caused by climate change and environmental degradation.

The PNG project team included gender-disaggregated data for participants of the various project events. However, there has been no further disaggregation of the gender data with relation to age, education, social status, and other categories.

### COVID-19

The COVID-19 pandemic proved to be a serious challenge due to travel and physical meeting restrictions, local lockdowns, reallocation of government budgets for relevant measures, and several project team members and consultants' absence through illness after contracting the virus.

In response to the COVID-19 challenge, the project identified measures to avoid further delays in the implementation of these activities, such as collaboration with the RPOA-IUU Secretariat and the NCUs for a hybrid type of training, tentative conversion of exchange visits on rights-based management on fisheries into a webinar or online forum/workshop and further coordination with LIPI on the provision of technical support.

While the COVID-19 impact on implementation of the training activities was mitigated through the adaptive management decisions, the travel restrictions had an adverse impact on the work related to preparation of the AFMP. While the contract with the consulting company was signed in August 2021 with the completion date 31 March 2022, the survey and data collection part of the contract had to be postponed due to COVID-19 travel restrictions. During the MTR, the draft AFMP was available and undergoing consultations.

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<sup>1</sup> KoboToolbox is an open-source software and platform for field data collection.

#### 4.4 Sustainability

The sustainability is defined as continuation of benefits from an intervention after the development assistance has been completed. The important aspect here is the sustainability of results, not necessarily sustainability of the activities that had produced the results. The assessment of sustainability requires evaluation of risks that may affect the continuation of the results.

The Project Document stipulates that sustainability of the project results beyond the project duration will be ensured through implementation of the project *per se*, that is through institutional strengthening at regional, national, and local levels coupled with a strong resource mobilization strategy and establishment of financing mechanisms for gradual rolling out of the updated SAP and NAPs. In addition, the project's approach to generating interlinked global environmental and local socio-economic benefits is expected to leverage interest and support from the target local communities for adoption of measures such as EAFM and area-based management of critical habitats important for food security and the environmental status of the ATS.

In general, the project interventions have the potential to ensure long-term sustainability of results. However, in order to fulfil this potential, due consideration should be given to the serious risks and challenges that are discussed in the text below.

##### Financial sustainability

While there is an overall likelihood that the various ATSEA-2 products such as legislative and management approaches and ecosystem assessment studies will be sustained after completion of the ATSEA-2 project, the main challenge to financial sustainability is the risk of lack of funding for the RGM and implementation of the updated SAP.

ATSEA-2 has a specific Output 1.1.4 embedded in the SRF on establishment of financial mechanisms for the SAP and NAPs implementation. Although implementation of this output was originally planned to be undertaken sequentially after the SAP update, the RSC members recognized the time needed for securing inputs on identification of adequate financing mechanism and initiated development of the Financial Landscape Assessment (FLA) for the ATS region as a basis for preparation of a 5-year cost estimate and financing plan for implementation of the updated regional SAP.

The draft FLA report that was presented to the 3<sup>rd</sup> RSC meeting in December 2021 indicates an undoubted challenge of effective financing for regional governance initiatives in general and for the future ATS RGM in particular. The same report suggests relying on combination of public budgets and donor funding as short-term sources of finance. However, the FLA report acknowledged limited availability of public funds in PNG and considered probability of allocation of funding for ATS RGM and SAP from bilateral funding sources for PNG unlikely as the country does not receive development assistance for marine and coastal management, due to absence of marine and coastal industries and preferences of the country for more critical development issues and more significant economic sectors. Reportedly, the Australian High Commission in PNG had confirmed strong focus of its government on agriculture in PNG but so far their livelihood programme did not focus on fisheries. Although PNG receives development assistance in marine and coastal management, geographical focus of this assistance is on other parts of the country. The interviewed PNG stakeholders expressed support for eventual preparation of a 3<sup>rd</sup> phase of the project (ATSEA-3) under GEF funding,

Based on the above, financial sustainability is PNG rated **Moderately Unlikely (MU)**.

### Socio-economic sustainability

Despite the delivery of several management tools and guidelines for more effective management of the ATS coastal areas, the socio-economic risk to sustainability is high due to income disparities and relatively large section of population in the SFD living below the poverty line.

Moreover, awareness at the SFD project sites for the local communities to support the project seems to be in many cases lacking as demonstrated by decreased participation in capacity building and training events. Lack of facilities for ecotourism development and damaged public infrastructures limit opportunities for income generation and diversification for the littoral communities are identified as the reasons for increased risk to socio-economic sustainability.

The project has developed several management plans for marine and coastal ecosystems with the aim to integrate these plans into governmental programmes at national and local level. However, this process is far from being straightforward as it depends on the level of ownership and buy-in of the project interventions by the target population.

The MTR made some observations on building partnerships with private sector, community-based organisations and local universities that can help to increase the local ownership of the project results. Furthermore, MTR observed that various key stakeholders have good interest in having project benefits continue to flow; however, important efforts need to be made to increase the quality (not quantity) of public and stakeholder awareness actions in support of the long-term objectives of the ATSEA 2 project.

Based on the above, the socio-economic sustainability of the project results is rated **Moderately Likely (ML)**.

### Institutional framework and governance sustainability

The risks to sustainability of the ATS regional institutional frameworks and governance is discussed above under financial sustainability.

ATSEA-2 has contributed to harmonization of the existing PNG regulatory and institutional frameworks in relation to coastal and marine management with the other beneficiary countries. However, due to the relative complexity of the national legislative approval procedures, the process leading to approval of the various management plans and their incorporation into the legislation and national as well as local level will be a gradual and time-consuming process.

Interviews with the PNG stakeholders hinted that many institutions involved in implementation of the various management plans still do not have sufficient capacity and in some cases are seriously understaffed. While the project in its remaining period can address the capacity building, staffing of responsible agencies is beyond the assistance the project can provide.

The MTR also observes disconnection between the developed action plans and their practical implementation on the ground. As of yet, there is no evidence of integration of the policies and plans into the national development frameworks. Even if this integration occurs, the success in implementation heavily depends on the ability to enforce the updated legislation. There is no assistance provided by the project on enforcement.

Another risk to institutional frameworks and governance could be insufficient ownership of the SAP and NAPs processes by provincial and district government administrations. This risk could be particularly high in complicated legislative and governance systems based on decentralisation such as those in Indonesia.

Based on the above, the institutional and governance sustainability of the project results is rated **Moderately Likely (ML)**.

#### Environmental sustainability

The ATSEA-2 project is providing assistance for decreasing pressures on critical habitats and ecosystems through implementation of several measures and tools such as integrated coastal management, designation of new MPAs, and strengthening the management effectiveness of existing MPAs. With respect to endangered species, the developed regional action plan on the protection of migratory turtle species, if implemented, will make an important contribution to strengthening the enabling framework for enhanced protection of these species.

On the other hand, the MTR observed that many local communities continue practices leading to environmental degradation, marine pollution, and excessive catching of endangered marine species.

Based on the above, environmental sustainability of the project is rated **Moderately Likely (ML)**.

## 5. CONCLUSIONS AND RECOMMENDATIONS

Based on the previous section of the fact findings, this section provides a couple of PNG-specific conclusions that make judgments supported by one or more specific findings. Recommendations are then specific actions the MTR reviewer proposes to be taken by various project stakeholders that are based on the findings and conclusions.

**Conclusion 18:** The flagship deliverable for the Papua New Guinea component is the development of the Artisanal Fisheries Management Plan (AFMP for the South Fly District (SFD). It is expected that the Plan will be officially gazetted and will thus become a law to be incorporated into local legislation at the village level. Successful implementation of the Plan will require effective management of the AFMP by the fishing villages' authorities.

**Recommendation 18:** *PEMSEA in cooperation with the NCU and RPMU should ensure provision of capacity building on AFMP management, implementation, and surveillance to the local communities in the SFD.*

**Conclusion 19:** Indicators 13 and 14 in the project SRF are poorly defined and there are no specific activities defined in the Project Document for achievement of the respective EOP targets for PNG. Assessments completed under the project proved that the EOP targets were determined based on outdated baseline data and therefore unrealistic and unclear.

**Recommendation 19:** *The RPMU in cooperation with PEMSEA and the NCU PNG should conduct a critical revision and reassessment of the EOP targets for Output 2.1.1 in the project SRF:*

- *Reset the target for Indicator 13 on more sustainable production of dried fish maw to cover also production and use of fish maw carcass;*
- *Redefine the target for Indicator 14 on improved use of fishing gears by artisanal fisheries in line with the South Fly Fore-coast AFMP*

**Conclusion 20:** Budget allocation for the PNG component in the approved Project Document is underestimated and lack of funding can negatively affect roll out of the South Fly AFMP and completion of the first NAP for PNG. Implementation community-level livelihood activities in the SFD will be strengthened through attracting additional resources from business companies and GEF Small Grants Programme.

**Recommendation 20:** *PEMSEA in cooperation with the RPMU and PNG NCU should assess options for re-allocation of the project funds to the PNG component and consider reaching out to the private sector (e.g. Ok Tedi Development Foundation) for joint activities and additional support to implementation of community level activities, including linking with the GEF Small Grants Programme in PNG.*

## ***6.ANNEXES***

### **Annex 1: UNDP-GEF Midterm Review Terms of Reference**

[https://procurement-notices.undp.org/view\\_notice.cfm?notice\\_id=88757](https://procurement-notices.undp.org/view_notice.cfm?notice_id=88757)

## Annex 2: Evaluation Matrix

Evaluation Criteria	Evaluation Questions	Indicators	Data Sources	Data Collection Methods
Project Strategy	<p>Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?</p> <p>Does the progress so far indicate that the project could in the future catalyse beneficial development effects that could be included in the project results framework and monitored on an annual basis?</p> <p>Are broader development and gender aspects of the project being monitored effectively?</p> <p>Develop and recommend SMART 'development' indicators, including sex-disaggregated indicators and indicators that capture development benefits <sup>11</sup> <sup>12</sup></p> <p>How relevant is the project strategy to address the country priorities? Is the project in line with the national sector development priorities and plans?</p> <p>To what extent were perspectives of those affected by project decisions and of those who could affect the outcomes, taken into account during project design processes?</p> <p>Does the project strategy provide an effective route towards expected/intended results?</p> <p>To what extent were lessons learned from other relevant projects incorporated into the project design?</p> <p>Are the underlying assumptions for the problem addressed by the project still valid?</p>	<p>Project activities in line with the country development and sectoral priorities and plans</p> <p>Activities produce outputs according to the project logframe</p> <p>Lessons learned from previous projects taken into account for implementation</p> <p>Assumptions and risks identified are effectively managed</p>	<p>UNDP programme/project documents</p> <p>UNDP programme/project Annual Work Plans</p> <p>Programmes/projects/ thematic areas evaluation reports</p> <p>Government's national planning documents</p> <p>Human Development Reports</p> <p>MDG progress reports</p> <p>Government partners progress reports</p> <p>Interviews with beneficiaries</p> <p>UNDP staff</p> <p>Development partners (UN agencies, bilateral development agencies)</p> <p>Government partners involved in specific results/thematic areas</p> <p>Concerned civil society partners</p> <p>Concerned associations and federations</p>	<p>Desk reviews of secondary data</p> <p>Interviews with government partners</p> <p>Interviews with NGOs partners/service providers</p> <p>Interviews with funding agencies and other UNCT</p> <p>Interviews with UNDP staff, development partners and government partners, civil society partners, associations, and federations</p>
Progress Towards Results	<p>Which are the aspects of the project that have already been successful and how the project can further expand these benefits?</p> <p>How does the GEF Tracking Tool at the Baseline compare with the GEF TT completed before the Midterm Review?</p> <p>How far has the regional context been taken into consideration while selecting the project/ programme?</p> <p>Was there any partnership strategy in place for implementation of the project and if so how effective was it?</p>	<p>GEF TT used as project management instrument</p> <p>The project has partnership strategy and actions taken to promote cooperation between partners</p>	<p>Project/programme/thematic areas evaluation reports</p> <p>Progress reports on projects</p> <p>UNDP staff</p> <p>Development partners</p> <p>Government partners</p> <p>Beneficiaries</p> <p>Progress reports on projects</p> <p>Programme documents</p> <p>Annual Work Plans/Progress Reports</p> <p>Evaluation reports</p> <p>MDG/Human Development Reports</p>	<p>Desk reviews of secondary data</p> <p>Interviews with government partners, development partners, UNDP staff, civil society partners, associations, and federations</p>

Evaluation Criteria	Evaluation Questions	Indicators	Data Sources	Data Collection Methods
Project Implementation & Adaptive Management	<p>Has the project or programme been implemented within the original timeframe and budget?</p> <p>To what extent the work-planning processes are results-based?</p> <p>To what extent has the project's results framework/logframe been used as a management tool and were there any changes to it since the project start?</p> <p>Have UNDP and the PMU taken prompt actions to solve implementation issues?</p> <p>Have there been any delays in project start-up and implementation and if so what were the causes and how they have been solved?</p> <p>What mechanisms does UNDP have in place to monitor implementation? Are these effective?</p> <p>Have there been any outside factors (e.g. political instability) affecting on implementation effectiveness?</p>	<p>Project implementation within the original timeframe and budget</p> <p>Annual workplans elaborated according to the logframe</p> <p>Implementation issues solved by PMU/UNDP</p> <p>Implementation monitoring tools in place and effectively used</p>	<p>Programme documents</p> <p>Annual Work Plans</p> <p>Annual Progress Reports</p> <p>Evaluation reports</p> <p>Government partners Development partners</p> <p>UNDP staff (Programme Implementation Support Unit)</p>	<p>Desk reviews of secondary data</p> <p>Interviews with government partners and development partners</p>
	<p>To what extent financial controls have been established that allow the project management to make informed decisions regarding the budget at any time and allow for the timely flow of funds?</p> <p>Has there been over-expenditure or under-expenditure on the project?</p> <p>Were the resources focused on the set of activities that were expected to produce significant results?</p> <p>Were the project resources concentrated on the most important initiatives or were they scattered/spread thinly across initiatives?</p>	<p>Financial controls established and used to provide feedback on implementation</p> <p>Activities prioritized for achievement of significant results</p>	<p>Programme documents</p> <p>Annual Work Plans</p> <p>Annual Progress Reports</p> <p>Evaluation reports</p> <p>Government partners Development partners</p> <p>UNDP staff (Programme Implementation Support Unit)</p>	<p>Desk reviews of secondary data</p> <p>Interviews with government partners and development partners</p>
	<p>Have changes been made and are they effective?</p> <p>Are the existing responsibilities and reporting lines clear?</p> <p>To what extent is decision-making in the project transparent and undertaken in a timely manner?</p>	<p>Decision-making on implementation transparent and timely</p> <p>Implementation of components with multiple responsible partners clear and timely</p>	<p>Programme documents</p> <p>Annual Work Plans</p> <p>Annual Progress Reports</p> <p>Evaluation reports</p> <p>Government partners Development partners</p> <p>UNDP staff (Programme Implementation Support Unit)</p>	<p>Desk reviews of secondary data</p> <p>Interviews with government partners and development partners</p>

<b>Evaluation Criteria</b>	<b>Evaluation Questions</b>	<b>Indicators</b>	<b>Data Sources</b>	<b>Data Collection Methods</b>
Project Implementation & Adaptive Management (continued)	Has the project developed and leveraged partnerships with direct and tangential stakeholders? Do the stakeholders have roles in project decision-making that support efficient and effective project implementation? To which extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives and are there any limitations to stakeholder awareness of project outcomes/ participation in project activities?	Mechanisms for involvement of other stakeholders in place Other stakeholders aware of the project and involved in implementation	Programme documents Annual Work Plans Annual Progress Reports	Desk reviews of secondary data
	How the Project Team and partners undertake and fulfill the & GEF reporting requirements? To what extent have lessons derived from the adaptive management process been documented, shared with and internalized by key partners and incorporated into project implementation? Have the PIRs been shared with the Project Board and other key stakeholders?	Quality reporting according to GEF reporting requirements Lessons for adaptive management documented and taken into account for implementation	Evaluation reports Progress reports UNDP programme staff	Desk reviews of secondary data Interview UNDP programme staff
	How regular and effective has been the internal project communication with project stakeholders? Are there any ways of external communication established to inform about the project progress the public? Are there any aspects of the project that might yield excellent communications material as additional project output?	Quality and effectiveness of internal communication Possibilities for additional communication material identified	Evaluation reports Progress reports UNDP programme staff	Desk reviews of secondary data Interview UNDP programme staff

Evaluation Criteria	Evaluation Questions	Indicators	Data Sources	Data Collection Methods
Sustainability	<p>What is the likelihood of financial and economic resources not being available once the GEF assistance ends?</p> <p>To what extent financial and economic instruments and mechanisms have been established or will be established to ensure the ongoing flow of benefits once the GEF assistance ends?</p> <p>What additional factors are needed to create an enabling environment for continued financing?</p>	<p>Existence of counterpart/stakeholder funding for the project outcomes</p> <p>Additional factors for continued financing identified</p>	<p>Programme documents</p> <p>Annual Work Plans</p> <p>Annual Progress Reports</p> <p>Evaluation reports</p> <p>Government partners Development partners</p> <p>UNDP staff (Programme Implementation Support Unit)</p>	<p>Desk reviews of secondary data</p> <p>Interviews with government partners and development partners</p>
	<p>Has the project put in place frameworks, policies, governance structures and processes that will create mechanisms for institutional and technical knowledge transfer after the project's closure?</p> <p>To what extent has the project been developing institutional capacity (systems, structures, staff, expertise, etc.) that will be self-sufficient after the project closure date?</p> <p>Has the project achieved stakeholders' consensus regarding courses of action after the project's closure?</p>	<p>Institutional frameworks for continuation of activities established</p> <p>Level of self-sufficiency of the established institutional frameworks</p>	<p>Programme documents</p> <p>Annual Work Plans</p> <p>Annual Progress Reports</p> <p>Evaluation reports</p> <p>Government partners Development partners</p> <p>UNDP staff (Programme Implementation Support Unit)</p>	<p>Desk reviews of secondary data</p> <p>Interviews with government partners and development partners</p>
	<p>Are there any social or political risks that may jeopardize sustainability of project outcomes?</p> <p>Are there any environmental factors that could undermine and reverse the project's outcomes, including factors that have been identified by project stakeholders?</p> <p>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?</p> <p>Is there sufficient public/ stakeholder awareness in support of the objectives of the project?</p>	<p>Social, political and environmental risks identified and taken into account</p> <p>Level of stakeholder awareness and ownership of the project results</p>	<p>Programme documents</p> <p>Annual Work Plans</p> <p>Annual Progress Reports</p> <p>Evaluation reports</p> <p>Government partners Development partners</p> <p>UNDP staff (Programme Implementation Support Unit)</p>	<p>Desk reviews of secondary data</p> <p>Interviews with government partners and development partners</p>

SAMPLE QUESTIONS RELATING TO THE PROMOTION OF UN VALUES FROM A HUMAN DEVELOPMENT PERSPECTIVE					
Evaluation Criteria	Evaluation Questions	Indicators	Data Sources	Data Collection Methods	
Supporting policy dialogue on human development issues	To what extent does the initiative support the government in monitoring achievement of MDGs? What assistance has the initiative provided supported the government in promoting human development approach and monitoring MDGs? Comment on how effective this support has been.	Level of contribution of the project to the achievement of MDGs	Project documents Evaluation reports HDR reports MDG reports National Planning Commission Ministry of Finance	Desk review of secondary data Interviews with government partners	
Contribution to gender equality	To what extent was the UNDP initiative designed to appropriately incorporate in each outcome area contributions to attainment of gender equality? To what extent did UNDP support positive changes in terms of gender equality and were there any unintended effects? Provide example(s) of how the initiative contributes to gender equality. Can results of the programme be disaggregated by sex?	Level of monitoring of gender related issues	Project documents Evaluation reports UNDP staff Government partners Beneficiaries	Desk review of secondary data Interviews with UNDP staff and government partners Observations from field visits	
Addressing equity issues (social inclusion)	To what extent does the project take into account the needs of vulnerable and disadvantaged to promote social equity, for example, women, youth, disabled persons? Provide example(s) of how the initiative takes into account the needs of vulnerable and dis- advantaged groups, for example, women, youth, disabled persons. How has UNDP programmed social inclusion into the initiative?	Level of monitoring of social inclusion related issues	Project documents Evaluation reports UNDP staff Government partners Beneficiaries	Desk review of secondary data Interviews with UNDP staff and government partners Observations from field visits	

## **Annex 3: Interview Guide (General Questionnaire)**

### **1.General Questions to Various Stakeholders**

- In which role you have been involvement in the project?
- Have you received training or technical assistance from the project? If so, how useful was it for you in relation to your job? Please explain.

### **2.Project Design/ Strategy (To NCU; NPD; Various Stakeholders)**

- What were the major challenges you have faced so far in the project? Can they be addressed be adjusting the project design and/or implementation strategy?
- Is the gender strategy of the project sufficiently defined?
- Are the goals and results of the project clear, practical and achievable over the course of the project?
- Develop and recommend SMART “development” indicators, including sex-disaggregated indicators and indicators that reflect development benefits
- How relevant is the project strategy to addressing country priorities? Is the project in line with the priorities and development plans of the national sector?
- To what extent were the views of those affected by the design decisions and those who could influence the results taken into account during the design process?
- Does the project strategy provide an efficient path to the expected / expected results?
- To what extent have lessons learned from other relevant projects been incorporated into the design of the project?

### **3.Project Implementation (To NCU; NPD; IA; EA; Various Stakeholders)**

- How do you assess adequacy of management arrangements and technical support to the project?
- How do you assess the coordination and communication aspects of the project?
- Is the gender strategy of the project sufficiently implemented?
- Are the broader developmental and gender aspects of the project being effectively monitored?
- To what extent are work planning processes based on results?
- To what extent have the results framework / project logframe been used as a management tool and have there been any changes since the beginning of the project?
- Did UNDP and PMU take prompt action to address implementation issues?
- Were there any delays in the launch and implementation of the project, and if so, what were the reasons and how were they resolved?
- Were there any external factors (such as political instability) affecting the effectiveness of implementation?
- Are the existing responsibilities and reporting lines clear?
- To what extent is project decision making in a transparent and timely manner?
- Has the project developed and used partnerships with direct and indirect stakeholders?

- Do stakeholders have design decision-making roles that support effective and efficient project implementation?
- To what extent has stakeholder participation and public awareness contributed to the progress towards achieving project objectives, and are there any constraints on stakeholder awareness of project outcomes / participation in project activities?

**Financial (To Project Team-RPMU and NCU; IA and EA; NPD):**

- To what extent has financial control been established that allows project management to make informed budget decisions at all times and ensures that funds are received on time?
- Have there been excessive or insufficient project costs?
- Were resources focused on a set of activities that were expected to produce significant results?
- Were the project resources focused on the most important initiatives or were they scattered / allocated among the initiatives?

**Monitoring (To Project Team; NPD; Various Stakeholders):**

- What mechanisms does UNDP have to monitor implementation? Is it effective?
- What have been the main lessons learned from the project so far?

**Communications (To Various stakeholders):**

- To what extent has stakeholder participation and public awareness contributed to the progress towards achieving project objectives, and are there any constraints on stakeholder awareness of project outcomes / participation in project activities?
- To what extent are lessons learned from the adaptive management process documented, disseminated and learned by key partners and incorporated into project implementation?
- How regular and effective was the internal communication of the project with the project stakeholders?
- Are there any means of external communication to inform the public about the progress of the project?
- Are there any aspects of the project that can provide excellent communication material as a complementary project outcome?

**(To Project Team-RPMU and NCU; IA and EA; NPD)**

- How do you assess the cooperation on the project with UNDP as the GEF Implementing Agency?
- Have changes been made and are they effective?

**4. Project Results (To Project Team; IA; EA; Various Stakeholders)**

- Have there been any planned activities that have been difficult to complete according to the schedule? If so, have the delays affected progress toward expected results?
- What have been the main lessons learned from the project so far?
- What aspects of the project have already been successful and how can the project extend these benefits?

### **5.Sustainability (To Project Team, IA, EA, Various Stakeholders)**

- What are the main challenges for the remaining period of implementation of the project?
- What is the likelihood that financial and economic resources will not be available after the end of GEF assistance?
- To what extent have financial and economic instruments and mechanisms been or will be created to ensure a continuous flow of benefits after the end of GEF assistance?
- What additional factors are needed to create an enabling environment for continued funding?
- Has the project put in place a framework, policy, governance structures and processes that will establish mechanisms for the transfer of institutional and technical knowledge after project completion?
- To what extent does the project develop institutional capacities (systems, structures, personnel, experience, etc.) that will be self-sufficient after the closing date of the project?
- Has the project reached a stakeholder consensus on the direction of activities after the closure of the project?
- Are there any social or political risks that could jeopardize the sustainability of the project results?
- Are there any environmental factors that could undermine and reverse the results of the project, including factors that have been identified by the project stakeholders?
- What is the risk that the level of stakeholder interest (including ownership by governments and other key stakeholders) will be insufficient to ensure the sustainability of project results / benefits?
- Is there sufficient public / stakeholder awareness to support the objectives of the project?

## Annex 4: MTR Rating Scales

Ratings for Progress Towards Results: (one rating for each outcome and for the objective)		
6	Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as “good practice”.
5	Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
4	Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
3	Moderately Unsatisfactory (MU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
1	Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets and is not expected to achieve any of its end-of-project targets.
Ratings for Project Implementation & Adaptive Management: (one overall rating)		
6	Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as “good practice”.
5	Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
4	Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
3	Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
2	Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
1	Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.
Ratings for Sustainability: (one overall rating)		
4	Likely (L)	Negligible risks to sustainability, with key outcomes on track to be achieved by the project's closure and expected to continue into the foreseeable future
3	Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review
2	Moderately Unlikely (MU)	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
1	Unlikely (U)	Severe risks that project outcomes as well as key outputs will not be sustained

**Annex 5: List of Persons Interviewed (FOR PNG- all virtual)**

<b>Organisation</b>	<b>Name</b>	<b>Position</b>
UNDP CO Papua New Guinea	Linda Kapus-Barae,	Project Manager
PEMSEA	Aimee Gonzales	Executive Director
ATSEA-2 NCU PNG	Kenneth Yhuanje, Joe Kiningi,	National Project Coordinator Admin and Finance Officer
National Fisheries Authority (NFA)PNG	Noan Pakop,	Deputy Managing Director National Project Director for ATSEA-2
Ministry of Environment and Forestry Indonesia	Laksmi Dhewanthi,	Senior Advisor, GEF Operational Focal Point
South Fly District Fisheries	Dainah Gigiba,	District Fisheries Officer
Western Province Fisheries PNG	Odori Koloni,	Provincial Fisheries Advisor, NIMC member
University of PNG	Ralph Mana	Associate Profes–or - Marine Science SPF member
OK Tedi Foundation;	Havini Vira	CEO, SPF member

## Annex 6: List of Documents Consulted

1. Guidance for Conducting Midterm Reviews of UNDP-supported, GEF-financed Projects UNDP-GEF, 2014
2. The GEF Monitoring and Evaluation Policy, GEF Evaluation Office, 2010
3. UNDP Evaluation Guidelines, UNDP, 2019
4. Outcome-Level Evaluations, A Companion Guide, UNDP, 2011
5. Glossary of Key Terms in Evaluation and Results Based Management, OECD, 2010
6. Ethical Guidelines for Evaluations, UNEG, 2018
7. Integrating Human Rights and Gender Equality in Evaluations, UNEG, 2014
8. Implementation of the Arafura and Timor Seas Regional and National Strategic Action Programs (ATSEA-2); Second Phase of the Arafura Timor Seas Ecosystem Action (ATSEA), Project Document, UNDP 2017
9. Project Implementation Reviews (PIR), UNDP, 2020 and 2021
10. Project Assurance Reports (PARs), PEMSEA, 2019-2022
11. UNDP Combined Delivery Reports (CDRs), UNDP, 2021 and 2022
12. Proceedings of the 1<sup>st</sup>, 2<sup>nd</sup> and 3<sup>rd</sup> RSC meetings, UNDP, 1201i, 2020, 2021
13. Proceedings from the Inception Meeting for ATSEA-2 Project in PNG, ATSEA-2, 2021
14. Proceedings from the Stakeholder Partnership Forum Meeting for ATSEA-2 in PNG, UNDP, 2021
15. An Ecosystem Approach to Fisheries Management for Red Snapper in the ATS: Report on EAFM Training and Training of Trainers, UNDP, 2021
16. Regional Profile of Coastal and Marine Ecosystems: Their Connectivity, Ecological Importance, and Socio-Cultural Impact on the Arafura and Timor Seas Region, Coral Triangle Centre for ATSEA-2, 2020
17. Valuation of Ecosystem Services in the Arafura and Timor Seas Region, Coral Triangle Centre for ATSEA-2, 2020
18. ATSEA-2 Annual Report, UNDP, 2020 and 2021
19. Regional Governance Assessment: Report to ATSEA-2, PT Hatfield, 2021
20. Proceedings of the Consultative Meeting on the Regional Stakeholder Partnership Forum (SPF), UNDP, 2021
21. Collaborative Surveillance Best Practices and Lessons Learned Against IUU Fishing, Center for Sustainable Ocean Policy, Faculty of Law Universitas Indonesia, 2021
22. Gender Equality and Social Inclusion Analysis for ATS Region, ATSEA-2, 2021
23. ATSEA-2 in Papua New Guinea: Capacity Development Plan, ATSEA-2, 2021
24. Papua New Guinea Stakeholder Evaluation and Capacity Assessment in Marine and Fisheries that relates to South Fly, Western Province, ECA for ATSEA-2, 2021
25. Papua New Guinea Legal Framework in Marine and Fisheries; that relates to South Fly, Western Province, ECA for ATSEA-2, 2021
26. Regional and National Consultations Regarding the Draft MPA Network Design and Regional Sea Turtle Action Plan, Coral Triangle Centre for ATSEA-2, 2021
27. Draft Fore-coast Artisanal Fisheries Management Plan-Community EAFM Plans: South Fly, Western Province, ECA for ATSEA-2, 2022

## Annex 7: Project Results Matrix

Objective/Outcome	Key Indicator(s)	Baseline	End of Project target	Source of Information	Risks and assumptions
<b>Objective:</b> To enhance sustainable development of the Arafura-Timor Seas (ATS) region to protect biodiversity and improve the quality of life of its inhabitants through conservation and sustainable management of marine-coastal ecosystems (as indicated in the SAP).	1. Number of women and men as direct beneficiaries of project activities	0	Cumulative beneficiaries: 55,000 women 60,000 men	Monitoring reports for field interventions Work plans	<b>Risks:</b> Resource users could be reluctant to participate in project activities. <b>Assumptions:</b> Women participation is assumed consistent with findings of stakeholder consultations and genera practice at the project sites.
	2. Globally over-exploited fisheries (by volume) moved to more sustainable levels	0	Up to 25% (by volume) for the ATS region, representing approximately 0.25% of global levels	Monitoring reports Compliance reports Capture fisheries statistics	<b>Risks:</b> There are risks that enabling decisions for regulatory authorities will not be issued timely. <b>Assumptions:</b> The integrated approaches applied under this project will be sustained after project closure.
	3. Landscapes and seascapes under improved biodiversity management	0	800,000 ha	Ministerial decree	<b>Risks:</b> Enabling decisions are not timely granted; Resource users including communities are reluctant to collaborate; Impacts of climate change undermine the sustainability of the conservation efforts; <b>Assumptions:</b> Baseline conditions are satisfactorily representative; There is support locally and nationally for designation of new MPAs; The time required to obtain enabling decisions is sufficient.
<b>Component 1: Regional, National and Local Governance for Large Marine Ecosystem Management</b>					
<b>Outcome 1.1:</b> Regional and national mechanisms for cooperation in place and operational	<b>Outputs:</b> 1.1.1 Regional Coordination Committee and a supporting Secretariat created to promote regional level planning, cooperation and monitoring in the implementation of the SAP and NAPs; formal regional cooperation agreement adopted and implemented where feasible 1.1.2 Improved stakeholder participation at the regional and national levels through the establishment of a Stakeholder Partnership Forum for the implementation of the SAP and NAPs (SAP) with representation of local people and women's groups 1.1.3 Improved inter sectoral coordination at the national and local levels in support of the implementation of integrated approaches to NRM, water resources, biodiversity conservation and climate change adaptation, through national inter-ministry committees in Indonesia, Timor-Leste, and Papua New Guinea 1.1.4 Financial mechanisms in place to support the implementation of the SAP and NAPs and the replication and upscaling of demonstration projects				
	4. Regional governance mechanism	Informal cooperation under ATSEF, and conceptualization of ATS governance mechanism	Regional governance mechanism established and functioning with at least 2 of 4 countries contributing dues	Ministerial Declaration	<b>Risks:</b> Littoral countries cannot reach agreement on structure or financing arrangements for regional governance mechanism; <b>Assumptions:</b>

Objective/Outcome	Key Indicator(s)	Baseline	End of Project target	Source of Information	Risks and assumptions
		outlined in Ministerial Declaration			There is political and financing support for establishing and sustaining a regional governance mechanism;
	5. National Inter-Ministerial Committees (NIMCs)	NIMCs loosely formed, with no clear mandate for ATS priority concerns <input type="checkbox"/>	NIMCs established, functioning and formalized through legal and/or institutional arrangements in each of the three beneficiary countries	Ministerial Declaration	<u>Risks:</u> Changes in key policies and/or decision makers lead to reduced support for the NIMCs; Overlapping sectoral mandates or other conflicts <u>Assumptions:</u> Key cross-sectoral stakeholders support and will actively participate in the NIMCs;
	6. SAP implementation finance secured by governments and development partners	0	25%	Sectoral annual work plans Medium term development plans	<u>Risks:</u> There is risk that there are changes to key enabling decision makers. <u>Assumptions:</u> NIMC's will be able to facilitate mainstreaming SAP financing.
<b>Outcome 1.2:</b> Strengthened institutional and human resource capacity towards integrated approaches in natural resource management and biodiversity conservation	<b>Outputs:</b> 1.2.1 Harmonization of national and local policy in Indonesia and Timor-Leste to strengthen the regulatory and institutional frameworks in support of SAP/NAP implementation and linkages to NBSAPs through support to national inter-ministerial committees 1.2.2 Localization and translation of guidelines and/or handbook on integrated approaches to marine and coastal management, biodiversity conservation and climate change adaptation in local language by building on existing/completed initiatives; implementation of training of trainers benefitting at least 100 participants in Indonesia; 60 in Timor-Leste, and 10 in Papua New Guinea 7. Number of local regulations issued to support implementation of NAP that reflect regional harmonization of national and subnational policies	Priority actions in the NAPs are not mainstreamed in national and local policy and Programming frameworks	<u>Indonesia:</u> Draft of three local regulations (PERDA) developed and submitted to the provincial government to support implementation of NAP <u>Timor-Leste:</u> Two local regulations issued to support implementation of NAP <u>Papua New Guinea:</u> District Sustainable Marine Resource Plan for South Fly District approved	Draft local regulations and policies	<u>Risks:</u> Enabling decisions required for implementing recommended measures are delayed; <u>Assumptions:</u> The time required to obtain enabling decisions is sufficient; Key stakeholders support integration of NAP priority actions in national and subnational programming and budgetary frameworks;
	8. Knowledge transferred from capacitated trainers to resource beneficiaries	Limited local knowledge on integrated approaches	<u>Indonesia:</u> 100 resource beneficiaries receive training on integrated approaches from the capacitated trainers <u>Timor-Leste:</u> 60 resource beneficiaries receive training on integrated approaches from the capacitated trainers <u>Papua New Guinea:</u> 10 resource beneficiaries receive training on integrated approaches from the	Training records	<u>Risks:</u> Insufficient capacity to support management changes; <u>Assumptions:</u> Increased awareness and capacity will lead to a change in behavior among key stakeholders involved in coastal and marine resource management and conservation;

Objective/Outcome	Key Indicator(s)	Baseline	End of Project target	Source of Information	Risks and assumptions
<b>Outcome 1.3:</b> Better understanding of climate change impacts on marine and coastal ecosystems lead to regional action	<u>Outputs:</u> 1.3.1 Improved understanding of climate change impacts on fisheries and marine/coastal ecosystems through regional collaborative assessment 1.3.2 Case study on climate change impact pathways on an ATS area-specific fishery; regional climate change workshop organized 9. Regional climate change predictive capacity strengthened	There are no coordinated regional climate change assessment efforts addressing regional coastal and marine concerns in the ATS region	ATS regional CC guidance toolkit endorsed by RCC capacitated trainers	Guidance toolkit Case study Workshop minutes RCC meeting minutes	<u>Risks:</u> Baseline conditions and input variables are unreliable, and/or unavailable. <u>Assumptions:</u> Qualified professionals from institutions in each of the 4 ATS littoral countries agree to collaborate on a regional CC assessment.
<b>Outcome 1.4:</b> Updated transboundary diagnostic analysis (TDA), strategic action program (SAP), and national action program (NAPs)	<u>Outputs:</u> 1.4.1 Updated ATS transboundary diagnostic analysis (TDA) endorsed by the ATS Regional Coordination Committee 1.4.2 Updated SAP, incorporating improved understanding of climate change impacts, supported by Ministerial Declaration; NAPs updated or formulated accordingly 1.4.3 National responses to the priority actions agreed upon in the updated SAP are formulated into national action programs and mainstreamed into national planning and budgetary frameworks 10. Proportion of countries that are implementing specific measures from the SAP (i.e. adopted national policies, laws, budgeted plans)	0	Indonesia, Priority actions under ATS NAP mainstreamed into national development programs and budgets Timor-Leste: Priority actions under ATS NAP mainstreamed into national development programs and budgets Papua New Guinea: Priority actions under ATS NAP mainstreamed into national development programs and budgets	National and subnational development programming and budgetary frameworks	<u>Risks:</u> Changes in key policies and/or decision makers lead to reduced support for mainstreaming the NAPs; Overlapping sectoral mandates or other conflicts; <u>Assumptions:</u> Governmental stakeholders appreciate the benefit of mainstreaming the NAP into development programming and budgetary frameworks;
<b>Component 2: Improving LME Carrying Capacity to Sustain Provisioning, Regulating and Supporting Ecosystem Services</b>					
<b>Outcome 2.1:</b> Improved management of fisheries and other coastal resources for livelihoods, nutrition and ecosystem health in Indonesia, Timor-Leste, and Papua New Guinea	<u>Outputs:</u> 2.1.1 Ecosystem approach to fisheries management (EAFM) targeting women and men fishers implemented at the LME level for shared stocks and in area-specific fisheries 2.1.2 Development of profiles of 3 fisheries in the ATSEA, value-chain analysis and preassessment to move selected fisheries towards certification/eco-labelling 2.1.3 Regional and national actions strengthened in support of the Regional Plan of Action for Responsible Fishing Practices Including Combating IUU Fishing in the Region and the Indonesian Presidential Task Force on Combating Illegal Fishing, e.g., through better surveillance, enforcement and monitoring, resulting in a further reduction of IUU fishing in the ATS by 10%, around 150,000 tons	0	5	Endorsed EAFM plans Approved FIPs	<u>Risks:</u> Insufficient capacity to support management changes; Insufficient coordination leads to delays; Enabling decisions are not timely granted; Impacts of climate change undermine the sustainability of implementation of the EAFM plan; <u>Assumptions:</u> The time required to obtain enabling decisions is sufficient; Existing legal and regulatory frameworks accommodate

Objective/Outcome	Key Indicator(s)	Baseline	End of Project target	Source of Information	Risks and assumptions
	12. Number of targeted communities of fishers have adopted an ecosystem approach to fisheries management	0	5	Endorsed EAFM plans Approved FIPs	<b>Risks:</b> Insufficient coordination leads to delays; Enabling decisions are not timely granted; Resource users are reluctant to collaborate; <b>Assumptions:</b> The time required to obtain enabling decisions is sufficient; The fishing community and other private sector actors are willing to participate in the project activities and appreciate the long-term benefits of more responsible resource use over short-term impacts; Technological and market-based solutions that create economic incentives for applying integrated approaches are available and feasible to implement in project areas;
	13. Reduced fishing pressure	Aru, Indonesia: Approx. 775 registered fishing vessels in Aru operating in the red snapper and shrimp fisheries (combined). South Fly, PNG: 2 tons per year dried fish maw (bladder) produced.	Aru, Indonesia: 25% reduction in fleet size within the shrimp and red snapper fisheries. South Fly, PNG: 1 ton per year dried fish maw (bladder) produced.	Records kept by fishing ports, to be validated or updated during implementation Available compliance records Monitoring reports	<b>Risks:</b> Insufficient coordination leads to delays; Resource users are reluctant to collaborate; <b>Assumptions:</b> The fishing community and other private sector actors are willing to participate in the project activities and appreciate the long-term benefits of more responsible resource use over short-term impacts; Technological and market-based solutions that create economic incentives for applying integrated approaches are available and feasible to implement in project areas;
	14. Improved use of fish gear/techniques	Aru, Indonesia: Approx. 775 registered fishing vessels in Aru operating in the shrimp and red snapper fisheries: 775 vessels (<30 GT) which do not have VMS; 1400 vessels using gillnet gear. Merauke, Indonesia: Approx. 500 registered fishing vessels operating in the barramundi fishery	Aru, Indonesia: 50% of vessels within the shrimp and red snapper fisheries using improved gear; 50% vessels using VMS; 25% vessels applying improved gear to reduce turtle bycatch. Merauke, Indonesia: 50% barramundi fishers using improved gear. South Coast, Timor-Leste: 50% vessels within the mackerel <sup>1</sup> fishery using improved gear/techniques. South Fly, PNG: 25% artisanal fishers using improved gear/techniques.	Records kept by fishing ports, to be validated or updated during implementation Available compliance records Monitoring reports	<b>Risks:</b> Insufficient coordination leads to delays; Resource users are reluctant to collaborate; <b>Assumptions:</b> The fishing community and other private sector actors are willing to participate in the project activities and appreciate the long-term benefits of more responsible resource use over short-term impacts; Technological and market-based solutions that create economic incentives for applying integrated approaches are available and feasible to implement in project areas;

<sup>1</sup> Mackerel was replaced with red snapper as per recommendations from the project Inception Meeting.

Objective/Outcome	Key Indicator(s)	Baseline	End of Project target	Source of Information	Risks and assumptions
		in Merauke, South Coast, Timor-Leste: Approx. 150 registered vessels in the south coast municipalities. South Fly, PNG: Approx. 2700 households involved in small-scale fishing			
<b>Outcome 2.2:</b> Reduced marine pollution improves ecosystem health in coastal/ marine hotspots in the Arafura and Timor Seas	<p>Outputs:</p> <p>2.2.1 Enhanced data and information regarding the sources and sinks of contaminants in the ATS; pollution hotspots identified; appropriate controls of point and non-point sources of pollution initiated oil spill early warning systems and capacities strengthened</p>				
	15. Strengthened oil spill oil response systems and capacities	Oil and gas development is expanding in the ATS region, but local communities lack awareness and capacity to respond to marine pollution incidents	Oil spill early response systems and procedures are included in the ICM plans of Rote Ndao in Indonesia and Municipio Manatuto in Timor-Leste	Approved ICM plans	<p><u>Risks:</u> Early warning systems are not operationalized;</p> <p><u>Assumptions:</u> Local government units are committed to provide required resources to operationalize oil spill response systems;</p>
<b>Outcome 2.3:</b> Coastal and Marine Biodiversity Conserved through Protection of Habitats and Species	<p>Outputs:</p> <p>2.3.1 Updated information and database on coral, mangrove and seagrass beds in the ATS, supported by ecosystem valuation studies; priority conservation areas identified in Indonesia and Timor-Leste</p> <p>2.3.2 New MPAs designated in Indonesia and Timor-Leste; covering about 645,000 ha in area, including approximately 220,000 ha of mangrove ecosystems; with corresponding management plans prepared and implemented; and regional ATS MPA network designed</p> <p>2.3.3 Endangered marine turtles protected through an agreed regional action plan</p>				
	16. Protected area management effectiveness score	<p>Indonesia: Southeast Aru MPA METT: 39</p> <p>Timor-Leste: NKS NP METT: 24</p>	<p>Indonesia: Southeast Aru MPA METT: 92</p> <p>Timor-Leste: NKS NP METT: 50</p>	METT score	<p><u>Risks:</u> MPA management authorities are reluctant to collaborate; Insufficient capacity to support management changes; Delays caused by lack of sufficient or timely cofinancing support;</p> <p><u>Assumptions:</u> Baseline conditions are satisfactorily representative; There is political and financial commitment for improving management effectiveness;</p>
	17. Number of threatened species under enhanced protection	0	1 (marine turtles)	Endorsed regional action plan	<p><u>Risks:</u> Littoral countries cannot reach agreement on coverage and/or management arrangements of the proposed action plan;</p> <p><u>Assumptions:</u> There is consensus among the 4 littoral countries to develop and implement a regional action plan to enhance protection of marine turtles; Existing legal and regulatory frameworks accommodate such an</p>

Objective/Outcome	Key Indicator(s)	Baseline	End of Project target	Source of Information	Risks and assumptions
<b>Outcome 2.4:</b> Integrated Coastal Management, incorporating climate change adaptation considerations, implemented at the local level towards more sustainable use and conservation of ecosystem goods and services	<b>Outputs:</b> 2.4.1 Integrated coastal management plans (ICM) that support SAP/NAP implementation developed and implemented through formulation and enactment of local regulations 2.4.2 Climate change adaptation incorporated in ICM plans and demonstrations implemented for one at-risk coastal site in Timor-Leste 2.4.3 Climate Change adaptation, with a particular focus on ecosystem-based adaptation, incorporated in ICM plans and demonstrations implemented for two at-risk coastal sites in Indonesia				action plan;
	18. Adoption and implementation of ICM plans and reforms to protect coastal zones in LMEs – Number of beneficiary countries adopting and applying ICM within ATS region	No coastal areas are currently under ICM; Timor-Leste is currently preparing ICM plans with support of PEMSEA	2	Local decisions	<b>Risks:</b> Enabling decisions are not timely granted; Resource users including communities are reluctant to collaborate; Weak coordination of project activities; <b>Assumptions:</b> Baseline conditions are satisfactorily representative; There is political and financial commitment for developing and implementing ICM; The time required to obtain enabling decisions is sufficient;
	19. Number of women and men supported with alternative livelihoods that contribute to improved management of natural resources and increased resilience of their local communities with respect to the impacts of climate change	0	Total: 1500, including 850 women and 650 men	Field surveys, monitoring reports	<b>Risks:</b> Insufficient management capacity; Cultural and/or customary barriers restrictive <b>Assumptions:</b> Women at project sites actively participate
<b>Component 3: Knowledge management</b>					
<b>Outcome 3.1:</b> Improved monitoring of the status of the ATS and dissemination of information	<b>Outputs:</b> 3.1.1 A set of holistic (SMART) indicators established by applying the GEF Process, Stress Reduction and Environmental/Socioeconomic Status framework to monitor ocean health, SAP and NAP implementation; indicators used for progress evaluation, SAP and TDA updating and priority setting 3.1.2 Improved dissemination of information and best practices through formulation and implementation of a communications strategy, including but not limited to an enhanced ATSEA project website, bulletins, publications and videos in English and national languages, and contributions to IW:LEARN activities allocating 1% of the project grant.				
	20. Mechanism in place to produce a monitoring report on stress reduction measures	There are some indicators included in the ATS SAP, but there is no unified	Monitoring mechanisms in place for some of the project related indicators	RCC memorandum Monitoring reports	<b>Risks:</b> The littoral countries cannot reach agreement on financing SAP implementation, including monitoring and reporting; <b>Assumptions:</b> Enabling stakeholders are committed to support monitoring and reporting on SAP implementation;

Objective/Outcome	Key Indicator(s)	Baseline	End of Project target	Source of Information	Risks and assumptions
	21. Dissemination of project results and ATS information	Since the end of the first phase of the ATSEA program, there has been limited dissemination of SAP/NAP implementation	Participation in one GEF IW Conference; submission of at least one Results and one Experience Note; and integration of ATS knowledge management onto the existing CTI knowledge management platform	Meeting minutes Content on IW: Learn Information on CTI website and other knowledge platforms	<u>Risks:</u> Insufficient collaboration with other projects and initiatives; <u>Assumptions:</u> Proactive collaboration with other projects and initiatives will be maintained throughout the project.

## Annex 8: Consultant's Agreement Form

### Reviewers:

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

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

Name of Consultant: Dalibor Kysela 

Name of Consultancy Organization (where relevant): N.A.

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

## **Annex 9: Audit Trail**

(NOTE: Audit trail for PNG component was incorporated in the Overall Audit Trail of the Main Report, developed by the International Consultant who was tasked to handle management of the overall MTR (including the regional and PNG component))



**IMPLEMENTATION OF THE ARAFURA AND TIMOR  
SEAS REGIONAL AND NATIONAL STRATEGIC ACTION  
PROGRAMMES (ATSEA-2)  
SECOND PHASE OF THE ARAFURA TIMOR SEAS  
ECOSYSTEM ACTION (ATSEA)**

UNDP-GEF PIMS ID: 5439  
GEF SEC ID: 6920

**Mid-Term Review Report  
(18 April 2022- 30 August 2022)**

TIMOR-LESTE COMPONENT

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**August 2022**

## ***SYNOPSIS***

Title of UNDP supported GEF financed project:	Implementation of the Arafura and Timor Seas Regional and National Strategic Action Programmes: Second Phase of the Arafura Timor Seas Ecosystem Action (ATSEA-2)
UNDP Project ID:	5439
GEF Project ID:	6920
Evaluation time frame:	18 April-5 August 2022
CEO endorsement date:	24 November 2017
Project implementation start date:	5 March 2019 (Timor-Leste)
Project operational closure:	8 March 2024
Date of evaluation report:	20 August 2022
Region and Countries included in the project:	Timor-Leste
GEF Focal Area Objective:	International Waters Objective IW 1: Catalyse sustainable management of transboundary water systems by supporting multi-state cooperation through foundational capacity building, targeted research, and portfolio learning Objective IW 3: Enhance multi-state cooperation & catalyse investments to foster sustainable fisheries, restore & protect coastal habitats, reduce pollution of coasts & large marine ecosystems
Implementing partner and other strategic partners:	Ministry of Agriculture and Fisheries (MAF) Timor-Leste
Mid-term review team members:	<ul style="list-style-type: none"><li>• Mr. Dalibor Kaysela (International Consultant)</li><li>• Mr. Amorim Vieira (National Consultant for Timor Leste)</li><li>• Mr. Achmad Solikhin (National Consultant for Indonesia)</li></ul>
Acknowledgements:	Please refer to the next page

## Acknowledgement

The midterm review (MTR) report of the Timor-Leste Component ATSEA-2 Project is a comprehensive project evaluation report that was successfully conducted from May 2022 to July 2022 to assess the ATSEA-2 project management relevance, effectiveness, efficiency, sustainability, and impacts. The report also represents achievements and challenges subsequently used for critical recommendations for the project improvement.

The MTR Team would like thank and acknowledge the support of the regional project coordinating unit, Timor-Leste's national project coordinating team, PEMSEA, and UNDP Timor-Leste. The Team also thank all the following resource persons who have provided their time in responding to our interview, questions, and data/information requests: Lazima Onta Bhatta, DRR of UNDP Timor-Leste; Domingos Legi Sigamaria; Joao Carlos Soares; Acacio Guterres; Augusto Da Silva; Venancio da Costa Ximenes; Felixiano Baptista; Fernando Joaquim; Jaime Alves; Elizito de Jesus Ximenes; Aquelino Amaral; Acacio Guterres; Constacio Dos Santo and Celestni da Cunha. The Team would also like to extend our sincere gratitude to all the personnel involved in Timor-Leste's ATSEA-2 Project, whose names are as follows:

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- ii. Mr. Almerindo Da Silva, NPC;
- iii. Ms.Candida De Jesus Monis, Financial Assistant;
- iv. Ms. Ines Da Costa Pereira; and
- v. Mr. Salvador Alves (driver)

The Team would also like to appreciate all the great endeavors of all stakeholders in the ATSEA-2 Project who have contributed to enhancing the sustainable management of marine-coastal ecosystems in Timor-Leste especially in the Municipalities of Manatuto, Lospalos, Same, Suai and Viqueque. The Team highly appreciates the input and advice for the improvement of the report and acknowledges that the report is far from perfect due to some shortcomings during the MTR process.

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## Acronyms and Abbreviations

ATSEA	Arafura Timor Sea Ecosystem Action
ATS	Arafura and Timor Sea
AMAT	Adaptation Monitoring and Assessment Tool
ASEAN	Association of Southeast Asian Nations
BESIK	Bee, Saneamentu no Ijiene iha Komunidade
CBA	cost-benefit analysis
CCA	Climate Change Adaptation
CBEMR	community-based ecological mangrove restoration
CBNRM	community-based natural resources management
CI	Conservation International
CO	Country Office (UNDP)
CPAP	Country Programme Action Plan
CSO	civil society organization
CTC	Coral Triangle Center
CVA	coastal vulnerability assessment
DFAT	Department of Foreign Affairs and Trade
DIM	Direct Implementation Modality
DRM	disaster risk management
EAFM	Ecosystem Approach to Fisheries Management
ENSO	El Niño Southern Oscillation
ESI	Estimated Sustainable Income
FAO	Food and Agriculture Organization
FGD	focus group discussion
GCCA	Global Climate Change Alliance
GEF	Global Environment Facility
GESI	Gender Equity and Social Inclusion
GHG	greenhouse gas
GNI	Gross National Income
GoTL	Government of Timor-Leste
HDR	Human Development Report
HDI	Human Development Index
IA	Implementing Agency
ICM	integrated coastal management
IBA	important bird and biodiversity area
IPCC	Intergovernmental Panel on Climate Change
IUCN	International Union for Conservation of Nature
IUU	Illegal, Unregulated, Unreported (fishing)
IW	International Waters
LDC	Least Developed Country
LDCF	Least Developed Countries Fund
LiDAR	light detection and ranging
LME	Large Marine Ecosystem
MAF	Ministry of Agriculture and Fisheries
M&E	Monitoring and Evaluation
MCIE	Ministry for Commerce, Industry and the Environment
MPI	multi-dimensional poverty index
MPSI	Ministry of Planning and Strategic Investments

MSME	micro, small and medium-sized enterprises
MSS	Ministry of Social Solidarity
MTAC	Ministry of Tourism, Arts and Culture
MTOP	Midterm Operational Plan
NADS	National Aquaculture Development Strategy
NAP	National Adaptation Plan
NAP-GSP	National Adaptation Plan – Global Support Programme
NAPA	National Adaptation Programme of Action
NBSAP	National Biodiversity Strategy and Action Plan
NCU	National Coordination Unit
NDAHE	National Directorate of Agriculture, Horticulture and Extension
NDFMFR	National Directorate of Fisheries and Management of Fishery Resources
NDFMW	National Directorate of Forests and Management of Watersheds
NDA	National Directorate of Aquaculture
NDCN	National Directorate of Conservation of Nature
NEGA	National Ecological Gap Assessment
NGO	non-governmental organizations
NIMC	National InterMinisterial Committee
NPB	National Project Board
PIF	Project Identification Form
RBM	Result-based Management
RDTL	República Democrática de Timor-Leste
RPMU	Regional Project Management Unit
SAP	Strategic Action Program
SDG	Sustainable Development Goal
SDP	Strategic Development Plan
SLR	sea level rise
SNC	Second National Communication
SRF	Strategic Results Framework
SoL	Seeds of Life
TB	Tara Bandu
ToC	Theory of Change
UNTL	National University of Timor-Leste/Universidade Nacional Timor Loro Sae
UNDP	United Nations Development Programme

## 1.EXECUTIVE SUMMARY

This report summarizes the findings of the Midterm Review conducted via virtual meetings between June 26 to July 2, 2022 for the Timor-Leste component of the Arafura and Timor Sea Ecosystem Action, (hereby referred to as the ATSEA-2) that received a US\$ 2,120,000 grant from the Global Environment Facility (GEF) in March 2017.

### 1.1 Project Information Table

Table 2. Project Information			
Project Title	The Arafura and Timor Seas Regional and National Strategic Action Programs Phase II (ATSEA-2)		
UNDP Project ID (PIMS #)	5439	PIF Approval Date:	August 28, 2014
GEF Project ID (PIMS #)	6920	CEO Endorsement Date:	
ATLAS Business unit, Award# Proj.ID:	*00111339 *00110428	Project Document (ProDoc) Signature Date (Date project began):	March 5, 2019
Country(ies):	Timor-Leste	Date Project Manager Hired: (National Coordinator)	1 <sup>st</sup> Coordinator: October 2019 2 <sup>nd</sup> Coordinator: June 2021
Region:	Asia-Pacific		
Focal Area:	Climate Change Adaptation	Inception workshop date:	December 2019
GEF Focal Area Strategic Objective:	International Waters	Mid-Term Review completion date:	August 2022
Trust Fund (indicates GEF TG, LDCF, SCCF, NPIF):		Project Planned closing date:	March 8, 2024
Executive Agency/Implementing Partner:	UNDP	If revised, proposed op. closing date:	
Other Execution Partners:	Ministry of Agriculture and Fisheries		
Project Financing	At CEO Endorsement (US\$)	At Midterm Review (US\$)	
(1) GEF financing: (Timor-Leste Component)	2,120,000	564,868.15	
(2) Government: MAF (grant)	20,000,000	17,549,308	
(3) Other leveraged funds (grant)	-	148,986	
(4) Other leveraged funds (in-kind)	-	1,431,240	
(5) Total co-financing (2+3+4)		19,129,534	
<b>PROJECT TOTAL COSTS (1+4)</b>	<b>22,120,000</b>	<b>19,649,402.15</b>	

## 1.2 Project Description of Timor-Leste Component

The Timor-Leste component of the ATSEA-2 project is part of the second phase of the GEF-financed, UNDP-supported ATSEA program, and is designed to enhance regional collaboration and coordination in the Arafura and Timor Seas (ATS) region, which will specifically focus on supporting the implementation of the endorsed strategic action program (SAP), a 10-year vision for the Arafura-Timor Seas with the long-term objective “to promote sustainable development of the Arafura-Timor Seas region to improve the quality of life of its inhabitants through restoration, conservation and sustainable management of marine-coastal ecosystems”. Integrated approaches are designed to incentivize local communities to more sustainably use coastal and marine resources, enhancing their own livelihoods while safeguarding the ecosystem goods and services that are the backbone of their socio-economic well-being.

The Timor-Leste component includes the delivery of UNDP Strategic Plan Output: Output 1.3: Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste, and Output 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. Timor-Leste national component is being executed through UNDP Timor-Leste under Award ID 00111339.

The Timor-Leste ATSEA-2 national component implementation covers five municipalities- Lautem, Manatuto, Same (Manufahi) Suai (Covalima) and Viqueque, where each municipality has its own target activities and outputs (see Figure 1). These activities will include the strengthening of existing Marine Protected Areas (MPA), while also designating a new MPA and promoting alternative livelihoods for the communities that live and work in these locations. An Integrated Coastal Management (ICM) plan will be developed and implemented, focusing on alternative livelihoods and capacity building.

**Figure 1. Component Implementation**

<b>Municipality</b>	<b>ATSEA 2 project component</b>
Lautem	Programme will focus on strengthening Nino Konis Santana MPA management including updating of financial sustainability plan, supporting a locally managed marine area in the adjacent waters and promoting alternative livelihoods for local people
Manatuto Posto Administrativo Barique	An Integrated Coastal Management (ICM) plan will be developed, implemented and expanded, featuring climate change adaptations. The development of alternative livelihoods and capacity building in local communities are also supported.
Manatuto & Same (Manufahi)	Programme will design and support the designation of Betano to Claluc MPA.

Suai (Covalima)	Address pollution impacting the ATS region, the Programme will provide training and facilitate knowledge exchanges related to oil spill response and preparedness
Viqueque	Application of an Ecosystem Approach to Fisheries Management (EAFM) in Município Viqueque, to improve and protect red snapper fisheries.

The Timor-Leste ATSEA-2 project national component implementation is expected to achieve the following:

- a) Updated National Action Program (NAP) approved by NIMC
- b) NIMC established, approved by MAF and institutionalized
- c) Priority actions under NAP mainstreamed into national development program
- d) Two local regulations issued to support NAP implementation
- e) 60 beneficiaries received training on integrated approach from capacitated trainers
- f) EAFM implemented in 1 target community with EAFM management Plan
- g) 50% of vessels within red snapper fisheries using improved gear/techniques in South Coast of Timor-Leste
- h) Improved METT score of NKS MPA from 24 to 50
- i) Established new MPA of 90,000 ha off the south coast of Timor-Leste Betano
- j) Adopted and implemented ICM in PA Barique, Manatuto Municipality

### 1.3 Project Progress Summary

In general, the Timor-Leste Component experienced slow progress despite ATSEA-2 serving as the continuation of ATSEA-1. The key factors affecting the achievement towards the project outcomes are: (a) Timor-Leste is a small new country that still lacks technical expertise and environmental specialists; and (b) some political and technical challenges that impact the capacity of implementing partners to participate in the project implementation at national, local and community level. In addition, the global Covid-19 pandemic has impacted the implementation of some project activities, wherein some have been delayed. However, Timor-Leste as a participant country has contributed positively to the project, e.g. the establishment of the National Project Board (NPB), inputs to the ongoing process related to the Regional Governance Mechanism (RGM), Transboundary Diagnostic Analysis (TDA) and recently the full establishment of the National Inter-Ministerial Committee (NIMC) in July 2022.

The project is yet to see clear results related to capacity building activities on alternative livelihoods for alternative income generation for selected community groups as the first half of the project first focused on completing the thematic assessments, capacity needs assessment and conduct of initial capacity building activities. Capacity building for target community groups have been conducted and further capacity building is planned to be conducted in the near future. However, despite the initial capacity building provided, target community groups still have limited business planning skills. It is important for local intervention to be clearer in terms of "adaptation" and to further increase coordination with local authorities to set-up natural resources development-based livelihoods supported by a clear business plan linked to a value chain and with the support of local governments. It is important that the project develops tools to measure the percentage of change in incomes generated and if the changes benefited more women and their households to know if those changes are corresponding with alternative or regular daily income.

On raising community awareness, the link between the project support and livelihoods, and the commitment for long term project objective- The "awareness" activities were performed using material and ideas to increase comprehension about climate change, marine pollution, biodiversity protection, alternative livelihood and sustainable fisheries which reached different stakeholders, the general public and specific target population such as women, young people, children, farmers and fishers. In line with this, the project needs to develop or apply tools to measure the change in awareness as a result of the efforts made in implementing awareness activities.

The MTR found that the ATSEA-2 project Timor-Leste Component implementation is moderately satisfactory, given the challenges described above. There are some aspects in the outcomes which were found to be moderately unsatisfactory in terms of progress vis-à-vis given the remaining time. In particular, there is a probability that the end project target such as Project Objective 1, Indicator 3: Landscape and seascapes under improved biodiversity management with key target on hectare coverage of a new MPA (in Betano-Klakuk) and supporting improvement of the management effectiveness of the existing MPA in Nino-Konis Santana (NKS) from 24 to 50 METT score (covering 55,660ha) may not be achieved within the target end date.

#### 1.4 MTR Ratings & Achievement Summary

Table 3: MTR Ratings & Achievement Summary Table.		
Measure	MTR Rating	Achievement Description
Project Strategy	N/A	<p>The ATSEA-2 project is the second phase of the GEF-financed, UNDP-supported ATSEA program, and is designed to enhance regional collaboration and coordination in the Arafura and Timor Seas (ATS) region. ATSEA-2 will specifically focus on supporting the implementation of the endorsed strategic action program (SAP), a 10-year vision for the Arafura-Timor Seas with the long-term objective to promote sustainable development of the Arafura-Timor Seas region to improve the quality of life of its inhabitants through restoration, conservation and sustainable management of marine-coastal ecosystem. The ATSEA-2 Timor-Leste National Component are implemented in Lospalos, Viqueque, Manatuto, Same and Suai.</p> <p>The Timor-Leste National Component Strategic Results Framework (SRF) consist of objectives, Outcomes for Component 1, Component 2 and Component 3, which reflect and support the national, regional and international commitment on the management of marine-coastal ecosystem.</p> <p>The Timor-Leste SRF identified threats to the effective implementation of the project during the COVID-19 pandemic has led to the project team to adopt agile and adaptive management measures which has helped the project overcome some of the threats or challenges.</p>

<b>Progress Towards Results</b>	<p>Objective Achievement Rating</p> <p><b>MTR rating</b> <b>Highly Satisfactory (HS)</b></p>	<p>The ATSEA-2 Timor-Leste has achieved some of the project overall objectives, as follows:</p> <p>a) Direct beneficiaries;</p> <ol style="list-style-type: none"> <li>1) Provided training to 308 beneficiaries exceeded the end project target</li> </ol> <p>b) Globally Over-exploited fisheries;</p> <ol style="list-style-type: none"> <li>1) Community-based surveillance training on IUU Fishing Vessel Identification and other surveillance measure and safety at sea conducted involving local fishers, local authorities, and Ministry of Agriculture and Fisheries (MAF).</li> <li>2) Integrated Coastal Management (ICM) Sub Task Team in place in Posto Administrativo Barique and development of ICM plan is finalized supported by national government represented by MAF and local government through the Declaration of Commitment signed by local government, considering alternative livelihood initiatives and strengthening resilience to climate change.</li> <li>3) The implementation of the ICM plan has been initiated and the call for proposal from local NGOs and CBOs to implement specific activities in support mainly of alternative livelihoods has been issued</li> </ol> <p>c) Landscape and seascapes under improved biodiversity management.</p> <ol style="list-style-type: none"> <li>1) Progress towards the establishment of a new MPA in Betano is on going, stakeholder consultation has been conducted and socio-economic assessment and boundary measurement has been undertaken.</li> <li>2) Supporting improvement of the management effectiveness management activities for the existing MPA in NKS or data collection as part of the review of management plan and sustainable financial plan developed for both Nino-Konis Santana (NKS) and Betano.</li> <li>3) The assessment for the new MPA in Betano by CTC shows that target hectare coverage for new MPA Betano is 20,000ha lower than original project target of 90,000ha. Further discussion is being undertake by MAF in regards to the issue.</li> <li>4) National Oceans Policy is still in the Council of Ministers. MAF is committed to ensure alignment of the NOP with the work being done with the ATSEA-2 project.</li> <li>1) Updating TDA: Inception Workshop conducted in Feb 2022, NWG meeting conducted in May 17 and June 16 2022. Drafting of country TDA is in progress.</li> </ol>
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<p><b>Progress Towards Results</b></p>	<p>Component 1. Achievement Rating: (rate 6 pt. scale) 3</p> <p><b>MTR rating</b> <b>Highly Satisfactory (HS)</b></p>	<p><b>Under Timor-Leste National Component 1.</b> Some of the end-of-project target has been fully achieved,</p> <p>The initial meeting to discuss the role and structure of the Timor-Leste National Inter-Ministerial Committees (NIMC) was conducted (March 20, 2020).</p> <p>Three NPB Meetings conducted (Dec. 16, 2019, Nov. 30, 2020, and Nov. 26, 2021, Dili) and approved AWP and Budget. NPB meeting in 2021 highlighted the need for National Inter-Ministerial Committee (NIMC) to be endorsed by MAF in 2021 (tentative) through a Ministerial diploma and with SPF inclusion. Two NIMC workshops were conducted in March 2020 and June 2022</p> <p>In June 2022, Timor-Leste NIMC was fully established during the process of Mid Term Review Report, and NIMC is in its early state and is yet to function fully.</p> <p>One of the local regulation related to ICM has been issued related to ICM, in Manatuto, while the local regulation related to the establishment of a new MPA in Betano is expected when the consultation for the new MPA in Betano is completed.</p> <p>90% of the end project target (particularly for regional level) on climate change predictive capacity strengthening has been achieved. The only remaining end project target is the final endorsement of the completed Guidance Toolkit by RCS which is scheduled for November 2022 at the 4th RSC meeting.</p>
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	<p><b>Component 2</b></p> <p><b>Achievement Rating.</b></p> <p><b>(Rate 6 pt, scale)</b></p> <p><b>4</b></p> <p><b>MTR Rating</b></p> <p><b>Moderately Satisfied (MS)</b></p>	<p><b>Under Timor-Leste National component 2.</b> Some of the end project targets have been achieved.</p> <p>Drafted and endorsed Red Snapper EAFM in Timor-Leste is in place.</p> <p>Field surveys on stock assessment and value chain assessment of Red Snapper was conducted in 4-municipalities- Viqueque, Lautem, Manatuto and Manufahi (February and March 2021), with support from a consultant, and involved 126 direct informants. Participated in the regional-led EAFM Advisory Forum (June 9, 2021). Data analysis has been finalized in January 2022. EAFM TOT finalized for MAF technical and certified. EAFM training for fisherwomen in Fisheries Resources Centre in Lautem, Viqueque, Manatuto and Manufahi (Same) is scheduled for 2022.</p> <p>Training for Fisheries on IUU Fishing Vessel Identification Method and other surveillance measure and safety at sea conducted for Municipalities of Viqueque, Manufahi and Covalima (Dec. 2020).</p> <p>MAF completed a program to improve fish gear/techniques (which includes specification of maximum number of people per group per small fishing vessels). Completed training for 150 fishers from 6 fishing centers in 3 municipalities (Viqueque, Manufahi and Covalima) on Illegal, Uncontrolled and Unregulated (IUU) Fishing Vessel Identification Methods and other community-based surveillance measures and safety at sea.</p> <p>LOA between UNDP TL and Ministry of Agriculture and Fisheries (MAF) signed (June 17, 2021) to help facilitate undertaking of various fisheries- related activities under ATSEA-2. Initiation of activities/LOA implementation commenced in Q3 of 2021. Another Letter of Agreement (LoA)— following a series of consultations/meetings—has been signed between UNDP and MAF towards the implementation of activities related to regulating IUU fishing in Q3 (June – August 2022).</p> <p>Marine and Land- Based Pollution Study on the Southern Coast of Timor-Leste was completed; Beach Cleanup in South Coast as part of ICM waste management and public awareness raising activities conducted; Training for livelihoods activity (plastic waste recycling) as part of ICM implementation conducted. Capacity building for oil spill preparedness is scheduled for 2022.</p> <p>Bio-Physical and Socio-economic assessment in Betano is completed and consultation is ongoing. Data collection for review of the existing NKS management plan is conducted, while consultation is ongoing and the sustainable financial plan developed.</p> <p>A total of 450 sea turtle hatchlings at Com Village in Nino Konis Santana National Park released and helped raised awareness to 71 community members (45 men and 26 women) as one of the steps towards marine turtle conservation and promotion of community-based ecotourism. Moreover, Timor-Leste endorsed the Regional Plan of Action for the protection of sea turtles during the 3rd RCS meeting and also participated in the Regional Sea Turtle Expert Workshop.</p> <p>Other ICM related activities were Tree Planting Activities where 2750 trees were planted to support river bank stabilization. This helped capacitate or increase awareness of 154 persons of which 67 men and 87 women participated as part of institutionalization of and application of ICM.</p>
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<b>Project Implementation &amp; Adaptive Management</b>	Moderately Satisfactory (MS)	<p>UNDP ATSEA-2 Timor-Leste Component consist of professionals in the management team which includes a Project Coordinator, Marine Fishery Specialist, Field coordinators and Admin and Finance Assistant who is responsible for day to day project implementation.</p> <p>Despite, difficulties, and challenges encountered by the project team during the COVID-19 travel restrictions, the team has managed to operate effectively.</p> <p>However, partners expressed their concern regarding administrative and procurement process of UNDP (such as financial approval, material allocation) which often takes a long time, which impacts on the implementation of the project activities in the field.</p>
<b>Sustainability</b>	Moderately Likely (ML)	The four aspects of sustainability (financial, socio-economic, governance and environmental risks ) are rated Moderately Likely.

## 1.5 Concise summary of conclusions

The MTR report scrutinized the ATSEA-2 Project parameters, including project strategy, progress towards results, project implementation and adaptive management, sustainability, and cross-cutting sector. The project was designed considering climate change related development challenges and risk that coastal communities face; while contributing to national priorities (e.g., NAPA) and to fulfil Timor-Leste's international commitment towards adaptation to climate change (Paris Agreement), Disaster Risk Reduction (Sendai Framework) and UN Sustainable Development Goals (SDGs). The Project activities are mostly still ongoing to achieve their outcomes. However, the COVID-19 pandemic has caused some outcomes to be delayed and which is hindering the acceleration of the project activities towards meeting the overall project targets.

## 1.6 Summary of Recommendations

The recommendations reflect the key findings of the ATSEA-2 Timor-Leste Component MTR, aiming to reinforce what have been achieved by the Government of TL, in particular the Ministry of Agriculture and Fisheries (MAF), which is the implementing partner of the ATSEA-2 project component for Timor-Leste.

<b>REC. #</b>	<b>Recommendation</b>	<b>Entity Responsible</b>
<b>R1.</b>	<p>Immediate actions needed to set on track those areas/aspects marked as “Not on target to be achieved” corresponding to project objective:</p> <p><b>Indicator 1:</b> Urgent follow up field activities on implementation of the completed EAFM Red Snapper plan in Viqueque to meet the end project target</p> <p><b>Indicator 2:</b> Urgent follow up actions to assess the progress and challenges impeding significant project progress towards the establishment of new MPA in Betano</p>	Implementing agency and partners, with the support of project team.
<b>R2</b>	MTR highly recommends that UNDP ATSEA-2 project be extended for longer period between 6 to 12 months of no cost extension, in order to fully achieve the project	Implementing Partners. MAF and Timor-Leste Government

	objectives and to fill the time loss at the start and ensure the high quality of outcome sustainability at local level.	
R3	Despite consultation with stakeholders at all level before project implementation, some local authorities at Suco level still has limited understanding about their responsibility and lack sense of ownership. MTR recommends that capacity building at Suco level be further strengthened to ensure their sense of responsibility and ownership over community development and environmental protection and coastal management, to progress toward project benefits sustainability, especially with IUU fishing in the Timor Sea.	Implementing Partners
R4	Adopt Benefit Management to make up the missing opportunity to ensure that the projects deliver the expected strategic impact and drive organizational success.  MTR recommends that the project provide further capacity building in marketing and utilization of technology in marketing and promotion for target beneficiaries communities.	UNDP Timor-Leste and Implementing partners
R5	The project may consider strengthening its M&E systems to reflect its' activities more comprehensively as a 'bridge' between UNDP ATSEA-2 project and government of Timor-Leste, and to gather evidence on the impact of Community Livelihoods Support Project in the Country.  The project should focus on providing capacity building support for engagement at both national and local levels to leverage political pressure between these levels and ensure that ATSEA-2 project is implemented effectively, domesticated and can trace the impact	Implementing partners, MAF Timor-Leste
R6	MTR recommends that the project improve decision making process by providing sufficient information on decision making process within UNDP to implementing partners and stakeholder.	UNDP
R7	Continue supporting communities' groups, especially women groups, to conduct traditional local customary law, to safeguard coastal ecosystems, plastic waste recycling, fish business in Suai, etc.	implementing partners, MAF Timor-Leste
R8	Livelihood support project, should be planned comprehensively with a professional support of specialist in business planning development such as livestock, agriculture, fishery, poultry, etc., including a very clear business plan that includes impacts and outcomes expected, capacity development for financial, technical and productive management.	implementing partners, MAF Timor-Leste
R9	MTR recommends that the project's work focused on local responsibility related to project outcomes/benefits and their sustainability. ICM success story in Manatuto can be extended to other parts of project site. MTR suggests that more minor decision making be delegated to local authorities to develop capacities (capacity building) for Integrated Natural Resources Management in coastal zones	implementing partners, MAF Timor-Leste

## 2.INTRODUCTION

This report presents the findings of the Mid-Term Review (MTR) of the Timor-Leste component of the UNDP/GEF project “*Implementation of the Arafura and Timor Seas Regional and National Strategic Action Programs - Second Phase of the Arafura Timor Seas Ecosystem Action*”, further referred to as the ATSEA-2 project.

### 2.1 Purpose of the MTR and objectives

As outlined in the GEF Monitoring and Evaluation Policy, Mid-Term Reviews are mandatory for all GEF-financed full-sized projects and constitute an important part of the GEF projects’ monitoring and evaluation plan. MTRs are primarily undertaken for adaptive management purposes, i.e. to identify challenges and outline corrective actions to ensure that a project is on track to achieve maximum results by its completion. In order to fulfil the above purpose, MTRs are conducted in order to assess the projects’ progress towards results, implementation, and adaptive management for improvement of outcomes, facilitate early identification of risks to sustainability and provide supportive recommendations.

The objective of the MTR is to provide the project partners i.e. GEF, UNDP, key stakeholders/ private institutions and the Government of Timor-Leste (and the other country project partners) with an independent assessment of progress towards achievement of the project objectives and outcomes as specified in the Project Document. As such, the MTR serves to:

- assess early signs of project success or failure with the goal of identifying the necessary changes to be made to set the Project on-track to achieve its intended results;
- strengthen the adaptive management and monitoring functions of the Project;
- enhance the likelihood of achievement of Project and GEF objectives through analyzing Project strengths and weaknesses and suggesting measures for improvement;
- enable informed decision-making;
- create the basis for replication of successful Project outcomes achieved to date
- identify and validate proposed changes to the ProDoc to ensure achievement of all Project objectives; and
- assess whether it is possible to achieve the objectives in the given timeframe, taking into consideration the pace at which the Project is proceeding.

This MTR was prepared to:

- be undertaken independent of the project management to ensure independent quality assurance;
- apply UNDP-GEF norms and standards for midterm reviews;
- assess achievements of outputs and outcomes, likelihood of the sustainability of outcomes, and if the Project met the minimum M&E requirements; and
- provide recommendations to increase the likelihood of the Project delivering all of its intended outputs and achieving intended outcomes.

In addition, the review focused on analyzing the effectiveness, efficiency and timeliness of project implementation, highlighting issues requiring decisions and actions, and presenting lessons learned about project design, implementation and management. Findings of this review will be incorporated as recommendations for enhanced implementation during the final half of the project's term.

On findings and conclusions, this MTR report provides practical and feasible recommendations to project management and relevant stakeholders about short-term actions and decisions to be made in order to implement the recommended corrective actions, reinforce initial benefits from the project and to show future directions underlining the expected outcomes, and mitigating risks to sustainability.

In order to follow a participatory and consultative approach, MTR consultants have facilitated:

1. An inception report specifying the methodology and work plan on April 29, 2022
2. National Consultant for TL started the country mission with a briefing meeting with UNDP Timor-Leste to review technical, methodological and administrative issues.
3. Conduct of several interviews with selected stakeholders at national and local level, including several meetings/interviews with beneficiaries, and project sites visit as described in the ToR.
4. A presentation about initial findings and to receive feedback from national, sectoral and local stakeholders, beneficiaries' representatives, project team and UNDP CO.
5. Completion of the final MTR document including an "audit trail", detailing how all received comments have (or have not) been addressed in the final evaluation report.

## 2.2 Scope & Methodology

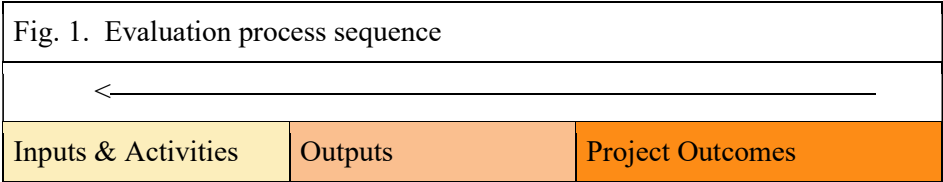
The scope of the MTR covers the entire UNDP-supported, GEF-financed ATSEA-2 Project and its components as well as the co-financed components of the Project. This MTR assesses Project progress, achievements and implementation taking into account the status of Project activities, outputs up to June 2022 and the resource disbursements made up to 31 March 2022 based on UNDP Combined Delivery Reports (CDRs). The MTR also reports on the progress against objective, outcome, output, and impact indicators listed in the latest Project Strategic Results Framework (SRF) as provided in the Annex as to how these outcomes and outputs will be achieved within the Project duration (up to June 2024). The MTR report concludes with recommendations, as appropriate, for the key stakeholders of the Project. The MTR will be approached through the criteria of relevance, effectiveness, efficiency, sustainability, and impact, as defined and explained in the UNDP "Guidance for Conducting Midterm Reviews of UNDP-supported, GEF-financed Projects", and the GEF M&E policy.

The geographic scope of the evaluation is Timor-Leste, with specific sites in TL shown on Display 1.

Display 1: Project areas of the ATS region



The result-based evaluation methodology looked into each project outcome as its starting point (Fig. 1) to determine: (i) to what extent outcomes are being achieved with respect to the strategy and factors affecting their progress, (ii) the contributions meted to achieve outcomes in relation to the implementation process and adaptive management, and (iii) the partnership strategy related to sustainability. In each point, the factors of success, the difficulties, challenges, benefits and their sustainability will be systematized.



Based on document reviews, meetings and interviews, the MTR has collected and analyzed qualitative and quantitative information, using standard evaluation criteria, to evaluate a number of selected variables, such as project activities and "soft" assistance, within and outside of the project, that have driven or influenced outcomes; as well as the activities of other actors related to development.

The MTR includes four categories of analysis:

- the status of the outcome related to **Project Strategy**;
- the factors affecting the outcome related to **progress towards results**;
- the project contributions to the outcome with respect to **project implementation and adaptive management**;
- the project partnership strategy related to **sustainability**.

This analysis has included everything that has been done within the project’s realm and how the context may influence the efforts made towards the achievement of outcomes, taking in account multiple levels of perceptions and the different viewpoints of all key project stakeholders. It is important to note that the MTR

also reviews the project's strategy and risks to sustainability by using a previously prepared evaluation question matrix (Annex 2). In this regard, special attention has been placed on Human Rights and Gender Equity as defined by UNEG's "Integrating Human Rights and Gender Equality in Evaluation" guide (United Nations Evaluation Group, 2014).

Key evaluation criteria:

- GEF Mid Term Review primary evaluation criteria will be used as listed in the Term of References (ToR), i.e. Project Strategy, Progress towards Results, Project Implementation & Adaptive Management, and Sustainability.

## 2.3 Data collection methodology

The MTR mission conducted a "first cut" and desktop analysis from the Project Information Package. In addition, MTR secondary data analysis to define some of the preliminary findings and to obtain additional information from specific areas of analysis. Qualitative data was collected from several interviews and meetings with Project Team, government counterparts (the GEF Operational Focal Point), the UNDP CO, UNDP-GEF Regional Technical Advisors, executing agencies, senior officials and task team/component leaders, key experts and consultants in the subject area, Project Board, project stakeholders, academia, national and local government, community organizations, NGOs and other key stakeholders.

In order to ensure that evidence-based conclusions and recommendations were made based on the findings, the project results were rated with brief descriptions of the associated achievements in the MTR.

## 2.4 Constraints and Limitations

The findings and conclusions contained in this report are based primarily on a thorough desk review of documents that were made available to the evaluator, as well as on interviews conducted through the Zoom platform due to some limitations posed by Covid, as well as face to face interviews with some stakeholders at the project sites of Timor-Leste. Coordination with the MTR team was also done via virtual means.

## 2.5 Structure of the MTR report

This MTR report is structured and organized in the following key sections:

- **Project description and background section.** This includes a description of the national development context (including a description of significant socio-economic and environmental contexts to be implemented from the project start; the policy factors relevant to the project outcomes and any other major external contributing factors identified); in this regard, this section includes a summary of problems that the project sought to address; and finally, a description of the project's strategy and implementation arrangements, the timing and key stakeholders involved.
- **Findings.** This section analyses the input obtained from the MTR evaluative matrix and the resulting findings are presented centered on the following four areas: Project Strategy, Progress Towards Results, Project Implementation and Adaptive Management, and Sustainability.
- **Conclusion and recommendations:** This section describes the factors of success, the strengths, the weaknesses, the difficulties, and the achievements reached by the project up to Mid-Term Review. The conclusions are described responding to questions defined on Terms of Reference and provided suggestion to help solve important problems or issues pertinent to project stakeholders, including UNDP and GEF.

### 3.PROJECT DESCRIPTION AND BACKGROUND CONTEXT

#### 3.1 Development context

Timor-Leste is a new country in South East Asia covering an area of 14,609 sq km (5,641 sq miles) half the island of Timor with a total population of 1.2 million people. Timor-Leste was a Portuguese colony for more than 450 years, and was under Indonesian military occupation for 25 years. Approximately 75% of the country's development infrastructures were destroyed prior to the Indonesian military withdrawal. In 1999, the people of Timor-Leste overwhelmingly voted for independence in a UN supported referendum. At the 20th meeting of the UN General Assembly on September 27th 2002, Timor-Leste was formally recognized by the International community as the newest independent country and became the 191st member state of the UN<sup>45</sup>.

The national economy is still based on oil production. Oil revenues provide 90% of the gross domestic product (GDP). Coffee is the country's second largest export. The tourism industry currently ranks as the third largest sector. Every year the Government of Timor-Leste invests billions from its Sovereign Wealth Fund to finance the government's program. In spite of these efforts, many challenges remain in terms of poverty (Table 5 Sources: Timor-Leste Population and Housing Census 2015)<sup>46</sup>

Table 5. Main social indicators	
Population distribution by sex and edge	Urban population: 34% of total population (2017) <u>Death rate</u> : 5.9 deaths/1,000 population (2017 est.)
	Drinking Water Source Improved: <ul style="list-style-type: none"> <li>Urban: 95.2% of population</li> <li>Rural: 60.5% of population</li> <li>Total: 71.9% of population</li> </ul> Drinking Water unimproved: <ul style="list-style-type: none"> <li>Urban: 4.8% of population</li> <li>Rural: 39.5% of population</li> <li>Total: 28.1% of population (2015 est.)</li> </ul>
	<u>Sanitation facility access: improved</u> : <ul style="list-style-type: none"> <li>Urban 69% of population</li> <li>Rural 26.8% of population</li> <li>Total: 40.6% of population</li> </ul> Sanitation Facility unimproved: <ul style="list-style-type: none"> <li>Urban: 31% of population</li> <li>Rural: 73.2% of population</li> <li>Total: 59.4% of population (2015 est.)</li> </ul>

<sup>45</sup> <https://www.un.org/press/en/2002/ga10069.doc.htm>

<sup>46</sup> <https://timor-leste.unfpa.org/sites/default/files/pub-pdf/2015%20Census%20Gender%20Dimensions%20Analytical%20Report.pdf>

<p><b>Telecommunications.</b> The total number of fixed phones landlines is 3,000 and the total number of mobile cellular is 103,000 (as of June 2008). There is no broadband or ADSL service. Timor Telecom offers mobile GSM services covering approximately 92% of the population, 100% of the districts, and 57% of the sub-districts. International service is available in major urban centers, but not much elsewhere. As of 2015, 13.4% of the population was connected to the internet with the vast majority of users using cellular internet. Approximately 94% of the population has access cellular phones and internet services.</p>	<p><b>Literacy:</b> definition: age 15 and over can read and write</p> <ul style="list-style-type: none"> <li>• Total population: 67.5%</li> <li>• Male: 71.5%</li> <li>• Female: 63.4% (2015 est.)</li> </ul> <p>Electricity access:</p> <ul style="list-style-type: none"> <li>• Population without electricity: 744,032</li> <li>• Electrification - total population: 42%</li> <li>• Electrification - urban areas: 78%</li> <li>• Electrification - rural areas: 27% (2012)</li> </ul>
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Approximately 75% of the population lives in rural areas; almost 80% of the rural population depends on subsistence farming and the collection of wild food products and traditional medicines; the animals are very much left free to grow and reproduce. Only 30% of arable land is in use and industrialized based farming is non-existing. Particularly, the degradation of natural resources, due to human activity and climate change impact on ecosystems, is affecting both high and low lands including coastal and marine areas. Degradation processes such as erosion, eutrophication, pollution and sedimentation, will impact the ecosystem further impacting food security, fresh water and soil protection.

Climate change jointly with non-sustainable productive practices and non-suitable land-use will continue to challenge human and ecosystems' security. The impacts are likely to be particularly acute in the coastal regions where sea surges, coastal flooding, prolonged submersions, erosion, and long-term sea-level rise undermine land productivity, exposing over 600,000 people living in coastal and lowland areas to increasing losses and damages related to climate hazards.

Rapid population growth and migration to the coastal area in search of livelihood opportunities, have resulted in informal settlements, putting pressure on fishing, particularly along the northern coast, but also along the southern coast of the country, exposing coastal communities to climate related hazards.

While there is an ongoing effort to protect coastal communities and provide alternative income generation activities, it falls short because financial/human resources are not sufficient to cover the entire country and communities are not engaged in this task. The existing vacuum in spatial planning (laws and plans) and in land tenure, hinders community interest in maintaining this common good. Furthermore, employment and income generation potential, associated to climate change, protection and sustainable management, has not been explored as part of government programmes, Suco development plans and investments or public-private partnership initiatives.

### 3.2 Problems that the project sought to address: threats and barriers targeted

The project intervention aims to address the following priority transboundary environmental challenges identified by the TDA:

- (1) Unsustainable fisheries and decline and loss of living coastal and marine resources;
- (2) Modification, degradation, and loss of coastal and marine habitats;

- (3) Marine and land-based pollution;
- (4) Decline and loss of threatened and migratory species; and
- (5) Impacts of climate change on the ATS, by removing the key barriers to sustainable management of the ATS

### 3.3 Project Strategy

As described in the Project Document (PRODOC) and Project Implementation Review (PIR) 2019, the United Nations Development Programme (UNDP) in collaboration with the Ministry of Agriculture and Fisheries (MAF) are implementing the “The Arafura and Timor Seas Regional and National Strategic Action Programs Phase II (ATSEA-2)” project. Its aim is “to promote sustainable development of the Arafura-Timor Seas region to improve the quality of life of its inhabitants through restoration, conservation and sustainable management of marine-coastal ecosystems”.

**Project Objectives:** “to promote sustainable development of the Arafura-Timor Seas region to improve the quality of life of its inhabitants through restoration, conservation and sustainable management of marine-coastal ecosystems” including in Timor-Leste through the following ATSEA-2 components:

- Component 1: Regional, national and local governance for large marine ecosystem (LME) management
- Component 2: Improving LME carrying capacity to sustain provisioning, regulating and supporting ecosystem services
- Component 3: Knowledge management

The ATSEA-2 project also corresponds to Timor-Leste 2015-2019 program: Outcome 1. People of Timor-Leste, especially the most disadvantaged groups, benefit from inclusive and responsive quality health, education and other social services, and are more resilient to disasters and the impacts of climate change.

The Project implementation targets five municipalities in Timor-Leste: Lautem, Viqueque Covalima, Manuhafi, and Manatuto.

As part of the MTR in TL, the following sites were visited by the MTR national consultant.

**Table 6. Project sites visited by MTR team.**

Table 6. Project Site Selected					
Project Site	Lautem and Lorehe	Viqueque Vila	Barique	Same	Betano
Municipality	Lautem	Viqueque	Manatuto	Manufahi	Suai
Community Group			Women Group		Women Groups

### 3.4 Project Implementation Arrangements

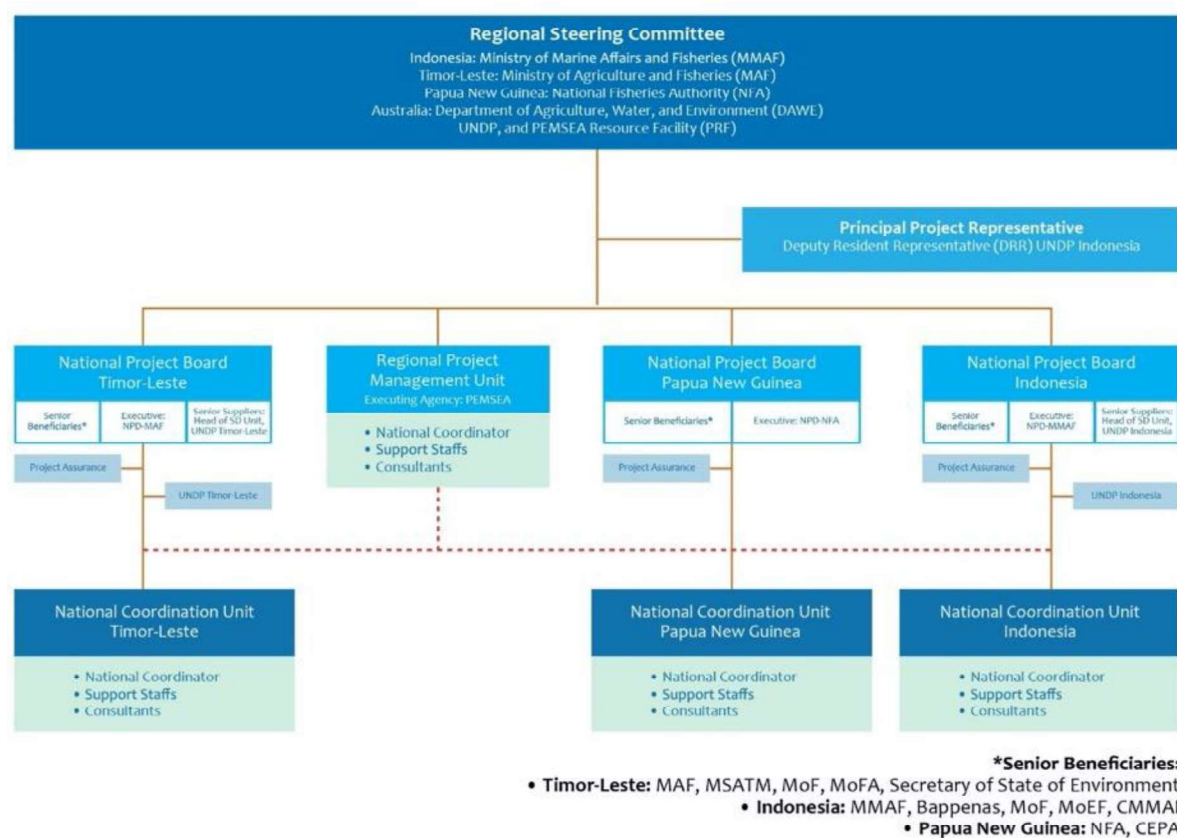
The ATSEA-2 Project is executed following the national implementation modality (NIM), in collaboration with MAF, municipality sector offices, authorities, community, local NGOs and CBOs. As described in the PRODOC, the regional or overall aspect of the project is coordinated by the Regional Project Management Unit (RPMU) based in Bali Indonesia. The RPMU coordinates with the National Coordination Units (NCUs) in each ATS country who coordinates day to day implementation of the project at the country level. UNDP Regional and Headquarters' high experts team monitor the financial flow and implementation of the project planned activities, as well of UNDP and GEF rules and regulations and provide technical advice and guidance to achieve the project's set goals. On the other hand, GEF, the donor, strictly monitors financial use, reporting and achievement of project target objectives.

UNDP Timor-Leste is the GEF implementing agency for the Timor-Leste component, and PEMSEA Resources Facility serves as the executing agency for the regional and PNG component of the Project and supports the RPMU in its functions. The MAF is the Timor-Leste national implementing partner.

National project board of the ATSEA-2 Project for Timor-Leste component is comprised of the lead governmental agency (MAF), national planning/development agency, and UNDP Timor-Leste. For the details, see Figure 2.

The ATSEA-2 NCU is composed of a National Coordinator, Finance and Operation Officer, two Field Coordinators (5 municipalities), and Marine Fishery Specialist and a Driver. In addition, experts are hired on consultancy basis to support the NCU in the implementation of the project. Moreover, a team of experts from MAF, the National Directorates of Fisheries, Forestry, etc. support project implementations and periodic monitoring.

The following is the Project's operational structure:

**Figure 2. ATSEA-2 organizational structure**

### 3.5 Project timing and milestones

Key project's milestones	Date
Project Identification Form (PIF) Approval: - UNDP-GEF - MAF Timor-Leste	8 August 2014 28 August 2014
Local Project Appraisal Committee Meeting (LPAC)	24 November 2017
Planned Start of the Project	June 2018
Project Document Signature Timor-Leste	March 5, 2019
Project Kick-Off meeting/Inception Meetings	December 2019
Timor-Leste National Coordination Unit Installation	7 October 2019
Planned End Date of the Project - Operational Closed Date	June 2024
Planned Midterm Review	18 April-5 August 2022

Actual Midterm Review	27 April 2022-05 August 2022
- Inception Report Submission	06 May 2022
- MTR Mission and Site Visits	12-30 May 2022
- Mission Wrap-up and Initial Findings	03 June 2022
- MTR Report Review Process	27 June-08 July 2022
- Audit Trail and Creation of Final MTR Report	20 July 2022
- Management Responses	21-27 July 2022
Planned Terminal Evaluation	10 March 2024
Original Planned Closing Date	June 2024
Revised Closing Date	

### 3.6 Main stakeholders: summary list

- Ministry of Agriculture and Fishery (MAF)
- Secretary of State for Environment (SSE)
- Ministry of Planning and Strategic Investment (MPSI)
- Ministry of Public Works,
- Ministry of Social Solidarity (MSS)
- Ministry of Tourism, Art and Culture (MTAC)
- Universidade Nacional de Timor-Leste (UNTL)

## 4. FINDINGS

### 4.1 Project Strategy

The MTR team conducted an analysis of the design of the project, as outlined in the Project Document, and assessed whether the project strategy is proving to be effective in reaching the desired results. In doing so, the evaluators judged the extent to which the project addresses country priorities and is country driven. Furthermore, the evaluators assessed the extent to which the project objectives are consistent with the priorities and objectives of the GEF.

#### Project Design and Relevance

1. The project was designed with a very high sense of responsibility with respect to the development challenges and risk of climate change that Timor-Leste is experiencing; while at the same time, providing a core contribution to national priorities (NAPA) and to fulfil Timor-Leste's international commitment toward adaptation to climate change (Paris Agreement), Disaster Risk Reduction (Sendai Framework) and SDGs.
2. Identified problems exhaustively listed in accurate fashion; all of these problems are relevant for several GEF fields of actions: Climate Change, biodiversity, land degradation, international waters, chemical and waste. However, an important part of the described problems is not well formulated in terms of RBM approach, assuming in their description a pre-conceived solution beforehand.

3. The MTR has not detected significant changes in the context that may alter the process to achieving the project's results as outlined in the PRODOC.
4. Given the analysis about how the project seeks to address the problems related to ICM and its environmental services, targeting structural causes and dynamic pressures, MTR observed a high relevance of project strategy and high coherence with the international priorities related to UNFCCC and UNCCD, national climate change framework and GEF field of actions. Timor-Leste is a young nation, the project relevance increases its importance in terms of enhancing capacity building related to Integrated Coastal Management, at both national and local scales.
5. The MTR found that project strategy provides an effective concept-route towards expected results and impacts; however, when the strategy is implemented during the COVID 19 pandemic, the strategy has partial loss of its effectiveness towards expected results and impacts in the long run or post ATSEA-2.
6. The MTR found that lessons from other relevant projects were incorporated in project design, such as:
  - UNDP-LDCF projects “Strengthening Community Resilience to Climate-induced disasters
  - LDCF-funded Community- based Adaptation to Climate Change through EAFM, ICM and alternative livelihoods project for community has provided additional income and established a natural protection barrier centered on some of Timor-Leste’s most vulnerable communities.
6. The MTR found that the project addressed the country priorities and link with national priorities described in PRODOC; identifying the country ownership and particularly over national sector priorities and plans:
  - Decree-Law no. 05/2016 – National System of Protected Areas. This Decree-Law establishes the necessary legal instruments for the protection of sensitive ecological areas in Timor-Leste and their categorization.
  - Priority Strategy 2 of the National Biodiversity Strategy and Action Plan of Timor-Leste (NBSAP) 2011-2020 seeks to protect biodiversity and promote sustainable use, which focuses on a) rehabilitation activities in critical watersheds and degraded lands, and b) sustainable livelihoods for local communities through ecosystem restoration activities.
7. The MTR observed that consultation method was applied during the project design to gather information from the people affected by project decisions and outcomes. However, consultations were not an active participative decision making, especially concerning issues related to livelihoods and sustainable development in the context of climate change.

#### Results Framework/Log frame

8. Some indicators and end-of-project targets were found insufficient signposts toward the outcome and target achievement. Even though all indicators and end-of-project targets will be achieved, the outcome will not make much "dent" as expected to mobilize elements of sustainability and impacts. However, and although insufficient, the indicators and end-of-project targets described in the PRODOC LogFrame are specific and depict in part, the change it wants to achieve. In addition, these are clearly measurable and achievable; has well specified targets at the end of project in a

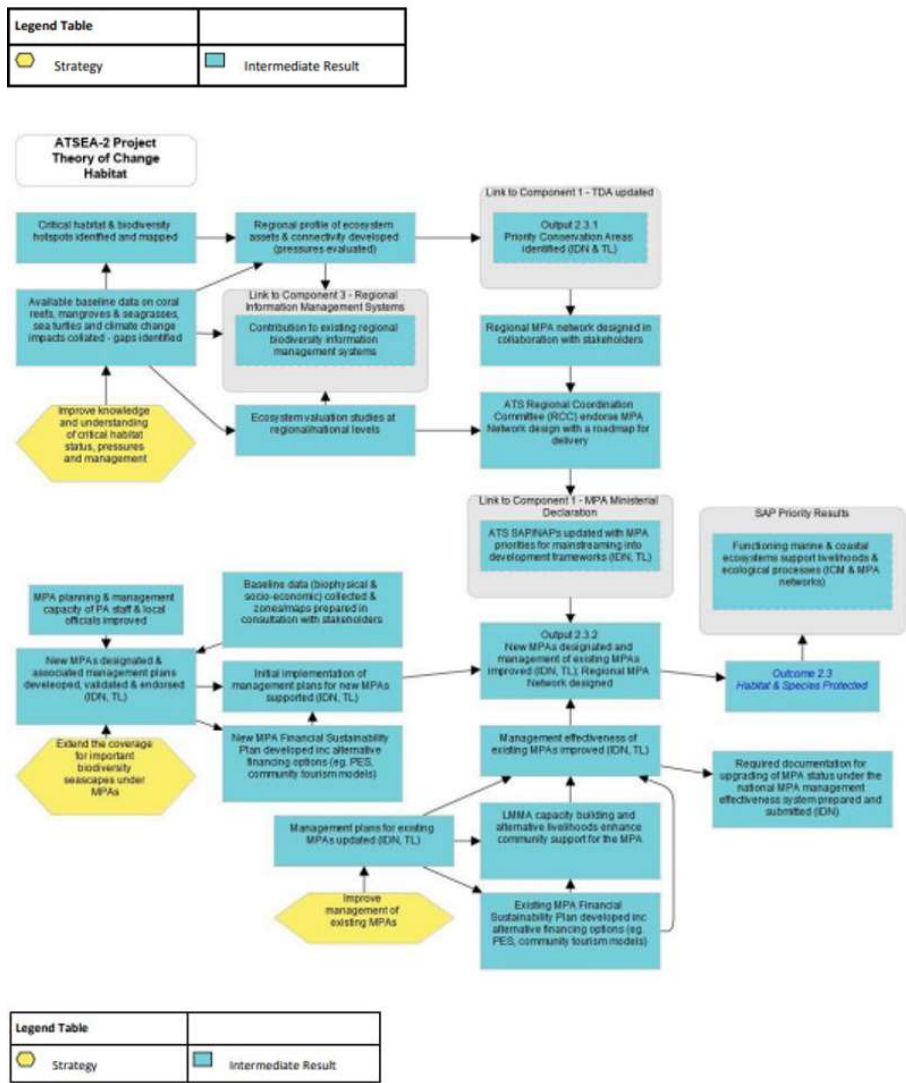
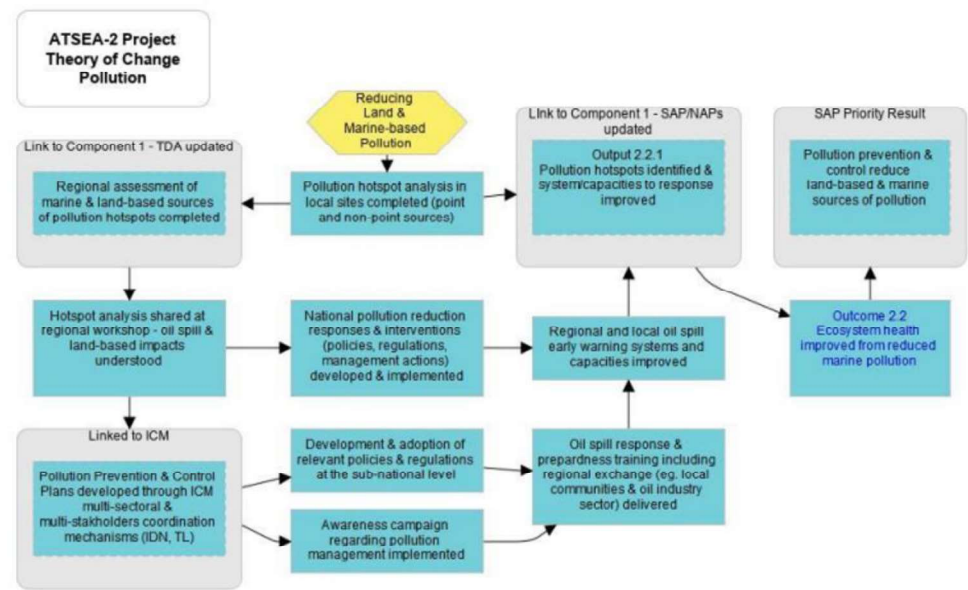
time-bound manner. But it is important to highlight that their relevance is insufficient to signpost the pathway toward the outcome achievement.

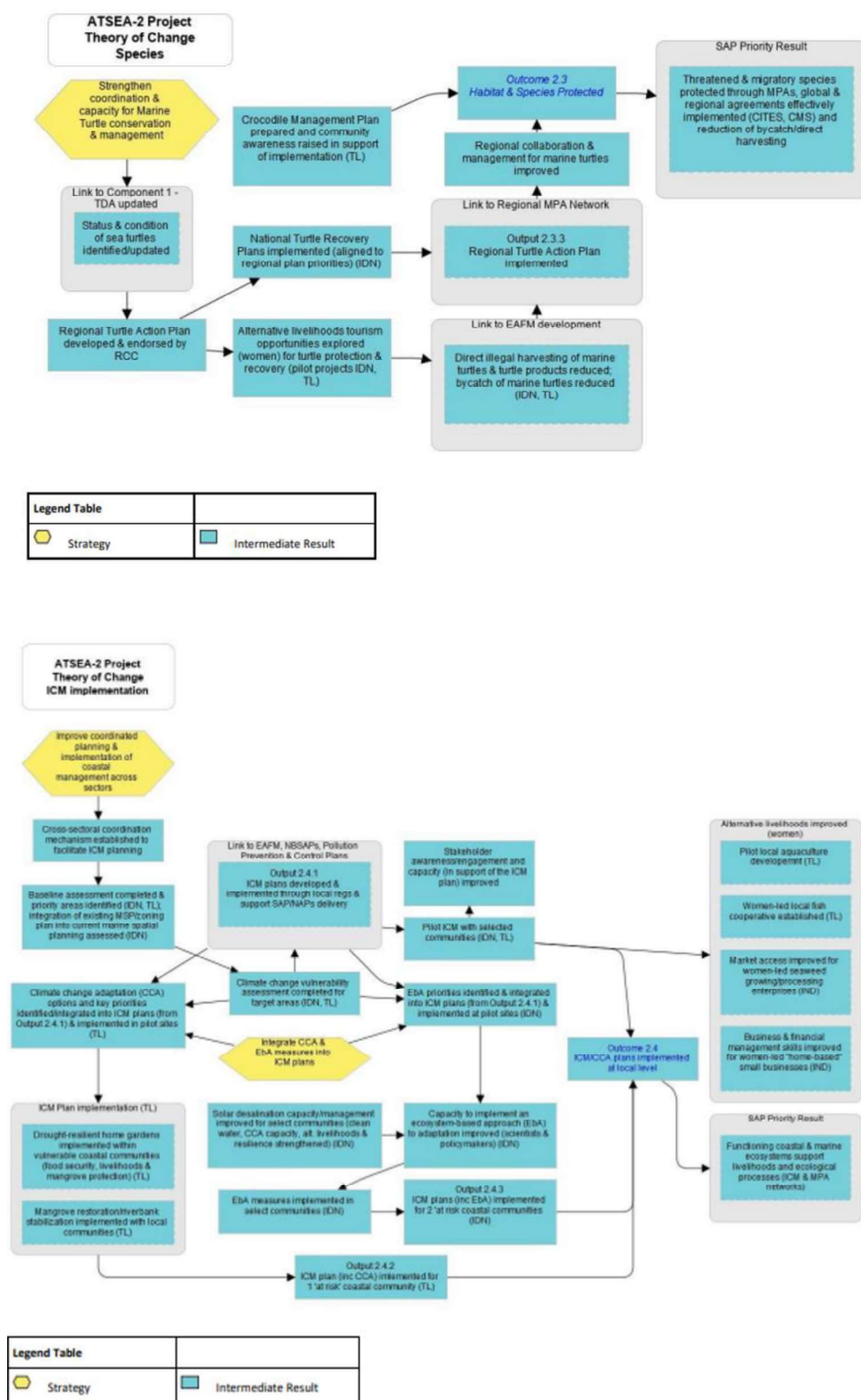
9. Project objective and outcomes are clear, practical, and feasible within its time frame.
10. The progress so far, has the potential to lead beneficial development effects, such as reinforce income generation, productive diversification, gender equality and women's empowerment, that should be included in the project results framework and monitored on an annual basis. In this line and in order to ensure broader development and gender aspects of the project are being monitored effectively, MTR have suggested SMART 'development' indicators, including sex-disaggregated indicators and indicators that capture development benefits level in the "recommendations section".
11. Project management included gender into the project monitoring and evaluation system, and included in its PAR, PIR and monitoring annual plan.
12. MTR found two indicators clearly drive to disaggregate data by sex, but there not exist tools to disaggregate data by age and by socio-economic group or any other socially significant category in society (e.g. by vulnerability level).
13. In addition, MTR found that in project's results framework have set up two end of project target that clearly driving to disaggregating data by sex, in order to facilitate gender balanced activities (e.g. observe quotas for male and female participation).
14. However, MTR has not found how disaggregating data by sex is being used by the project's team to provide a more contextual understanding of the needs, access conditions and potential for the empowerment of women, girls and men and boys.

### Theory of Change

15. It should be noted that the ATSEA-2 project was designed at the time when Theories of Change (ToCs) are not yet required in GEF projects. The RSC meeting in 2020, however, recognized the value of a ToC and recommended for ATSEA-2 to undertake a ToC exercise. The ToC document which covered a ToC for the SAP and ToC for the ATSEA-2 project was further subdivided into per project Component ToCs to be show causal links from issues to desired outcomes. Diagrams a-f below are the ATSEA-2 project component ToCs relevant to Timor-Leste:







**Diagram 1.** ATSEA-2 Project Theory of Change (Results Chain) relevant to Timor-Leste component: (a) Component 1: Governance, (b) Fisheries, (c) Marine pollution, (d) Habitat, (e) Species, and (f) ICM.

## Mid-Term Review Gender and Women Empowerment

16. The MTR found that women are actively involved in the livelihood project activities., particularly leadership role in leading most of the alternative income generation activities supported by the project such as: developing recycling business activities and tree planting activities , seaweed soap business in Betano, however, COVID-19 pandemic also impacted their activities. Establishment of a women-led cooperative for the sale of local fish as well other livelihood activities further shows a positive gesture being done by the project to enhance it's commitment to mainstreaming gender into its activities.

## Covid-19 pandemic and natural disaster

17. The MTR found that the project adopted a New Normal Project Management Plan in early 2020 to assess the COVID 19 pandemic which have impacted the whole project implementation and and from there created agile strategies in Timor-Leste components.

## 4.2. Progress Towards Results

By reviewing the log-frame indicators against progress towards the end-of-project targets, MTR has assigned a rating on progress for each outcome.

**TABLE 7: Progress Toward Outcome Analysis**

Objective: To enhance sustainable development of the Arafura-Timor Seas (ATS) region to protect biodiversity and improved the quality of life of its inhabitants through conservation and sustainable management of marine-coastal ecosystems (as indicated in the SAP).						
Indicator	Baseline Level	Level in 2 <sup>nd</sup> PIR (self-reported) (2019 to July 2021)	End-of-project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating
Landscapes and seascapes under improved biodiversity management 55,660.	0	<p>To date, 44% of target has been achieved vis-à-vis end of project target.</p> <p>Establishment of new MPA in Timor-Leste is ongoing.</p> <p>Timor-Leste, efforts have also been initiated to help strengthen management effectiveness in selected MPAs in Nino Konis Santana National Park, Timor Leste.</p>	<p>800,000 ha (Note: this is for entire project).</p> <p>TL Target based on the ProDoc (Total target for TL is 145,660 ha):</p> <p>a. Establish new MPA in Betano-Kiakuk (90,000ha); and</p> <p>b. Support strengthening of management effectiveness of existing MPA in NKS (55,660 ha)</p>	Based on initial assessment completed in Betano, the coverage is at 20,906ha only (with 2 nautical miles outer boundary), which is lower than the ProDoc target of 90,000ha. While support to NKS and coverage remains the same.	MS	<p>The designation of a new MPA still undergoes several processes. The coverage of the new MPA is below the targeted MPA stipulated in the Prodoc. Possible alteration of MPA coverage or area is still being discussed based on the result of the boundary mapping done in the area.</p> <p><b>Overall Barriers that may impact in various aspects of project implementation in TL:</b></p> <p>&gt;Time-consuming administrative procurement (service and goods) and human resources procedures by the UNDP Timor-Leste, leading to the delayed implementation of activities;</p> <p>&gt;Language barriers for implementing community involvement in the project particularly community members with low educational background and limited understanding/</p>

									knowledge about climate change; >Upcoming Parliamentary election in 2023 and change in governmental restructures and transitions in MAF Timor-Leste; >Covid 19 pandemic still considered to hamper the project activities' implementation.
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OUTCOME 1.1: REGIONAL AND NATIONAL MECHANISMS FOR COOPERATION IN PLACE AND OPERATIONAL							
Indicator	Baseline Level	Level in 2 <sup>nd</sup> PIR (self-reported) (2019 to July 2021)	End-of-project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating	Remaining Barriers
INDICATOR: Regional Governance Mechanism	In formal cooperation under ATSEF, and conceptualization of ATS governance mechanism outlined in Ministerial Declaration	<p>The regional governance mechanism assessed and will be completed and will undergo further country consultations as part of consensus building process on most viable regional mechanism for ATS region.</p> <p>In relation to this, the Stakeholder Partnership Forum (SPF) draft TOR and Guidelines have also been completed and will also undergo further country consultations; identification of SPF members at country level have also been initiated. Formal SPF is expected to convene before end of 2021.</p>	Regional governance mechanism established and functioning with at least 2 of 4 countries contributing dues	<p>Interim Regional Coordination Committee (2019)</p> <p>Regional Governance Assessment (June - September 2021)</p> <p>Guidance Document on RGM (June 2021)</p> <p>SPF consultation meeting (December 2021)</p> <p>National consultation meetings</p>	<b>NOTE: Rated at the regional report (No specific target for TL)</b>	<p>RGM establishment process is ongoing</p> <p>Timor-Leste has contributed in the discussions and consultations related to the RGM and SPF process</p>	

National Inter-Ministerial Committee (NIMCs)	NIMCs loosely formed, with no clear mandate for ATS priority concerns	40% of the target has been achieved (2 out of 3 NIMCs established) and legalization/formalization ongoing. NIMCs established in Timor-Leste and Papua New Guinea.	NIMCs established, functioning and formalized, legal and/or institutional arrangements in each of the three beneficiary countries (Note: 1 NIMC targeted to be established in TL)	Discussion on the role and structure of the Timor-Leste National Inter-Ministerial Committees (NIMC) conducted (March 20, 2020). Three NPB Meeting conducted (Dec. 16, 2019 and Nov. 30, 2020, and Nov 26, 2021 Dili) and approved AWP and Budget. NPB meeting in 2020 highlighted the need for NIMC to be endorsed by MAF in 2021 (tentative) through a Ministerial diploma and with SPF inclusion. NIMC established on June 16th 2022 during the process of Mid Term Review Report, and NIMC is in its early state and is yet to function effectively.	HS	NIMC in TL established; full operationalization in 2022	The 2023 coming general election highly likely to have change in government which can affect the work of NIMC that automatically will impact on the effectiveness of the NIMC once new government is installed.
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SAP implementation finance secured by governments and development partners	0	Review of various related regional entities and their financial mechanisms developed in support of the ongoing regional Financial Landscape Assessment.  The full assessment is targeted for review at 3rd RSC Meeting by end of 2021 and will feed to subsequent development of 5-year cost estimate and financial plan for the updated SAP.	25% (Regional target)	Financial Landscape Assessment draft completed and undergoing review	<b>NOTE: This is rated at the regional report</b>	For TL, the updated information is only about the co-financing delivery from MAF in support of ATSEA-2	N/A
OUTCOME 1.2: STRENGTHENED INSTITUTIONAL AND HUMAN RESOURCE CAPACITY TOWARDS INTEGRATED APPROACHES IN NATURAL RESOURCE MANAGEMENT AND BIODIVERSITY CONSERVATION							
<b>Indicator</b>	<b>Baseline Level</b>	<b>Level in 2<sup>nd</sup> PIR (self-reported) (2019 to July 2021)</b>	<b>End-of-project Target</b>	<b>Midterm Level &amp; Assessment</b>	<b>Achievement Rating</b>	<b>Justification for Rating</b>	<b>Remaining Barriers</b>

Number of local regulations issued to support implementation of NAP that reflect regional harmonization of national and subnational policies	Priority actions in the NAPs are not mainstreamed in national and local policy and programming frameworks	35% of target has been achieved.  In Timor-Leste, an Official Order issued by the Municipal Administrator of Manatuto Municipality formally launched the ICM Sub Task Team in PA Barique and signed a declaration of commitment to the implementation process of the formulated plan	Timor-Leste: Two local regulations issued to support implementation of NAP	1 local regulation achieved related to ICM sub task team establishment in support of ICM implementation  Pending regulation is in support of new MPA to be established in Betano.	MS	1 local regulation issued to support the implementation of ICM	Lack of human resources and limited local financial capacity may hinder the implementation of the regulation effectively
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Knowledge transferred from capacitated trainers to resource beneficiaries	Limited local knowledge on integrated approaches	100% of target achieved in Timor-Leste, Data on recorded project resource beneficiaries that have been capacitated under various capacity building initiatives: 148 in Timor-Leste (exceeded end of project target);	Timor-Leste: 60 resource beneficiaries receive training on integrated approaches from the capacitated trainers	308 (200 Men, 108 Women) beneficiaries as of June 2022. This covers: IUU Fishing Vessel Identification Method and other surveillance measure and safety at sea (2020); EAFM survey (2021); Management of point and non-point source of pollution (2021); Plastic waste recycling and alternative livelihood (2021); Environmental and Aquaculture Engineering; Fresh Water Fish Farming (Tilapia); Natural Fish Food Organisms; Fish Nutrition's for Human; Rearing Freshwater Shrimps; Water Quality Management (2021); Seafoods processing, boat machine repair and button longline fishing skills (2021); Basic cooperatives (2022)	HS	The number of beneficiaries of the Project exceeds the expected end-of-project target. Total of 308 beneficiaries, 200 men and 108 women.	N/A
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OUTCOME 1.4: UPDATED TRANSBOUNDARY DIAGNOSTIC ANALYSIS (TDA), STRATEGIC ACTION PROGRAM (SAP), AND NATIONAL ACTION PROGRAM (NAPS)							
Indicator	Baseline Level	Level in 2 <sup>nd</sup> PIR (self-reported) (2019 to July 2021)	End-of-project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating	Remaining Barriers
<p>Proportion of countries that are implementing specific measures from the SAP</p> <p>SUPPORTING ACTIVITY TARGETS IN TL: 1.4.3-4. Renew the ATS NAP for Timor Leste in response to the updated ATS SAP.</p> <p>1.4.3-5. Validate the renewed Timor Leste NAP through a special session with the NIMC and the national project board. Following validation, the NAP is endorsed by the national project board and NIMC.</p> <p>1.4.3-6. Facilitate stakeholder consultations with the NIMC and national and local authorities, advocating for inclusion of specific actions included in the ATS NAP into</p>	0	<p>In line with ATSEA-2 Project implementation, activities in support of NAPs (Indonesia and Timor-Leste) and SAP have initiated since the commencement of the project in 2019.</p> <p>TIMOR-LESTE: Implementation of activities related to NAP under the ATSEA-2 Project started in 2020 (following the inception workshop in December 2019). During the Inception Workshop, the Ministry of Agriculture and Fisheries (MAF) committed to align the National Oceans Policy and National Fishery Strategic Plan with priority action of the SAP and the NAP. Updating of NAP is targeted once the updated</p>	<p>Timor-Leste: Priority actions under ATS NAP mainstreamed into national development programs and budgets</p>	<p>In relation to TDA updating, TDA updating team in TL in place and desktop review initiated. NWG for TDA updating in place and oriented.</p>	MS	<p>Timor-Leste: The current activities being implemented under ATSEA-2 reflect the original NAP implementation</p>	N/A

national development planning and budgetary frameworks.		TDA and SAP are completed						
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OUTCOME 2.1: IMPROVED MANAGEMENT OF FISHERIES AND OTHER COASTAL RESOURCES FOR LIVELIHOODS, NUTRITION AND ECOSYSTEM HEALTH IN INDONESIA, TIMOR-LESTE, AND PAPUA NEW GUINEA							
Indicator	Baseline Level	Level in 2 <sup>nd</sup> PIR (self-reported) (2019 to July 2021)	End-of-project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating	Remaining Barriers

Number of management plans and appropriate measures implemented for rebuilding or protecting fish stocks including alternative management approaches	0	35% of target has been achieved (focused on the development of plans so far; implementation aspects of the plan are yet to be initiated).	5 ( for the regional/overall target) For Timor-Leste: 1 EAFM Plan for Red Snapper in Viqueque	Stock and value chain assessments for the Red Snapper fishery completed.  The red snapper fishery EAFM plan completed. - National Fisheries Advisory Committee. A draft TORs towards the establishment of the committee is being developed.  LoA signed with MAF to implement a Livelihoods Program (June- September 2022) for Coastal Communities adjacent to NKS National Park - Sucu Lorehe-I (Lautem) through the installation of two Fish Aggregating Devices (FAD/RUMPON) to improve economic viability of fishers.  The programme will benefit Fishers Group of 40 people (30 Male and 10 Female) in Horalata; and one fishers Group of 40 members (30 Male and 10 Female) in Vailana	MS	EAFM plan completed and it is covering 4 municipalities in the South Coast of Timor-Leste, not just Viqueque. Roll out of the plan is already to be initiated.	N/A
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Improved use of fish gear/techniques Supporting Output/Activity in TL: Output 2.1.3 Regional and national actions strengthened in support of the Regional Plan of Action for Responsible Fishing Practices Including Combating IUU Fishing in the Region and the Indonesian Presidential Task Force on Combating Illegal Fishing, e.g., through better surveillance, enforcement, and monitoring, resulting in a further reduction of IUU fishing in the ATS by 10%, around 150,000 tons	South Coast, Timor-Leste: 150 registered vessels in the south coast municipalities.	In Timor-Leste, training on IUU fishing vessel identification and methods have been carried out.	South Coast, Timor-Leste: 50% of the vessels within the mackerel fishery using improved gear/techniques.	Training for Fisheries on IUU Fishing Vessel Identification Method and other surveillance measure and safety at sea conducted for Municipalities of Viqueque, Manufahi and Covalima (Dec. 2020) MAF is also implementing a program to improve fish gear/techniques (which includes specification of maximum number of people per group per small fishing vessels)	MS	Training for Fisheries on IUU Fishing Vessel Identification Method and other surveillance measure and safety at sea conducted for Municipalities of Viqueque, Manufahi and Covalima (Dec. 2020). Despite the training field evidence suggest that the fishermen have not been successful in preventing IUU in the Timor Sea and that there is ineffective coordination line between the Timor-Leste Navy, Maritime Police and local coastal community. Development, socialization and training related to EAFM and FIP for Timor-Leste to improved use guidance for fish gears and techniques. Activities related to socialization and trainings on the improved use of	N/A
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							fish gears were undertaken but there is no information on the number of registered fishing vessels in beneficiary municipality.	
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OUTCOME 2.2: REDUCED MARINE POLLUTION IMPROVES ECOSYSTEM HEALTH IN COASTAL/ MARINE HOTSPOTS IN THE ARAFURA AND TIMOR SEAS							
Indicator	Baseline Level	Level in 2 <sup>nd</sup> PIR (self-reported) (2019 to July 2021)	End-of-project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating	Remaining Barriers
Strengthened oil spill response systems and capacities	Oil and gas development is expanding in the ATS region, but local communities lack awareness and capacity to respond to marine pollution incidents	20% of target has been achieved. The ATSEA-2 focuses on 2 areas (a) marine debris, and (b) oil spill. Regional assessment on marine and land-based pollution and hotspot analysis has been completed, including the conduct of a Regional Webinar on Marine and	Oil spill early response systems and procedures are included in the ICM plans of Municipio Manatuto in Timor-Leste	Marine Pollution Hotspot Analysis on the Southern Coast was finalized in 2021. The study summarizes recent developments in waste reduction and management in Timor-Leste and outlines the main gaps in treaties, legislation, regulations, and enforcement. A community workshop (with 47 participants) led by	HS	Target pollution assessment completed for South Coast. Point and non-point sources of pollution and action program integrated in ICM Plan in Barique. Roll out of plan is expected from 2022 onwards.	N/A



				and other stakeholders. A concept note towards the organization of a six (6) days training on oil spill preparedness in Betanu and Suai has been finalized and shared with the Ministry of Petroleum and ANPM (National Agency of Mineral and Petroleum) who have already accepted to facilitate the training from 18-22 July 2022 in Betano and from 25- 29 July 2022 in Suai Municipality.			
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OUTCOME 2.3: COASTAL AND MARINE BIODIVERSITY CONSERVED THROUGH PROTECTION OF HABITATS AND SPECIES						
Indicator	Baseline Level	Level in 2 <sup>nd</sup> PIR (self-reported) (2019 to July 2021)	End-of-project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating
						Remaining Barriers

Protected area management effectiveness score	Timor-Leste: NKS MPA METT: 24	NOTE: METT scores to be reported in next PIRs, focus for 2019-2021 was mainly on baseline assessment and profiling.  In line with the ATSEA-2 targets on biodiversity conservation, this section covers the following key accomplishments: completion of updated baseline data/profile of key marine ecosystems in ATS and ecosystem valuation; completed MPA Network Design and proposed roadmap for new MPAs;	Timor-Leste: NKS MPA METT: 50	Stakeholder consultation meeting for new MPA concept in Manufahi conducted in Dec, 10 2020  A Marine Rapid Assessment (MRA)/coastal ecological and socio-economic surveys were conducted in Manufahi coastal areas from 8 – 17 March 2022 by the CTC team  A draft socio-economic, biophysical, and sustainable financing plan report (for Manufahi and Nino Konis Santana MPAs) has been produced.  The CTC team and consultants have already undertaken field visits to Nino Koni Santana (NKS) MPA to do field observation, discuss and collect data from MPA management unit members and key stakeholders regarding status of management plan in the MPA  The draft of Training Need Analysis (TNA) questionnaires form has been agreed on and available to be used for collecting data from key stakeholders in Timor-Leste.	MS	In relation to the EOP on METT, assessment is targeted to be completed in 2022, following the field assessments and stakeholder have been conducted in NKS.	N/A
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Number of threatened species under enhanced protection	0	60% of the target achieved with the completion of a Draft Regional Plan of Action for the Enhanced Protection of Sea Turtles. A regional and consultations have been conducted and inputs accommodated. Timor-Leste is in the process of engaging consultant for target pilot project on community-based turtle conservation project.	1 (marine turtles).	On 18 August 2021, the Ministry of Agriculture and Fisheries (MAF) in collaboration with ATSEA-2 project, organized the release of 450 sea turtle hatchlings at Com Village in Nino Konis Santana National Park and raised awareness to 71 community members (45 men and 26 women) as one of the steps towards marine turtle conservation and promotion of community-based ecotourism. Consultations with the community/stakeholders (May 4-5, 2022) in Com, Lautem Municipality who pointed out a need for a sea turtle egg holding tank to facilitate the work by the women conservation groups towards protection of sea turtles. Reactivation of Tarabandu and improved awareness amongst the local communities towards conservation of sea turtles were also pointed out. TORs towards a call for proposals (Low Value Grants) targeting local conservation organizations to undertake activities related to sea turtles ' conservation following the priorities pointed out by the conservation groups during UNDP/MAF prior	(NOTE: This is rated at regional report as the EOP refers to regional target)	In support of this regional project target Timor-Leste has released 450 sea turtles. Support to sustainable alternative livelihoods has also been initiated in TL to help mitigate turtle harvesting and bycatch.	N/A
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				consultations is being developed.				
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OUTCOME 2.4 : INTEGRATED COASTAL MANAGEMENT, INCORPORATING CLIMATE CHANGE ADAPTATION CONSIDERATIONS, IMPLEMENTED AT THE LOCAL LEVEL TOWARDS MORE SUSTAINABLE USE AND CONSERVATION OF ECOSYSTEM GOODS AND SERVICES							
Indicator	Baseline Level	Level in 2 <sup>nd</sup> PIR (self- reported) (2019 to July 2021)	End-of-project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating	Remaining Barriers

Adoption and implementation of ICM plans and reforms to protect coastal zones in LMEs – Number of beneficiary countries adopting and applying ICM within ATS region	No coastal areas are currently under ICM. Timor-Leste is currently preparing ICM plans with support of PEMSEA.	In Timor-Leste, the ICM Sub Task Team in PA Barique has been established and the ICM Plan developed.	2 (1 ICM plan in Indonesia and 1 ICM plan in Timor-Leste)	Official Order establishing ICM Sub Task Team; Meetings related to ICM Sub Task Team conducted.  Baseline/biophysical and socio-economic assessment as well as a climate change vulnerability assessment for the target areas within Barique Posto Administrativo completed  ICM Strategic Implementation Plan for Post0 Administrative Barique developed.  A declaration of commitment signed on 7th January 2022 in Barique. Uma Boco Suco ICM plan was also developed as part of the general ICM plan for Barique Post Administrative. Over 254 people also benefited from activities related to piloting of the outcomes from the Worldfish feasibility study in the context of ICM plan development and implementation-	MS	ICM Strategic Implementation Plan has been adopted and implementation has initiated for Barique. Engagement of women-led cooperative for target project on alternative livelihood also initiated.	Lack of human resource and limited financial capacity may hinder the effective implementation of the plan
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Number of women and men supported with alternative livelihoods that contribute to improved management of natural resources and increased resilience of their local communities with respect to the impacts of climate change	0	This target is also linked with the above target on ICM. Part of ICM Plan (once completed and adopted) is the conduct of key sustainable initiatives. Initiatives related to alternative livelihoods have just started as provided below, and as such number of men and women supported will be part of subsequent PIR reporting in line with the roll-out of ICM plan and livelihood activities.	Total: 1500, including 850 women and 650 men (for overall project target; EOP not disaggregated at country level)	As of June 2022, in terms of livelihood capacities/support, for TL Timor-Leste a total of 154 were capacitated (67 men and 87 women) in relation to alternative livelihoods. This includes: training covering various aspects of aquaculture fishing was conducted in Lautem in 2021 and covered the following topics: Environmental and Aquaculture Engineering; Fresh Water Fish Farming (Tilapia); Natural Fish Food Organisms; Fish Nutrition's for Human; Rearing Freshwater Shrimps; Water Quality Management (Theory and Practice); Fish Disease; Fish Nutrition and Feed Formulation (Theory and Practice) 2) Training on plastic waste recycling conducted in Uma Boco Village, PA Barique in 2021. The training also provided ideas on possible alternative source of income from recycled products ( 22 community members capacitated)	MS	Number of men and women supported still low, but is expected to increase as the sustainable livelihood activities are fully rolled out.	N/A
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				financial management and accountability of the elected leadership of Tok Derek Women led cooperative done by SECOOP with support from UNDP on 20-24 June 2022—as part of the requirements towards formal/legal registration with the Ministry of Justice and subsequently contribute to ICM implementation and sustainability of activities.				
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Green. Completed, indicator shows successful achievements

Yellow. Indicator shows expected completion by the EOP

Red. Indicator shows poor achievement – unlikely to be completed by project closure

18. GEF Focal Area Tracking Tools (TT) for the respective GEF focal areas of International Waters and Biodiversity were prepared by the project team at the project inception and for the MTR; the latter using the GEF Core Indicator format as required for monitoring and reporting for GEF-6 projects <sup>47</sup>.
19. By reviewing the aspects of the project that have already been successful, actions were identified to further expand their derived benefits, which are described in section 5.2.

#### 4.2.1 Remaining Barriers to Achieve project Objectives

20. The ATSEA-2 Timor-Leste Component Project Management, identified several barriers that likely to impede the successful delivery of project end target as follows:
21. Time-consuming administrative procurement (service and goods) and human resources procedures by the UNDP Timor-Leste, leading to the delayed implementation of activities;
22. Language barriers for implementing community involvement in the project, particularly community members with low educational background who has limited understanding or knowledge about climate change;
23. Upcoming Parliamentary elections in 2023 and change in governmental structures and transitions in MAF Timor-Leste;
24. Covid-19 pandemic also considered to still hamper the project activities' implementation.

### 4.3 Project Implementation and Adaptive Management

#### Management Arrangements

25. Project responsibilities and reporting lines are clear, and decision-making is transparent and undertaken in timely fashion if field information is available, the content of this information must be communicated with more candour: e.g. there are situations that clearly indicate failure where local staff for field activities not actively present in the project site, which can affect the effective implementation of the project.
26. The project should ensure that local authorities and fishermen do not assume the constitutional responsibilities of the Law Enforcement; the F-FDTL Navy and Maritime Police. The operative modality, instructed to local government and fishermen about IUU and the line of instructions, oversee and reporting, are directly from PMU to the NGO and to the PMU, where the local authorities participating as formal figure but not as an authority with decision making capacity over the project execution in their communities. The adjustment of this kind of vision (which was good for the first phase of the project) take

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<sup>47</sup> Guidelines on Core Indicators and Sub-Indicators, GEF ME/GN/02 (March 2019)

high relevance in the second half of project execution, in order to assure that project's benefits will continue its development toward sustainability.

27. The project should review the participation of key members and ministries for involvement in Project Board, encouraging representatives from the Ministry of Tourism and Ministry of Defence and Maritime Police to have an active part. The Ministry of Tourism have identified some of the sites for development into tourist sites and the Ministry of Defence and Maritime Police has the mandate for protecting the Timor Sea and its surrounding.

### Work planning

28. The project was signed on March 5, 2019, ground implementation started on December 16, 2019, which affected the effective implementation of several project activities.
29. Furthermore, the COVID-19 pandemic was another problem impeding the implementation of the project at full capacity. The project design and work-planning are based on results-based management (RBM), ensuring high performance and the achievement that interventions are relevant, efficient, effective, and deliver impact on the results.

### Finance and co-finance

30. With respect to the project's financial management, with specific reference to the cost-effectiveness of interventions against progress made towards the end-of-project targets (Table 8 and 9), the MTR observed:

**Table 8: Allocation and disbursement of GEF funds-TL Component (as of 31 March 2022)**

Project Component	5-year Budget (US\$)	Expenditures (US\$)	%
Component 1	284,412.00	34,824.26	12%
Component 2	1,796,685.00	481,191.46	27%
Project Management	38,903.00	39,599.43	102%
<b>Total</b>	<b>2,120,000.00</b>	<b>564,868.15*</b>	<b>27%</b>

NOTE: \*Based on available TL CDR there an Expense of US\$9,253 was recorded under Component 3 but TL has no Component 3. The expenditure was added as part of the total as reflected in the table.

**Table 9. Co-finance Commitment for ATSEA-2 Project Timor-Leste Component**

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Co-financing amount confirmed at GEF CEO endorsement/approval	Investment Mobilized	Amount (\$)
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Recipient Government	Government of Timor-Leste, Ministry of Agriculture and Fisheries in collaboration with Partnerships in Environmental Management for the Seas of East Asia (PEMSEA)	Grant	N/A		100,000.0
Recipient Government	Government of Timor-Leste, Ministry of Agriculture and Fisheries in partnership with the Coral Triangle Initiative (CTI)	Grant	N/A		48,986.0
Recipient Government	Government of Timor-Leste, Ministry of Agriculture and Fisheries	In Kind	N/A	Recurrent Expenditure	1,431,240.0
Recipient Government	Government of Timor-Leste, Ministry of Agriculture and Fisheries	Grant	20,000,000	Recurrent Expenditure and Investment Funds Mobilized	17,549,308.03
<b>Total Co-financing</b>					<b>19,129,534.03</b>

26. The MTR found that co-financial commitments are monitored, reported or planned, setting up important constraints for the use of this information in strategic fashion to facilitate the outcomes achievement and for the project benefits to be sustainable.
27. Furthermore, MTR has observed that the project team does not meet with all co-financing partners regularly in order to align financing commitment priorities related to annual work plans.

### Project-level monitoring and evaluation systems

28. The monitoring plan provides basic information. The project-monitoring plan has left out the participation of institutional beneficiaries and communities in the M&E process. Given the RBM approach and from a Human Rights and Gender Equality approach (United Nations Evaluation Group, 2014), the process of Monitoring and Evaluation needs to be conducted also with the direct participation of involved beneficiaries in the following three ways: (i) data collection for monitoring and analysis, (ii) reporting and (iii) accountability. Ergo, project team needs to further improve capacity building and empowerment for beneficiaries community.

29. The MTR found that the monitoring planning is focused more on activities and outputs, and little focus on explaining the reasons why these activities are implemented and why the outputs are needed in relationship to the outcome. This was evident at local and community level; as such some people who were supposedly involved in local project activities have very little knowledge about the project.
30. The Monitoring does not collect data from households both receiving and not receiving livelihood support from the project - to assess the success of livelihoods support provided by the project. Livelihood project recipients have little understanding on as to how the project is supporting the improvement of their livelihoods in the long term.
31. The MTR found that the project adopted risk management during the peak of Covid-19 pandemic. The adaptive management successfully updated project progress, via virtual meetings and continuous engagement of stakeholders. Despite the COVID 19 pandemic, the project managed to implement project activities with minor complaints from implementing partners.

### Stakeholder engagement

32. The MTR found no evidence that the project has leveraged the appropriate partnerships with direct and tangential stakeholders, such as NGOs and important private businesses.
33. With regards to participation and government-involved processes: local and national government stakeholders are supporting the objectives of the project, however, stakeholder at local Suco level are requesting a more active role in project decision-making that supports efficient and effective project implementation foreseeing the sustainability of project benefits.
34. The MTR found that stakeholder involvement especially from the part of the government MAF and local community are positive and public awareness activities, so far, need to be improved quality wise to raise the commitment progress towards achievement of project objectives at Suco or local level.

### Social and Environmental Standards (Safeguards) (SES)

35. The MTR found that the project design was subject to a mandatory Social and Environmental Screening Procedure (SESP) to identify potential social and environmental risks and its impact. The SESP screens projects for all environmental and social risks and impacts associated with the Social and Environmental Standards (SES) and related programming principles including human rights-based approach; gender equality and women's empowerment; sustainability and resilience; and accountability) as well as project-level standards, including direct, indirect, cumulative, transboundary risks and impacts and those related to associated facilities.
36. The MTR found that the project adopted gender marker 2 to promote gender equality to recognise and ensure women involvement in the project. The project clearly includes gender quota in the project objective Outcome 1 on EAFM and on Outcome 2.4 on ICM and IUU. Moreover, the MTR field visit found that women are actively involved in livelihood project activities and that they have taken a leadership role particularly in most of the alternative livelihood income generation activities supported by the project, such as developing a

recycling business activities in Natarbora and tree planting activities, seaweed soap business in Betano, and establishment of a women-led cooperative for sale of local fish as well as in ecotourism. However, COVID-19 pandemic have also impacted their activities and are on a slow progress.

## Reporting

37. The ProDoc clearly outlines reporting line of responsibility. All activities are reported updated and progress are tracked including; monthly updates, quarterly progress reports, and quarterly PAR. The NCU renders inputs to the inputs for the ATSEA-2 annual progress report, inputs for the PIRs reporting. Key information arising from the reports are packaged and shared to the NPB and RSC and reported in their annual meetings, and shared to a wider audience through the ATSEA-2 website, social media platforms, and emails to partners and networks.
38. Delays and risks are well addressed by project management team and shared with Regional Project Management Unit as part of project adaptive management to mitigate situations which could lead to major difficulties for all project components.
39. The MTR found that UNDP ATSEA-2 Project Team and partners fulfill GEF reporting requirements on time and form, however, some difficulties or situation on the ground needs to be reported clearly. Therefore, PIR report needs to focus more on reporting local or field difficulties and challenges rather than on the achievements.

## Communications

40. Internal project communication with stakeholders is regular, however, it needs to highlight challenges at community level to enhance the quality of implementation to contribute to project progress and sustainability. Communication with the NPB is done through intersessional discussions and the annual meetings.
41. Furthermore, project utilised social media communications as an effective tool to convey the project progress made intended to impact public view. There is good presence on social networks and Internet and the project has also implemented appropriate outreach and public awareness campaigns.

## Covid-19 pandemic and natural disaster

42. The MTR found that the project adopted a New Normal Project Management Plan due to COVID-19 pandemic which have impacted the whole project implementation and from there the project created agile strategies in Timor-Leste components.

## 4.4 Sustainability

### Financial risks to sustainability

44. The MTR identified NIM modality as a means of ensuring ownership and responsibility. However, financial risk are very high in post GEF assistance due to limited financial capacity of implementing partners and other strategies (like with private sector) and the

commitments from communities in relation to contributing to components of ATSEA-2 project is insufficient.

#### Socio-economic to sustainability

45. The MTR has not identified any social or political risks that may impact sustainability of ATSEA-2 project outcomes.
46. The MTR observed that the risk level of project ownership at Municipal, Suco and community level is insufficient (e.g) local government at Suco level still has limited knowledge to envision supportive local program to ensure project outcomes/benefits sustainability thereby making more awareness and capacity building initiatives more important.
47. Furthermore, the MTR observed that various key stakeholders have good interest in having project benefits continue to flow; however, important efforts need to be made to increase the quality (not quantity) of public and stakeholder awareness actions in support of the long-term objectives of the ATSEA-2 project.

#### Institutional framework and governance risks to sustainability

48. The MTR has not found a legal framework, policy, governance structures or processes that pose risks or may jeopardize sustenance of project benefits. Under ATSEA-2, a National Project Board (NPB) and National Inter-Ministerial Committee (NIMC) has been put into place. Timor-Leste also supported and participated in ongoing national and regional consultations and discussions on the ATS regional governance mechanism which is envisioned to support long-term regional collaboration for the implementation of the ATS Strategic Action Program and National Action Program for Timor-Leste. At local level, the establishment of a Sub Task Team in Barique to support the implementation of ICM program at the local level is also deemed crucial to ensure ownership and sustainability of efforts.
49. It is important to highlight that Local Government and key ministries such as MAF, have suitable mechanisms for accountability, transparency, and technical knowledge in place. However, these mechanisms need to be strengthened by the government of Timor-Leste to address the national environment agenda, the climate change adaptation strategy.

#### Environmental risks to sustainability

50. The MTR did not identify any environmental risks that may impact the outcome of the project. However, local communities still cut down trees for firewood that can affect mangrove rehabilitation and conservation. In addition, marine pollution is still high and hidden turtle catching is still common.
51. The MTR found that community basic understanding of specific transboundary issues are still low. MTR noted that the project also supported the rehabilitation of the degraded ecosystem of mangroves in newly identified MPA of Suai Betano.

## 5.CONCLUSIONS AND RECOMMENDATIONS

### 5.1 Conclusions

52. The project was designed with a very high sense of responsibility with respect to the development challenges and risk of climate change that Timor-Leste is experiencing; while at the same time, providing a core contribution to national priorities (NAPA) and to fulfil Timor-Leste's international commitment toward adaptation to climate change (Paris Agreement), Disaster Risk Reduction (Sendai Framework) and SDGs.
53. Project benefits achieved up to now are contributing to solve some baseline sustainable development problems that are pointing toward adaptation to climate change impacts, such as improve access to food security, fresh water availability, enhance natural resources and improved productive diversification.
54. The project has progressed under important work pressure and delayed caused by COVID 19 pandemic. The project team has been influenced by the sense of delay producing an "activism" without sufficient attention given to why actions are performed or "where we go next". Outcomes were not present all the time at execution.
55. The MTR observed improved material conditions and socio-institutional concerns about coastal protection, there is no change observed in the problems, barriers and constrains related to (i) the weakness of policy framework and institutional capacity for climate resilient coastal management, (ii) the needs of alternative livelihoods to incentivize and protection and (iii) the development of tools for ecosystem-based adaptation and executed applying a Ridge to Reef (R2R) approach.
56. The MTR observed that problems include important barriers to integrate local solutions and practical experiences from not "technical" local people. Traditional knowledge/capabilities and local solutions that could be most suitable to address the problems and barriers the project is trying to solve.
57. Several "end of project target" are clearly insufficient. Furthermore, the project needs to assure that the broader development issues that are being achieved, such income generation project, productive diversification, gender equality and women's empowerment, to be monitored effectively in the long run, to provide a more contextual viewpoint of the project's impact.
58. Training sessions on selected productive/economic activities, are dispersed and low efficient activities with unclear results. Most groups have no idea of what they want and don't know the type of support they need from the project. Very few exceptions observed where community groups have a clear idea of what they want to achieve. In all cases, these are groups organized before the intervention of the project.
59. Most of the community groups engaged in the project livelihood activities are unaware of the link between the support received from the project and the commitment expected from them.

60. The project is unable to measure the percentage of change in incomes perceived, and if the changes took place in households headed by women or not or if they correspond to alternative or regular daily incomes.
61. It is necessary to be more innovative in awareness raising at community level, emphasizing practical activities like dynamic workshops, theatre, music festivals, community traditional events (beach cleaning activities) and other such conferences, youth forums, etc. based on awareness strategy suitable for different target population and stakeholders.
62. The project has no awareness strategy and this is an important vacuum. Furthermore, the project has no tools to measure the change in public awareness at local level and target coastal populations. "Awareness raising" activities were performed using materials that were published and distributed without testing the suitability of ideas and language for accurate comprehension by different stakeholders, population in general and specific target populations such as women, young people, children, farmers and fishers.

## 5.2 Recommendations

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

1. MTR recommends that the project take corrective action to put back on track area that not on target because of slow progress to achieve “ in table 7, corresponding to project objective:
  - **Indicator 2:** urgent follow up on EAFM Red Snapper related project activities in Viqueque.
  - **Indicator 3:** Urgent follow up action to assess the progress and challenges impeding the project progress towards the establishment of new MPA in Betano
2. MTR highly recommends that UNDP ATSEA-2 project be extended for longer period between 6 to 12 months, in order to fully achieve the project objectives and filled the time loss at the start and ensure the high quality of outcome sustainability at local level.
3. Despite consultation with stakeholder at all levels before project implementation, some local authority at Suco level still has limited understanding about their responsibility and lack of sense the of ownership. The MTR recommends that capacity building at Suco level be further strengthened to ensure their sense of responsibility and ownership over community development and environment protection, coastal management, to progress toward project benefits sustainability, especially with IUU fishing in the Timor Sea.
4. The MTR suggests Benefit Management to make up the missing opportunity to ensure that the projects deliver the expected strategic impact and drive organizational success. MTR recommended that the project provided further capacity building in marketing and the use of technology in advancing marketing and promotion for target beneficiaries community.
5. The project may consider strengthening its M&E systems to reflect its 'activities more comprehensively as 'bridge 'between UNDP ATSEA-2 project and government of Timor-Leste, and to gather evidence on the impact of Community Livelihoods Support Project in the Country. The project should focus on providing capacity building support for engagement at both national

and local levels to leverage political pressure between these levels and ensure that ATSEA-2 project implementation effectively, domesticated and can trace the impact

6. The MTR recommends that the project improve decision making process and provide sufficient information to partners in regard to UNDP internal decision making process.
7. Livelihood support project, should be planned comprehensively with a professional support of specialist in business planning development such as livestock, agriculture, fishery, poultry, etc., including a very clear business plan that includes impacts and outcomes expected, capacity development for financial, technical and productive management.
8. The MTR recommends that the project's work focused on local responsibility related to project outcomes/benefits and their sustainability. ICM success story in Manatuto can me extended to other part of project site. MTR suggest that more minor decision making be delegated to local authorities to develop capacities (capacity building) for Integrated Natural Resources Management in coastal zones

## 6. ANNEXES

### Annex 1: MTR ToR (excluding ToR annexes)

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

#### MTR APPROACH & METHODOLOGY

The MTR must provide evidence-based information that is credible, reliable and useful. The MTR team will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Environmental & Social Safeguard Policy, the Project Document, project reports including Annual Project Review/PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review). The MTR team will review the baseline GEF focal area Tracking Tool submitted to the GEF at CEO endorsement, and the midterm GEF focal area Tracking Tool that must be completed before the MTR field mission begins.

The MTR team is expected to follow a collaborative and participatory approach<sup>48</sup> 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<sup>49</sup>. [2] Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to different Directorate of Ministry of Agriculture and Fisheries(MAF); Ministry of Commerce, Industry and Environment(MCIE), Ministry of Public Works(MPW), University of Timor-Leste(UNTL), executing agencies/ NGOs, senior officials and task team/ component leaders, key experts and consultants in the subject area, Project Board, project stakeholders, academia, local government and CSOs, etc. Additionally, the MTR consultant is expected to conduct field missions to Dili, Liquica, Manatuto, Viqueque, Manufahi, Covalima and Bobonaro municipalities, including the following project sites Uatukurbao, Uaniuma, Aubeon, Modomahut, Fatukahi, Mahakidan, Dotic, Betano, Selele-Boot, Suai-Loro, Be-malai, Beacou, Lake-Mobara, Ulmera, Hera, Metinaro among others.

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

#### TEAM COMPOSITION

A team of three independent consultants (one international and one national consultant for ATSEA 2 Indonesia Component and one national consultant for ATSEA 2 Timor-Leste Component) will conduct the MTR. The International Consultant will be the team leader (with experience and exposure to projects and evaluations in other regions globally) and one team expert, usually from the country of the project (national consultant). The consultants cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project's related activities.

The selection of consultants will be aimed at maximizing the overall "team" qualities in the following areas and both international and national consultants must have:

- Recent experience with result-based management evaluation methodologies;
- Experience applying SMART indicators and reconstructing or validating baseline scenarios;
- Competence in adaptive management, as applied to GEF, climate change, biodiversity and other relevant Focal Area);

<sup>48</sup> For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results, 05 Nov 2013

<sup>49</sup> For more stakeholder engagement in the M&E process, see the UNDP Handbook on Planning, Monitoring and Evaluating for Development Results, Chapter 3, pg. 93

- Experience working with the GEF or GEF-evaluations;
- Experience working in small island states preferably in Asia and Pacific region
- Work experience in relevant technical areas for at least 10 years;
- Demonstrated understanding of issues related to gender and climate change, biodiversity and other relevant Focal Area; experience in gender sensitive evaluation and analysis.
- Excellent communication skills;
- Demonstrable analytical skills;
- Project evaluation/review experiences within United Nations system will be considered an asset;
- A Master's degree in Ecology, Coastal Ecosystem Management, Natural Resources Management, Environmental Science, Climate Change Adaptation, or in any disciplines relevant to Mangrove/coastal ecosystem restoration, coastal adaptation and shoreline management.), or other closely related field.

## Annex 2: MTR evaluative matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)

Evaluative Questions	Indicators	Sources	Methodology
<b>Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?</b>			
(Include evaluative question(s))	(i.e. relationships established, level of coherence between project design and implementation approach, specific activities conducted, quality of risk mitigation strategies, etc.)	(i.e. project documents, national policies or strategies, websites, project staff, project partners, data collected throughout the MTR mission, etc.)	(i.e. document analysis, data analysis, interviews with project staff, interviews with stakeholders, etc.)
To what extent were the project objectives and outputs aligned with member States' and other project stakeholders' development strategies/priorities?			
To what extent is the project in line with GEF operational programs?			
Were lessons from other relevant projects properly incorporated into the project design?			
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?			
Were the project's expected accomplishments and indicators of achievements properly designed, timebound and achievable?			
Does the project design remain relevant in generating global environmental benefits?			
Were relevant gender issues raised in the project design/strategy?			

How are broader development objectives represented in the project design?			
Does the strategic results framework fulfil SMART criteria and sufficiently captures the added value of the project?			
<b>Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?</b>			
To what extent are key stakeholders engaged in establishing a long-term regional and national cooperation mechanisms in support of the region's SAP?			
How effective was the project in building knowledge and capacities on integrated approaches to marine and coastal management and in application of tools/mechanisms developed under the project?			
To what extent has the project provided science-based information in support of policy/decision-making?			
Has the project already demonstrated/shown contribution to improved management of natural resources, increased resilience and improved livelihoods?			
Do the project-related activities give the participants adequate access to the benefits and implications of the project, particularly to women and other vulnerable groups?			
What were the risks involved and to what extent were they managed?			
What lessons have been learned from the project regarding achievement of outcomes?			

To what has the project addressed the barriers identified (i.e., lack of strong regional mechanism; weak intersectoral coordination and law enforcement; lack of access to environmental planning tools, technologies and approaches; insufficient baseline data)?			
<b>Project Implementation and Adaptive Management: Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation? To what extent has progress been made in the implementation of social and environmental management measures? Have there been changes to the overall project risk rating and/or the identified types of risks as outlined at the CEO Endorsement stage?</b>			
<b>How were lessons learned on other projects incorporated into project implementation?</b>	<b>Lesson incorporated into project design</b>	<b>National Stakeholder project Documents</b>	<b>Interview, meeting and workshop, documents analysis</b>
How effective has adaptive management been, e.g., in response to recommendations raised by project steering committee. Have changes been made and are they effective?			
How timely and effective has implementation of adaptive management measures been (i.e., relating to COVID19 challenges)?			
Are milestones within annual work plans consistent with indicators in strategic results framework?			
Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner?			
How efficient has financial delivery been?			
How cost-effective have the project interventions been?			
How inclusive and proactive has stakeholder involvement been? What is the gender balance of project staff, RSC, NPBs, NIMCs? What steps have been taken to ensure gender balance? Does the project have a gender action plan and is it implemented?			

How effective have partnership/collaborative arrangements been?			
Were the Executing Agency/Implementing Partner(s) responsive to support needs of the project team/project?			
Has the project efficiently utilized local capacity in implementation?			
Has the project information been effectively managed and disseminated?			
What were the major factors influencing the achievement or non -achievement of the project objectives?			
<b>Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?</b>			
What lessons can be drawn regarding sustainability of project results, and what changes could be made (if any) to the design of the project in order to improve sustainability of project results?	Number of meetings to exchange experiences.	National and local stakeholders, project team.	Interview, meetings and/or workshop.
What evidence is available that demonstrates budget allocations have been or will be made to sustain project results?			
What evidence is available that demonstrates capacities and resilience of local communities have been strengthened?		<b>Document PIR 2021</b>	<b>Documents analysis</b>
How have management plans and other approaches promoted by the project been integrated into institutional frameworks? What is the level of ownership of approaches promoted by the project? What policies are in place that enhance the likelihood that project results will 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?			

What evidence is available that demonstrate reduction of key threats to biodiversity and ecosystems? Have any new environmental threats emerged?			
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### Annex 3: Example Questionnaire or Interview Guide used for data collection

**Project Strategy:** To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results.

1. What are the Development problems where the project seeks to impact?
2. Have you observed some change in this problematic situation?
3. How the project can contribute to solve this Development problem?
4. Which is the most effective route towards expected results?
5. Were lessons from other relevant projects properly incorporated into the project design?
6. How the project outcomes are fitting into National and/or Sectorial priorities and Plans?
7. Who could affect the outcome and how?
8. Who is contributing with information and/or resources to achieve outcomes?
9. How were they integrated on project?
10. The progress to achieve outcomes, have catalyzed beneficial development effects? (i.e. income generation, gender equality and women's empowerment, improved governance, etc...)
11. The catalyzed beneficial development effects should be included in the project results framework and monitored on an annual basis?

**Gender.**

1. Were relevant gender issues raised in the Project Document?
2. Does the project budget include funding for gender-relevant outcomes, outputs and activities?
3. Were gender specialists and representatives of women at different levels consulted throughout the project design and preparation process?
4. The broader development and gender aspects of the project are being monitored effectively?
5. Which 'development' indicators, including sex-disaggregated indicators and indicators that capture development benefits, can be included in the project?

**Progress Towards Results:** To what extent have the expected outcomes and objectives of the project been achieved thus far?

1. Are the project's objectives, outcomes and outputs clear, practical, and feasible within its time frame?
2. Are the project indicators enough SMART to guide the process toward outcome achievement and to allow monitoring & evaluation with suitable accuracy?
3. Do the Indicators System need to be adjusted by modify existing indicators or replacement some of them or added new others?
4. How many villages and/or Councils have design CCA plans to enhance resilience?
5. Are the CCA actions based on these plans?
6. How many villages and/or councils are in process of implementation?
7. What mean "high quality early warning"? What is "a timely manner"? What are the "multiple communication lines"?
8. How is expressed the "Integrated coastal zone management framework incorporating resilience though climate change adaptation"? Please give some examples.
9. How these expressions of "resilience though climate change adaptation" have been supported by appropriate sectoral and cross sectoral policy and legislations? Please give some examples.

**Project Implementation and Adaptive Management:** Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far?

1. To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?
2. Has there been an economical use of financial and human resources?
3. In which extent the resources (funds, human resources, time, expertise, etc.) are being used to produce the intended outputs?
4. Do the achieved justify the costs?
5. Could the same achievements be attained with fewer resources?
6. Have activities supporting the strategy been cost-effective?
7. How resources could be used more efficiently to achieve the intended results?

8. Are the products timely delivered as was needed?
9. Why some initiatives are implemented more quickly than others?
10. How is structured the cost-sharing measures and complementary activities?
11. How has the steering or advisory committee contributed to the success of the project?
12. Is there a clear understanding of the roles and responsibilities by all parties involved?
13. Is the monitoring and evaluation systems that project have in place helping to ensure effective and efficient project management?

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

1. Are there any social or political hazards that may jeopardize sustainability of project outcomes?
2. Are stakeholders enough interested in outcomes, to allow for the project benefits to be sustained?
3. Lessons learned are being documented by the Project Team continuously and are shared with stakeholders who could learn from the project?
4. Do the current legal frameworks, policies, governance structures and processes, may jeopardize the sustenance of the project benefits?
5. Are there any environmental risks that may jeopardize the sustenance of the projects outcomes?
6. Do the project interventions have well designed and well planned exit strategies?
7. What could be done to strengthen exit strategies and sustainability?
8. What changes if any should be made in the current partnership (s) in order to promote long term sustainability?

## Annex 4: MTR Ratings Scales

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

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

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

## Annex 5: MTR mission itinerary

Venue	Date	Time	NAME	POSITION	INSTITUTION
Dili/UNTL	03 June 2022		Dr. Abilio Fonseca. ATSEA 2 Partner. UNTL	Partner	National University of Timor-Leste (UNTL)
Dili/SEA Environment	03 June 2022		Nelson Antonia de Jesus Medeiros Madeira	National Director of Pollution Control, SEA	SEA Environment
Dili/MNEC	03 June 2022		Aquelino Amaral	National director for bilateral Cooperation	MNEC (Ministry of Foreign Affairs)
Dili/SECoop	03 June 2022		Gil Bento	National Director	Secretary state of Cooperative
Dili/MAF	04 June 2022		Pedro A. M. Rodrigues	Chief of Department	MAF
Dili/MAF	04 June 2022		Celestino da Cunha Barreto	National Director	MAF/Fishery directorate
Dili/MAF	04 June 2022		Constancio dos Santos	Chief of Department	MAF/Fishery directorate
Dili/MAF	04 June 2022		Acacio Guterres	Director General	MAF/Fishery directorate
Lautem/Lorehe	27 May 2022	1 days	Jose Monteiro	Senior staff of Fishery	Trained of EAFM
Lautem	27 May 2022	1 days	Elezito de Jesus Ximenes	Representative Fishery department	Municipality Lautem
Viqueque	28 May 2022	1 days	Fernando Joaquim	Representative Fishery department	MAF
Manatuto	26 May 2022	1 day	Jaime Alves	Representative Fishery department	MAF
Manatuto/Barique	29 May 2022	1 day	Venancio da Costa Ximenes	Coordinator ICM	MOSA
Manatuto/Barique	29 May 2022	1 day	Felixiano Baptista	Chefe Suco Uma boku	MOSA
Manatuto/Barique	29 May 2022	1 day	Jacinta M da Cruz	Head of women group	Beneficiary of plastic recycling training in postu Barique
Manatuto/Barique	29 May 2022	1 day	Florindo da Costa Magalaens	Administrator Post Administrative Barique	MOSA

Manufahi/Same	30 May 2022	1 day	Arantes Isaac Sarmiento	Administrator of Municipality Manufahi	Ministry of Administration/STATAL
Manufahi/Same	30 May 2022	1 day	Adelino de Araujo Costa	Administrator Post Administrative Same	Ministry of Administration/STATAL
Same/Betano	31 May 2022	1 day	Frans Flores	Advisor of Fishery Cooperative	Fishermen Betano
Same/Betano	31 May 2022	1 day	Saturnina da Silva	Chief of Sub village Selihasan Betano	Ministry of Administration/STATAL
Same/Betano	31 May 2022	1 day	Hermenegildo Pereira	Representative Fishery department	Municipality Manufahi
Suai/Covalima	01 June 2022	1 day	Fernando da Silva	Representative Fishery department	Municipality Manatuto

## Annex 6: List of persons interviewed

The list of persons interviewed are incorporated in Annex 5.

MTR has conducted several meeting with UNDP ATSEA-2 Timor-Leste Component and several meetings have made with local authorities from all visited municipalities and suco, including community focus groups in five municipalities (Lospalos Viqueque, Manatuto, Manufahi, Suai) with a total of 22 local stakeholder interviewed including women representatives. Moreover, some national stakeholder and project board members reluctant to participate in the interview stating as not a direct beneficiaries from the project.

## **Annex 7: List of documents reviewed**

- Annual Work Plans Timor-Leste Component: 2019, 2020, 2021, and 2022
- Audit reports
- BRIEF OVERVIEW OF REGIONAL INITIATIVES AND THEIR COLLABORATION MECHANISMS WITH RELEVANCE TO ATSEA 2. PEMSEA ATSEA-2 PROJECT. October 2020
- Finalized GEF Focal Area Tracking Tools
- Financial and Administration Guidelines
- Minutes of the ATSEA-2 Project Board Meetings and other meetings
- Monitoring Reports
- Oversight Mission Reports
- PROCEEDINGS OF THE INTERSESSIONAL REGIONAL STEERING COMMITTEE MEETING OF THE GEF/UNDP/PEMSEA ON THE ATSEA-2 PROJECT. August 18, 2020.
- Proceedings of the 2nd Regional Steering Committee Meeting of the GEF/UNDP/PEMSEA Project on Arafura-Timor Seas Ecosystem Action Program Phase 2 (ATSEA-2) November 25, 2020
- Project Implementation Reports
- Project Inception Report
- Project Operational Guidelines, Manuals and Systems
- Project Site Location Maps
- STAP Scientific and Technical screening of the Project Identification Form (PIF) March 2008
- UNDP Country/countries Programme Document(s)
- UNDP Project Document ATSEA 2 2019-2021
- UNDP Social and Environmental Screening Procedure (SESP) ATSEA 2-Programm

## Annex 8: Signed UNEG Code of Conduct form

### ToR ANNEX D: UNEG Code of Conduct for Evaluators/Midterm Review Consultants<sup>1</sup>

#### Evaluators/Consultants:

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

#### MTR Consultant Agreement Form

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

Name of Consultant: Amorim Vieira

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 Dili Timor-Leste (Place) on 10-July-2022 (Date)

Signature:  \_\_\_\_\_