

**MID – TERM EVALUATION OF THE TOWARDS ECOSYSTEM-
BASED MANAGEMENT OF THE
HUMBOLDT CURRENT LARGE MARINE ECOSYSTEM (HCLME)
PROJECT**

CHILE – PERU

ATLAS AWARD ID: 00060454 (UNOPS)

PIMS NUMBER: 4147

GEF FOCAL AREA: IW & BD

**GEF STRATEGIC OBJECTIVE: GEF-4 STRATEGIC
PROGRAMME IW/SP1 AND BD/SP2 AND INDIRECTLY SP4**

IMPLEMENTING AGENCY: UNDP

EXECUTING AGENCY: UNOPS

FOCAL POINTS: IFOP (CHILE) and IMARPE (PERU)

EVALUATION TIME FRAME AUGUST 5TH TO OCTOBER 27TH

EVALUATOR: MARIA ONESTINI

ii. Executive Summary

The Humboldt Current supports one of the world's most productive Large Marine Ecosystems (LMEs), with a large percentage of global fish capture and presenting significant levels of biodiversity. The Humboldt Current Large Marine Ecosystem (HCLME) is experiencing a set of pressures and environmental variability, which necessitate improved governance and management capacities in order to conserve and sustainably use the system's resources. The project is based on promoting an ecosystem-based approach for HCLME's management. This management approach "seeks to restore and sustain the health, productivity, resilience, and biological diversity of coastal and marine systems and promote the quality of life for humans who depend on them." This sort of management regime aims at integrating and addressing not only ecological issues but also social and economic goals in a participative manner. Acknowledging that the major barriers and constraints for the implementation of ecosystem-based management (EBM) approach are knowledge gaps and policy obstacles, the project intends to assist both Chile and Peru in filling these capacity gaps promoting the achievement of several key deliverables. These are: (a) A strengthened regional planning framework with the development and endorsement of a long-term Strategic Action Program (SAP) and National Action Plans (NAP), including approved policy instruments for ecosystem-based management established for the HCLME; and (b) Improved capacities for up-scaling management models to strengthen marine habitat representatively in the countries' National Protected Area Strategies (NPAS), enhance ecosystem resilience, and catalyze the sustainability of national marine protected areas systems as a basis for establishing a network of marine protected areas along the HCLME in the future.

The purpose and objectives of the evaluation fulfill several objectives, as all mandated GEF/UNDP evaluations do. The varied purposes include monitoring results as well as effects/impacts and promote accountability. Furthermore, and importantly in a mid – term evaluation, the findings of an evaluation also intend to aid in decision making for retrofitting, improving or amending project aspects which need to be changed or improved in order to meet goals and objective. Lastly, these sorts of evaluations also have as a purpose assembling lessons learned and best practices in order to aid projects' processes in the future. The following principle conclusions, recommendations and lessons have been reached.

As a very overarching conclusion it can be said that the HCLME Project is an extremely relevant and very suitable project. It has been and is still relevant no matter what local changes have occurred since its very first inception and throughout all the conflicts that the countries have confronted throughout the project's life cycle thus far. Also, the project has an enormous potential for being valuable in the future, setting the stage for integrated management of resources within the Humboldt Current in a trans zonal manner.

However, there are some issues that need to be faced in order to improve efficiency, effectiveness, generate outcomes and effects as well as to generate adequate tools for future

implementation of regional approaches to natural resource management within the Humboldt Current. These issues are thematic / conceptual and administrative / management – oriented.

The project is at an inflexion point where a retrofitting and rationalization exercise should take place. Implementation issues, delays, as well as financial arrangements need to be revisited in order to be able to implement the second stage of the project. This exercise could also be used to, jointly, revisit conceptual issues set forth in the design process which might need adjustments, such as concept definitions, issues to concentrate on, new issues incorporated due to knowledge gathered since the projects inception. Furthermore, parties to the project should also clearly define roles, tasks, duties, implementation arrangements, management commitments (inward within the countries and outward towards agencies involved).

Lastly, and unfortunately, many times the project appears to be two projects, one in Chile and one in Peru. There is a need to fully strengthen and advance the products and activities which are to be trans zonal, bi-national, sub-regional and regional as well as to stimulate, within the project, exchanges that can promote the bi-national, trans zonal and sub-regional nature of the project and foster mutual learning between the two countries.

All of the above being said, it should remain clear that the project has enormous potential to develop tools, mechanisms, and synergies to promote the integrated and eco – system based management of one of the world’s most productive Large Marine Ecosystems (LMEs). As stated earlier, the Humboldt Current Large Marine Ecosystem (HCLME) is experiencing a set of pressures and environmental variability, which necessitate improved governance and management capacities in order to conserve and sustainably use the system’s resources. This, coupled with political issues regarding not only trans zonal resources but also trans boundary issues, offer a unique challenge as well as unique opportunities so that the Project could have lasting and positive impacts upon the integrated management of the Humboldt Current.

iii. Acronyms and Abbreviations

BVM	Best Value for Money
EBM	Ecosystem-Based Management
EDA	Ecosystem Diagnostic Analysis
FAO	Food and Agriculture Organization
GEF	Global Environment Facility
GIS	Geographic Information System
HCLME	Humboldt Current Large Marine Ecosystem
IA	Implementing Agency
IFOP	Instituto de Fomento Pesquero, Chile
IMARPE	Peruvian Sea Research Institute
IW	International Waters
LME	Large Marine Ecosystem
M&E	Monitoring and Evaluation System
METT	Management Effectiveness Tracking Tool
MINAM	Ministry of the Environment, Peru
MINCETUR	Ministry of Foreign Trade and Tourism, Peru
MINEC	Ministerio de Economía, Chile
MMA	Ministerio de Medio Ambiente, Chile
MPA	Marine Protected Area
NGO	Non-Governmental Organization
PIR	Project Implementation Review
PRODUCE	Ministerio de la Producción, Peru
RCU	Regional Coordinating Unit
RNSIIPG	Peruvian Guano Islands, Isles and Capes National Reserve
SAP	Strategic Action Program
SC	Steering Committee
SERNANP	National Service of Protected Areas of Peru
SERNAPESCA	National Fisheries Service, Chile
SNAP	Sistema Nacional de Áreas Protegidas
TDA	Transboundary Diagnostic Analysis
UNDP	United Nations Development Program
UNOPS	United Nations Office of Project Services

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INTRODUCTION

PURPOSE OF THE EVALUATION

A mid – term evaluation has several objectives and purposes. At the UNDP/GEF project level, the explicit objectives, and part of the organizations’ monitoring and evaluation policies, are:

- i) to monitor and evaluate results and impacts;
- ii) to provide a basis for decision making on necessary amendments and improvements;
- iii) to promote accountability for resource use; and,
- iv) to document, provide feedback on, and disseminate lessons learned.

Given that this is a mid-term evaluation, it is also intended that this assessment be truly forward looking in order to provide guidance for future project stages, besides providing insights for future programming. The project is being evaluated at this point in time given rescheduling. Although the Project Document states that “An independent Mid-Term Evaluation will be undertaken at the end of the second year of implementation”, this would imply that the mid-term evaluation would have taken place in August 2014. Nevertheless, if the Mid Term Evaluation would have taken place at this particular date that would have left just eight months before scheduled closing of the project would take place. Furthermore, given that also there has been an extension request, partners decided to carry – out the evaluation in August 2013. The primary intended audience for the present mid-term evaluation includes two sets of target constituencies: (1) the countries of Chile and Peru; and (2) the different UN Agencies involved in some capacity within the HCLME Project (such as GEF, UNDP, UNOPS).

The evaluation addressed the questions it did closely following directives and guidelines of these sorts of mandated evaluations. For example as the guidelines set in the UNDP Evaluation Guidance for GEF Financed Projects as well as UNDP’s Handbook on Planning, Monitoring and Evaluating for Development Results. The questions address evaluative criteria, such as relevance, effective and efficiency,

KEY ISSUES ADDRESSED

As stated above, the evaluation questions raised followed and addressed evaluative criteria set as guidelines in UNDP and GEF direction. In a brief overview, the main evaluation questions raised (with their subsequent sub and follow – up questions) are indicated following. As correlated to relevance the question raised tried to discern how the project relates to environment and development priorities at the local, regional and national levels. As related to effectiveness, the set of questions and sub questions implemented attempted to establish to what extent the expected outcomes and objectives of the project have been achieved thus far. And as related to efficiency, the enquiring questions attempted

to determine if the project was implemented efficiently, in-line with international and national norms and standards.

METHODOLOGY OF THE EVALUATION

PURPOSE/SCOPE OF THE MID TERM EVALUATION

As stated in the introduction of this report, mandated GEF/UNDP evaluations need to fulfill several objectives. The varied purposes include monitoring results as well as effects/impacts and promote accountability. Furthermore, and importantly in a mid – term evaluation, the findings of an evaluation also intend to aid in decision making for retrofitting, improving or amending project aspects which need to be changed or improved in order to meet goals and objective. Lastly, these sorts of evaluations also have as a purpose assembling lessons learned and best practices in order to aid projects’ processes in the future. With this in mind, a scope for the Mid Term Evaluation is set.

The evaluation has followed methods and approach as stated in UNDP Manuals, relevant tools, and UNDP guidance materials for conducting valuations of UNDP-supported, GEF-financed Projects. The evaluation was framed using criteria of relevance, effectiveness, efficiency, sustainability, and impact. The criteria were defined through a set of questions which are part of the evaluation matrix (see Annex Evaluation Matrix). Given that this is a mid – term and not a final evaluation, the latter issue (impact) is analyzed keeping in mind the limitations to effect and impact that are characteristic for a project that is at its mid-point. The analysis entailed evaluating different stages and aspects of the project, including design and formulation (aspects such as logical framework, budget/expenditures to date/co-financing as well as assumptions and risks); implementation; and results at the mid-term of the implementation process.

EVALUATION FRAMEWORK AND METHODOLOGY

In order to carry out this evaluation exercise, several data collection tools were used for analyzing information following the principles of results-based evaluation (including relevance, ownership, efficiency and effectiveness, sustainability). This participatory assessment was addressed with ample involvement by various stakeholders in Chile and in Peru (governmental and nongovernmental).

The methodologies were implemented through specific tools that fed into each other, attempting to cross – validate findings. Also, through a combination of methods used to feedback between the various tools and validation between different levels and types of data collection. These aggregation methods have also allowed triangulating the information, and thus ensuring the validity of the data that give rise to the evaluation process. Furthermore, GEF specifies that ratings are to be used in order to assess several aspects of a project, including relevance, effectiveness and efficiency, quality of monitoring system, among others. This evaluation has followed this standard practice, using the proposed ratings scales for each different criterion. Annex Rating Scales contains the different rating scales suggested by GEF for evaluating projects criteria.

The evaluation matrix (which is included hereby as Annex Evaluation Matrix) was developed. This tool, based on pre-established criteria, groups and displays the evaluation questions, sub-questions, specific data and information sources and methods as well as data collection instruments. This tool was used to collect and systematize information (including information arising out of field work). This matrix also contributed to visualize and guide the evaluation of complex projects, such as HCLME project being evaluated in this exercise.

Regarding specific methodologies to gather assessment information, the following tools and methods will be used:

- *Document analysis.* Analysis of project documents as well as publications originating from the project (research publications, etc.).
- *Key informant interviews:* Interviews were implemented through a series of open and semi-open questions raised to stakeholders directly and indirectly involved with the Project. Key actors (stakeholders) were a priori defined as UN officials (including UNDP, UNOPs. etc.), strategic partners of civil society / NGOs / beneficiary groups, government actors, and local actors, among others. The interviews were carried in person and by telephone or other means when the relevant actors are not available neither in Chile nor in Peru during the evaluation mission.
- *Focus groups/group interviews:* Interviews would be series of open and semi-open questions raised to key groups directly and indirectly related with the HCLME Project, but unlike the previous section, with group methodologies.
- *Field visits and direct observation:* Visit to project site and other locales with direct observation.
- *Questionnaire:* A questionnaire was further developed and sent to key stakeholders in order to substantiate issues raised during the mission.

The main limitations foreseen are the characteristic ones for this sort of exercise, such as limited time, and evaluability limitations. One of the aspects to be closely observed within this evaluation exercise are the intricate political issues present and how these affect not only project evaluability but also project development, implementation, impact and sustainability. This can also be perceived as a limitation given the political issues involving not only the project but the relationship between the two countries concerning maritime delimitations in the Pacific Ocean.

EVALUATION TIMEFRAME AND DEVELOPMENT

The mid – term evaluation timeframe was developed through three distinct but interconnected stages: preparation, mission, and report production. Before the mission to Chile and Peru, a first phase of preparation took place, mainly entailing acquaintance with and examination of project and project-related documents, as well as general acquaintance with project's context. Also at this stage, logistic and stakeholder interviews were

established in collaboration with the Regional Project Coordinator, UNOPs, and UNDP. Stakeholders' engagement was sought throughout the whole process. An inception report was drafted at this stage and accepted by the parties. Since the inception report was drafted in English, a brief summarizing report was drafted in Spanish in order to make certain that national stakeholders understood the scope, structure, and process of the evaluation.

A two-week mission took place in mid-August, mainly to maintain meetings and engaged in dialogues with relevant stakeholders (governmental, related to fisheries industries, and non-governmental) both in Chile and in Peru, meetings with UN personnel, review of materials with key stakeholders, and visit to a pilot site in Peru. No visit to pilot site in Chile was organized. Two meetings concerning first findings of the evaluation were held, one in Lima and one in Santiago. See Annex Mission Agenda.

STRUCTURE OF THE EVALUATION

The structure and contents of this report follow standard guidelines for this type of mid – term evaluation assessments. First of all it contains a brief description of the project and this is followed by analytical findings that arise out of the evaluation and generally follow criteria to be analyzed (efficiency, sustainability, mainstreaming, relevance, for example). Lastly it contains sections that summarize conclusions, and provide recommendations for future action.

Overall the analysis (following directed criteria and including other relevant general findings) will meet the purpose(s) of this sort of evaluation: monitor and evaluate results and impacts; provide a basis for decision making on necessary amendments and improvements; promote accountability for resource use; and, document, provide feedback on, and disseminate lessons learned. The evaluation of course is oriented towards its intended target audience, including in this case, GEF Operational Focal Point, UNOPS, UNDP at country and at regional and HQ levels, and GEF Secretariat

ETHICS

The evaluator took all the steps possible to protect the rights and confidentiality of persons interviewed following UNEG “Ethical Guidelines for Evaluators”. It is suggested that project staff be advised of this matter and other key issues within evaluations, particularly ethical issues, and that these guidelines should be made known to them. For example, project staff should be made aware, as indicated in the document *UNDP Terminal Evaluations of GEF funded projects* of September 2012, that “General practice that project team should not be in interviews undertaken by evaluation team”, not only to guarantee the confidentiality of persons interviewed but also for methodological reasons in order to ascertain that key informants do not curtail their responses due to the presence of project staff. Attached to this report is the signed 'Code of Conduct' form for the evaluator.

PROJECT DESCRIPTION AND DEVELOPMENT CONTEXT

The Project Document Signature dates were: by Chile on July 15 2010; by Peru on August 26 2010; by UNDP on August 26 2010 and by UNOPS September 2 2010. First disbursement took place in March 2011. A March 2015 closing date was contemplated in the Project Document.

BRIEF DESCRIPTION OF THE HCLME PROJECT

The Humboldt Current supports one of the world's most productive Large Marine Ecosystems (LMEs), with a large percentage of global fish capture and presenting significant levels of biodiversity. The Humboldt Current Large Marine Ecosystem (HCLME) is experiencing a set of pressures and environmental variability, which necessitate improved governance and management capacities in order to conserve and sustainably use the system's resources.

The project is based on promoting an ecosystem-based approach for HCLME's management. This management approach "seeks to restore and sustain the health, productivity, resilience, and biological diversity of coastal and marine systems and promote the quality of life for humans who depend on them." This sort of management regime aims at integrating and addressing not only ecological issues but also social and economic goals in a participative manner. Acknowledging that the major barriers and constraints for the implementation of ecosystem-based management (EBM) approach are knowledge gaps and policy obstacles, the project intends to assist both Chile and Peru in filling these capacity gaps promoting the achievement of several key deliverables. These are:

- A strengthened regional planning framework with the development and endorsement of a long-term Strategic Action Program (SAP) and National Action Plans (NAP), including approved policy instruments for ecosystem-based management established for the HCLME; and
- Improved capacities for up-scaling management models to strengthen marine habitat representatively in the countries' National Protected Area Strategies (NPAS), enhance ecosystem resilience, and catalyze the sustainability of national marine protected areas systems as a basis for establishing a network of marine protected areas along the HCLME in the future.

Furthermore, the specific project's goal is to advance towards a sustainably used and resilient HCLME that can maintain and promote biological integrity and diversity and ecosystem services for current and future generations. Within this general goal, the project extracts a specific objective, which is to advance ecosystem-based management in the HCLME in a coordinated context that provides for improved governance and the sustainable use of living marine resources and services.

In order to promote the project's objective, there are four specific outcomes expected, as stated in the project's documents:

- Outcome 1: Planning and policy instruments for EBM of the HCLME – the development of the SAP.

Outputs defined to advance this Outcome are:

- 1) a completed Ecosystem Diagnostic Analysis (EDA) of the HCLME,
- 2) a Strategic Action Program for achieving EBM, including a plan for a system of Marine Protected Areas of the HCLME formulated and endorsed at the highest levels,
- 3) a governance mechanism for EBM approaches set up within the framework of the SAP, and
- 4) an awareness program on EBM for decision-makers, sectors and resource-user groups.

- Outcome 2: Institutional capacities strengthened for SAP implementation and for the up-scale of results of pilot interventions to the systems level.

Outputs defined to advance this Outcome are:

- 1) Spatially-based Planning, Monitoring & Evaluation System developed,
- 2) Institutional Capacity building program developed to strengthen institutions for implementing the SAP and to advance towards EBM,
- 3) Marketplace governance tools developed for sustainable fisheries management
- 4) Capacity building program targeting key stakeholder groups (artisanal and industrial fishers) implemented to increase compliance of EBM regulatory frameworks

- Outcome 3: Implementation of priority MPA & fisheries management tools provides knowledge of options for enhanced protection of HCLME and SAP implementation.

Outputs defined to advance this Outcome are:

- 1) Strategies and norms developed for off-shore MPAs (sea mounts and canyons) in Chile
- 2) Guano Islands, Isles and Capes National Reserve Master Management Plan Developed with a Financing Strategy

- 3) Coordinated Management Approaches Piloted for the Shared Anchovy Stock
- 4) MPA Strategies and Legislation Comparable for the Two Countries.

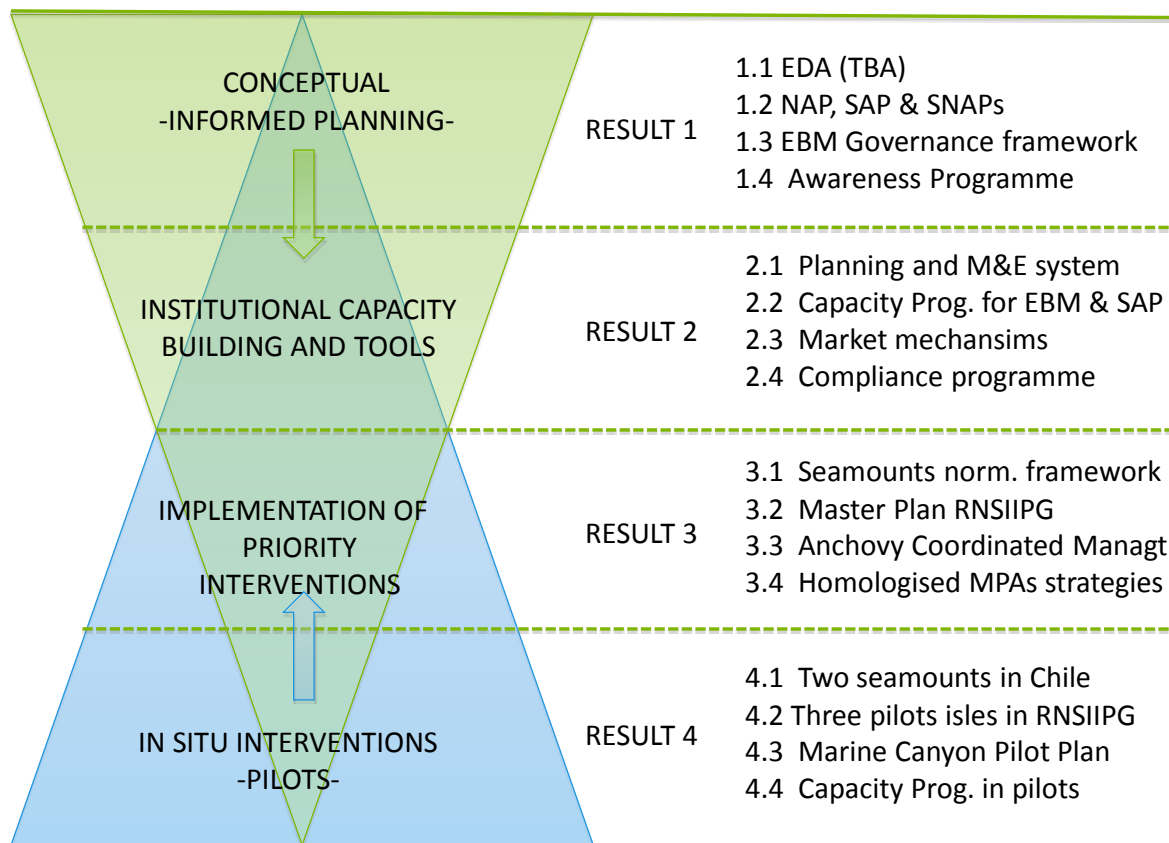
- Outcome 4: Implementation of pilot MPAs to support ecosystem conservation and resilience.

Outputs defined to advance this Outcome are

- 1) Two sea mounts in Chile under legal protection through agreed upon management categories
- 2) Management tools developed and implemented for three representative pilot sites of the System of Guano Islands, Isles and Capes and the Paracas National Reserves
- 3) Management options for the conservation of sea canyons are available for Chile and Peru
- 4) Capacity building, awareness & socio-environmental issue management programs implemented for the relevant authorities and stakeholders in pilot MPA sites.

As seen above, the HCLME Project, as is customary in this sort of intervention, attempts to inter link pilot sites interventions with broader conceptual policy-oriented and institutional strengthening products and outcomes. The outcomes and inter linkages are represented graphically below in a figure extracted from the Project Document.

Figure 1 Expected outcomes and inter linkages



The HCLME project seeks to address the lack of integrated regional tools for an integrated ecosystem – based management approach for the Humboldt Current. It attempts to do so by acknowledging and improving certain barriers to integrated management. Barriers such as: deficient information and planning frameworks for consensus building and collaborative action; weak institutional frameworks and capacities for ecosystem-based management; limited knowledge of management options for protecting living marine resources and their habitats, as well as incomplete coverage and representativeness of marine protected areas in both countries.

The overall development objective that project aims to address is to promote sustainably used and resilient HCLME that can maintain biological integrity and diversity and ecosystem services despite changing climatic and social pressures. The specific project objective is that ecosystem-based management in the HCLME is advanced through a coordinated framework that provides for improved governance and the sustainable use of living marine resources and services.

The main project stakeholders are the countries of Chile and Peru and the UN agencies involved. Furthermore, the project identifies specific stakeholders, other relevant stakeholder, and key actors such as government ministries, universities, research centers, non – governmental organizations, civil society organizations, as well as fishing private companies.

Overall, even not considering the problems that the project has faced in implementation and execution as well as political issues (which will be expanded upon later on this report), it can be stated that this is an overly ambitious project. The overly ambitious design of the project can be linked, in part, with implementation issues, and should –at some point—be reviewed in light of time and funds remaining for its implementation, generating a sort of prioritization exercise.

With this framework the project has begun activities and the generation of deliverables seeking effects and impacts for the ecosystem based management of the Humboldt Current Large Marine Ecosystem.

Maritime Delimitation Conflict Between Chile and Peru

Chile and Peru have had an ongoing dispute regarding some of the general area where the Project takes place. A last milestone in this long-standing dispute is a differendum between Chile and Peru regarding sovereignty of an area at sea in the Pacific Ocean, presented to the International Court of Justice in 2008 by the government of Peru ("Case Concerning Maritime Delimitation between the Republic of Peru and the Republic of Chile"), which lingers over the HCLME Project. The case intends to adjudicate the re-delimitation of a maritime border between these two nations. Nevertheless, the international case is just the final manifestation of a long-standing dispute over the maritime border and of course over the natural resources encompassed in the disputed region. The dispute has been long standing of course, and the presentation to the ICJ one of the latest developments. This clearly affects the project in many ways, since not only is a dispute between the two countries involved in the Project but it encompasses the zone and very same natural resources that the HCLME Project aims to generate tools in order to manage it with an ecosystem – based approach in an integrated matter. The dispute, needless to add, has strained to some degree the relations between the two nations.

FINDINGS

Following are general findings ensuing from the evaluation and adhering to, as much as possible, guidelines set by GEF/UNDP for this sort of valorization exercises. In addition to a descriptive assessment, the subsequent criteria are rated: monitoring and evaluation design and implementation; UNDP and Executing Agency execution coordination, and operational issues; overall results (attainment of objectives); relevance, effectiveness, and efficiency; as well as sustainability. The ratings scales utilized are a six point scale for outcomes, effectiveness, efficiency, monitoring and evaluation, and M&E, I&E execution; four point scale for sustainability ratings, and two point scales for relevance. Further information on this scale is contained in Annex Rating Scales.

PROJECT FORMULATION

ANALYSIS OF LFA (PROJECT LOGIC / STRATEGY; INDICATORS)

A project's logical framework (log frame) is a very important tool, not only to guide the implementation process, continuous monitoring, but also to be used for general and adaptive management aims. Habitually monitoring a project's advancement against the log frame allows a project to distinguish whether it is achieving what it set out to do and where the problems are in achieving objectives and goals.

The project's Logical Framework or Log Frame (see Annex Logical Framework) includes standard items such as project strategy; indicators, baseline values, targets at end of project, sources of verification, and assumptions¹.

In general terms, the HCLME log frame as indicated in the Project Document charts adequate logical linkages between expected results of the project and the project design (including project components, choice of partners, structure, scope, and similar aspects). And there is a degree of coherence between project design and project implementation approach, as directed by this tool.

Nevertheless, in more content oriented issues, the Logical Framework has some short fallings. Although it evidently follows GEF guidelines, some of the terminology is too broad and wide-ranging. The broad language fails to exhaustively define and specify terms sufficiently to permit clear understanding of what specifically the project intends to accomplish in terms of content. Of course that this strains the clear determination of whether the right sort of results / effects / outcomes / impacts are being achieved. These, furthermore, not only affects the internal project dynamic of guiding implementation processes and provide tools for monitoring of project implementation / outcomes, it also hinders the overall mainstreaming of the project (see the conclusions section for valorizations regarding this issue).

For example, even the Project's key impelled concept "ecosystem-based management" is not exhaustively defined to provide a clear understanding of what it means within the project. This of course is not a fault of the project document and design exclusively, given that it closely follows GEF guidance. These terms are commonly used and generally accepted within the GEF, yet at implementation phases the problem surfaces that they are open to interpretation as indeed they do in this case. And although this issue might be defined in guidance documents, this is not reflected in the ProDoc itself Yet is a consideration to be considered when analyzing the log frame, in particular in relation to what the project wants to accomplish, what is its theory of change, what are the indicators to be used in order to determine if "ecosystem – based management" as a concept is being achieved, and so on.

¹ In this section no analysis or insights regarding assumptions will be included since this aspect is developed in the following section of the report, Assumptions and Risks.

Furthermore, it will be very difficult to use some of the indicators identified by the project monitoring the project's advance given that some of them do not observe SMART principles.² That is, that indicators need be Specific, Measurable, Achievable, Relevant and Time-bound. For example, the very first indicator related to states: "Agreement on and understanding of the ecosystem-level issues of the HCLME as they relate to management of living marine resources (LMR) and biodiversity conservation." Although somewhat specific, is not measurable and not time bound. Other indicators with similar weaknesses are: "Procedures defined and adopted to promote good fisheries practices and improve market competitiveness within the framework of the HCLME" and "improved understanding of the benefits of ecosystem goods and services of artisanal fisher representatives that participate in fisheries fora".

Another issue to contend with indicators in this case (and of course, in many others, this is not an exclusive problem with this project) is the attribution factor. It is indicated that direct cause and attribution should be addressed given the close causal linkage between the intervention and its effect or output.³ That is, for example, if a norm in one or both of the countries involved includes an ecosystem-based approach, is it truly attributable to the project? To what degree? Can this justifiably be an outcome / effect indicator?

The project would, therefore, benefit from some sort of review or even revision of the Logical Framework at some stage. Perhaps taking advantage of the revision that should take place to analyze the extension request. For further information on this, please refer to the Extension Request section further on in this report.⁴ This is not the annual LF review that takes place annually during the PIR process. This would be a review of the Logical Framework, as carried out in many projects of this type, when an inflection point is needed to push forward completion and meeting with objectives. Particularly in light of experience thus far in project implementation, identified problems and weaknesses, new and additional knowledge, and planned reviews.

² SMART principles for indicators are defined as follows:

- S** Specific: Outcomes must use change language, describing a specific future condition
- M** Measurable: Results, whether quantitative or qualitative, must have measurable indicators, making it possible to assess whether they were achieved or not
- A** Achievable: Results must be within the capacity of the partners to achieve
- R** Relevant: Results must make a contribution to selected priorities of the national development framework
- T** Time- bound: Results are never open-ended. There should be an expected date of accomplishment.

³ Some of GEF and UNDP guidelines indicate that indicators should not only be Achievable but also Attributable, meaning that a direct cause and attribution and causal linkage should be established (and measured) between the intervention and its effect or output.

⁴ Perhaps taking advantage of the revision that should take place to analyze the extension request. For further information on this, please refer to the Extension Request section further on in this report.

ASSUMPTIONS AND RISKS

Although the risks relating to the project together with possible risk mitigation measures have been apparently appraised during preparation of the project (as stated in the Project Document), it is the valorization of this evaluation that the assumptions and risks were completely under considered. The six main risks identified (see **Error! Reference source not found.**Annex Risks and Assumptions Table, from the Project Document) were:

- Changes in administrations in both countries affect the continuity of the SAP development process
 - *Rated Low/Medium in Project Document*
- Prioritization of development objectives limit the effectiveness of efforts for ecosystem protection
 - *Rated Low in Project Document*
- The current commitment to cooperate between both countries is diminished
 - *Rated Low in Project Document*
- Limited will to share information between institutions in public and private sectors at national and bi-national levels.
 - *Rated Medium in Project Document*
- Financial sustainability of MPAs established under the pilots is weak
 - *Rated Medium in Project Document*
- The economic crisis could reduce institutional budgetary allocations and the capacity to participate in the project
 - *Rated Medium in Project Document.*

Regarding the first risk identified, *administration changes*, although the risk is less perceptible in Chile, it is a medium to high risk in Peru. It has even pointed out by stakeholders that not only political/administrative changes can affect the project in this country; it has already done so by the high rotation of personnel from different areas of government that does participate in the project already. It is agreed that the risk to *prioritization of development objectives vis-à-vis ecosystem protection* is a low risk.

However the next risk identified (*current commitment to cooperate between both countries is diminished*) is exceptionally misrepresented. This is the case given that this risk is very high and it has already impacted negatively on the project, for example given the repeated standstills and nearly closing of the project due to this issue, in addition the above mentioned differendum and long-standing Pacific Ocean dispute between the two countries. Given that the dispute and the differendum project preparation, this risk has been tacitly and overtly underestimated.

The *limited will to share information between institutions* is, according to the information and perceptions gathered for this evaluation, a medium to high to risk. This is acknowledged not only by information gathered in the current evaluation, but also by knowledge of the willingness (or unwillingness) to share information by diverse actors and

stakeholders involved in this project. It is agreed that the last two risks are medium within the context of the project.

STAKEHOLDER PARTICIPATION

Within the HCLME Project (via documents, Terms of Reference for this evaluation, etc.) stakeholders are comprehensively identified in different manners. The Project Document contained a stakeholder analysis where main actors are identified in the following typology: government ministries, universities, research centers, non – governmental organizations, civil society organizations, as well as fishing private companies.

The subject areas identified in this typology are circumscribed to fisheries and environment. Nevertheless, this typology does not identify other important areas for ecosystem – based integrated management of HCLME, such as mining, urbanization and infrastructure, energy. This is a reflection of the project taking an almost exclusive view of fisheries and environment, which is identified elsewhere as one of the Project's shortfalls.

However, although the areas of work of the different stakeholders (governmental and non-governmental) are rather limited, the participation level of different key actors is seen as quite high. Not only in activities and the generation of products, but also in guidance committees.

UNDP COMPARATIVE ADVANTAGE

UNDP's engagement in the project is due to strategic considerations, including UNDP's comparative advantage in the field of development and environment, including ecosystem based management and sustainable use of natural resources.

However UNDP's comparative advantage and even role(s) within the project is not as visible nor as clear as expected. Although it is fully understood by this evaluation that formally UNDP's role as a GEF agency is substantive and technical project oversight toward delivery of overall objectives and outcomes and has no role in the on the ground implementation (as pointed out by UNDP itself), and that the on the ground implementation is the role of the Executing Agency, this 'division of labor' so to speak is not clear to stakeholders in the countries themselves. It is understood, and again as pointed out repeatedly by UNOPS even as comments to an earlier version of this report, that UNOPS is responsible for human resources, procurement, budgets, payments and the like. Therefore, the day-to-day project management thus naturally requires UNOPS involvement.

However, on the ground, in the two countries involved, this task division is very confusing and many key stakeholders perceive UNDP and UNOPS roles differently. It is not a question of logos (as some comments to an earlier version of this report question) neither exclusively a question of having staff members with UNOPS email addresses (although this does not aid in identifying responsibilities) it is a question of how the project is perceived agency-wise and how each role comes through. Furthermore, also other outside stakeholders identify this as UNOPS project (See Annex UNOPS identification)

For instance, even the role of UNDP in the Steering Committee is listed as an observer in Focal Points presentations (See Annex UNDP Role in Steering Committee). Since the Steering Committee is a key technical and substantive structure within the project and if the Focal Points specify that UNDP is just an observer, this is a strong indicator that the comparative advantage of UNDP is not perceived nor acknowledged by key stakeholders. When stakeholders are asked on what is the value added of UNDP, their responses are indicative that this is not visualized in the project, that is that the value added is “rather scarce” to quote key stakeholders.

UNDP’s directives for project monitoring and evaluation are also disregarded, which is a key issue in results based management and a crucial UNDP instrument that manifests its comparative advantage. RCU staff comments to an earlier version of this report deny that this is an evaluation by indicating exhaustively that this process and exercise “is not an evaluation”. Further comments by RCU indicate that this evaluation should not include the very subjects and issues that strictly follow prescribed contents of an evaluation as directed by UNDP guidelines. For example, questioning the very first premise of a UNDP mandated evaluation. Denying the number one purpose of this process (as indicated in UNDP and GEF manuals and this process’s Terms of Reference) which is *i) to monitor and evaluate results and impacts*. Furthermore, pretending that an evaluation should not analyze the Logic Framework or other aspects of the Project Document (which is mandated in all evaluation manuals pertinent to this sort of midterm evaluation). For instance, also ignoring what mainstreaming in UNDP programming is. Therefore, overall the technical and substantive role that should be visible is strongly undermined when the RCU pretends to eradicate UNDP – related mandates and issues from an evaluation. Or even pretends that UNDP guidelines should not be followed, or that the word evaluation be eradicated from the evaluation report. It would greatly benefit the project to instruct staff on what all of the above entails and what UNDP guidelines are followed for this matter, in order to have the project adjust to UNDP procedures closely associated to its comparative advantage.

Therefore, there are many instances and reasons and attestations as to why the role of UNDP is not visualized, perceived or accomplished as fully as it should. Therefore the technical and conceptual comparative advantage that UNDP’s engagement can have, and should have according to the Project’s design, is very diluted. It would greatly benefit the project if these roles are put across, clearly indicate to what agency does staff respond to, and in general clarify and visualize properly what each agency’s role actually is in order to ameliorate this. Furthermore, it would greatly benefit the project to have closer UNDP involvement in order to improve technical and conceptual aspects as well as to generate greater visibility in these aspects and move away from the image that the project only deals with financial transfers for the support of activities.

LINKAGES BETWEEN PROJECT AND OTHER INTERVENTIONS WITHIN THE SECTOR, INCLUDING MANAGEMENT ARRANGEMENTS

Linkages occur between project and other interventions, such as fluid exchanges with other IW projects. However, the linkages between the Project and other interventions within the sector, such as cooperation projects or other SNU agencies projects, are rather weak or even nonexistent with some of them. For instance, there are no linkages whatsoever with FAO, although fisheries are a key area of work of that agency, and therefore no inter – agency work or links.

For example, the link with other GEF – UNDP projects that are being carried out in similar subjects is practically non – existent in some areas. Although mentioned as probable and desirable in the Project Report (for example, GEF SNAP in Chile and linking with that project is specifically mentioned in the ProDoc). Also, other GEF – UNDP projects that have concluded but were dealing with the some of the subjects that HCLME Project have not been assimilated (for example, GEF Marino in Chile).⁵

There is the potential that the HCLME Project would generate synergies with other projects GEF UNDP projects which are in the process of being approved or close to begin implementation in Peru, and there is some evidence of linkages.

It would greatly benefit the project to generate synergies with other interventions within the sector as well as with other GEF funded / UNDP implemented projects in the countries involved in the HCLME Project and in the Latin American region. It would benefit the project to link with other projects (such as the ones dealing with marine protected areas when it has not done so) and to link with other SNU agencies that deal with fisheries, given the strong fisheries component the project has.

Project Implementation

Financial Planning

The financial planning of a project to be examined in a mid – term evaluation exercise includes actual project costs and management, as well as co - financing. The issue of project costs is duly expanded upon in the following section (*UNDP and Executing Agency execution (*) coordination, and operational issues*). Following are tables with financing and co – financing data for each country. ⁶

⁵ RCU comments that it has materials from some of the projects or is aware that there are other GEF projects in the countries involved. Nevertheless, what is being asked of the evaluation is to determine the linkages including management arrangements, not the bibliography the coordination has. Linkages with projects already working or having worked on the same area in the countries involved has not materialized, even when, for example, protected areas with similar ecosystem dynamics are involved.

⁶ This is information reported by Focal Points, since no global financial data for financing and co-financing was provided by the project.

CHILE

VALORIZACIÓN GASTOS DE CONTRAPARTIDA 2011 - 30 Junio 2013		
Producto	Actividad	Gastos globales (incluye IRI + gastos Operacionales)
Producto 1.1 "Un análisis Diagnóstico Ecosistémico (ADE) del OEMCH desarrollado y finalizado"	1.1.1 Crear un Grupo Técnico de Trabajo (GTT) multidisciplinario (con representación problemática interseccional), transsectorial y binacional, que involucre expertos en diversas disciplinas de ambos países. (Taller binacional)	147.010.479
	1.1.2 Revisar línea base existente a la propuesta y sus requerimientos y necesidades de actualización	
	1.1.3 Actualizar la línea de base del ecosistema y sus procesos para el MEE (consultar local)	
	1.1.5 Ejecutar Capacitación "Análisis Diagnóstico Ecosistémico (ADE)"	
	1.1.5.1 Talleres locales de avance del ADE (3 en Perú, 2 en Chile)	
	1.1.5.2a. Talleres Fase 1 del ADE Chile, Perú y Chile-Perú, producto ADE en borrador, 2 talleres, junio y septiembre 2013	
	1.1.5.2b. Taller Fase 2 del ADE	
Producto 1.4 Programa de Concientización sobre MEE para tomadores de decisiones, sectores y grupos de usuarios de los recursos	1.1.6 Consultoría Taller: Análisis de Riesgo Ecológico (ARE)	61.517.412
	1.4.1 Diseñar un marco general de actividades de concientización durante todo el proyecto (Difusión del Proyecto)	129.319.151
	1.4.2 Identificar, analizar y compartir las lecciones aprendidas que puedan beneficiar el diseño e implementación de proyectos futuros similares	
	1.4.3 Taller (Perú) AMERB en Perú asociado por expertos de Chile incluyendo un representante de la pesca artesanal de Chile	
Producto 2.1 Sistema de Planificación, Monitoreo & Evaluación basado en el desarrollo	1.4.4 Elaboración de un plan comunicacional	41.062.324
	2.1.1 Impactos ambientales y socio-económicos de las cadenas de producción de anchovita peruana (Villa Or. Fisco a Chile)	
	2.1.2 Adquisición de software para SIG	
	2.1.3 Generar información ambiental utilizada sobre pesquerías y medio ambiente (Seguimiento Norte y Centro Sur 2011-Junio 2013 + PIP Patagón Zona Norte 2011-2012)	
2.2 Programa de construcción de capacidades institucionales desarrollado para fortalecer la implementación del PAE y MEE	2.2.1 Curso-Taller de Indicadores (PERU+CHILE)	
2.3 Herramientas de gobernanza de mercado desarrolladas para el manejo sustentable de pesquerías	2.3.1 Levantamiento de información de las diferentes alternativas de certificación disponibles en el mercado actual (proporcionar información sobre el papel del gobierno en los procesos de certificación)	48.509.706
	2.3.2 Formación de capacidades en Certificación	
2.4 Programa de construcción de capacidades apuntado a grupos de actores clave involucrados (pescadores artesanales e industriales)	2.4.1 Realizar eventos informativos especiales (talleres de sensibilización)	12.521.697
	2.4.3 Conferencias internacionales relacionadas con MEE	
	3.1.1 Definir cuáles normas y regulaciones pueden ser utilizadas a corto plazo para el establecimiento de montes y calones submarinos como APs en Chile, generando así las condiciones para los pilotos y comenzar a dar	11.745.108
Producto 3.1 "Legislación desarrollada para la implementación de AMIs en áreas oceánicas (montes submarinos y calones en Chile)"	3.1.2 Desarrollar los mecanismos legales necesarios para apoyar el establecimiento e implementación de APs en áreas oceánicas, particularmente en habitats prioritarios, tales como los montes y calones submarinos	
	3.1.3 Elaborar proyecto de reglamento para aplicar la ley de Ecosistema Marino Vulnerable (EMV)	
Producto 3.3. Enfoque binacional de manejo coordinado piloto para el stock compartido de anchoveta	3.3.1 Taller sobre índices reproductivos (stock sur Perú - norte Chile)	
	3.3.2 Taller sobre métodos de evaluación (anchoveta y otros recursos)	
Producto 4.1 Dos montes submarinos en Chile bajo protección legal mediante categorías de manejo previamente acordadas	4.1.1 Conformar equipo técnico de tareas (ETT) en el caso de Juan Fernández (JF)	28.650.363
	4.1.2 Conformar un grupo que considere las viabilidades	
	4.1.3 Identificar la información considerada crítica para el establecimiento de Áreas Marinas Protegidas (Determinar viabilidad de establecer montes submarinos bajo protección)	
	4.1.4 Efectuar trabajo en terreno, establecer la línea base de la comunidad bentónica	
	4.1.7 Adquisición equipamiento de teleconferencia	
4.3. Un plan piloto para la conservación y el manejo sustentable de calones marinos disponibles	4.3.1 Conformar grupo de trabajo para la conservación de calones submarinos	4.043.398
	4.3.2 Levantamiento de Línea Base en Calones (Consultar Local)	
TOTAL PARCIAL		1.543.120.261 CLP
OTROS	Curso Manejo con Enfoque Ecosistémico (2011)	18.562.500
	Actividades administrativas, de coordinación reuniones NE y otros (2011, 2012 y 2013)	3.950.000
	TOTAL PARCIAL II	1.565.632.761 CLP

Sergio Pino (Firma)

APORTES SSPA DISPONIBLES PARA EJECUTAR DURANTE 2013	Monitoreo de la Langosta de Juan Fernández (UdeC)	54.000.000
	Certificación de la Langosta de Juan Fernández	50.000.000
	Licitación MMA Sitios de alto valor (incluye AC de R. Cruces)	32.000.000
	Cruceiro Línea base fina de la comunidad bentónica	240.000.000
	Piloto de Enfoque Ecosistémico en Algas Pardas (XV - IV) (12 proyectos, 6 logística y funcionamiento de las mesas de trabajo y 6 seguimiento biológico plan de manejo)	207.880.000
TOTAL Parcial III incluye presupuesto SSPA		583.880.000 CLP

Francisco Ponce (Firma)

TOTAL GLOBAL HASTA 2013	\$ 2.149.612.761 CLP
Eq USD (promedio junio 2013= 502,89)	\$4.274.319,95 USD

José Luis Blanco (Firma)

Fecha: 31 de Julio de 2013

PERU

Item	Fondos GEF Peru (US\$)	Fondos Peru (US\$)	Otros fondos (US\$)	Totales (US\$)
Resultado 1	729,125	IMARPE 1,936,268 PRODUCE 467,858 IRD 237,072 OLDPESCA 34,842 Subtotal 2,676,040	TNC 188,580	3,593,745
Resultado 2	716,500	IMARPE 324,178 PRODUCE 181,665 FONDEPES 224,500 SNP 1,706,200 IRD 177,804 OLDPESCA 34,753 Subtotal 2,649,100	UNDP 44,900	3,410,500
Resultado 3	490,750	IMARPE 1,251,812 PRODUCE 203,846 SERNANP 366,384 IRD 88,902 UCH 290,952 Subtotal 2,201,896	TNC 161,640	2,854,286
Resultado 4	1,114,375	IMARPE 658,234 PRODUCE 1,938,782 SERNANP 549,576 IRD 88,902 UCH 323,280 Subtotal 3,558,774	TNC 269,400	4,942,549
Evaluaciones	62,250	10,613		72,863
Gestion del Proyecto	349,500	IMARPE 473,708 PRODUCE 317,149 FONDEPES 25,500 SNP 193,800 SERNANP 104,040 IRD 67,320 OLDPESCA 7,905 UCH 69,789 Subtotal 1,259,190	TNC 70,380 UNDP 5,100	1,684,170
Totales	3,462,500	12,355,613	740,000	16,558,113

Monitoring and evaluation: design and implementation (*)

Monitoring, in the projects' context, is the periodic oversight of project implementation. The monitoring process seeks to establish the degree to which outcomes, products, schedules, other required actions and outputs are proceeding according to plans and strategies. The aim of monitoring is to have on-going observations in order to implement timely actions to correct deficiencies and place the project back on track if it has deviated from whatever has been planned.

Monitoring has been taken place according to design. However, given that key stakeholders from both countries have indicated that project is not meeting with Annual Operational Plans (AOP) as precisely as it should (for example, by carrying out and implementing activities which are outside what is planned and/or supposed to be implemented), it has been suggested that new and additional monitoring mechanisms be implemented to ensure that work plans are met, only planned products and outputs are implemented, and scheduling is kept to.⁷ A sort of “roadmap” has strongly been suggested by which constantly and permanently throughout the year the activities agreed upon on the AOPs are tracked, their completion monitored, and keeping to the AOP without deviating is assured.

As far as indicated, this is the first evaluation that has taken place within the project and following project evaluation guidelines. The timeliness has been changed with the agreement by all parties, in part due to delays in part to accommodate for it to be an input for the extension request review.

UNDP and Executing Agency execution (*) coordination, and operational issues

The project is implemented by UNDP as the GEF agency, and UNOPS is the executing agency in charge of project management. The division of tasks, therefore, is that UNDP is responsible for technical and thematic issues while UNOPS is responsible for administrative and management issues. As indicated in the Project Document, UNOPS will facilitate project management as Executing Agency in accordance with guidance from the Steering Committee.

The project is guided by multi – layered committees and institutional arrangements. The institutional provisions include a Steering Committee and two National Inter-sectoral Committees (one for Chile and one for Peru).⁸ The Steering Committee guides project implementation, verifies and

⁷ Some comments to an earlier version of this report requested substantiation of this matter. The best substantiation is the RCU's own response to this issue. See Annex RCU Reported Activities Outside of AOP.

⁸ The actual composition of the *Steering Committee*: IFOP, SERNAP, MMA, SERNAPESCA, la Sub-Secretaría de Pesca y el Ministerio de Relaciones Exteriores de Chile. IMARPE, Ministerio de la Producción PRODUCE, Ministerio de Ambiente, SERNANP y Ministerio de Relaciones Exteriores de Peru. The project document indicates that UNDP is also a member. however committee members indicate that UNDP is only an observer (see Annex PROYECTO GEF: Hacia un Manejo con Enfoque Ecosistémico del Gran Ecosistema Marino de la Corriente Humboldt (GEMCH)(2011-2016). UNOPS is an observer in this committee.

approves AOPs, approves financial and technical reports, and provide general strategic guidance to the Regional Project Coordination Unit. Both Chile and Peru have established National Inter-sectoral Committees (NIC).⁹ The designated National Focal Point for Chile is IFOP and for Peru is IMARPE. It is intended that the Focal Points roles are to promote better coordination and synergies between the project's activities and national, institutional and sectoral development plans and strategies. IFOP and IMARPE have designated a staff member each to act as liaison between the RCU and other national stakeholders and institutions.

The project's Regional Coordination Unit (RCU) is supposed to manage the project and is located in Peru. It is made up of a coordinator, a senior project officer and a financial assistant. A few weeks before the evaluation's mission took place, an administrative position was filled in Chile.

Although acknowledging the design issues and ProDoc information, the issues that stakeholders contend with are implementation issues, styles of management, as well as financial matters. The multilayered implementation arrangements have proved extremely complex in this case¹⁰, and unfortunately are causing serious issues with implementation. First of all the multilayered approach is deemed intricate by different stakeholders. This is not only evidenced by this evaluation, the repeated exchanges between stakeholders and the agencies are evidence of this.

Although it is understood that this has been customarily carried out in some other IW GEF projects (i.e. with an executing agency that is not perceived as an agency anchored in any of the countries involved, and therefore maintaining a certain distance from inter country conflicts and with UNOPS being a management agency that has expertise in procurement and administration of complex

⁹ *National Inter-sectoral Committee Chile, as indicated in the Project Document*, is made up of SUBPESCA, CONAMA, ONGs, SERNATUR, Confederaciones de Pescadores artesanales, Comisión para la zona Costera, SERNAPESCA, MINVIU, SERNAGEOMIN, PUCV, Universidad de Concepción, and other relevant organizations. Note that some of the institutional changes that have occurred in the country since project approval implies that different names are currently used for the institutions.

National Inter-sectoral Committee Peru is made up of MINAM, SERNANP, PRODUCE, MINCETUR, AGRORURAL, Ministry of Energy and Mines, regional Governments in the area of the project, National Society of Fishing Industries, a representative of the local associations of fishermen, Cayetano Heredia University, the University of the Pacific, and other organizations with responsibility for the implementation of the project, including the private sector and civil society.

¹⁰ Comments to an earlier version of this report are acknowledged, where UNOPS points out that the sort of arrangements in place are used successfully in other projects of the kind with even more countries involved. Also, comments by UNDP are acknowledged where they state "regarding the implementation arrangements which are largely mandatory within the GEF context and are replicated in dozens of GEF IW projects around the World to good effect. If anything, they represent a MINIMUM level of coordination structures to ensure achievement of Project objectives such as inter-sectoral involvement, effective GEF agency oversight, etc." However as indicated in the text of this report, where we are here dealing with *this case*, where arrangements were not clear in the ProDoc, where a certain type of management style is being used that is not agreed upon by stakeholders, and where an international dispute hovers over the implementation process.

projects with BVM approach), the multi – layering has created certain negative perceptions in the countries involved and in the UN.

Furthering to this issues, is the matter that UNOPS mention as an executing agency is only embedded in the Project Document and it is not mentioned upfront, giving the impression (as many stakeholders indicated both from within and without the UN System) that UNOPS is an addition to the intricate architecture of this project that came in to play later on in the process and not early in the design.¹¹

Furthermore, full costs of project management, due to an apparent oversight. Therefore, the questioning is not *how* UNOPS administers the funds that it is questioned but the perceived multi layered approach that adds layers on the project management costs, and the fact that these costs were not included up front at early formulation stages and emerge at later phases. It is acknowledge, as indicated by some stakeholders, that the project implementation arrangements are fairly standard for GEF IW and, also according to some stakeholders, represent repeatedly demonstrated most cost effective structures for delivering the complex and challenging results called for in the GEF IW focal area. Nevertheless, it also cannot be denied that, in this case, they are perceived as complex, at least by national level stakeholders.

Also, there is a lack of clarity as to the definition of tasks and duties as an administrative entity, that is how far should or can an administrative and management agency extend its sphere of work within the project? Where are the limits of one and the other? What are the functions of each? What role does each of the national institutions play in implementation within each country? There is no agreement or clear understanding between some partners as to what management and administration really entails, what the inputs from partners and stakeholders is or should be in these processes (for example, as pertaining to hiring processes, expenditures, etc.). It would greatly benefit the project in its further implementation for partners to make explicit, clearly agree upon, outline and communicate what are the duties and obligations of each agency, when consultations with partners are pertinent, and how the decision – making process regarding these processes are taken..

As indicated earlier, the project is perceived as a UNOPS project by many stakeholders, including Focal Points. This is so, even in project visibility, given that even the Regional Coordination

¹¹ As corroborated by UNOPS in interviews and in comments made to an earlier version of this report “it is correct that UNOPS is not mentioned in the Summary on the Front page. Nevertheless UNOPS is clearly identified in the Project Document as the Executing Agency, (e.g. Chapter “Management Arrangements” as well as in the “Total Budget and Workplan”).” UNOPS indicates that the Project Document has been signed off by all parties involved before project implementation was initiated.” As indicated however by GEF, “Due to an oversight, the full costs of project management were not taken into consideration during the project formulation”. Accordingly, the confusion and qualms regarding this matter still persists.

Therefore, this issue persists as a problem or a design flaw as perceived from many stakeholders; therefore there is a communication problem that could foreseeably be improved by better communicating project arrangements between and among the many stakeholders involved.

Units appears in project presentations as a UNOPS entity where the RCU is identified as such: “UNIDAD REGIONAL CORDINADORA (UCR) UNOPS”, that is Regional Coordination Unit (RCU) UNOPS. Also, besides the perceptions gathered through this evaluation, there are other materials that identify the project as UNOPS (see Annex UNOPS Identification)

Therefore, the role of UNDP is not visualized, perceived or fully accomplished. Therefore the technical and conceptual comparative advantage that UNDP’s engagement can have, and should have according to the Project’s design, is very diluted.

Throughout the evaluation mission, there have been numerous observations made regarding the complexity of a multi layered approach and regarding financial arrangements (actual and planned). Lastly, regarding this matter, is that non careful financial and implementation planning at design stages, with the above issues as clear examples, is very harmful for a project’s implementation stage. Particularly so for a project that has entrenched in it so many political and other delicate issues. A lesson learned is that projects should be carefully planned and designed in order to avoid duplications and simplify implementation processes

UNDP’s role is much diluted in this project. . It is understood from project documentation that UNDP would have a substantive and technical role. Nevertheless, it is perceived that this has not materialized fully as of yet in project implementation and performance.

Regarding the Regional Coordination Unit, there are several other implementation problems: implementation modality, management issues, meeting with institutional and management guidelines as set up in the Project Document, as well as costing issues. These are convoluted issues, and perceived the same way in both countries. However, it must be made clear that although some of the issues are differently perceived in *degree*, the same problems are perceived in both Chile and in Peru and by Chilean and Peruvian relevant stakeholders.

First of all, a highly asymmetrical situation exists which does not help at all with the political sensibilities that arise within and surrounding this project. The RCU not only is based in Peru, and the RCU has supported implementation of activities and products in that country. Activities in the Chilean side are implemented by the Focal Point (IFOP). As stated above only very recently, and at a mid-point in the project, support staff has been hired for the Chilean-side implementation. Therefore, this situation has begged the question over and over again, from stakeholders in this country, what does the project do for Chile? What is the benefit of the project to Chile? What is the benefit for Chile if regional coordination does not have a presence in that country and emblematically, only at project mid-point and not before has an administrative position been filled?¹²

¹² It was indicated by some stakeholders in a previous version of this report, that this is due to the fact that only in 2013 an agreement was only reached with IFOP in 2013 for this appointment to be advertised. However, this comment also reinforces the lack of parity between both countries.

The other highly complex matter to contend with regarding execution, coordination and operational issues is the setting up, organization and running of the coordination unit. Regarding financial issues involving the unit, there are costs associated with it that were not adequately planned for, for example office costs, and which customarily are a contribution by partners (more often than not an in kind contribution, but a input nonetheless). Customarily, the country that hosts the coordination units provide this space and this is reported as co-financing. This possibility should be explored further in order to not only reduce costs and streamline cost – effectiveness, but also to salvage some of the project’s credibility that has been damaged by the insertion of costs not contemplated in the design process or in the pertinent project’s documents.¹³ These expenditures, together with delays in implementation, add to the overall cost of the project and add to the insight and perception by stakeholders that this is an ‘expensive’ project in value for money terms or even in time-related efficiency. Furthermore, all of these unplanned and unforeseen costs which were omitted in the design process add to the already intricate and tense environment that permeates this project.

Additionally, if the RCU is in fact identified as a UNOPS entity (as indicated by IW Learn, by produced by focal points, and as perceived by national stakeholders) and UNOPS is an administrative and management agency, therefore the RCU is perceived exclusively as such also. The technical and thematic strengths and responsibilities of UNDP are, therefore, highly weakened. This is particularly so when there are no direct contacts or little technical between UNDP technical advisors and the focal points. Therefore, the office as well as staff costs are also perceived by many partners and key stakeholders as overhead costs used for administration and management.

The UN Agencies involved indicate that they have repeatedly tried to explain to public stakeholders what each fee covers and that they are standard. However, as the UN Agencies involved also indicate (and the high level of conflict with this issue that has been identified throughout this evaluation corroborates this) this has not been understood. This begs the question on how well has this been communicated and that there is, subsequently, ample room to communicate this issue in a better manner.

The Terms of Reference of this evaluation further acknowledge these issues. The ToR puts forth the consideration that these issues have not been totally satisfied by indicating that “To address this serious deficit, a tripartite meeting Chile-Peru-UNDP/GEF is to be convened to discuss reprioritizing and focusing remaining resources on key project activities –including reviewing

¹³ As pointed out, this is indeed the case since rarely do GEF IW Projects pay for premises which are almost always provided by governments hosting coordination units. Albeit RCU indicates in comments to a previous draft of this report that there are obvious advantages to the Project given that “meeting room space and car parking is provided” in the premises now, this is not understood as a coherent objection to the provision of these facilities by hosting institutions. Many key stakeholders have suggested a change in this issue and many other key stakeholders have explicitly agreed a priori with this matter and suggestion, which not only would save costs but would be a good will gesture towards the many complaints lodged regarding this matter.

implementing costs–, particularly the development of the Strategic Action Programme (SAP) –having first completed the necessary Transboundary Diagnostic Analysis (TDA)– and the implementation of pilot marine protected areas that underpin ecosystem conservation and resilience, as there will be no additional GEF funds for the project’s current phase.” This also puts forth the issue of retrofitting and streamlining the project for its remaining implementation.

Regarding RCU, it is clear in the Project’s documents, as is common practice in similar UNDP GEF-funded projects, that the RCU is guided in project implementation and provided strategic guidance by the relevant decision – making committees (as in this case, the Steering Committee). This guidance is then translated into implementation instruments. The Project Document is clear about the roles that the RCU. That is the RCU “is responsible for the timely completion of the project objectives and for daily project execution, as well as other tasks as POA preparation, and ultimately for fulfilling project outcomes”. However, some crucial implementation issues as they relate to the project’s Regional Coordination Unit have been pointed out by key stakeholders in both countries. That is, that the RCU carries out activities, takes decisions, executes products, and creates alliances outside of what is in the AOPs or not taking into account national guidelines and practices. In the Annex Activities Outside of AOP That RCU Reports as Having Carried Out a list of such activities are reported by the RCU itself, validating the gathered perceptions. Key stakeholders indicate that many of these activities go beyond what is agreed upon as a work plan, are outside the scope of the Project, confuse reporting by RCU to stakeholders, and that some of them are not aligned with national procurement practices.

The design process needs to clearly identify up front implementing mechanisms, financial issues, value added of agencies involved in implementation as well as other very relevant operational issues. The design process should carefully take into account administrative issues relevant to the implementation process (issues such as costs, setting up of implementation structures, etc.). The lack of clear, explicit and transparent design hinders the Project.

Projects need to be streamlined in order to be more cost – effective, and less complex in implementation process. The multi layered complexity present in these sorts of projects not only has negative financial impacts but also impacts negatively upon how the project functions, its effectiveness, its efficiency and –eventually–in the whole of the implementation process, ultimately negatively influence on the products, results, effects and impact of the project.

This possibility of financial and costing streamlining should be explored further in order to not only reduce costs and rationalize cost - effectiveness but to salvage some of the project’s credibility that has been damaged by the insertion of costs not contemplated in the design process or in the pertinent project’s documents. Furthermore, UNDP should be closer to this project by strengthening its technical and substantive contributions, or the project will act and be perceived as merely the executions of funds without technical inputs. These recommendations are meant to salvage the noteworthy shortcomings identified.

Overall, therefore, the whole implementation and execution process is deemed to be *Moderately satisfactory*, due to the series of shortcomings identified by this evaluation.

IA & EA Execution

Overall Quality of Project Implementation/Execution: Moderately satisfactory (MS)

Implementing Agency Execution: Moderately satisfactory (MS)

Executing Agency Execution: Moderately satisfactory (MS)

Project Results

Overall results (attainment of objectives)

There are no specific guidelines for Mid Term Evaluations of GEF funded UNDP projects on how to exhaustively deal with the issue of results, outcomes, or effects as they relate to a project's activities and products. This is coherent with the fact that at a project's mid – point it can be hoped at best to have achieved some products and that there would be a notion regarding expected results.

Nevertheless, it is mandated that the mid-point evaluations follow terminal evaluation guidelines, where the valorization of attainment of objectives, effect – level results and even impacts is sought. It is actually rather imbalanced to ask the same sort of valorization regarding effect or impact for projects that are supposedly at its mid – point, and that normally it has only begun to be implemented a short time before the mid-term evaluation, such as this case. That being said, and having this caution in mind, some valorizations of overall results in terms of attainment of objectives will be attempted.

Although the project has had some serious implementation problems thus far, a series of outputs and products have been accomplished which can be highlighted here. Unfortunately, a separation of the HCLME project into two 'sides', one Chilean and one Peruvian is very much a characteristic of the interventions thus far.¹⁴ Although some outputs and products have had exchanges (for example, individuals from one country have participated in activities in the other country), these have been a few instances of exchanges or joint activities.

Recording them in this report as separate objects does not imply that this evaluation agrees with this dichotomy, but it's the only way to account for them given that this is how they are being implemented and how are being conveyed by focal points and to a great degree by Regional Coordination Unit.

Most of the products completed, therefore, partially fulfill intended outputs for *Outcome 1 Planning and policy instruments for EBM of the HCLME – the development of the SAP* (They are a completed Ecosystem Diagnostic Analysis (EDA) of the HCLME)¹⁵ and partially some activities related to *Outcome 2: Institutional capacities strengthened for SAP implementation and for the up-scale of results of pilot interventions to the systems level*. Outputs for Outcomes 3 and Outcomes 4 have only just begun to be formulated.

¹⁴ This issue will be further explored in the conclusions at the end of this report.

¹⁵ Unfortunately, these studies were not made available to the evaluator at the time of the mission; therefore no further valorization can be made.

In the annex section there are listing of activities and products carried out in each of the countries (see Annex Chile Products and Activities and Annex Peru Products and Activities). In general, at the time of the evaluation both countries report that there have been a series of products implemented, such as: thematic studies, a series of workshops, training workshops, software purchases, and meetings in both countries, some baseline methodology development and field visits for Outcomes 3 and 4.

Therefore, the implementation is rather weak if the mid – point time frame is taken into account. That is, what has been implemented are not strong advances compared with planned outputs for this stage. Keeping this implementation pace will imply that all expected outcomes and outputs will not be achieved in the arranged time frame and with the resources allocated.

Regarding the products and the question as to whether there have been advances (relative to what would have occurred in the absence of the project) it can be stated that there is a probability that this is so. Unless of course the countries and stakeholders within each of the nations involved would have implemented these activities and produced these products on their own. It must be pointed out that the real value added of the project, which would be as stated in the Project Document “A regional cooperation framework on ecosystem-based fisheries management will provide for improved resilience of living marine resources so that stocks can grow to their fullest economic potential and associated biodiversity will not be impacted” has not, to date, materialized. Given the lack of insitutionality and instruments thus far to deal with ecosystem based management at the trans zonal level with the HCLME, these would be the area that most likely will not have advances in the absence of a project of the kind being implemented.

Relevance (*)

Relevance of a project is the extent to which the objectives of a development intervention are consistent with beneficiaries’ requirements, country needs, global priorities and partners’ and donors’ policies. Therefore, the relevance of a project is not only established by valuing whether it is in line with national, regional or local environment and priorities, but also by determining whether the project relates to the main objectives of the GEF focal area.

The project is *relevant* since it is consistent with beneficiaries’ requirements in relation to the need for an ecosystem and integrated approach for the management and sustainable use of natural resources. The project is in line with country needs and donor’s policies, as evidenced in documents that set out these needs vis-à-vis donor’s (such as UNDAFs, CPAPs, etc.). And of course it is in line with global priorities of international waters integrated management, GEF focal area, and partners’ and donors’ policies.

Additionally to the above relevance – related issues, this project begs the question as to how relevant can it be (re: how well it responds to both countries’ needs and requirements), if the very same area of intervention and the natural resources within the Humboldt Current are a cause of conflict between Chile and Peru.

Contrary to what at first view might be perceived as an irrelevant project or a counterproductive intervention, in view of the full-scale and long standing conflict between the two countries that has culminated in an ICJ dispute, this evaluation appraises that the project is not only relevant but has the potential to be a highly relevant project. That is, once the differendum culminates, the two countries will need to begin collaborating in joint resource management. The Project could have a pivotal role as a means to strengthen cooperation between the two countries, to aid in serenely resolving the profound differences already experienced, as well as to aid in generating tools for ecosystem-based integrated management of natural resources vis-à-vis the Humboldt Current.

<i>Relevance Rating: 2. Relevant (R)¹⁶</i>
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Effectiveness or Efficacy (*)

Effectiveness is the extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance. The valorization of effectiveness or efficacy is used as an aggregate for judgment of the merit or worth of an activity, (i.e. the extent to which an intervention has attained, or is expected to attain, its major relevant objectives efficiently in a sustainable fashion and with a positive institutional development impact.)

Unfortunately, given the already mentioned issues with project implementation, repeatedly indicated in the pertinent sections of this report (particular in relation to costs and efforts that have been used thus far to implement the project, but also to delays that seriously jeopardize meeting with objectives within the stipulated time frame) it can be said that –so far–the project is not perceived as very cost – effective. If every single interview of key national stakeholders in Chile and some in Peru, and even by some stakeholders at the UN, begin by a complaint regarding this matter (where this specific matter was not part of the guidance questionnaire and the subject is brought forth by the stakeholders themselves), if exchange of letters have taken place where officially there are complaints regarding this matter, this is a subject that the project has to contend with seriously. As stated by complaints lodged regarding this issue, this problem is related to high administrative costs (as perceived by key stakeholders) and –also-- that the delays in implementation are having costing effects, This is so in terms of assessing achievement of the environmental and developmental objectives as well as the project's outputs in relation to the inputs, costs, and implementing time.

This evaluation is fully aware by outputs from in depth interviews and by comments made to an earlier version of this report that a detailed analysis of costs is being requested by key stakeholders. However, that sort of accounting exercise is not part of an evaluation process (no such issue is mentioned neither in general UNDP guidelines neither in GEF or UNDP evaluation manuals). There is a misunderstanding evidenced by comments that this evaluation would do an accounting cost analysis. However the only issue asked in the Terms of Reference (and correctly so) is that the evaluation should “Is project implementation as cost effective as originally proposed (planned vs. actual)?” The

¹⁶ Note. Relevance ratings are based on a two-point scale: 2. Relevant (R) and 1. Not relevant (NR)

answer to that question is no, the planning was much more cost effective than what actually is taking place taking into account that there are costs not planned for and that extensive delays are having a costing strain. Furthermore, also following UNDP and GEF guidelines on financing, where evaluations are guided to assess variances between planned and actual expenditures, it can be safely stated this has happened within this project.

Therefore what an evaluation can do is look at this matter in terms of effectiveness and in terms of key stakeholder qualms that impact negatively upon the project. An evaluation exercise is in no way a financial audit. Whatever analysis and recommendations put forth can only be made in broad terms regarding effectiveness and efficiency.

However, seeing that this is such a sensitive issue it would benefit the project to carry out a financial audit that can do a proper cost analysis as the some key stakeholders are demanding, which should include also an assessment of due diligence in the management of funds and financial audits.

In relation to extent to which the development intervention's objectives are expected to be achieved in the HCLME project's remaining stages, effectiveness or efficacy can only be achieved if serious strategic streamlining would take place. This should be done in order to accommodate project activities in relation to obtaining objectives, and reprioritizing exercises where necessary in order to accurately retrofit the project to meet its key objectives with the remaining funds and actual implementation timeline.

The valorization of effectiveness goes beyond merely financial terms, and is a broad evaluation on how effective the project would be in achieving effects and impacts. Given the delays, hindrances identified, and given the realization by all involved that project would not reach achievements within the stipulated time frame, unless changes and retrofitting takes place, the effectiveness of the project is risked. Given the identified significant shortcomings in terms of effectiveness or efficacy, this criterion for the HCLME Project is deemed Moderately Unsatisfactory.

<i>Effectiveness or Efficacy (*) 3. Moderately Unsatisfactory (MU): significant shortcomings</i>

Efficiency (*)

Efficiency is a measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results. Efficiency is very connected to the above mentioned criteria.

Again, and regrettably, given the already stated issues of project implementation, repeatedly indicated in the pertinent sections of this report (particular in relation to costs and efforts that have been used thus far to implement the project) it can be said that –thus far–the project is not very efficient. As stated above, a serious analysis in order to increase efficiency should be carried out for the next stages of the project, attempting to reduce unnecessary costs and streamline expenditures.

GEF UNDP Evaluation Guidelines further indicate that efficiency is a measure of how economically resources as well as inputs are converted to results, and it they further indicate that this is

not only an issue of funds, but also of expertise *and* time. Given the delays experienced in converting inputs into results within the project this is also an indicator that there are shortcomings in this criterion.

Given the identified significant shortcomings in terms of efficiency, this criterion for the HCLME Project is deemed Moderately Unsatisfactory.

<i>Efficiency (*) 3. Moderately Unsatisfactory (MU): significant shortcomings</i>
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Countries ownership

Given the serious political and implementing problems this project has faced thus far, even recalling that at one point the project was about to be abandoned, one would expect that there would be little country ownership. Nevertheless, this evaluation has surprisingly (and positively) found that there is a high degree of ownership from both countries, and a momentum to see the HCLME project complete and implemented.

This is due to the fact, among other variables; the project is highly relevant vis-a-vis national sustainable, resource management, and environmental agendas. Furthermore, since it is aligned with international and regional agreements that each country has committed to (both at the international environmental level as well as at the regional ocean natural resources level). Lastly, both recipient countries have demonstrated and manifested a strong commitment with the project, manifested by the resources the countries have contributed, innumerable negotiations that they have engaged in to see the project through, as well as explicitly manifesting that the project is a commitment they have made vis-à-vis the international community and that it must be implemented in order to keep to this commitment.

Mainstreaming

GEF financed UNDP projects, such as the HCLME Project, are significant components of UNDP country programming. In fact, they are key and principal components of many Environment areas of UNDP country offices in the Latin American and Caribbean Region. Therefore, outcomes, effects, impacts and objectives of a project should follow UNDP strategies together with GEF-required outcomes focused primarily towards global environmental benefits.

Again as mentioned earlier in this report regarding other matters to be evaluated, a mid – term assessment is not a clear-cut point in a project’s life cycle to determine mainstreaming per se. It is more accurate to state that a mid – term evaluation evaluates the *possibility, potential, or likelihood* of mainstreaming given the indications of such process taking place as a result of the project. It is also instructed that evaluations should determine how GEF-financed interventions mainstreaming adequately other UNDP priorities, such as poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender.

In general, the HCLME project has the potential to have positive effects on local populations (for example, in improved natural resource management and sustainable use with local populations involvement, improve conditions for the generation of jobs and income, in integrated management of marine ecosystem natural resources, as well as for the improvement of policy frameworks and tools for medium and long term sustainability). The very core of the project involves and promotes the improvement of policy frameworks and the use of methodologies to implement an ecosystem-based approach to strengthen a regional planning framework. Namely with the development and endorsement of a long-term Strategic Action Program (SAP) and National Action Plans (NAP), including approved policy instruments for ecosystem-based management established for the HCLME as well as to improve capacities for up-scaling management models to strengthen marine habitat representatively in the countries' National Protected Area Strategies (NPAS). Therefore, the very core of the project involves mainstreaming as an explicit aim.

There is no evidence that the project outcomes have contributed to better preparations to cope with natural disasters. This was not an objective of the project and therefore it is not reflected in expected outcomes. Nevertheless, the project does include climate change and climate effects as an area of analysis given the impacts that this phenomenon has on the Humboldt Current and its resources and consequently on the countries and societies involved (for example, regarding El Niño and La Niña cycles).

Gender mainstreaming issues have not been taken into account in project design and implementation and the project has not contributed to greater consideration in an integral manner to gender mainstreaming. Lastly, the HCLME project does concord and conform with agreed UNDP country program documents and country program action plans for both countries.¹⁷

Sustainability (*)

When assessing sustainability what is being gauged is the extent to which benefits are likely to continue, within or outside the project domain, from a particular project or program after GEF assistance/external assistance has come to an end. That is, will the effects and outcomes continue in the medium and long term once the project is completed and the funding has ended?

It is understood that sustainability is multi-faceted. That it is expected that projects need to be politically, financially, socially and of course environmentally sustainable in time. It is this evaluations

¹⁷ As evidenced by UN program documents and action plans, such as “*Marco de Asistencia para el Desarrollo del Sistema de las Naciones Unidas en Chile, 2007-2010*” and “*MARCO DE ASISTENCIA PARA EL DESARROLLO DEL SISTEMA DE NACIONES UNIDAS EN CHILE. 2011 – 2014*” as well as “*Marco de Asistencia para el Desarrollo del Sistema de las Naciones Unidas en el Perú, 2006-2010*” and *Marco de Asistencia para el Desarrollo del Sistema de las Naciones Unidas en el Perú, 2012-2016*.

appraisal that the project (of course if completed meeting with the proposed outcomes, products, effects and impacts) is *moderately likely* to be sustainable.¹⁸ That is, that it faces moderate risks only.

First of all, as stated before, there is strong country ownership in both countries involved, at least in national implementation processes if not in regional products / processes. Political and institutional sustainability is enhanced because the project is relevant to the national development and environmental agendas of both countries, and is aligned with national policies and strategies. There is political stability in both countries and the project aims at strengthening broad capacities and generate instruments for ecosystem managed approaches for the Humboldt Current.

Given the above sustainability likelihood, it is deemed that sustainability prospects are Moderately Likely (i.e. that risks are only moderate).

Sustainability ratings:

3. Moderately Likely (ML): moderate risks

¹⁸ The Sustainability scale is different for the rankings drawn before. This is a four point scale as follows: Sustainability ratings:

- 4. Likely (L): negligible risks to sustainability
- 3. Moderately Likely (ML): moderate risks
- 2. Moderately Unlikely (MU): significant risks
- 1. Unlikely (U): severe risks

Extension request

A no – cost extension to prolong project closure to March 2016 has been requested by IFOP and IMARPE. It is the valorization of this evaluation that due to the prolonged period that it took for the project to truly begin to function, delays in setting up the structures that would implement and guide the project, as well as the political problems the project faced to date (as for example the stand still experienced regarding many activities and proposed outputs due to the case concerning the Maritime Dispute (Peru v. Chile) presented before the International Court of Justice) an extension would be practicable and desirable. Given the remaining funds and committed resources, if the project would receive an extension, there would be a greater likelihood that the objectives could be achieved and results met.

That being said, however, the extension should be contingent upon certain aspects, such as a more concrete strategic ‘road map’ regarding project activities in relation to obtaining objectives, reprioritizing exercises in order to accurately retrofit the project to meet its key objectives with the remaining funds and actual implementation timeline, as well as an analysis on the overall financial implications an extension would have.

This revision should also be seen as an opportunity to revise some matters and issues, such as for example those presented in the Logical Framework, in light of project implementation issues, problems and experiences thus far. Tangentially, if and when an extension request is analyzed, serious re prioritization and retrofitting exercises should take place, not only regarding project activities and expected outcomes, but also including financial aspects. Financial aspects, not only those related to the activities/products but also –importantly—those related to implementation and management costs need to be carefully reviewed by the parties.

That is, whether the project receives an extension should be analyzed and eventually granted or not based on pending activities in relation to meeting objectives. However, and very importantly, this opportunity should be used to streamline the project in many ways. That is, the extension request and eventual assessment related to a possible prolongation should be seized as an opportunity to restructure and rationalize the project in order to make it more cost – effective. The costs of the project are a major issue presented by a myriad of partners, and which as seen in the body of this report; this vast problem has caused innumerable complaints, qualms and uncertainty in the short time life span of the project thus far. Furthermore, delays have been also been associated to several other issues, such as Peru requesting corrections to the Project Document inaccuracies before signing on to the project, the pending ICJ decision and its direct impact over some of the work on shared resources as well as a hovering general impasse this dispute has over bilateral relations, and delays in Chile relating to the baseline survey work in the Juan Fernandez Archipelago.

Conclusions and recommendations

The next segment of this report is a summative section where conclusions, corrective actions for the design, implementation, monitoring and evaluation of the project are outlaid together with actions recommended for future directions. These conclusions and recommendations are based upon the lessons the project has left behind, as well as discovering what the best and worst practices have been thus far.

As a very overarching conclusion it can be said that the HCLME Project is an extremely relevant and very suitable project. It has been and is still relevant no matter what local changes have occurred since its very first inception and throughout all the conflicts that the countries have confronted throughout the project's life cycle thus far. Also, the project has an enormous potential for being valuable in the future, setting the stage for integrated management of resources within the Humboldt Current in a trans zonal manner.

However, there are some issues that need to be faced in order to improve efficiency, effectiveness, generate outcomes and effects as well as to generate adequate tools for future implementation of regional approaches to natural resource management within the Humboldt Current. These issues are thematic / conceptual and administrative / management – oriented.

This next section is drafted understanding that one of the focuses and emphasis of a mid – term evaluation is to provide recommendations for the remainder of project implementation. However, it is also understood that the evaluation report should provide recommendations that are practical and feasible focusing on the intended users of the evaluation. These should be advices about what actions to take and decisions to make, mainly for current project but also for the implementation of projects in general.

It must be noted however, that *practical and feasible* are aspects that greatly restrain in some ways the sort of recommendations that can be drafted for this project. The project has had and continues to have many problems contingent upon implementation, administration, and management issues. This, in tandem with the political issues and complications tangled in the HCLME Project, compel that the recommendations be feasible in the sense that no recommendations that would require deep re – negotiations are proposed. These would not be feasible at all to implement, given that if project negotiations are re – opened, in all likelihood the project would never be completed adequately.

All actors and stakeholders in this project must come to terms with the matter that this is a highly political project and it will be negative if the project implementation stage negates this. This matter, coupled with administration issues have caused delays must be faced in order to implement streamlining and retrofitting measures in order for the project to complete its cycle properly, generating outputs, outcomes, effects and overarching impacts.

- The first point of contention, expressed by many stakeholders and document analysis, is that the concept of ecosystem – based approach is elusive and not well defined within the scope of the project. Furthermore, that the project falls many times in sectoral approaches while claiming an integrated eco-system based management. *Recommendations: The project should clearly define and give more concrete significance to the eco – system based approach, operationalizing this concept as much as possible and not leave it open to varied interpretations. It has also been recommended by key stakeholders that there is a need to work with both countries to advance upon an operational definition to this concept. Albeit it is understood that at times sectoral issues or products need to be contended with within the project, these need to have an integrated vision in order to adequately reflect a transversal ecosystem approach.*
- The project overly emphasizes the fisheries sector and fisheries management. Although deeply embedded in the Project Document issues which go beyond fisheries are not truly entrenched in the project products, dynamics or even sought outcomes and effects. Coastal management, interface with land – based issues (such as pollution, interface with other productive sectors beyond fisheries¹⁹, relation / impact upon the Humboldt Current's resources of urban development) and other such issues are not adequately incorporated thus far. This is also evidenced that project stakeholders, beneficiaries, as well as key actors greatly originate from the fisheries sector (both public and private actors). Furthermore, the highly political nature of the project is often not acknowledged. *Recommendation: Broaden issues that the project contends with to go beyond as much as possible than just fisheries and fisheries issues, in particular incorporating stressors that are having negative impact on the ecosystem. Incorporate*

¹⁹ UNOPS observes on this technical issue in comments to an earlier version of this report that “it should be noted that the HCLME Project in its day to day implementation actively considers all five LME modules. E.g. the consultants/ companies engaged to update the TDA from 2003 was appointed with the intention of bringing in experts with different backgrounds, from governance experts to fisheries experts.” However, this valorization is based on input from the most varied stakeholders from different institutions (even project consultants) that other considerations beyond fisheries that for instance stress the marine ecosystem should be further interlinked and reinforced.

As UNDP observes in comments to an earlier draft of this report “The ultimate issue/s that the Project elects to focus on must be the agreed priority transboundary issues that emerge from the TDA process once completed. GEF IW does not finance ‘all environmental issues’, it seeks to help countries prioritize and address the key transboundary issues that require joint solutions”. This valorization, therefore, does not contradict what is being said in this evaluation comment, given that the countries, through this mentioned recommendation and input are beginning to express and indicate what issues need to be incorporated and which need to be prioritized at this stage and onward.

international law expertise to the project. Broaden the stakeholder base to include non-fisheries actors. Increase the presence of social, cultural, and economic issues in the products and activities that the project should implement in its next phase.

- Thus far, the greatest strength of the project has been the creation of capacities and capacity building in both countries, in particular regarding the analysis and instruments being developed and apprehended. *Recommendations: This good practice should be fostered in order to harness the positive outcomes that the project has had so far.*
- When defining pilot areas, this project as many others, has been overly ambitious (for example, three areas in Peru with one presenting very diverse dynamics than the other two), and has lacked a programmatic and comparative facet between the two countries (for instance, the pilot area in Chile is non-comparable ecologically to the Peruvian sites, although it is understood that it was chosen due to strategic consideration for the country). *Recommendations: Since some of the main notions behind the pilots are to develop instruments, mechanisms and skills that can effectively be up-scaled, strengthening capacities for implementing the strategic planning frameworks, the careful selection of pilots should be carried – out in future projects and future programming in order to bolster replicability. For future reference when dealing with bi-national or regional projects, it would be more useful if pilot sites are comparable among some dimension, in order to facilitate exchanges and the sort of integrated analysis and frameworks sought as outcomes. For this project, there is still the possibility to foment exchanges between marine protected areas in both countries with similarities among them and to begin to generate exchanges related to marine protect areas between the two countries involved.*
- The design process for this project has not clearly identified up front implementing mechanisms, financial issues, value added of agencies involved in implementation as well as other very relevant operational issues. The lack of clear, explicit and transparent design has hindered the HCLME Project implementation in many ways. *Recommendations: For future programming, it must be clear that the design process needs to clearly identify up front implementing mechanisms, financial issues, value added of agencies involved in implementation as well as other very relevant operational issues. The design process should carefully take into account administrative issues relevant to the implementation process (issues such as costs, setting up of implementation structures, etc.). Costing should be carefully planned and followed, and financial audits need to take place so that expenditures are truly what have been planned for and not added at a later date.*
- This project has not been overly cost – effective, and it has a highly complex implementation architecture. The multi layered complexity also impacts negatively upon how the project functions, its effectiveness, its efficiency and –eventually—in the

whole of the implementation process, ultimately negatively influencing upon the products, results, effects and impact of the project. The project needs to acknowledge that it is highly political issue it is contending with, and that this impacts not only on content but also on process. Therefore, there is a strong need for the project to be streamlined if it will achieve its objectives within the time frame and budgetary costs planned for. This is also key if a no – cost extension is analyzed and / or granted. The cost – effectiveness, efficiency, and effectiveness of this project is very weak and a sore point of contention between and among partners and stakeholders. The reasons behind these costs issues are multiple, high administration costs and hindrances on the planned development of the project due to political issues. *Recommendations:*²⁰ *A financial audit to ascertain with accounting instruments what the cost structure is and where costs issues are would be a first step to re structure costing. Furthermore, there could be a two pronged yet interlinked approach to streamline the project in order to be more cost – effective, effective and efficient and less complex regarding implementation processes: budget cuts and reprioritizing exercise. The two areas which, again are interlinked, and recommending that both should take place, are stated below.*

- *First, regarding straightforward budget cuts, there is the possibility that financial and costing streamlining should be explored further in order to not only reduce costs and rationalize cost - effectiveness but to salvage some of the project's credibility that has been damaged by the insertion of costs not contemplated in the design process or in the pertinent project's documents. Specifically, office costs can be brought down to zero if office space is granted by one of the partners, as it is customarily done in most projects of this kind. This would also be a good will gesture to stall or correct the apprehensiveness that has arisen due to this matter. The renegotiation of fees imposed is also a budget measure that could feasibly reduce costs. Other downsizing measures can also be taken of what could be considered non necessary expenses; all the above with the proper accounting and financial advice incorporated. Therefore, review of financial and costing streamlining should be explored further in order to not only reduce costs and rationalize cost - effectiveness but to salvage some of the project's credibility that has been damaged by the insertion of costs not contemplated in the design process or in the pertinent project's documents. This is also a strong point to take into account should an extension of the project be considered and reprioritizing in order to accurately retrofit the project to meet its key objectives with the remaining funds and adequate time frame*

²⁰ As stated in other parts of this report, this is not a financial audit. Yet, since at the comment stage and throughout some in depth interviews several stakeholders insist that this evaluation should give recommendations in order to deal with the costs issues (and also as regarding to the time frame of implementation that does of course have costing implications) some of these recommendations are put forth in order to fulfill those comments.

- *The second approach would be regarding reprioritizing exercise. An exercise of the type should occur where streamlining of activities takes place. That is, where all relevant and key stakeholders decide what the priority products, outcomes and objectives of this project lie and strictly adhere to only developing those in the time remaining with the remaining resources.*

For instance, a prioritization of what outputs and activities will be developed and which will not need to be made. Evidently, it is recommended by this evaluation that core products be maintained and that others be cut.²¹ Nevertheless, this is of course a decision that needs to be taken by key stakeholders after a thorough analysis.

Furthermore, this would imply moving away from programming as a “brainstorm” modality in AOPs and other such instruments and move more towards a streamlined, programmatic and strategic work plan. This reprioritizing exercise could also have budgetary implications, if products, activities and outcomes are reprioritized and feasibly streamlined; this could also imply associated budget cuts (e.g. staffing reductions, travel diminutions, consultancies reduced, etc.). It also needs to be added that the project needs to adhere to the programmed activities and not derive new ones for the retrofitting and streamlining exercise to be fully effective.

- *Projects should contain highly transparent and precise definitions and division of tasks and duties, such as those that pertain to administrative agency, those that pertain to the executing agency, and those that pertain to focal points. Recommendations: Reach clear and transparent agreements and clear understandings between partners as to what management and administration really entails, what the inputs from partners and stakeholders is or should be in these processes (for example, as pertaining to hiring processes, expenditures, etc.), what technical and substantive contributions imply, and what is the role of focal points vis-à-vis the tasks of the coordination unit. Even inward within the countries there is a lack of clarity between institutions as what their role is. It would greatly benefit the project in its subsequent implementation stage if partners to make explicit, clearly agree upon and outline what are the duties and obligations of each agency, what are the agreements between stakeholders, what the tasks of the coordination unit are and how the decision – making process regarding these processes are taken.*

²¹ Crucial activities have been identified as the Strategic Action Programme (SAP), Transboundary Diagnostic Analysis (TDA), and the implementation of pilot marine protected areas that underpin ecosystem conservation and resilience.

- The role of the UNDP is diluted in this project, and its comparative advantage invisibilized to some degree. *Recommendation: UNDP should be closer to this project, strengthening its technical and substantive contributions to products and processes. It would greatly benefit the project to have closer UNDP involvement in order to improve technical and conceptual aspects as well as to generate greater visibility in these aspects and move away from the image that the project only deals with financial transfers for the support of nationally implemented activities.*
- The project has low visibility. *Recommendation: Increase the visibility of what has been done thus far, and make webpage more communicative and user friendly.*
- Projects of this sort are too complex to stand alone within the UN System. *Recommendation: It would greatly benefit the project to generate synergies with other interventions within the sector, with other SNU agencies, as well as with all other GEF funded / UNDP implemented projects in the countries involved in the HCLME Project that deal with the same subject areas and issues, and in the Latin American region. It would greatly benefit the project to place adequate focus on learning from and strategically linking with other relevant initiatives (for instance, link with other relevant agencies within the UN System, or from other GEF funded UNDP implemented projects that deal with the same area of work beyond the ones already in contact within the IW Learn exchanges).*
- Binational projects should be highly symmetrical, particularly so when they bridge conflictive political situations regarding the resources to be managed. If they are not, the strong risk of being a cloven project, with two parallel implementation tracks and without integrating outputs, outcomes, products and effects. *Recommendation. When these sort of projects are designed, symmetries between the countries involved need to be carefully planned. Mechanisms for symmetrical implementation should be interwoven into the project implementation procedure, for example alternating the presence of coordination unit in one country at one stage and in another country at a different stage. Or that there would parity in staffing in both countries. For instance, for the remaining stage of this project, it is recommended that the Coordination Unit be strengthened in Chile, not only in administrative terms but also in technical and substantive terms, carrying out the necessary re arrangements.*²²
- The Coordination Unit carries – out a series of activities and linkages with actors “on its own”, deriving activities and partnerships outside of the relevant plans. It must be understood in the context of this project that how a project is implemented

²² As commented upon in an earlier draft of this report, this has sizeable cost implications, yet it has been done on some occasions.

(implementation modality) is a key issue in interventions of this type. *Recommendation: Projects must follow standard guidelines for implementation, and follow procedures as steered by relevant committee(s). It is strongly suggested that from this point onward new and additional monitoring mechanisms be implemented to ensure that work plans are met, only planned products and outputs are implemented, and scheduling is kept to. This sort of “roadmap” should be used to constantly and permanently charter throughout the year activities agreed upon on the AOPs, their completion monitored, adaptive management is sought, and keeping to the AOP without deviating is assured.*

- Unfortunately, many times the project appears to be two projects, one in Chile and one in Peru. *Recommendation: Fully strengthen and advance the products and activities which are to be trans zonal, bi-national, sub-regional and regional. Stimulate, within the project, exchanges that can promote the bi-national, trans zonal and sub-regional nature of the project and foster mutual learning between the two countries (for example, promoting horizontal exchanges between productive sectors, fishing companies, fisheries associations, non – governmental organizations, and the like).*

All of the above being said, it should remain clear that the project has enormous potential to develop tools, mechanisms, and synergies to promote the integrated and eco – system based management of one of the world’s most productive Large Marine Ecosystems (LMEs). As stated earlier, the Humboldt Current Large Marine Ecosystem (HCLME) is experiencing a set of pressures and environmental variability, which necessitate improved governance and management capacities in order to conserve and sustainably use the system’s resources. This, coupled with political issues regarding not only trans zonal resources but also trans boundary issues, offer a unique challenge as well as unique opportunities so that the Project could have lasting and positive impacts upon the integrated management of the Humboldt Current.

5.

Annexes

Evaluation Matrix

Evaluative Criteria Questions	Data Source / Methodology
Relevance: How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels?	
<p>-How does the project support the environment and sustainable development objectives of the HCLME participating countries?</p> <p>-What is the level of stakeholder ownership in implementation?</p> <p>-Does the project adequately take into account the national realities, both in terms of institutional and policy framework in its design and its implementation?</p> <p>-Is the length of the project sufficient to achieve project outcomes?</p> <p>-Has the experience of the project provided relevant lessons for other future projects targeted at similar objectives?</p>	<ul style="list-style-type: none"> • Documents • Semi structured interviews • Secondary information <p>Review</p> <p>/</p> <p>Questionnaires</p> <p>Document Reviews</p> <p> </p>
Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?	
<p>-Has the project been effective in achieving its midterm targets of expected outcomes? Answer the question for all the outcomes.</p> <p>-What has been the quality of risk mitigation strategies developed? Are these sufficient?</p> <p>Are there clear strategies for risk mitigation related with long-term sustainability of the project?</p> <p>-What changes can be made (if any) to the design of the project in order to improve the achievement of the project's expected results?</p>	<p>Documents</p> <ul style="list-style-type: none"> • Semi structured interviews • Secondary information <p>Review</p> <p>/</p> <p>Questionnaires</p> <p>Document Reviews</p>
Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?	
<p>-Has adaptive management used or needed to ensure efficient resource use?</p> <p>-Do the project logical framework and work plans and any changes made to them use as management tools during implementation?</p> <p>-Are the accounting and financial systems in place adequate for project management and producing accurate and timely financial information?</p> <p>-Are progress reports produced accurately, timely and responded to reporting requirements including adaptive management changes?</p> <p>-Is project implementation as cost effective as originally proposed (planned vs. actual)</p> <p>-Does the leveraging of funds (co-financing) happen as planned?</p> <p>-How has results-based management used during project implementation?</p>	<p>Documents</p> <ul style="list-style-type: none"> • Semi structured interviews • Secondary information <p>Review</p> <p>/</p> <p>Questionnaires</p> <p>Document Reviews</p>

<p>-To what extent partnerships/linkages between institutions/ organizations have been encouraged and supported?</p> <p>-What is the level of efficiency of cooperation and collaboration arrangements?</p> <p>-Which methods are successful or not and why?</p> <p>-How can the project more efficiently carry out implementation (in terms of management structures and procedures, partnerships arrangements etc...)?</p> <p>-What changes can be made to the project in order to improve its efficiency?</p> <p>-Has the project been efficient in achieving its expected outcomes?</p>	
<p>Sustainability: Are there clear prospects for sustainability of project's results and effects in the medium and long term?</p>	
<p>To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?</p> <p>What are the prospects of sustainability in the mid to long term?</p> <p>What are the prospects of sustaining the program's effects and benefits in the near future?</p> <p>Was country-ownership of the project generated? Does this help sustainability prospects?</p> <p>What are the prospects of partners sustaining activities beyond project termination?</p> <p>Was capacity building attended to in order to promote sustainability? What sorts of capacity building practices took place that can help with sustainability (generation of policy, training, etc.)?</p> <p>What are the prospects of replication or scaling up of the projects?</p> <p>Lessons learnt and future recommendations?</p>	<p>Documents</p> <ul style="list-style-type: none"> • Semi structured interviews • Secondary information <p>Review</p> <p>/</p> <p>Questionnaires</p> <p>Document Reviews</p>

Mission Agenda

Days & suggested dates	Activity
Day 8 Monday 12 th August	am: Travel to Peru:
Day 9 Tuesday 13 th August	am: meeting UNDP Lima and Regional Coordination Unit (RCU) and UNDP Country Office staff pm: travel to Ica
Day 10 Wednesday 14 th August	am: Travel to pilot site (Ica -Marcona) pm: meeting at Municipality with COPMAR representatives
Day 11 Thursday 15 th August	am: visit to the macroalgae collection area with COPMAR am: Visit to the SERNANP Punta San Juan Pilot site pm: meeting with COPMAR
Day 12 Friday 16 th August	am: Travel from Marcona to Paracas pm: Pilot site meeting stakeholders, Paracas
Day 13 Saturday 17 th August	am: Visits to La Puntilla, San Andrés, CAC, pm: Travel to Lima
Day 14 Sunday 18 th August	Document revision report writing.
Day 15 Monday 19 th August	am: meeting Peruvian HCLME focal point group with IMARPE Director and PRODUCE rep pm: meeting 1) MINAM & SERNANP meeting 2) Min Foreign Affairs
Day 16 Tuesday 20 th August	am: Meeting stakeholders (NIC) Peru at the UN compound pm: Travel to Chile

AGENDA CHILE				
INSTITUCION	FECHA Y HORARIO	LUGAR	PARTICIPANTES	
MSC	21- 08 – 2013 13:30 hrs	Almuerzo		Sr. Rodrigo Polanco MSC
Ministerio Relaciones Exteriores	21- 08 – 2013 15:30 hrs	DIMA (Teatinos 180, piso 14, Santiago)		Sr. Waldemar Coutts Director de la Dirección de Medio Ambiente y Asuntos Marítimos
Ministerio Medio Ambiente (MMA)	21- 08 – 2013 17:30 hrs	MMA (Teatinos 254, Santiago)		Sr. Ricardo Irrázabal Subsecretario de Medio Ambiente
SONAPESCA (Sociedad Nacional de Pesca A.G.)	22- 08 - 2013 9:30 hrs	SONAPESCA A Barros Errázuriz 1954, oficina 206, Providencia, Santiago		Sr. Héctor Bacigalupo Gerente SONAPESCA A.G.
Ministerio Medio Ambiente	22- 08 - 2013 10:30 hrs	MMA (Teatinos 254, Santiago)		Sra. Ximena George-Nascimento Punto Focal GEF-Chile
Ministerio Medio Ambiente	22- 08 - 2013 11:30 hrs	MMA (Teatinos 254, Santiago)		Sra. Beatriz Ramírez Comité Directivo - MMA
TRASLADO VALPARAISO				
Subsecretaría de Pesca y Acuicultura (SSPA)	22- 08 - 2013 15:30 hrs	SSPA (Bellavista 168, piso 19, Valparaíso)		Sr. Francisco Ponce Comité Directivo – SSPA Sr. Italo Campodónico, Jefe Depto. Pesquerías Sra. Katherine Bernal, U. Asuntos Internacionales
IFOP	22- 08 - 2013 17:30 hrs	IFOP (Blanco 839, Valparaíso)		Dr. José Luis Blanco Director Ejecutivo IFOP
Pontificia Universidad Católica Valparaíso	23- 08 - 2013 9:00 hrs	PUCV - Fac. RN (Valparaíso)		Dr. Gabriel Yany Miembro CIN
Comité Oceanográfico Nacional (CONA)	23- 08 - 2013 10:00 hrs	SHOA-CONA (Valparaíso)		CN Fernando Mingram Secretario Ejecutivo CONA
IFOP	23- 08 - 2013 11:00 hrs	IFOP (Blanco 839, Valparaíso)		Dr. José Luis Blanco Sra. M. Ángela Barbieri, Pto. Focal Proyecto Sr. Rodolfo Serra Sr. Mariella Canales

OCEANA	23- 08 - 2013 Entre las 12:00 y las 15:00 hrs (horario por confirmar)	Calle Condell 520, Providencia, Santiago		Sr. Alex Muñoz
Servicio Nacional de Pesca y Acuicultura (SERNAPESCA)	23- 08 - 2013 15:30 hrs	SERNAPESCA (Victoria 2832 , Valparaíso)		Sr. José Luis Ansoleaga Director Nacional SERNAPESCA Sr. Antonio Palma, Comité Directivo
VISITA AMERBs	24 -08 - 2013 9:00 – 18:00 hrs	Quintay Ventana – Horcón Maitencillo		Sr. Luis Aríz
Subsecretaría de Pesca y Acuicultura (SSPA)	26 – 08 – 2013 10:00 hrs	SSPA (Teatinos 120, piso 9, Santiago)		Don Pablo Galilea Subsecretario de Pesca y Acuicultura

Rating Scales²³

Ratings Scales		
<i>Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution</i> 6. Highly Satisfactory (HS): no shortcomings 5. Satisfactory (S): minor 4. Moderately Satisfactory (MS): moderate 3. Moderately Unsatisfactory (MU): significant shortcomings 2. Unsatisfactory (U): major problems 1. Highly Unsatisfactory (HU): severe	<i>Sustainability ratings:</i> 4. Likely (L): negligible risks to sustainability 3. Moderately Likely (ML): moderate risks 2. Moderately Unlikely (MU): significant risks 1. Unlikely (U): severe risks	<i>Relevance ratings:</i> 2. Relevant (R) 1. Not relevant (NR)
<i>Additional ratings where relevant:</i> Not Applicable (N/A) Unable to Assess (U/A)		

²³ UNDP EVALUATION GUIDANCE FOR GEF-FINANCED PROJECTS. 2011

Logical Framework

Project Strategy	Indicators	Baseline Value	Targets at end of project	Sources of verification	Assumptions	
GOAL: A sustainably used and resilient HCLE that can maintain biological integrity and diversity and ecosystem services for current and future generations despite changing climatic and social pressures						
OBJECTIVE: Ecosystem-based management in the HCLME is advanced through a coordinated framework that provides for improved governance and the sustainable use of living marine resources and services	1. Agreement on and understanding of the ecosystem-level issues of the HCLME as they relate to management of living marine resources (LMR) and biodiversity conservation.	Concerns relative to management of HCLME LMR limited to main shared commercial fishery stocks and impacts of environmental volatility	Countries agree on the scope and priority of ecosystem level issues & develop interventions to address them in the SAP including management of shared fisheries from an EBM perspective	Approved SAP NAP with detailed budgets	Both countries continue to show the same commitment to advancing EBM as the start of project	
	2. Increase in the % of fisheries management decisions that are based on integrated information on multi-specific criteria and multi-disciplinary parameters, including natural and ENSO-related variability	<ul style="list-style-type: none">Both Chile and Peru use single stock criteria for fisheries management, responses to ENSO are not precautionary but reactive <i>Note: A management decision matrix will be defined in year 1 of project for monitoring this indicator</i>	The shared anchovy fishery is managed using multi-specific criteria & multi-disciplinary parameters At least 50% of the decisions in management matrix include multi-specific criteria and multi-disciplinary parameters	Coordinated management plans for the two countries	Prioritization of development objectives does not limit the effectiveness of efforts for ecosystem protection Private sector continues to be supportive of certification processes	
	3. Increased area of priority coastal, coastal-marine and marine habitats in Peru & Chile that are under some form of legal protection that contributes to biodiversity conservation.		*Estimated by 1.5 m round	SERNANP legal documents NPAPS – MPA implementation strategies for each country		
4. Increase in the number of certifiable fisheries	The necessary conditions for certifying a fishery are not yet in place	At least one fishery has the necessary elements for certification	Project reports Certification application reports			
5. % increased awareness in identified target groups, of the benefits of applying EBM	% awareness of a defined number of target groups to be determined in the first 6months of the project	30% increase from the baseline value for each target group	Evaluation surveys at project start & end using agreed on EBM definition			
Outcome 1: Planning and policy instruments for ecosystem-based management (EBM) of the HCLME are agreed and in place at regional and national levels	1. A Strategic Action Plan (SAP) developed based on up- dated ecosystem information and with an EBM approach is approved by both countries at the highest levels	There is currently no common planning process or definition of priority actions Limited understanding of EBM	Complete SAP is endorsed at the highest levels by both countries	SAP & legal documents	Changes in the administration in both countries does not affect the continuity of the SAP and NAP processes	
	2. National Action Plans (NAPs) developed within the SAP framework and approved in each country	There are no national plans to prioritize actions for HCLM management. Existing plans are sector based	NAPs approved at the highest level in each country	NAP & legal documents		

	3. % of the priority actions identified in plans that have secure financing: (a) regional level in SAP (b) national level in the NAP	(a) 0 (b) Peru =0 Chile =0	(a) 40% (b) Peru =60% Chile =60	SAPs; NAPS & Public budget documents	
	4. Ex istence of short, medium and long-term targets for marine & coastal habitat conservation	National protected area system strategies do not have specific targets for coastal marine conservation	NPAS identify priority to reduce habitat representativity gaps and have specific targets & implementation strategies	Adjusted NPAS	
	5. Nu mber of sectors represented and level of officials that participate in the national inter-sectoral committees	<i>To be measured in yr 1 as NIC do not yet exist</i>	The numbers of sectors represented and levels when NIC are first formed, are maintained and strengthened throughout the project	Minutes (actas) of the NIC meetings	
Outcome 2: Institutional capacities strengthened for SAP implementation and for up-scaling pilot interventions to the system level	1. % of effective information exchanges in protocols defined within the framework of the Ecosystem Information System (EIS)	Currently, each government manages independent Geographical Information Systems (GIS) with limited information exchange.	70% of protocols for information exchange are functioning at least at minimal levels		The will to share information between public institutions in public and private sectors at national and regional levels continues
	2. % of staff profiles and procedures that are aligned with EBM in key institutions (i.e., CONAMA, MINAM, SUBPESCA, Vice-Minist. de Pesquería)	<10% of staff in IFOP, IMARPE have profiles aligned with needs for EBM <i>Staff profiles & procedures for EBM will be determined in yr 1 once standards have been set based on agreed EBM definition</i>	>20% of staff in IFOP, IMARPE have profiles aligned with needs for EBM >70% of the research projects for resource management follow ecosystemic criteria <i>Targets for other institutions to be determined in year 1</i>	Capacity needs evaluations carried out on year 1 and 5 project Research plans	
	3. Key institutions (MINAM, CONAMA, SUBPESCA), have the capacities and internal processes to prioritize the creation of new MPAs and to manage them effectively.	Baseline to be established with institutional capacity scorecard values applied to relevant institutions on each country	30% above baseline values	Institutional capacity scorecard for MPA adapted from UNDP capacity scorecard	
	4. Procedures defined and adopted to promote good fisheries practices and improve market competitiveness within the framework of the HCLME	There are no procedures for promoting good fisheries practices in relation to market competitiveness in either country	At least two mechanisms are adopted that promote good practices and improve market competitiveness within the framework of the HCLME	Project reports; legal documents and evaluations reports on impact of mechanisms	
	5. Improved understanding of the benefits of ecosystem goods and services of artisanal fisher representatives that participate in fisheries fora <i>(as a proxy indicator of potential compliance with regulatory frameworks)</i>	Baseline level of understanding of ecosystem benefits in will be measured in at project start	Increase of 30% above baseline values	Awareness evaluation survey applied at beginning and end of project	
Outcome 3:	1. Advances in adopting EBM for the shared anchovy stock as	Current agreement between IFOP and IMARPE only includes information	Coordinated management agreement includes the use of multi-specific criteria and multi-	Legal documents – IMARPE and	The current commitment to international

Implementation of priority MPA & fisheries management tools provides knowledge of options for enhanced protection of HCLME and SAP implementation	measured by the increase in agreed on and coordinated program of activities	exchange on stock evaluations and reproductive parameters for main pelagic commercial stocks	disciplinary parameters for the establishment of each country's TAC for the shared stock	IFOP procedures	cooperation maintains at least the same level as project start																																																						
	2. Adoption of coordinated management measures for the shared stock, such as closures, quotas and exclusion areas	Each country uses independent criteria for managing their part of the shared stock	Countries use the same criteria for establishing TACs, fishing seasons and exclusion areas	Project reports and legal documents																																																							
	3. Increase in hectares of the coastal-marine interface under improved management - measured by RNSIIPG Master Plan and the tools for monitoring and management effectiveness measurement	<div>RNSIIPG has not yet been established.</div> <table><tr><th rowspan="2">Pilot site</th><th colspan="5">METT Score by Cat.</th><th rowspan="2">Total METT Score</th></tr><tr><th>Context</th><th>Planning</th><th>Inputs</th><th>Processes</th><th>Outputs</th></tr><tr><td>RNSIIPG</td><td>2</td><td>6</td><td>5</td><td>7</td><td>0</td><td>22</td></tr><tr><td>Max score</td><td>3</td><td>24</td><td>21</td><td>39</td><td>3</td><td>99</td></tr></table> <div>Capes and islands of the guano systems are currently managed from an extractive perspective only targeting guano birds as conservation priorities worthy of protection.</div>	Pilot site	METT Score by Cat.					Total METT Score	Context	Planning	Inputs	Processes	Outputs	RNSIIPG	2	6	5	7	0	22	Max score	3	24	21	39	3	99	<div>RNSIIPG established with a fully developed Management Plan</div> <table><tr><th rowspan="2">Pilot site</th><th colspan="5">METT Score by Cat.</th><th rowspan="2">Total METT Score</th><th rowspan="2">% of total</th></tr><tr><th>Context</th><th>Planning</th><th>Inputs</th><th>Processes</th><th>Outputs</th></tr><tr><td>RNSIIPG</td><td>3</td><td>16</td><td>13</td><td>24</td><td>1</td><td>63</td><td>64%</td></tr><tr><td>Max score</td><td>3</td><td>24</td><td>21</td><td>39</td><td>3</td><td>99</td><td></td></tr></table> <div>The GEF METT has been used to establish initial baseline and target values but a more specific M&E tool for <i>marine</i> areas will be developed in the FSP and will also be used to measure management effectiveness gains</div>	Pilot site	METT Score by Cat.					Total METT Score	% of total	Context	Planning	Inputs	Processes	Outputs	RNSIIPG	3	16	13	24	1	63	64%	Max score	3	24	21	39	3	99		RNSIIPG Management Effectiveness monitoring system
	Pilot site	METT Score by Cat.					Total METT Score																																																				
Context		Planning	Inputs	Processes	Outputs																																																						
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RNSIIPG	3	16	13	24	1	63	64%																																																				
Max score	3	24	21	39	3	99																																																					
4. Identification of equivalency in conservation management options (PAs) for coastal and marine environments in both countries	Peru has no specific protected area categories for marine areas, but uses terrestrial categories, that follow a gradient from direct to indirect resource use – with no fully intangible protected areas. Chile has three categories for marine areas (Marine Reserves, Marine Parks and MUMPAS). These management schemes and categories are not equivalent for both countries	SNAP and SINANPE MPA conservation categories defined, equated and based on a common concept for both countries	SNAP & SINANPE documentation (Plan Director)																																																								
	5. Number of best management practices developed in the project pilot sites that are up-scaled to other protected areas	0	a) Peru: > 3 other sites in the RNSIIPG with management committees and plans b) Chile: at least one other canyon or seamount in the process of adoption the management options	a) Management plans of the pilot sites b) Project reports																																																							
Outcome 4: Implementation of pilot MPAs that underpin ecosystem conservation and	1. Increase in management effectiveness of the pilot MPAs measured a) in Peru with a) Management Plans b) Declaration of the area in Chile	(a) 3 pilot areas in Peru do not have management plans; in Chile only specific fisheries (orange roughy) are currently managed in sea mounts (b) METT values <u>Peru</u>	(a) All 3 pilots in Peru with approved management plans; Ecosystem-based management strategy for 2 sea mounts agreed on by relevant stakeholders (b) METT values <u>Peru</u>	GEF Management Effectiveness Tracking Tool (METT) applied at mid-term and end	Options pre-identified for financial sustainability of MPA prove to be effective																																																						

resilience	c)Management effectiveness tracking tool (METT)	<table><tr><th rowspan="2">Pilot site</th><th colspan="6">METT Score by Cat.</th><th rowspan="2">Total METT Score</th><th rowspan="2">Pilot site</th><th colspan="6">METT Score by Cat.</th><th rowspan="2">Total METT Score</th><th rowspan="2">% of total</th></tr><tr><th>Context</th><th>Planning</th><th>Inputs</th><th>Processes</th><th>Outputs</th><th>Outcomes</th><th>Context</th><th>Planning</th><th>Inputs</th><th>Processes</th><th>Outputs</th><th>Outcomes</th></tr><tr><td>Lobos de Tierra</td><td>2</td><td>6</td><td>4</td><td>7</td><td>0</td><td>7</td><td>26</td><td>Lobos de Tierra</td><td>3</td><td>14</td><td>14</td><td>29</td><td>2</td><td>7</td><td>69</td><td>72%</td></tr><tr><td>Pta. San Juan</td><td>2</td><td>6</td><td>10</td><td>15</td><td>0</td><td>7</td><td>40</td><td>Pta. San Juan</td><td>3</td><td>14</td><td>14</td><td>29</td><td>2</td><td>7</td><td>69</td><td>72%</td></tr><tr><td>Islas Ballestas</td><td>2</td><td>6</td><td>4</td><td>8</td><td>1</td><td>7</td><td>28</td><td>Islas Ballestas</td><td>3</td><td>14</td><td>14</td><td>29</td><td>2</td><td>7</td><td>69</td><td>72%</td></tr><tr><td>Max score</td><td>3</td><td>24</td><td>21</td><td>36</td><td>3</td><td>9</td><td>96</td><td>Max score</td><td>3</td><td>24</td><td>21</td><td>36</td><td>3</td><td>9</td><td>96</td><td></td></tr></table>																Pilot site	METT Score by Cat.						Total METT Score	Pilot site	METT Score by Cat.						Total METT Score	% of total	Context	Planning	Inputs	Processes	Outputs	Outcomes	Context	Planning	Inputs	Processes	Outputs	Outcomes	Lobos de Tierra	2	6	4	7	0	7	26	Lobos de Tierra	3	14	14	29	2	7	69	72%	Pta. San Juan	2	6	10	15	0	7	40	Pta. San Juan	3	14	14	29	2	7	69	72%	Islas Ballestas	2	6	4	8	1	7	28	Islas Ballestas	3	14	14	29	2	7	69	72%	Max score	3	24	21	36	3	9	96	Max score	3	24	21	36	3	9	96	
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Max score	3	24	21	36	3	9	96	Max score	3	24	21	36	3	9	96																																																																																																			
	Chile Seamount 1 & 2 METT 5/63 = 8% Poor								Chile Seamount 1&2 METT >30% (Fair or more)																																																																																																									
2. Reduction in the incidence of illegal extractive activities in restricted areas established in the management plans of RNSIIPG pilot sites	No. of reports of illegal extractive activities will be measured once zoning of pilots is complete								Reduction of 50% for RNSIIPG								Reports presented to local Peru port authorities (Capitania de Puerto – DICAPI) at each location																																																																																																	
3. % management costs of the pilot areas protected that have secure financing (a) a) RNSIIPG pilots (b) b) Seamounts	As neither the RNSIIPG nor the Seamount MPA has been established there are currently no specific management costs.								a) 100% of the RNSIIPG pilots management costs covered of which at least 50% is from resources other than GoP b) Seamount have identified sources for 100% management costs								Pilot area management plan financial section and budget reports																																																																																																	
4. Ecosystem-based management strategy for sea canyons agreed on by the relevant stakeholders	No specific plans for sea canyons exist								Approved management strategy for sea canyons of the HCLME								Project reports																																																																																																	
5. Populations of flagship species at pilots <i>Species will be selected in yr 1</i>	Population levels (distribution and abundance) as estimated in yr 1 for selected flagship and/or indicator species in pilots								Populations maintain at least the same levels as at the beginning of the project or are increasing								Flagship species population censuses at project start & end																																																																																																	

Risks and Assumptions Table

Risk		Response measure
Changes in administrations in both countries affect the continuity of the SAP development process	L/M	The Project contributes to the achievement of established national strategies (BD, others) and as such continuity of support between administrations is likely. Moreover, from the outset efforts will be made to raise the awareness of key stakeholders and stakeholder groups regarding the importance and relevance of the project objective. Existing cooperation mechanisms will be strengthened such as the IFOP-IMARPE Agreement) and through the EDA other technical cooperation mechanisms will be developed thereby increasing continuity of actions across administrations.
Prioritization of development objectives limit the effectiveness of efforts for ecosystem protection	L	In both countries it is now State policy to prioritize goals related to environmental protection. Peru has recently established its Ministry of the Environment and Chile is in the process of doing so and the issue is already under consideration by their Congress of the Republic. It is noted that in Chile, prior to the creation of the Ministry, the Director of CONAMA has ministerial status and a Minister of the Environment has already been appointed. Therefore there is increasing recognition of the need for multi-sectoral platforms to address the range of impacts on key habitats.
The current commitment to cooperate between both countries is diminished	L	The preparatory process for this project has evidenced highest level, inter-sectoral support for this project, and key agencies in both countries have closely led the design of the intervention. Both countries have affirmed that the project creates a unique platform for cooperation and for advancing in areas of common interest that have been identified as well strong opportunities for cross-fertilization of national experiences (eg Chile's work with marine-coastal MUMPas can contribute to the development of the RNSIIPG). There is, moreover already a tradition of close cooperation as evidenced by the existing initiative for exchange of information for management of the shared anchovy stock, upon which this project builds upon. Similarly, participation in APEC and in the emerging RFMO promotes cooperative work strategies. UNDP has put in place a suite of additional monitoring activities to oversee this risk.
Limited will to share information between institutions in public and private sectors at national and bi-national levels.	M	<p>A framework for information exchange between IFOP and IMARPE already exists which will be replicated and/or strengthened. This will be complemented by the active participation of scientific (both public and private) and academic sectors in the project. In addition, through the establishment of MoEs information flows will be streamlined.</p> <p>Additionally, in Chile a law on administrative transparency already exists which determines that all information must be made publicly available. All studies undertaken, for example by IFOP and SUBPESCA are on their respective websites. Finally, as the private sector becomes more aligned with the project objective, it is expected that stronger commitment to the principle of corporate responsibility will ensue. Moreover, both countries are part of the RFMO negotiations wherein both countries are advocating for the inclusion of the ecosystem approach. In both cases there has been ample and representative participation by private sector groups, which is generating a new attitude.</p>
Financial sustainability of MPAs established under the pilots is weak –	M	Chile is developing a financial framework for the PA system at a national level in which a range of potential resource generating mechanisms will be explored that could be applied to marine areas. Given high costs associated with effective protection of high sea seamounts the project will develop a strategy for optimising the use of existing regulations such as on-board tracking system (VMS), and onboard observes to reduce costs and also partner with the private sector to share the cost burden & it will also include actions to promote greater understanding of productivity benefits that should create incentives for private sector participation. In Peru options studies undertaken in the preparatory phase indicate good potential for developing various resource streams that can provide sound financial support for the MPAs to be established.
The economic crisis could reduce institutional budgetary allocations and the capacity to participate in the project	M	Efforts will be made to position the project within key government institutions so that priority is assigned to the activities agreed upon within its framework. Additionally, most of the activities supported by the public sector in the project are already high priority for relevant institutions, such as stock assessments.

M= medium; L=low

UNOPS Identification

Focal Points identifying RCU as a UNOPS entity



PROYECTO GEF: HACIA UN MANEJO CON ENFOQUE ECOSISTÉMICO DEL GRAN ECOSISTEMA MARINO DE LA CORRIENTE HUMBOLDT (GEMCH) (2011-2016)



COMITÉ COORDINADOR IMARPE
 Blga. Albertina Kameya kameya (Coordinadora Proyecto)
 Dra. Michelle Graco (Miembro)
 Dra. Sara Purca (Miembro)
 Blgo. Arturo Gonzales (Miembro)

UNIDAD REGIONAL COORDINADORA (UCR) UNOPS
 Dr. Michael Akester (Project Manager, United Nations Office for Project Services (UNOPS))
 Mg. Sc. Mariano Gutierrez (Senior Officer)
 Lic. Lenka Lazo (Assistant)

WEB
<http://iwlearn.net/iw-projects/3749>

Heileman et al. 2009.

IW Learn Identification of Project as a UNOPS Project



The screenshot shows the IW Learn project page for the Humboldt Current Ecosystem (HCLME) project. The page is titled "Humboldt Current Ecosystem (HCLME)" and includes a navigation menu on the left with options like Region, Sub-Region, Basin, Project Contacts, Transferring Funding, and Project Documents. The main content area displays project details, including a list of project contacts (Mr. Michael Akester, Mr. Mariano Gutierrez, Mr. Lenka Lazo) and a table of project characteristics. The table lists the project type as FSP, project status as Under Implementation, start date as Jun 30, 2009 10:00 PM, and end date as Jun 30, 2013 10:00 PM. It also lists the focal area as Biodiversity, International Waters, Multiple Focal Areas, and the total cost of the project as 32955000 USD. The partners section lists the countries as Chile, Peru, the lead implementing agency as United Nations Development Programme (UNDP), and the executing agencies as Institute of Fishing Promotion (IFOP).

Extract From www.sustainablefish.org Where HCLME Project Is Identified As A UNOPS Project

2012

In September 2012, CeDePesca sent to PRODUCE and made public a [statement on the measures established in Supreme Decree 005-2012-PRODUCE](#), indicating, among other things, that in order to avoid oversizing the smaller-scale fleet, greater accuracy is required in the regulation. The Administration responded to these observations with the issuance of Ministerial Resolution 433-2012-PRODUCE (October 9, 2012).

In October 2012, an ERAEF exercise was organized *by UNOPS (Humboldt Current GEF project) and IMARPE*, driven by CeDePesca staff, to understand the ecological risks associated with the anchovy fishery.

UNDP Role in Steering Committee

COMITÉ DIRECTIVO (CD)	PUNTOS FOCALES	OBSERVADOR	SECRETARIO
IFOP, CONAMA, SERNAP, la Sub-Secretaría de Pesca y el Ministerio de Relaciones exteriores de Chile. IMARPE, Ministerio de la Producción PRODUCE, Ministerio de Ambiente, SERNANP y Ministerio de Relaciones exteriores de Perú.		PNUD UNOPS	Coordinador Regional del Proyecto
COMITÉ INTERSECTORIAL NACIONAL (CIN) PERÚ MINAM, SERNANP, PRODUCE, MINCETUR, AGRORURAL, el ministerio de Energía y Minas, los gobiernos Regionales en el área del proyecto, la Sociedad Nacional de Industrias Pesqueras, un representante de las asociaciones locales de pescadores, la Universidad Cayetano Heredia, la Universidad del Pacífico, y otras organizaciones con responsabilidad en la ejecución del proyecto, incluyendo el sector privado y la sociedad civil.	IMARPE	-	IMARPE
COMITÉ INTERSECTORIAL NACIONAL (CIN) CHILE SUBPESCA, CONAMA, ONGs, SERNATUR, Confederaciones de Pescadores artesanales, Comisión para la zona Costera, SERNAPESCA, MINVIU, SERNAGEOMIN, PUCV, Universidad de Concepción, y otras organizaciones con responsabilidad en la ejecución del proyecto.	IFOP	-	IFOP
UNIDAD REGIONAL DE COORDINACIÓN DEL PROYECTO Coordinador Regional del Proyecto Internacional, Oficial del Proyecto Senior, asistente financiero y general.			

From the IMARPE Presentation: PROYECTO GEF: Hacia un Manejo con Enfoque Ecosistémico del Gran Ecosistema Marino de la Corriente Humboldt (GEMCH)

Activities Outside of AOP That RCU Reports as Having Carried Out

Conferences

1. III Congreso Nacional de Ciencias del Mar, Ecosystem Based Management described and discussed at a Round Table meeting. June 2012.
2. World's Ocean Day, conference at DIHIDRO on the use of sound for ecosystem observation, June 2012.
3. Conference in Ica on "Bioindicators extracted from echograms" and **Desafíos para las zonas costeras en el siglo 21**", Congress of Students of Biology at Universidad de Ica, repeated at San Marcos University, November 2012.
4. Conference on Ecosystem-Based Management, Superior College of Naval Warfare, May 2012
5. Conference at MINAM on "**Problemática y retos para los ecosistemas marino costeros dentro de un enfoque de adaptación**", June 2012.
6. Conference at Universidad Nacional de Ingeniería on "**El Gran Ecosistema Marino de la Corriente de Humboldt y sus perspectivas frente al cambio climático**", June 2012.
7. Conference on "**Los desafíos para la zona costera peruana en el siglo 21**" at the Lima Regional Government office on World Environment Day, May 2012.
8. Workshop MINAM-Gobierno Regional de Ica, conference on "**Problemática y retos para los ecosistemas marino costeros dentro de un enfoque de adaptación**", July 2012
9. MINAM workshop on risk assessments, June 2012, presentation on Ecosystem Based management.
10. National Workshop on Direct Human Consumption of marine products and mariculture, September 2012
11. MINAM-TNC-OANNES-HCLME Workshop pre Rio+20 Summit, May 2012.
12. Conference on "What is Ecosystem-Based Management?," Superior College of Naval Warfare, Peruvian Navy, September 2013
13. Conference on "**Manejo Ecosistémico en el contexto internacional de los Grandes Ecosistemas Marinos**" at Pontificia Universidad Católica del Perú (PUCP), October 2013.
14. Conference at IMARPE : "**Escenarios para las pesquerías nacionales en el contexto del cambio climático**", June 2013
15. Conference at IMARPE : "**Métodos acústicos empleados en la medición de tendencias de distribución y abundancia de especies pelágicas en Perú y la Antártida**", June 2013
16. Workshop at MINAM on the results of the research to identify ecosystem indicators from Vessel Monitoring System. This project is basically supported by IRD. March 2013.
17. Workshop on "Planificación Espacial Marina" at UN meeting room for IMARPE, including training courses.

Links:

1. Promotion of the Ocean Health Index via direct discussion with the lead scientist for the Ocean Health Index and co-author of explanatory texts Dr. Ben Halpern halpern@nceas.ucsb.edu Use of UNDP meeting room space for a videoconference link between Conservation International and UCSB plus the Environment and PRODUCTION Ministries, private sector and IMARPE in Peru;

2. Use of C-Pod (underwater sound recording device) provided by PRODELPHINUS Peru for use on a IMARPE research vessel to record dolphin sounds in an attempt to set baseline levels for 'normal' behavioral communications to be monitored for possible stress induced changes;
3. HCLME information provided for a GEF IW marine portfolio required by the Institute for Water, Environment and Health (UNU-INWEH), United Nations University, Canada;
4. Promotion of an Inter-Agency agreement SERNANP-IMARPE regarding baseline work for the National Capes and Islands Guano Reserve;
5. Assistance with GEF Small Grants Project applications in Peru and Chile;
6. Assistance and advice to Nitratos del Perú to identify a consultant on economic issues of fisheries, also to act as a reviewer of the recommendations to Nitratos about how to better support artisan fishing activities.
7. Assistance to Centrum-Catolica on the review of Performance Indicators for Fisheries of the World Bank.
8. Technical Assistance to 'Dialogue Table' funded by Gobierno Regional de Ica to construct a multisectorial approach to manage environmental issues of the coastal and marine border. August 2013.
9. Technical support to the Lima Regional Government regarding the project for a mega-harbour in Huacho, Salinas Point. February 2013.
10. Technical support to The Peruvian ministry of Foreign Affairs on the design on a scientific plan for Antarctic research and recommendations for links with Chile. August 2013.

Joint ventures to ensure synergy with Project activities:

1. University of Concepcion Chile – Marine Protected Area proposal Juan Fernandez Islands Chile
2. OCEANA – possible equipment loan for seamount baseline surveys in the Juan Fernandez pilot site area in Chile;
3. Advice given to Christian Severin, Program Manager, International Waters, GEF regarding the suitability of the Climate Change adaptation fund request in Peru and synergistic opportunities with the HCLME project;
4. Advice given to Christian Peter of the World Bank regarding the new GEF-RNSIIPG project in Peru: avoiding overlaps at pilot sites within the RNSIIPG National Reserve;
5. Several (20) workshops with SERNANP and partners along the Peruvian coast during the process of building up a Vision for the Masterplan of RNSIIPG. March to September 2013.

Links:

1. Twinning link with the Benguela Current LME project via IW:LEARN
2. Piloting of the IW:LEARN TDA-SAP guidelines and training course
3. Liaison with other GEF projects in South America re the TDA-SAP process (FREPLATA + Caribbean LME)
4. Links with BCLME re their Benguela Current Commission (BCC) and the recent (March 2013) BCC Convention
5. Sharing information on Terms of Reference for TDA-SAP, communication strategy and Seamount Surveys with the ASCLME and BoBLME projects

Workshops

1. Rio + 20 workshop – Lima
2. National Fisheries Society (SNP) meetings re sustainable fisheries promotion - Lima
3. Direct Human Consumption of aquatic products - Lima
4. Seaweed hatchery techniques – Lima
5. Marine Stewardship Council (MSC) presentations
6. Aquaculture promotion - Lima

Workshop on results of the Project “Desarrollo de formulas para la elaboración de panes y galletas enriquecidos con concentrado protéico de pescado (a partir de anchoveta entera), para reducir la anemia en niños de 3 a 7 años en el Cono Sur de Lima”. Organized by Innovate-Perú, Fyncit adn Agrohidro

Chile Products and Activities

INFORME DE AVANCE EJECUCIÓN DEL PROYECTO AÑO 2013

1. CONTEXTO.

Dentro del marco del proyecto “Hacia un Manejo con Enfoque Ecosistémico del Gran Ecosistema Marino de la Corriente Humboldt” el cual tiene por objetivo *“Avanzar hacia un manejo con enfoque ecosistémico para el Gran Ecosistema Marino de la Corriente Humboldt a través de un marco coordinado que fortalezca la gobernanza y el uso sostenible de los recursos marinos vivos y los servicios del ecosistema”* se espera el logro de 4 grandes resultados:

- Resultado 1: Instrumentos de planificación y política para manejo con enfoque ecosistémico (MEE) para el GEMCH acordados y establecidos a nivel regional y nacional.
- Resultado 2: Capacidades institucionales fortalecidas para la implementación del PAE y para adaptar las intervenciones piloto a nivel del sistema.
- Resultado 3: Implementación de herramientas de manejo de AMP & pesquerías prioritarias brinda conocimiento de las opciones para una mejor protección del GEMCH e implementación del PAE.
- Resultado 4: Implementación de AMPs piloto que sustentan la conservación y elasticidad ecosistémica.

A su vez, cada resultado tiene asociado el desarrollo de 4 productos los cuales se indican la Figura 1:

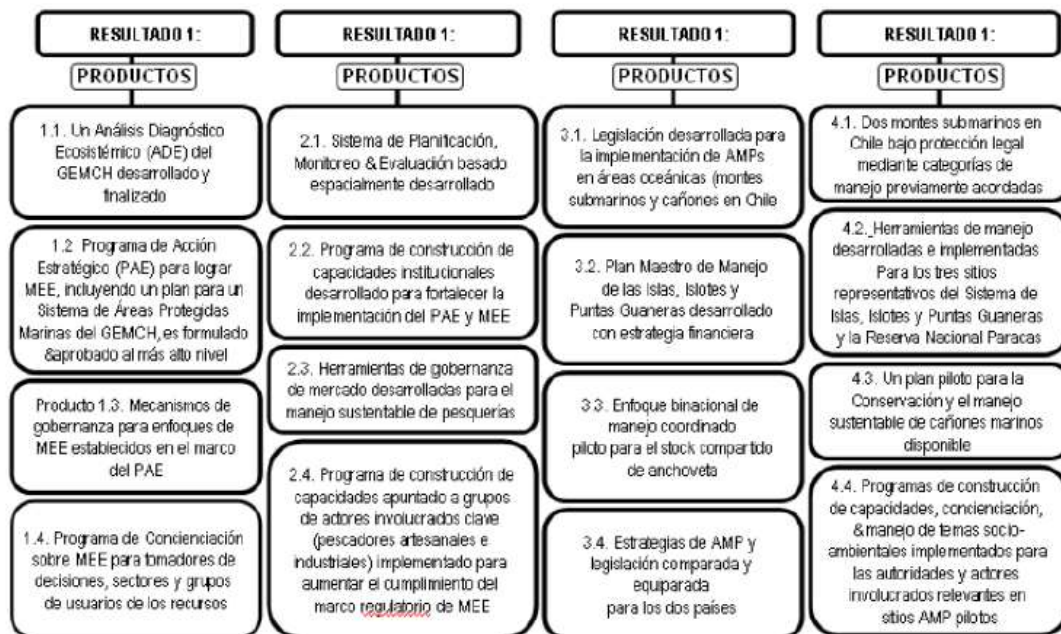


Figura 1: Productos a desarrollar para alcanzar los 4 resultados del proyecto GEF-Humboldt. Extraído del PRODOC.

El presente informe tiene como objetivo dar a conocer un resumen de aquellas actividades que se han ejecutado durante el año 2013 y aquellas que se encuentran en proceso de desarrollo.



*Proyecto GEF-PNUD:
“Hacia un Manejo con Enfoque Ecosistémico del Gran
Ecosistema Marino de la Corriente Humboldt”*

2. ACTIVIDADES DEL PRIMER SEMESTRE 2013

Resultado 1: Instrumentos de planificación y política para manejo con enfoque ecosistémico (MEE) para el GEMCH acordados y establecidos a nivel regional y nacional.

Producto 1.1: “Un análisis Diagnóstico Ecosistémico (ADE) del GEMCH desarrollado y finalizado”.

Dentro de las actividades efectuadas en el marco del producto 1.1 se señala lo siguiente:

- Se realiza el curso-taller de Evaluación de Riesgo Ecológico (ERE), durante el mes de mayo 2013, para lo cual se cuenta con los servicios del consultor Sr. Ernesto Godelman y con la participación de representantes de la institucionalidad pública, del sector productivo, académicos y la sociedad civil. Los cuatro cursos realizados fueron los siguientes:
 - 1) Formación de Capacidades en Evaluación de Riesgo Ecológico: 7 y 8 mayo, realizado en las dependencias de la Subsecretaría de Pesca y Acuicultura (34 participantes).
 - 2) Evaluación de Riesgo Ecológico en las pesquerías de pequeños pelágico: 9 y 10 de mayo en el auditorio de IFOP Valparaíso (29 participantes)
 - 3) Evaluación de Riesgo Ecológico en la pesquería de algas pardas: 13 y 14 de mayo, realizado en la Caja de Compensación Los Andes, en la ciudad de Coquimbo (25 participantes).
 - 4) Evaluación de Riesgo Ecológico en las pesquerías de Juan Fernández: 16 y 17 de mayo, efectuado en el Club Alemán de Valparaíso (36 participantes, incluyendo una delegación de usuarios del archipiélago).
- Se contrata a 5 consultores para actualizar la información de los documentos ADE del año 2003 y elaborar los Reportes Temáticos de los módulos: Productividad (Universidad de Chile en conjunto con la Universidad de Valparaíso); Recursos y Pesquerías (PROMAR); Contaminación y Salud de los océanos (Innovable); Aspectos socioeconómicos (Sr. Félix Hinostroza); Gobernanza (Innovable).
- El día 16 de abril de 2013 se efectúa en las dependencias del Programa de las Naciones Unidas Para el Desarrollo (Santiago) el taller de avance de los Reportes Temáticos.
- Se realizan 3 talleres regionales con el objetivo de identificar los problemas que afectan la salud del ecosistema, para el desarrollo de estas actividades se contrataron los servicios del consultor Rodolfo Serra
 - 1) 17 y 18 de junio: Iquique; 31 participantes en la Universidad Arturo Prat
 - 2) 24 de junio: Coquimbo; 21 participantes en la Casa de la cultura
 - 3) 26 de junio: Concepción; 16 participantes en el Circulo Español
- Entre los días 02 y 04 de julio se lleva a cabo el taller: Análisis de Cadenas Causales, con el consultor Carlos Tapia. En este taller se contó con la participación de un grupo multidisciplinario de alrededor de 50 personas. Se inicia el taller con las presentaciones de los reportes temáticos de los 5 módulos, para posteriormente dar paso a la identificación de los problemas y las causas inmediatas, subyacentes y raíz. Además de los problemas identificados en este taller, se consideró los problemas recopilados en los talleres regionales.

Producto 1.4: “Programa de Concienciación sobre MEE para tomadores de decisiones, sectores y grupos de usuarios de los recursos”.

- En relación a las actividades planificadas para el desarrollo del producto 1.4 se tiene la participación en el XXXIII Congreso de Ciencias del Mar (27 al 30 de Mayo). Se efectúa una presentación sobre el Cambio Climático y el Enfoque Ecosistémico en pesquerías, en este contexto se presenta el proyecto GEF-Humboldt. Además se realiza una charla de concienciación sobre el Manejo con Enfoque Ecosistémico a los stakeholders de la región de Antofagasta, en las dependencias del Servicio Nacional de Pesca.



*Proyecto GEF-PNUD:
"Hacia un Manejo con Enfoque Ecosistémico del Gran
Ecosistema Marino de la Corriente Humboldt"*

Producto 2.1: "Sistema de Planificación, Monitoreo & Evaluación basado espacialmente desarrollado".

- En el marco de la actividad 2.1.1: Impactos ambientales y socio-económicos de las cadenas de producción de anchoveta peruana, los días 2 y 3 de abril de 2013 se realizó el taller: Análisis del Ciclo de Vida (ACV) de Cadenas de Producción Pesquera cuyo objetivo era "presentar la aplicación del ACV para la sostenibilidad ambiental en el caso de los recursos hidrobiológicos. El expositor fue el Dr. Pierre Freón, Institut de Recherche pour le Développement (IRD), Francia.
- Durante el año 2012, en el marco del producto 2.1, se llevó a cabo las actividades 2.1.2: Adquisición de software para SIG. En enero 2013 los productos fueron recepcionados por el Sr. Andrés García, Jefe del Dpto. de Informática de IFOP Valparaíso, para el día 29 de enero el software y sus asociados fueron descargados satisfactoriamente.

Detalle de la Adquisición:

- Licencias Arcinfo 10,1 Concurrent (cantidad: 2)
Incluye:
2 Kit para la habilitación, Cód. 129480
(ArcGis 10,1 for Desktop Spanish Backup Media)
- Licencia Spatial Analyst 10,1 Concurrent (cantidad: 1)
Incluye:
Kit para la habilitación, Cód. 129480
(ArcGis 10,1 for Desktop Spanish Backup Media).
- En cuanto a la actividad 2.1.3: Generar información sobre pesquerías y medioambiente: Se han realizados los monitoreos que permiten generar información ambiental utilizable, sobre pesquerías y medio ambiente, entre ellos: seguimientos pelágicos norte y centro sur y evaluaciones directas.

Producto 2.3: "Herramientas de gobernanza de mercado desarrolladas para el manejo sustentable de pesquerías".

Este producto se ha desarrollado a través de una alianza estratégica entre la Subsecretaría de Pesca y el IFOP. El 15 de abril del 2013 se efectúa el taller Ecocertificación de pesquerías en Chile. A este taller a las organizaciones: Marine Stewardship Council (MSC), Naturland, Friend of the Sea (FOS) y Krav. Dos de ellas (MSC y FOS) accedieron a participar. Además se invitó a este evento a representantes de empresas pesqueras, organizaciones de pescadores artesanales de pequeña escala, autoridades de la administración pesquera y fiscalización, investigadores, representantes de instituciones del estado de Chile que se relacionan con el fomento productivo y a la sociedad civil. El objetivo del taller era que los diferentes grupos de interés pudieran conocer las diferentes alternativas de programas de certificación disponibles en el mercado, cómo se llevan a cabo los procesos de certificación de pesquerías y ecoetiquetado de productos del mar junto con los principios y criterios que cada programa exige (se contó con la participación de 91 personas).

Los expositores fueron los siguientes

- Subsecretaría de Pesca y Acuicultura (SUBPESCA)
- PROCHILE
- Marine Stewardship Council (MSC)
- Friend of the Sea (FOS)
- Asociación de Industriales Pesqueros IV Región (AIP)
- Federación Interregional de Pescadores Artesanales del Sur (FIPASUR)
- Instituto de Fomento Pesquero (IFOP)
- Systems & Services Certification (SGS).
- Organización Internacional Agropecuaria S.A. (OIA)



*Proyecto GEF-PNUD:
“Hacia un Manejo con Enfoque Ecosistémico del Gran
Ecosistema Marino de la Corriente Humboldt”*

Producto 2.4: “Programa de construcción de capacidades apuntado a grupos de actores-clave involucrados (pescadores artesanales e industriales) implementado para aumentar el cumplimiento del marco regulatorio MEE”.

En relación al producto 2.4, de acuerdo con el Programa Operacional Anual (POA 2012-13), que tienen relación con la asistencia y participación de conferencias internacionales relacionados con el MEE. En este marco se señala el siguiente evento:

- Participación en Taller de Promoción y Concientización del IMS y REMP (Regional Environmental Monitoring Program) del proyecto CLME (Caribbean Large Marine Ecosystem). Playa del Carmen, México, Enero 29 – 31, 2013) Organizador: COI-UNESCO para el Caribe y Regiones Adyacentes (IOCARIBE). Participante IFOP: Luis Ariz

Producto 3.1: “Legislación desarrollada para la implementación de AMPs en áreas oceánicas (montes submarinos y cañones en Chile)”.

En este producto cabe señalar que la propuesta de Ley para Ecosistemas Marinos Vulnerables fue incorporada en la nueva Ley de Pesca N° 20.657. Actualmente la Subsecretaría de Pesca está avanzando en la elaboración de un Reglamento para la aplicar la ley en materia de EMV. Posteriormente se realizará una consulta pública.

Producto 4.1: “Dos montes submarinos en Chile bajo protección legal mediante categorías de manejo previamente acordadas”.

- Representantes del grupo de trabajo de stakeholders (GTS) (Archipiélago Juan Fernández) viaja al continente a participar en el curso: Evaluación de Riesgo Ecológico en las pesquerías de Juan Fernández, además de ello el día 15 de mayo de 2013 se celebra una reunión sobre las categorías de protección de Áreas Marinas Protegidas.
- Varias reuniones del Grupo de trabajo: Montes Submarinos han sido realizadas en el contexto de la actividad 4.1.4 la cual consistente a efectuar trabajo en terreno y establecer la línea base fina de la comunidad bentónica. Esta actividad se encuentra en proceso de elaboración de los Términos Técnicos de Referencia (TTR) para el desarrollo de esta actividad durante el año 2013.
- Actividad 4.1.7: completada: adquisición de un servidor DELL – equipo fue recepcionado por Andrés García en IFOP Valparaíso el día 18 de marzo de 2013. Se chequea y revisa Servidor y UPS, resultado: conforme.

4.3. Un plan piloto para la conservación y el manejo sustentable de cañones marinos disponible

- Reunión: 30 de julio Grupo de Trabajo “Cañones Submarinos”. Objetivo: Comenzar a levantar la información disponible relacionada con los cañones marinos, para posteriormente dar cumplimiento al producto 4.3 del Programa Operacional Anual (POA) el cual consiste en disponer de un plan piloto para la conservación y el manejo sustentable de cañones marinos.



*Proyecto GEF-PNUD:
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Ecosistema Marino de la Corriente Humboldt”*

3. REUNIONES DE COORDINACIÓN, ACTOS ADMINISTRATIVOS Y OTROS

Fecha	AÑO 2013
04.01.13	Reunión con el NE- evaluación propuestas consultores para ADE
21.01.13	Reunión Núcleo Estratégico (Adjudicación de consultorías)
04-15.02.13	Elaboración informe de Avances proyecto GEF-PNUD-Humboldt año 2012
11.03.13	Reunión Proyecto GEF-Humboldt con representante del PNUD (Raul O’Ryan)
15.03.13	Reunión con Jefes de Dptos DIP-IFOP (actividades programadas para el 2013 en el marco del proyecto Gef-Humboldt)
12.06.13	Reunión Núcleo Estratégico (Avances Poa, varios)
18.07.13	Taller: Desafíos y perspectivas en normas de información geográfica, hacia una IDE 100% interoperable
24.07.13	Reunión SNIT - Aguas Oceánicas SHOA (Sistema Nacional de Información Territorial)
30.07.2013	Reunión Comité Intersectorial Nacional (CIN): Avances del proyecto

4. PRÓXIMAS ACTIVIDADES AGOSTO -DICIEMBRE

1	2.4.3	Simposio Internacional de Manejo y Vigilancia de Grandes Áreas Marinas Protegidas PEW
2	5.1.2	Revisión de Medio Tiempo
3	2.4.3	APEC Workshop in Seoul, Korea
4	1.1.5.1.a	Fase 2 ADE/T: Reclutamiento 3 consultores; 1 ADE Perú; 1 ADE Chile y 1 ADT Perú+Chile
5	1.1.5.1.a	Reunión con el Núcleo Estratégico (análisis de propuestas: postulantes ADE/T)
6	4.1.2	Comisión de servicio a Juan Fernández: Reunión con grupo Stakeholders
7	1.4.4	Reunión con perito Comunicacional (Rodrigo Flores)
8	6.3.1	GEF IWC - 7 (Barbados)
9	2.4.3	XV Congreso Latinoamericano de Ciencias del Mar 2013 (COLACMAR) Uruguay
10	5.1.1	Reunión del Comité Directivo POA 2014
11	1.1.5.1.b	Taller Fase 2 del ADE: Resultados preliminares ADE/T
12	3.3.1	Taller sobre índices reproductivos (stock sur Perú - norte Chile)
13	3.3.2	Taller sobre métodos de evaluación (anchoveta y otros recursos) (traspasar a 2014)
14	4.1.4	Crucero: “Montes Submarinos”: línea base fina de la comunidad bentónica
15	4.3.2	Cañones Submarinos: Levantamiento de línea base (Consultor local)
16	3.1.1	Reglamento para Ecosistemas Marinos Vulnerables
17	2.1.2	Formación de capacidades SIG
18	2.3.2	Reunión sobre avances en ecocertificación de pesquerías

Peru Products and Activities

PROYECTO GEF: Hacia un Manejo con Enfoque Ecosistémico del Gran Ecosistema Marino de la Corriente Humboldt (GEMCH)



PROYECTO GEF: HACIA UN MANEJO CON ENFOQUE ECOSISTÉMICO DEL GRAN ECOSISTEMA MARINO DE LA CORRIENTE HUMBOLDT (GEMCH) (2011-2016)



Heileman et al. 2009.

COMITÉ COORDINADOR IMARPE
Blga. Albertina Kameya Kameya (Coordinadora Proyecto)
Dra. Michelle Graco (Miembro)
Dra. Sara Purca (Miembro)
Blgo. Arturo Gonzales (Miembro)

UNIDAD REGIONAL COORDINADORA (UCR) UNOPS
Dr. Michael Akester (Project Manager, United Nations Office for Project Services (UNOPS))
Mg. Sc. Mariano Gutierrez (Senior Officer)
Lic. Lenka Lazo (Assistant)

WEB
<http://iwlearn.net/iw-projects/3749>



Avanzar hacia el manejo con enfoque de ecosistema para el GEMCH a través de un marco coordinado que fortalezca la gobernanza y el uso sostenible de los recursos marinos vivos y los servicios del ecosistema.

ARREGLOS DE IMPLEMENTACIÓN PROYECTO GEF (pág 68, ProDoc)

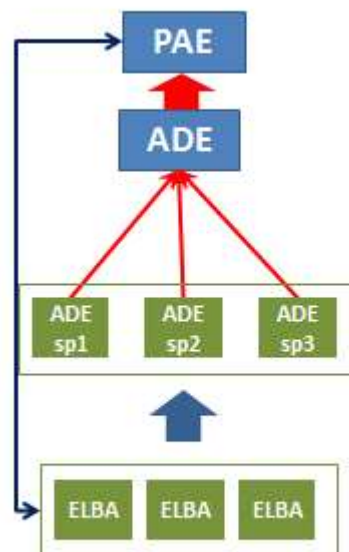
COMITÉ DIRECTIVO (CD)	PUNTOS FOCALES	OBSERVADOR	SECRETARIO
IFOP, CONAMA, SERNAP, la Sub-Secretaría de Pesca y el Ministerio de Relaciones exteriores de Chile, IMARPE, Ministerio de la Producción PRODUCE, Ministerio de Ambiente, SERNANP y Ministerio de Relaciones exteriores de Perú.		PNUD UNOPS	Coordinador Regional del Proyecto
COMITÉ INTERSECTORIAL NACIONAL (CIN) PERÚ MINAM, SERNANP, PRODUCE, MINCETUR, AGRORURAL, el ministerio de Energía y Minas, los gobiernos Regionales en el área del proyecto, la Sociedad Nacional de Industrias Pesqueras, un representante de las asociaciones locales de pescadores, la Universidad Cayetano Heredia, la Universidad del Pacífico, y otras organizaciones con responsabilidad en la ejecución del proyecto, incluyendo el sector privado y la sociedad civil.	IMARPE	-	IMARPE
COMITÉ INTERSECTORIAL NACIONAL (CIN) CHILE SUBPESCA, CONAMA, ONGs, SERNATUR, Confederaciones de Pescadores artesanales, Comisión para la zona Costera, SERNAPESCA, MINVIU, SERNAGEOMIN, PUCV, Universidad de Concepción, y otras organizaciones con responsabilidad en la ejecución del proyecto.	IFOP	-	IFOP
UNIDAD REGIONAL DE COORDINACIÓN DEL PROYECTO Coordinador Regional del Proyecto Internacional, Oficial del Proyecto Senior, asistente financiero y general.			

Item	Fondos GEF Peru (US\$)	Fondos Peru (US\$)	Otros fondos (US\$)	Totales (US\$)
Resultado 1	729,123	IMARPE 1,936,268 PRODUCE 467,838 IRO 237,072 OLDPECSA 34,842 Subtotal 2,676,040	TNC 188,580	3,593,743
Resultado 2	716,300	IMARPE 324,178 PRODUCE 181,663 FONDEPES 224,300 SNP 1,706,200 IRO 177,804 OLDPECSA 34,733 Subtotal 2,649,300	UNDP 44,900	3,410,500
Resultado 3	490,750	IMARPE 1,251,812 PRODUCE 203,846 SERNANP 366,384 IRO 88,902 UCH 290,932 Subtotal 2,201,896	TNC 161,640	2,834,286
Resultado 4	1,114,373	IMARPE 638,234 PRODUCE 1,938,782 SERNANP 348,376 IRO 88,902 UCH 323,280 Subtotal 3,568,774	TNC 269,400	4,942,349
Evaluaciones	62,250	10,813		72,863
Gestión del Proyecto	349,300	IMARPE 473,708 PRODUCE 317,149 FONDEPES 23,500 SNP 193,800 SERNANP 104,040 IRO 67,320 OLDPECSA 7,903 UCH 69,789 Subtotal 1,259,190	TNC 70,380 UNDP 3,100	1,684,170
Totales	3,462,500	12,355,613	740,000	16,558,113

Cronograma Anual

R1-HERRAMIENTAS DE PLANIFICACIÓN
 R2-CAPACIDADES /FORTALECIMIENTO INSTITUCIONAL PARA IMPLEMENTAR PAE
 R3-IMPLEMENTACIÓN DE HERRAMIENTAS DE MANEJO
 R4-IMPLEMENTACIÓN DE ÁREAS MARINAS PROTEGIDAS (AMPs)

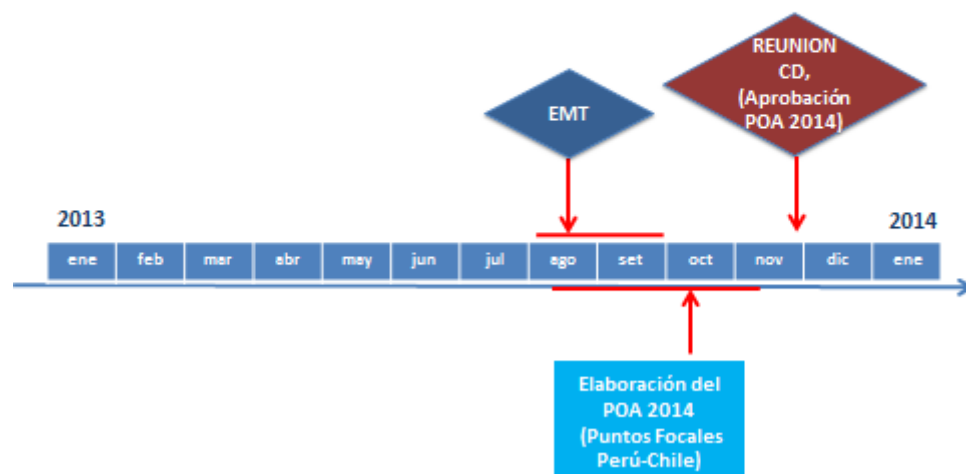
RESULT	PRODUCT	A ACTIVIDADES ESTRATEGICAS	AÑO				
			1	2	3	4	5
R1	1.1	ANALISIS DIAGNOSTICO					
	1.2	PAE Y PAN					
	1.3	MECANISMO GOBERNANZA					
	1.4	PROGRAMA DE CONCIERTIZACION					
R2	2.1	SISTEMA DE PLANF, MONIT Y EVAL					
	2.2	PROGRAMA CAPACITACION PAE Y MEE					
	2.3	MECANISMO DE MERCADO					
	2.4	PROGRAMA DE CUMPLIMIENTO					
R3	3.1	MARCO NORM MONTES SUBMARINOS					
	3.2	PLAN MAESTRO RNSIIPG					
	3.3	MANEJO COORD. ANCHOVETA					
	3.4	ESTRATEG. AMPs HOMOLOGADOS					
R4	4.1	DOS MONTES EN CHILE					
	4.2	TRES PILOTOS RNSIIPG					
	4.3	PLAN PILOTO CANONES SUBMARINOS					
	4.4	PROG. CAPACITACION EN PILOTOS					



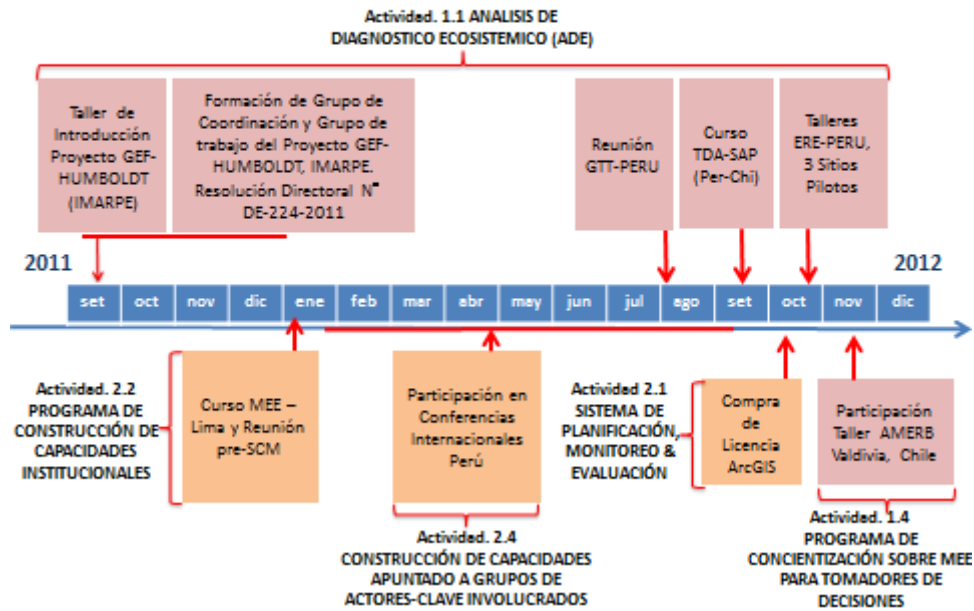
REUNIONES DE TOMA DE DECISIONES



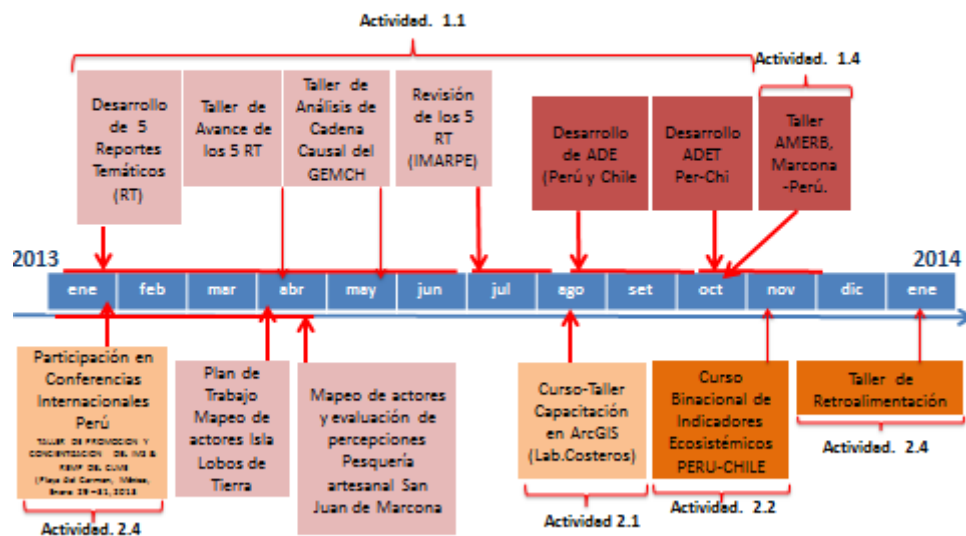
REUNIONES DE TOMA DE DECISIONES



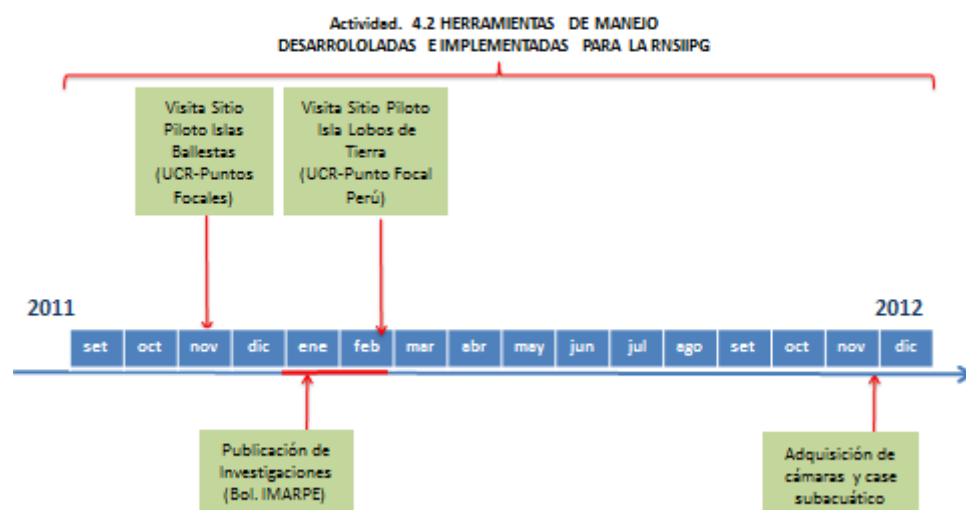
ACTIVIDADES PARA LOS RESULTADOS 1 y 2

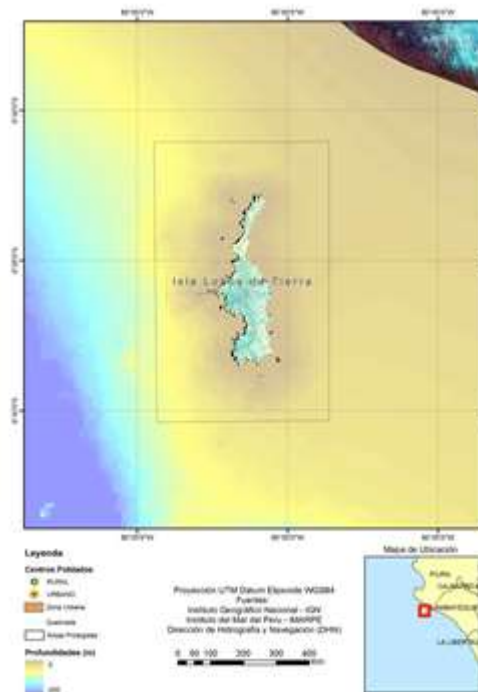


ACTIVIDADES PARA LOS RESULTADOS 1 y 2



ACTIVIDADES PARA LOS RESULTADOS 3 y 4



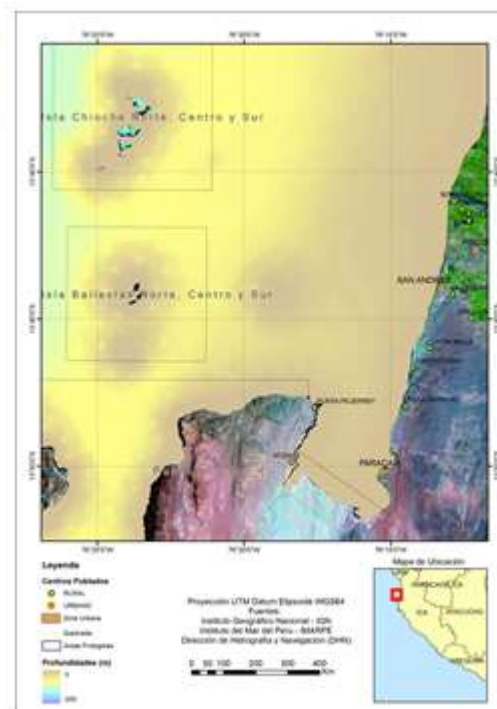


Sitio Piloto Isla Lobos de Tierra

La Isla Lobos de Tierra es un sitio de gran importancia para la reproducción y cría de especies endémicas típicas de la mezcla de aguas frías con aguas cálidas tropicales en la Corriente de Humboldt. Esta área enfrenta un progresivo aumento de extracción de semillas de conchas de abanico por parte de la industria de acuicultura. Crecientes presiones por parte de las concesiones de petróleo y gas en la plataforma continental y exploraciones de fosfato así como futuros procesos de extracción en la adyacente Bahía Sechura son motivo de preocupación por el incremento del tráfico marítimo y el consecuente mayor riesgo de accidentes.

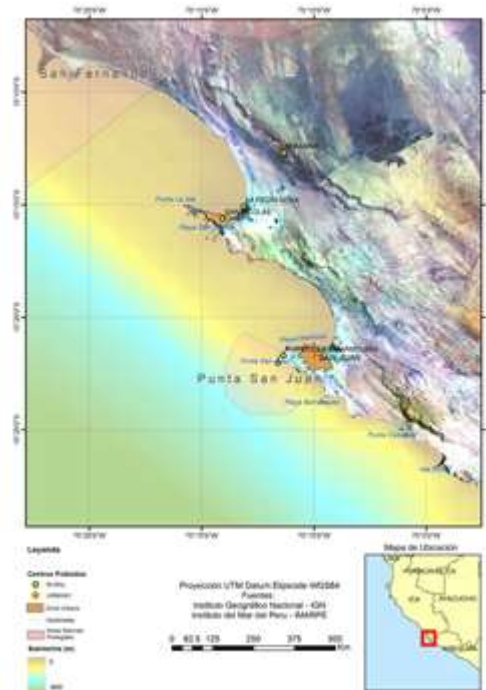
Sitio Piloto Ballestas

Las Islas Ballestas son el foco de la única industria turística costera en Perú actualmente, y genera millones de dólares en ingresos para las comunidades vecinas y el país. La presión del turismo sobre estas islas y sobre las especies amenazadas que las habitan, va a aumentar significativamente gracias a nueve desarrollos hoteleros de gran escala que multiplicarán varias veces la infraestructura hotelera local. A unos cuantos kilómetros, en el pueblo de Pisco, se construirá otra gran industria petroquímica, y se producen y exportan productos LNG (petróleo diesel, gas propano y butano y combustible para aviación). Adicionalmente, otro proyecto para un mega-puerto podrá ser desarrollado en esa zona durante la vida del proyecto.



Sitio Piloto Punta San Juan

Punta San Juan es el sitio de afloramiento de mayor importancia del GEMCH y también es sitio de reproducción para importantes especies amenazadas, tales como el pingüino de Humboldt, y el lobo marino. Los riesgos emergentes en este sitio resultan de los siguientes proyectos: (i) nueva autopista interoceánica conectando Perú y Brasil, (ii) la construcción de la industria petroquímica más grande en el país y (iii) la construcción de un gran puerto industrial minero en los próximos cinco años.



Terms of Reference

Towards Ecosystem-Based Management of the Humboldt Current Large Marine Ecosystem (HCLME)

Chile - Peru

Terms of Reference

Mid-Term Review

August 2013

Countries:	Chile and Peru
ATLAS Award ID:	00060454 (UNOPS)
PIMS Number:	4147
GEF Focal Area:	IW & BD
GEF Strategic Objective:	GEF-4 STRATEGIC PROGRAMME IW/SP1 and BD/SP2 and indirectly SP4
GEF Budget (USD):	6,925,000
Co-Financing Budget (USD):	24,624,084
Project Document Signature dates:	Chile 15.07.2010; Peru 26.08.2010; UNOPS 02.09.2010
Date of first disbursement:	March 2011

Original Planned Closing Date:	March 2015
Executing Agency:	UNOPS
Date of Project Closure	Suggested closing date March 2016

INTRODUCTION

UNDP/GEF Monitoring and Evaluation (M&E) policy

The Monitoring and Evaluation (M&E) policy at the project level in UNDP/GEF has four objectives:

- i) to monitor and evaluate results and impacts;
- ii) to provide a basis for decision making on necessary amendments and improvements;
- iii) to promote accountability for resource use;
- iv) to document, provide feedback on, and disseminate lessons learned.

A mix of tools is used to ensure effective project M&E. These might be applied continuously throughout the lifetime of the project – e.g. periodic monitoring of indicators -, or as specific time-bound exercises such as mid-term reviews, audit reports and final evaluations.

In accordance with applicable policies for UNDP/GEF projects, all GEF-funded projects implemented by UNDP are subjective to a mid-term and a final independent evaluation. According to the Project Document²⁴ of the project **Towards Ecosystem-Based Management of the Humboldt Current Large Marine Ecosystem (HCLME)**, PIMS 4147, a mid-term review is foreseen in August 2013.

The current Terms of Reference of the Mid-Term Review (MTR) of the Project **Towards Ecosystem-Based Management of the Humboldt Current Large Marine Ecosystem (HCLME)**, outline what is expected from the Review Team and briefly reflect key aspects of the project and its background. For any description on methodology, procedures and content of the review report reference is made to the UNDP Evaluation Guidance for GEF Financed Projects <http://web.undp.org/evaluation/methodologies.htm> (Annex 1)

Brief project description

The Humboldt Current supports one of the world's most productive Large Marine Ecosystems (LMEs), representing approximately 18-20% of the global fish catch and hosting globally significant biodiversity. High environmental variability in the HCLME has significant impacts on ecosystem productivity and trophic structure. In addition, a range of anthropogenic activities are exerting pressure on this unique ecosystem.

Ecosystem-based management seeks to restore and sustain the health, productivity, resilience, and biological diversity of coastal and marine systems and promote the quality of life for humans who depend on them. Grounded in science, it defines management regimes on the basis of ecological, rather than political, limits that focus on the relevant aspects of ecosystem structure and functioning, and addresses ecological, social, and economic goals. It calls for engaging multiple stakeholders in a collaborative process to define problems and find solutions and uses an adaptive management approach to address uncertainty.

The main Barriers to EBM implementation for the HCLME are structural and political: the government institutions responsible for managing coastal and marine systems are fragmented and tend to be organized along political, rather than ecological, boundaries and the linkages between conservation and economic and sometimes social

²⁴ Page 66 of the ProDoc states that “An independent Mid-Term Evaluation will be undertaken at the end of the second year of implementation”. This would have been August 2014 due to the delays in formal approval of the first work plan, however as this date would leave only 8-months before the scheduled closing of the project (March 2015) and in the light of a one year no-additional cost extension request, it was decided to hold the review after one year of full implementation in August 2013.

interests is often not appreciated. As indicated in previous sections implementing EBM for the HCLME will require reforms over the long term to management institutions and development of new political constituencies. In the short term, however, attempts to implement EBM are constrained by gaps in knowledge and understanding of how to manage coastal and marine systems, difficulties in effectively incorporating scientific understanding into the decision-making process, and incipient recognition of the need to include the stakeholders whose support will be essential to action in the management processes.

Building on International Waters (IW) practice, the project will put in place a governance framework and strengthen foundational capacities for effective long-term ecosystem management, while in the short term, drawing from experience in the biodiversity focal area, provide at a number of selected sites in Chile and Peru protection from the most immediate pressures to ecosystem health and globally significant biodiversity. The project will assist both countries to overcome identified barriers and achieve specific deliverables that include:

- A strengthened regional planning framework with the development and endorsement of a long-term SAP and National Action Plans (NAP), including approved policy instruments for ecosystem-based management established for the HCLME; and
- Improved capacities for up-scaling management models to strengthen marine habitat representativity in the countries' National Protected Area Strategies (NPAS), enhance ecosystem resilience, and catalyse the sustainability of national marine protected areas systems as a basis for establishing a network of marine protected areas along the HCLME in the future.

Project Goal: Advance towards a sustainably used and resilient HCLME that can maintain biological integrity and diversity and ecosystem services for current and future generations despite changing climatic and social pressures.

Project Objective: Ecosystem-based management in the HCLME is advanced through a coordinated framework that provides for improved governance and the sustainable use of living marine resources and services.

The project has four specific Outcomes to deliver the Project Objective:

Outcome 1: Planning and policy instruments for EBM of the HCLME – the development of the SAP.

Outcome 2: Institutional capacities strengthened for SAP implementation and for up-scaling the results of pilot interventions to the systems level.

Outcome 3: Implementation of priority MPA & fisheries management tools provides knowledge of options for enhanced protection of HCLME and SAP implementation.

Outcome 4: Implementation of pilot MPAs underpins ecosystem conservation and resilience.

The project intervention strategy has a three pronged structure:

1. At one level, the project will advance a strategic long-term planning framework for the identification and prioritization of actions needed to preserve and maintain ecosystem benefits and services of importance for the HCLME. At a systemic level this will be achieved through the formulation of a SAP that includes a plan for a system of Marine Protected Areas of the HCLME (Outcome 1). This will provide an overarching platform for the conceptualization and definition of planning frameworks at national and sub-national levels.

2. However, given that planning processes need to be based upon and informed by measurable on-the-ground experiences, a second thrust of the project will be on a number of in-situ interventions (pilots) that validate differentiated management approaches and targeted responses (Outcome 4). These pilots have been selected using criteria that include global biodiversity values, potential resource generation, stakeholder interest and replication value. They are the Peruvian Guano Islands, Isles and Capes National Reserve (RNSIIPG) and the Bajo O'Higgins and Juan Fernandez Seamounts in Chile. The pilots will deliver direct benefits to biodiversity currently under-represented in the national protected area systems in the short term and provide ground tested lessons for the planning frameworks to be developed through Outcome 1. Complementing these efforts, the sea canyons in both countries will be assessed for their potential as important biodiversity sites and their viability as potential

MPAs will be evaluated.

3. The third level of the project will address the interaction between these two axes by developing the skills, instruments and mechanisms both to effectively up-scale the lessons learnt from the pilots in Outcome 4 and to strengthen capacities for implementing the strategic planning frameworks defined in Outcome 1. These include interventions that have already been identified as priority for effective multi-disciplinary management of the HCLME to be delivered through Outcome 3. These interventions will focus on developing coordinated fisheries management collaboration experiences, specific MPA management tools and legislation, and on identifying equivalent national MPA management strategies in order to arrive at shared understanding of management approaches. Outcome 2 will provide the linkage between the strategic instruments developed under Outcome 1 and the tools for upscaling and advancing the priority interventions under Outcome 3. It will focus on strengthening capacities in key institutions and among stakeholder groups for applying both planning and management instruments and tools. Spatially-based Planning, Monitoring & Evaluation Systems will be developed to underpin the new approaches to management and stewardship of ecosystem goods and services. Additionally, market based mechanisms will generate opportunities for promoting new private sector sustainable management arrangements.

Global significance and relevance to GEF Programmes

This International Waters (IW) Biodiversity protection (BD) initiative is fully compliant with defined priorities under GEF4. As called for under IW-SP1 it provides for the “development of ministerial-agreed collective programs of action on fish stocks and habitat conservation for LMEs that should benefit from use of MPAs through funding from the biodiversity focal area”. Biodiversity resources have been allocated to set-up and make operational MPAs to conserve currently unprotected off-and near-shore marine and coastal habitats increasing representation of effectively managed marine PA Areas in both Chile and Peru by approximately 500 Km² in coastal areas, and by over 3000 Km² in oceanic areas, clearly contributing to SO1/SP2. A management plan for the RNSIIPG will lay the bases for effective protection of approximately an additional 1,414 Km². Moreover by strengthening systemic and institutional capacities for MPA management nationally and across the HCLME, GEF biodiversity resources will enable the up-scaling of pilot experiences and further contribute to the BD-SO1 objective.

The project will also lay the foundations for EBM approaches that will provide for more sustainable livelihoods, improved food security, and biodiversity conservation and protection as called for in both the IW and BD focal areas. Through the SAP process, the project will help the two countries agree upon needed national and regional policy, legal and institutional reforms, and provide for the system-wide application of science to evaluate and ensure the long-term sustainability of the LME's living marine resources. In turn this will increase the sustainability of biodiversity benefits gained through the MPAs by reducing pressures on these over the long-term.

The incorporation of biodiversity conservation considerations into fisheries policy and regulation through advancing multi-species monitoring and marketplace governance mechanisms will contribute to BD-SO2-SP4 goals and this, together with the IW approaches to build foundational capacity for threats abatement in both countries, will further contribute towards the BD-SO2 of incorporating sustainable use of living marine resources and conservation of biodiversity in the productive seascape.

A key focus of the project will be to assist both countries and communities to adapt to fluctuating fish stocks and coastal climatic regimes, including through the incorporation of climate change scenarios into fisheries and ecosystem management strategies and Protected Area system design. Therefore significant lessons for the emerging field of adaptation to climate change will be generated.

Complications

The project document was signed by the executing agency UNOPS on 02.10.2010. The Regional Project Coordinator was at post at the start of April 2011 and the full Regional Coordination Unit (RCU) team of three in place by November 2011. Peru underwent presidential elections during this inception period and there was

consequently a change in government officials. Immediately prior to the intended inception workshop in November 2011, the Peruvian Ministry of Foreign Affairs (P-MFA) announced that the Project Document had an error on the legal page (item 302) and that the inception workshop would have to be postponed until the text could be corrected. The latter took 5-months and was eventually resolved via an exchange of letters between UNDP-Lima and the P-MFA dated 28.02.2012 and 07.03.2012 respectively. The inception report was presented and approved at the first Steering Committee meeting held on 18.05.2012. A work plan for the period June 2012 to December 2013 was also presented. During the meeting the activities and corresponding activity budget were approved but not the associated project management costs as these were considered to be disproportionately high. These were eventually approved, with observations, on 16.07.2012.

To address this serious deficit, a tripartite meeting Chile-Peru-UNDP/GEF is to be convened to discuss reprioritizing and focusing remaining resources on key project activities –including reviewing implementing costs–, particularly the development of the Strategic Action Programme (SAP) –having first completed the necessary Transboundary Diagnostic Analysis (TDA)– and the implementation of pilot marine protected areas that underpin ecosystem conservation and resilience, as there will be no additional GEF funds for the project’s current phase. A discussion is also needed on measures to enhance ownership of the project and to mitigate staff rotation at government level.

Some of the work plan observations included comments on the intended activities towards improved management of the joint anchovy stock N. Chile – S. Peru, which should not start until after the judgment is received from the international Court of Justice at The Hague regarding the marine border dispute between Peru and Chile.

In relation to the GEF CEO approval, dated 22.10.2009, and expected start-up in January 2010, the project’s actual start in terms of approved work plan implementation was delayed by 30 months, although a range of preparatory activities were undertaken from April 2011. The Chilean and Peruvian focal points therefore requested a rescheduled mid-term review and revised project end date: August 2013 and March 2016 respectively.

OBJECTIVES OF THE REVIEW

The Mid-Term Review (MTR) will be conducted according to guidance, rules and procedures for such reviews established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects <http://web.undp.org/evaluation/methodologies.htm>. A key principle of the review is that it must provide clearly documented evidence and analysis, and unbiased assessment.

With the objective to strengthen the project adaptive management and monitoring, mid-term reviews are intended to identify potential project design problems, assess progress towards the achievement of objectives and make recommendations regarding specific actions that might be taken to improve the project. As such the MTR provides the opportunity to assess early signs of project success or failure and prompt necessary adjustments. Another objective of the MTR is to ensure accountability for the achievement the GEF objective. Through the identification and documentation of lessons learned (including lessons that might improve design and implementation of other UNDP/GEF projects) an MTR also enhances organizational and development learning.

The main stakeholders of this MTR are UNDP (Regional – Panama and Country Level: Chile and Peru), UNOPS (Copenhagen) and the Steering Committee members from both Chile and Peru: 1) The Fisheries Institutes (IFOP and IMARPE); 2) The Environmental Ministries; 3) Fisheries Management entities (SUBPESCA under-secretariat belonging to the Ministry of Economy Development & Tourism in Chile plus the equivalent in Peru the Ministry of Production; 4) Entities working with aquatic resource conservation SERNAPESCA in Chile and SERNANP in Peru; 5) The Foreign Affairs Ministries.

SCOPE OF THE REVIEW

The review will cover the five major criteria which are: 1) relevance, 2) effectiveness, 3) efficiency, 4) results and 5) sustainability. These five review criteria should be further defined through a series of questions (Annex 2) covering all aspects of the project intervention, broken out in three main sections:

- a) Project Formulation: Logical framework, Assumptions and Risks, Budget (co-finance) and Timing
- b) Project Implementation: IA/EA supervision and support, monitoring (including use of tracking tools) and evaluation, stakeholder participation, adaptive management.
- c) Achievement of Results: Outcomes, Impacts, Catalytic effect, Sustainability, Mainstreaming (e.g. links to other UNDP priorities, including related support programmes set out in the UNDAF²⁵ and CPAP²⁶, as well as cross cutting issues)

The Guidance in <http://web.undp.org/evaluation/methodologies.htm> details which of the project components need to be rated as well as a definition of the six point rating scale (Annex 3: from Highly Satisfactory to Highly Unsatisfactory)²⁷.

PRODUCTS EXPECTED FROM THE REVIEW

The review team is expected to deliver three products as described in the Guidance <http://web.undp.org/evaluation/methodologies.htm>

1. An Inception Report
2. Oral presentation of main findings of the review to UNDP RO²⁸ and CO²⁹ and Project Team before the mission is concluded in order to allow for clarification and validation of review findings.
3. A review report which is to be in line with the Report Outline described in the Guidance in <http://web.undp.org/evaluation/methodologies.htm> and shown at Annex 1.

METHODOLOGY OR REVIEW APPROACH

The review methodology is to follow the Guidance in <http://web.undp.org/evaluation/methodologies.htm> and the Review Team is to present a fine-tuned proposal in the Inception Report which is to be discussed with the UNDP-Regional and Country Offices and the project's Coordination Unit.

A list of documents to be reviewed by the Review Team is attached in Annex 4.

²⁵ The United Nations Development Action Framework

²⁶ Country Programme Action Plan

²⁷ Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution

6: Highly Satisfactory (HS): no shortcomings

5: Satisfactory (S): minor shortcomings

4: Moderately Satisfactory (MS)

3. Moderately Unsatisfactory (MU): significant shortcomings

2. Unsatisfactory (U): major problems

1. Highly Unsatisfactory (HU): severe problems

²⁸ RO = Regional Office

²⁹ CO = Country Office

REVIEW TEAM

An international expert, bilingual (Spanish-English), with at least 10 years of natural resources project management and review/evaluation experience, ideally including GEF project implementation and Large Marine Ecosystem (LME) experience. The candidate must be familiar with the TDA-SAP³⁰ process and the associated International Waters plus Biodiversity aspects. The international expert will be the team Leader (team of one) responsible for the timely delivery and quality of all MTR reporting and schedule approval. S/he will have experience from work in Latin America and will ideally have worked in both Chile and Peru or at least be familiar with the HCLME and its regional/global importance. The consultant should have a higher degree in biological sciences or similar. Applicants with a social science degree will also be considered providing they can show familiarity with the complex biological processes of importance to LMEs and in particular the HCLME.

The consultant in charge of the MTR will be held to the ethical standards referred to in the Guidance <http://web.undp.org/evaluation/methodologies.htm> and are expected to sign the Code of Conduct (Annex 5) upon acceptance of the assignment.

IMPLEMENTATION ARRANGEMENTS

Management Arrangements

The MTR is a requirement of UNDP and GEF and solicited and led by the UNDP RO in coordination with the COs in Peru and Chile, as the project Implementing Agency. The UNDP-CO-Peru, in coordination with the UNDP-CO-Chile and the project Regional Coordination Unit (RCU), has overall responsibility for the logistical arrangements of the review as well as day-to-day support to the review team (travel, accommodation, office space, communications, etc) and timely provision of per diems and contractual payments. The UNDP-COs will organize the site missions (travel arrangements, meetings with key stakeholders and beneficiaries, interviews, field trips). The review team will be briefed by the UNDP Country Offices and the RCU upon the commencement of the assignment, and will also provide a terminal briefing. Other briefing sessions may be scheduled, if deemed necessary.

The principal responsibility for logistical arrangements in order to manage this review resides with the UNOPS IWC in Copenhagen. The UNOPS IWC will contract a consultant responsible for the review and ensure the timely provision of per diems and travel arrangements within the country for the review team. The Project Team will be responsible for liaising with the review team to set up stakeholder interviews, arrange field visits, coordinate with the Government etc.

Payment modalities and specifications: The reviewers will be contracted directly from the project budget. Payment will be 70% at the submission of the first draft to the UNDP-RO and COs and UNDP-GEF RCU, and the other 30% once the final report has been completed and cleared by both the UNDP-RO & COs and UNDP-GEF RCU. The quality of the evaluator's work will be assessed by the UNDP-RO, COs and UNDP-GEF-RCU. If the quality does not meet standard UNDP expectations or UNDP-GEF requirements, the reviewers will be required to re-do or revise (as appropriate) the work before being paid final installments.

³⁰ TDA-SAP = Transboundary Diagnostic Analysis SAP = Strategic Action Programme

These Terms of Reference follow the UNDP-GEF policies and procedures, and will be agreed upon by the UNDP RO, RCU and the UNDP Country Offices. The final report must be cleared and accepted by UNDP before being made public, therefore, the UNDP-RO and COs and UNDP-GEF-RCU will have to formally clear the report (as per the Approval Form in Annex 6).

Timeframe, resources, logistical support and deadlines

Preparation before field work:

- Acquaintance with the project document and other relevant materials with information about the project (PIRs, etc);
- Familiarization with overall development situation of country (based on reading of UNDP- Common Country Assessment and other reports on the countries);
- Inception Report preparation, including methodology, in cooperation with the UNDP Country office and the Project team;
- Initial telephone discussion with UNDP and Regional Project Coordinator.

Mission:

- Meeting with UNDP Country office teams;
- Meetings with key stakeholders in both countries
- Joint review of all available materials with focused attention to project outcomes and outputs
- Visit to Project sites (Valparaiso in Chile³¹ and Paracas in Peru)
 - Observation and review of completed and ongoing field activities,(capacity development, awareness /education, sustainable use demonstration activities, community development, etc)
 - Interviews with key beneficiaries and stakeholders, including representatives of local authorities, local environmental protection authorities, local community stakeholders, etc.

Draft report To be provided by 13th September 2013 (70% of the total payment)

- Final interviews / cross checking with UNDP CO, UNDP RCU and UNOPS + Project team.
- Drafting of report in proposed format
- Telephone review of major findings with UNDP RO, COs and UNOPS + RPC
- Completion and presentation of draft report for comments and suggestions. Comments and suggestions to be sent within 1 month from 13th September submission date

Final Report (30% of the total payment)

- Presentation of final review report with comments incorporated by 28th October(Annex 7 review Report Outline).

VIII. ANNEXES

Annex 1: UNDP Guidance on Evaluation of GEF Financed Projects (Version for external reviewers)

<http://web.undp.org/evaluation/methodologies.htm>

³¹ A meeting in Valparaiso only as travel to the Chilean Pilot sites on and around the Juan Fernandez Islands is very difficult due to distance and weather conditions. Flights are available but are often cancelled on the day of travel especially in the Austral winter. The Islands can be reached by boat, a journey of between 30 and 36 hours. The boat returns a few hours having completed the unloading-loading process and the next one arrives a month later.

Annex 2: Review Questions

This is a generic list, to be further detailed with more specific questions by the UNDP Regional Technical Adviser (RTA) based on the particulars of the project.

Evaluative Criteria Questions	Indicators	Sources	Methodology
Relevance: How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels?			
- Is the project relevant to the GEF IW strategic priorities and how does support the GEF IW focal area?	•	•	•
-How does the project support the environment and sustainable development objectives of the HCLME participating countries?	•	•	•
-What is the level of stakeholder ownership in implementation?			
-Does the project adequately take into account the national realities, both in terms of institutional and policy framework in its design and its implementation?			
-Is the length of the project sufficient to achieve project outcomes?	•	•	•
-Has the experience of the project provided relevant lessons for other future projects targeted at similar objectives?	•	•	•
Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?			
-Has the project been effective in achieving its midterm targets of expected outcomes? Answer the question for all the outcomes.	•	•	•
-What has been the quality of risk mitigation strategies developed? Are these sufficient?	•	•	•
Are there clear strategies for risk mitigation related with long-term sustainability of the project?			
-What changes can be made (if any) to the design of the project in order to improve the achievement of the project's expected results?	•	•	•
Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?			
-Has adaptive management used or needed to ensure efficient resource use?	•	•	•
-Do the project logical framework and work plans and any changes made to them use as management tools during implementation?			
-Are the accounting and financial systems in place adequate for project management and producing accurate and timely financial information?			
-Are progress reports produced accurately, timely and responded to reporting requirements including adaptive management changes?			
-Is project implementation as cost effective as originally proposed (planned vs. actual)			
-Does the leveraging of funds (co-financing) happen as planned?			
-How has results-based management used during project implementation?			
-To what extent partnerships/linkages between institutions/ organizations have been encouraged and supported?	•	•	•
-What is the level of efficiency of cooperation and collaboration arrangements?			
-Which methods are successful or not and why?			

-How can the project more efficiently carry out implementation (in terms of management structures and procedures, partnerships arrangements etc...)?	•	•	•
-What changes can be made to the project in order to improve its efficiency?			
-Has the project been efficient in achieving its expected outcomes?	•	•	•

ANNEX 3: RATING SCALES

<i>Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution</i> 6: Highly Satisfactory (HS): no shortcomings 5: Satisfactory (S): minor shortcomings 4: Moderately Satisfactory (MS) 3: Moderately Unsatisfactory (MU): significant shortcomings 2: Unsatisfactory (U): major problems 1. Highly Unsatisfactory (HU): severe problems	<i>Sustainability ratings:</i> 4. Likely (L): negligible risks to sustainability 3. Moderately Likely (ML): moderate risks 2. Moderately Unlikely (MU): significant risks 1. Unlikely (U): severe risks	<i>Relevance ratings</i> 2. Relevant (R) 1.. Not relevant (NR) <i>Impact Ratings:</i> 3. Significant (S) 2. Minimal (M) 1. Negligible (N)
<i>Additional ratings where relevant:</i> Not Applicable (N/A) Unable to Assess (U/A)		

Annex 4: List of Documents to be revised by the reviewer

1. Project Document signed 02.09.2010 (English and Spanish versions)
2. Exchange of letters UNDP and Peru-MFA dated 28.02.2012 and 07.03.2012 plus ProDoc, Part 5 Legal Context, paragraph 302
3. Inception Report
4. Steering Committee minutes and presentations
5. Approved 2012-13 work plan and revised 2013 work plan
6. Financial reports 2011 and 2012
7. Letters from the project focal points in Chile and Peru requesting an extension of the project
8. National Intersectoral Committee documentation: Chile and Peru
9. PIR 2012
10. QORs 2011, 2012 and 2013
11. Reports from IFOP-SUBPESCA re visits to the Juan Fernandez Islands - Chile
12. Territorial Use Rights for Fishing (TURF) workshop proceedings - Chile
13. Regional Coordination Unit - Back to the Office Reports
14. Publications to date:
 - a. IMARPE documents
 - b. Risk Analysis texts Peru and Chile
 - c. http://www.undp.org/content/undp/en/home/librarypage/environment-energy/water_governance/frontline-observations-on-climate-change-and-sustainability-of-l/
 - d. AAAS Boston 17.02.2013 "The Resilience and Robustness of the Humboldt Current Large Marine Ecosystem" M. J. Akester
15. The project website: www.humboldt.iwlearn.org and documents available at the site
16. EBM training course report
17. TDA-SAP training and kick-off workshop
18. Previous TDA-SAP documentation (2003)
19. Biodiversity study Isla Lobos de Tierra (Northern Pilot Site Peru)
20. Baseline data (Biological and Socio-economic) Marcona (southern Pilot Site Peru)
21. Marine Stewardship Council (MSC) training materials
22. Actor mapping work in three areas next to the Capes and Guano Islands National Reserve – Peru
23. 5 LME thematic study reports from both Chile and Peru
24. Causal Chain Analysis Workshop proceedings – Chile and Peru
25. Official cooperation agreement between SERNANP and IMARPE
26. Seamount and Canyon working group documentation - Chile
27. Documentation relating to the Capes and Guano Islands National Reserve – Master Plan Vision development
28. GEF tracking tools

Annex 5: Review Consultant Code of Conduct 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 review findings along with information on their limitations and have this accessible to all affected by the review 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 a review of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting reviews. 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 review. Knowing that a review might negatively affect the interests of some stakeholders, reviewers should conduct the review 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 review.

Review Consultant Agreement Form

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

Name of Consultant: _____

Name of Consultancy Organization (where relevant): _____

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

Signed at place on date

Signature: _____

Annex 6: Review Report Clearance Form to be completed by CO and RCU and included in the final document

Review Report Reviewed and Cleared by:	
UNDP Regional Office	
Name: _____	
Signature: _____	Date: _____
UNDP Country Office - Peru	
Name: _____	
Signature: _____	Date: _____
UNDP Country Office - Chile	
Name: _____	
Signature: _____	Date: _____
UNOPS Regional Project Coordinator	
Name: _____	
Signature: _____	Date: _____

ANNEX 7: REVIEW REPORT OUTLINE³²

- i. Opening page:
 - Title of UNDP supported GEF financed project
 - UNDP and GEF project ID#s.
 - Review time frame and date of revision report
 - Region and countries included in the project
 - GEF Operational Program/Strategic Program
 - Implementing Partner and other project partners
 - Review team members
 - Acknowledgements
- ii. Executive Summary
 - Project Summary Table
 - Project Description (brief)
 - Review Rating Table
 - Summary of conclusions, recommendations and lessons
- iii. Acronyms and Abbreviations
(See: UNDP Editorial Manual³³)
1. Introduction
 - Purpose of the revision
 - Scope & Methodology
 - Structure of the revision report
2. Project description and development context
 - Project start and duration
 - Problems that the project sought to address
 - Immediate and development objectives of the project
 - Baseline Indicators established
 - Main stakeholders
 - Expected Results
3. Findings
(In addition to a descriptive assessment, all criteria marked with (*) must be rated³⁴)
- 3.1 Project Design / Formulation
 - Analysis of LFA/Results Framework (Project logic /strategy; Indicators)
 - Assumptions and Risks
 - Lessons from other relevant projects (e.g., same focal area) incorporated into project design
 - Planned stakeholder participation
 - Replication approach
 - UNDP comparative advantage
 - Linkages between project and other interventions within the sector
 - Management arrangements
- 3.2 Project Implementation
 - Adaptive management (changes to the project design and project outputs during implementation)
 - Partnership arrangements (with relevant stakeholders involved in the country/region)

³²The Report length should not exceed 50 pages in total (not including annexes).

³³ UNDP Style Manual, Office of Communications, Partnerships Bureau, updated November 2008

³⁴ Using a six-point rating scale: 6: Highly Satisfactory, 5: Satisfactory, 4: Marginally Satisfactory, 3: Marginally Unsatisfactory, 2: Unsatisfactory and 1: Highly Unsatisfactory, see section 3.5, page 37 for ratings explanations.

- Feedback from M&E activities used for adaptive management
 - Project Finance:
 - Monitoring and evaluation: design at entry and implementation (*)
 - UNDP and Implementing Partner implementation / execution (*) coordination, and operational issues
- 3.3** Project Results
- Overall results (attainment of objectives) (*)
 - Relevance(*)
 - Effectiveness & Efficiency (*)
 - Country ownership
 - Mainstreaming
 - Sustainability (*)
 - Impact
- 4.** Conclusions, Recommendations & Lessons
- Corrective actions for the design, implementation, monitoring and evaluation of the project
 - Actions to follow up or reinforce initial benefits from the project
 - Proposals for future directions underlining main objectives
 - Best and worst practices in addressing issues relating to relevance, performance and success
- 5.** Annexes
- ToR
 - Itinerary
 - List of persons interviewed
 - Summary of field visits
 - List of documents reviewed
 - Annex 1: UNDP Guidance on Evaluation of GEF Financed Projects (Version for external reviewers)
 - Annex 2: List of Documents to be revised by the reviewer
 - Annex 3: Reviewer Consultant Code of Conduct Agreement Form
 - Annex 4: Review Report Clearance Form to be completed by CO and RCU and included in the final document
 - Annex 5: Review Report Outline
 - Annex 6: Rating Scales
 - Annex 7: Review Questions
-

Evaluation Consultant Agreement Form

ANNEX E: EVALUATION CONSULTANT CODE OF CONDUCT AND AGREEMENT FORM

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.

Evaluation Consultant Agreement Form³⁵

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

Name of Consultant: Maria Onestini

Name of Consultancy Organization (where relevant):

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

Signed at place on date

Signature: Buenos Aires, Argentina August 2 2013

³⁵www.unevaluation.org/unegcodeofconduct