1. **Team Leader**
2. **Knowledge Management Expert (ADB)**

## **Terms of Reference for the Terminal Evaluation for Team Leader**

GEF IW: LEARN: Portfolio Learning in International Waters with a Focus on Oceans, Coasts, and Islands and Regional Asia/Pacific and Coral Triangle Learning Processes

(PIMS: 4164)

 

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# INTRODUCTION

TERMINAL EVALUATION TERMS OF REFERENCE

The UNDP/GEF Project on IW:Learn/CTI is a global project. The project includes 4 components and is being co- implemented by two GEF agencies – UNDP and ADB. The first, second and fourth components are being implemented by UNDP and executed by the United Nations Office for Project Services (UNOPS) while the third is implemented by ADB. The Project commenced in 2009 and was expected to be completed by July 2013. UNOPS as the implementing partner of UNDP has responsibility in the overall implementation of above mentioned components. In turn, UNOPS has contracted the Global Forum on Oceans, Coasts and Islands GOF, through its secretariat – International Coastal and Ocean Organization (ICO), to carry out the project activities under component one. The second component is undertaken by the IW:LEARN team and the fourth component, which is Project Coordination Unit (PCU), is under UNOPS direct management.

The third component is implemented by ADB through a regional technical assistance (RETA) project. The RETA (TA 7307(REG)) is intended to strengthen the management of coastal and marine ecosystems in the coral triangle in a more coordinated and sustainable manner. Regional cooperation among the six Coral Triangle Initiative (CTI) countries on information exchange and decision making based on scientific and technical knowledge and global best practices will be strengthened. It has four main outputs: (i) strengthened CTI regional cooperation, (ii) establishment of regional learning mechanisms, (iii) implementation of a communication and information dissemination plan, and

1. establishment of sustainable financing schemes. Building on agreements among invited project stakeholders during the project’s Inception Workshop held at ADB on 29-30 July 2010, the scope of RETA 7307 was revised to define its focus on knowledge management (KM) and communication in three areas – (i) sustainable finance; (ii) economic studies in support of policy and sustainable financing, including payment for ecosystem services (PES), coastal valuation, and economics of climate change; and (iii) preparation of the State of the Coral Triangle Report (SCTR) – all leading to regional learning and cooperation.

In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP support GEF financed projects are required to undergo a terminal evaluation upon completion of implementation. These terms of reference (TOR) sets out the expectations for a Terminal Evaluation (TE) of the *IW:LEARN: Portfolio Learning in International Waters with a Focus on Oceans, Coasts, and Islands and Regional Asia/Pacific and Coral Triangle Learning Processes* (PIMS #4164)

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

**PROJECT SUMMARY TABLE**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Project Title: | and Islands and Regional Asia/Pacific and Coral Triangle Learning Processes | | | | |
| GEF Project ID: | | 3639 |  | *at endorsement (Million US$)* | *at completion (Million US$)* |
| UNDP Project  ID: | | 4164 | GEF financing: | 1.5 (include ADB portion here) | 1.5 |
| Country: | | Global | IA/EA own: | 1.47 |  |
| Region: | | Global | Government: | 0.52 |  |
| Focal Area: | | International | Other: | 0.73 |  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Waters |  |  | |  |
| FA Objectives,  (OP/SP): | IW SP1-4 | Total co-financing: | 3.03 (for entire project) | |  |
| Executing Agency: | UNOPS | Total Project Cost: | 5.73 (included fund managed by ADB) | |  |
| Other Partners  involved: | ADB, IW  Learning Exchange & Resource Network (IW:Learn), International Coastal and Ocean Organizaiton (ICO) | ProDoc Signature (date project began): | | | 23 July 2009 |
| (Operational) Closing Date: | | Proposed:  23 July 2013 | Actual:  30 July 2013 |

# OBJECTIVE AND SCOPE

The project was designed to ensure that coastal and marine ecosystems, especially in the Coral Triangle, are managed sustainably, with improved linkages to river basin and groundwater management and equitable outcomes for all communities that depend on these resources for their livelihoods and with long term protection of the globally significant biological diversity in coastal and marine ecoregions.

The core operational activities of the project focus on the Asia-Pacific Coral Triangle countries, including Indonesia, Malaysia, Papua New Guinea, Philippines, Solomon Islands and Timor Leste. The project incorporates a global component aimed at advancing the oceans, coasts and small island developing states targets of the 2002 Johannesburg Plan of Implementation, and at addressing emerging challenges such as climate change impacts and improved governance of marine areas beyond national jurisdiction. The project also contributes to the World Ocean Conference which was held in Manado, Indonesia in May 2009, the GEF Fifth Biennial International Waters Conference held in Cairns, Australia in October 2009, and the Fifth Global Oceans Conference, held in Paris, France, April 2010.

The objectives of the evaluation are to assess the achievement of project results, and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP and GEF programming.

The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the [UNDP Evaluation Guidance for GEF Financed Projects](http://web.undp.org/evaluation/documents/guidance/GEF/UNDP-GEF-TE-Guide.pdf).

# EVALUATION APPROACH AND METHOD

An overall approach and method1 for conducting project terminal evaluations of UNDP-supported GEF-financed projects have been developed over time. The evaluator is expected to frame the evaluation using the criteria of **relevance, effectiveness, efficiency, sustainability, and impact,** as defined and explained in the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects. A set of questions covering each of these criteria have been drafted and are included with this TOR (*Annex C*) The evaluator is expected to amend, complete and submit this matrix as part of an evaluation inception report, and shall include it as an annex to the final report.

The evaluation must provide evidence‐based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, project team and in particular the UNDP GEF Technical and Principal Advisers, UNOPS, ADB, and relevant project implementing partners. This TE is expected to be done entirely through a desk review and interviews of key stakeholders (possibly interviewing directly and via teleconference). Interviews will be held with the following organizations and individuals at the minimum:

* + Project Staff (Project Implementation Coordinator) at UNDP APRC.
  + Project Focal points of component 1 from GOF, component 2 from IW:LEARN team and Component 3 from ADB
  + Relevant UNDP and UNOPS staff

Although the independent evaluators should feel free to discuss with authorities concerned all matters relevant to their assignment, they are not authorized to make any commitment on behalf of UNDP, UNOPS, ADB or GEF.

The evaluator will review all relevant sources of information, such as the project document, project reports – including Annual APR/PIR, project budget revisions, midterm review, progress reports, GEF focal area tracking tools, project files, national strategic and legal documents, and any other materials that the evaluator considers useful for this evidence-based assessment. A list of documents that the project team will provide to the evaluator for review is included in Annex B of this Terms of Reference.

The evaluator is also expected to validate the GEF IW Tracking Tools and the confiancing amounts and annexed to the final evaluation report.

# EVALUATION CRITERIA & RATINGS

An assessment of project performance will be carried out, based against expectations set out in the Project Logical Framework/Results Framework ( Annex A), which provides performance and impact indicators for project implementation along with their corresponding means of verification. As mentioned above, the evaluation will at a minimum cover the criteria of: **relevance, effectiveness, efficiency, sustainability and impact.** Ratings must be provided on the following performance criteria. The completed table must be included in the evaluation executive summary. The obligatory rating scales are included in Annex D.

|  |  |  |  |
| --- | --- | --- | --- |
| **Evaluation Ratings:** | | | |
| **1. Monitoring and Evaluation** | ***rating*** | **2. IA& EA Execution** | ***rating*** |

1 For additional information on methods, see the [Handbook on Planning, Monitoring and Evaluating for Development Results,](http://www.undp.org/evaluation/handbook) Chapter 7, pg. 163

|  |  |  |  |
| --- | --- | --- | --- |
| M&E design at entry |  | Quality of UNDP Implementation |  |
| M&E Plan Implementation |  | Quality of Execution - Executing Agency |  |
| Overall quality of M&E |  | Overall quality of Implementation / Execution |  |
| **3. Assessment of Outcomes** | **rating** | **4. Sustainability** | **rating** |
| Relevance |  | Financial resources: |  |
| Effectiveness |  | Socio-political: |  |
| Efficiency |  | Institutional framework and governance: |  |
| Overall Project Outcome Rating |  | Environmental : |  |
|  |  | Overall likelihood of sustainability: |  |

# PROJECT FINANCE / COFINANCE

The Evaluation will assess the key financial aspects of the project, including the extent of co-financing planned and realized. Project cost and funding data will be required, including annual expenditures. Variances between planned and actual expenditures will need to be assessed and explained. Results from recent financial audits, as available, should be taken into consideration. The evaluator(s) will receive assistance from the Implementing agencies (UNDP HQ and Regional and ADB), Implementing partners, Executing agency (UNOPS) and Project Team to obtain financial data in order to complete the co-financing table below, which will be included in the terminal evaluation report.

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Co-financing (type/source) | UNDP own financing (mill. US$) | | Government (mill. US$) | | Partner Agency (mill. US$) | | Total (mill. US$) | |
| Planned | Actual | Planned | Actual | Planned | Actual | Actual | Actual |
| Grants |  |  |  |  |  |  |  |  |
| Loans/Concessions |  |  |  |  |  |  |  |  |
| * In-kind support |  |  |  |  |  |  |  |  |
| * Other |  |  |  |  |  |  |  |  |
| Totals |  |  |  |  |  |  |  |  |

# MAINSTREAMING

UNDP supported GEF financed projects are key components in UNDP country programming, as well as regional and global programmes. The evaluation will assess the extent to which the project was successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender.

# IMPACT

The evaluators will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts. Key findings that should be brought out in the evaluations include whether the project has demonstrated, as applicable in the IW Tracking Tools: a) verifiable improvements in ecological status, b) verifiable reductions in stress on ecological systems, and/or c) demonstrated progress towards these impact achievements.2

2 A useful tool for gauging progress to impact is the Review of Outcomes to Impacts (ROtI) method developed by the GEF Evaluation Office: [ROTI Handbook 2009](http://www.thegef.org/gef/sites/thegef.org/files/documents/M2_ROtI%20Handbook.pdf)

# CONCLUSIONS, RECOMMENDATIONS & LESSONS

The evaluation report must include a chapter providing a set of **conclusions**, **recommendations** and **lessons**.

# IMPLEMENTATION ARRANGEMENTS

The principal responsibility for managing this evaluation resides with the UNDP Asia-Pacific Regional Centre and UNOPS*.* The UNOPS will contract the evaluators and ensure that evaluation related costs are reimbursed in a timely manner. The Project Team will be responsible for liaising with the Evaluators team to set up stakeholder interviews and coordinate with the implementing partners etc.

UNDP, in collaboration with ADB, shall be the main operation point for the evaluation which shall be responsible for liaising with implementing partners and the project team to set up the stakeholder interviews, arranging the field visits and coordinating with relevant partners. UNDP and ADB will also provide inputs in the review and approval of the inception report as well drafts of the final evaluation report. While UNOPS, as executing agency, shall ensure the timely provision of contracting of person, per diems and travel arrangements for the Evaluation Team Leader, according to the TOR. ADB will be responsible for procuring services and ensure the timely provision of per diems and travel arrangements for the evaluation team member.

# EVALUATION TIMEFRAME

The total duration of the evaluation will be 25 days according to the following plan:

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Activity** | Timing | Completion Date | | | | |
| **Preparation** | 3 days |  | *17-19 Feb14* | |  | |
| **Inception report (Team Work plan)** | *4* days |  | *20-25 Feb 14* | | |  |
|  | | | | |
| **Data gathering, interview etc** | *6 days* |  | *3-8 Mar 1* | *4* | | |
| **Draft Evaluation Report** | *11* days |  | *28 Mar 14* |  | | |
| **Final Report** | 2 days |  | *25 April 14* |  | | |

# EVALUATION DELIVERABLES

The evaluation team is expected to deliver the following:

|  |  |  |  |
| --- | --- | --- | --- |
| Deliverable | Content | Timing | Responsibilities |
| **Inception Report** | Evaluator provides clarifications on timing and method | No later than one week after the start of the assignment | Evaluator submits to Project Coordinator and UNDP RTA |
| **Presentation** | Initial Findings | End of desk review | Evaluator submits to Project Coordinator and UNDP RTA and ADB |
| **Draft Final Report** | Full report, (per annexed template) with annexes | Within 2 weeks of the completion of telephone | Evaluator submits to Project Coordinator, project implementing |
|  | and GEF IW Tracking tool | interviews | partners, UNDP RTA, UNOPS and ADB for review and comments |
| **Final Report\*** | Revised report with completed GEF IW Tracking tool | Within 2 week of receiving comments from UNDP and relevant partners on draft | Sent to UNDP APRC for uploading to UNDP ERC. ADB will also receive a copy. |

\*When submitting the final evaluation report, the evaluator is required also to provide an 'audit trail', detailing how all received comments have (and have not) been addressed in the final evaluation report.

# TEAM COMPOSITION

The evaluation team will be composed of two evaluation specialists*.* The first (team leader) will also have work experience in Coastal and Ocean Management and the second (team member) in Knowledge Management. The specialists may be internal or external and national or international, provided they should possess the qualifications specified in the detailed Terms of Reference. The evaluators selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.

The Specialist is an expert in project evaluation with work experience in coastal and ocean or natural resource management. The Specialist should possess the following qualification:

* + - Minimum 10 years of relevant professional experience
    - Experience in project design, project cycle management, and project monitoring and evaluation, familiarity with evaluation processes, UN and/or ADB procedures preferred.
    - A thorough understanding of GEF principles and expected impacts in terms of global benefits;
    - Notable experience with coastal and ocean, transboundary waters management or natural resource management in GEF IW project regions, particularly in East Asia.
    - Academic and/or professional background in coastal and ocean or natural resource management, knowledge management, development studies or related fields, or equivalent demonstrated experience. A minimum of 10 years relevant experience is required in relevant fields;
    - Experience in Knowledge Management at multi-institutional scales.
    - Excellent ability to work in English, effective oral and written communication skills;
    - Experience with researching and writing on international environment and/or international development issues;
    - Facility and access to use of Internet email and Microsoft office (word, excel etc)

**Duties and Responsibilities for the team leader**

1. Preparation of Inception report included team work plan and schedule. The Specialist will coordinate with the other team member in developing the team’s work plan and schedule for the implementation of the final evaluation. The Specialist is expected to attend meetings and participate in team discussions and provide technical inputs relevant to his field of expertise.

1. Data gathering. The Specialist will gather data through desk-top review of the available and relevant documents, and conduct interviews (via teleconference) or field visits (if necessary) to the following sites and relevant offices:
   * CTI Secretariat;
   * Relevant CT countries if deemed necessary

3. Analysis and evaluation. The Specialist will evaluate the effectiveness of the overall project management strategies, approaches and methodology in relation to the project development objectives and the overall global environmental goals as mentioned in Evaluation Criteria & Ratings section.

# EVALUATOR ETHICS

## Evaluation consultants will be held to the highest ethical standards and are required to sign a Code of Conduct (Annex E) upon acceptance of the assignment. UNDP evaluations are conducted in accordance with the principles outlined in the [UNEG 'Ethical Guidelines for Evaluations'](http://www.unevaluation.org/ethicalguidelines)

# PAYMENT MODALITIES AND SPECIFICATIONS

## For the Evaluation Team Leader:

|  |  |
| --- | --- |
| % | Milestone |
| *30%* | Following submission and approval of the Inception report (Team Work plan) |
| *40%* | Following submission and approval of the 1ST draft terminal evaluation report |
| *30%* | Following submission and approval (UNDP RTA) of the final terminal evaluation report |

## Knowledge Management Expert (ADB)

**Terms of reference**

(as specified by ADB under Contract No. 113679-S82376)

*Objective and Purpose of the Assignment*

The International Waters Learning Exchange & Resource Network (IW:Learn)/Coral Triangle Initiative (CTI) is a Global Environment Facility (GEF) project being co-implemented by the United Nations Development Programme (UNDP) and the Asian Development Bank (ADB). UNDP is responsible for the first, second and forth component using the UN Agency Implementation modality.

The third component is implemented by ADB through a technical assistance (TA) (7307 [REG]). The TA is intended to strengthen the management of coastal and marine ecosystems in the coral triangle in a more coordinated and sustainable manner. Regional cooperation among the six Coral Triangle countries on information exchange and decision making based on scientific and technical knowledge and global best practices will be strengthened. It has four main outputs: (i) strengthened CTI regional cooperation, (ii) establishment of regional learning mechanisms, (iii) implementation of a communication and information dissemination plan, and (iv) establishment of sustainable financing schemes.

Building on agreements among invited project stakeholders during the project's Inception Workshop held at ADB on 29–30 July 2010, the scope of the TA was revised to define its focus on knowledge management and communication in the following three areas: (i) sustainable finance; (ii) economic studies in support of policy and sustainable financing, including payment for ecosystem services, coastal valuation, and economics of climate change; and (iii) preparation of the State of the Coral Triangle Reports—all leading to regional learning and cooperation. The TA commenced in 2009 and will end in December 2014.

In accordance with GEF monitoring and evaluation policies and procedures, all full and medium-sized GEF financed projects are required to undergo an independent terminal evaluation six months before to six months after completion of the project. TA 7307 is ongoing and all outputs have been met or exceeded with the exception of Output 3 on the implementation of the communication and information dissemination plan, where the State of the Coral Triangle Reports and the Economics of Fisheries and Aquaculture in the Coral Triangle Report are in the final editing stage of the publication process.

Towards this end, a terminal evaluation of the IW:Learn/CTI project will be conducted from February to May 2014 by a UNDP/ADB GEF team of experts composed of an Evaluation Team Leader, who will be recruited by UNDP and Evaluation Specialist, who will be recruited by ADB. The objectives of the terminal evaluation are: (i) to assess the relevance, effectiveness, and performance of the project in the achievement of its objectives; (ii) to assess the impact and sustainability of the project results, and (iii) to identify and/or document lessons learned and make recommendations that may improve design and implementation of other ADB-GEF projects.

The ADB-GEF Evaluation Specialist (International Consultant) will have overall responsibility for the delivery and quality terminal evaluation products for TA 7307.

*Scope of Work*

The ADB-GEF Evaluation Specialist will work closely with the UNDP-GEF Evaluation Team Leader to conduct an objective and independent assessment of the implementation and impact of TA 7307, including the achievement of global environmental benefits and draw lesson lessons learned to guide similar efforts and improve the sustainability of benefits from the TA, and aid in the overall enhancement of ADB and GEF projects and programming.

Detailed Tasks and/or Expected Output The Evaluation Specialist will perform the following detailed tasks: (i) Desk review of documents; preparation of an inception report; and the development of draft methodology, detailed work plan and terminal evaluation outline for TA 7307; (ii) Data gathering and interviews with TA implementing partners, relevant government, nongovernment organizations and donor representatives, and ADB-GEF personnel and if necessary, field visits to the following sites and relevant offices (CTI Interim Regional Secretariat, Coral Triangle countries); (iv) Analysis and evaluation of the overall management strategies, approaches and methodology of the TA in relation to its development objectives and the overall global environmental goals. (v) Development and submission of the draft terminal evaluation report. The draft will be shared with the ADB, GEF, UNDP, and key project stakeholders for review and comments; (vi) Finalization and submission of the final terminal report through incorporating suggestions received on the draft report. (vii) Reporting of results to ADB/UNDP.

Due to the low response rate to some questionnaires and need to maintain confidentiality, this list notes all people contacted but there is no listing of those people who responded.

| Name | Organisation | Contact Information | | Relevance | |
| --- | --- | --- | --- | --- | --- |
| **Project Development, Organisation & Management** | | | | | |
| Jose Padilla | UNDP , Regional Technical Advisor for Marine, Coastal and Island Ecosystems | jose.padilla@undp.org | | Team Leader | |
| Kwanruen Seub-Am | UNDP, IW:Learn/CTI - Project Coordination Unit | [kwanruen.seubam@undp.org](mailto:kwanruen.seubam@undp.org) | | Project Coordinator | |
| Al Duda | Former UNDP GEF | [alfredduda@gmail.com](mailto:alfredduda@gmail.com)) | | Project development, | |
| Andrew Hudson | UNDP, PTA Water & Ocean Governance Programme | [Andrew.hudson@undp.org](mailto:Andrew.hudson@undp.org) | | Over all supervision | |
| Anna Tengberg | Former United Nations Development Programme (ex) | anna.e.tengberg@gmail.com | | Previous team leaders, IWC5 Steering Committee & Project Steering Committee | |
| Kirsten Moeller Helsgaun | UNOPS, Associate Portfolio Manager,Water and Energy Cluster | [KirstenH@unops.org](mailto:KirstenH@unops.org) | | Project management | |
| **Component 1 Ocean Policy** | | | | | |
| Biliana Cicin-Sain, | GOF | [bcs@udel.edu](mailto:bcs@udel.edu) | | President, Global Ocean Forum  Component leader | |
| Miriam Balgos | GOF | [mbalgos@udel.edu](mailto:mbalgos@udel.edu) | | Program Coordinator, GOF  Responsibility for project operation | |
| Al Duda | Former UNDP GEF | [alfredduda@gmail.com](mailto:alfredduda@gmail.com)) | | Outcomes  ABNJ | |
| Andrew Hudson | UNDP, PTA Water & Ocean Governance Programme | [Andrew.hudson@undp.org](mailto:Andrew.hudson@undp.org) | | Outcomes,  Rio +20 Activities | |
| Raphael Bille | formerly IDDRI, SPC | [raphaelb@spc.int](mailto:raphaelb@spc.int) | | Outcomes  Oceans & Climate  ABNJ | |
| Janot-Reine Mendler de Suarez | formerly GEF IW:LEARN | [janotm@comcast.net](mailto:janotm@comcast.net) | | Outcomes Oceans & Climate | |
| Philippe Vallette, | Nausicaa/World Ocean Network | [generalmanager@exchange.nausicaa.fr](mailto:generalmanager@exchange.nausicaa.fr) | | Outcomes,  Rio +20 Activities, ABNJ & Public education | |
| Hiroshi Terashima | Ocean Policy Research Foundation | [h-terashima@sof.or.jp](mailto:h-terashima@sof.or.jp) | | Rio +20 Activities | |
| Richard Delaney | Center for Coastal Studies, Provincetown, Massachusetts | [delaney@coastalstudies.org](mailto:delaney@coastalstudies.org) | | Rio +20 Activities | |
| Arni Mathiesen | FAO | [Arni.Mathiesen@fao.org](mailto:Arni.Mathiesen@fao.org) | | Rio +20 Activities | |
| Tuiloma Neroni Slade, | Former Chair AOSIS, Pacific Islands Forum Secretariat | [neronis@forumsec.org.fj](mailto:neronis@forumsec.org.fj)) | | Rio +20 Activities | |
| Lynne Hale, | The Nature Conservancy | [lhale@tnc.org](mailto:lhale@tnc.org) | | Rio +20 Activities | |
| Mike Phillips, | Swansea Metropolitan University | [m.phillips@sm.uwtsd.ac.uk](mailto:m.phillips@sm.uwtsd.ac.uk) | | Oceans & Climate | |
| Ronny Jumeau, | Ministry of Foreign Affairs, Seychelles | [ronny.jumeau@gmail.com](mailto:ronny.jumeau@gmail.com) | | Oceans & Climate | |
| Evelia Rivera Arriaga, | Ministry of Environment, Campeche | ([eveliarivera@gmail.com](mailto:eveliarivera@gmail.com)) | | Oceans & Climate | |
| Kenneth Sherman, | NOAA | [kenneth.sherman@noaa.gov](mailto:kenneth.sherman@noaa.gov)) | | Oceans & Climate | |
| Nguyen Chu Hoi | formerly Vietnam Administration of Seas & Islands, now Vietnam National University | [nchoi52@gmail.com](mailto:nchoi52@gmail.com) | | Oceans & Climate | |
| Manuel Cira | Nausicaa/World Ocean Network | [manuel.cira@exchange.nausicaa.fr](mailto:manuel.cira@exchange.nausicaa.fr) | | Oceans & Climate | |
| Ik Kyo Chung, | Pusan National University | [ikchung@pusan.ac.kr](mailto:ikchung@pusan.ac.kr) | | Oceans & Climate | |
| Dosoo Jang, | Korea Institute of Ocean Science and Technology | [dsjang@kiost.ac](mailto:dsjang@kiost.ac)) | | Oceans & Climate | |
| Julian Barbiere, | IOC/UNESCO) | [j.barbiere@unesco.org](mailto:j.barbiere@unesco.org) | | ABNJ | |
| Salvatore Arico | UNESCO | [s.arico@unesco.org](mailto:s.arico@unesco.org) | | ABNJ | |
| Marjo Vierros | UNU-IAS | [vierros@ias.unu.edu](mailto:vierros@ias.unu.edu) | | ABNJ | |
| Christophe Lefebvre | French Marine Protected Areas Agency | [christophe.lefebvre@aires-marines.fr](mailto:christophe.lefebvre@aires-marines.fr) | | ABNJ | |
| David Freestone | Sargasso Sea Alliance | [davidacfreestone@gmail.com](mailto:davidacfreestone@gmail.com) | | ABNJ | |
| Mary Seet-Cheng | Ministry of Foreign Affairs, Singapore | [mary\_seet-cheng@mfa.gov.sg](mailto:mary_seet-cheng@mfa.gov.sg)) | | ABNJ | |
| Jihyun Lee | CBD Secretariat | [jihyun.lee@cbd.int](mailto:jihyun.lee@cbd.int) | | ABNJ | |
| **Component 2 IW : LEARN** | | | | | |
| Mish Hamid | | UNDP GEF IW:LEARN | | [mish@iwlearn.org](mailto:mish@iwlearn.org) | Component leader |
| Al Duda | | Global Environment Facility | | [alfredduda@gmail.com](mailto:alfredduda@gmail.com)) | IWC5 Steering Committee |
| Ivan Zavadsky | | Global Environment Facility | | [izavadsky@thegef.org](mailto:izavadsky@thegef.org) | IWC5 Steering Committee |
| Chris Severin | | Global Environment Facility | | [cseverin@thegef.org](mailto:cseverin@thegef.org) | IWC5 Steering Committee |
| Marilou Drilon | | Asian Development Bank | | [mldrilon@adb.org](mailto:mldrilon@adb.org) | IWC5 Steering Committee & Project Steering Committee &  Collaborative Website development |
| Jacob Burke | | Food and Agricultural Organization of the United Nations | | [Jacob.burke@fao.org](mailto:Jacob.burke@fao.org) | IWC5 Steering Committee |
| Andrew Hudson | | United Nations Development Programme | | [Andrew.hudson@undp.org](mailto:Andrew.hudson@undp.org) | IWC5 Steering Committee |
| Anna Tengberg | | United Nations Development Programme (ex) | | anna.e.tengberg@gmail.com | IWC5 Steering Committee & Project Steering Committee |
| Tessa Goverse | | United Nations Environment Programme | | [Tessa.goverse@unep.org](mailto:Tessa.goverse@unep.org) | IWC5 Steering Committee |
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| Lourdes Margarita Caballero | | Primex Inc. consultant | | [lourdesmargarita.caballero@gmail.com](mailto:lourdesmargarita.caballero@gmail.com) | Running the CTI Regional Tech Assistance programme which includes IW:LEARN support to CTI knowledge Integration & Collaborative Website development |
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**Component 3: List of persons contacted and interviewed**

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| 1. *In person* |  |  |  |
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| 1. *Via questionnaire and/or follow-up calls* |  |  |  |
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*a* G=national government staff; NG=non-national government staff; O=other interviewees (whose responses are not included in questionnaire evaluation presented in Annex 5)

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| 1. **UNDP policies and guidance:** |
| * 1. UNDP Evaluation policy [(http://www.undp.org/evaluation/documents/Evaluation-Policy.pdf](http://www.undp.org/evaluation/documents/Evaluation-Policy.pdf)) |
| * 1. Project-Level Evaluation; guidance for conducting terminal evaluations of UNDP-supported, GEF-Financed projects [(http://web.undp.org/evaluation/documents/guidance/GEF/UNDP-GEF-TE-Guide.pdf](http://web.undp.org/evaluation/documents/guidance/GEF/UNDP-GEF-TE-Guide.pdf)) |
| * 1. UNDP Results-Oriented Monitoring and Evaluation manual: UNDP Handbook on Planning, Monitoring and Evaluating for Development Results [(http://web.undp.org/evaluation/handbook/](http://web.undp.org/evaluation/handbook/)) |
| * 1. GEF Monitoring and Evaluation policies: GEF Monitoring and Evaluation Policy 2010 [(http://www.thegef.org/gef/node/4184](http://www.thegef.org/gef/node/4184)) |
| 1. **Project management** |
| * 1. UNDP IW:Learn/CTI project document |
| * 1. MTE Inception report |
| * 1. MTE Evaluation Report |
| * 1. Quarterly Operational Reports |
| * 1. Annual Performance Reports/Annual Project Implementation Reviews (APRs/PIRs) |
| * 1. GEF IW Tracking tool |
| * 1. Contracts, MOUs, MOAs |
| * 1. PIRs from 2010-2013 (files no. 2-5) |
| * 1. Organizational Chart and Functional Charts |
| 1. **Component 1** |
| * 1. Information available at GOF website GOF [(http://www.globaloceans.org](http://www.globaloceans.org/) |
| * 1. Global Ocean Forum’s Report of Activities 2012 (<http://globaloceanforumdotcom.files.wordpress.com/2013/03/gof-reportofactivities-2012.pdf>) |
|  |
| * 1. *Oceans at Rio+20* Report (<http://globaloceanforumdotcom.files.wordpress.com/2013/03/rio20summaryreport.pdf>) |
| * 1. **Draft (2014)Global Ocean Forum Strategic Directions** |
| * 1. Proposal for a Sustainable Development Goal on Oceans and Seas   Prepared by the Global Ocean Forum (February 2014) |
| * 1. 2010 Global Oceans Conference Agenda:   <http://globaloceanforumdotcom.files.wordpress.com/2013/06/goc5-finalprogram.pdf> |
| * 1. Ocean & Coastal Management special issue Oceans & Climate Change |
| * 1. A compilation of the summaries of the various sessions is available at: <http://globaloceanforumdotcom.files.wordpress.com/2013/06/symposium_4web.pdf> |
| * 1. *Global Oceans Conference Summary (prepared by the Global Ocean Forum)*   <http://globaloceanforumdotcom.files.wordpress.com/2013/06/goc5_summary1.pdf> |
| * 1. Oceans Day at Nagoya Summary:   <http://globaloceanforumdotcom.files.wordpress.com/2013/06/nagoya_summary.pdf> |
| * 1. Global Ocean Forum 10th Anniversary Book (<http://globaloceanforumdotcom.files.wordpress.com/2013/04/gof10thanniversary.pdf>), |
| * 1. *Summary of the Oceans Day at Copenhagen:* <http://www.oceansday.org/pdf/summary.pdf> |
| * 1. *Oceans Day at Durban Summary*   <http://globaloceanforumdotcom.files.wordpress.com/2013/06/gofdurbansummary-2.pdf>   * 1. Friends of the Ocean blog (<http://globaloceanforum.org/>), |
| * 1. *How Well Are We Doing on the Major Ocean Commitments from the 1992 Earth Summit and the 2002 World Summit on Sustainable Development* <http://globaloceanforumdotcom.files.wordpress.com/2013/03/rio20summaryreport.pdf>. |
| * 1. Workshop on Oceans at Rio+20, September 12, 2011 <http://www.globaloceans.org/sites/udel.edu.globaloceans/files/September12_Workshop_Summary.pdf> |
| * 1. Oceans Day at Rio+20 Summary:   <http://globaloceanforumdotcom.files.wordpress.com/2013/03/oceansdayatrio20summary-1.pdf> |
| * 1. Ocean Info Pack website (in English, French and Spanish): <http://www.worldoceannetwork.org/wp-content/uploads/2013/11/4-PAGES-WON-GB-Draft-maj-11-13.pdf>. |
| * 1. GOF Communication strategy & various media briefings |
| * 1. GOF Newsletters 2010-2014 |
| 1. **Component 2** |
| * 1. Information available at IW Learn [(http://iwlearn.net](http://iwlearn.net/)) |
| * 1. Results/reports from consultancy executing the Coral Triangle Knowledge Integration activity |
| * 1. 5th GEF Biennial International Waters Conference (IWC5) report at: <http://iwlearn.net/abt_iwlearn/events/iwc5/iwc5_finalreport.pdf> |
| * 1. IW Leadership training: Three exchanges |
| * 1. IWC5 Participants evaluation |
| * 1. GEF IW Experience Note Abstract Compendium   <http://www.iwlearn.net/experience> |

**Annotated list of documents and sources reviewed ADB Component 3**

1. ***Evaluation methodology***

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| ADB. 2006 (amended 2013).*Guidelines for Preparing Performance Evaluation Reports* *for Public Sector Operations* - <http://www.adb.org/sites/default/files/guidelines-pper-pso.pd>  UNDP. *UNDP Evaluation policy* [(http://www.undp.org/evaluation/documents/Evaluation-Policy.pdf](http://www.undp.org/evaluation/documents/Evaluation-Policy.pdf))  GEF.2010. Monitoring and Evaluation policies*: GEF Monitoring and Evaluation Policy 2010* [(http://www.thegef.org/gef/node/4184](http://www.thegef.org/gef/node/4184))  GEF/UNDP.2011. *Project-Level Evaluation; Guidance for conducting terminal evaluations of UNDP-supported, GEF-Financed projects* [(http://web.undp.org/evaluation/documents/guidance/GEF/UNDP-GEF-TE-Guide.pdf](http://web.undp.org/evaluation/documents/guidance/GEF/UNDP-GEF-TE-Guide.pdf)) |
| UNDP. 2002, rev. 2011. Results-Oriented Monitoring and Evaluation manual*: UNDP Handbook on Planning, Monitoring and Evaluating for Development Results* [(http://web.undp.org/evaluation/handbook/](http://web.undp.org/evaluation/handbook/)) |
|  |

1. ***ADB, UNDP and GEF documents relating to GEF IW:LEAR/CTI Project and ADB RETA 7307***

ADB. 2009. Regional Cooperation on Knowledge Management, Policy, and Institutional Support to the Coral Triangle. Technical Assistance Report, Project Number 43126 (“RETA 7307”) (<http://www.adb.org/sites/default/files/projdocs/2009/43126-REG-TAR.pdf>)

GEF. 2009. Portfolio Learning in International Waters with a Focus on Oceans, Coasts, and Islands and Regional Asia/Pacific and Coral Triangle Learning Processes. Request for CEO Endorsement/Approval. 6 April 2009. (http://www.thegef.org/gef/sites/thegef.org/files/repository/Global\_04-17-09\_LEARN\_Portfolio\_Learning\_Intl\_Waters.pdf )

GEF/UNDP.2014. *2013 Annual Project Review (APR): Project Implementation Review (PIR) of UNDP Supported GEF Financed Projects*: *PIMS 4164*(<https://sites.google.com/site/undpgefaprpirglobalprojects/international-waters>)

Johnstad, M. and M. Baguio-Quiamco. 2012. *GEF IW:LEARN/CTI: Mid-Term Evaluation*, Consultant report for UNDP, ADB and GEF ( http://www. erc.undp.org)

UNDP. 2009. *PIMS No. 4164 + GEF IW:LEARN: Portfolio Learning in International Waters with a Focus on Oceans, Coasts, and Islands and Regional Asia/Pacific and Coral Triangle Learning* Processes (<http://iwlearn.net/iw-projects/3639/project_doc/project-document-portfolio-learning-in-international-waters-with-a-focus-on-oceans-coasts-and-islands-and-regional-asia-pacific-and-coral-triangle-learning-processes>)

1. ***Documents and products generated by RETA 7307***

|  |
| --- |
| PRIMEX Inc. and Fraser Thomas Partners.2013. *RETA 7307: Technical Assistance Completion Report*. Manila. Available upon request from ADB |
| Albert, J.A., Trinidad, A. Cabral, R. and D. Boso, D. 2012. *Economic value of coral reefs in Solomon Islands: Case-study findings from coral trade and non-coral trade communities.*  Report by WorldFish Center Solomon Islands for ADB, Australian Government’s Department of Sustainability, Environment, Population and Communities. (<http://sites3.iwlearn3.webfactional.com/cti/knowledge-hub/document-library/payment-for-ecosystem-services-pes/economic-value-of-coral-reefs-in-solomon-islands>)  ADB/CTI/GEF. 2014. *Regional State of the Coral Triangle Marine Resources: Their Status, Economies and Management* <http://www.adb.org/publications/series/state-of-the-coral-triangle> Document available also on www.iwlearn.net and www.coraltriangleinitiative.org websites.  ADB/CTI/GEF. 2014. *State of the Coral Tringle*: *Indonesia* <http://www.adb.org/publications/series/state-of-the-coral-triangle> Earlier and final versions also on www.iwlearn.net and www.coraltriangleinitiative.org sites  ADB/CTI/GEF. 2014*. State of the Coral Triangle: Malaysia*  <http://www.adb.org/publications/series/state-of-the-coral-triangle>) Earlier and final versions also on www.iwlearn.net and www.coraltriangleinitiative.org sites  ADB/CTI/GEF. 2014. *State of the Coral Triangle: Philippines* <http://www.adb.org/publications/series/state-of-the-coral-triangle>; Earlier and final version also available at [www.iwlearn.net](http://www.iwlearn.net) and [www.coraltriangleinitiative.org](http://www.coraltriangleinitiative.org) websites  ADB/CTI/GEF. 2014. *State of the Coral Triangle*: *PNG* <http://www.adb.org/publications/series/state-of-the-coral-triangle>; Document also available at [www.iwlearn.net](http://www.iwlearn.net) and [www.coraltriangleinitiative.org](http://www.coraltriangleinitiative.org) websites  ADB/CTI/GEF. 2014. *State of the Coral Triangle Solomon Islands* <http://www.adb.org/publications/series/state-of-the-coral-triangle>; Document also available at [www.iwlearn.net](http://www.iwlearn.net) and [www.coraltriangleinitiative.org](http://www.coraltriangleinitiative.org) websites  ADB/CTI/GEF. 2014. *State of the Coral Triangle: Timor Leste*(<http://www.adb.org/sites/default/files/pub/2014/state-coral-triangle-timor-leste.pdf>) Document also available at [www.iwlearn.net](http://www.iwlearn.net) and [www.coraltriangleinitiative.org](http://www.coraltriangleinitiative.org)  ADB/DEFAT (Australia)/GEF. 2014. *Economics of Fisheries and Aquaculture in the Coral Triangle* (http://www.ctknetwork.org/wp-content/documents/pdf/EFACT.pdf)  Sustainable Financing and Payment For Ecosystem Services Knowledge Products (all available on [www.coraltriangleinitative.org](http://www.coraltriangleinitative.org) as well as [www.iwlearn.net](http://www.iwlearn.net) )  RETA 7307. 2010b. *Basics in Sustainable Financing for the Coral Triangle*, SF Learning Note No.1 p.2  \_\_\_\_\_\_\_\_\_\_ 2010c. *Sustainable Financing for Countrywide Protected Area*, SF Learning Note No. 2, p.2  \_\_\_\_\_\_\_\_\_\_ 2010d. *Basics of Payments for Ecosystem Services*, PES Learning Note No.1, p.2  \_\_\_\_\_\_\_\_\_\_ 2011a. *Is your site “PES-able?”,* PES Learning Note No.2, p.9  \_\_\_\_\_\_\_\_\_\_ 2011b. *Valuing Coral Reefs*, PES Learning Note No. 3, p.2  \_\_\_\_\_\_\_\_\_\_ 2011c. *The Blue Economies of the Coral Triangle: Gearing for Rio+20,* PES Learning Note No.4, p.4  \_\_\_\_\_\_\_\_\_\_2012 a. *Using the Sustainable Financing Costing Template*, SF Learning Note No.3, p.12  \_\_\_\_\_\_\_\_\_\_2012b. *How to develop a balance sheet for a project/program*. SF Learning Note No.34, p.4  WorldFish Center. 2013. *Coral reef economic value and incentives for coral farming in Solomon Islands: Policy Brief.* (<http://www.worldfishcenter.org/resource_centre/WF_3163.pdf>). Report prepared with funding by Australian Government.  Knowledge management reports and products (unless otherwise stated, (all available on [www.coraltriangleinitative.org](http://www.coraltriangleinitative.org) as well as [www.iwlearn.net](http://www.iwlearn.net)) :  RETA 7307. 2010a. *Needs Assessment Report.* Validated during a workshop (15-16 Mar 2011)  <http://sites3.iwlearn3.webfactional.com/cti/news-updates/ct6-validates-needs-assessment-results-finalizes-sctr-outline> but the text itself currently available only upon request to ADB.  \_\_\_\_\_\_\_\_\_\_2011d. *Why Knowledge Management for CTI?.* KM Learning Note No. 2, p.5  \_\_\_\_\_\_\_\_\_\_2011e. *Harnessing collective knowledge to serve the Coral Triangle*. CTI Experience Note, p.5  \_\_\_\_\_\_\_\_\_\_2013. *Guidelines for Knowledge Management to Support a Coordinative Group*, “KM101” Note, p.5  RETA 7307. 2012c. *Regional Science Advisory Committees Concept Note*. p.3 Appendix 7 of PRIMEX Inc. et al. 2013 (see above) available upon request to ADB  RETA 7307. 2012d. *High-Level Financial Roundtable Ministerial Meeting and Marketplace: Meeting Report.*(<http://www.coraltriangleinitiative.org>) | |
| Listing of additional minor outputs of RETA 7307 is contained in Appendix 12 of PRIMEX Inc. 2013 (see above), organized by categories (a) sustainable finance, (b) payment for ecosystem services, (c) state of coral triangle reports; (d) knowledge management; and (e) decision support systems. |

1. ***Documents prepared under CTI regional projects and/or programs especially relevant to RETA 7307***

ADB. 2011. *Comprehensive action plans of the Sulu–Sulawesi marine ecoregion: A Priority Seascape of the Coral Triangle Initiative* <http://www.adb.org/sites/default/files/ssme-action-plans.pdf> Contains action plans prepared by the Subcommittee on Threatened, Charismatic, and Migratory Species, Subcommittee on Marine Protected Areas and Networks, and Subcommittee on Sustainable Fisheries respectively of the Partnerships in Environmental Management for the Seas of East Asia launched in Manila in 2009.The plans are aligned with the 2004 (SSME) Ecoregion Conservation Plan. They were completed in anticipation of CTI’s RPOA.

Christie, P. *et al*. 2014. *Learning Project Final Report: Lessons from the US Coral Triangle Initiative Support Program.* Consultant report for the USAID Development Mission for Asia. (<http://www.ctknetwork.org/wp-content/documents/pdf/Final-Report-Lessons-from-the-US-Coral-Triangle-Initiative-Support-Program.pdf>)

CTI.2009. *Regional Plan of Action: Coral Triangle Initiative on Coral Reefs, Fisheries and Food Security (CTI-CFF)*. <http://www.coraltriangleinitiative.org/library/cti-regional-plan-action>

CTI. 2012. *Monitoring & Evaluation Working Group Report and M&E System.* Report to the 8th CTI-CFF Senior Officials Meeting (SOM8) 22-24 November 2012 Kuala Lumpur. <http://www.coraltriangleinitiative.org/sites/default/files/resources/SOM%208%20Annex%207%20-%20Decision%20document_MEWG%20Report%20and%20M&E%20System.pdf>

CTI. 2013a. *Decision Document on Monitoring and Evaluation Working Group.* Report to the 9th CTI-CFF Senior Officials Meeting (SOM9), 26-27 2013, Manila. <http://www.coraltriangleinitiative.org/sites/default/files/resources/SOM%209%20Annex%208%20Monitoring%20and%20Evaluation%20Working%20Group.pdf>

CTI. 2013b. *Coral Triangle Marine Protected Areas System: Framework and Action Plan.*

[www.coraltriangleinitiative.org](http://www.coraltriangleinitiative.org)

CTI. 2014. *Monitoring and Evaluation System Operations Manual.* Report of the CTI Monitoring and Evaluation Technical Working Group. Available from USAID upon request.

Read, T. et al. 2014 *Stewarding Biodiversity and Food Security in the Coral Triangle: Achievements, Challenges, and Lessons Learned*. Consultant report for USAID Development Mission for Asia (RDMA) <http://assets.worldwildlife.org/publications/659/files/original/CTSP-LessonsLearned_final__MK_edits__PD_review_2014_Jan_15.pdf?1391724667>)

Social Impact Inc. et al 2013. *Final Evaluation of the US Coral Triangle Initiative (USCTI) Program*. USAID Evaluation Report. Contract Number: RAN-I-00-09-00019. October 17, 2013. <http://pdf.usaid.gov/pdf_docs/pdacy438.pdf>

Tengberg, A., Cabanban, A.S. 2013. Lessons learned from investing in marine and coastal management initiatives in the East Asian Seas. *Marine Policy* 38: 355–364.

Tetra Tech ARD Inc. 2011. *Monitoring &Evaluation for Improving MPA Management Effectiveness in the Coral Triangle Countries*. Proceedings of a Batangas Workshop 8-13 May 2011. Consultant report for USAID. <http://www.coraltriangleinitiative.org/sites/default/files/resources/10A.Full%20Report_MPA_REx_Mgt_Effectiveness7-11May2011_FINAL2.pd>

USAID. 2008. The Nature Conservancy, World Wildlife Fund, Conservation International and Wildlife Conservation Society. 2008. *Marine protected area networks in the Coral Triangle: development and lessons*. Cebu City, Philippines. 106 p. (<http://www.reefbase.org/resource_center/publication/pub_77487.aspx>)

USAID. 2012 *US CTI Support Program: Summary of Philippines CTI-CFF Achievements*, [www.uscti.org](http://www.uscti.org)

USAID Office of Inspector General. 2012. *Review of USAID/Regional Development Mission for Asia’s Coral Triangle Support Partnership (Report No. 5-493-12-001-S)* Washington, D.C. . (<http://oig.usaid.gov/sites/default/files/audit-reports/5-493-12-001-s.pdf>)

USAID. 2013. *Coral Triangle Marine Protected Area System (CTMPAS) Framework and Action Plan.* <http://www.coraltriangleinitiative.org/sites/default/files/resources/FinalV_CTMPAS_2013.pdf>

A number of assessments at CT6 country level exists (see [www.uscti.org](http://www.uscti.org)) , once more dominated by USAID introspection:

USAID. 2012*. US CTI Support Program Summary of Malaysia CTI-CFF Achievements*

USAID. 2012. *US CTI Support Program Summary of Indonesia CTI-CFF Achievements*

USAID. 2012 *US Coral Triangle Initiative Support Program Summary of Papua New Guinea CTI-CFF Achievements*

USAID. 2012*.* *US Coral Triangle Initiative Support Program Summary of Solomon Islands CTI-CFF Achievements*

*USAID. 2012. US Coral Triangle Initiative Support Program Summary of Timor-Leste CTI-CFF Achievements*

1. ***Websites***

Understanding existing networks of electronically generated and exchanged information of relevance to CTI helps better judge the achievements of RETA 7307 in this domain. The most closely interacting with the activities of RETA 7307, (and its successor website [www.ctknetwork.org](http://www.ctknetwork.org)) and the CTI Regional Secretariat ([www.coraltriangleinitiative.org](http://www.coraltriangleinitiative.org)) have been:

[www.iwlearn.net](http://www.iwlearn.net) the website of GEF’s International Waters programme, promoting exchange of information and learning on IW-related issues, including those in the Coral Triangle area. A major player in the IW:LEARN/CTI project (of which RETA 7307 was a component). Outputs of RETA 7307 have been systematically uploaded onto the site.

[www.uscti.org](http://www.uscti.org) the website of the USAID Coral Triangle Support Program and other CTI-directed programs funded by the US Government, the largest among CTI bilateral programs and arguably one the most prolific and thoughtful.

[www.ctatlas.reefbase.org](http://www.ctatlas.reefbase.org) an online GIS database, providing governments, NGOs and researchers with a view of spatial data at the regional scale. Contains data on fisheries, biodiversity, natural resources, and socioeconomics. Sponsored by USAID and NOAA and supported by international NGOs active in CT region.

[www.coraltrianglecenter.org](http://www.coraltrianglecenter.org). Indonesia-based NGO and one of official partners in CTI

Several GEF/UNDP programs have developed own websites, for instance

<http://www.atsea-program.org> the website of the GEF-funded Arafura and Timor Seas Ecosystem Action Program; or

[www.pemsea.org](http://www.pemsea.org) (Partnership in Environmental Management for the Seas of East Asia, recently concluded)

www.ssme-fishproject.org (Sulu-Celebes/Sulawesi Large Marine Ecosystem Program)

The websites of each of several UN-affiliated organizations (FAO, UNEP---especially its www.unep.org/regionalseas--, World Bank, UNESCO) contain much information of relevance to CTI, as does, of course, [www.adb.org](http://www.adb.org), [www.thegef.org](http://www.thegef.org),, not forgetting the Biodiversity and Climate Change conventions’ websites ([www.cbd.int](http://www.cbd.int) and [www.unfccc.int](http://www.unfccc.int))

Among CGIAR-affiliated organizations, the website of WorldFish ([www.worldfishcenter.org](http://www.worldfishcenter.org)) is easily the most important for CTI. Other scientific information can be accessed through academic websites of which there is no shortage.

Other electronic networks supplying and facilitating exchange of information of relevance to CTI exist and it is not difficult to name dozens of organizations or programs that generate, store and exchange information relevant to CTI. Suffice it to mention only a dozen or so of them to substantiate that statement (encouraging to some, worrying to others): At random, they include, but are not limited to:

ASEAN Centre for Biodiversity (www.aseanbiodiversity.org)

Asia-Pacific Fishery Commission ([www.apfic.org](http://www.apfic.org) )

Secretariat of the Ramsar Convention on Wetlands ([www.ramsar.org](http://www.ramsar.org) )

Southeast Asian Fisheries Development Center ([www.seafdec.org](http://www.seafdec.org) )

Secretariat of the Pacific Regional Environment Programme ([www.sprep.org](http://www.sprep.org) )

Southeast Asian Regional Center for Graduate Study and Research in Agriculture ([www.searca.org](http://www.searca.org) )

Major international NGOs involved in marine conservation and coastal development/protection such as

International Union for Conservation of Nature ([www.iucn.org](http://www.iucn.org) )

The Nature Conservancy ([www.tnc.org](http://www.tnc.org))

World Wildlife Fund ([www.wwf.org](http://www.wwf.org))

Conservation International ([www.conservation.org](http://www.conservation.org) )

Wildlife Conservation Society ([www.wcs.org](http://www.wcs.org))

The majority of national apex technical agencies of Coral Triangle countries have own websites that contain some at least some information of relevance to RETA 7307 and CTI more generally.

**Annex 4 a:** List of output/activities, and indicators for achievement of results based on the Project Logical Framework. The notes describe changes to the outputs/activities during project implementation. The final column lists the Achievement rating (A=achieved, PA=partially achieved, and NA (not achieved) at the time of the Mid Term Evaluation March-April 2012.

**Annex 4b:** Comparison of UNDP Logical Frame work for Component 3 CTI with the ADB Design and Monitoring Framework

**Annex 4c** Project Logical Framework

**Annex 4 a:** List of output/activities, and indicators for achievement of results based on the Project Logical Framework. The notes describe changes to the outputs/activities during project implementation. The final column lists the Achievement rating (A=achieved, PA=partially achieved, and NA (not achieved) at the time of the Mid Term Evaluation March-April 2012.

| **Component** | **Output/Activity** | **Sub Output** | **Indicator** | **Notes** | **Achievement Rating** | |
| --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  | **MTE** | **TE** |
| Component 1 - Advancing the Global Agenda on Oceans, Coasts and Small Island Developing States – | 1.1 Strategic Planning to Advance the Global Oceans Agenda to 2016 and Organization of the 5th Global Oceans Conference in 2010 | 1.1.1 Strategic Planning to Advance the Global Oceans Agenda to 2016 | Strategic plan and program of work for 2010-2014 addressing the WSSD targets on oceans, coasts, and SIDS, prepared by Global Forum Working Groups completed by December 2009, in the following areas:  (i) Climate, oceans, and security  (ii) Achieving progress markers on EBM and ICM 2010 goals  (iii) LME management  (iv) Marine biodiversity and networks of MPAs  (v) Fisheries and aquaculture  (vi) SIDS and implementation of the Mauritius Strategy  (vii) Linking the management of freshwater, coasts, and oceans |  | A | A |
| 1.1.2 Organize the 5th Global Oceans Conference, to be held April 2010 at UNESCO, Paris, France - | 5th Global Oceans Conference successfully accomplished in April 2010. |  | A | A |
| 1.2 World Ocean Conference 2009, Manado, Indonesia |  | Tangible recommendations from multi-stakeholder dialogues at WOC2009, on the following issues produced by June 2009:  (i) Putting ocean/climate issues in the climate negotiations and vice versa  (ii) Understanding and developing policy responses to global ocean changes – ocean warming, ocean acidification, changes in currents, changes in polar regions  (iii) Addressing the “climate divide” and promoting international commitments and funding to respond to the differential effects of climate change on different regions  (iv) Encouraging a wide range of adaptation efforts in the context of EBM/ICM  (v) Properly managing mitigation efforts that use the oceans, including carbon storage and sequestration and iron fertilization  (vi) Encouraging alternative forms of energy using the oceans (wind power, tides, currents, etc.)  (vii) Managing air pollution from ships. | WOC was held before project start-up but the activity was held and costs reimbursed. | A | A |
| 1.3 Enhancing Governance of Marine Areas Beyond National Jurisdiction |  | Recommendations towards the development of a new GEF-IW program area on governance of marine areas beyond national jurisdiction (MABNJ) for consideration in the next GEF replenishment process (GEF5) produced by June 2009 |  | A | A |
| 1.4 Ocean Leadership Training for High-Level Decision Makers |  | Ocean leadership training program for high-level decision-makers developed and implemented at least twice for the following groups of countries by 2011: (i) CTI countries and SIDS; (ii) East Africa and CPLP. | Activity change to build capacity in support of Rio+20 | A | A |
| 1.5 Public Education and Outreach |  | Public education and outreach program on climate change and oceans developed and implemented by end of 2011. |  | A | A |

| **Component** | **Output/Activity** | **Sub Output** | **Indicator** | **Notes** | **Achievement Rating** | |
| --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  | **MTE** | **TE** |
| Component 2 - GEF International Waters Portfolio Learning | 2.1 Fifth Biennial GEF IW Conference participative learning program | 2.1.1 GEF IW leadership learning program | GEF IW projects actively exchanging knowledge and expertise in regional, thematic, institutional or EBM-related CoPs. | This activity was to be linked to 1.4 that was altered.  A new activity was added : *Develop decision support tools, training courses and a workshop (Stockholm, Sweden, 2010) to test and review the tools.* | PA | A |
| 2.1.2 Collaborative website development - | GEF IW projects in IWC host region showing ownership and engaging actively in IWC5. |  | A | A |
| 2.1.3 IWC5 Pre-conference targeted workshops – | Alignment of GEF IWC with cycles of WWF & GOF in order to better feed GEF input into global processes. |  | A | A |
| 2.1.4 Organization of IWC5 – | GEF IW projects advance application of EBM to integrate participatory natural resource systems management (e.g. improved stakeholder engagement to integrate freshwater and marine, land and water, and adaptation to climate change). |  | A | A |
| 2.1.5 CTI regional learning process | Key lessons transferred through peer-to-peer learning. |  | PA | A |
| 2.2 Post-IWC5 learning exchanges and GEF IW Experience Notes - | 2.2.1 Stakeholder Learning Exchanges | Successful scientific and technical innovation and lessons from GEF IW project experience shared across global portfolio. |  | PA | A |
| 2.2.2 GEF IW Experience Notes | GEF IW projects reporting on EBM and MDGs. Worldwide dissemination of IW project success, contribution to MDGs, and media support for expansion of IW projects. |  | PA | A |
| 2.3 Monitoring and evaluation | 2.3.1 Inclusion of GEF IW projects in global fora | Project designs based on IW best-practice learning. | There was some confusion on the implementation of this activity, however, this was subsumed under IW:LEARN3/MENARID now completed | NA | A |
| 2.3.2 Tracking contributions to MDGs | Projects replicate successful approaches of comparable projects.  Projects disseminate key information and share progress with the portfolio. | Outside mandate of IW:LEARN | NA | NA |
|  |  |
| Component 3 - Coral Triangle Initiative | The UNDP LFA and its ADB equivalent (design and monitoring framework or DMF) are not identical and certain inconsistencies between the two exist see Annex 4b for comparison. | | | |  |  |
| Outcome 4  Project Coordination & Management  Improved coordination & integration between the global oceans & coastal agenda, GEF international waters portfolio, & CTI. | No outputs/activities listed in the Log Frame |  | Effective linkage of global, regional, and national level coastal and marine EBM. |  |  | PA |
|  |  | Efficient, transparent, and effective results-based management of all project components. |  |  | A |

| **UNDP Project Logical Framework** | **UNDP Indicators** | **UNDP Targets** | **UNDP Sources of Verification** | **ADB design & Monitoring Framework** | **ADB Performance Targets and/or**  **Indicators** | **ADB Data Sources and/or Reporting Mechanisms** |
| --- | --- | --- | --- | --- | --- | --- |
|  | No Impact for this component in UNDP Logical Framework |  |  | **Impact**  Strengthened management of coastal and marine ecosystems in the coral triangle | Priority management systems, decision- making support systems, and adaptive management frameworks are in place by 2012 | Coral reef monitoring systems (e.g., ReefWatch, ReefCheck, GCRMN, & the ASEAN Centre for Biodiversity)  Project reports from development partners & the CT6; local government monitoring reports  Proceedings of the GEF International Waters Conference, & Global Forum on Oceans, Coasts and Islands  Progress reports of the CTI regional secretariat & development partners |

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **UNDP Project Logical Framework** | **UNDP Indicators** | **UNDP Targets** | | **UNDP Sources of**  **Verification** | | --- | |  | | **ADB design & Monitoring Framework** | **ADB Performance Targets and/or**  **Indicators** | **ADB Data Sources and/or Reporting Mechanisms** |
| **Outcome**  Improved management system for CTI strategic planning and implementation of the CTI program of action through inter- and intra- regional adaptive learning processes. | **None** | **None** |  | **Outcome**  Strengthened cooperation among the CT6 on information exchange and decision making on coastal and marine resources management. | POAs incorporate goals and targets on management, decision support, and communications; achieved by 2012  Learning mechanisms, including workshops, training programs, and university-level training established for all CT6 countries by 2012 | Project and/or program reports and annual reports of CTI regional secretariat and NCCs  Workshop reports, training curricula, and university course contents  Annual reports of CT6 governments, development partners, and the private sector  Proceedings of CTI regional secretariat, NCC, and development partner meetings; dialogues; and consultations with key stakeholders |
| **Activities**  1. Stakeholder participation and consultation | 17. CT countries meet targets specified in the action plan  *The indicator & target not relevant as RETA 7307 started May 2010, 1 year after the WOC* | National and 3 regional workshop programes organized by October 2012 including workshops organized to support the focus areas (SCTR, SF, PES) |  | **Outputs** |  |  |
| **Activities**  2. Institutional capacity strengthening | 8. Effective management systems and strategic planning operative throughout the 6 CTI countries | Baseline  assessments  completed by  December 2010. |  | **Outputs**  1. Strengthened CTI regional cooperation | Final RPOA with clear defined targets endorsed by CT6 leaders in May 2009  NPOAs with clear defined targets endorsed by CT6 senior officials in 2009  Baseline assessments of commitments of CT6 countries completed by December 2009  Regular review and update of POAs from 2010 to 2012 | Proceedings of CTI leaders summit & SOM  Reports of CTI regional secretariat, NCCs, development partners, and CTI working groups  Minutes of CTI regional and national meetings |
| **Activities**  3. Communication plan and information dissemination | 19. Regional learning mechanisms including regional workshops, regional training programs, and university level training established for all CTI countries | Communica-tions strategy included as part of the CTI RPoA by May 2009 and all CTI project staff adequately trained by end 2011. |  | **Outputs**  2. Established regional learning mechanisms for CTI. | At least three working group meetings conducted to identify CTI information needs and gaps, undertake capacity needs assessments, and develop knowledge management strategies for the RPOA by June 2010  At least three regional training workshops on information management, M&E systems, and data analysis in the refinement of the POAs by June 2011  At least six knowledge integrator reports, with translation by 2010 | GEF reports on IW:LEARN  Evaluation reports on participants following learning events |
| **Activities**  **No Activities given** | **Outcome 4**  Effective linkage  of global, regional, &  national level coastal  & marine EBM. | At least  1,000 CTI  practitioners  effectively linked to global best practice through IW:LEARN by  December 2011. |  | **Outputs**  3. Implemented communication and information dissemination plan | Technical working group to prepare the state of the coral triangle report to be established by 2010  At least 3 working group reports published each year from 2010  Online CTI information management system linked to global systems, such as WCMC, WorldFish, International Coral Reef Initiative, IW:LEARN, and others by 2010  At least 1,000 CTI practitioners effectively linked to global best practice through IW:LEARN by December 2011 | Progress reports on the CTI from development partners and the CT6  Online database linkages to all relevant coastal and marine portals, including the US CTI PIP |
| 5. Innovative financing of coastal and marine projects | 20; Increased commitment of financial resources to sustainable natural resources management over a 2008 baseline.  Changed to: *Upgrade the*  *capacities of CT6*  *countries to prepare*  *a sustainable*  *financing plan for priority*  *targets of NPOA implementation*  *& identify potential sources*  *of financing and utilize*  *these plans to inform**the development of a regional financial architect on Sustainable Financing* | First phase of implementation of the RPoA fully funded by December 2011. |  | 4. Established sustainable financing schemes for POAs | Study on innovative financing and options for a PES scheme for CTI completed by 2010  Operational strategy for financing implementation of the NPOAs prepared by 2010 | CT6 national budgets  Proceedings of CTI meetings (e.g., SOM, ministerial meetings, financial mechanisms working group, etc.) |
| 4. Setting up the foundation for pilot projects | 21. Pilot projects prepared and ready for implementation by end 2011.  DELETE from UNDP as not part of the ADB RETA | At least 5 pilot projects prepared by December 2011.: |  | At the inception workshop, countries  & development partners agreed for this TA to focus on three areas because  other activities were already being  implemented (such as MPA selection  and design) |  |  |

**Project Strategy Objectively verifiable indicators**

***Goal* Coastal and marine ecosystems, especially in the Coral Triangle, are managed sustainably, with equitable outcomes for all communities that depend on these resources for their livelihoods and with long term protection of the globally significant biological diversity in coastal and marine ecoregions.**

**Indicator *Baseline Target* Sources of verification Risks and Assumptions**

**Objective of the project**

Improved management of coastal and marine ecosystems through efficient and effective inter- and intra- regional adaptive learning processes.

Effective, efficient management systems drawn from targeted learning from the GEF international waters (IW) program applied in the Coral Triangle and other areas by 2010.

Establishment of information sharing and targeted learning in previous IW:LEARN project.

Lessons learned from previous IW projects, and from World Ocean Conference applied by the six CTI countries.

Attendance at WOC in 2009 Hits on IW:LEARN website CTI Regional Plan of Action and country action plans CTI monitoring and evaluation system.

**Risk**: Among the many environmental and natural resource crises globally, marine and coastal ecosystems may remain relatively neglected.

**Assumption**: Development partners, including the private sector, will substantially increase external funding of coral reef management, along with increased funding from national governments.

**Indicator Baseline Target Sources of verification Risks and Assumptions**

**Outcome 1:**

To foster critical thinking, creativity, learning, and partnership building towards the achievement of WSSD goals and the MDGs related to oceans, coasts, and SIDS, and in response to new ocean issues.

Strategic plan and program of work for 2010-2014 addressing the WSSD targets on oceans, coasts, and SIDS, prepared by Global Forum Working Groups completed by December 2009, in the following areas:

* Climate, oceans, and security
* Achieving progress markers on EBM and ICM 2010 goals
* Large Marine Ecosystems management
* Marine biodiversity and networks of MPAs
* Fisheries and aquaculture
* SIDS and implementation of the Mauritius Strategy
* Linking the management of freshwater, coasts, and oceans

Disparate plans and programs implemented by various organizations to address each of the WSSD targets on oceans, coasts, and SIDS.

Seven Strategic Plans and Program of Work that incorporate ongoing plans and programs as well as new projects to address weak areas/gaps in each. Drafts completed for presentation at GOC2010 in April 2010.

Seven Policy Briefs/Planning Documents

**Assumptions:**

The process will engage adequate representation from major stakeholders.

The approach and methods used by the Working Groups capture relevant knowledge and insights and apply best practices.

The strategic planning process will run in support of existing formal processes.

The strategic plan and program of work will be adopted, supported and carried out by stakeholders involved in the process.

**Risks:**

The planning process is carried out with excessively optimistic assumptions and expectations regarding goals, objectives, activities, timing, and resources that could be accessed to implement the plan.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Indicator** | **Baseline** | **Target** | **Sources of verification** | **Risks and Assumptions** |
|  | 2. Tangible recommendations from multi-stakeholder dialogues at WOC2009, on the following issues:   1. Ocean/climate issues included in the climate negotiations and vice versa 2. Understanding and developing policy responses to global ocean changes – ocean warming, acidification, changes in currents, changes in polar regions 3. Promoting international commitment and funding to respond to the differential effects of climate change on different regions 4. Encouraging adaptation in the context of EBM/ICM 5. Properly managing mitigation efforts that use the oceans, e.g. carbon storage and sequestration and iron fertilization 6. Encouraging alternative forms of energy using the oceans 7. Managing air pollution from ships. | Broad recommendations on areas that need further progress in research and policy development. | Specific recommendations on action in each area that could be further pursued by stakeholders and included in the strategic plan and program of work for 2010-2014, prepared by end-June 2009. | Report of the World Ocean Conference/Global Ocean Policy Day.  Manado Ocean Declaration. | **Assumptions:**  WOC2009 will draw wide participation from governments, NGOs, intergovernmental organizations, the science and business communities.  WOC2009 adapts an open and transparent stakeholder process to ensure stakeholder support and adoption of the Conference outputs, especially the Manado Ocean Declaration.  **Risks:** The Conference could be perceived as too government- dominated which could jeopardize the adoption/application of the Manado Ocean Declaration.  If multi-stakeholder dialogues during WOC2009 are not well managed, stakeholder confidence and trust, and participation in future multi-stakeholder meetings will be at risk. |

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|  | **Indicator** | **Baseline** | **Target** | **Sources of verification** | **Risks and Assumptions** |
|  | 3. 5th Global Oceans Conference successfully accomplished in April 2010. | Policy recommendations towards achieving the WSSD targets emanating from the Hanoi Conference. 400 participants from various sectors | Strategic Plan and Program of Work for 2010-2014 for each of the WSSD targets endorsed by GOC2010 participants, completed by end June 2010.  500 participants from various sectors | Conference Report. | **Assumptions:** Stakeholders will be adequately represented in the dialogue and engage in effective interaction.  Adequate resources are made available for effective stakeholder participation and representation.  Expectations among stakeholders are articulated and clear objectives and outcomes are categorically conveyed.  **Risks:**  Proliferation of loud/strong voices during the dialogue could lead to inaction or fragmentation of efforts.  Disengagement of disappointed stakeholders if dialogue outcomes are not achieved, expectations are unmet, and no follow on activities are developed. |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Indicator** | **Baseline** | **Target** | **Sources of verification** | **Risks and Assumptions** |
|  | 4. Recommendations towards the development of a new IW program area on governance of marine areas beyond national jurisdiction (MABNJ) for consideration in the next GEF replenishment process (GEF5) produced by June 2009. | There is no program on governance of marine areas beyond national jurisdiction under the GEF IW focal area. | Governance of marine areas beyond national jurisdiction officially becomes part of the IW focal area under GEF5, as a new program by completion of the GEF5 replenishment process. | Concept proposals for regional case studies  Document for discussion submitted to the GEF Council and Technical Advisory Committee for the GEF5 replenishment. | **Assumptions:**  GEF Council will accept that the IW focal area should include governance of MABNJ and that measures of impacts could be formulated.  **Risks:** Because of the sub- optimal level of data and information available in marine areas beyond national jurisdiction, their remoteness and other confounding factors, success and performance measures may be difficult to formulate and apply; attribution to present and future interventions will be more difficult to establish |
|  | 5. Ocean leadership training program for high-level decision- makers developed and implemented at least twice for the following groups of countries by 2012.   * CTI countries and SIDS * East Africa and CPLP | No such training program exists. | An ocean leadership training program for high-level decision- makers (with 25-30 participants per session) institutionalized under the sponsorship of a lead institution (GOF and partners) implemented in 2 sessions, with the first in September 2010. | Training Package and Report of Implementation. | **Assumptions:**  The Ocean Leadership Training will be institutionalized under the sponsorship of the Global Forum and other main collaborators.  Sustainability will rely on good feedback from inclusion of an M&E program.  **Risks:** Diverse backgrounds of potential clients will require a combination of content and pedagogic techniques. A faulty training needs assessment could result in an ineffective training program. |

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| --- | --- | --- | --- | --- | --- |
|  | **Indicator** | **Baseline** | **Target** | **Sources of verification** | **Risks and Assumptions** |
|  | 6. Public education and outreach program on climate change and oceans developed and implemented by end of 2011. | No such program currently exists. | A collaborative public education program that effectively communicates the importance of integrating ocean considerations in the climate agenda and vice versa. | Program document and Report of Implementation. | **Assumptions:**  The Ocean Leadership Training will be institutionalized under the sponsorship of the Global Forum and other main collaborators.  Sustainability will rely on good feedback from inclusion of an M&E program.  **Risks:** Diverse backgrounds of potential clients will require a combination of content and pedagogic techniques. A faulty training needs assessment could result in an ineffective training program. |

**Indicator Baseline Target Sources of Verification Risks & Assumptions**:

**Outcome 2**: Improved adaptive management of transboundary marine, coastal and freshwater systems. **Expected learning outcomes** include assessable increased GEF IW project capacity at 3 levels: (i) individual project stakeholders; (ii) organizations; and (iii) governments, fostering enabling environments for transboundary cooperation to deepen and accelerate EBM and policy reform processes.

GEF IW projects actively exchanging knowledge and expertise in regional, thematic, institutional or EBM-related COMMUNITIES OF PRACTICE.

GEF IW projects in IWC host region showing ownership and engaging actively in IWC5.

Alignment of GEF IWC with cycles of WWF & GOF in order to better feed GEF input into global processes.

GEF IW projects advance application of EBM to integrate natural resource systems management (e.g. integrated freshwater and marine, land and water, and climatic VARABILITY AND change).

Some GEF IW projects participate on ad hoc basis in regional, thematic, institutional or EBM- related CoPs.

One host region project showcases key learning at GEF IWC.

GEF IWC not linked with global freshwater & ocean meeting cycles or processes.

Surface and groundwater and coastal management are not integrated; CLIMATIC VARIABILITY AND CHANGE NOT MAINSTREAMED

At least 10 GEF IW projects participate (measured by an average of one login and content upload or download per

Week) in at least 4 CoPs by Q2 2010.

At least 3 Asia/Pacific IW projects commit by Q2 2009 to co-host IWC5; host region projects prepare achievements and contribute to leadership on SIDS, oceans and climate impacts

Mechanisms for linking GEF portfolio learning cycle with GOF and WWF6 agreed by Q4 2010.

I) At least 50% of GEF5 IW projects by Q4 2010 included actual activities related to or at least referencing integrated ecosystem- based management and the mainstreaming of climatic variability and change. ii) 10 recommendations to GEF produced at IWC5 on mainstreaming climatic variability and change

Discussion threads, posted content, resources downloaded, profiles created, and/or news posted; active participation in IWC5 online collaboration website before the conference and in CoP sites post-meeting.

Host projects make plenary presentations at IWC on their key results

GEF projects featured in WWF and GOF session proceedings and IW:LEARN involved in planning process for WWF6; Integration workshop at WOC2009.

Project documents, PIFs, and CEO endorsement forms.

Project multimedia content featured on IWC5 website; Learning Exchange reports, virtual Innovation Marketplace, IWC5 report and participant evaluation.

Pre-conference workshop and working group reports, IWC5 proceedings, on GEF- IWC website or [www.iwlearn.net](http://www.iwlearn.net/).

Participant evaluations; participant lists; workshop reports.

Participative peer learning is perceived as valuable for all GEF IW projects.

Project stakeholders are encouraged to utilize IW:LEARN services at all levels of implementation & execution

Participants are sufficiently aware of GEF IW:LEARN &

know how to both engage its services & provide their own experience to peers (via CoP participation, IWEN production IWC engagement & information syndication)

GEF IW:LEARN &

partners can obtain sufficient post- intervention feedback on effectiveness through participant evaluation

Organizers of key international & regional dialogues are willing to engage the GEF portfolio

Given IW project experience is replicable by other projects

Projects possess the means to report on MDGs progress

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|  | Key lessons transferred through peer-to-peer learning.  Successful scientific and technical innovation and lessons from GEF IW project experience shared across global portfolio. | No self-sustaining mechanism for GEF IW inter-project exchange, global portfolio learning and assessment.  Partial resource base for transferring key lessons learnt from GEF IW project implementation, with room for improvement. | 1. At least 50% of GEF IWC-5 ATTENDING PROJECTS provides input for participative portfolio learning cycle and testing improvements by Q4 2009; 2. 50% of IWC5-attending GEF IW project managers attend a project management training session at IWC5; At least 95% of participant evaluations FROM at least 3 pre-IWC technical workshops confirm increased capacity vs. individual baselines, and/or indicate changes to personal or institutional work plans. III) 50% of IWC5-attending GEF IW projects managers attend a project management training session at IWC5. IV) AT LEAST 10 INTER- PROJECT EXCHANGES DOCUMENT LEARNING BY Q4 2011 INCLUDING AT LEAST ONE NEW GEF IW PROJECT PER REGION, EACH FEATURING AT LEAST 2 STAKEHOLDERS.   All GEF IW projects report on their contributions to EBM and MDGs as part of regular reporting and on iwlearn.net profiles by Q4 2009. | Project multimedia content featured on IWC5 website; Learning Exchange reports, virtual Innovation Marketplace, IWC5 report and participant evaluation. Pre-conference workshop and working group reports, IWC5 proceedings, on GEF- IWC website or [www.iwlearn.net](http://www.iwlearn.net/).  Reporting on project profiles at [www.iwlearn.net](http://www.iwlearn.net/) also via gefonline.org, and PIR-APR processes.  IWENs produced and posted to iwlearn.net covering process and stress reduction themes. Project design documents, post-evaluation of IW projects.  Media reports, RSS feeds to iwlearn.net, website content, and independent reviews of IW portfolio. | **Risks:**  Not all GEF IW projects are willing to engage in various types of portfolio learning activities or to expose any weaknesses in project implementation to external scrutiny.  Geopolitical and economic conditions enable full participation in the IWC5  Online/virtual services are inaccessible to some stakeholders for technical reasons |

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|  | GEF IW projects reporting on EBM and MDGs.  Worldwide dissemination of IW project success, contribution to MDGs, and media support for expansion of IW projects.  Project designs based on IW best-practice learning.  Projects replicate successful approaches of comparable projects.  Projects disseminate key information and share progress with the portfolio. | Projects do not regularly report on progress vis-à-vis EBM and MDGs. GEF IW  projects report on immediate objectives only.  Approximately 30 IWEN’s produced, but do not sufficiently cover a suite of thematic areas  Projects are designed independently of previous IW project experience and common errors are repeated.  Less than 10% of the portfolio regularly shares their news, events, announcements and releases broadly. | At least 30 GEF IWENs produced for GFOCI and WWF6, by Q1 2011. At  least 1 IWEN from each region and from each ecosystem-type per year.  At least 10 inter-project exchanges document learning by Q4 2011, including at least one new GEF IW project per region, each featuring at least 2 stakeholders.  25% of new GEF IW projects emulate an experience from an existing GEF IW project.  50% GEF IW portfolio syndicates their news, events, announcements and report releases via [www.iwlearn.net.](http://www.iwlearn.net/) By 2010, 75% of active GEF IW projects report annually on their efforts to address MDGs. |  |  |

**Indicator Baseline Target Sources of verification Risks and Assumptions**

**Outcome 3**

Improved management system for CTI strategic planning and implementation of the CTI program of action through inter- and intra- regional adaptive learning processes.

CT countries meet targets specified in the action plan REPLACED WITH: WORKING PLATFORMS FOR KM IS ESTABLISHED

Effective management systems and strategic planning operative throughout the 6 CTI countries.

Regional learning mechanisms including regional workshops, regional training programs, and university level training established for all CTI countries.

Increased commitment of financial resources to sustainable natural resources management over a 2008 baseline.

CHANGE TO : To

upgrade the capacities of CT6 countries to prepare a sustainable financing plan for priority targets of NPOA implementation and identify potential sources of financing and utilize these plans to

Ineffective implementation of agreed plans.

Excessive attention on implementation progress and not on long term capacity building.

Ad hoc training activities and ineffective approach to development of centers of excellence.

Inadequate resourcing of plans of action as a major constraint on project implementation.

At least 6

National and 3 regional workshop programes organized by October 2012 including workshops organized to support the focus areas (SCTR, SF, PES)

Baseline assessments completed by December 2010.

Communications strategy included as part of the CTI RPoA by May 2009 and all CTI project staff adequately trained by end 2011.

First phase of implementation of the RPoA fully funded by December 2011.

Project/program reports and annual reports of national CTI secretariats.

Workshop reports, training curricula, and university course contents.

Annual reports of development partners, private sector, and national governments

National budgets for coral reef management, research, and training..

**Risk**: Among the many environmental and natural resource management needs, coral reefs may not be given adequate priority.

CTI project funding may overwhelm national implementation capacity, thus diverting practitioners away from learning opportunities.

**Assumptions**: National governments will release staff for adequate periods of time to receive on-the-job and longer term training in natural resources management.

Development partners, including the private sector, will substantially increase external funding of coral reef management, along with increased funding from national governments.

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|  | inform the development of a regional financial architecture on Sustainable Financing  Pilot projects prepared and ready for implementation by end 2011. (This indicator was removed from PIR 2011 as THIS IS NOT PART OF THE DMF) | Ad hoc identification of projects. | At least 5 pilot projects prepared by December 2011.: (NOTE no such targets exist in the DMF) |  |  |

**Outcome 4** Effective linkage of global,

regional, and national level **Project Coordination and** coastal and marine EBM. **Management**

Improved coordination and

integration between the global oceans and coastal agenda, the GEF international waters portfolio, and CTI.

Efficient, transparent, and

effective results-based management of all project components.

Separate activities At least 1,000 CTI IW:LEARN website. **Risk**: The challenges of

at global, regional practitioners US CTI Program Integration integrated management and a and national level, effectively linked to Portal. coordinated approach may missing global best practice IWC5 participant evaluation overwhelm project participants opportunities for through IW:LEARN and IWENs. and cause them to fall back into portfolio learning. by December 2011. a reliance on disparate sectoral

and national approaches.

Separate project

component management.

Mid-term and final

project evaluations fully satisfactory.

Project progress reports by

PCU.

**Assumption**: Results-based

management will be adopted by all components.