Terminal Evaluation Report

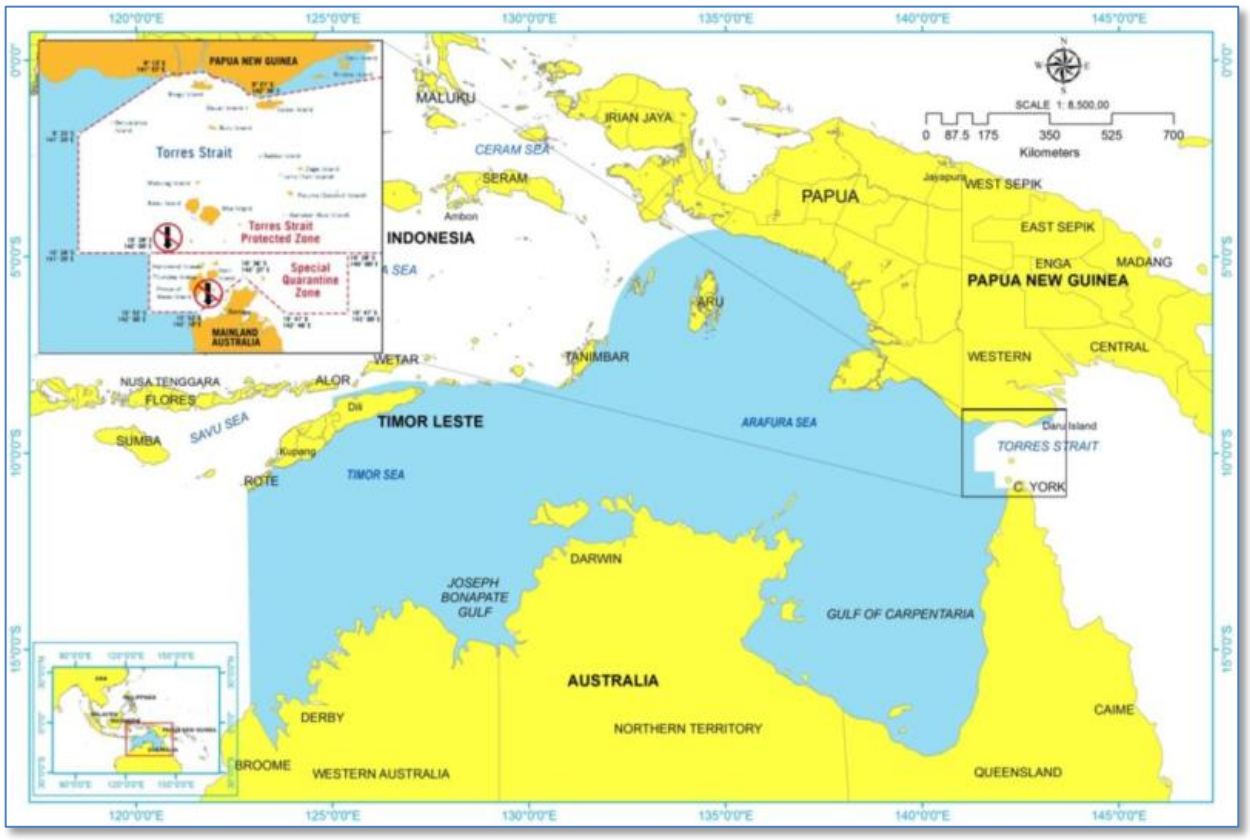
2014 July

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Arafura and Timor Seas Ecosystem Action Programme (ATSEA)

GEF Project ID: 3522
UNDP PIMS ID: 3879

Region:	Asia and the Pacific
Focal Area:	International Waters
Funding Source:	GEF Trust Fund
Implementing Agency:	United Nations Development Programme (UNDP)
Executing Agency:	United Nations Office for Project Services (UNOPS)
Implementation Partners:	Ministry of Marine Affairs and Fisheries, Republic of Indonesia Ministry of Agriculture and Fisheries, Democratic Republic of Timor-Leste
Project Timeframe:	May 2010 to July 2014



Map of Project Area (ATSEA, PMU 2014)

Prepared by:

James Lenoci

IC Agreement 2014/IICA-SP/5287 (UNOPS)

Terminal Evaluation Opening Page:

Project Name:	Arafura and Timor Seas Ecosystem Action Programme (ATSEA)
GEF Project ID:	3522
UNDP PIMS ID:	3879
Lead Countries:	East Timor and Indonesia
Region:	Asia and the Pacific
Funding Source:	GEF Trust Fund
Focal Area:	International Waters
GEF-4 Strategic Program:	IW SO-1, SP1: Restoring and Sustaining Coastal and Marine Fish Stocks and Associated Biological Diversity
PIF Approval:	16 November 2007
PPG Approval Date:	28 March 2008
CEO Endorsement Date:	16 October 2009
Project Document Signing Date:	14 May 2010
Implementing Agency:	United Nations Development Programme (UNDP)
Management Arrangement:	UNOPS
Executing Agency:	UNOPS
Other Partners Involved:	Ministry of Marine Affairs and Fisheries, Indonesia Ministry of Agriculture and Fisheries, Timor Leste
Implementation Timeframe:	May 2010 to July 2014
Project Cost:	USD 9,213,047 (reconstructed)
GEF Grant:	USD 2,500,000
Co-Financing, Proposed:	USD 6,713,047 (reconstructed) Indonesia Government: USD 446,220 Timor Leste Government: USD 400,000 UNDP Indonesia: USD 400,000 Other Donors (In-Kind): USD 5,446,827 (reconstructed)
Terminal Evaluation Timeframe:	July 2014
Evaluator:	James Lenoci
Language of Evaluation Report:	English

The evaluator would like acknowledge the information and feedback provided by interviewed project stakeholders, including the national focal points in Indonesia, Timor-Leste, and Australia, other representatives of key stakeholders in the beneficiary countries. Special thanks are also extended to the, UNDP Country Office Staff, and the GEF Regional Technical Advisor, UNOPS staff, representatives from involved NGOs, local and international consultants, and the local beneficiaries of the visited demonstration activities. Finally, the evaluator is grateful for the insight shared by the project manager, and the support extended by the entire PMU team.

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Executive Summary

Exhibit 1: Project Summary Table				
Project Title:	Arafura and Timor Seas Ecosystem Action Programme (ATSEA)		**at endorsement (USD million)**	**at completion (USD million)**
GEF Project ID:	3522	**GEF financing:**	2.5	2.5
UNDP Project ID:	3879	**IA/EA own:**	0.45	0.28
Countries:	Indonesia, Timor-Leste (and Australia) Papau New Guinea did not participate	**Government:**	3.91	3.56
Region:	Asia and the Pacific	**Other:**	2.35	3.85
Focal Area:	International Waters	**Total co-financing:**	6.71	7.69
Implementing Agency:	UNDP	**Total Project Cost:**	9.21	10.19
Lead Implementing Partner:	UNOPS	**Prodoc Signature (date project began):**		14-May-10
Other Responsible Partners:	Ministry of Marine Affairs and Fisheries (Indonesia) Ministry of Agriculture and Fisheries (Timor-Leste)	**(Operational) Closing Date:**	Proposed: 30 Dec 2013	Actual: 31 Jul 2014

Note: GEF financing amount at completion based actual expenditures 2010-2013, budget plan for 2014

Project Description

According to Part IX of the United Nations Convention of the Sea, the resources of semi-enclosed seas, such as the Arafura and Timor Seas (ATS), are to be cooperatively managed by the littoral nations. In June, 2002, representatives from Indonesia, Timor-Leste, and Australia agreed to form a non-binding forum to foster collaboration between government and non-government organizations, in the pursuit of sustainable use of the living resources of the Arafura and Timor Seas. To accomplish this goal the Arafura and Timor Seas Ecosystem Action (ATSEA) Program was created; designed to identify the root causes of the problems facing the ATS through a Trans-boundary Diagnostic Analysis across national borders, allowing the ATS ecosystem to be seen as a whole, leading to the development of the most effective cooperative methods for ecosystem and resource management. Information collected by ATSEA will help ensure that future projects are in accordance with the biophysical, socio-economic, and environmental needs of the local and regional priorities in the ATS region.

The main goal of this project was to achieve ecologically sustainable management and use of the living coastal and marine resources, including fisheries and biodiversity, of the Arafura-Timor Seas region, and improved, sustainable socio-economic conditions and opportunities for coastal peoples in the Arafura and Timor Seas region. Whereas the project objective was to ensure the integrated, cooperative, sustainable, ecosystem-based management and use of the living coastal and marine resources, including fisheries and biodiversity, of the Arafura and Timor Seas, through the formulation, inter-governmental adoption and initial implementation of a Regional Strategic Action Programme (SAP).

Terminal Evaluation Purpose and Methodology

This terminal evaluation was conducted to provide conclusions and recommendations about the relevance, efficiency, effectiveness, sustainability, and impact of the Project. The evaluation also aimed to identify lessons from the Project for future similar undertakings, and to propose recommendations for ensuring the sustainability of the results. The evaluation was an evidence-based assessment and relied on feedback from persons who have been involved in the design, implementation, and supervision of the project, review of available documents and records, and findings made during field visits.

Summary of Findings and Conclusions

Strengths and Major Achievements

The project has benefited from **highly satisfactory** county ownership, culminating with the endorsement of the developed strategic action programme (SAP) through ministerial declaration. This is an important foundational step toward effective, collaborative transboundary management of the ATS ecosystem and resources.

The environmental objectives of the endorsed SAP are relevant among both national and regional strategic development priorities, and there is evidence that the priority SAP actions are being operationalized into national plans. For example, the first fisheries management plan in Indonesia among the 11 fisheries areas was completed in 2013 by the Ministry of Marine Affairs and Fisheries for the Arafura Sea.

Through the extensive interaction among regional scientific experts and policy-level stakeholders, regional collaborative capacity has been strengthened; an important requisite for effective transboundary management. The regional demonstration in an indigenous community in Northern Australia, where collaborative management arrangements has resulted in effective management of coastal zone resources, was highly relevant to the essence of ecosystem-based management that is promoted in the approved SAP/NAPs.

Contributions from leading regional experts led to the completion of the bio-physical profile, socio-economic profile, institutional framework study, and stakeholder analysis. These outputs were used to formulate a transboundary diagnostic analysis (TDA), which provides a systematic assessment of root causes and barriers of ecosystem degradation, and through causal chain analyses, presents recommendations for priority actions. The scientific output supported by the project is noteworthy. In addition to the comprehensive reports on the biophysical and socio-economic profiles, the information gathered and produced by the project, including from the two research cruise expeditions, have been documented through four international peer-reviewed articles, and a fifth is currently under preparation.

The dedicated and qualified project management team was intact throughout the entire implementation phase, and role of the project manager, a renowned fisheries expert with extensive professional regional connections, cannot be overstated, as he was able to effectively facilitate participation of a wide spectrum of stakeholders across both scientific and governmental sectors.

Shortcomings

While the environmental objectives stipulated in the SAP/NAPs are consistent with the TDA findings and reflect known and emerging transboundary concerns in the ATS region, some of the actions and targets developed in response to these objectives seem to have been formulated with incomplete consultation among key stakeholders. There are concerns regarding achievability of certain targets, a heavy reliance on baseline data that are largely unavailable and would be costly to obtain, and whether or not the actions are relevant with respect to the regional transboundary priorities.

The lack of focus on financial arrangements is also considered a shortcoming, as it is an important part of the sustainability of the regional cooperation mechanism moving forward. Component 4 included a specific outcome (C4.2) for developing and operationalizing a self-financing strategy for the regional cooperation mechanism, but little attention was given to this outcome.

With respect to the demonstration activities, local demonstrations provided limited added value for feeding into full SAP implementation. For example, livelihood alternatives, e.g., mangrove crab rearing, were made without carrying out value chain analyses, leaving a number of unanswered questions at project closure regarding the viability of various livelihood opportunities in the target communities. Also, the limited involvement of sub-national authorities was a missed opportunity to demonstrate a model of collaborative management arrangements, aligning SAP/NAP priorities with local spatial planning and socio-economic development objectives.

Despite the shortcomings identified, the results of the project have significantly strengthened regional collaborative capacities, and there is compelling evidence indicating that the littoral nations are committed to support the implementation of the SAP/NAPs moving forward.

Evaluation Ratings

The overall performance of the project is rated as **satisfactory**, as the key intended outcomes were reasonably achieved. Evaluation ratings are tabulated below in **Exhibit 2**.

Exhibit 2: Evaluation Rating Table

Criteria	Rating	Comments
1. Monitoring and Evaluation (M&E)		
M&E Design at Entry	Satisfactory	The M&E plan was reasonably extensive, sufficient activities and funds were allocated.
M&E Plan Implementation	Satisfactory	The M&E plan was more or less implemented as designed. Reporting was thorough and timely, and the management responses to the mid-term review recommendations helped guide the focus and direction of the project. There were a few short-comings, including a lack of clarity with respect to monitoring the results of the demonstration activities, in a way that would provide sufficient input for the design of the next phase of the project. Also, there was generally insufficient monitoring of how information and recommendations included in the TDA/SAP deliverables were incorporated into national plans and strategies.
Overall Quality of M&E	Satisfactory	
2. Implementing Agency (IA) and Lead Implementing Partner (Executing Agency - EA) Execution		
Quality of IA (UNDP) Execution	Satisfactory	The UNDP CO (Indonesia) and GEF RTA were actively involved in the project, both in terms of supervision and also strategic guidance. The IA could have done a better job instructing the PMU on tracking co-financing contributions.
Quality of EA (UNOPS) Execution	Satisfactory	The quality of the project management services was one of the main strengths of the project. The PMU team was intact for the entire duration of the implementation phase, and the project manager was effective at guiding the implementation partners and facilitation support from key stakeholders.
Overall IA-EA Execution	Satisfactory	Largely due to the amenable and cooperative project management style, inter-agency collaboration between the UNDP and UNOPS remained constructive and project-centered.
3. Assessment of Outcomes		
Relevance	Relevant	The project objectives are relevant across a broad spectrum of regional and national priorities. Due to the low level of involvement of sub-national governmental administrations, there is limited local buy-in of the recommended priority actions.
Effectiveness	Satisfactory	The project was successful in achieving key outcomes, including completion of the TDA and SAP/NAPs. Endorsement of the SAP by ministerial declaration is a particularly commendable accomplishment, given the time and relatively low budget allocated for this phase of the project. There are concerns regarding achievability of certain targets, a heavy reliance on baseline data that are largely unavailable and would be costly to obtain, and whether or not the actions are relevant with respect to regional transboundary priorities.

Exhibit 2: Evaluation Rating Table		
Criteria	**Rating**	**Comments**
Efficiency	Satisfactory	From an incremental cost criteria standpoint, GEF support fulfilled an important gap with respect to collaborative transboundary management of the ATS ecosystems. Actual co-financing exceeded proposed contributions, more than USD 1 million of leveraged resources were realized, and each of the three countries continue to actively invest in associated interventions. Considering the allocated USD 2.5 million for implementation, the efficiency in achieving the intended outcomes is considered satisfactory. Overall efficiency was partly diminished due to the disproportionate amount of funds spent on travel, albeit mostly for substantive purposes, such as convening regional workshops, etc.
Overall Outcome Rating	Satisfactory	The key outcomes were reasonably achieved, and there is strong evidence of governmental commitment in supporting the implementation of the SAP/NAPs. Financing arrangements for the regional cooperation mechanism are uncertain at project closure, and some of the recommended SAP actions and indicator targets should be critically reviewed prior to the next phase of the ATSEA project.
4. Sustainability		
Financial Risks	Likely	Although financing for the regional cooperation mechanism has not yet been worked out, there are signs of financial commitments by the littoral countries. For example, through the endorsements issued so far for co-financing the development of the next phase of the ATSEA project. The countries also continue to make investments on complementary interventions, including in Indonesia, where the government is reportedly committed to expend approx. USD 500,000 per year over the next 5 years on implementation of the Arafura fisheries management plan. In Timor-Leste, sensible development of the fisheries sector is highlighted in the country's Strategic Development Plan (2011-2030).
Socio-Economic Risks	Moderately Likely	Buy-in of the SAP/NAP objectives has not yet been realized at the sub-national level. And due to large income disparities among the local littoral populations and potential short-term economic gains through activities such as IUU fishing, the socio-economic risks to the management of the ATS ecosystems remain fairly high.
Institutional Framework and Governance Risks	Likely	One of the main achievements of the project was facilitating the approval of the SAP through a ministerial declaration, signed by three ministers in the three littoral states. This creates a solid foundation for a regional institutional framework. On the sub-national level, particularly in Indonesia, there are certain governance risks, as district authorities have a relatively high level of autonomy and local concerns of economic development need to be carefully synergized with ecosystem management objectives
Environmental Risks	Likely	Response to the environmental objectives stipulated in the SAP and NAPs will require concerted regional commitment to overcome the unsustainable offshore, coastal, and land-based activities that continue to impart pressure onto the ATS ecosystems. Sustainability is rated as likely because the high level of awareness on a regional scale, through various multi-lateral and national level programs and initiatives, focused on climate change adaptation, biodiversity conservation, and sound natural resource management.
Overall Likelihood of Sustainability	Moderately Likely	Endorsement of the SAP by ministerial declaration reflects a strong commitment among the three littoral countries for continuing regional cooperation. Overall sustainability is, however, impacted by the lack of a financing strategy for the regional cooperation mechanism, uncertain buy-in by sub-national government administrations, and continued pressures on the ecosystems primarily through IUU fishing and coastal zone development.

Recommendations

Some recommendations to consider in developing plans for implementation of the ATSEA SAP are outlined below.

Actions to Follow Up or Reinforce Initial Benefits from the Project

1. Carry out a strategic review of the SAP/NAP priority actions and targets
2. Advocate uptake of NAP priority actions into national and sub-national operation programs
3. Support agreement on baseline levels and protocols for assessing progress toward achieving SAP/NAP environmental objective targets
4. Facilitate a strategy on national and regional information management
5. Reach a regional agreement on the financing of the regional cooperation mechanism
6. Carry out value chain and situational analyses to support alternative livelihood initiatives
7. Develop implementation pathways, so that stakeholders can better understand the SAP implementation process and associated timeframes

Proposals for Future Directions Underlining Main Objectives

8. Expand stakeholder involvement and partnership arrangements to better ensure inclusive implementation of the SAP/NAP
9. Emphasize collaborative management arrangements for demonstration activities
10. Link sustainable land management with coastal zone management objectives
11. Enhance sustainability of alternative livelihood initiatives through infrastructure investment
12. Direct more focus on invasive species
13. Extend capacity building targets to local extension officers
14. Integrate relevant safety concerns (including human-wildlife conflicts, safety at sea, and food safety) into the NAP/SAP process

Operational Issues

15. Implement alternative methods of convening meetings in order to reduce travel costs
16. Risk management should be more inclusive among key stakeholders
17. Work programming should be more extensive and be linked to the logical results framework

Abbreviations and Acronyms

Exchange Rates on 1 July 2014: Indonesian Rupiah (IDR): USD = 11,904.8
Australian Dollar (AUD): USD = 1.06206

ACDI/VOCA	Agricultural Cooperative Development International and Volunteers in Overseas Cooperative Assistance (US-based NGO)
AIMS	Australian Institute of Marine Science
AMFR	Agency for Marine and Fisheries Research (Indonesia)
APR/PIR	Annual Project Review/Project Implementation Report
APRC	Asia-Pacific Regional Centre (UNDP)
ATS	Arafura and Timor Seas
ATSEA	The Arafura and Timor Seas Ecosystem Actions Programme
ATSEF	Arafura and Timor Seas Expert Forum
BDP	Bureau of Development Policy (UNDP)
CI	Conservation International
CTI	Coral Triangle Initiative on Coral Reefs, Fisheries and Food Security
EAFM	Ecosystem Approach to Fisheries Management
FSP	Full-sized project (GEF)
IUU	Illegal, unregulated and unreported (fishing)
IW	International Waters (GEF focal area)
KIARA	The People's Coalition for Fisheries Justice (NGO in Indonesia)
LIPI	*Lembaga Ilmu Pengetahuan Indonesia* (Indonesian Institute of Sciences)
MMAF	Ministry for Marine Affairs and Fisheries of the Government of Indonesia
MPA	Marine Protected Area
MSP	Medium Sized Project (of GEF)
MTR	Mid-term review
NAP	National Action Programme
NIMC	National Inter-Ministerial Committee
NTT	Nusa Tenggara Timur (province in Indonesia)
NTZ	No-Take Zone
PB	Regional Project Board
PDF-B	Project Development Facility (GEF)
PEMSEA	Partnerships in Environmental Management for the Seas of East Asia
PIF	Project Identification Form (GEF)
PMO	Project Management Office
PNG	Papua New Guinea
PPG	Project Preparation Grant (GEF)
RIMF	Research Institute for Marine Fisheries (Indonesia)
RPOA	Regional Plan of Action to Promote Responsible Fishing Practices including Combating IUU Fishing in the Regions
SAP	Strategic Action Programme
SEG	Stakeholder engagement group
SFP	Sustainable Fisheries Partnership
SGP	UNDP/GEF Small Grants Programme
TDA	Transboundary Diagnostic Analysis
TNC	The Nature Conservancy
TOR	Terms of Reference
TRAC	Target for Resource Assignment from the Core (UNDP)
UNOPS	United Nations Office for Project Services
USAID	United States Agency for International Development
USDA	United States Department of Agriculture
WCMP	The Commission for the Conservation and Management of Highly Migratory Fish Stocks in the Western and Central Pacific Ocean

1. INTRODUCTION

1.1. Purpose of Evaluation

The objectives of the evaluation were 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 programming.

1.2. Evaluation Scope and Methodology

The terminal evaluation was an evidence-based assessment and relied on feedback from persons who have been involved in the design, implementation, and supervision of the project, and also review of available documents and findings made during field visits.

The overall approach and methodology of the evaluation followed the guidelines outlined in the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects[1].

The evaluation was carried out by one international consultant, and included the following activities:

- ✓ An evaluation mission was carried out from 30 June to 12 July 2014; the itinerary is compiled in **Annex 1**.
- ✓ Key project stakeholders were interviewed for their feedback on the project; interviewed persons are listed in **Annex 2.**
- ✓ Field visits were made to two of the communities where demonstration activities: in Saumlaki, Indonesia and Ulmera, Timor Leste. A summary of the field visits is presented in **Annex 3,** and supporting information on the project demonstration activities is compiled **in Annex 4**;
- ✓ The evaluator completed a desk review of relevant sources of information, such as the project document, project progress reports, financial reports, mid-term review, and key project deliverables. A complete list of information reviewed is compiled in **Annex 5**;
- ✓ At the end of the evaluation field mission on 11 July 2014, the evaluator presented the findings at a debriefing held in Jakarta.

As a data collection and analysis tool, an evaluation matrix was adapted from the preliminary set of questions included in the TOR (see **Annex 6**). Evidence gathered during the fact-finding phase of the evaluation was cross-checked between as many sources as practicable, in order to validate the findings. The project logical results framework was also used as an evaluation tool, in assessing attainment of project objective and outcomes (see **Annex 7**).

1.3. Structure of the Evaluation Report

The evaluation report starts out with a description of the project, indicating the duration, main stakeholders, and the immediate and development objectives. The findings of the evaluation are broken down into the following sections in the report:

- ✓ Project Formulation
- ✓ Project Implementation
- ✓ Project Results

[1] Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects, 2012, UNDP.

The discussion under **project formulation** focuses on an evaluation of how clear and practicable were the project's objectives and components, and whether project outcomes were designed according to SMART criteria (see **Exhibit 3**).

Exhibit 3: SMART Criteria	
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
Source: Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects, 2012, UNDP	

Also, project formulation covers whether or not capacities of executing agencies were sufficiently considered when designing the project, and if partnership arrangements were identified and negotiated prior to project approval. An assessment of how assumptions and risks were taken into account in the development phase is also included.

The report section on **project implementation** first looks at how the logical results framework was used as an M&E tool during the course of the project. Also, the effectiveness of partnerships and the degree of involvement of stakeholders are evaluated. Project finance is assessed, by looking at the degree of co-financing that was materialized in comparison to what was committed, and also whether or not additional or leveraged financing was secured during the implementation phase. The cost-effectiveness of the project is evaluated by analyzing how the planned activities met or exceeded the expected outcomes over the designed timeframe, and whether an appropriate level of due diligence was maintained in managing project funds.

The quality of execution by both the implementing agency and the lead implementing partner (executing agency) is also evaluated and rated in the project implementation section of the report. This evaluation considers whether there was sufficient focus on results, looks at the level of support provided, quality of risk management, and the candor and realism represented in the annual reports.

The project implementation section also contains an evaluation and rating of the project M&E system. The appropriateness of the M&E plan is assessed, as well as a review of how the plan was implemented, e.g., compliance with progress and financial reporting requirements, how were adaptive measures taken in line with M&E findings, and management response to the recommendations from the mid-term review.

In GEF terms, **project results** include direct project outputs, short- to medium-term outcomes, and longer term impact, including global environmental benefits, replication efforts, and local effects. The main focus is at the outcome level, as most UNDP supported GEF financed projects are expected to achieve anticipated outcomes by project closing, and recognizing that global environmental benefit impacts are difficult to discern and measuring outputs is insufficient to capture project effectiveness.

Project outcomes are evaluated and rated according to relevance, effectiveness, and efficiency:

Relevance: The extent to which the activity is suited to local and national development priorities and organizational policies, including changes over time. Also, relevance considers the extent to which the project is in line with GEF Operational Programs or the strategic priorities under which the project was funded.

Effectiveness: The extent to which an objective has been achieved or how likely it is to be achieved.

Efficiency: The extent to which results have been delivered with the least costly resources possible; also called cost effectiveness or efficacy.

In addition to assessing outcomes, the report includes an evaluation of country ownership, mainstreaming**, sustainability** (which is also rated), catalytic role, mainstreaming, and impact.

With respect to **mainstreaming**, the evaluation assesses 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. This discussion is distinguished from biodiversity mainstreaming, which is focus of the Project.

In terms of **impact**, the evaluator assessed whether the Project has demonstrated: (a) verifiable improvements in ecological status, (b) verifiable reductions in stress on ecological systems, and/or (c) demonstrated progress towards these impact achievements.

Finally, the evaluation presents **recommendations** for reinforcing and following up on initial project benefits. The report concludes with a discussion of **lessons learned** and **good practices** which should be considered for other GEF and UNDP interventions.

1.4. Ethics

The evaluation was conducted in accordance with the UNEG Ethical Guidelines for Evaluators, and the evaluator has signed the Evaluation Consultant Code of Conduct Agreement form (**Annex 8**). In particular, the evaluator ensures the anonymity and confidentiality of individuals who were interviewed and surveyed. In respect to the UN Declaration of Human Rights, results are presented in a manner that clearly respects stakeholders' dignity and self-worth.

1.5. Response to Review Comments

Review comments regarding the draft TE report are compiled and tabulated into **Annex 9**, along with responses from the evaluator. Relevant modifications to the report are incorporated into the final version.

1.6. Limitations

The evaluation was carried out over a period of one calendar month; including preparatory activities, field mission, desk review, and completion of the evaluation report, according to the guidelines outlined in the Terms of Reference (**Annex 10**).

As time was limited, not all of the demonstration sites could be visited. The information obtained over the course of the evaluation is assumed to be representative of the performance of the project.

1.7. Evaluation Ratings

The findings of the evaluation are compared against the targets set forth in the logical results framework, and also analyzed in light of particular local circumstances. The effectiveness and efficiency of project outcomes are rated according to the 6-point GEF scale, ranging from Highly

Satisfactory (no shortcomings) to Highly Unsatisfactory (severe shortcomings). Monitoring & evaluation and execution of the implementing and executing agencies were also rated according to this scale. Relevance is evaluated to be either relevant or not relevant.

Sustainability is rated according to a 4-point scale, ranging from Likely (negligible risks to the likelihood of continued benefits after the project ends) to Unlikely (severe risks that project outcomes will not be sustained). Impact was rated according to a 3-point scale, including significant, minimal, and negligible. The rating scales are compiled below in **Exhibit 4**.

Exhibit 4: Rating Scales

Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution	Sustainability Ratings:	Relevance Ratings:
6. Highly Satisfactory (HS): The project had no shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency	**4: Likely (L)** Negligible risks to sustainability	**2. Relevant (R)**
5: Satisfactory (S): There were only minor shortcomings	**3. Moderately Likely (ML):** Moderate risks to sustainability	**1. Not relevant (NR)**
4. Moderately Satisfactory (MS): There were moderate shortcomings	**2. Moderately Unlikely (MU):** Significant risks to sustainability	**Impact Ratings:**
3. Moderately Unsatisfactory (MU): The project had significant shortcomings	**1. Unlikely (U):** Severe risks to sustainability	**3. Significant (S)**
2. Unsatisfactory (U): There were major shortcomings in the achievement of project objectives in terms of relevance, effectiveness, or efficiency		**2. Minimal (M)**
1. Highly Unsatisfactory (HU): The project had severe shortcomings		**1. Negligible (N)**
Additional ratings where relevant: **Not Applicable (N/A)** **Unable to Assess (U/A)**		

Source: Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects, 2012, UNDP

2. PROJECT DESCRIPTION

2.1. Project Start and Duration

Key project dates are listed below:

PIF Approval:	16 November 2007
PPG Approval Date:	28 March 2008
CEO Endorsement Date:	16 October 2009
GEF Agency Approval Date:	14 May 2010
Inception:	13-14 July 2010
Mid-Term Review:	October 2012
Project completion (original)	30 December 2013
Project completion (actual)	31 July 2014
Terminal evaluation	July 2014

The project was first initiated in July 2006 during an ATSEF Steering Committee meeting in Bali. Under GEF guidelines, the project was developed through preparation and approval of the following plans: PDF-B, PIF, PPG, and finally the full-scale project (FSP), which was approved by the GEF council in October 2009 with a total grant of USD 2.5 million.

Approval of the project by the GEF Agency was realized seven months later, on 14 May 2010, which is considered the official start of the project. The original closure date was set at 30 December 2013, but considering that 48 months were allocated for the implementation, the Project Steering Committee approved in February 2013 a 6-month, no-cost time extension, which shifted the completion date to 30 June 2014. An additional one-month extension was granted to 31 July 2014, to allow time for completion of the terminal evaluation.

One of the first project activities was a joint research cruise expedition, with ran from 10-27 May 2010. The data collected on this cruise, along with that gathered during a second expedition in 2011 were used in the development of the TDA. The 2-day inception workshop was held shortly after the first cruise on 13-14 July 2010. A timeline of the key project activities during the implementation period of 2010 to 2014 is presented below.

2010	**2011**	**2012**	**2013**	**2014**
✓Project inception	✓Biophysical Profile	✓SAP	✓Continue national demonstrations	✓Regional exchange visit 2
✓ATSEA Cruise 1	✓Socio-economic profile	✓NAP's	✓Consultations on SAP implementation arrangements	✓SAP endorsement by Ministerial Declaration
	✓ATSEA Cruise 2	✓Start national demonstration activities	✓Regional exchange visit 1	✓Terminal evaluation
	✓TDA	✓Consultations on regional cooperation mechanism		✓Project closure
		✓Mid-term review		

2.2. Problems that the Project Sought to Address

As outlined in the Project Document, The waters of the tropical and semi-enclosed Arafura and Timor Seas (ATS) are shared by Indonesia, Timor-Leste Papua New Guinea (PNG) and Australia. The Arafura and Timor Seas are considered to be semi enclosed seas under Part IX of the United Nations Convention on the Law of the Sea, which places an obligation on countries bordering enclosed and semi enclosed seas to cooperate in resource management, the protection of the marine environment and marine scientific research.

The ATS region is extremely rich in living and non-living marine resources, including major fisheries and oil and gas reserves. The ATS region is located at the intersection of the two major Large Marine Ecosystems (LMEs), the Indonesian Seas to the north and northern Australian waters to the south, and is also an integral part of the Coral Triangle zone considered to have the highest marine biodiversity in the world.

The ATS region exhibits high productivity that sustains both small- and large-scale fisheries, including several high-value, shared, transboundary fish stocks, that provide livelihoods for millions of people in the region, and make a significant contribution to food security for both regional coastal populations and large populations in the export market countries to the north of the region, including China.

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

- Exploitation of fisheries and other living coastal and marine resources/biodiversity
- Coastal and marine habitat destruction/modification
- Environmental change and impacts on ecosystem dynamics

The barriers to the priority concerns that were addressed by the project are three-fold:

1. Inadequate scientific knowledge and understanding of main threats to the ATS region at regional scales (TDA Component);
2. Weak institutional framework for regional governance and management of biodiversity values and threats (SAP component and regional cooperation mechanism); and
3. Opportunities to replicate and scale-up effective activities on a regional scale (local demonstration projects).

The threats facing the ATS region are transboundary in nature and, thus, best addressed through multi-lateral cooperation between all four littoral nations. The rationale for the GEF-funding was the need for the ATS countries to work cooperatively to sustain shared living resources, conserve marine and coastal biodiversity, and improve sustainable socio-economic conditions and opportunities for coastal peoples. It is also based on the need for international assistance and catalytic financing, recognizing the significant development challenges and resource limitations facing Timor Leste, which is classified as both a Least Developed Country (LDC) and a Small Island Developing State (SIDS), as well as those facing Indonesia and additionally PNG, which is also designated as a SIDS.

2.3. Immediate and Development Objectives of the Project

The three key habitats in the ATS region - coral reefs (coastal and offshore), mangrove forests and sea grass beds - support local, national and globally significant marine biodiversity and provide life support systems for millions of people among the coastal, indigenous and marginalized communities across Indonesia, Timor Leste, Papua New Guinea, and Australia.

The **project goal** was as follows:

Ecologically sustainable management and use of the living coastal and marine resources, including fisheries and biodiversity, of the Arafura-Timor Seas region, and improved, sustainable socio-economic conditions and opportunities for coastal peoples in the Arafura and Timor Seas region.

And, the **project objective** was:

To ensure the integrated, cooperative, sustainable, ecosystem-based management and use of the living coastal and marine resources, including fisheries and biodiversity, of the Arafura and Timor Seas, through the formulation, inter-governmental adoption and initial implementation of a Regional Strategic Action Programme (SAP).

2.4. Baseline Indicators Established

Baseline indicators established are listed below.

- Outdated and incomplete bio-physical and socioeconomic information on the ATS region;
- Inadequate understanding of the transboundary problems and their socioeconomic root causes and impacts;

- No agreed SAP nor harmonized NAPS for the ATS region had been developed, and to date, interventions were fragmented, site specific and largely uncoordinated;
- Limited demonstration interventions and low level of awareness of alternative or supplementary sustainable livelihood activities in coastal communities;
- Limited regional exchange of data, information and experiences;
- As an information expert forum, ATSEF had limited project implementation capacity;
- Reliance on external donors including GEF;
- ATSEF Secretariat was playing an interim role in coordination.

2.5. Main Stakeholders

There is a wide spectrum of project stakeholders, extending from international to the local level, and also spread across sectors, including fisheries, environmental protection, forestry, land use planning, rural development, and social services. The main stakeholders are listed below.

International:

The three main international stakeholders in the ATSEA project were the GEF as the main source of funding, UNDP as the Implementing Agency (IA), and the United Nations Office for Project Services (UNOPS) as the Lead Implementation Partner or Executing Agency (EA).

Some other international multi-lateral and bilateral agencies were also involved, to a lesser degree; including the Food and Agriculture Organization (FAO) in relation to international and national fisheries, the International Maritime Organization (IMO) in relation to the international regulation of shipping and pollution, United Nations Environment Programme (UNEP), and USAID.

Several international non-governmental organizations (including WWF, CI, TNC, and SFP) were involved in the project and contributed in-kind co-financing through their various activities in the Arafura and Timor Seas

Regional:

On a regional level, information was exchanged among the following multi-lateral programmes and projects:

- Coral Triangle Initiative (CTI): participating countries, donor agencies and NGOs
- GEF/UNDP/UNOPs Partnerships for the Environmental Management of the Seas of East Asia (PEMSEA)
- PEMSEA-supported Sustainable Development Strategy for the Seas of East Asia (SDS-SEA)
- UNEP Coordinating Body for the Seas of East Asia (COBSEA)
- Asia-Pacific Economic Cooperation (APEC)
- Association of South East Asian Nations (ASEAN)

National (Indonesia):

The lead agency for ATSEF, ATSEA and CTI activities in Indonesia is the Ministry of Maritime Affairs and Fisheries (MMAF), and their Agency for Marine and Fisheries Research (AMFR).

MMAF also comprises a Directorate General of Capture Fisheries, a Directorate General of Marine and Fisheries Surveillance, Directorate General of Small Islands, DG of Aquaculture. These Directorates were involved in some of the project activities.

The State Ministry of Environment (KMLH) is the GEF OFP, and whose environment policies and laws contain elements relating to coastal and marine environments, including for environmental impact assessment and climate.

Indonesia also has a National Agency for Planning and Development (BAPPENAS), which amongst other things is charged with coordinating all international development assistance and technical cooperation activities in the country, and which has a National Policy in Marine Affairs and Fisheries. BAPPENAS is therefore vital national stakeholder in ATSEA.

The Indonesian Institute of Sciences (Pusat Penelitian Oceanologi/Research Centre for Oceanography - Lembaga Ilmu Pengetahun Indonesia - P20/LIPI) undertakes research on fisheries, natural and social aspects of marine science, and they were an important stakeholder during the project.

A number of Universities based in Java and other parts of Indonesia with active marine science and technology research programs in ATS including IPB- Bogor Agricultural University, and regional universities including the Nusa Cendana University in Kupang (UNDANA) and Pattimura University in Ambon (UNPATTI) have been active stakeholders within the ATSEF framework.

At the local level (Province and District), some central Ministries maintain Technical Implementing Units and therefore act as a representative of the related Ministry in a certain Province and District. For example some of the DGs in MAFF have representatives in Kupang, Tual and Ambon in the ATS region.

The GEF-Small Grants Programme Indonesia, administered through the UNDP country office, was a key stakeholder, in helping to facilitate procurement and implementation of the demonstration activities. National and regional NGOs were also involved in supporting the demonstrations; including KIARA (The People's Coalition for Fisheries Justice, and BAILEO, a regional NGO based in the province of Maluku, with a strong track record in rural livelihoods and community strengthening.

Timor Leste

The lead agency for the project was the National Directorate of Fisheries and Aquaculture (NDFA) within the Ministry of Agriculture, Forestry and Fisheries (MAF) is also a major national government stakeholder in Timor Leste. It currently includes 4 divisions: fisheries resource management, fisheries inspection, fisheries industry and aquaculture with technical operation units in some districts. The General Directorate of Forestry also has responsibilities for catchment areas and mangroves, protected areas and national parks.

The National Directorate of Environment (NDE) within the Ministry of Economy and Development (MED), which is the GEF OFP, was also a key national level stakeholder.

Local NGOs include the Haburas Foundation based in Dili is active in environmental management in coastal communities especially in Lautem district, Roman Luan on Arturo Island which has established two community-based MPAs and an eco-lodge in association with the Australian Conservation Foundation.

Australia

The lead governmental agency in Australia for the ATSEA project has been the Department of Sustainability, Environment, Water, Population and Communities.

Another Australian Government Department that is very active in the ATSEA region is the Department of Agriculture, Fisheries and Forestry (DAFF), including initiatives in bilateral fisheries

management and surveillance arrangements with all three of the other ATS littoral nations, and the broader Regional Action Plan on IUU Fishing.

The Australian Agency for International Development (AusAID) is also a key player in the region, with a large proportion of AusAID‟s support being directed to the three other ATS littoral nations, including in the areas of sustainable development, enterprise development, environment and fisheries. AusAID is also the GEF Operational Focal Point (OFP) in Australia.

At the sub-national level, the Northern Territory Government has an active research programme with both Indonesia and Timor Leste and the Queensland Government is involved in cooperative management fisheries arrangements with PNG through the Torres Strait Treaty and Protected Zone.

At time when the project was developed, in 2006-2009, stakeholder involvement in Australia was primarily with the scientific community, including several ATSEF founding institutions, specifically the Australian National University, with a long established research activity across the entire ATS region and currently in alternative maritime livelihoods and ecotourism in NTT, Indonesia and Timor Leste; Charles Darwin University (CDU); the Australian Institute of Marine Science (AIMS), the Commonwealth Scientific and Industrial Research Organization (CSIRO). Participation by these stakeholders continued during the ATSEA project, particularly in the TDA phase.

Local

The coastal and Indigenous communities are the primary beneficiaries of the ATSEA project and were, therefore, a significant stakeholder group. Gender issues were also considered (e.g., women benefiting from supplementary livelihood activities), and special attention was directed toward vulnerable stakeholder groups with high dependence on ATS resources (e.g., Bajo fisher communities), including those who have been displaced from fishing activities in ATS region.

2.6. Expected Results

In the years preceding the ATSEA project, the ATS expert forum (ATSEF) facilitated constructive collaboration among the mostly the scientific community in the ATS countries and made significant contributions to better understanding the ecological status of the ATS resources and the factors leading to their degradation. The forum also highlighted the need for international assistance to catalyze a regional response to the transboundary issues through multi-later cooperation. Support from GEF has filled this gap, through the application of the TDA/SAP process which has been adopted by GEF as an ecosystem-based planning approach for transboundary, international water resource management.

The TDA/SAP process is a multi-country, long-term integrated planning approach that helps governments to prioritize issues, identify barriers, and to agree upon and implement both regional and national governance reforms (policy, legal, institutional) and investments aimed at addressing the root causes of ecosystem degradation. The expected results of the ATSEA project through implementation of the TDA/SAP process are listed below:

- An approved transboundary diagnostic analysis (TDA) which identifies the ATS transboundary priority environmental problems, environmental & socio-economic impacts, sectoral and root causes and governance analyses;
- A strategic action programme (SAP) and national action programmes (NAPs) agreed and adopted at the national (inter-ministerial) and regional (inter-governmental) level;

- Initial implementation of some SAP and NAP components, through targeted demonstration projects addressing high priority transboundary issues identified by the TDA, to demonstrate the capacity of the littoral nations to cooperate in implementing joint activities, as the foundation for full SAP implementation in a future phase / follow-up project;
- Further development and strengthening of the ATSEF as an effective regional mechanism for the cooperative eco-system-based management of the ATS region, through the implementation of the SAP and consideration of future models for regional engagement, to be agreed by the participating Governments; and
- Development of a regional self-financing mechanism (e.g., a multi-lateral trust fund or partnership council) to ensure the ongoing implementation of the SAP.

Through the GEF-funded intervention, the ATS countries were assisted to collaboratively understand and address the shared waters problems that cannot be solved by any one country on its own.

2.7. Budget Breakdown

The project implementation budget was USD 2.5 million (GEF grant), as shown below in **Exhibit 5** among the five components and project management**.**

Exhibit 5: Project budget breakdown

Component	*Prodoc Budget % of Total*
Component 1 Transboundary Diagnostic Analysis (TDA)	**USD 850,000** 34%
Component 2 SAP/NAP Development	**USD 450,000** 18%
Component 3 SAP/NAP Initial Implementation	**USD 620,000** 25%
Component 4 Regional Cooperation Mechanism	**USD 360,000** 14%
Component 5 Project Management	**USD 220,000** 9%
Total	**USD 2,500,000**

Source: Project document, 2010

3. FINDINGS

3.1. Project Design / Formulation

3.1.1. Analysis of Logical Results Framework

The project design followed the GEF-adopted TDA/SAP approach, with a series of mutually supporting outcomes, starting with the completion of the TDA, followed by development of the SAP and NAPs, initial implementation of the SAP through demonstration activities, and development of a framework for a regional cooperation mechanism. The complete logical results framework is presented in **Annex 5**. The process contains a strong advocacy dimension, promoting the recommended priority actions and regional coordination mechanisms among key governmental and other stakeholders.

There was only one adjustment made to the logical results framework; under Component 3 (Initial SAP Implementation), some members of the project steering committee thought there was insufficient baseline data available and insufficient implementation time to verify a 15% increase in livelihood income among the beneficiaries of the national level demonstration activities. The specific reference to the 15% increase was agreed to be removed, leaving a more qualitative target of simply increasing livelihood incomes.

Under the logical results framework, the demonstration activities would start once priority issues are agreed upon in the TDA process. The regional experts under ATSEF had already worked out the priority issues of concern earlier, so in effect, the demonstration activities could have started earlier, which might have allowed more time to gather feedback and interpret results, thus potentially providing more meaningful input to the design of the subsequent phase of the project.

Outcome C4.2 was designed to facilitate a self-financing strategy for the regional cooperation mechanism, with a target of having the participating countries, NGOs, and private sector contributing funds to the mechanism by project closure. Including such an outcome is understandable, as sustainability of transboundary cooperation bodies are typically at risk because of financing commitments and cost-sharing agreements. But, the achievability of the indicator target was low, particularly given the fact that the SAP was completed in 2013 and endorsed in May 2014, only two months prior to project closure.

3.1.2. Assumptions and Risks

A fairly modest risk analysis was included in the project document; consisting of a list of five risks, risk ratings, and an outline of risk mitigation measures that would be implemented. Risk management was briefly discussed in quarterly and annual reports. There was no evidence of a systematic risk management process, in which risks were evaluated, responsibilities assigned, and mitigation measures implemented and reported. For example, the most significant risk indicated in the project document was the following:

Significant competing development priorities, resource limitation, natural disasters, pollution and social political/security in TL, Indonesia and PNG

The indicated mitigation measure was the self-financing strategy for the regional cooperation body (Outcome C4.2). There was no critical risk included in the progress reports, addressing the challenges surrounding achieving this particular outcome.

3.1.3. Lessons from other Relevant Projects

Through the work facilitated through ATSEF, there were some baseline data available that provide a strong foundation for the TDA. For example, the Indonesian ATSEF National Action Plan included comprehensive and detailed including Volume 1: Portrait of Resources in the Arafura and Timor Seas; Vol 2: Status of Development in the Arafura and Timor Seas and Vol 3: ATSEF Indonesia Action Plan and Programme.

Indonesia had participated actively in other GEF-IW projects before the ATSEA project; including, the GEF/UNDP/IMO Partnerships for Environmental Management in the Seas of Eats Asia (PEMSEA), and the follow-up Sustainable Development Strategy for the Seas of East Asia (SDSSEA). Indonesia had also been actively engaged in bilateral coastal and marine resource management activities with its neighbours, including with Australia on seeking to address IUU fishing in a broader regional context. Under the Australia-Indonesia Ministerial Forum, the sustainability of transboundary stocks in the area is a subject of on-going discussion between MMAF and the

Australian Government including four sub working groups on IUU fishing, operations of traditional Indonesian fishing in the MOU box (under the *Memorandum of Understanding Between the Governments of Australia and the Government of the Republic of the Republic of Indonesia Regarding the Operations of Traditional Indonesian Fishermen in Areas of the Australian Exclusive Economic Zone and Continental Shelf)*, fisheries management and partnership and cooperation.

3.1.4. Planned Stakeholder Participation

Stakeholder participation during the TDA phase mostly involved the scientific community, more or less the members of the ATSEF. As the project progressed into the SAP/NAP development, there was a shift in focus, from scientific to a more policy-centered emphasis. Policy development was mostly arranged with national level stakeholders, with limited involvement by sub-national governmental administrations.

In general, stakeholder involvement was skewed a bit toward the fisheries sector, as this is the expertise of the main implementing partners and also of the project manager.

Attempts were made to engage the private sector, including commercial fishing, but there was insufficient time to develop collaborative connections with these national and regional actors.

3.1.5. Replication Approach

Component 3, Initial Implementation of SAP/NAP, was designed to strengthen the collaborative capacity among the ATS littoral nations, and also promote scaling up of the interventions during the subsequent full SAP implementation phase.

3.1.6. UNDP Comparative Advantage

The UNDP comparative advantage in the design of the Project was based on their extensive experience working throughout southeast Asia, and their favorable standing among national and regional stakeholders. Through UNDP's large portfolio of GEF-financed international waters projects, the agency has built up a considerable body of work and knowledge on facilitating collaborative transboundary protection and management of regional, shared water resources.

UNDP's global reach in advocacy for human development and poverty alleviation, and their experience working across sectors and with multiple stakeholders further contributes to their qualifications to supervise the project. This particular comparative advantage could have been capitalized on, e.g., through knowledge exchange from the agency's interventions on linkages between poverty alleviation and the environment, including deploying livelihood assessments or other socio-economic survey support to the work under the demonstration activities.

3.1.7. Linkages between Project and other Interventions

Linkages between the project and other interventions including the following:

PEMSEA. There were limited direct linkages with PEMSEA, but there was shared implementation of the mangrove crab demonstration project in Timor-Leste. Linkages with PEMSEA are an integral part of implementation of the ATSEA SAP implementation, specifically through collaborating on integrated coastal management (ICM), e.g., identifying pollution hot spots.

Coral Triangle Initiative (CTI). As the ATSEA region is adjacent to the Coral Triangle, there were complementary measures between the two initiatives and shares the same general objectives as the Regional Plan of Action (RPOA) of the CTI and CTI National Plans of Action for Indonesia and Timor-Leste. The CTI regional office facilitated some policy discussions during the ATSEA project implementation.

The ATSEA SAP also outlines the intended linkage with the Regional Plan of Action to Promote Responsible Fishing Practices including Combating IUU Fishing in the Region (**RPOA-IUU**). RPOA IUU Fishing (sub-region Arafura Sea). Linked with ATSEA SAP, particularly in Component 1 (reducing IUU fishing)

AUSAID project - Public Sector Linkage Programme, entitled "MoU Box - Vessel and Fisher Identification activity". This AUSAID intervention supported the development of catch recording scheme and identification of Indonesian traditional fisherman vessels operating in the MoU Box region (Australian jurisdiction).

Ghost nets Australia. Linkage with this intervention was established during implementation of the ATSEA project, and there were several trainings and workshops organized. Dealing with the problem of ghost nets was included in the SAP, through the aim of reducing marine debris.

USAID Marine Protected Areas Governance program (MPAG), Indonesia. Linkage with this intervention was established during the implementation phase of the ATSEA project. The MPAG intervention supported a three-week fisheries management training in the USA (University of Rhode Island) for ATSEA Project Manager, along with other governmental stakeholders involved with drafting the National Arafura Fisheries Management Plan.

The Strategies for Trawl Fisheries By-catch Management (**REBYC-II CTI**) is the second phase of the 2002-2008 FAO/UNEP/GEF global project "Reduction of Environmental Impact from Tropical Shrimp Trawling through the Introduction of By-catch Reduction. There was limited evidence of direct linkage with the ATSEA project, but the information from the REBYC interventions were used in developing the ATSEA biophysical profile and TDA.

3.1.8. Management Arrangements

The organization of the project is illustrated in the chart below in **Exhibit 6**.

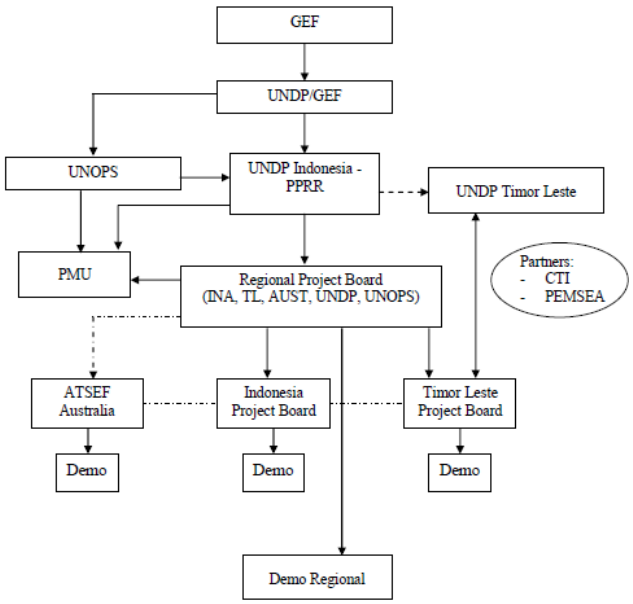


Exhibit 6: Project Organization Chart

The PMU was based in Jakarta, and housed in office space provided by the Agency for Marine and Fisheries Research (AMFR), which also hosts the Indonesian ATSEF representation. The project was included under the portfolio of the UNDP CO in Indonesia, while there was only limited participation by the UNDP CO in Timor-Leste. There was essentially one project board, and national level project boards did not materialize, but there were national inter-ministerial committees (NIMCs) operating in Indonesia and Timor-Leste, while the ATSEF member institutions made up the function in Australia. Australia played an important role in the demonstration activities, but there was not a local demo project implemented there as indicated in the chart.

3.2. Project Implementation

3.2.1. Adaptive Management

The project generally followed the TDA/SAP process outlined in the designed approach, and there were no significant adaptive management measures implemented. There was one change to the logical results framework; removing the indicator target of achieving a 15% increase in household income among the local beneficiaries involved in the alternative livelihood demonstration activities.

3.2.2. Partnership Arrangements

The project worked with several partners in the implementation of the project, including the GEF Small Grants Programme in Indonesia which supported the design, procurement, and supervision of the demonstration activities under Component 3. Several partnership arrangements were operationalized during the TDA phase, including with the LIPI Technical Unit of Marine Bio-Industry in Lombok, and with AIMS which provided a vessel for the ATSEA Cruise 2.

Partnerships with the international NGOs were an important feature of the project, as these organizations, including WWF, CI, SFP, and TNC contributed 50% of the total realized co-financing, through complementary initiatives in the ATS region.

3.2.3. Feedback from M&E Activities used for Adaptive Management

Feedback from M&E activities was mostly followed up through quarterly and annual work plans, progress reports, also quarterly and yearly (PIRs/APRs), and project steering committee meetings. The work plans provided a reasonable good overview of the planned activities for the subject time periods.

Progress reports, particularly the annual ones, were comprehensive and input from key implementation stakeholders was included. The project steering committee meetings were convened once per year, with detailed records of discussions and decisions made. Attendance seemed to be consistently good, i.e., by high level national focal points and other key stakeholders.

3.2.4. Project Finance

Co-Financing

The total amount of proposed co-financing was USD 6.71 million, which adjusted upward from the USD 6.25 USD indicated in the Project Document, after reconstructing some of the sums during the terminal evaluation mission. The pledged in-kind contribution from the Government of Indonesia was a bit more than USD 2 million, rather than the indicated USD 1.9 million. And, the in-kind contribution from WWF was stated at USD 0.1 million per year, or USD 0.4 million over the

4-year project; whereas, only USD 0.1 million was indicated in the co-financing table in the Project Document.

Within the time limitations of the TE mission, confirmation of co-financing was requested from each of the funding organizations. Based upon feedback received and a few assumptions, the total amount of co-financing realized was USD 7.68 million (see **Exhibit 7).**

Exhibit 7: Co-Financing Table

Co-Financing Source	Type	IA own Financing		Government		Other Sources		Total Co-Financing	
		Proposed	Actual	Proposed	Actual	Proposed	Actual	Proposed	Actual
Government of Indonesia									
MOMAF, AMFR (gov't baseline contribution)	Grant			0.446	0.446			0.45	0.45
Government of Timor Leste:									
Min. of Agriculture and Fisheries (gov't baseline contribution)	Grant			0.4	0.4			0.4	0.4
UNDP-Indonesia:									
TRAC	Grant	0.4	0.269					0.4	0.27
Sub-Total (Grant Co-Financing)		0.40	0.27	0.85	0.85			1.25	1.12
Government of Indonesia:									
MOMAF, AMFR office space and part-time staff	In-Kind			0.306	0.306			0.31	0.31
MOMAF, AMFR research on Arafura and Timor Seas	In-Kind			0.316	0.316			0.32	0.32
MOMAF, AMFR data and information to support TDA	In-Kind			0	0.5			0	0.5
MOMAF, DG Surveillance	In-Kind			0.145	0.05			0.15	0.05
LIPI, data from research stations	In-Kind			0.7	0.7			0.7	0.7
LIPI, information from COREMAP programme	In-Kind			0	0			0	0
LIPI, E-Win cruise (ATSEA Cruise I)	In-Kind			0.6	0.111			0.6	0.11
Sub-Total				**2.067**	**1.983**			**2.067**	**1.98**
Government of Australia:	**In-Kind**			1				1	
Project Support to ATSEA - TNC (Sawu Sea)	In-Kind				0.4				0.4
Project Support to ATSEA - CI (Timor Sea)	In-Kind				0.25				0.25
CDU - support socio-economic profile	In-Kind				0.03				0.03
CSIRO - participation in Ghostnets	In-Kind				0.05				0.05
Sub-Total:				**1**	**0.73**			**1**	**0.73**
UNDP Asia-Pacific Region (Bureau of Development Policy)	In-Kind	0.05	0					0.05	0
Non-Governmental Organizations									
WWF (complementary activities in Solor Alor)	In-Kind					0.4	0.4	0.4	0.4
SFP (complementary activities in Sunda Banda)	In-Kind					0.05	0.05	0.05	0.05
TNC (complementary activities in Lesser Sunda)	In-Kind					1.0	2.5	1	2.5
CI (complementary activities as part of Bird's Head Seascape)	In-Kind					0.9	0.9	0.9	0.9
Sub-Total						**2.35**	**3.85**	**2.35**	**3.85**
Sub-Total (In-Kind Co-Financing)		0.05	0	3.07	2.71	2.35	3.85	5.42	6.56
Total Co-Financing		**0.45**	**0.27**	**3.91**	**3.56**	**2.35**	**3.85**	**6.71**	**7.68**
Percent of Total:		**7%**	**4%**	**58%**	**46%**	**35%**	**50%**		

Notes:
Figures in USD million
Grant contributions from Governments of Indonesia and Timor-Leste confirmed during TE interviews.
Contributions from the UNDP BDP was not realized
In-kind contributions from Governments of Indonesia and Australia provided by PMU, upon personal communication with relevant stakeholders.
In-kind contribution from COREMAP (Indonesia) was indicated in prodoc, but without a monetary sum. No evidence of contribution to ATSEA project.
In-kind contributions from NGOs confirmed to TE evaluator via email, except for CI, which did not confirm.

Grant co-financing made up approx. 15% of the total, while the remaining 85% was from in-kind contributions. The actual in-kind contribution from the Government of Indonesia was only slightly lower than the proposed amount. The evaluator indicated co-financing from the COREMAP project to be zero, firstly because no monetary sum was indicated in the endorsement letter attached the Project Document, and also because there is no direct geographic overlap with the ATSEA project area, and also because there was no reference to COREMAP in the TDA or Biophysical Profile.

The in-kind co-financing from international NGOs was significant, totaling USD 3.85 million, or 50% of the total co-financing realized, as these organizations remain very active in the ATS region. The

contribution from TNC, at USD 2.5 million, was considerably higher than the USD 1 million indicated in their endorsement letter.

In-kind contributions from the Government of Australia totaled USD 0.73 million, lower than the USD 1 million proposed. But, the Government of Australia contributed an additional USD 1.105 million in leveraged resources (see **Exhibit 8**), including USD 0.95 million of in-kind financing by AIMS for the ATSEA Cruise 2.

Exhibit 8: Leveraged Resources

Source	Type	USD million
Government of Australia:		
Dept. of the Environment - TDA Development	Cash	0.060
Dept. of the Environment - Regional Demo Project	Cash	0.075
Dept. of the Environment - SAP workshop in Wollongong and for SAP consultant	Cash	0.020
AIMS - ATSEA Cruise 2	In-kind	0.950
Sub-Total, Government of Australia:		**1.105**
Government of Timor-Leste		
Support for Exchange Visit to Rote Island	Cash	0.011
Support for Study Tour to Central Java (mud crab rearing)	Cash	0.013
Sub-Total, Government of Timor-Leste		**0.023**
GEF - Small Grants Programme Indonesia		
Grant for supporting oversight of demonstration activities in Dobo, Indonesia	Cash	0.024
Grant for supporting proposal developmen for Saumlaki demonstration	Cash	0.0035
Sub-total, GEF SGP Indonesia		**0.028**
Total Leveraged Resources:		**1.156**

Note: Information obtained during TE interviews and desk review findings.

A total of USD 1.156 million was contributed in the form of leveraged resources, and in addition to inputs from the Government of Australia, the Government of Timor-Leste provided additional support for the exchange visit to Rote Island and the mangrove crab rearing study tour to Central Java, while the GEF Small Grants Programme in Indonesia provided grant support for support of the regional and local NGOs involved with implementing and overseeing the project demonstration activities.

The level of integration of co-financing contributions into the operation of the project was quite good, e.g., directly using research data in preparation of the TDA and Biophysical Profile, and providing research vessels for the expedition cruises.

Financial Expenditures and Control

Financial delivery rates were high, exceeding 90% in the years 2011, 2012, and 2013. Delivery was 53% in 2010, probably because the team under-estimated the time required to start up the project. Total actual expenditures match fairly well with the budget breakdown outlined in the Project Document (see **Exhibit 9**).

Exhibit 9: Actual Project Expenditures		
Item	***Prodoc Budget % of Total***	***Actual Expenditures (2010-2014) % of Total***
Component 1 Transboundary Diagnostic Analysis (TDA)	**USD 850,000** 34%	**USD 731,630** 29%
Component 2 SAP/NAP Development	**USD 450,000** 18%	**USD 438,674** 18%
Component 3 SAP/NAP Initial Implementation	**USD 620,000** 25%	**USD 701,700** 28%
Component 4 Regional Cooperation Mechanism	**USD 360,000** 14%	**USD 409,899** 16%
Component 5 Project Management	**USD 220,000** 9%	**USD 217,458** 9%
Total	**USD 2,500,000**	**USD 2,499,360**

Note: For 2014, annual budget assumed as actual expenditure

The costs expended under Component 1 (TDA) were approx. USD 120,000 less than the USD 850,000 estimated for this activity, while the actual costs of Component 3 (SAP/NAP Initial Implementation) and Component 4 (Regional Cooperation Mechanism) were approx. USD 81,000 and USD 50,000 less than budgeted amounts, respectively.

Consistent with the TDA/SAP process, most of the expenditures in the first phase of the project are spent on the preparation of the TDA, as shown below in **a** chart (**Exhibit 10**) illustrating the distribution of actual expenditures over time for each of the components.

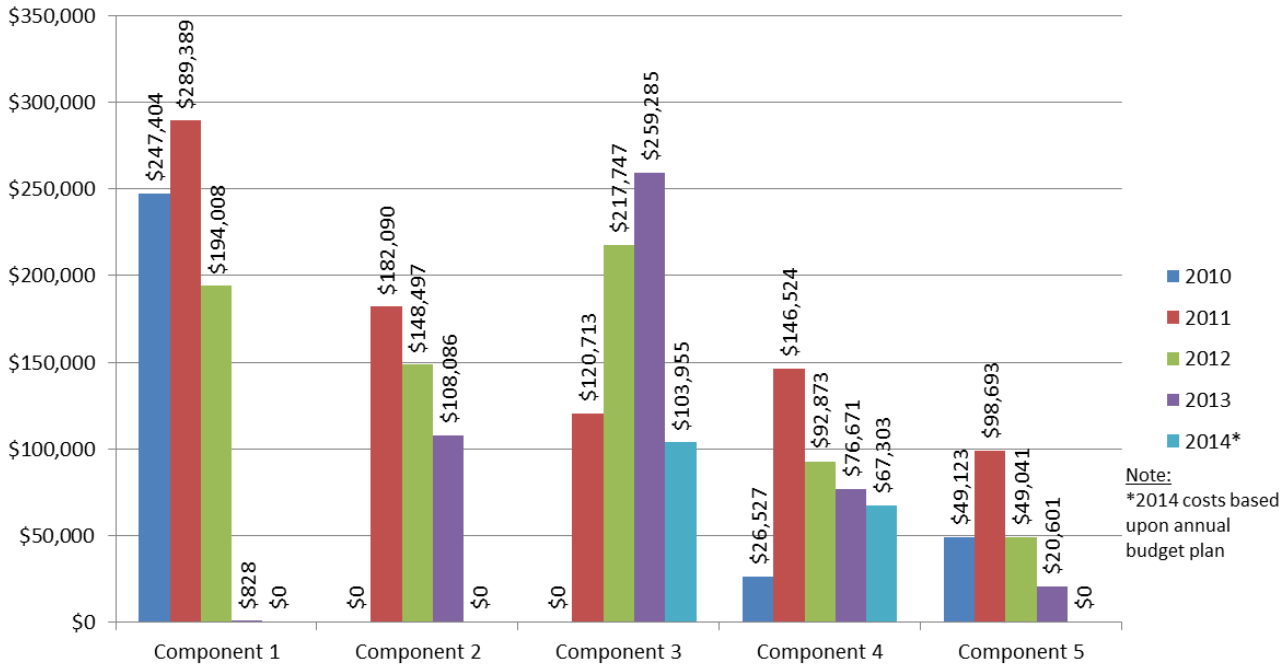


Exhibit 10: Breakdown of project expenditures by component and year (2010-2014)

Activities under Component 2 (SAP/NAPs Development) started in the second year, 2011, and continued through 2013. Similarly, the expenditures under Component 3 (SAP/NAP Initial Implementation) were first spent in 2011, after the priority issues were confirmed through the TDA process. Spending on the demonstration activities continued through the last year of implementation, 2014. Component 4 (Regional Cooperation Mechanism) had recorded expenditures in each of the years of project implementation. The cost of project management ranged from 15% and 12% of annual expenditures in 2010 and 2011 to 7% and 4.4% in 2012 and 2013, respectively. The budget allocation for project management in 2014 was zero, which is not a

true representation of actual expenditures, but rather an adjustment to keep the total project management cost at the 9% of total project cost. Based upon TE interviews, time/cost of the PMU staff were unevenly allocated to Component 5 (Project Management) during the first two years, rather than allocating more of their time to the other components, for which they were indeed contributing to. The slightly high proportion of project management also raises the question of whether the 9-10% threshold is reasonable for such a project, particularly in the early phases when there is a heavy focus on mobilization, procurement, etc.

Financial expenditure records were found in order and well managed. The only assets purchased directly by the project were computer and telecommunication equipment; the final transfer of these assets will need to be arranged prior to project closure.

Based upon the financial figures available, travel costs, defined as ATLAS line item 71600, totaled USD 807,330, which is approximately 32% of the total USD 2.5 million implementation budget. In the project document, an estimated sum of USD 317,000, 13% of the total budget, was allocated for travel. Actual travel costs more closely match the figures indicated in the annual work plans, which were approved by the Project Board during the course of the implementation phase.

Independent financial audits were not carried out, despite being included as a separate activity under the M&E plan, with a total of USD 9,000 allocated for three audits by externally hired auditors.

3.2.5. Monitoring & Evaluation

Monitoring & Evaluation design at entry is rated as: Satisfactory

The M&E plan was reasonably extensive, sufficient activities and funds were allocated. The total indicative cost for Project M&E was 129,000 USD[1], which is approx. 5% of the USD 2.5 million GEF grant. This cost level is within the generally acceptable range, typically 3-5% of total cost

Implementation of Monitoring & Evaluation Plan is rated as: Satisfactory

The M&E plan was more or less implemented as planned. Progress reporting was consistently delivered, and internal ratings made in annual progress reports were realistic and consistent with external evaluation results, including the mid-term review completed in 2012. The status at the time of the TE of the management responses to the mid-term review recommendations is summarized in the table below.

Mid-Term Review (MTR) Recommendation	Comments by TE Evaluator on Responses to MTR Recommendations
1. Develop and approve an indicator (or two) at the Project Objective level, so there is an agreed indicator/target of the overall success of the Project. Likewise, determine and agree upon an appropriate end-point for the project in terms of sustainability.	Objective level indicators were not agreed upon, and there was no evidence of an agreed end-point in terms of sustainability.
2. Ensure a strong focus for Project activities until the end of the project. The following are priorities: *Finalizing the Strategic Action Programme (SAP), with adequate consultation and adequate technical inputs, including the bringing of best international practices to ATSEA; and provides information on the likely costs, the timelines, and the M&E arrangements*	Endorsement of the SAP was realized before project closure, but no agreement has been reached among the ATS countries on financing the regional collaboration mechanism.

[1] The total M&E budget in the project document was indicated as USD 279,000; but by adding up the line items, the total is USD 129,000. The USD 279,000 figure seems to be a mistake.

Mid-Term Review (MTR) Recommendation	Comments by TE Evaluator on Responses to MTR Recommendations
Developing institutional arrangements for collaborative management of Arafura and Timor Seas (ATS) SAP after mid-2014; Accelerating the process to mobilize funds for core activities after 2014, including funds to cover operations of a Project Management Office (PMO) or Secretariat;	
3. Ensure there is a strong focus on the quality of the products and the process. The timing of the end-point for Outputs should be determined by the quality of the products and the process and not by the timelines in the Project document.	The project responded to this recommendation by implementing a review mechanism.
4. Working closely with UNDP Papua New Guinea (PNG), maintain the engagement of PNG stakeholders by (i) ensuring PNG government stakeholders are fully involved in Outcomes 2 and 4, and (ii) continuing development of the MSP.	The project made reasonable attempts to engage PNG.
5. Consider inviting the four co-financing NGOs to nominate one representative to represent all four on the Project Board. Submit any related recommendations to Project Board.	No response was implemented in response to this recommendation.
6. If resources permit, scope out options for engaging with the private sector. This could first be based on a review of how GEF IW projects across the region have engaged with the private sector.	The project made reasonable attempts to engage the private sector, e.g., commercial fishing, but there was insufficient time to form meaningful partnership arrangements.
7. PMO to provide substantive information to UNDP Indonesia on a more regular basis.	The project consistently submitted quarterly reports; the TE evaluator thinks the level of input was sufficient.
8. ensure the NAP in each country: • *is strongly driven by the SAP, and that clarification is provided for how each activity will contribute to the regional and multi-country objectives in the SAP – remembering that national objectives should already be covered by existing national action plans in the development, fisheries and natural resource management sectors;* • *provides details of the measures to be taken, e.g. of which laws are to be amended, which investments are to be made, which institutions are to be strengthened. If this cannot be done based on existing knowledge, the NAP should provide details of the full analysis to be taken. This is particularly true for the first three years NAP activities;* • *provides estimates of the costs and timelines;* • *distinguishes between national and local responsibilities and provides clarification of which agency is responsible for each activity (this is particularly important in Indonesia); and,* • *establishes clear, operational linkages between the NAP and existing national action plans, including national action plans under existing regional initiatives. For example, in Indonesia, the NAP should be operationally linked to the Indonesian action plans for fisheries, CTI, RPOA, etc. NAP activities that can be addressed more effectively through an existing national action plan or initiative should be identified. These activities will remain part of the NAP but may be implemented through a parallel initiative.*	There was little progress made in response to this recommendation.
9. Outcome 4 Consider undertaking a full assessment of: (i) the	An international consultant was hired to carry

Mid-Term Review (MTR) Recommendation	Comments by TE Evaluator on Responses to MTR Recommendations
requirements and likely functions of an ATS governance mechanism; (ii) existing related regional mechanisms and institutions; and (iii) ATSEF. Based on this assessment, the Options paper should be further developed. Next, undertake full consultations with each participating Government. Each Option should clarify the role and functioning of the SEG and ATSEF in the future, and clarify the relationship between the SEG and ATSEF.	evaluate options for an ATS governance mechanism.
10. Prepare a clear strategy of if/how the Project is to engage ATSEF, and details of any support that will be given to ATSEF through to the end of the Project.	Stakeholders seem to agree that the regional cooperation mechanism needs to evolve from the more scientific focused ATSEF to a more policy-driven governance body.
11. review the design of the demonstration projects and explore how they can be modified in order to more effectively contribute to creating the foundation for SAP implementation. To achieve this, the demonstration projects could: (i) generate additional knowledge or understanding of multi-country environmental issues; (ii) have a strong multi-country or regional nature, even though they may take place in only one country, and they may also generate national and local benefits; (iii) contribute to improved understanding of a multi-country root cause, a barrier or a driver, and of how local conditions link up to regional challenges, through impact pathways; and/or (iv) demonstrate how stakeholders in several countries can collaborate to address a multi-country issue or achieve a multi-country objective.	The regional demonstration project was successful in showcasing an effective case of collaborative management arrangements, in an indigenous community in Northern Australia. The local demonstration activities were not significantly modified.
12. Develop an appropriate indicator (or two) for Outcome 3	No indicators were developed for Outcome 3, after removing the target of increasing household income by 15%.

3.2.6. Implementing Agency (IA) and Implementing Partner (Executing Agency-EA) Execution

Overall IA-EA Execution: Satisfactory

Leveraging the extensive experience region and global experience in facilitating international water governance projects, and comparative advantages in managing multi-sectoral and multi-country projects, the UNDP and UNOPS effectively executed the successful performance of this project.

Inter-agency collaboration was largely constructive and remained centered on the project results. In the opinion of the evaluator, the high level of collaboration was largely due to the amenable and cooperative project management style of the PMU, which successfully navigated through the specific procedural and reporting requirements of both the IA and EA.

Quality of Implementing Agency (UNDP) Execution is rated as: Satisfactory

The UNDP CO (Indonesia) and GEF RTA were actively involved in the project, both in terms of supervision and also strategic guidance. The UNDP CO consistently monitored the progress of the project, facilitated assistance by national partners, e.g., through the involvement of the GEF Small Grants Programme of Indonesia in supporting the procurement, design, and supervision of the demonstration activities.

From a regional perspective, support and sharing lessons learned from complementary initiatives, e.g., through PEMSEA, was promoted by the UNDP GEF RTA and other staff within the UNDP regional office in Bangkok.

Reporting was practical and internal ratings were more or less consistent with results of external evaluations. The IA could have done a better job instructing the PMU on tracking co-financing contributions.

Quality of the Implementing Partner (UNOPS) Execution is rated as: Satisfactory

The quality of the project management services was one of the main strengths of the project. The PMU team was intact for the entire duration of the implementation phase, and the project manager was effective at guiding the implementation partners and facilitation support from key stakeholders.

With the extensive experience UNOPS has in project management, the evaluator feels that the agency should implement more formal project management tools, e.g., using the critical path methodology for work programming, in which mutually supportive activities are plotted and highlights those tasks that are "critical" in terms of achieving the targets on time. Such an approach might have highlighted earlier the lack of progress on Outcome C4.2 (self-financing mechanism for the regional coordination mechanism), and, in turn, oversee adjustments in either resource allocation and/or modifying the logical results framework.

Annual, external financial audits were not conducted, although included in the M&E plan. The evaluator has seen similar omissions on other UNDP-GEF projects, where such an audit clause is included in the standard M&E plan narrative, but then not implemented. For example, there were concerns raised about travel expenditures, but rather late, during the 2013 project steering committee meeting. Annual financial audits might have flagged this earlier.

3.3. Project Results

3.3.1. Overall Results (Attainment of Objective)

Attainment of the Project Objective is rated as: Satisfactory

Project Objective: To ensure the integrated, cooperative, sustainable, ecosystem-based management and use of the living coastal and marine resources, including fisheries and biodiversity, of the Arafura and Timor Seas, through the formulation, inter-governmental adoption and initial implementation of a Regional SAP and NAPs	**Attainment of Objective:**
	Satisfactory

The project has benefited from **highly satisfactory** county ownership, culminating with the endorsement of the developed SAP through ministerial declaration. Contributions from leading regional experts in completing the bio-physical profile, socio-economic profile, institutional framework study, and stakeholder analysis, the project was successful in completing a TDA which provides a systematic assessment of root causes ecosystem degradation, and through causal chain analyses, presents recommendations for priority actions. This is an important foundational step toward effective transboundary management of the ATS ecosystems.

The overall performance of the project is rated as **satisfactory**, as the key intended outcomes were reasonably achieved. There are a few concerns, e.g., while the environmental objectives stipulated in the SAP/NAPs are consistent with the TDA findings and reflect known and emerging transboundary concerns in the ATS region, some of the actions and targets developed in response

to these objectives seem to have been formulated with incomplete consultation among key stakeholders. The lack of focus on financing arrangements for the regional cooperation mechanism is also considered a shortcoming, as this is an important part of the sustainability of the transboundary collaborative framework moving forward. And, the results of the local demonstration projects fell short of expectations, as there was limited value added to guide full SAP implementation in the next phase of the ATSEA project.

Component 1: TDA

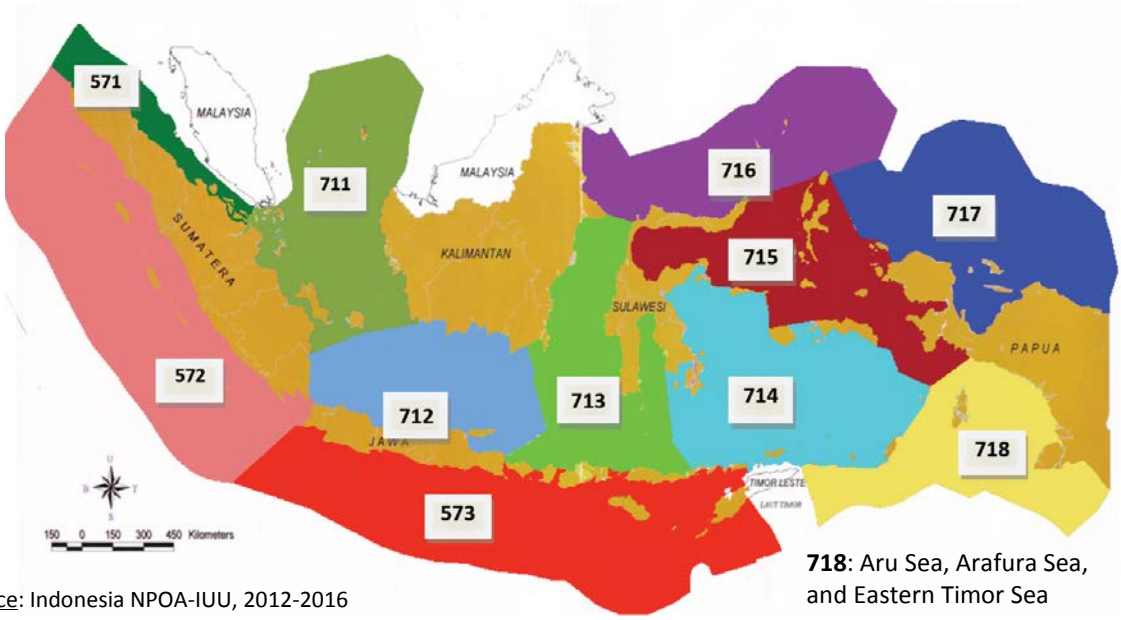
C1.1 Outcome: Approved TDA which identifies the ATS transboundary priority environmental problems, environmental & socioeconomic impacts, sectoral and root causes and governance analyses	**Achievement of Outcome C1.1:**
	Satisfactory

The transboundary diagnostic analysis (TDA) was completed in 2012 and endorsed by government officials of the following countries:

Australia:	Department of Sustainability, Environment, Water, Population and Communities
Indonesia:	Agency for Marine and Fisheries Research and Development
Papua New Guinea:	National Fisheries Authority
Timor-Leste	Ministry of Agriculture and Fisheries

The TDA was also endorsed by UNDP (the Asia-Pacific GEF-RTA) and UNOPS (International Waters Cluster).

The information compiled and collected through the TDA process and documented in the accompanying reports, including the Biophysical Profile, Socio-Economic Profile, and Institutional Framework and Governance Report, have made significant contributions to the overall knowledge of ATS ecosystems. Evidence of the information gathered through the TDA process being utilized by the recipient countries include the National Biodiversity Strategy and Action Plan (NBSAP) of Timor-Leste, completed in October 2011; the NBSAP of Indonesia; and the Fisheries Management Plan for Fisheries Area 718 Indonesia. Fisheries Area 718, one of 11 fisheries areas in Indonesia (see **Exhibit 11),** encompasses the Aru Sea, Arafura Sea, and Eastern Timor Sea, and this is the first ecosystem-based management plan prepared by the Ministry and completed in 2013.



Source: Indonesia NPOA-IUU, 2012-2016

718: Aru Sea, Arafura Sea, and Eastern Timor Sea

Exhibit 11: Fisheries management areas in Indonesia

The ATSEA project had direct influence in the decision to start with Fisheries Area 718, as there was extensive data available through the TDA, and the TDA/SAP process is ecosystem-based, so much of the foundational analysis was ready.

The TDA identified the following transboundary environmental concerns:

1. Unsustainable fisheries and decline and loss of living coastal and marine resources;
2. Decline and loss of biodiversity and key marine species;
3. Modification, degradation and loss of coastal and marine habitats;
4. Marine and land-based pollution; and
5. Impacts of climate change.

The causal chain analyses made as part of the TDA informed the recommended priority actions outlined in the SAP and NAPs for Indonesia and Timor-Leste.

Component 2: SAP/NAP Development

Outcome C2.1: SAP and NAPs agreed and adopted at the national (inter-ministerial) and regional (intergovernmental) levels	**Achievement of Outcome C2.1:**
	Satisfactory

The developed strategic action programme (SAP) includes five medium-term (10-year) environmental quality objectives:

1. Recovering and sustaining fisheries

Target 1.1: IUU fishing reduced in the ATS by 15-20 %

Target 1.2: Ecosystem Approach to Fisheries Management applied across the ATS

2. Restoring degraded habitats for sustainable provision of ecosystem services

Target 2.1: Enhanced management and protection of 20 % of marine and coastal habitats (including mangroves, coral reefs, and sea grass beds)

3. Reducing land-based and marine sources of pollution

Target 3.1: Reduction of the ecologically harmful impacts of nutrients in coastal waters from base year

Target 3.2: Reduction in the incidence and impacts of marine-based pollution from base year

4. Protecting key marine species

Target 4.1: Enhanced protection of 10-20% of important habitats for threatened and migratory marine species; 20% decrease in direct and indirect harvesting of threatened and migratory species

5. Adaptation to the impacts of climate change

Target 5.1 Increased understanding of climate change impacts and incorporation of that knowledge into management plans and strategies, including establishment of management plans for more than 60% of at-risk coastal villages

The SAP was developed using the results of the TDA and the associated studies on biophysical aspects and socio-economic conditions, and indeed, most of the SAP objectives are focused on science-based targets. Some of the targets, however, seem a bit arbitrary, while others require fairly in-depth baseline knowledge, which does not yet exist and/or would likely be rather expensive to obtain. For example, it is unclear how Target 1.1, calling for a 15-20% reduction in IUU fishing, will be measured. Using the indirect connection between IUU fishing and surveillance

information is a possible option. Reviewing available Indonesian surveillance data, for example, shows a considerable improvement over the past 10 years in the number of fishing vessels inspected compared to how many arrests were made. In 2005, arrests were made on approx. 33% of the 344 vessels inspected that year (see **Exhibit 12**).

YEAR	INSPECTED [units]	ARRESTED [units]		
		IFV	FFV	IFV + FFV
2005	344	91	24	115
2006	1.447	83	49	132
2007	2.207	95	88	183
2008	2.178	119	124	243
2009	3.961	78	125	203
2010	2.253	24	159	183
2011	3.348	30	76	106
2012	4.326	42	70	112
2013	3.871	24	44	68
2014*	300	5	7	12
JUMLAH	24.235	591	766	1.357



IFV: Indonesian Fishing Vessel
FFV: Foreign Fishing Vessel
*2014 only partial year

Exhibit 12: Fishing Vessel Inspection and Violation Records in Indonesia, 2005-2014[1]

The number of vessels inspected has steadily increased since that time, and in 2008, among the 2,178 vessels inspected, arrests were made on 243 of them, or approx. 11% of the total, whereas, the ratio of arrests to inspections was only 2% in 2013, when 3,871 vessels were inspected. Surveillance efforts seemed to have influenced a higher level of legal compliance, but how have these improvements in law enforcement impacted IUU fishing? Clearly, it is unlikely that the magnitude of IUU fishing has linearly decreased at the same rate as these compliance improvements, but quantifying actual IUU fishing is inherently difficult. Some efforts have been made to reconstruct IUU fishing baseline data for the ATS region[2], but the margin of error of such estimates is likely greater than the 15-20% reduction target. There is also a broader question of whether the 15-20% reduction is the most appropriate indicator for tackling IUU fishing. Would it be more reasonable to target one or more particular species that are at critical risk of decline, or would it be more appropriate to monitor one or more "indicator" species? For example, red snapper, which was the focus of a supply chain study[3] made by SFP for the ATSEA project.

Enhanced management and protection of 20% of marine and coastal habitats (including mangroves, coral reefs, and sea grass beds) is the aim of Target 2.1, in response to the objective of strengthening management of biodiversity. This 20% target is similar to the ultimate target under the CTI-RPOA[4], which was formulated consistent with the 2004 COP-7 meeting under the Convention on Biological Diversity. But, it is important to note that the CTI-RPOA ultimate goal is a long-term target. Although an interim (10-year) target was not defined in the 2009 CTI-RPOA, the issue raised here is the achievability of the target stipulated in the ATSEA SAP, which has a medium-term, 10-year horizon.

Another impression from the SAP targets is the relatively high information management demands. Within the recipient countries, there are several stakeholders with overlapping mandates, and

[1] OECD, Apr 2014, Fishing for Development: A Joint Session of the COFI, DAC, FAO, and WB on Policy Coherence for Development in Fisheries and Aquaculture. Indonesian Efforts in Combating IUU Fishing, by Ida Kusuma, Executive Secretary of the Directorate General of Surveillance for Marine and Fisheries Resources, MMAF.

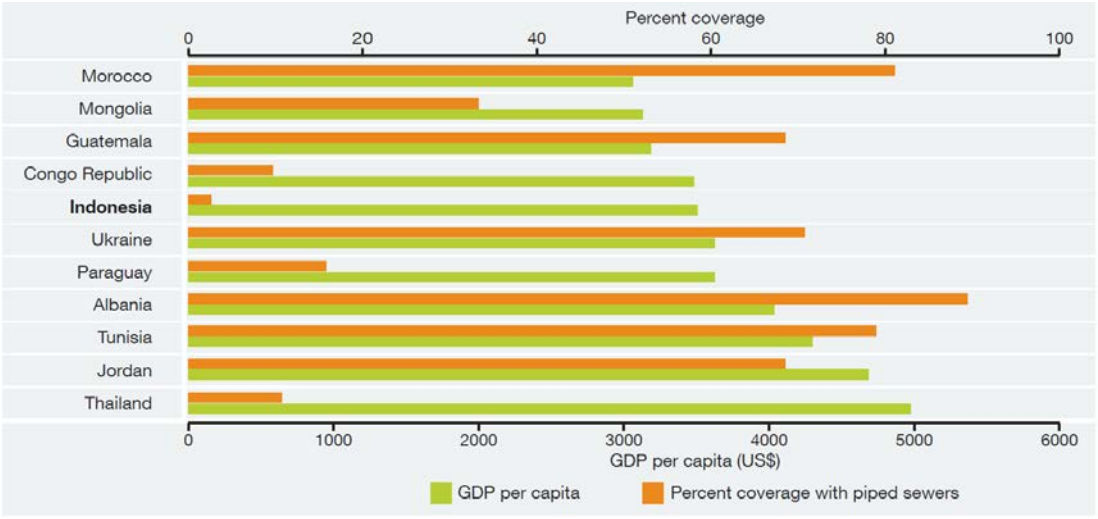
[2] G.A. Wagey, S. Nurhakim, V.P.H. Nikijuluw, Badrudin, T.J. Pitcher, 2009. A Study of Illegal, Unreported and Unregulated (IUU) Fishing in the Arafura Sea, Indonesia. MMAF and FAO.

[3] Supporting Sustainability of Snapper Fisheries in Arafura and Timor Sea Through Supply Chain, Sustainable Fisheries Partnership, August 2012.

[4] Coral Triangle Initiative, Regional Plan of Action, 15 May 2009.

collection and management of cross-sectoral data required to support the NAP/SAP will be a formidable task. Regional data management is even more challenging.

Target 3.1 is a response to the objective of reducing land-based pollution, and is focused on reduction of nutrients, particularly from point sources, including sanitary sewage discharge. The TDA does cover nutrients, but does not highlight nutrients as a higher threat than other land-based sources of pollution. There is no question that nutrients, including from sanitary sewage discharge, are disrupting the nutrient cycle in the ATS region, but there are also concerns about achievability of this target within the 10-year medium-term SAP timeframe. Reducing nitrogen (N) and phosphorus (P) from wastewater requires tertiary treatment, which continues to be a challenge in many developed countries due to the high costs involved. Considering the case of Indonesia, a recent WSP study concluded that only 2% of communities in the country have piped sewage connection (see **Exhibit 13**).



Source: UNICEF/ WHO JMP, 2012; World Bank, 2012

Exhibit 13: Indicative Piped Sewer Coverage in Countries with a Comparable GDP Per Capita (Indonesia)[1]

Moving from a situation of essentially no sewage connection to tertiary treatment does not seem to be realistic, particularly in light of other development priorities in the country and region. There is unconvincing evidence that nutrients should be the focus of the target on land-based pollution.

Target 3.2 is oriented toward reducing marine-based pollution, including from oil spills. Risks from the oil & gas sector are indeed a concern, as exploration and production continue to expand in the ATS region; in fact, revenue from this sector underpins the economy of Timor-Leste. Such risks were realized in 2009, with the Montara oil spill in the Timor Sea off the northern coast of Western Australia. Moving forward to the SAP implementation phase, there seem to be opportunities of expanding partnership arrangements in addressing this particular topic. For example, IMO and the IPIECA, the global oil and gas industry association for environmental and social issues, jointly launched a new Global Initiation (GI) program, based out of Singapore, aimed at improving oil spill preparedness and response capabilities in southeast Asia. The initiative plans to activities such as training, workshops and joint exercises in the field of oil spill preparedness and response, and also will support the objectives of the ASEAN Oil Spill Response Action Plan (ASEAN-OSRAP) being developed by the ASEAN members with the support of the IMO Integrated Technical Co-operation Programme (ITCP).

[1] Water and Sanitation Program (WSP), July 2013, Review of Community-Managed Decentralized Wastewater Treatment Systems in Indonesia (UNICEF/World Health Organization, Joint Monitoring Program for Water Supply and Sanitation, 2012. P*rogress on Drinking Water and Sanitation*. 2012 Update)

Target 5.1 was developed in response to the climate change adaptation objective and calls for the establishment of management plans for more than 60% of at-risk coastal villages. Based on experience on other projects[1], the terminal evaluator feels that establishing management plans is a weak indicator of reduced community vulnerability to climate change impacts. A more reasonable indicator might be a measure of district operational funding approved for community-based adaptation measures. Another concern with this indicator is the potential administrative burden. Based upon the ATSEA socio-economic profile, there are 1,726 villages in the three regions of Indonesia within the ATS ecosystem boundary. 60% of this number is still more than 1,000 villages, albeit not all of these are "at-risk". Anyway, one must question whether it is a sensible use of time and resources to develop and then update management plans for such a large number of villages. Working on the district level might provide a more practical sub-national platform, and influencing district level planning mechanisms might eventually reach a larger number of villages than working with individual communities.

The alternative livelihood interventions will likely be limited in scope, and whether livelihood assessments could be used to measure improved ecosystem resilience is debatable. In order to reduce pressures on marine and coastal resources, a combination of initiatives will likely need to be deployed, including collaborative management arrangements, which were showcased at an indigenous community in Northern Australia as one of the demonstration project.

The SAP/NAPs provide a framework for ecosystem-based management in the ATS region, and the management objectives are sound and consistent with national and regional priorities. However, the recommended actions and indicator targets designed in response to these objectives should be reviewed before proceeding with the subsequent implementation phase.

Component 3: SAP/NAP Initial Implementation

Outcome C3.1: Initial implementation of some SAP and NAP components, through targeted Demonstration Projects addressing high priority Transboundary issues identified by the TDA, to demonstrate the capacity of the littoral nations to cooperate in implementing joint activities, as the foundation for full SAP implementation in a future phase / follow-up Project.	**Achievement of Outcome C3.1:**
	Moderately Satisfactory

As outlined above in the description of Outcome C3.1, a series of demonstrations projects were carried out to strengthen the regional collaborative capacity among the three littoral countries, and also to provide information for subsequent full SAP implementation.

There were two local demonstrations in Indonesia, one in the village of Bomaki, where mangrove rehabilitation and mangrove crab rearing was supported, and one in Northern Aru, where seaweed farming and community fisheries activities were promoted. There were also two demonstrations in Timor-Leste, although they are listed as one in the summary presented in **Annex 4**, because the Government (MAF) led the implementation of both activities: mangrove crab rearing was demonstrated in the village of Ulmera, and fish processing was supported in the village of Beacou. A summary of the field visits made to the local demonstration projects as part of the TE is compiled in **Annex 3**.

A regional demonstration project was organized in the Northern Australia, where stakeholders from all three countries were invited to tour a community-based management intervention managed by indigenous people.

[1] For example: UNDP-GEF project "Strengthening the Capacity of Vulnerable Costal Communities to address the Risk of Climate Change and Extreme Weather Events in Thailand"(GEF ID 3229)

Also, under this outcome, an exchange visit was organized to Rote Island, where there were the participants got to observe natural resource management and utilization interventions implemented by local governments and facilitated by The Nature Conservancy. An additional study tour was organized to Central Java, Indonesia, as additional training for beneficiaries involved in mangrove crab rearing.

According to the information provided by the PMU, the direct costs of the demonstration projects was USD 335,205, which includes USD 236,528 contributed from the ATSEA project and USD 98,677 in co-financing from the Government of Australia (USD 75,325 for the regional demonstration in Northern Australia) and the Government of Timor-Leste (USD 23,352 for the exchange visit to Rote Island and the study tour to Central Java). The total amount of money spent on Component 3 was USD 701,700, which includes management and administration associated with procurement and supervision of the demonstrations, a supply chain study on red snapper made by SFP. This indicates that roughly only 33% of the money spent on Component 3 was expended for implementation of the demonstrations.

Local Demonstrations:

In Indonesia, the local demonstrations were implemented by regional NGOs. The GEF Small Grants Programme provided valuable assistance in procurement and supervision of the activities, and also contributed USD 27,500 in co-funding. Conversely, the demonstrations were implemented by the Government, specifically the MAF. Both implementation modalities had advantages and disadvantages, but overall the local demonstrations, in the opinion of the terminal evaluator, fell short of the objective of providing input for the full implementation of the SAP, and this outcome was hence rated as moderately satisfactory. This rating is supported by the following lines of evidence:

- Value chain analyses were not made for the local livelihood interventions, although this was indicated as an activity in the design (Project Document). At project closure, there are several questions remaining that might have been answered through value chain analysis. For example, was the selection of mangrove crab the best choice for the community of Bomaki, Indonesia, which has very limited market potential and no hatchery nearby?
- In the village of Ulmera, Timor-Leste, there is a separate project, funded by the USDA and implemented by ACDI/VOCA, which has sponsored a mangrove hatchery, the only one in Timor-Leste, and strengthened more than 20 producer groups in the vicinity of Ulmera. What added value did the ATSEA demonstration project provide, under this context? It might have been better to focus on potential regional value chains, including buyer markets in Australia.
- In Indonesia, there was limited involvement of sub-national administrations, although there are local government programs that might have been complementary and added to the sustainability and replication potential; for example, the Department of Forestry is running community-based mangrove rehabilitation initiatives.
- Training on financial management was not delivered to the beneficiary groups, although there are serious capacity gaps, particularly among the women groups involved in fish processing in Timor-Leste. In Indonesia, the MMAF have sponsored community-based surveillance programs for IUU fishing. It might be a good idea to discuss partnership arrangements with them for the next phase, and possibly exploring potential income-generating opportunities, e.g., through allocation of a proportion of fishing port revenue to community-based surveillance.

Some additional observations made during the local demonstration field visits:

- In both villages visited, one in Indonesia and one in Timor-Leste, the majority of the local people are earning their income from agricultural activities, and less than 25% from fishing and other coastal zone occupations. Linking sustainable land management, i.e., reduction in land-based impacts, with coastal zone management should be considered.
- Human-wildlife conflicts have been an issue in Ulmera, where monkeys are causing a lot of damage on the mangrove crab assets there. Also, attacks by saltwater crocodiles were indicated in a 2012 FAO report[1] as a leading cause of accidents at sea in Timor-Leste.
- Including some basic enabling infrastructure improvements along with the demonstrations would likely add to the sustainability of the livelihood interventions; including improved jetties, solar lights for access to work areas, mangrove nurseries and wells for irrigation, refrigerators for processed fish, etc.
- Advocating restricted access to explosives and poison agents might be a viable "soft measure" in combating illegal fishing. Such advocacy does not seem to be part of the IUU fishing action plan administered by the MMAF Directorate General of Surveillance in Indonesia.
- Invasive species are under-studied. For example, there are potential concerns with spreading disease from crab hatcheries to wild stocks, and algae inputs used in seaweed farming are often imported, posing potential risks to native biota.
- Food safety was highlighted as a concern in Timor-Leste, as a result of transboundary industrial pollution and unsafe fish preservation. Potential impacts by formaldehyde and mercury were noted.

Regional Demonstration:

In October 2013, the project organized a regional exchange visit, led by academic professionals the Charles Darwin University (CDU) who had participated in the socio-economic assessment and other aspects of the project, and who have extensive knowledge of the conditions within the rural communities throughout the ATS region. A total of 10 "champions" from selected villages in Indonesia and Timor-Leste traveled to Northern Australia and interacted with an indigenous community involved in collaborative natural resource management for a number of years. The northern Australian coastline is largely sparsely populated and indigenous populations have an important stake in much of the coastal ecosystems within the Australian ATS are.

The champions selected to be "champions" because they had some experience in community leadership roles (not now, though), they have knowledge and experience in fishing, and they have been involved in coastal zone community work.

Based upon interview discussions with participants and review of a preliminary report[2] on the lessons learned, the regional demonstration was a welcomed opportunity for community members for the three littoral nations to come together, discuss common concerns, and learn from each other's experiences. There was a clear distinction noted between resource equity rights of the Australian communities compared to those in Indonesia and Timor-Leste.

[1] Tsujimura, T.N., Alonso, E., Amaral, L. & Rodrigues, P. (2012). Safety at sea assessment in the Timor-Leste small-scale fisheries sector. Technical report . Bangkok: Regional Fisheries Livelihoods Programme for South and Southeast Asia (GCP/RAS/237/SPA) Field Project Document 2012/TIM/1

[2] Stacey, N. et al 2014. Knowledge Exchange as a Tool for Transboundary and Coastal Management of the Arafura and Timor Seas. Draft paper in preparation, CDU, Darwin

The study tour also increased awareness among the invited community members of the knowledge and management experience of the CDU professionals, government agencies, indigenous organizations, and NGOs).

Component 4: Regional Cooperation Mechanism

Outcome C4.1: Regional cooperation mechanism: Develop and strengthen ATSEF as an effective regional mechanism for the cooperative eco-system based management of the ATS region	**Achievement of Outcome C4.1:**
	Highly Satisfactory

Endorsement of the SAP through ministerial declaration, signed by ministers from Indonesia, Timor-Leste, and Australia is an impressive achievement. This high level commitment to collaborative, transboundary management of the ATS ecosystems significantly increases the likelihood that a regional cooperation mechanism will be sustained by the littoral nations, eventually without donor-support.

The Government of Indonesia has stepped forward and offered building space in Bali for a permanent ATSEA regional cooperation body, and the building is reportedly under construction and forecasted to be ready by the end of 2014. MMAF officials indicated that the building will be multi-functional, also housing an Oceans and Fisheries Information Center, and hosting APEC Fisheries and Food Security Working Group. The decision to accommodate the ATSEA regional cooperation body in the building in Bali was not extensively debated by representatives of the three littoral countries, and there is some evidence indicating that more of a consensus-based agreement would have been preferred. This was particularly highlighted in light of the financing uncertainties of the CTI Secretariat in the new dedicated building in Manado, Indonesia. Some stakeholders suggested that the ATSEA might be better placed in Kupang, Indonesia (although, travel connections to Kupang are not as good as to Bali), while others commented that it might be better to continue to use the rotational ATSEF function, at least until financing for the permanent secretariat is worked out.

Outcome C4.2: A regional self-financing mechanism, such as a multilateral trust fund or partnership council to ensure the implementation of the SAP	**Achievement of Outcome C4.2:**
	Moderately Unsatisfactory

Under Component 4, a great deal of emphasis was placed on achieving the signed ministerial declaration (Outcome C4.1), while there seems to have been less focus on establishing the envisioned regional self-financing mechanism under this outcome. In fact, this outcome was under-reported in the annual progress reviews (APRs) and project implementation reports (PIRs). As discussed under Section 3.1.1, such an outcome was probably an overly ambitious target, considering the relatively short time frame, with only 4 years, and less than 15% (USD 360,000) of the project budget was allocated for the entire Component 4. Based upon interview discussions with government officials, it was apparent that the countries were more willing to first agree in principle to the priority actions required to achieve effective regional management of ATS ecosystems, and tackle financing later. As the ministerial declaration was signed in May 2014, roughly a month before project closure, it was highly unlikely to achieve an agreement on a regional financing mechanism afterwards.

This is not to say there is a lack of financial commitment. For example, the fact that the countries are moving forward in endorsing co-financing contributions for the development of the next

phase of the ATSEA project is a good indication. And, providing building space in Bali for hosting a permanent regional cooperation body also demonstrates strong country support, in this case by the Government of Indonesia.

Achievement of this outcome is rated as moderately unsatisfactory, however, because the indicator targets were much more specific, calling for an agreed financing mechanism and contribution of funds by the end of the implementation phase from government, NGOs, and the private sector. It would have been prudent for the Project Board to have critically reviewed this outcome earlier, possibly even at the inception phase, and make adjustments that would have been more achieve-able within the time and resource constraints available.

Component 5: Project Coordination & Management

Outcome C5.1: ATSEA Project is effectively coordinated and managed, according to budget and workplan, and including M&E arrangements and procedures	**Achievement of Outcome C5.1:**
	Satisfactory

One of the main strengths of the project was the quality and efficiency of the project management unit. A qualified and dedicated team was assembled, and the unit remained in place for the entire 4 years of the implementation phase. The project manager is a renowned fisheries expert, with extensive connections throughout Indonesia and the region which were valuable in helping to facilitate cooperation among national and regional stakeholders.

3.3.2. Capacity Building

The project did not have any specific capacity building targets, but it was an important result of the process of facilitating regional collaboration during the implementation time period. Efforts made to strengthen both individual and institutional capacity are outlined in the following three levels:

1. Functional capacities, such as those relating to engagement with stakeholders, situation assessment and definition of a vision and mandate;
2. Policy formulation; and
3. Programme implementation and results monitoring.

The first two levels were broken down roughly among Components 1 and 2 of the project, i.e., TDA and NAP/SAP development respectively. The participants in Level 1 were mostly scientific and technical staff, while policy formulation capacity building activities under Level 2 were mostly attended by government officials, including the national inter-ministerial committees. Level 3 activities were mostly attended by project management and staff of implementation partners and sub-contractors. **Exhibit 14** contains a compilation of capacity building activities.

Exhibit 14: Capacity building activities

Activity (Training/Study Tour/Cruise, etc.)	Date	No. of Participants	Profile of Participants
Level 1: Functional Capacities (such as those relating to engagement with stakeholders, situation assessment and definition of a vision and mandate)			
ATSEA Cruise 1	May 2010	39	Scientists from three countries
FGD ATSEA Cruise	19-20 Aug 2010	45	Scientists from three countries
Post ATSEA Cruise & TDA Workshop	20-26 Sep 2010	38	Scientists from three countries
FGD Socio-Economic	8-9 Nov 2010	51	Scientists from three countries
Consultation Meeting on ProDoc Amendment	11 Nov 2010	6	Scientists from three countries

Exhibit 14: Capacity building activities			
Activity (Training/Study Tour/Cruise, etc.)	**Date**	**No. of Participants**	**Profile of Participants**
ATSEF Stakeholder Meeting	23-24 Nov 2010	52	Scientists from three countries
FGD Biophysical in Dili	26 Feb – 1 Mar 2011	20	Scientists from three countries
FGD Biophysical in Jakarta	2 Mar 2011	16	Scientists from three countries
Pre-meeting prior expert meeting in Dili	22 Mar 2011	7	Scientists from three countries
Expert Meeting to Develop ATS Profile, Causal Chain and Gov analysis	27-29 Mar 2011	34	Scientists from three countries
FGD ATSEA Activities in 2011 and SFP Proposal	27-28 Apr 2011	9	Scientists from three countries
Participate at IW Learn Workshop	23-27 Apr 2011	2	Technical staffs from AMFRAD
ATSEA Cruise 2	May 2011	14	Scientists from three countries
TL Stakeholder Engagement Workshop	6-11 Aug 2011	30	Government and NGO in Timor-Leste
Indonesia Stakeholder Engagement Workshop	22-23 Sep 2011	101	Government and NGO in Indonesia
TL Baseline & Training	March – April, 2012	10	Government of Timor-Leste official
Attending UNOPS Management Workshop	9-11 Jul 2012	1	Project Manager
Attending IWSC & IT Training	24-26 Sep 2012	25	Projects technical staff
Attending QMR Workshop – hosted by UNDP	30 May 2013	100	National Project Directors, Regional Project Manager and UNDP
IOPAC -Twinning	17-19 Jun 2013	35	Government of Indonesia and Timor-Leste, IW Projects,
IW:Learn Training	17-21 Jun 2013	15	Project's technical staff
Attending 2nd Targeted Workshop for GEF IW Projects in Asia and the Pacific	10-12 Mar 2014	25	IW project managers
Level 2: Policy Formulation			
NIMC Indonesia meeting	10 Jun 2011	15	Government of Indonesia Officials
Initial Drat SAP Consultation	10 May 2012	9	PMO and resource persons
SAP Consultation Meeting in Indonesia	23-24 May 2012	70	Government of Indonesia Officials, NGOs, International Consultant, Resource persons
SAP-NAP-Demo project TL Consultation Meeting	4-7 Jun 2012	20	PMO, Government of Timor-Leste officials
NAP Pre Meeting	28-29 Jun 2012	4	PMO
NAP Indonesia Consultation Meeting	14 Aug 2012	15	Government of Indonesia Officials, NGOs, International Consultant, Resource persons
SAP Regional Consultation Meeting	30 Aug 2012	35	Government of three countries officials, Resource persons from universities
NAP Indonesia Working Group Meeting	19 Sep 2012	60	Government of Indonesia Officials
Write-shop SAP	8-11 Oct 2012	14	Government of three countries officials, international consultants
SAP Inter-Ministerial Consultation Meeting in Indonesia	18 Oct 2013	25	Government of Indonesia Officials, Resource persons
Consultation Meeting with Indonesian government for drafting the Ministerial Declaration	19 Dec 2013	15	Government of Indonesia Officials
Consultation Meeting with Indonesian government for drafting the Ministerial Declaration	13 Jan 2014	15	Government of Indonesia Officials
Declaration Consultation Meeting with Legal Bureau MMAF	24 Jan 2014	25	Government of Indonesia Officials
Ministerial Meeting for SAP Endorsement	15 May 2014	Approx. 100	Governments from CT-6, NGOs, IGOs
Level 3: Programme Implementation and Results Monitoring			
Project Board Meeting	16-17 Feb 2011	28	Project Board Member
QMR Meeting	11-12 Apr 2011	7	PMO and UNDP
Annual Report Development workshop	16-19 Jul 2011	17	PMO, UNDP and Government of Indonesia and Timor-Leste
QMR 2 meeting in conjunction with	4-5 Aug 2011	7	PMO and UNDP

Exhibit 14: Capacity building activities			
Activity (Training/Study Tour/Cruise, etc.)	**Date**	**No. of Participants**	**Profile of Participants**
Government Analysis Consultation Meeting			
QMR 3 meeting & consultation with UNOPS	4-5 Oct 2011	11	PMO, UNDP and UNOPS
FGD on administration and finance	31 Oct – 1 Nov 2011	5	PMO
QMR 4-2011 Meeting	5-6 Jan 2012	15	PMO, UNDP and resource person
FGD on ATSEA Quarter-1 2012 Activities Planning	19-20 Jan 2012	11	PMO, resource person from university and Government of Indonesia
PBM-2	2-3 Mar 2012	20	Project Board Member
QMR-1 2012 Meeting	4-5 Apr 2012	6	PMO and UNDP
FGD To Review AWP 2012 & Planning AWP 2013	28-30 May 2012	6	PMO and UNDP
Mid-term review	30 Aug 2012	39	PMO, Project Board Members, NGOs, Consultants
APR-PIR Development, Back to back with QMR Meeting and Regional Demo Project	28-31 Jul 2012	6	PMO and UNDP
QMR-3 2012 Meeting	29-31 Oct 2012	10	PMO and UNDP and resource person
Attending Management Response to MTE Recommendation Meeting	13-14 Nov 2012	8	PMO, AMFRAD and UNDP
Money Nat Demo Project	16 Jan 2013	10	PMO, UNDP, NGO, MAF TL
QMR4 2012 Meeting	17 Jan 2013	6	PMO and UNDP
PBM-3 & SEG Meeting	21-22 Feb 2013	30	Project Board Members and NGos
QMR-1 2013	12 Apr 2013	6	PMO and UNDP
APR-PIR and QMR-2 Meeting	15-16 Jul 2013	6	PMO and UNDP
Exchange Visit (Regional Demo Project)	7-13 Oct 2013	15	PMO and champions from 2 countries, CDU, NAILSMA, local communities
QMR-3 Meeting	24-25 Oct 2013	6	PMO and UNDP
FGD on Admin & Finance Meeting	28-29 Nov 2013	4	PMO
QMR-4 2013	Jan 2014	4	PMO
Internal Skype Meeting	4 Feb 2014	6	PMO and UNOPS
Virtual PBM-4	20 Feb 2014	12	Project Board Members
M&E TL Demo Project	17-20 Mar 2014	7	PMO and Timorese Demo project team
Mangrove crab Rearing Training	23-27 Mar 2014	9	PMO and Timorese Demo project team
QMR-1 2014	Apr 2014	4	PMO
2nd Exchange Visit	Apr 2014	13	PMO, TNC and champions from 2 countries
Final PBM	13 May 2014	20	Project Board Members
Preparation for Terminal Evaluation	16-17 Jun 2014	4	PMO
Project Closure Workshop	23-25 Jun 2014	15	PMO, AMFRAD and UNDP
Terminal Evaluation	July 2014	50	PMO, GEF RTA, UNOPS, Project Board Members, NGOs, Consultants, Demo project beneficiaries

3.3.3. Knowledge Management

With a heavily scientific focus during preparation of the TDA, the project did a good job disseminating information and interpretation of specific findings. Impressively, there have been four international peer-reviewed scientific articles published, as well as one regional and one national peer-reviewed paper written. Also, a study of IUU fishing in Indonesia was published by the MMAF and provides valuable information for not only demonstrating the magnitude and resultant economic losses associated with IUU fishing, but also provides an approximation of baseline information. The data collected from the two project-led research cruises are documented, and the TDA report provides a compilation of a wide-range of biophysical and socio-economic information. A complete set of publications produced from the outputs of the project are listed below in **Exhibit 15**.

Exhibit 15: Project publications				
Publication Title	**Date**	**Authors**	**Publisher**	**Distribution**
A Study of Illegal, Unreported and Unregulated (IUU) Fishing in the Arafura Sea, Indonesia	May 2009	G.A. Wagey, S. Nurhakim, V.P.H. Nikijuluw, Badrudin, T.J. Pitcher	MMAF and FAO	International (printed and online)
Karakteristik Oseanografi Fisik Perairan Selatan Kepulauan Leti Moa Lakor (Lemola)-Tanimbar	Dec 2010	Muhammad Ramdhan, Simon Tubalawony	Journal Segara	National; Peer-reviewed journal
ATSEA Cruise No. 1 Report	Jun 2011	ATSEA	ATSEA	Printed and online
Tidal Regimes of Arafura and Timor Sea	Jul 2011	Dr. Widodo Pranowo, Dr. Sugiarta Wirasantosa	Marine Research Institute, LIPI Press	Regional; Peer-reviewed journal
ATSEA Cruise No. 2 Report	Aug 2011	ATSEA	ATSEA	Printed and online
ATSEA Thematic Reports on the Arafura and Timor Seas Region	Oct 2011	Dr. Subhat Nurhakim, Dr. Luky Adrianto, Dr. Sugiarta Wirasantosa, Duto Nugroho, Constancio dos Santos Silva	ATSEA	Printed and online
Governance Analysis of the Arafura and Timor Seas	Oct 2011	Dr. Melda Kamil	ATSEA	CD (electronic file)
Stakeholder Report of the Arafura and Timor Seas	Nov 2011	ATSEA	ATSEA	CD (electronic file)
Masyarakat Pesisir di Kabupaten Maluku Tenggara Barat (potret aspek sosio-budaya dan ekonomi), Suatu Implementasi Awal Pilot Project pada ATS region	Dec 2011	Prof. Dr. Hermien L. Soselisa	ATSEA	CD (electronic file)
Catalog Map of ATSEA, Thematic Map of Coastal Ecosystem in the Arafura and Timor Seas	Dec 2011	ATSEA	ATSEA	Printed and online
Socio-Economic Baseline Study at East Nusa Tenggara, Papua (Indonesia), ad Timor-Leste	Feb 2012	PT. Plarenco	ATSEA	CD (electronic file)
Biophysical Profile of the Arafura and Timor Seas	Feb 2012	Dr. Dan Alongi	ATSEA	Printed and online
Socio-Economic Profile of the Arafura Timor Seas	Feb 2012	Dr. Natasha Stacey	ATSEA	Printed and online
Transboundary Diagnostic Analysis for the Arafura and Timor Seas	Mar 2012	ATSEA	ATSEA	Printed and online
Potret Sumberdaya Kawasan Laut Arafura dan Laut Timor	Apr 2012	ATSEF	ATSEA	Printed and online
Potret Pembangunan Kawasan Laut Arafura dan Laut Timor	Apr 2012	ATSEF	ATSEA	Printed and online
Rencana Aksi 2006-2015 dan Pengembangan Program Peningkatan Kapasitas ATSEF Indonesia	Apr 2012	ATSEF	ATSEA	Printed and online
Baseline *Studi Kondisi Terumbu Karang, Lamun dan* Mangrove *di perairan utara sebelah timur* (Lautem s.d. Com) Timor-Leste	Jun 2012	Femi Hukom	ATSEA	CD (electronic file)
Upwelling-downwelling Dynamics of Arafura and Timor Seas	Aug 2012	Dr. Widodo Pranowo	Widyariset, LIPI Press	Published journal
Supporting Sustainability of Snapper Fisheries in Arafura and Timor Sea Through Supply Chain	Aug 2012	Sustainable Fisheries Partnership	ATSEA	CD (electronic file)
10 tahun ATSEF - Menjaga Laut Arafura & Laut Timor	Dec 2012	Budiman	ATSEA	Printed
Enhanced benthic response to upwelling of the Indonesian through flow onto the southern shelf of Timor-Leste, Timor Sea	Dec 2012	Daniel M. Alongi, Richard Brinkman, Lindsay A. Trott, Fernando da Silva, Francisco Pereira, and Tonny Wagey	Journal Of Geophysical Research: Biogeosciences, VOL. 118, 1–13 (2013)	International; Peer-reviewed journal
Early diagenetic processes in relation to river	2012	Alongi, D.M., S.	Marine Chemistry	International;

Exhibit 15: Project publications				
Publication Title	**Date**	**Authors**	**Publisher**	**Distribution**
discharge and coastal upwelling in the Aru Sea, Indonesia		Wirasantosa, T. Wagey and L.A. Trott	(140-141): 10-23	Peer-reviewed journal
Lessons learned from investing in Marine and Coastal Management Initiatives in the East of Asia Seas	2013	Tengberg, A., and A.S. Cabanban	Marine Policy (38): 355-364	International; Peer-reviewed journal
Strategic Action Programme for the Arafura and Timor Seas	Mar 2013	ATSEA	ATSEA	CD (electronic file)
National Action Programme Timor-Leste, for the Arafura and Timor Seas Region	Mar 2012	ATSEA	ATSEA	CD (electronic file)
National Action Programme Indonesia, for the Arafura and Timor Seas Region	Nov 2013	ATSEA	ATSEA	CD (electronic file)
A Value Chain Analysis of ghost nets in the Arafura Sea: Identifying trans-boundary stakeholders, intervention points and livelihood trade-offs	Mar 2013	J.R.A. Butler, R. Gunn, H.L. Berry, G.A. Wagey, B.D. Hardesty, and C. Wilcox	Journal of Environmental Management 123 (2013) 14-25	International; Peer-reviewed journal
Karbon Biru: Sebuah terobosan baru untuk mengurangi dampak perubahan iklim melalui konservasi dan pelestarian ekosistem pesisir di kawasan Coral Triangle	Nov 2013	Author: Anissa Lawrence. Translated by: Tonny Wagey, Subhat Nurhakim, Andreas Hutahaean	WWF Indonesia	Printed and online
Knowledge Exchange as a Tool for Transboundary and Coastal Management of the Arafura and Timor Seas	2014	Stacey, N. et al	Draft paper in preparation	CDU, Darwin, Australia

Information regarding the project was also shared during the numerous conferences and workshops organized and/or attended by the project; see **Exhibit 16** below.

Exhibit 16: Conferences/Workshops organized or attended by the project		
Conference/Workshop Title	**Date**	**No. of Participants**
Inception Workshop	13-14 Jul 2010	170
Participate at SEAFDEC workshop	12-17 Jun 2011	30
First visit to PNG for development of PNG MSP (PNG engagement in ATSEA)	13-20 Jun 2011	5
2nd Cruise Technical Meeting	22 Jun 2011	10
Launching Ceremony of Cruise 2	30 Jun 2011	20
ATSEA session at AMSA	3-7 Jul 2011	10
Participate at the second workshop of the International Blue Carbon Scientific Working Group – hosted by Conservation International	25-29 Jul 2011	40
Attending UNDP Training on Gender Mainstreaming	28-30 Jul 2011	3
Government Analysis Consultation Meeting	4-5 Aug 2011	11
Audio-visual Consultation meeting	18-19 Aug 2011	12
Mission to PNG	1-5 Sep 2011	1
Project Technical Implementation Meeting	8-9 Sep 2011	14
ATSEF Steering Committee & NIMC	12-16 Sep 2011	27
ATSEA Session at ISOI	25-27 Sep 2011	38
TDA Technical Meeting	6-7 Oct 2011	35
Participate on CTI conference	9-11 Oct 2011	70
Attending IW Conference 6	14-21 Oct 2011	3
Demo Site Criteria Development Workshop	10-11 Nov 2011	30
NIMC Indonesia Meeting	28-30 Nov 2011	23
NIMC TL Meeting	4-6 Dec 2011	32
Attending Census of Marine Life Workshop – hosted by LIPI	25-26 Jan 2012	100
RSC Meeting to finalize draft of TDA report	6-7 Feb 2012	19
Demo Project Workshop	19-20 Apr 2012	26
FGD Marine Debris in ATS	23-24 Apr 2012	25
SAP-NAP-Demo project TL Consultation Meeting	4-7 Jun 2012	35
Indonesia Selection Committee Meeting to Review Proposal	12 Jun 2012	10
Attend PEMSEA Meeting	8-13 Jul 2012 2012	300
2nd Indonesia Selection Committee Meeting	18 Sep 2012	7
FGD on Development of ATSEA-AWP 2013, re-adjust road map of activities and delivery for	1-2 Oct 2012	6

Exhibit 16: Conferences/Workshops organized or attended by the project		
Conference/Workshop Title	**Date**	**No. of Participants**
Sep-Dec 2012		
Participate at ISOI	15-17 Oct 2012	200
Attending CPAP Meeting – hosted by UNDP and Bappenas	19 Nov 2012	40
Ghost nets workshop	Nov 2012	30
Inception Meeting Regional Demo Project	14-15 Jan 2013	28
Regional Demo Project Consultation Meeting in Indonesia	20 Feb 2013	7
Regional Demo Project Consultation Meeting in Timor-Leste	25-28 Feb 2013	5
Ghost net Workshop & Monitoring Demo Project	2-3 May 2013	30
4th Ghost nets Workshop	1-2 Jul 2013	30
Attending LME Conference	10-11 Jul 2013	60
Attending CTI-CFF	20-22 Aug 2013	100
Mission to Rote for preparing ATSEA Regional Demonstration Project Implementation	5-9 Sep 2013	10
5th Ghost net Workshop	21-23 Oct 2013	30
1st PSLP workshop	8 Nov 2013	100
Mission to Dili for preparing ATSEA Regional Demonstration Project Implementation	20-23 Nov 2013	7
FAO IS LME Meeting	9-12 Dec 2013	15
Participation at Blue Carbon Seminar	10-11 Dec 2013	70
Attending RPOA-IUU Fishing Workshop	8 Apr 2014	30
2nd PSLP Workshop	Apr 2014	60

Another knowledge management mechanism deployed by the project was media publicity, including a documentary film produced about the project and posted on the IW:Learn website. The project did a good job maintaining a dedicated website during the implementation phase (www.atsea-program.org), and this site will reportedly continue to be supported during development of the next phase of the project. There is reference of the project on the websites of the implementation partners, including the MMAF in Indonesia, the MAF in Timor-Leste, and the Ministry of Environment of Australia, but updated information or links to the project site were not observed, and awareness among some of the other governmental sector agencies seemed relatively low, based upon interview findings during the TE mission.

There were a few local and national newspaper write-ups about the project, and there was a press release broadly distributed in May 2014, announcing the signing of the ministerial declaration. A list of the key media publicity activities is compiled below in **Exhibit 17**.

Exhibit 17: Project publicity			
Media	**Subject**	**Date**	**Coverage**
Documentary film	ATSEA video	Apr 2013	International, IW Conference
Internet	ATSEA www.atsea-program.org	Since 2010	International
Internet	Global Environment Facility (GEF) www.thegef.org	Since 2007	International
Internet	IW:LEARN www.iwlearn.net	Since 2010	International
Internet	*Workshop Pengelolaan Sumber daya Pesisir Digelar www.sinalimanews.com*	May 2013	Local, national
Newspaper	*Ribuan Ghost Nets terdampar di Pantai Australia*	2 Jul 2013	Local
Newspaper	*Jaring bekas dapat merusak ekosistem*	2 Jul 2013	Local
Newspaper	Indonesian in R.I. to help develop their own fisheries management plan	20 Sep2013	National
Newspaper	*Nelayan dapat kartu khusus*	9 Nov2013	Local
Newspaper	*Kementerian Perikanan Timor Leste Gelar Studi Banding*	25 Mar 2014	Local
Newspaper	*Utusan Timor Leste Belajar Budi Daya Kepiting*	25 Mar 2014	Local
Press Release (Internet, TV, newspaper)	SAP Ministerial Declaration: Indonesia, Timor-Leste and Australia commit to protect and manage a globally significant ocean region	15 May 2014	International, national, local

3.3.4. Relevance

Relevance is rated as: Relevant

The project is **relevant** across a wide range of criteria. With respect to national development strategic plans, the project objective is in line with the priorities of the Indonesian medium-term development plan (2010-2014) for the marine and fisheries sector. Priority 1 under this development plan is Bureaucratic Reform and Governance, specifically aiming to strengthen governance and efficiency of government structures both at the central and sub-national levels. A key component of the ecosystem-based approach of transboundary water resource management advocated through the GEF-adopted TDA/SAP process is effective inter-ministerial collaboration, which is something that certainly complements the national priority of improved governance. The Government of Indonesia is also embracing ecosystem-based fisheries management, and the first management plan developed among the 11 fisheries areas in the country was for the Arafura Sea.

Other priorities under the Indonesian medium-term development plan include Poverty Reduction, through improving community empowerment and expansion of economic opportunities for low-income communities, and Food Security, which aims to revitalize the agriculture sector while ensuring sustainable use of natural resources. These priorities are closely aligned with the project design as well, for example, demonstrating how alternative livelihood opportunities for coastal communities that are built around sustainable use of available resources can help contribute both toward food security concerns and combat unsustainable practices such as IUU fishing.

The priorities of the Timor-Leste Strategic Development Plan for 2011-2030 include improving national food security, reducing rural poverty, supporting the transition from subsistence farming to commercial farming of crops, livestock and fisheries, and promoting environmental sustainability and the conservation of the country's natural resources. These aims are directly aligned with the project objective, and the recently approved national strategy on aquaculture was developed partly based upon lessons learned from the demonstration projects supported by the project, i.e., linking alternative livelihoods of coastal communities with biodiversity conservation and sustainable use of marine and coastal resources.

The project is also relevant with respect to the two strategic objectives of the GEF International Waters focal area. The achievement of the ATSEA SAP approval through ministerial declaration among three countries fulfills the objective of IW Strategic Objective 1: "*To foster international, multi-state cooperation on priority water concerns*". The environmental objectives of the ATSEA SAP include reducing over-exploitation of fish stocks and land-based coastal pollution, both of which are among the expected impacts of IW Strategic Objective 2: "*To catalyze transboundary action addressing water concerns*".

The project was developed and funded under the GEF-4 programme cycle, and two of the four strategic programmes under the GEF-4 International Waters (IW) Strategy are closely aligned with the project design and results. The environmental quality objectives stipulated under the ATSEA SAP, including recovering and sustaining fisheries, and protecting key marine species, are in direct alignment with the expected results of Strategic Programme 1 of the GEF-4 IW Strategy, which calls for "*Restoring and sustaining coastal and marine fish stocks and associated biological diversity*".

Target 3.1 of the ATSEA SAP "*Reduction of the ecologically harmful impacts of nutrients in coastal waters from base year*" is relevant with respect to Strategic Programme 2 of the GEF-4 IW Strategy ("*Reducing nutrient over enrichment and oxygen depletion from land-based pollution of coastal waters in Large Marine Ecosystems consistent with the Global Program of Action*").

However, as discussed under Section 3.3.1 of this TE report, there was generally a lack of evidence provided in the TDA and biophysical profile that nutrients pose a higher risk to the ATSEA ecosystem compared to other land-based pollutants.

During project implementation, from 2010 until 2014, the GEF-5 programme cycle was approved, and, retrospectively, the project results are also relevant against the objectives of the GEF-5 IW Strategy, particularly with respect to considerations of climatic variability and change; environmental quality objective No. 5 of the ATSEA SAP is "*Adaptation to the impacts of climate change*".

The governance targets under the ATSEA SAP, including Target 6.1 ("*A regional mechanism for cooperation*") and Target 6.2 ("*A Stakeholder Partnership Forum of experts and practitioners involved in research and capacity development activities relevant to the SAP and NAPs*"), are relevant with regard to Outcomes 1.1 and 2.1 of the UNDP Indonesia Country Programme of Action for 2011-2015:

> **Outcome 1.1:** National and sub-national authorities and stakeholders are more effective in reducing poverty and vulnerability, particularly in UNPDF provinces and districts (*which include provinces in the ATS region*)
>
> **Outcome 2.1:** Responsible national institutions and relevant stakeholders are more effective in managing environmental resources and addressing environmental pollution

3.3.5. Efficiency

Efficiency is rated as: Satisfactory

Supporting Evidence:

- \+ Incremental analysis: ATSEA helped facilitate policy-level commitment for a regional management framework for the ATS ecosystems.
- \+ Achievement of the key intended outcomes, including completion of the TDA and securing approval of the SAP was realized within the allocated budget and implementation timeframe.
- \+ Co-financing exceeded committed amounts, and associated financing was substantial in each of the three littoral countries.
- \+ Co-financing activities were fairly well integrated into the project activities.
- − Disproportionately high travel costs.

Considering incremental cost criteria, the GEF funding filled an important gap with respect to regional management of the ATS ecosystem. The ATSEF had been functioning for a number of years, but this forum was mostly made up of scientific stakeholders and there was little progress made with respect to regional policy development.

The relatively high efficiency is also reflected in the fact that the key outcomes, notably completion of the TDA and formal approval of the SAP, were achieved within the allocated budget and 4-year timeframe. Some of the interviewed stakeholders stressed that the USD 2.5 million GEF grant for the project was comparably low, particularly considering that both the TDA and development of NAPs and the SAP were included, along with a demonstration component. There is some merit in this line of reasoning, if referenced to some large marine ecosystem (LME) projects, such as the Bay of Bengal (GEF ID 1252) which is operating with a budget of USD 12 million for development of an SAP. But, funding levels are variable, depending upon the number

of countries involved and scope of work. The project "Enabling Transboundary Cooperation for Sustainable Management of the Indonesian Seas" (GEF ID 5768) currently under development has estimated budget of USD 4 million, which is more in line with the GEF grant for the ATSEA project.

The co-financing sums exceeded the committed sums, both from governmental and NGO sources. There was also a high amount of associated financing, for example in Indonesia with the development of a fisheries management plan for the Arafura Sea fishery area, and upgrading of the LIPI research station in Ambon to a research center. Furthermore, the co-financing contributions were integrated into the project activities, for example, LIPI facilitated ATSEA Cruise I in 2010 through their E-Win programme, and data from the RIMF and LIPI research institutions were directly used in preparation of the TDA. Also, among other co-financing contributions, the Government of Australia, specifically AIMS, provided a research vessel for ATSEA Cruise II, with an estimated funding value of USD 950,000.

Project efficiency was partly diminished through the disproportionately high travel costs, i.e., 32% of the total USD 2.5 million project budget. The majority of these travel expenditures were used to facilitate regional meetings and workshops among the relevant stakeholders, as outlined in Sections 3.3.2 and 3.3.3 on Capacity Building and Knowledge Management. Airfare for certain regional routes can be pricey, and the budget costs outlined in the project document seem to have been under-estimated. Also, the number of participants in some of the meetings was also higher than estimated when preparing the budget. The UNDP CO did bring up the issue of high travel costs during the March 2013 Project Board meeting, but this was rather late in the process, as more than 80% of the spent travel costs were expended in the period from 2010 through 2012.

Understandably, the process of completing a transboundary diagnostic analysis and strategic action programmes require frequent interactions among the key stakeholders involved. And, travel is an integral part of such initiatives. There is no questioning the fact the project was successful in achieving these primary outcomes, including a ministerial declaration endorsing the SAP. But the amount of money spent on travel was disproportionately high, at approximately 32% of the total USD 2.5 million project budget.

3.3.6. Country Ownership

Country ownership has been highly satisfactory, at a national level, within the littoral nations of Indonesia, Timor-Leste, and Australia. This was evident, for example, by the endorsement of the SAP through ministerial declaration, which was signed in May 2014 by the following ministers:

Minister of Marine Affairs and Fisheries	Minister for the Environment	Minister of Agriculture and Fisheries
FOR THE GOVERNMENT OF REPUBLIC OF INDONESIA	FOR THE GOVERNMENT OF THE COMMONWEALTH OF AUSTRALIA	FOR THE GOVERNMENT OF DEMOCRATIC REPUBLIC OF TIMOR-LESTE

The recipient countries, Indonesia and Timor-Leste, maintained their co-financing commitments, and both countries are spending increasing amounts of money on associated interventions aimed at improving the protection and management of the ATS ecosystems and resources. Co-financing from Australia also was consistent with proposed amounts, and more than USD 1 million of leveraged resources were contributed by Australia.

There are also initial indications that the project outcomes have been incorporated into national sectoral plans. For example, the first fisheries management plan in Indonesia among the 11 fisheries areas was completed in 2013 by the MMAF for the Arafura Sea. The plan was developed following an ecosystem-based approach advocated in the SAP/NAP.

3.3.7. Mainstreaming

The designs of the SAP and NAPs were very much oriented toward linking ecosystem management with improvements to the well-being of local populations, e.g., through promoting alternative livelihoods through sustainable use of natural resources. The demonstration activities were relatively small-scale and short-lived, so positive effects cannot yet be defined, but the policy and governance frameworks developed through the SAP/NAPs process is a significant contribution to mainstreaming ecosystem-based natural resource management.

The project objectives are also closely aligned with the UNDP CO (Indonesia) country programme action plan (CPAP) for the period 2011-2015. Component 1 under the CPAP focuses on poverty reduction, and includes activities aimed at increasing technical expertise of national and sub-national government officials in designing and implementing pro-poor programs, including livelihood improvements. Among the targeted areas, the provinces of Nusa Tenggara Timur and Papua are included in the program – and these are located within the ATS region.

Component 2 under the CPAP is on environment and climate change, and includes several complementary activities, including facilitating development of watershed management plans, and development and operationalization of a national database on coastal and marine resources and trans-boundary problems updated and management information system on coastal and marine resources designed. Such an information management system was flagged by the evaluator as a gap in the TDA/SAP process, but there was no evidence of collaboration with the UNDP CO on this topic.

There were conscientious efforts made to address gender issues in the demonstration activities under Component 3 of the ATSEA project. For example, the 25 groups formed for the alternative livelihood activities in the village of Bomaki, Indonesia were deliberately designed to include both the husband and wife of the participating households. The 25 people participating in the fish-processing demonstration activity in the village of Beacou-Bobonaro in Timor-Leste are all women. The role of women in the predominantly rural areas of the ATS region will more and more critical, as the rate of men migrating to urban areas for work increases. In the village of Ulmera, the interviewed beneficiaries indicated that a large number of men in the community have abandoned farming and fishing, to take jobs on construction crews in the country. Job prospects by the oil & gas sector are contributing to such shifts in rural livelihood practices in the region, with women, children, and the elderly increasingly left behind to tend to household farm plots.

Women were fairly well represented among the project team, implementing partners, consultants, and other key stakeholders. The UNOPS Senior Portfolio Manager (WEC) is a woman, as is the former UNDP GEF-RTA, who continues to support the project in an advisory role. The main author of the regional socio-economic study is a woman, a professor at Charles Darwin University. The Indonesian consultant tasked with monitoring the demonstration activities is a woman. The PMU financial assistant is a woman. Also, several women have high-level governmental positions in Indonesia, including the Director of Marine Affairs and Fisheries at the National Development Planning Agency (Bappenas), the Secretary of the Directorate General of Surveillance (MMAF), the Head of the Division of Multilateral Cooperation at the Ministry of the Environment, and Deputy Director of Multilateral Cooperation (MMAF).

3.3.8. Sustainability

Sustainability is generally considered to be the likelihood of continued benefits after the project funding ends. Under GEF criteria, each sustainability dimension is critical, so the overall ranking cannot be higher than the lowest one.

Overall, sustainability of the project is rated as: Moderately Likely

Supporting Evidence:

+ Ministerial declaration of SAP: strengthened institutional framework.
+ National actions aimed at reducing threats, e.g., Arafura Fisheries Management Plan.
+ Individual and institutional capacity strengthened.
+ Inter-ministerial collaboration during project was good, and existing coordination structures under the CTI enhance the likelihood of further collaboration, also on a regional level.
+ Co-Financing and associated financing during project implementation was high.
+ Governmental support for development of next phase, i.e., implementation of the SAP.
− Financing strategy not prepared for regional cooperation mechanism.
− Governance and ownership risks among sub-national governmental authorities, particularly in Indonesia, due to semi-autonomous administrative structures.
− Economic-driven IUU fishing and further expansion of oil & gas activities continue to pressure ATS ecosystems.

The approval of the SAP by ministerial declaration reflects a strong commitment among the three littoral countries for continuing regional cooperation in addressing sound management of the ATS ecosystems. The inter-sectoral and regional collaborations during the processes of completing the TDA and developing the SAP further enhances sustainability, through both strengthened individual and institutional capacities, but also through fostering scientific and policy level regional connections.

There are a few shortcomings affecting overall sustainability, including the lack of a financing strategy for the regional cooperation mechanism, and due to socio-economic risks, primarily associated with IUU fishing and further expansion of activities under the oil & gas sector.

Financial Risks

The Financial Risks dimension of sustainability is rated as: Likely

Approval of the SAP through ministerial declaration is a fairly strong indication that governments of the littoral states are committed to finance the implementation of the programme moving forward. The fact that a financing mechanism was not completed as planned, under Outcome 4.2, is a shortcoming, but there has already been government endorsement, e.g., from the Timor Leste, for co-financing the development of the next phase, i.e., implementation of the SAP.

There is also evidence that the littoral states are expanding financing interventions aimed at improving the management of ATS ecosystems. For example, the Government of Indonesia has recently approved the Fisheries Management Plan for the Arafura Sea and reportedly has committed approximately USD 500,000/year[1] of the next 5 years for implementation of the plan. Also, the marine research station operated by LIPI in the city of Ambon was upgraded in status this year to a research Centre, which will mean considerably more funding for research and development activities in the Arafura Sea area.

[1] Based upon verbal communication between the Project Manager and MMAF officials

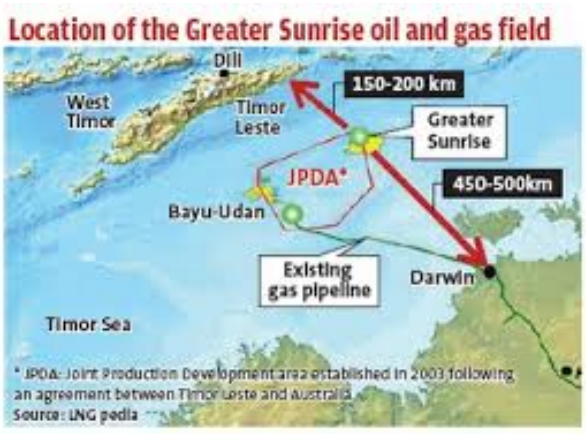
In 2013 in Timor Leste, the Government proclaimed their first No-Take Zones (NTZs), within the only national park in the country, the Nino Konis Santana National Part, at the eastern edge the island nation. At the same time, sensible development of the fisheries sector is highlighted in the country's 2011-2030 Strategic Development Plan, both in terms of food security and economic development. This is partly reflected in the plans to construct a new seaport west of Dili, including new fishing industry facilities.

Socio-Economic Risks

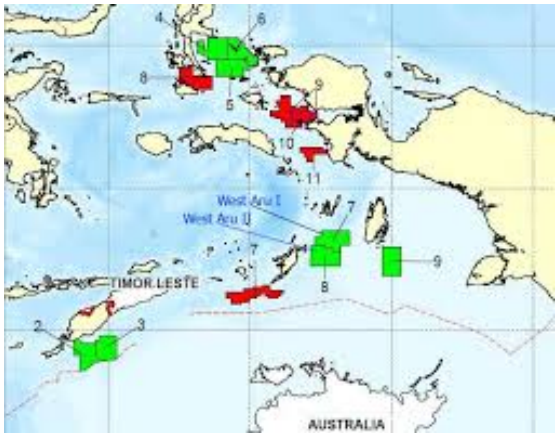
The Socio-Economic Risks dimension of sustainability is rated as: Moderately Likely

This first phase of the ATSEA project, with completion of the TDA and NAP/SAP, was predominantly centered on national-level stakeholders, except for the few demonstration activities. Overall public awareness, e.g.., on the district level, was not significantly increased through the project activities, and due to large income disparities and potential short-term economic gains through activities such as IUU, the socio-economic risks to the management of the ATS ecosystems remains fairly high. For example, according to KIARA (People's Coalition of Fisheries Justice, Indonesia), among the approximately 16.5 million Indonesians living in coastal areas, nearly one-third fall below the poverty line[1]. Also, even though there are some signs of decline in IUU in Indonesia due to increase surveillance, the Ministry of Maritime Affairs and Fisheries estimates that IUU fishing costs the country IDR 30 trillion (approx. USD 3 billion) per year[2].

Continued expansion of offshore oil & gas activities also pose a potentially significant threat to the ATS ecosystems. Some examples of offshore areas under oil & gas exploration and production are shown in **Exhibit 18**.



a. Joint Production Development Area, Timor Leste



b. Production sharing contracts awarded in 2011, Indonesia (www.offshoreenergeytoday.com)

Exhibit 18: Maps showing examples of some offshore oil & gas exploration and production areas

Although recognizing the importance of the oil & gas and commercial fishing, these private sector stakeholders were generally under-represented in the project activities.

The other socio-economic risk is the unsure level of ownership of the SAP/NAP process by sub-national governmental administrations, particularly in Indonesia, where decentralization continues to be a work-in-progress.

[1] ASEAN News, November 2012, www.aseannews.net

[2] ASEAN News, November 2012, www.aseannews.net

Institutional Framework and Governance Risks

Institutional Framework / Governance dimension of sustainability is rated as: Likely

One of the main achievements of the project was facilitating the approval of the SAP through a ministerial declaration, signed by three ministers in the three littoral states. Although the approved SAP is a formalized institutional framework, the identified priority actions still need to trickle down to the operational programme level in each of the countries. For example, in Indonesia, the government (Bappenas) is currently developing the next 5-year mid-term development framework, for 2015-2019 for marine resources and fisheries; this is a good opportunity to advocate the priority actions outlined in the NAP/SAP.

In terms of regional governance, the ministerial declaration is an important first step, and the Government of Indonesia further strengthened the sustainability of a regional cooperation mechanism through providing building space at a facility in Bali. The decision of offering the building in Bali did, however, seem a bit premature, as there was limited discussion among the regional stakeholders and financing for the operation has not yet been worked out.

On a more sub-national level, particularly in Indonesia, there are certain governance risks, as district authorities have a relatively high level of autonomy and local concerns of economic development need to be carefully synergized with ecosystem management objectives. As implementation of the NAP/SAP moves forward, a higher level of participation from sub-national authorities will be required to effectively mitigate this risk.

Environmental Risks

The Environmental Risks dimension of sustainability is rated as: Likely

Through improved institutional frameworks and governance, partly facilitated by the project, environmental risks are likely to be reduced over time. However, unsustainable offshore, coastal, and land-based activities continue to post environmental pressures. IUU fishing not only is result in declining fish stocks, but also contributes to ecosystem degradation, e.g., through various illegal fishing techniques such as blasting. In Timor Leste, land degradation remains a high environmental priority due to the geographic characteristics of country and unsustainable agriculture practices[1]. Another activity that continues to pose environmental threats to the sustainability of the project outcomes is mangrove destruction. According to a FAO study in 2005[2], Indonesia had the greatest extent of mangroves globally, representing 19% of the percentage of world mangrove coverage. But, conversion of land for shrimp farms, excessive logging, and, to a lesser extent conversion of land to agriculture or salt pans, has reduced mangrove forests in Indonesia from 4.25 million hectares in 1982 to less than 1.9 million hectares in 2013[3].

As outlined in the TDA, the predicted impacts of climate change extend over a wide-range of ecosystem services and human well-being. And, adaptation to the effects of climate change is one of the five medium-term objectives stipulated in the SAP.

[1] Timor Leste: Country Environmental Analysis, July 2009, East Asia and Pacific Region, World Bank

[2] FAO, The World's Mangroves, 1980-2005, FAO Forestry Paper 153, Rome, 2007

[3] World Rainforest Movement, 30 June 2013, Bulletin 192, "Indonesia: Mangroves for Life", by KIARA

3.3.9. Catalytic Role

The project had catalytic effects on a number for fronts. The collaboration of regional scientists on the preparation of the TDA, including participation in two research cruises, has contributed to an increased level of exchange of knowledge and methodologies. For example, one of the cruises deployed the baited remote underwater video technique to record fish diversity and behavior. This was the first time some of the scientists had hands-on experience with this technique. In fact, the data gathered was further processed by a Dutch PhD student[1].

The marine debris issue of ghost nets was highlighted by the ATSEA project, and actions to combat this problem are included in the SAP/NAPs – which is the first time there has been deliberate focus on this problem by Indonesia and Timor-Leste.

As the TDA/SAP process is an ecosystem-based natural resource management process, the project had direct influence in Indonesia with respect to the MMAF's efforts to implement ecosystem-based management of the country's fisheries. The Ministry decided that the Arafura Sea fisheries, one of eleven in the country, would be the first to implement this approach, and the Arafura Fisheries Management Plan was completed in 2013 and the initial 5 years of implementation has been operationalized.

Component 3 (Initial SAP Implementation) was designed specifically to have a catalytic effect, through regional and national demonstration activities. As the demonstrations were implemented fairly late in the project, with on-the-ground activities carried mostly happening in 2013 and early 2014, there has been limited distillation of lessons learned and dissemination to some of the key enabling stakeholders, e.g., including sub-national governmental administrations. But, the project did make notable contributions to the regional collaborative capacity among the ATS countries, and results of the demonstrations are being used in the design of the next phase of the ATSEA project.

3.3.10. Impact

Assessing impact is not particularly feasible, simply because there has been insufficient time to facilitate verifiable improvements in ecological status. Based upon experience among the GEF International Waters portfolio SAP implementation typically requires a timeframe of 10-15 years[2], and additional time is then required before intended impacts are attained. A rough evaluation of impact indicators listed in the TE terms of reference is outlined below.

Impact Indicator	Evaluation Comments	Impact Rating
Verifiable improvements in ecological status	It is too early to assess progress made toward achieving verifiable improvements in ecological status	**Unable to Assess**
Verifiable reductions in stress on ecological systems	Endorsement of the SAP through ministerial declaration is a significant achievement, laying the foundation for a transboundary collaborative management framework that will guide efforts in reducing stress on ATS ecosystems.	**Minimal**

As it is generally too early to evaluate actual impacts, the likelihood of achieving the intended impacts was estimated using the general guidelines of the *Review of Outcomes to Impacts* (ROtI[3])

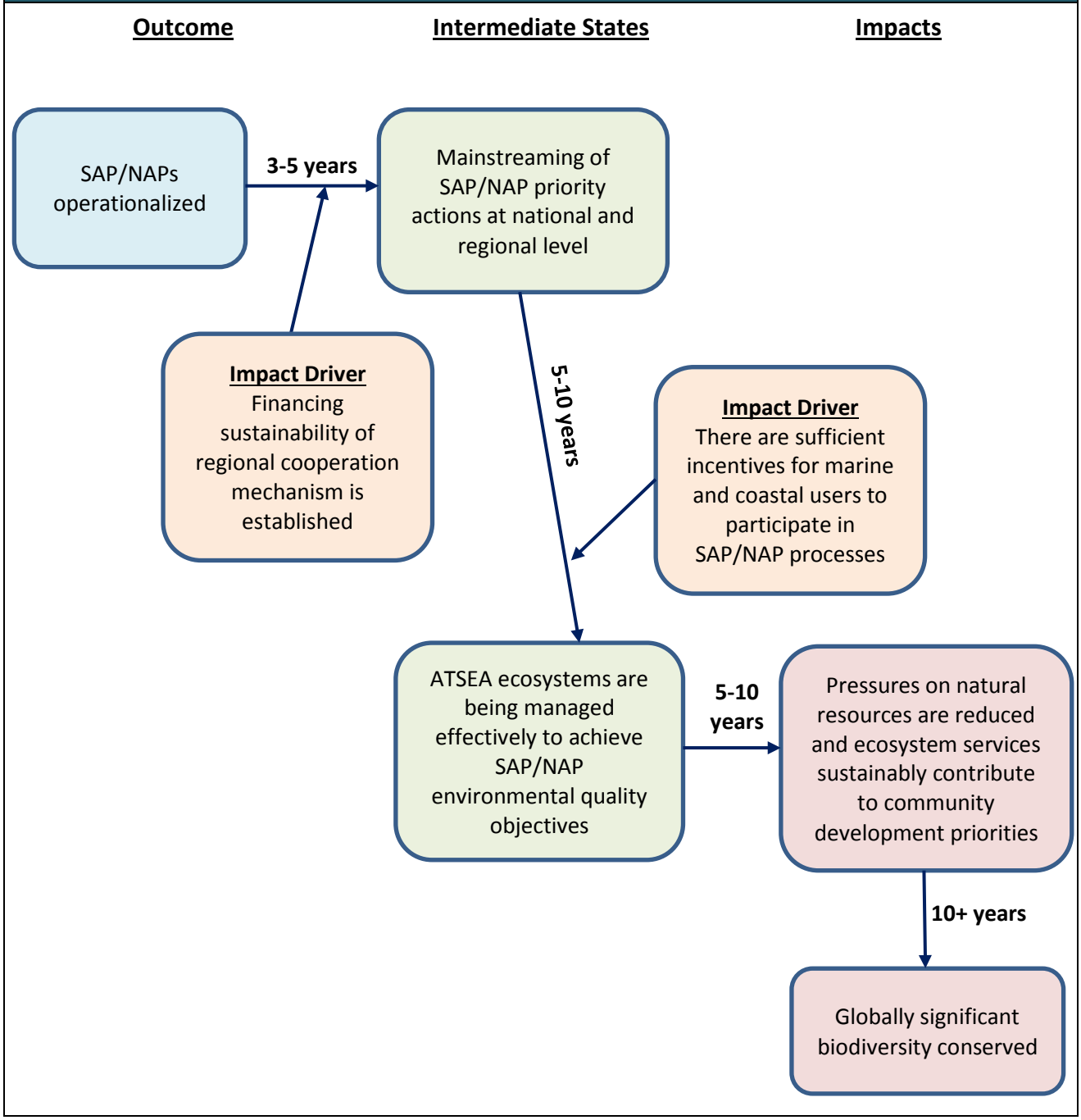
[1] Personal communication with one of the ATSEA cruise scientists

[2] For example: Catalysing Ocean Finance Volume I Transforming Markets to Restore and Protect the Global Ocean, September 2012 United Nations Development Programme

[3] The ROtI Handbook, Towards Enhancing the Impact of Environmental Projects, Aug 2009, Global Environmental Facility.

method, which applies a Theory of Change approach to assess the overall performance of environmental management projects. The first step was to reconstruct an outcome to impact pathway (see below in **Exhibit 19**), based upon the essence of the project design.

Exhibit 19: Outcome to Impacts Pathway



A ROtI desk assessment was then made, based on review of project deliverables and other findings of the terminal evaluation, and the results are summarized below in **Exhibit 20.**

Exhibit 20: Review of Outcome to Impacts

Outcome	Outcome Rating (A-D)	Intermediate State (IS)	IS Rating (A-D)	Impact	Impact Rating (+)	Overall
SAP/NAPs operationalized	B	Mainstreaming of SAP/NAP priority actions at national and regional level	B	Pressures on natural resources are reduced and ecosystem services sustainably contribute to community development priorities		BB
		ATSEA ecosystems are being managed effectively to achieve SAP/NAP environmental quality objectives		Globally significant biodiversity conserved		

Outcome Rating Justification: Ministerial endorsement of the SAP is a significant achievement, but financing the regional cooperation mechanism has not yet been worked out.

Intermediate States Rating Justification: There is limited evidence so far that the priority actions recommended in the SAP/NAPs have been operationalized in national plans and strategies.

Definitions (extracted from the ROtI Handbook, Aug 2009, GEF):

Outcome Rating	Intermediate States Rating	Impact Rating
D: The project's intended outcomes were not delivered.	D: The conditions necessary to achieve intermediate states are unlikely to be met.	Rating "+": Measurable impacts or threat reduction achieved and documented within the project life-span.
C: The outcomes delivered were not designed to feed into a continuing process after funding.	C: The conditions necessary to achieve intermediate states are in place, but are unlikely to lead to impact.	
B: The outcomes delivered were designed to feed into a continuing process but with unclear allocation of responsibilities after funding.	B: The conditions necessary to achieve intermediate states are in place, with moderate likelihood that they will progress toward the intended impacts.	
A: The outcomes delivered were designed to feed into a continuing process with specific allocation of responsibilities after funding.	A: The conditions necessary to achieve intermediate states are in place and have produced secondary outcomes or impacts, with high likelihood that they will progress toward the intended impacts.	

Overall Likelihood of Impact Achievement:

Highly Likely	Likely	Moderately Likely	Moderately Unlikely	Unlikely	Highly Unlikely
AA BA AB CA BB+ CB+ DA+ DB+	BB CB DA DB AC+ BC+	AC BC CC+ DC+	CC DC AD+ BD+	AD BD CD+ DD+	CD DD

As outlined above, the impact assessment results indicate that the likelihood of impact achievement is **likely**. This result is contingent upon ensuring that the regional cooperation mechanism is eventually financed and rendered operational without donor-support, and further uptake of recommended priority actions into national plans and strategies.

4. CONCLUSIONS, RECOMMENDATIONS, LESSONS, GOOD PRACTICES

4.1. Conclusions

MAJOR ACHIEVEMENTS/STRENGTHS

The completed TDA provides an important transboundary planning framework

Through contributions from leading regional experts in completing the bio-physical profile, socio-economic profile, institutional framework study, and stakeholder analysis, the project was successful in completing a TDA which provides a systematic assessment of root causes and barriers of ecosystem degradation, and through causal chain analyses, presents recommendations for priority actions. This is an important foundational step toward effective transboundary management of the ATS ecosystems.

Facilitated a ministerial declaration endorsing a regional strategic action programme

The project was successful in facilitating endorsement of the SAP through a ministerial declaration, signed in May 2014 by the following ministers:

Minister of Marine Affairs and Fisheries	Minister for the Environment	Minister of Agriculture and Fisheries
FOR THE GOVERNMENT OF REPUBLIC OF INDONESIA	FOR THE GOVERNMENT OF THE COMMONWEALTH OF AUSTRALIA	FOR THE GOVERNMENT OF DEMOCRATIC REPUBLIC OF TIMOR-LESTE

This is an impressive achievement, particularly considering the relatively short timeframe of the project, as the SAP was finalized only in 2013.

Initial influence national level strategies

The environmental objectives of the endorsed SAP are relevant among both national and regional strategic development priorities, and there is evidence that the priority SAP actions are being operationalized into national plans. For example, the first fisheries management plan in Indonesia among the 11 fisheries areas was completed in 2013 by the MMAF for the Arafura Sea. The plan was developed following an ecosystem-based approach advocated in the SAP/NAP.

Demonstrated regional collaboration on addressing priority transboundary concerns

The regional demonstration in an indigenous community in Northern Australia, where collaborative management arrangements has resulted in effective management of coastal zone resources, was highly relevant to the essence of ecosystem-based management that is promoted in the approved SAP/NAPs.

Supported significant contributions to the scientific knowledge base of the bio-physical and socio-economic conditions within the ATS marine and coastal ecosystems

The scientific output supported by the project is noteworthy. In addition to the comprehensive reports on the biophysical and socio-economic profiles, the information gathered and produced by the project, including from the two research cruise expeditions, have been documented through four international peer-reviewed articles, and a fifth is currently under preparation. Also, there have been national and regional peer-reviewed scientific articles also published.

Delivered consistent and proactive project management services

The quality of the project management services was one of the main strengths of the project. The dedicated and qualified project management team was intact throughout the entire implementation phase, and role of the project manager, a renowned fisheries expert with

extensive professional regional connections, cannot be overstated, as he was able to effectively facilitate participation of a wide spectrum of stakeholders across both scientific and governmental sectors. Also, in the opinion of the terminal evaluator, the amenable project management style of the PMU was one of the main contributing factors to the overall constructive inter-agency cooperation between UNOPS and UNDP.

Strengthened regional collaborative capacity

Through the extensive interaction among regional scientific experts and policy-level stakeholders, the regional collaborative capacity has been significantly strengthened, an important requisite for effective transboundary protection and management of the ATS ecosystem and resources.

KEY SHORTCOMINGS

Incomplete consultation of some of the SAP/NAP environmental objective targets

While the environmental objectives stipulated in the SAP/NAPs are consistent with the TDA findings and reflect known and emerging transboundary concerns in the ATS region, some of the actions and targets developed in response to these objectives seem to have been formulated with incomplete consultation among key stakeholders. There are concerns regarding achievability of certain targets, a heavy reliance on baseline data that are largely unavailable and would be costly to obtain, and whether or not the actions are relevant with respect to the regional transboundary priorities. Some examples include:

a) The 15-20% reduction in IUU fishing (Target 1.1) will be difficult to measure, as reliable quantitative information on IUU fishing is inherently unavailable. There is also a question of whether a broad-based 15-20% reduction is the best indicator in response to IUU fishing. Would it be more appropriate to focus on one or more species that are under particular risk of critical decline?

b) Similarly, the 20% targeted reduction in direct and indirect harvesting of threatened and migratory species (Target 4.1) will be difficult to monitor, as baselines are largely unavailable and surveillance programs are limited.

c) Enhanced management and protection of 20% of marine and coastal habits (Target 2.1) is similar with the ultimate, long-term CTI-RPOA goal, but questionable whether attainable within the medium-term, 10-year horizon of the SAP.

d) The focus of Target 3.1 on the reduction in the ecologically harmful impacts of nutrients in coastal waters is inconsistent with the TDA, which does not distinguish nutrients as a higher threat than other land-based pollution issues. In fact, according to the TDA, the effects of siltation seem to be comparably important as disruption of the nutrient cycle.

e) With respect to Target 5.1, livelihood indicators might not be the most appropriate measure of improved ecosystem resilience and reduced community vulnerability to climate change. Promoting sustainable use of natural resources through alternative or supplementary livelihoods will contribute to improved resilience, but on a community scale, interventions such as mangrove rehabilitation will likely have broader impacts. And, establishment of management plans is a weak indicator of reduced community vulnerability. A more robust indicator might be funding commitments by sub-national government administrations for supporting community-based adaptation initiatives.

Financing arrangements of the regional cooperation mechanism were not addressed

Component 4 included a specific outcome (C4.2) for developing and operationalizing a self-financing strategy for the regional cooperation mechanism, but little attention was given to this outcome. Given the relatively short timeframe and limited budget of the project, it was probably an overly ambitious target, i.e., having countries contributing financial inputs to an agreed mechanism by project closure. Also, emphasizing financing might have delayed the SAP endorsement through ministerial declaration, because stakeholder involvement would have likely needed to be extended, for example to the Ministries of Finance, in order to secure approval of government financial commitments. But, nevertheless, the lack of focus on financial arrangements is considered a shortcoming, as it is an important part of the sustainability of the regional cooperation mechanism moving forward.

Local demonstration activities provided limited information for implementation of the SAP

Local demonstration activities provided limited added value for feeding into full SAP implementation. For example, livelihood alternatives, e.g., mangrove crab rearing, were made without carrying out value chain analyses, leaving a number of unanswered questions at project closure regarding the viability of various livelihood opportunities in the target communities. Also, the limited involvement of sub-national authorities was a missed opportunity to demonstrate a model of collaborative management arrangements, aligning SAP/NAP priorities with local spatial planning and socio-economic objectives.

Stakeholder involvement by sub-national governmental authorities was insufficient

The project facilitated consultations with sub-national level stakeholders during preparation of the TDA, but there was limited evidence of outreach to sub-national governmental administrations during the development of the SAP and NAP, particularly with respect to involving sub-national stakeholders responsible for socio-economic development and spatial planning. As implementation of the SAP and NAP's will be largely driven by sub-national governmental administrations, it is important to achieve buy-in by these stakeholders with respect to integration of the recommended priority actions into their development and spatial planning activities.

Dissemination of information was fairly limited outside of the scientific community

While one of the highlighted strengths of the project was the contribution made to the scientific knowledge base, dissemination of the project results among non-technical stakeholders, such as sub-national governmental administrations, was limited, i.e., providing them with information on how the local communities could benefit by integrating the priority actions recommended in the NAP/SAP into their socio-economic development and spatial planning. Expanding involvement among sub-national administrative authorities is more of an issue in Indonesia, where the district and provincial governments have a high level of autonomy and discretionary decision-making authority.

4.2. Recommendations

ACTIONS TO FOLLOW UP OR REINFORCE INITIAL BENEFITS FROM THE PROJECT

1. Carry out a strategic review of the SAP/NAP priority actions and targets

Before proceeding with SAP implementation, a critical review of the SAP/NAP priority actions and targets should be made with both scientific and governmental stakeholders.

2. Advocate uptake of NAP priority actions into national and sub-national operation programs

The success of the this regional intervention will partly be measured by the degree to which recommended priority actions are taken up into national and sub-national operational programs. For example, the Government of Indonesia, specifically Bappenas, is currently developing the next 5-year (2015-2019) mid-term development framework on marine resources and fisheries. Efforts should be made to advocate inclusion of the NAP priorities into this framework, and it would also be advisable to reach out to other national and sub-national administrations within the ATS region, promoting inclusion of the NAP priorities into their development and spatial plans.

3. Support agreement on baseline levels and protocols for assessing progress toward achieving SAP/NAP environmental objective targets

Several of the SAP/NAP indicator targets require knowledge of baseline conditions, base years, and also methods of assessing achievement of the stipulated goals. Before moving forward with SAP implementation, it is critical that stakeholders within the ATS countries agree upon these aspects, as certain assumptions will likely need to be agreed upon in response to time and cost constraints.

4. Facilitate a strategy on national and regional information management

The issue of information management will be an important topic moving forward. Even within the ATS countries, there are several stakeholders with overlapping mandates, and collection and management of cross-sectoral data required to support the NAP/SAP will be a formidable task. Regional data management is even more challenging. The ATSEA project should facilitate an information management strategy which focuses on building upon existing structures/systems and promoting regional information sharing. There might be opportunities to collaborate with the UNDP CO on this topic, as under Component 2 of the 2011-2015 CPAP, there is a specific outcome aimed at developing a national information management system for marine resource data.

5. Reach a regional agreement on the financing of the regional cooperation mechanism

There has been some progress made toward a functioning regional cooperation mechanism, for example, the pledge from the Government of Indonesia to provide office space in Bali, but there does not seem to be consensus among regional stakeholders that this is the best location, and there has been limited emphasis so far on financing. The ATSEA project implementation partners are in a good position to work out some operational scenarios, including possible cost-sharing solutions for financing the mechanism, and then facilitating stakeholder negotiations on reaching agreement on financing for the regional cooperation mechanism.

6. *Carry out value chain and situational analyses to support alternative livelihood initiatives*

In order to more effectively develop alternative livelihood strategies, value chain analyses should be carried out to identify potentially viable initiatives. Also, a situation analysis should be made to better evaluate local capacities, deficiencies in the enabling environment, and other concerns, including invasive species, safety concerns, etc.

7. Develop implementation pathways, so that stakeholders can better understand the SAP implementation process and associated timeframes

Based upon interviews during the TE mission, stakeholders unfamiliar with the GEF-adopted TDA/SAP process are uncertain of the operational expectations over the 10-year, medium-term SAP horizon. Developing implementation pathways, showing the recommended priority actions and associated timeframes, might assist key stakeholders in understanding the required governmental inputs and involvement by others as well, including the private sector.

PROPOSALS FOR FUTURE DIRECTIONS UNDERLINING MAIN OBJECTIVES

8. *Expand stakeholder involvement and partnership arrangements to better ensure inclusive implementation of the SAP/NAP*

In addition to continuing involvement with the existing stakeholder group and complementary programs and initiatives, including PEMSEA, CTI, etc., the project should consider expanding stakeholder participation and exploring new partnership arrangements for the SAP implementation phase. Some examples are listed below.

- Participation by sub-national governmental administrations will be essential, as the recommended priority actions will be implemented in their territories.
- Outreach to the private sector, including the commercial fishing, oil & gas, and mining sectors. As a first step, it would be advisable to explore partnership arrangements through existing enabling stakeholders. For example, there might be entry opportunities through AIMS and LIPI, which are both carrying out scientific and advisory services for the private sector.
- In March 2013, the IMO and IPIECA, the global oil and gas industry association for environmental and social issues, jointly launched a new Global Initiative (GI) programme aimed at improving the oil spill preparedness and response capabilities in southeast Asia, and based in Singapore. The objectives of this programme are closely aligned with Target 3.2 of the SAP (Reduction in the incidence and impacts of marine-based pollution), and there could be synergies worth developing in the next ATSEA phase.

9. Emphasize collaborative management arrangements for demonstration activities

Demonstration activities under the SAP implementation phase should emphasize collaborative management arrangements, integrating community needs, sub-national spatial planning framework and development priorities, and ecosystem management and protection objectives.

10. Link sustainable land management with coastal zone management objectives

Considering the geographic characteristics in the ATS countries and the importance of agriculture among many of the local communities, linking sustainable land management with improving the resilience of coastal communities should be better emphasized, both in terms of livelihoods and conservation oriented targets. Also, as small-scale mariculture and plant-based coastal zone seaweed farming, etc. are unlikely to provide a substitute of income from IUU fishing and other unsustainable activities negatively impacting the ATS ecosystems, efforts designed to offset local livelihoods with alternative or supplemental sources of income should extend to agriculture and other land-based occupations.

11. Enhance sustainability of alternative livelihood initiatives through infrastructure investment

Improving enabling infrastructure as part of alternative livelihood initiatives should be considered; e.g., improved jetties, refrigerators for processed fish, solar lighting to facilitate access, mangrove nurseries, wells for irrigating nurseries, etc.

12. Direct more focus on invasive species

The issue of invasive species is under-represented in the SAP/NAP, although a growing regional concern. In terms of mariculture, the potential of carrying disease from hatchery cultured inputs to wild stocks should be addressed, for example, in promoting mangrove crab rearing initiatives. There are also concerns with seaweed farming that should be considered, as algae inputs are often imported, not harvested from local wild species, and there have been cases of invasions negatively impacting indigenous biota. The introduction of invasive species from untreated ballast water discharge is also a proven threat in marine, coastal, and inland waters, and based upon TE interviews, the issue is under-emphasized in Indonesia with respect to national strategies and funding on marine resource management.

13. Extend capacity building targets to local extension officers

Local extension officers are often on the front lines of community-based, collaborative natural resource management. Based upon interviews during the TE mission, support from extension service functions is hindered in both Indonesia and Timor-Leste, due to under-staffing, insufficient resources, e.g., inputs, and the qualifications of the officers tend to be primarily agricultural and less so on mariculture and other coastal and marine-based activities. Extending capacity building efforts to local extension officers would likely be money well-spent.

14. Integrate relevant safety concerns into the NAP/SAP process

Based upon findings during the TE mission, a few safety-related issues summarized below should be considered to be integrated into the NAP/SAP process:

- **Human-wildlife conflicts**. A 2012 RFLP[1] report indicated that saltwater crocodile attacks are the leading cause of accidents at sea among coastal villages in Timor-Leste. The risks for such attacks could increase as mangroves are rehabilitated, if appropriate management measures are not implemented. The Ulmera village in Timor-Leste, where the ATSEA project implemented a demonstration project, is already experiencing human-wildlife conflicts, as monkeys are causing considerable damage to the mangrove crab assets there.
- **Safety-at-sea**. Interviewed residents in the villages of Bomaki in Indonesia and Ulmera in Timor-Leste indicated an increase in capsizing incidence among small boat fleets.
- **Food safety**. Some stakeholders interviewed in Timor-Leste stressed concern about transboundary industrial pollution and unsafe processing habits on fish stocks - including potential impacts by formaldehyde and mercury.

OPERATIONAL ISSUES

15. Implement alternative methods of convening meetings in order to reduce travel costs

Frequent collaboration among the four ATS countries will continue to be required, in order to facilitate effective SAP implementation. The experience during the first phase of the ATSEA project has shown that regional travel can be costly. Efforts should be made to find alternative methods of convening meetings, for example, through webinars or other Internet-based platforms.

16. Risk management should be more inclusive among key stakeholders

Responsibility for management of project risks should be spread among key stakeholders, with agreed upon mitigation and reporting procedures. Project steering committees should take a

[1] Tsujimura, T.N., Alonso, E., Amaral, L. & Rodrigues, P. (2012). Safety at sea assessment in the Timor-Leste small-scale fisheries sector. Technical report . Bangkok: Regional Fisheries Livelihoods Programme for South and Southeast Asia (GCP/RAS/237/SPA) Field Project Document 2012/TIM/1

more active role in risk management, and mechanisms put in place that ensure follow up on decisions made during committee meetings.

17. Work programming should be more extensive and be linked to the logical results framework

Projects should be programmed across the entire implementation timeframe, not only year-to-year, and preferably using the critical path methodology. In this way, progress and delays can be clearly communicated to implementing agency and implementing partner managers and to the project steering committee members. This is particularly useful for projects having mutually supportive outcomes or outputs. And, adjustments to work activities can be more easily implemented, to ensure that sufficient progress is made toward performance targets, including deadlines.

Work programming should also be linked to the targets in the logical results framework; clearly indicating when such targets are expected to be realized and providing a decision-support tool for adjusting project resources accordingly. An example on the ATSEA project is Outcome C4.2, which had a target of achieving a functioning financing strategy for the regional cooperation mechanism. Under Component 4, the majority of project resources seemed to have been dedicated on concluding the ministerial declaration, progress on Outcome C4.2 was under-reported and insufficiently followed in the PIRs and the Project Board meetings. More efficient integration of indicator targets with work programming might have brought this issue to the surface earlier in the project's implementation lifespan.

4.3. Good Practices and Lessons Learned

GOOD PRACTICES

Some of the activities and approaches deployed by the project are noteworthy as good practices, including those presented below.

Endorsement of the SAP through ministerial declaration

Achieving endorsement of the SAP through ministerial declaration significantly increases the likelihood that the project results will be sustained, as compared to the scenario of SAP approval only at the project board level.

Regional demonstration of collaborative management arrangements in an indigenous community

Organizing the regional demonstration in an indigenous community in Northern Australia, where collaborative management arrangements has resulted in effective management of coastal zone resources, was highly relevant to the essence of ecosystem-based management that is promoted in the approved SAP.

Distilling and publishing scientific contributions

Scientific project stakeholders have made noteworthy contributions to the ATS knowledge base, and the number of published scientific articles is commendable.

Positive collaboration between IA and EA

The collaboration between UNDP and UNOPS remained project-centered, and the satisfactory project performance is testament to this effective inter-agency interaction. This collaboration was largely facilitated through the amenable project management style of the PMU.

LESSONS LEARNED

Stakeholder involvement requires balancing scientific and socio-political agendas

The TDA/SAP process requires stakeholder involvement over a wide spectrum of sectors and interests, starting with the more scientific-focused TDA and leading to the policy-driven SAP. The ATSEF was operating mainly among the scientific communities of the ATS littoral countries, and the shift to participation by political stakeholders a new set of facilitation skills. There was some indication that the scientific community was partly left out of the negotiations surrounding the SAP/NAP process, and this is indeed evident by the number of questions regarding the recommended priority actions and indicator targets in response to the SAP environmental objectives.

Design of demonstration activities should keep the transboundary context in focus

The incremental benefit of the GEF support is catalyzing transboundary collaboration among the ATS littoral nations, and designing demonstrations should keep this context in perspective. There are several other donor-financed interventions in the country and region, and thus, consideration should be given to the added value of the GEF funding.

The impacts of community-scale alternative livelihood programs like the ones demonstrated should not be over-estimated with respect to reducing pressures on ecosystem resources

The income from community-scale livelihood initiatives is unlikely to offset the earnings from IUU fishing and other unsustainable practices. Reducing pressures on ATS marine and coastal resources and maintaining economic opportunities for local littoral populations will require a combination of interventions, e.g., payment for ecosystem services and other benefit-sharing options, possibly through community-based surveillance, offshore mariculture, market-based leverage through certification and other traceability programs, etc.

Collaborative management arrangements require outreach to sub-national governmental administrations

Collaborative management arrangements for ecosystem protection and management cannot be made without involving sub-national governmental administrations. For example, the role of extension services is an important consideration, and efforts should be made to synergize with existing national and/or sub-national complementary programs. Furthermore, traditional by-laws should be consistent with sub-national spatial planning and socio-economic development plans.

Promoting mariculture and plant-based coastal zone interventions as alternative livelihood opportunities requires value chain and situational analyses

There are a number of factors influencing the viability of coastal zone alternative livelihood opportunities, including market potential, distance to market, enabling environmental, capacity of beneficiaries, availability of hatchery (for mariculture), risk of invasive species, etc. Before deciding upon a particular activity, it is essential to carry out at least a preliminary value chain analysis and situational analysis, to determine the potential viability of the endeavor.

Travel expenditures should match the scale of the allocated implementation budget

Even though the ATSEA implementation budget was fairly modest, at USD 2.5 million, compared to similar GEF international waters projects, travel expenditures need to match the available resources.

5. ANNEXES

Annex 1: Evaluation Mission Itinerary (30 June to 12 July 2014)

Time	Activities	Venue
30 June 2014 / Monday		
14:25	Arrive in Jakarta, hotel check-in	Flight # QR956, Akmani Hotel: Jl.KH.Wahid Hasyim No.91 Jakarta Pusat.
1 July 2014 / Tuesday		
09:00 – 09:30	Travel from Hotel to AMFRAD/ATSEA office	
09:30 – 10:30	Briefing with PMO	ATSEA Office
10:30 – 11:00	Meeting with Indonesia Focal Point (AMFRAD), Dr. Achmad Poernomo	AMFRAD Office
12:00-13:00	LUNCH Break	
11:00-11:30	Travel from Hotel to MMAF Office, Gambir	
11:30-12:15	Meeting with Ms. Elvi Wijayanti and Mr.Shahandra Hanityo, PUSKITA	MMAF Office, GMB-1
12:30-13:00	Meeting with Ms. Ida Kusuma Wardhaningsih.	MMAF Office, GMB-II
14:00	Travel back to Akmani hotel	
17:30 – 18:00	Meeting with Ms. Ria Fitriana (involved in ATSEA Demo Project)	Lobby Akmani Hotel
2 July 2014 / Wednesday		
08:00-08:30	Travel from Hotel to Bappenas Office at Taman Suropati, Menteng Jakarta	
08:30-09:30	Meeting with – Dr. Sriyanti Wibisana and Ms. Setyawati	Bappenas Office, Menteng
09:30-10:00	Travel from Bappenas Office at Taman Suropati to UNDP Office, MH.Thamrin,	
10:00-10:30	Meeting with GEF Small Grant Programme (SGP) Indonesia, Ms. C Dwi Hastarini and Mr. Hery Budiarto	Aceh Room, 7th Floor UNDP Office co.Menara Thamrin Building Jl.MH.Thamrin Jakarta Pusat
10:30 – 12:00	Meeting with UNDP-CO: Mr. Iwan Kurniawan & Mr. Sirman Purba	
12:00 – 12:30	Lunch break	
12:30 – 14:00	Meeting with related NGOs, i.e. WWF (Mr. A.Habibi), CI (Mr. Rony Meganto), SFP (Ms. Purbasari Suryadi and Ms. Dessy Anggraeni)	
16:00	Travel back to the hotel	
3 July 2014 / Thursday		
10:00	Travel from Hotel to ATSEA Office	
11:00-12:00	Meeting with Mr. Duto Nugroho	Capture Fishries office, MMAF
14:00-16:00	Briefing with PMU regarding ATSEA documents	ATSEA office
17:00	Travel back to the Hotel Akmani	

Time	Activities	Venue
21:30-22:30	Check-out hotel and travel to the Sukarno-Hatta International Airport (SHIA) and check in	
4 July 2014 / Friday		
00:30-07:35	Travel from Jakarta to Ambon	Flight # GA640
09:00	Travel from airport to hotel	Hotel Mutiara, Ambon
13:00	*Lunch break*	
15:00 – 16:00	Meeting with Mr.Noke Rijoly, one participant for ATSEA Cruise I1 and as the lecturer in Pattimura University, Ambon	Hotel Mutiara, Ambon
5 July 2014 / Saturday		
07:45-09:15	travel from Ambon to Saumlaki	Flight # IW1514
09:45-12:00	Hotel check in and Lunch break in Saumlaki	Beringin Dua Hotel, Saumlaki
13:00-14:00	Travel from Saumlaki to demo site (Bomaki village)	Bomaki village
14:00 – 17:00	Meeting with Mr. Rony Siwabessy, National Demo Project Indonesia Visit the demo site and interview local community and meeting people from Yayasan Baileo	Bomaki village
17:30	Back to the hotel	
6 July 2014 / Sunday		
09:45-11:15	travel from Saumlaki to Ambon	Flight# IW1515
12:00	check in hotel	Mutiara Hotel, Ambon
14:00	Meeting with Dr. Augy Syahailatua	Mutiara Hotel, Ambon
7 July 2014 / Monday		
08:30-11:15	Travel from Ambon to Jakarta	Flight # GA641
11:15-13:00	Arrive in Jakarta and check in hotel	Akmani Hotel
13:00	Consolidating findings	
8 July 2014 / Tuesday		
04:00 – 04:30	Check-out hotel and travel to SHIA	
04:30 – 05:30	Arrive at SHIA and check-in	
05:45 – 12:50	Travel from Jakarta to Dili	Flight# SJ272
12:50 – 13:30	Arrive in Dili, lunch break, and check-in hotel	
14:00-15:00	Meeting with Timor-Leste Focal Point, Mr. Lourenco Borges Fontes	MAF Office
15:00-16:30 18:00-19:30	Meeting with: 1. Mangrove crab Group: Mr. Albino Soares Pinto, Mr. Juvinal Maria da Silva, Constancio dos Santos Silva. 2. Mr. Constancio dos santos silva,	MAF Office Dili Beach Hotel

Time	Activities	Venue
9 July 2014 / Wednesday		
09:00 – 09:30	Travel to MAF office	Dili
09:00-10:30	Meeting with: 1. Mr. Augusto Fernandes 2. Ms. Alsina Fernandes (Food processing group)	MAF office
11:00-12:00	Travel to demo site in Ulmera	
12:00-13:15	Meeting with local community in Ulmera: Mangrove crab Group: Mr. Paulo Correia	Ulmera
13:15 – 13:30	Lunch break	
13:30-15:00	Meeting with local community in Ulmera: Food Processing Group: Ms. Odete Pires and Ms. Anita Gusmao from Beacou	Ulmera
15:00-16:00	Visit the demo site	
16:00-17:00	Meeting with: Mr. Virgilio Guterres - NGO: Haburas	Haburas Office
17:00	Travel back to the hotel	
10 July 2014 / Thursday		
09:00 – 09:30	Check-out hotel and travel to MAF Office	
09:30 – 11:30	Meeting with Mr. Joao Carlos (GEF Focal Point Timor-Leste)	MAF Office
11:30 – 12:00	Lunch break	
12:00 – 12:15	Travel from MAF Office to Dili Airport	
12:15 – 12:30	Check in and immigration	
13:30 – 16:30	Travel from Dili to Jakarta	
18:00 – 19:00	Arrive in Jakarta and travel to Hotel	Akmani Hotel
11 July 2014 / Friday		
07:45-08:05	Travel from hotel to LIPI office	
08:10-09:00	Meeting with Dr. Zainal Arifin	LIPI Office
10:00 – 11:00	Meeting Mr. Aryo Hanggono	AMFRAD Office
11:30 – 12:00	Lunch break	
12:00-13:00	Travel back to Minsitry of Environment office	
14:00-15:00	Meeting with Dr. Henry Bastaman, Ms. Mitta Ratna Djuwita and Ms. Devita Safitri Nur Akbar	GEF OFP Office
15:00-16:00	Travel back to the hotel	
16:00-18:00	Brief Meeting with UNDP and PMO	Akmani Hotel
20:00	Check out hotel and travel to SHIA	
12 July 2014 / Saturday		
00:10-12:15	Depart Jakarta, Arrive Budapest	Flight# QR955

Annex 2: List of Persons Interviewed

Name	Affiliation
Project Management Unit:	
Dr. Tonny Wagey	ATSEA Project Manager
Dr. Subhat Nurhakim	ATSEA National Technical Advisor
Ms. Ivonne Rawis	ATSEA Finance Assistant
Mr. Adi Pramudya	ATSEA Adinistation Assistant
Indonesia	
Dr. Achmad Poernomo	National Focal Point, Chairman, Agency for Marine and Fisheries Research Development, Ministry for Marine Affairs and Fisheries (MMAF)
Dr. Aryo Hanggono	Secretary, Agency for Marine and Fisheries Research Development, Ministry for Marine Affairs and Fisheries (MMAF)
Ms. Elvi Wijayanti	Deputy Head of Multilateral Cooperation Center for International Marine and Fisheries Cooperation, MMAF
Mr. Shahandra Hanityo	Sub-head of Multilateral Cooperation, Center for International Cooperation Analysis, MMAF
Ms. Ida Kusuma	Secretary, Directorate General of Surveillance, MMAF
Ms. Ria Fitriana	Demonstration Project consultant
Dr. Sugiarta Wirasantosa	involved in ATSEA PPG, National consultant (Biophysics)consultant
Mr. Duto Nugroho	involved in ATSEA PPG, National consultant
Dr. Sriyanti Wibisana	Director of Marine Affairs, National Development Planning Agency (Bappenas)
Ms. Setyawati	Head fo Sub-Directorate of Marine, Coastal and Small Island, National Development Planning Agency (Bappenas)
Mr. Henry Bastaman	GEF OFP Indonesia, Ministry of Environment
Ms. Mitta Ratna Djuwita	Head of Multilateral Cooperation. Ministry of Environment
Ms. Devita Safitri Nur Akbar	GEF secretariat
Dr. Zaenal Arifin	Oceaonology Centre, Indonesian Institute of Sciences (LIPI)
Mr. Iwan Kurniawan	Program officer, Environment Unit, UNDP CO
Mr. Sirman Purba	Evaluation Analyst, PMEU, UNDP CO
Ms. Chatarina Dwihastarini	Coordinator, Small Grant Project-GEF
Mr. Hery Budiarto	Programme Assistant SGP-GEF
Mr. Noke Rijoly	One participant for ATSEA Cruise I1 and as the lecturer in Pattimura University, Ambon
Mr. Rony Siwabessy	Head of Baileo, demo project in Bomaki, Saumlaki
Dr. Augy Syahailatua	Head of LIPI branch, Ambon
Mr. A. Habibi	World Wildlife Fund, Indonesia
Ms. Purbasari Surjadi and Ms. Dessy Anggraeni	Sustainable Fisheries Partnership
Mr. Rony Meganto	Conservation International
Mr. Abdul Halim	The Nature Conservancy
Chief of the village of Bomaki	
Pak Felix	Representative for the beneficiaires of demonstration activities in village of Bomaki
Timor-Leste:	
Lourenço Borges Fontes	Director general/ATSEA demo project coordinator, Ministry of Agriculture and Fisheries Timor-Leste
Constancio dos Santos Silva	Fisheries MCS officer/ATSEA demo project technical coordinator, Ministry of Agriculture and Fisheries Timor-Leste
Albino Soares Pinto	Aquaculture department/ ATSEA demo project technician, Ministry of Agriculture and Fisheries Timor-Leste
Juvinal Maria da Silva	Aquaculture department/ ATSEA demo project technician, Ministry of Agriculture and Fisheries Timor-Leste
Augusto Fernandes	National Director of Fisheries and Aquaculture/Demo project consultant, Ministry of Agriculture and Fisheries Timor-Leste
Alsina Fernandes	Fish processing section transformational, Ministry of Agriculture and Fisheries Timor-Leste
Paulo Correia	Head of Mud crab group-Ulmera, Beneficiary group- Ulmera
Odete Pires	Head of fish processing- Baecaou, Women beneficiary group-Beacou

Name	Affiliation
Anita Gusmao	Member of fish processing-Beacou, Women beneficiary group-Beacou
Zeferino Castro Pereira	Champions member/Fishermen, Beneficiary group-Batugade
Romeu Caeiro Moises	Champions member/Fishermen, Beneficiary group-Batugade
Virgilio Guterres	Executive Director of Haburas Foundation (NGO)
Joao Carlos	Director general/GEF focal point, Secretary State of Environment-Ministry of Commerce and Industry
Australia:	
Mr. Travis Bover	National Focal Point, Department of the Environment
Dr. Natasha Stacey	Charles Darwin University
Prof. Martin Tsamenyi	Univeristy of Western Australia (contacted, but not interviewed)
Dr. Daniel Alongi	AIMS (contacted, but not interviewed)
UNDP Regional, UNOPS, International Consultant:	
Mr. Jose Padilla	UNDP APRC, GEF RTA
Ms. Kwanruen Seub-Am	UNDP APRC, International Waters Program Associate
Ms. Katrin Lichtenberg	UNOPS, Senior Portfolio Manager, GPSO-WEC
Mr. Uriel Heskia	UNOPS, Associate Portfolio Manager, GPSO-IWC
Dr. Anna Tengberg	International Consultant (former UNDP-GEF RTA)

Annex 3: Summary of Field Visits

5 July 2014: Visit demonstration site at the village of Bomaki, Indonesia

We first met with the village chief. He indicated that there are 285 households in the village. The predominant livelihood activity is agriculture, and the common crops are sweet potatoes, corn, and potatoes.

Most of the farmers are individuals, and the town of Saumlaki is the main market, located approx. 12 km away.

The chief has been satisfied with the project demonstration activities, including the mangrove crab rearing, but he pointed out that it will take time before a viable market is developed, as many local people do not see mangrove crabs as a commodity, since they are often caught in coastal areas. There is reportedly an oil-field support base is being constructed nearby, and the village hopes that this will increase the local demand for mangrove crabs, as there will be an influx of workers.

A total of 25 households are participating in the mangrove crab rearing demonstration: 50 people, i.e., husband and wife in each household. There was certain qualification criteria, e.g., the people needed to have experience with fishing or other coastal activity. Each household that registered was eventually selected.

The project has also assisted in mangrove rehabilitation; we can see the demonstration site at low tide (note: jetty in village in bad condition).



5 Jul 2014. Demonstration site at the village of Bomaki, Indonesia. Group of local beneficiaries interviewed as part of the TE.



5 Jul 2014. Bomaki, Indonesia. Mangrove rehabilitation on a 2-ha area; also bamboo pens for mangrove crab rearing shown.

Furthermore, the project has facilitated the formulation of traditional by-laws (similar to SASI, but not termed SASI in this region). The chief thought that the traditional by-laws should be formalized in writing and approved by the District Legal Department; this would be the first time that the traditional law for this village is formalized. However, the chief is hesitant about moving forward with the process, as implementation will be difficult, due to the high levels of poverty. He cannot bring himself to accept the relatively high penalties for cutting mangroves or other damaging activities. The draft document includes a village spatial plan, showing where cutting of mangroves is prohibited. The Baileo NGO representative indicated that this spatial plan was not consulted with the District Spatial Planning Office.

Before finalizing the village by-laws, they held a public forum, inviting village elders, church representatives, youth, and women, among others.

We then met with a group of approximately 25 people who have participated in the mangrove crab and mangrove rehabilitation activities.

Mangrove rehabilitation started in February 2013, and mangrove crab rearing began in March 2013. There are 5 x 5 groups, thus a total of 25 households.

The nearest market is Saumlaki, which they claim is about 16 km away.

Locals are not buying the mangrove crabs in big numbers. Selling them at the market has been difficult. The current market price for 3 crabs each approx. 10 cm diameter is IDR 25,000 (approx. USD 2); this is very cheap. For slightly larger crabs, approx. 15 cm diameter, they can fetch IDR 25,000 for two.

The participants indicated that they think shrimp would have been a better choice, but the capital inputs are higher, as they would need boats, nets, etc. They also remarked that milkfish, seaweed, and sea cucumbers might have also been viable alternatives. They indicated that Darwin, Australia is only 12 hours by boat from Saumlaki, and as they know, Australian buyers are sourcing dried seaweed from Vietnam and other countries much further away.

Regarding the mangrove rehabilitation efforts, they have been working on a 2 ha area, where mangroves were more or less wiped out, cleared for firewood, construction materials, etc. They first removed a garbage dump that had cropped up at the location, and then planted more than 13,000 seedlings. Community participation was high during the planting, when many of the local school children took part.

They are planning a second planting, with 5,000 seedlings, but the target area is too muddy and so far, the plants have not rooted.

Mangrove seedlings have been sourced locally, within existing mangrove forests. The District Forestry Department helped with training. The participants indicated that otherwise they are receiving essentially no assistance from the local government, e.g., for the agricultural activities. They claimed that they do not receive any agriculture inputs, such as seeds, fertilizers, etc., or advisory services.

In terms of gender issues, traditionally men are working the fields or fishing grounds and women are selling the products at the market. This has been the arrangement for the mangrove crab rearing also. There does not seem to have been any significant added value in terms of gender issues.

In summary, the participants seemed very motivated and interested. The local NGO representative, Pak Felix, is very dedicated and an experience activist and conservationist. Even with this level of motivation, the group will likely need further support, either from the local government services or from some type of similar donor-driven initiative.

9 July 2014: Visit demonstration site at the village of Ulmera, Timor-Leste

The demonstration at this village was mangrove crab rearing, facilitated by the Ministry of Agriculture and Fisheries.

There were approximately 20 people at the meeting – all of them men. In addition to the mangrove crab rearing beneficiaries, a representative from the MAF extension station was present, and a representative of the complementary ACDI-VOC project which is funded by the USDA.

The mangrove crab rearing activities were carried out by 3 groups of 5 members each, so a total of 15 people. There are reportedly about 8 active members currently.

The participants indicated that they spend about 50% of their time on agriculture and other 50% on fishing. Their livelihood activities include fishing, salt production, animal husbandry, selling surplus maize, fruits, coconuts, etc. at the market. Due to prolonged droughts, farming cannot be sustained all year round, so many farmers took jobs on road construction crews.

The ACDI-VOCA project started with mangrove crab rearing in the village first, and then the ATSEA project followed. The ACDI-VOCA project has also financed a mangrove crab hatchery, located in a village east of Dili, rather far from Ulmera, but reportedly a strategic location in terms of good soil quality and proximity to potential producers and markets.

Currently, the local buyers for mangrove crabs are limited to a large supermarket and one or two hotels in Dili. The market price is currently rather good, roughly USD 10 per kilogram.

The land where the mangrove crab rearing assets are set up is owned by the State and rented to the farmers on a 25-year leasehold.

For the mangrove crab rearing cages, they have used bamboo stakes, which has proven to be problematic, as they are easily damaged by tidal action and also extensively by monkeys.



9 Jul 2014. Demonstration site at the village of Ulmera, Timor-Leste. Photo of a mature mangrove crab.



9 Jul 2014. Demonstration site at the village of Ulmera, Timor-Leste. Bamboo-framed mangrove crab pens damaged by monkeys.

Some of the members have tried constructing the pens using steel rods (4-5 mm reinforcement bar), but these are considerably more costly. The evaluator suggested that a focused fund-raising campaign among the extensive construction works going on in and around Dili would likely generate donations of surplus steel that could be used for constructing the pens.

Even though the beneficiaries received training, they are feeding the crabs “anything” they have, typically various food scraps and agriculture residuals. The crabs are being fattened at a rate of 10-20 g every four days. Supermarkets in Dili are requiring minimum 0.7 to 1 kg crabs. The time required to rear a crab to 1 kg is approx. 6 months.

The problem they have now is a shortage of crabs. Due to limited mangrove habitat, they are not being able to catch juveniles. There have been initiatives to rehabilitate the mangroves, for example by ACDI-VOCA, EU, PEMSEA, etc., but the extent is fairly limited, typically only 0.5 ha per intervention.

One of the villagers, also one of the ATSEA mangrove crab rearing beneficiaries, has built a mangrove nursery along with a dug well for irrigation, without external support. There are

currently about 5,000 seedlings in the nursery. According to this gentleman, there are no government sponsored mangrove nurseries in the country.

In 2013, the village released 4 million crab hatchlings produced at the hatchery, but there has been no indication of an increase in the number of crabs caught. The hatchlings were released to the open water, as they were not yet ready with digging a pond. They became aware of the concept of rearing the juvenile crabs in ponds and then fattening them in pens, after a study tour to Central Java, Indonesia sponsored by the project. They indicated that they found the study tour useful, but the local circumstances are different. For example, the ponds at the Central Java site are far from the sea, so they do not need to contend with the tidal action problems they have in Ulmera.

They completed digging one pond earlier this year, and they have released 120 crab juveniles sourced from the hatchery into the pond a few weeks ago. The representative from the ACDI-VOCA project indicated that the crab species are the same as the naturally occurring ones in Ulmera. In fact, the broodstock for the hatchery was sourced from Ulmera.



9 Jul 2014. Demonstration site at the village of Ulmera, Timor-Leste.
Pond constructed for mangrove crab rearing, and a stronger steel-framed pen.

The ACDI-VOCA representative indicated that their project is also supporting 20 mangrove crab and milkfish rearing groups in Ulmera. We visited the nearby milkfish ponds; they were observed to be soundly constructed and well managed. The newly constructed ATSEA pond is adjacent to this site. There is an EU-funded project running mangrove rehabilitation at the same plot. It seems that the government deliberately arranged these three donor projects to operate their demonstration projects in the same area.

With respect to sustainability of the ATSEA demonstration activities, the beneficiaries had the following comments:

1. They need more coordinated support from the hatchery;
2. They need to construct more ponds;
3. They need support for construction of steel-framed pens, instead of bamboo ones;
4. It is very important that mangrove rehabilitation intensifies, increasing mangrove crab habitats;
5. They suggest diversifying with sea weed (expanding their existing efforts) and milkfish.

9 July 2014: Interview two beneficiaries of fish processing demonstration, Timor-Leste

The interviewed women have been involved since 2013. They heard about the opportunity from the Department of Fish Processing (MAF).

They buy fish directly from local fisherman. There is a lot of competition for the larger fish, and they often cannot compete in price.

They are producing two products:

1. Dried fish, which they first immerse in salt for 10-20 minutes and then sun-dry the fish for approx. 24 hours. The shelf-life is approx. 1-1/2 months, and they mostly sell this product at the local market. Although their financial records are limited, the women indicated that their cost for dried fish is approx. USD 7 per batch and they can sell for USD 11.
2. Fish balls (*Bakso* in Bahasa language). These are produced by cutting up the fish, boiling the fish, mixing with various spices, and then roll into balls. The shelf-life is one day, without refrigeration. If refrigerated, the *bakso* could last up to one week. They are selling these mostly at school yards. Their costs are approx. USD 15 per batch and they can sell for USD 27.

The women are working irregularly with this activity, depending upon the availability of fish and the available cash they have. When they are working, they spend approx. 4-6 hours per day, including 2-3 hours for processing and 2-3 hours (or more) for selling.

There are two groups involved in the demonstration: one group has 12 members, while the other has 13 members. Both groups are entirely made up of women.

The women groups received trainings, facilitated by the Department of Fish Processing (MAF) on production of *bakso*, dried fish, fish burger, and fish steak.

They did not receive training on financial management, and they admit that this is their main weakness. They indicated that they have no idea how much total they spend or how much they earn.

Suggestions for moving forward:

1. Training on financial management
2. Support for refrigerated storage

9 July 2014: Interview two of the five project "champions" in Timor-Leste

The two gentlemen are from the village of Batugade, located in the district of Bobonaro, which is in the west part of the country, not far from the Indonesia border. This village is rather large, with approximately 500 households. The two people were selected to be "champions" because they had some experience in community leadership roles (not now, though), they have knowledge and experience in fishing, and they have been involved in coastal zone community work.

They participated on the regional demonstration projects; travelled to Northern Territory of Australia in October 2013, and also went on the exchange visit to Rote Island in March 2014.

The visit to Australia was very interesting, as they got to meet Aboriginal people who are overseeing coastal zone management in their community. At Rote Island, they got to visit various activities, including sea weed farming, milkfish aquaculture, salt production, and also discussed ecotourism marketing.

In their own village, the government plans to establish a marine protected area, so there are preliminary discussions on co-management opportunities for the community and also possibilities for the service industry with regard to ecotourism.

The high priority concerns for their community include:

- Stopping damage to coral reefs;
- Curtailing mangrove destruction;
- Tackling industrial pollution of coastal and marine waters;
- Stopping IUU fishing;
- Reducing erosion caused by deforestation.

In terms of livelihoods, approximately 25% of the community are engaged in fishing or other marine-based activity. The other 75% are working as farmers, traders, and government officials.

Both gentlemen stressed that their community needs to take an incremental approach, realizing that affecting large changes will take time. For example, they might start with salt production. They are aware of the mangrove crab rearing activities supported by the project, and they would welcome such activities in their community. Through the Department of Aquaculture (MAF), milkfish ponds were constructed in their community, and Department officials have also provided trainings. There is an extension officer in their community, but typically they are qualified and focused on agriculture issues, while there is limited knowledge and support in terms of coastal and marine activities.

When asked about climate change impacts in their village, they stressed the increased problems associated with erosion, but they did recognize this is largely due to man-made, unsustainable land management practices. The rainy season is more and more unpredictable, making it difficult for farmers to know when to start their growing season.

9 July 2014: Dili, Timor-Leste

While walking in Dili, we noticed a seller at the local, beach-side fish market selling turtle eggs. This showcases the challenges faced with increasing on conservation awareness, while respecting traditional habits and customs.



9 Jul 2014. Turtle eggs for sale (4 for 1 USD) at a beach-front fish market in Dili, Timor-Leste.

Annex 4: Summary of Demonstration Activities

The following information was compiled by the PMU:

No	Demo Project Activities	Brief Description	Implementing Organization	Location	Contract Duration	Beneficiaries and involved parties	Source of funding	Financial Delivery	Demo Project Component	Expected Outcome	Results
1.	Conservation of Mangrove areas as a buffer zone for coastal ecosystem through mangrove rehabilitation and mangrove crab rearing	In Bomaki village during the east monsoon, sea condition is rough which causes deposition of sand and abrasion, it is consider that mangrove habitat will act as buffer for the coatal community from these situation. In the other hand there is a massive exploitation of mangrove (e.g. firewood, timber for housing) and also the development of this region. As a qonsequence the quality and areas of mangrove are decreasing to a critical stage.	*Yayasan* Baileo	Bomaki Vilage, Sub-District South Tanimbar, South East-West Molucas District, Molucas Province – Indonesia.	22 Oct 2012 - 21 Apr 2014	10 groups consists of 100 people (men and women) from Bomaki village, able to utilise mangrove forest in supporting their livelihood through mudcrab rearing	GEF Baileo	USD 45,080	1. Improve the management of mangroves	a) 90% of total mangrove trees planted will grow and be maintained by the communities	1. Approximatelly 13,485 mangrove saplings were planted, monitor and maintained continously, the survival rates is 50. 14%.
									2. Introducing mangrove crab rearing	b) The income of the members of five groups of the beneficiaries of mangrove crab rearing activities will have increased 15% at the end of the project.	2. Commonity awarness on coastal environmental improved, they started to clean the beach and no longer make the beach as a dump.
											3. Community groups have been interested in doing mangrove crab rearing, there are 23 mangrove crab cage were deployed and operated.
									3. Strengthening the customary knowledge and rules into state laws	c) A draft of village regulation on the access and benefits of mangrove areas, and on the system of surveillance and monitoring is drafted	4. The draft of Vilage Regulation in regards to coastal environmrent and ressources management completed.
2.	Mangrove Conservation and Coastal Sustainability in Northern Aru, District of Aru Islands, through Seaweed farming and community fisheries activities	The project seeks to address the "failure to manage mangrove and coastal resources in North Aru sub-Districty. To resolve this problem, it requires dealing with specific problems associated with it. They are the use of mangrove tree for subsistence living and mangrove tree for boat construction; the development of Aru has poached the mangrove	*Yayasan* Sitakena	Sub-district of North Aru, District of Aru islands	15 Sep 2012 - 14 Mar 2014	Direct beneficiaries: 10 groups consist of 50 individuals (60 men and 40 women) in 4 villages in sub-district of North Aru	GEF	USD 42,886	1. Economic Strengthening	1. the production level increase 100% per families. 2. the income of beneficiaries will increase 100% per one harvesting cycle of seaweed and 25% increased for fish processing every month 3. the representatives of all *marga* (indigenous family) will be involved in the project	• 10 groups were established in three villages (4 groups in Marlasi, 3 groups in Kabuhfin, and 3 groups in Tasinwaha) • Written agreement between community groups and Sitakena to success the demo project • There is increased in income through seaweed farming and fisheries activity • Coastal community are guarding their natural resources

No	Demo Project Activities	Brief Description	Implementing Organization	Location	Contract Duration	Beneficiaries and involved parties	Source of funding	Financial Delivery	Demo Project Component	Expected Outcome	Results
		area, loss of endemic fish *Oti* (sea catfish), red snapper and mangrove crab, and loss of barrier to protect the village from sea hazard such as storm and high tide. In addition to this environmental cause, the local communities sometimes found dead fish because of the use of illegal fishing method by outside fishers.							2. Improving knowledge and capacity building	4. Improved community awareness on the importance of mangrove areas by strengthening traditional knowledge 5. An agreement between beneficiaries and Government at village level and YSK 6. The coverage area for local community surveillance system expands from one nautical mile to four nautical mile	• Participants know how to select seeds, plant periods, pest management , post-harvesting technique and other best practice in seaweed farming. • Participants know how to make various products made from seaweed and fish processing • Participants are aware about the coastal management and the importance of mangroves for human and their villages.
						Indirect beneficiaries: 1512 orang people in Marlasi village (820 men and 692 women); 263 people in Kabuhfin village (143 men and 120 women); 305 people in Tasinwaha village (167 men and 138 women); and 304 people in the Masidang village,(163 men and 141 women).			3. Climate Change adaptation		• Common understanding between community and local government on the importance of environment issue. People are now aware the impact of climate change and habitat degradation. • There are 12 recommendation related to environment changes in these village. The recommendations were submitted to local authority . The local government then draft the village regulation based on inputs and recommendation from community. The draft of this regulation has been disseminated to community before approved by official forum at the village • Strong commitments among communities to restore and protect mangrove forest in 3 villages • Environmental change and the importance of mangroves has taught at a local school; to create early awareness to students about the importance of protecting their coastal environment

No	Demo Project Activities	Brief Description	Implementing Organization	Location	Contract Duration	Beneficiaries and involved parties	Source of funding	Financial Delivery	Demo Project Component	Expected Outcome	Results
3.	Coastal Livelihood Projects in Timor-Leste as part of the ATSEA Demonstration Project	The decline of fish resources and the damage of coastal habitat in Timor-Leste cause the coastal communities face problem in obtaining employment and livelihood as well. The aims of demonstration project through introduction of mangrove crab rearing and fish processing are to create livelihood of coastal communities, increase their income and as an efforts in maintaining and improving the coastal habitat by coastal communities.	Ministry of Agriculture and Fisheries, RDTL	Ulmera-Liquica	09 Oct 2012 - 15 Jul 2014	15 fishermen	GEF Gov't of Timor-Leste	USD 71,717	Introducing mangrove crab farming	> at least 100 pens of mangrove crab farming installed > the income of beneficiaries will increase 50% per one harvesting cycle of mangrove crab and > Improved community awareness on the importance of mangrove areas by strengthening traditional knowledge > areas of mangrove protected.	Since the mangrove crab project was introduced, many people became interested in the cultivation of mangrove crab. Around 100 cage of mangrove crab are completed and deployed, however due to the difficulties of getting mangrove crab seed, only 25% of cages are being operated by communitties group. Due to the non technical reasons, there are 40 cages were moved to a new location that is Liquisa vilage in Ulmera district. The development of mangrove crab farming in Liquisa vilage runs rather good compared to the initial location. Weekly monitoring is still being done to ensures the success of the mangrove crab project. Of fish processing training has been done, the community know some basic knowledge of fish processing, among others: 1. Basic hygienes on fish processing 2. On board fish handling 3. Fish handling in landing site 4. Salted fish processing techniques
				Beacou-Bobonaro		25 housewives are involved			Improving the value added of captured fisheries by introducing fish processing	> at least 25 families involved in fish processing > 25% increased for fish processing in cycle production.	
4.	ATSEA Regional Demonstration Project Northern Australia Study Tour	This exchange was intended to demonstrate the value of collaboration among the littoral nations of the Arafura and Timor Seas for the conservation and sustainable use of those seas. The theme of the visit was 'Community-based management planning for marine and coastal related livelihoods and biodiversity conservation'.	PMU	Darwin and Gove	7-12 Oct 2013	Beneficiaries: 10 champions from Indonesia and Timor-Leste, as well as Indigeneous people in Northern Australia Involved parties: CDU, NAILSMA	GEF	USD 76,845	to generate ideas, innovations and partnership which can build community capacity for sustainable livelihoods through improved marine management and aquaculture; and • to improve shared understanding of community based marine and coastal management and livelihood issues between the three countries which border the Arafura-Timor Seas region. Participants were	to generate ideas, innovations and partnership which can build community capacity for sustainable livelihoods through improved marine management and aquaculture; to improve shared understanding of community based marine and coastal management and livelihood issues between the three countries which border the Arafura-Timor Seas region. Participants were selected	This study tour was a pilot and many lessons were learnt about how regional exchanges between Indonesia, Timor-Leste and Australia could be conducted in the future. Activities throughout the study tour were generally aimed at introducing topics and tools for which participants may later seek further support for activities in their home communities. Collaboration between organisations allowed exposure to a wide range of topics in a very short time. Aspirations for future exchanges include a reciprocal opportunity for Indigenous Australians to travel to Indonesia and Timor-Leste, and a smaller group to visit with more time to enable targetted training
							Gov't of Australia (co-finance)	USD 75,325			

No	Demo Project Activities	Brief Description	Implementing Organization	Location	Contract Duration	Beneficiaries and involved parties	Source of funding	Financial Delivery	Demo Project Component	Expected Outcome	Results
									selected		and activities.
5.	Exchange visit Rote	This exchange was intended to demonstrate the value of collaboration among the littoral nations of the Arafura and Timor Seas for the conservation and sustainable use of those seas.	PMU	Rote Island	21-27 Apr 2014	Beneficiaries: 10 champions from Indonesia and Timor-Leste Involved parties: Local Government of Rote Ndao (Indonesia), MAF-TL, TNC	Gov't of Timor-Leste (co-finance)	USD 10,752		> Improved awareness of best practices of "local wisdom" on the management and utilization of natural resources and the environment. > local government programs in managing natural and coastal resources are shared. Meet The Nature Conservancy (TNC) to know their program in the management of natural and coastal resources in Rote Ndao district.	Best practices/local wisdoms in natural resources utilization in Rote (e.g. salt production, seaweed farming and fish aquaculture) can be adopted by Timorese champions, since all activities are very low budget, and not using hi-technology.
6.	Training of Mud cab culture for coastal communities of Timor-Leste	Arafura and Timor Seas Ecosystem Action (ATSEA Program) conducts demo project in Timor-Leste, introducing alternative livelihood for coastal communities - mangrove crab culture and fish product processing which located in District of Bobonaro and Liquisa. To support these activities, ATSEA Program held akan training of mudcrab culture which focused on location preparation, seed, pens development, harvesting and up to marketing.	PMU	Brebes and Jakarta	24-28 Mar 2014	5 Project staffs from MAF Timor-Leste and 1 coastal community leader Involved parties: KIMBIS (local Organization), Local Government of Brebes District, Research center for Oceanologi LIPI	Gov't of Timor-Leste (co-finance)	USD 12,600		Improved knowledge and best practices of mud-crab aquaculture in Indonesia. It is expected that participants can share this to broader community	- Participants understand techniques to collect seed from nature - Participants understand best practices of mangrove crab culture from the beginning until harvesting - Participants learned best practices to build pens - Participants learned packaging technique for marketing
			AUD:USD	1.06206	IDR:USD	11904.8		**Total**	**USD 335,205**		

Annex 5: List of Information Reviewed

1. GEF Project Information Form (PIF)
2. Project Document and Log Frame Analysis (LFA)
3. Project Inception Report
4. Mid-term review (MTR) report
5. Annual Project Implementation Reports (PIR/APR – 2011, 2012, 2013)
6. Quarterly Monitoring Reports QMR (2010, 2011, 2012, 2013, 2104-Q1)
7. Annual Work Plans, 2011, 2012, 2013, 2014
8. Project Board Meetings: 16 Jun 2014, 20 Feb 2014, 25 Mar 2013, 17 May 2012, 22 Mar 2011
9. Project GEF Tracking Tool, 2012 and 2014
10. Financial Expenditure Reports
11. Transboundary Diagnostic Analysis
12. Strategic Action Programme
13. Ministerial Declaration (SAP endorsement)
14. National Action Programme, Indonesia
15. National Action Programme, Timor-Leste
16. Summary of Demonstration Activities
17. ATSEA Thematic Reports (used in project preparation)
18. Biophysical Profile report
19. Socio-economic Profile report
20. ATSEA Outlook 2013 (Bridging Document)
21. ATSEA Governance Report for TDA and Governance Report for SAP
22. Demonstration Activities, Call for Proposal, May 2012
23. Demonstration Activities, Monitoring Report, May 2013
24. Supporting Sustainability of Snapper Fisheries in Arafura and Timor Sea Through Supply Chain, SFP, August 2012
25. UNDP Country (Indonesia) Programme Document, 2011-2015
26. UNDP Country (Indonesia) Programme of Action Plan, 2011-2015

Annex 6: Evaluation Matrix

Evaluation 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?			
To what extent is the principle of the project in line with the national priorities?	Level of participation of the concerned agencies in project activities. Consistency with National strategies and policies.	Minutes of meetings, Project progress reports, National Strategy and Policy documents	Desk review, interviews
To what extent is the Project aligned to the main objectives of the GEF focal area?	Consistency with GEF strategic objectives	GEF Strategy documents, PIRs, Tracking Tools	Desk review, interview with UNDP-GEF RTA
Effectiveness: To what extent have the expected outcomes and objectives of the Project been achieved?			
Completion of TDA	Completed and approved TDA; references to information included in TDA	TDA report; other reports	Desk reviews, interviews, field visits
Completion and approval of NAPs and SAP	Completed NAPs and SAP; reference to priority actions in key sectoral plans	NAPs and SAP; sectoral plans	Desk review, interviews, field visits
Preparation, implementation, and lessons learned of demonstration activities.	Lessons learned are consolidated and feed into planning for next phase	Value chain analyses; requests for proposals; monitoring reports; etc.	Desk review, interviews
Regional cooperation mechanism	Regional cooperation mechanism	Financing strategy; meeting minutes; testimonial evidence	Desk review, interviews, field visits
Efficiency: Was the Project implemented efficiently, in-line with international and national norms and standards?			
The extent of achievement of Project objective and outcomes according to the proposed budget	Percentage of expenditures in proportion with the results	Progress reports, Project Implementation Reviews	Desk review, interviews
Was the Project efficient with respect to incremental cost criteria?	Activities supported by the Project not commonly included among "business as usual" planning and development priorities	National and subnational development plans	Desk review, interviews
Country Ownership:			
Are project outcomes contributing to national and local development plans and priorities?	Plans and policies incorporating initiatives	Government approved plans and policies	Desk review, interviews
Were the relevant country representatives from government and civil society involved in the Project?	Effective stakeholder involvement	Meeting minutes, reports	Desk review, interviews, field visits
Did the recipient government maintain its financial commitment to the Project?	Committed co-financing realized	Audit reports, project accounting records, PIRs	Desk review, interviews
Has the governments approved policies or regulatory frameworks in line with the Project objective?	Plans and policies incorporating initiatives	Government approved plans and policies	Desk review, interviews
Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?			
Resource mobilization of domestic resources to finance implementation of NAP/SAP	Availability and amount of national and subnational budget allocation	Progress reports, PIRs, testimonial evidence	Desk review, interviews

Evaluation Criteria Questions	Indicators	Sources	Methodology
Integration of NAP priority actions in to key sectoral plans	Integration into sectoral plans	Progress reports, PIRs, sectoral plans, testimonial evidence	Desk review, interviews
Institutional capacity for supporting implementation of SAP	Institutional and individual capacities	Progress reports, PIRs, testimonial evidence, training records	Desk review, interviews
Are there social or political risks that may threaten the sustainability of project outcomes?	Socio-economic risks	Socio-economic studies, macroeconomic information	Desk review, interviews
Are there ongoing activities that pose an environmental threat to the sustainability of project outcomes?	Environmental threats	State of environment reports	Desk review, interviews, field visits
Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?			
Has the project made verifiable improvements in ecological status	Impact	Progress reports, PIRs	Desk review, interviews
Has the project made verifiable reductions in stress on ecological systems	Impact	Progress reports, PIRs	Desk review, interviews
Has the project demonstrated progress towards these impact achievements.	Impact	Progress reports, PIRs	Desk review, interviews
Stakeholder Involvement:			
Did the Project consult with and make use of the skills, experience, and knowledge of the appropriate government entities, NGOs, community groups, private sector entities, local governments, and academic institutions?	Active stakeholder involvement	Project document, Meeting minutes, reports, interview records	Desk review, interviews, field visits
Were the relevant vulnerable groups and powerful supporters and opponents of the processes properly involved?	Active stakeholder involvement	Meeting minutes, reports, interview records	Desk review, interviews, field visits
Did the Project seek participation from stakeholders in (1) project design, (2) implementation, and (3) monitoring & evaluation?	Record of comments and response	Plans, reports	Desk review, interviews, field visits
Catalytic Role:			
Has the Project had a catalytic or replication effect in the country and/or region.	Reference by other projects, programs	Interview records, project fact sheets	Desk review, interviews
Synergy with Other Projects/Programs			
Were synergies with other incorporated in the design and/or implementation of the project.	Reference to other projects/programs	Project document, annual work plans, meeting minutes	Desk review, interviews
Preparation and Readiness			
Were the Project objective and components clear, practicable, and feasible within its time frame?	Project efficiency, stakeholder involvement	Logical results framework, project document	Desk review, interviews

Evaluation Criteria Questions	Indicators	Sources	Methodology
Were the capacities of the executing institution(s) and its counterparts properly considered when the Project was designed?	Project efficiency and effectiveness	Progress reports, audit results	Desk review, interviews
Were the partnership arrangements properly identified and roles and responsibilities negotiated prior to Project approval?	Project effectiveness	Memorandums of understanding, agreements	Desk review, interviews
Were counterpart resources, enabling legislation, and adequate project management arrangements in place at Project entry?	Project efficiency and effectiveness	Interview records, progress reports	Desk review, interviews, field visits
Financial Planning			
Did the project have the appropriate financial controls, including reporting and planning, that allowed management to make informed decisions regarding the budget and allowed for timely flow of funds?	Project efficiency	Audit reports, project accounting records, level of attainment of project outcomes	Desk review, interviews
Was there due diligence in the management of funds and financial audits?	Project efficiency	Audit reports, project accounting records	Desk review, interviews, field visits
Did promised co-financing materialize?	Project efficiency	Audit reports, project accounting records, confirmation from funders	Desk review, interviews
Supervision and Backstopping			
Did GEF Agency staff identify problems in a timely fashion and accurately estimate their seriousness?	Project effectiveness and efficiency	Progress reports, MTR report	Desk review, interviews
Did GEF Agency staff provide quality support and advice to the project, approve modifications in time, and restructure the Project when needed?	Project effectiveness and efficiency	Progress reports, MTR report	Desk review, interviews
Did the GEF Agency provide the right staffing levels, continuity, skill mix, and frequency of field visits for the Project?	Project effectiveness	Progress reports, MTR report, , back-to-office reports, internal appraisals	Desk review, interviews, field visits
Delays and Project Outcomes and Sustainability			
If there were delays in project implementation and completion, what were the reasons?	Sustainability of Project outcomes	Progress reports, MTR report	Desk review, interviews
Did the delays affect project outcomes and/or sustainability, and, if so, in what ways and through what causal linkages?	Sustainability of Project outcomes	Progress reports, level of attainment of project outcomes	Desk review, interviews
Monitoring & Evaluation			
Was there sufficient focus on results-based management?	Project effectiveness	PIRs, MTR report	Desk review, interviews
Did management adequately respond to mid-term review recommendations?	Project effectiveness	Management response, PIRs,	Desk review, interviews

Annex 7: Matrix for Rating Achievement of Project Objective and Outcomes

The level of achievement of the project objective and outcomes will be assessed by evaluating the progress made toward achieving the targets on the indicators set out in the logical results framework. The colour coding used for rating of achievement is explained below:

HS	**Highly Satisfactorily achieved**
S	**Satisfactorily achieved**
MS	**Moderately Satisfactorily achieved**
MU	**Moderately Unsatisfactorily achieved**
U	**Unsatisfactorily achieved**
HU	**Highly Unsatisfactorily achieved**
U/A	**Unable to Assess**
N/A	**Not Applicable**

No.	Indicator	Target	TE Comments	Rating
Objective: To ensure the integrated, cooperative, sustainable, ecosystem-based management and use of the living coastal and marine resources, including fisheries and biodiversity, of the Arafura and Timor Seas, through the formulation, inter-governmental adoption and initial implementation of a Regional SAP and NAPs.				
Component 1 - TDA ***C1.1 Outcome*:** *Approved TDA* which identifies the ATS transboundary priority environmental problems, environmental & socioeconomic impacts, sectoral and root causes and governance analyses				
C1.1-1	A Transboundary Diagnostic Analysis (TDA) completed and approved	TDA finalized within 18 months of FSP start together with technical reports on : 1. Biophysical profile of ATSEA and coastal areas including fisheries and biodiversity assessment; 2. Socioeconomic and governance profile including resource user groups, market networks, productive value chains, and market access opportunities; 3. Causal chain analysis and options to address national and transboundary problems proposed in TDA approved by regional committees; 4. ATSEF Stakeholder assessment and stakeholder engagement plan developed for the Arafura and Timor Seas region.	The TDA and accompanying reports were completed on time and at lower cost than estimated budget.	**Satisfactory**
Component 2 - SAP/NAP development ***C2.1 Outcome*:** SAP and NAPs agreed and adopted at the national (inter-ministerial) and regional (intergovernmental) levels				
C2.1-1	SAP developed, agreed, inter-governmentally approved/signed and published.	SAP and NAPs finalized within 24 months of FSP start and endorsed at a high level (e.g., Ministerial) by the 36th month of the project notwithstanding national procedures.	SAP endorsed through ministerial declaration. Environmental management objectives are relevant and well-articulated; however, some of the indicator targets and priority actions require further review and stakeholder consultation.	**Satisfactory**
C2.1-2	NAPs developed, agreed, approved and published.		NAPs completed and approved by Governments of Indonesia and Timor-Leste. Environmental management objectives are relevant and well-articulated; however, some of the indicator targets and priority actions require further review and stakeholder consultation.	**Satisfactory**
Component 3 - SAP/NAP Initial Implementation ***C3.1 Outcome*:** Initial implementation of some SAP and NAP components, through targeted Demonstration Projects addressing high priority Transboundary issues identified by the TDA, to demonstrate the capacity of the littoral nations to cooperate in implementing joint activities, as the foundation for full SAP implementation in a future phase / follow-up Project.				

No.	Indicator	Target	TE Comments	Rating
C3.1-1	Regional Demonstration Project completed.	All three Demonstration Projects commenced within 18 months of FSP start. All Demonstration Projects completed by end of FSP and leading to improved livelihoods ~~(15% increase in income among target communities~~) and reduced pressure on marine resources. *Note: the 15% increase in livelihood target was removed, based upon a decision taken during a PSC meeting and based upon agreement that the target was unrealistic to achieve within the project timeframe.*	The regional demonstration projects were reasonably successful in exchange good practices and strengthening regional collaborative capacity.	**Satisfactory**
C3.1-2	National Demonstration Projects each in Indonesia & Timor-Leste completed.		National demonstration projects were completed in Indonesia (mangrove rehabilitation, mangrove crab rearing, facilitating traditional law) and in Timor-Leste (mangrove crab rearing, fish processing, capacity building). Livelihood projects proceeded without carrying out value chain analyses, leaving a number of unanswered questions at project closure.	**Moderately Satisfactory**
Component 4 - Regional cooperation mechanism ***C4.1 Outcome:*** *Regional cooperation mechanism:* Develop and strengthen ATSEF as an effective regional mechanism for the cooperative eco-system based management of the ATS region,				
C4.1-1	Agreement on Preferred regional Cooperation mechanisms	Preferred model identified and agreed at SAP adoption (24 months after FSP start).	Model for the ATSEA SAP Coordination Secretariat outlined in the ministerial declaration; a commendable achievement.	**Highly Satisfactory**
		Preferred model formally adopted and ready for implementation at end of FSP through a national interdepartmental coordination in each ATS country.	The model was endorsed, but the mechanism is not ready for implementation at project closure, as financing, staffing, etc. are not yet worked out.	
C4.2 Outcome: A regional self-financing mechanism, such as a multilateral trust fund or partnership council to ensure the implementation of the SAP				
C4.2-1	Self-financing mechanism for ATSEA SAP implementation	Self-financing mechanism agreed, developed and in-place – including actual commitment of funds to ensure the ongoing implementation of the SAP from Governments, NGOs and the private sector in the region.	A self-financing mechanism was not developed. There are some indications of financial commitment, including (1) provision of office space in Bali for a permanent regional cooperation mechanism; (2) Government endorsement for co-financing development of next phase of ATSEA; and (3) Government of Indonesia funding for implementing Arafura fisheries management plan.	**Moderately Unsatisfactory**
		By end of FSP, all participating countries contribute funds to the mechanism.	A self-financing mechanism was not developed.	
Component 5 – Project Coordination & Management ***C5.1 Outcome***: ATSEA Project is effectively coordinated and managed, according to budget and workplan, and including M&E arrangements and procedures.				
C5.1-1	PMU, located in Jakarta, established and fully operational	By FSP start	The PMU was established and delivered very effective project management services.	**Satisfactory**
C5.1-2	PSC established and fully operational	1 month before FSP start	The PSC was established and convened approx. once per year.	**Satisfactory**
C5.1-3	NSCs established and fully operational	Within 1 month of FSP start	Inter-ministerial committees were established and remained functional throughout the implementation timeframe.	**Satisfactory**
C5.1-4	NCs recruited and Fully operational	Within 2 months of FSP start	NC was recruited in Timor-Leste and operated through the TDA and SAP/NAP phase.	**Satisfactory**
C5.1-5	M&E procedures operating	Within 1 month of FSP start	M&E procedures were satisfactorily implemented.	**Satisfactory**

Annex 8: Evaluation Consultant Code of Conduct 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 limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form

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

Name of Consultant: James Lenoci

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

Signed in Jakarta on 1 July 2014

Signatures:



James Lenoci
Terminal Evaluator

Annex 9: Draft Report Review Comments and Evaluator Responses

Comment	Response by Evaluator
1. Cover page: Referring to the GEF Terminology and signed Prodoc, UNOPS is the executing agency of ATSEA. The Implementing Partners are Ministry of Marine Affairs and Fisheries, Republic of Indonesia and the Ministry of Agriculture and Fisheries, Democratic Republic of Timor-Leste.	Noted and modified accordingly.
2. TE Opening Page: Would prefer to use 'Project Document Signing Date' rather than 'GEF Agency Approval Date'. Also the Lead Implementing Partner should be MMAF with UNOPS as responsible party.	As indicated in Comment No. 1, UNOPS was the Executing Agency, not responsible party.
3. Executive Summary: Could be shortened. In general, it should be a several-pages stand-alone section which normally includes: 1) Overview of the evaluation, 2) Objectives and intended audience, 3) Evaluation Methodology, 4) Findings and conclusions, and 5) Main recommendations.	The Executive Summary has been reworked according to the comments raised.
4. Page 12 – linkages between Project and other interventions: a. This section needs to be elaborated (i.e. what link does ATSEA have with different projects/initiatives listed) b. Missing information on PEMSEA.	Noted. Linkages with other interventions, including PEMSEA were elaborated in this section.
5. Page 15: **Co-financing table – line no. 6** – UNDP Asia-Pacific Region (Bureau of Development Policy): a. Please correct co-financing type from **grant to in-kind** b. This co-financing was not realized. Due to staff movement, communication between the Green Commodity Facility and ATSEA project was never initiated.	a. Noted and modified accordingly b. Noted and modified accordingly.
6. Page 21: Annual, external financial audits. According to UNDP audit policy, UNDP will not audit UNOPS-executed project so the external and internal audit are of UNOPS responsible. UNOPS response: I checked up on the audit issue with our specialist here. In short, my understanding is that *"…the status of UNDP funds (including GEF).."* as mentioned in clause 173 in the pro-doc, are being audited by the UNBOA as part of the yearly UNOPS Financial Statements Report (e.g. the 2012 Report:http://www.un.org/en/ga/search/view_doc.asp?symbol=A/68/5/Add.10). This is of course an audit of the whole organization, and probably not that meaningful in the specific context of the ATSEA project, as the project funds cannot be singled out as	The comments are noted, and the evaluator feels that this clause should be removed or re-written according to the explanation provided by UNOPS. The audit clause indicated that audits would be carried out, and the M&E plan included costs for three external audits, each costing USD 3,000. No changes were made to the text of the subject section of the TE report.

Comment	Response by Evaluator
such. The policy within UNOPS for internal audit is that auditors would only pick out a project for an internal audit based on a risk assessment. So, the ATSEA project would have been audited internally, if auditors had found it to fulfill a certain risk profile for instance. This has not been the case for the ATSEA project.	
7. Page 28-29: "Outcome C 4.1: Regional Cooperation Mechanism: Develop and strengthen…" I think we deserve to get a **Highly Satisfactory Achievement** under this outcome. Over a number of similar GEF IW projects in Southeast Asia, only a handful projects were able to get ministerial endorsement in a form of Ministerial Declaration. This Declaration is fundamental in advancing ATSEA into the second phase, which is the SAP Implementation.	The evaluator recognizes the significance of achieving SAP approval through ministerial declaration, and the rating for this outcome was upgraded to Highly Satisfactory.
8. Page 32: Knowledge Management. Additional Publications of ATSEA in International Peer-reviewed Journal can be included here: 1. Tengberg, A., and A.S. Cabanban. 2013. Lessons learned from investing in Marine and Coastal Management Initiatives in the East of Asia Seas. **Marine Policy (38)**: 355-364 2. Alongi, D.M., S. Wirasantosa, T. Wagey and L.A. Trott. 2012. Early diagenetic processes in relation to river discharge and coastal upwelling in the Aru Sea, Indonesia. **Marine Chemistry (140-141)**: 10-23 PhD Research Proposal by Hannah Barrowman, entitled: **"Coastal adaptation across multiple socio-ecological systems and scales: A Comparative assessment of the coastal adaptive planning systems within the Arafura and Timor Seas region"**. Submitted: Feb 2014. Australian National University, Canberra	The two internationally peer-reviewed journal articles were added accordingly, and the conclusions section, under Major Achievements, has been adjusted, by indicating four rather than two international peer-reviewed scientific articles.
9. Page 35 - 3.3.4. Relevance a. This project is under GEF 4 replenishment, please ensure that correct GEF-4 IW strategy (http://www.thegef.org/gef/node/1798) is presented in the report b. This section needs to be elaborated. This section should answer the questions: 1) To what extent is the principle of the project in line with the national priorities? 2) To what extent is the Project aligned to the main objectives of the GEF focal area?	The Relevance section has been reworked, in response to the comments raised.
10. Page 46 – Key shortcomings: (Target 1.1; 2.1; 3.1;	The evaluator concurs that lack of baseline

Comment	Response by Evaluator
4.1; and 5.1). The main issue here is the lack of baseline information. Relevant information from other projects could be used as reference.	information will make some of the SAP indicator targets difficult to measure, and that is one reason for the recommendation to re-evaluator some of these targets. For example, it might be more reasonable to rework the targets, so that there is not as much emphasis on baseline information, as collecting sufficient baseline data might be cost or time prohibitive.
11. Page 47 a. **Financing arrangement**: I agree. It was a challenge to assess financing gap for SAP/NAP implementation due to limited resources and short time frame as well as obtaining political support (financial commitment) from ATSEA littoral nations. I hope it can be achieved in ATSEA Phase 2. b. **Stakeholder involvement**: I think we have some evidence on involving sub-national stakeholders in developing SAP and NAPs. However, I agreed that for the Local Demo Projects (especially in Indonesia), the stakeholder involvement is lacking. c. **Dissemination of Information**: We have received high appreciation from local governments and NGOs as one of the project that produced (and distribute) more reports that are useful to them. d. **Travel expenditure**: Could the consultant provide the GEF policy on travel budget ceiling and compared to other IW projects. Also as we discussed, there needs to differentiate between travel for component deliveries (substantive issues) and for management purpose (e.g. monitoring, etc.).	a. **Financing arrangement**. Noted. b. **Stakeholder Involvement**. The shortcoming with respect to stakeholder involvement of sub-national authorities is socio-economic development planning and spatial planning. This point has been clarified in the conclusions section. c. **Dissemination of Information**. The response to this comment is similar to Point (b) above, i.e., the key issue with respect to sub-national authorities is how they will integrate the recommended priority actions outlined in the NAP/SAP into their socio-economic and spatial development plans. The information disseminated to the authorities was more scientific in nature, and not targeted to development planning. d. **Travel Expenditure**. The evaluator is unaware of a GEF policy on maximum allowable travel expenditures. The point is one of proportionality, within the context of the project, as each project has unique circumstances with respect to travel, e.g., geographic distances, capacities of project partners (i.e., what is the added value of more frequent travel), etc. This issue was removed as a Key Shortcoming, and the discussion moved to the Efficiency section (3.3.5).
12. Recommendation and Proposals for Future Directions: I agree with all the recommendations and proposals. Almost all of them are actions we are planning to implement and deliver in the next phase.	Noted.
13. Annex 5: UNDP Indonesia use QMR +IPAR instead of QPR. (QMR= Quarterly Monitoring Report; IPAR = Internal Project Assurance Report). Please change QPR to QMR in bullet #6	Noted and modified accordingly.

Annex 10: Terms of Reference

TERMINAL EVALUATION TERMS OF REFERENCE

(INDIVIDUAL CONTRACTOR AGREEMENT)

TITLE: **TERMINAL EVALUATOR**
PROJECT: **ATSEA**
DUTY STATION: **HOME-BASED**
SECTION/UNIT: **GPSO IWC**
CONTRACT/LEVEL: **I-ICA 4**
DURATION: **1 MAY 2014 – 30 JUNE 2014 (LUMPSUM)**
SUPERVISOR: **KATRIN LICHTENBERG, SENIOR PORTFOLIO MANAGER, UNOPS**

INTRODUCTION

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 *Arafura and Timor Seas Ecosystem Action Programme* (PIMS No.3879)

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

PROJECT SUMMARY TABLE

	Arafura and Timor Seas Ecosystem Action Programme			
GEF Project ID:			*at endorsement (Million US$)*	*at completion (Million US$)*
UNDP Project ID:		GEF financing:	2.5	2.5
Country:	Indonesia, Timor-Leste	IA/EA own:	0	0
Region:		Government:	3.746	4.396
Focal Area:	International Waters	Other:	2.50	2.327
FA Objectives, (OP/SP):	Strategic Objective-1, Strategic Program-1: Restoring and sustaining coastal and marine fish stocks and associated biodiversity	Total co-financing:	6.246	6.723
Executing Agency:	UNOPS	Total Project Cost:	8.740	9.223
Other Partners involved:		ProDoc Signature (date project began):		April 2010
		(Operational) Closing Date:	Proposed: April 2014	Actual: June 2014

ATSEA BACKGROUND

According to Part IX of the United Nation Convention of the Sea, the resources of semi-enclosed seas, such as the Arafura and Timor Seas (ATS), are to be cooperatively managed by the littoral nations. In June, 2002, representatives from Indonesia, Timor-Leste, and Australia agreed to form a nonbinding forum to foster collaboration between government and non-government organizations, in the pursuit of the sustainable use of the living resources of the Arafura and Timor Seas.

To accomplish this goal the Arafura and Timor Seas Ecosystem Action (ATSEA) Program was created. ATSEA is designed to identify the root causes of the problems facing the ATS through a Trans-boundary Diagnostic Analysis across

national borders, allowing the ATS ecosystem to been seen as a whole, thus allowing ATSEA to identify the most effective cooperative methods for ecosystem and resource management. Information collected by ATSEA will ensure that future projects are in accordance with the biophysical, socio-economic, and environmental needs of the local and general areas in the ATS

The main goal of this project is to achieve an ecologically sustainable management and use of the living coastal and marine resources, including fisheries and biodiversity, of the Arafura-Timor Seas region, and improved, sustainable socio-economic conditions and opportunities for coastal peoples in the Arafura and Timor Seas region.

Whereas the objective of this project is to ensure the integrated, cooperative, sustainable, ecosystem-based management and use of the living coastal and marine resources, including fisheries and biodiversity, of the Arafura and Timor Seas, through the formulation, inter-governmental adoption and initial implementation of a Regional Strategic Action Programme (SAP).

There are 5 components assigned to this project. They include:

Component 1: Transboundary Diagnostic Analysis

Outcome: *Approved TDA* which identifies the ATS transboundary priority environmental problems, environmental & socio-economic impacts, sectoral and root causes and governance analyses.

Component 2: SAP/NAP Development.

Outcome: SAP and NAPs agreed and adopted at the national (inter-ministerial) and regional (inter-governmental) levels.

Component 3: SAP/NAP Initial Implementation

Outcome: SAP and NAPs Initial Implementation: Initial implementation of some SAP and NAPs.

Component 4: Regional Cooperation Mechanism

Outcome: Regional cooperation mechanism: Develop and strengthen ATSEF as an effective regional mechanism for the cooperative ecosystem-based management of the ATS region, through the implementation of the SAP and consideration of future models for regional engagement, to be agreed by the participating Governments.

Component 5: Project Coordination and Management (including M&E)

Outcome: Effective Project Coordination and Management: ATSEA Project is effectively coordinated and managed, according to budget and workplan, and including M&E arrangements and procedures.

The project has delivered almost all of the outcomes, and the last delivery will be the Ministerial Declaration endorsing the SAP.

OBJECTIVE AND SCOPE

The project was designed to: ensure the integrated, cooperative, sustainable, ecosystem-based management and use of the living coastal and marine resources, including fisheries and biodiversity, of the Arafura and Timor Seas, through the formulation, inter-governmental adoption and initial implementation of a Regional SAP and NAPs.

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.

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 programming.

EVALUATION APPROACH AND METHOD

An overall approach and method[1] for conducting project terminal evaluations of UNDP supported GEF financed projects has developed over time. The evaluator is expected to frame the evaluation effort using the criteria of

1 □ For additional information on methods, see the Handbook on Planning, Monitoring and Evaluating for Development Results, Chapter 7, pg. 163

relevance, effectiveness, efficiency, sustainability, and impact, as defined and explained in the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects.:

Box 3. UNDP Evaluation Criteria
1. Relevance
▪ The extent to which the activity is suited to local and national development priorities and organizational policies, including changes over time. ▪ the extent to which the project is in line with the GEF Operational Programs or the strategic priorities under which the project was funded. ▪ Note: Retrospectively, the question of relevance often becomes a question as to whether the objectives of an intervention or its design are still appropriate given changed circumstances.
2. Effectiveness
▪ The extent to which an obejctive has been achieved or how likely it is to be achieved.
3. Efficiency
▪ The extent to which results have been delivered with the least costly resources possible; also called cost effectiness or efficacy.
4. Results
▪ The positive and negative, foreseen and unforeseen changes to and effects produced by a development intervention. ▪ In GEF terms, results include direct project outputs, short to medium-term outcomes, and longer term impact including global environmental benefits, replication effects and other local effects.
5. Sustainability
▪ The likely ability of an intervention to continue to deliver benefits for an extended period of time after completion. ▪ Projects need to be environmentally, as well as financially and socially sustainble.

Source: http://web.undp.org/evaluation/documents/guidance/GEF/UNDP-GEF-TE-Guide.pdf (p. 15)

A set of questions covering each of these criteria have been drafted and are included with this TOR (*fill in 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, in particular the GEF operational focal point, UNDP Country Office, project team, UNDP GEF Technical Adviser based in the region and key stakeholders. The evaluator is expected to conduct a field mission to *Jakarta and Manado in Indonesia, as well as Dili in Timor-Leste* including the following project sites:*1. Bomaki village, Saumlaki, Indonesia*

2. Beacou and Liquica District, Timor-Leste

Interviews will be held with the following organizations and individuals at a minimum:

- Australia Focal Point
- Indonesia Focal Point
- Timor-Leste Focal Point
- Demo Projects Coordinators
- UNDP Country Office and Regional Technical Advisor
- UNOPS

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.

EVALUATION CRITERIA & RATINGS

An assessment of project performance will be carried out, based against expectations set out in the Project Logical Framework/Results Framework (see Annex A), which provides performance and impact indicators for project implementation along with their corresponding means of verification. 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. This evaluation will be guided by UNDP and GEF terminal evaluation guidelines.

http://www.thegef.org/gef/sites/thegef.org/files/documents/Policies-TEguidelines7-31.pdf

http://web.undp.org/evaluation/documents/guidance/GEF/UNDP-GEF-TE-Guide.pdf

Evaluation Ratings:			
1. Monitoring and Evaluation	***rating***	**2. IA& EA Execution**	***Rating***
M&E design at entry		Quality of UNDP Implementation	
M&E Plan Implementation		Quality of Execution - Executing Agency (UNOPS)	
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 Country Office (CO) 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	**UNDP own financing (mill USD)**		**Government (mill USD)**		**Partner Agency (mill USD)**		**Total (mill USD)**	
(Type/source)	**Planned**	**Actual**	**Planned**	**Actual**	**Planned**	**Actual**	**Planned**	**Actual**
Grants:								
- Gov of Indonesia			0.446	0.506			0.446	0.506
- Gov of TL			0.4	0.4			0.4	0.4
- Gov of Australia			0	0.14			0	0.14
- UNDP Indonesia					0.4	0.227	0.4	0.227
Sum (a)	**0**	**0**	**0.846**	**1.046**	**0.4**	**0.227**	**1.246**	**1.273**
Loans/concessions (compared to market rates)								
Credits								
Equity investments								
In-kind support:								
- Gov of Indonesia			1.9	1.9			1.9	1.9
- Gov of Australia			1	1.45			1	1.45

Co-financing	UNDP own financing (mill USD)		Government (mill USD)		Partner Agency (mill USD)		Total (mill USD)	
(Type/source)	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
- UNDP-BDP					0.05	0.05	0.05	0.05
- WWF					0.1	0.1	0.1	0.1
- SFP					0.05	0.05	0.05	0.05
- TNC					1	1	1	1
- CI					0.9	0.9	0.9	0.9
Sum (b)	**-**	**-**	**2.90**	**3.35**	**2.10**	**2.10**	**5.00**	**5.45**
Other								
TOTAL (a)+(b)			**3.746**	**4.396**	**2.50**	**2.327**	**6.246**	**6.723**

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 evaluator 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: a) verifiable improvements in ecological status, b) verifiable reductions in stress on ecological systems, and/or c) demonstrated progress towards these impact achievements.[2]

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 UNOPS. The UNOPSwill contract the evaluator and ensure the timely provision of per diems and travel arrangements within the country for the evaluator. The Project Team will be responsible for liaising with the Evaluatorto set up stakeholder interviews, arrange field visits, coordinate with the Government etc. UNDP will be tasked to review and clear the outputs of the consultant.

EVALUATION TIMEFRAME

The total duration of the evaluation will be an estimated *30* days according to the following plan:

Activity	Timing	Completion Date
Preparation*3* days *(recommended: 2-4)*	*10-12 May*	

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

Evaluation Mission

16 days (*r: 7-15)*	*13 May :* **Arrive Jakarta** *15 May : Travel to Manado* *16 May: Interview* *17 May: Interview* *18 May :Travel Manado - Ambon* *19 May: Travel Ambon-Saumlaki* *20 May: trip to demosite* *21 May: Travel Saumlaki-Ambon* *22 May: Ambon -Dps* *23 May Dps - Dili*
	23-24 May: Trip to demosite *25 May: Dili-Jkt* *28 May: Return to home country*
Draft Evaluation Report *9* days (*r: 5-10*)	*30 May – 15 Jun*
Review by UNDP and Implementing Partners	*16-25 June*
Final Report*2* days *(r;: 1-2*)	*30 Jun*

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 2 weeks before the evaluation mission.	Evaluator submits to UNDP CO and UNDP RTA
Presentation	Initial Findings	End of evaluation mission	To project management, UNDP
Draft Final Report	Full report, (per annexed template) with annexes	Within 3 weeks of the evaluation mission	Sent to UNDP, reviewed by RTA and CO, PCU, GEF OFPs
Final Report*	Revised report	Within 1 week of receiving UNDP comments on draft	Sent to UNDP for uploading to UNDP ERC.

*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.

REQUIREMENTS

The evaluation team will be composed of *(1international evaluator)*. The consultant shall have prior experience in evaluating similar projects. Experience with GEF financed projects is an advantage. The evaluator selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.

The Evaluator must present the following qualifications:

- Minimum *10* years of relevant professional experience
- Knowledge of UNDP and GEF
- Previous experience with results-based monitoring and evaluation methodologies;

- Technical knowledge in the targeted focal area(s)
- Fluency in English is required. Knowledge in Bahasa Indonesia or Tetun is an advantage.
- Willingness to travel to remote areas in Indonesia and Timor-Leste
- Master Degree in Environmental Science, Environmental Law on Marine Transboundary Issues, Fisheries, Marine Biology, Oceanography, Climate Science or other relevant Degrees

EVALUATOR ETHICS

Evaluation consultant 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'

PAYMENT MODALITIES AND SPECIFICATIONS

%	Milestone
10%	At submission and acceptance of inception plan by UNOPS and UNDP
40%	Following submission and approval of the 1ST draft terminal evaluation report
50%	Following submission and approval (UNDP-CO and UNDP RTA) of the final terminal evaluation report

APPLICATION PROCESS

Applicants are requested to apply online (https://gprs.unops.org/pages/viewvacancy/VAListing.aspxby (11th April 2014). Individual consultants are invited to submit applications together with their CV for these positions. The application should contain a current and complete C.V. in English with indication of the e-mail and phone contact.

UNOPS applies a fair and transparent selection process that will take into account the competencies/skills of the applicants as well as their financial proposals. Qualified women and members of social minorities are encouraged to apply.

Annex A: Project Logical Framework

(to be added)

Annex B: List of Documents to be reviewed by the evaluators

(to be added

Annex C: Evaluation Questions

This is a generic list, to be further detailed with more specific questions by CO and UNDP GEF Technical Adviser 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?			
Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?			
Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?			
Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?			
Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?			

Annex D: Rating Scales

Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution	***Sustainability ratings:***	***Relevance ratings***
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	4. Likely (L): negligible risks to sustainability 3. Moderately Likely (ML):moderate risks 2. Moderately Unlikely (MU): significant risks 1. Unlikely (U): severe risks	2. Relevant (R) 1.. Not relevant (NR) ***Impact Ratings:*** 3. Significant (S) 2. Minimal (M) 1. Negligible (N)
Additional ratings where relevant: Not Applicable (N/A) Unable to Assess (U/A		

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 Form[3]

Agreement to abide by the Code of Conduct for Evaluation 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 Evaluation.

Signed at *place* on *date*

Signature: _____

3 www.unevaluation.org/unegcodeofconduct

Annex F: Evaluation Report Outline[4]

i. Opening page:

- Title of UNDP supported GEF financed project
- UNDP and GEF project ID#s.
- Evaluation time frame and date of evaluation report
- Region and countries included in the project
- GEF Operational Program/Strategic Program
- Implementing Partner and other project partners
- Evaluation team members
- Acknowledgements

ii. Executive Summary

- Project Summary Table
- Project Description (brief)
- Evaluation Rating Table
- Summary of conclusions, recommendations and lessons

iii. Acronyms and Abbreviations

(See: UNDP Editorial Manual[5])

1. Introduction

- Purpose of the evaluation
- Scope & Methodology
- Structure of the evaluation 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 rated[6])

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)

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4 The Report length should not exceed *40* pages in total (not including annexes).

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

6 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.

- Partnership arrangements (with relevant stakeholders involved in the country/region)
- 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
- Evaluation Question Matrix
- Questionnaire used and summary of results
- Evaluation Consultant Agreement Form

Annex G: Evaluation Report Clearance Form

(to be completed by CO and UNDP GEF Technical Adviser based in the region and included in the final document)

Evaluation Report Reviewed and Cleared by

UNDP Country Office

Name: _____

Signature: _____ Date: _____

UNDP GEF RTA

Name: _____

Signature: _____ Date: _____