

# Terminal Evaluation Report

2014 December

Version: final

## CTI Sulu-Celebes Sea Sustainable Fisheries Management Project (SCS)

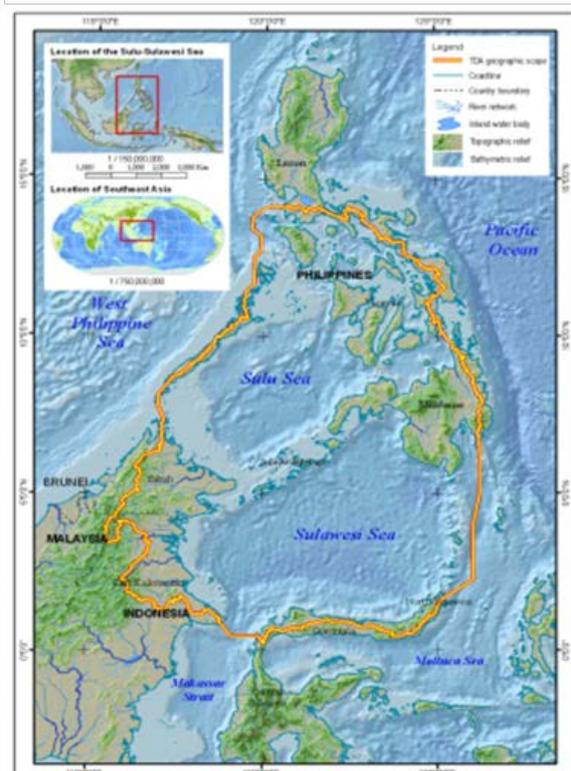
GEF Project ID: 3524

UNDP PIMS ID: 4063

<b>Region:</b>	Asia and the Pacific
<b>Countries:</b>	Indonesia, Malaysia, Philippines
<b>Focal Area:</b>	International Waters
<b>Implementing Agency:</b>	United Nations Development Programme (UNDP)
<b>Implementing Partner:</b>	United Nations Office of Project Services (UNOPS)
<b>Other Responsible Parties:</b>	Ministry of Marine Affairs and Fisheries (MMAF), Indonesia Department of Fisheries (DoF), Sabah, Malaysia National Fisheries Research and Development Institute (NFRDI), Department of Agriculture, Philippines
<b>Project Timeframe:</b>	June 2010 to September 2014



Boundary of SSME Ecoregion (red line)



Expanded geographic reach of the SSME (orange line) for TDA

Map source: TDA, 2014

Prepared by:

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IC Agreement 2014/IICA-SP/54307 (UNOPS)

## Terminal Evaluation Opening Page:

<b>Project Name:</b>	CTI Sulu-Celebes Sea Sustainable Fisheries Management Project (SCS)	
<b>GEF Project ID:</b>	3524	
<b>UNDP PIMS ID:</b>	4063	
<b>Region:</b>	Asia and the Pacific	
<b>Countries:</b>	Indonesia, Malaysia, Philippines	
<b>Funding Source:</b>	GEF Trust Fund	
<b>Focal Area:</b>	International Waters	
<b>GEF-4 Strategic Program:</b>	IW SO-1, SP1: Restoring and Sustaining Coastal and Marine Fish Stocks and Associated Biological Diversity	
<b>PIF Approval:</b>	16 November 2007	
<b>CEO Endorsement Date:</b>	7 October 2009	
<b>Implementing Agency:</b>	UNDP	
<b>Management Arrangement:</b>	UNOPS	
<b>Implementing Partner:</b>	UNOPS	
<b>Other Responsible Parties:</b>	Ministry of Marine Affairs and Fisheries (MMAF), Indonesia Department of Fisheries (DoF), Sabah, Malaysia National Fisheries Research and Development Institute (NFRDI), Department of Agriculture, Philippines	
<b>Implementation Timeframe:</b>	June 2010 to September 2014	
<b>Project Cost:</b>	USD 6,395,000	
<b>GEF Grant:</b>	USD 2,975,000 (includes USD 85,000 for PPG phase)	
<b>Co-Financing, Committed:</b>	USD 3,230,000 (cash and in-kind)	
	Government:	USD 3,000,000
	Other:	USD 140,000
	UNDP:	USD 90,000
<b>Terminal Evaluation Timeframe:</b>	November-December 2014	
<b>Evaluator:</b>	James Lenoci	
<b>Language of Evaluation Report:</b>	English	

The evaluator would like acknowledge the information and feedback provided by interviewed project stakeholders, including the national coordinators in Indonesia, Malaysia, and the Philippines, other representatives 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 sites. Finally, the evaluator is grateful for the insight shared by the regional project manager, and the support extended by project associate.

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## Executive Summary

**Exhibit 1: Project Summary Table**

Exhibit 1: Project Summary Table				
<b>Project Title:</b>	CTI Sulu-Celebes Sea Sustainable Fisheries Management Project		<b>at endorsement (USD million)</b>	<b>at completion (USD million)</b>
<b>GEF Project ID:</b>	3524	<b>GEF financing:</b>	2.89	2.873
<b>UNDP Project ID:</b>	4063	<b>IA own:</b>	0.09	0.150
<b>Countries:</b>	Indonesia, Malaysia, Philippines	<b>Government:</b>	3.00	3.039
<b>Region:</b>	Asia and the Pacific	<b>Other:</b>	0.14	0.276
<b>Focal Area:</b>	International Waters	<b>Total co-financing:</b>	3.23	3.464
<b>Operational Programme:</b>	SP-1	<b>Total Project Cost:</b>	6.12	6.34
<b>Executing Agency:</b>	UNOPS	<b>Prodoc Signature (date project began):</b>		9 Oct 2009
<b>Other Partners Involved:</b>	MMAF, Indonesia; DoF-Sabah, Malaysia; NFRDI, DA, Philippines	<b>(Operational) Closing Date</b>	Proposed: June 2014	Actual: Sep 2014

Note: Actual expenditures at completion provided by UNOPS (Mar 2015)

## Project Description

The Sulu-Celebes Sea (SCS) is a Large Marine Ecosystem in the tropical seas of Asia bounded by three countries – Indonesia, Malaysia and the Philippines. Being at the heart of the most bio-diverse marine area in the world, the SCS is also a very rich fishing ground for large and small pelagic as well as bay and coral reef fishes, providing livelihoods to the coastal inhabitants and food for the entire region and beyond. The fishery resources, however, have declined due to various threats, including overexploitation, habitat and community modification and global climate change.

The goal of the Project was to have economically and ecologically sustainable marine fisheries in the SCS, for the benefit of communities who are dependent on these resources for livelihood and for the global community who benefit in the conservation of highly diverse marine ecosystems and its ecosystems services. The objective of the Project was to improve the condition of fisheries and their habitats in the SCS through an integrated, collaborative and participatory management at the local, national and tri-national levels. The three countries and other stakeholders, including NGOs, have worked together to develop the Sulu-Sulawesi Marine Ecoregion Conservation Plan and formally put in place a regional institutional mechanism to implement the plan.

The Project activities, outcomes and outputs aimed to build on these strong regional and national initiatives. There were five major outcomes of the Project. The first was the achievement of a regional consensus on trans-boundary priorities and their immediate and root causes by updating an earlier Trans-boundary Diagnostic Analysis for the SCS and focusing on unsustainable exploitation of fisheries. The second outcome was agreement on regional measures for improved fisheries management through coordination in the formulation of a Strategic Action Program, which will build on the existing Ecoregion Conservation Plan. The third outcome was the strengthening of institutions and introduction of reforms to catalyze implementation of policies on reducing overfishing and improving fisheries management. The primary target for institutional strengthening is the Sulu-Sulawesi Marine Ecoregion Tri-National Committee and its Sub-Committees, in particular the Sub-Committee on Sustainable Fisheries. The fourth outcome was increased fish stocks of small pelagics through the implementation of best fisheries management practices in demonstration sites. The fifth outcome was the capture, application and dissemination of knowledge, lessons and best practices within the SCS and other LMEs.

## **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 made significant progress since the mid-term review, and managed to complete a transboundary diagnostic analysis (TDA), develop an initial regional strategic action program and national response in the form of national SAP's, produce a report on institutional strengthening, facilitated completion of integrated fisheries management plans for municipalities in each of the three participating countries, and supported scale-able demonstrations of ecosystem approach to fisheries management (EAFM) field interventions at sites in Tarakan, Indonesia and Zamboanga, Philippines. And, these achievements were made amid challenging exogenous conditions, including armed conflicts at two of the demonstration sites, general elections in each of the three countries, the devastating super typhoon Haiyan in the Philippines, currency devaluation in Indonesia, and policy shifts regarding fuel subsidies.

The updated TDA and the population genetics study are significant contributions to the scientific knowledge base of the SCS ecosystem. It has been 10 years, in 2002, since such a broad assessment was made into the biophysical and socio-economic conditions within the SCS, and the Project was effective in soliciting input from key regional and national scientists. The genetic study of the four selected, regionally important small pelagic species has demonstrated that these fish stocks are truly regional, and provides sound evidence supporting the tri-national decision to manage the transboundary SCS problems jointly.

This was the first project implemented under the Sub-Com on Sustainable Fisheries, and the RSAP and NSAP's have set out the first set of concrete responses to over-exploitation of small pelagics. Despite some shortcomings in the coherence of the SAP, these programs have provided a solid foundation, and the process of developing the RSAP/NSAP's has equally been important, through strengthening regional collaborative capacity and networks.

At each of the three demonstration sites, Tarakan in Indonesia, Semporna in Malaysia, and Zamboanga in the Philippines, integrated fisheries management plans (IFMP's) were developed by local experts, and two of them, Tarakan and Zamboanga, have been formally approved through sub-national administrative decisions. Following the concepts of ecosystem approach to fisheries management (EAFM), the Project facilitated demonstrations of management approaches in Tarakan, where a year-round, approximately 10,000-ha fisheries restricted area was established, and in Zamboanga, where a seasonal, 3-month closure of the sardine fishery has been implemented annually since 2011, and the Project contributed significantly by financing scientific studies and field surveys validating the viability of the closure, and also by facilitating awareness-raising across a wide spectrum of local and regional stakeholders.

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

also made strong capacity building contributions, through extensive trainings, workshops, and on-the-ground experience for sub-national administrations, local experts, including those from academia.

### **Shortcomings**

Despite these successes, the Project could not fully overcome inefficiencies in project management, with three different regional project managers in four years, and low value-for-money results for some of the components, including the institutional strengthening outcome. These inefficiencies resulted in restricted allocation of funds for some of the activities carried out in the later stages of the Project, including SAP consultations and knowledge management. One of the key results of the Project, endorsement of the RSAP is diminished by weakening governance structures, due to Malaysia's reluctance to renew the MOU for the SSME Tri-Com. The finished RSAP is insufficiently coherent, in the opinion of the evaluator, with no logical linkages to the SSME comprehensive action plan, limited short and medium term targets, and lack of a financing strategy for the estimated USD 32 million required in the first three years of implementation.

There were three different regional project managers over the course of the four-year long project, and this led to inconsistent support to the implementation progress and also with respect to advocacy to key national and regional level stakeholders. Management arrangements were also a bit conflicting, as the roles of the PMO and Conservation International were somewhat obscured with respect to technical oversight and facilitation of SAP consultations.

Contracted service providers accounted for the majority of project cost (47%), with local consultants contributing only 5% to the total. Based upon evidence gathered during the TE, national government decision makers were insufficiently engaged in the SAP process, which diminished the coherence and relevance of the endorsed regional strategic action program. The national responses are not rationalized among the countries, and there is no financing strategy for securing the USD 32 million required for the first three years, rendering the prospects for success fairly unlikely, under the current framework

Approximately 19% (USD 536,552) of the project cost was spent on Outcome 3, Institutional Strengthening, but with limited results produced, apart from an output deliverable of a report produced by a local university. The strength of the SSME Tri-Com has in fact weakened during the course of the project, with Malaysian officials indicating their reluctance to approve an extension of the MOU which runs out next year.

The cost for the TDA, which was an updated assessment compiling mostly secondary data, was also 50% more than the indicative amount allocated in the project document. And, generally weak financial control led to restricted funds being available near the end of the project for SAP consultations and knowledge management.

The incremental reasoning behind the GEF funding for this Project was to facilitate a regional response to transboundary problems within the SCS ecosystem. Taking this into account, the demonstration component had an insufficient regional dimension, except for the genetics study on selected small pelagics. Also, the formation of the SSME Tri-Com was founded on common concerns centered on conservation. Even if the Sub-Com on Sustainable Fisheries is mostly focused on fisheries management, not including biodiversity issues, which in fact ranked second among identified transboundary problems, into the SAP framework was a design flaw, as unsustainable exploitation of fish and habitat loss and community modification are not mutually exclusive, and should be addressed together.

By having much of the Project run by service providers, there seemed to be an over-emphasis on outputs, and there was less of a focus on intended results. This is evident, for example, in the institutional strengthening component. The UNDP has a strong comparative advantage with respect to advocacy, having long-standing favorable standing within the three participating countries, but this was not fully capitalized on. There is a rather complex landscape of regional environmental initiatives, and interviewed stakeholders stressed a certain level of confusion among them. In fact, one of the reasons why some Malaysian officials have indicated they are reluctant to renew the MOU of the SSME Tri-Com is perceived redundancy with the CTI regional plan of action. The UNDP, both through their country offices and regional Asia-Pacific office, could have contributed more to advocating the added value of the Tri-Com and the benefits of this Project.

## Evaluation Ratings

Based upon the summary outlined above, the overall outcome rating applied for the Project is **moderately satisfactory**. Detailed ratings are tabulated below in **Exhibit 2**.

Exhibit 2: Evaluation Rating Table		
Criteria	Rating	Comments
<b>1. Monitoring and Evaluation (M&amp;E)</b>		
M&E Design at Entry	Satisfactory	The M&E plan was reasonably extensive, sufficient activities and funds were allocated.
M&E Plan Implementation	Moderately Satisfactory	Specific targets for implementation performance were not developed. Monitoring was focused on activities rather than results. There are inconsistencies in the GEF IW tracking tool, and the management response to the mid-term review was not sufficiently shared with the Project Steering Committee.
Overall Quality of M&E	Moderately Satisfactory	The M&E plan was reasonably well put together, using the template for GEF-financed projects. Performance indicators were not defined, as planned, and results-based monitoring was found to be fairly weak.
<b>2. Implementing Agency (IA) and Lead Implementing Partner (Executing Agency - EA) Execution</b>		
Quality of IA (UNDP) Execution	Moderately Satisfactory	UNDP GEF RTA has extensive regional experience, and was in place throughout. Guidance on results-based management could have been better. Essentially no involvement by UNDP Indonesia and UNDP Malaysia.
Quality of EA (UNOPS) Execution	Moderately Satisfactory	High turnover of RPM position, and rapport with NCU's became contentious after late payment disbursements, and perceived lack of transparency regarding financial details.
Overall IA-EA Execution	Moderately Satisfactory	Comparative advantage of UNDP and UNOPS in implementing/executing IW projects. Advocacy expertise of UNDP not sufficiently capitalized upon. Rather low value-for-money on some components reflected weak financial control.
<b>3. Assessment of Outcomes</b>		
Relevance	Relevant	The Project is relevant with respect to national development priorities, and in fact some of the agreed activities in the NSAP's have already been included in sectoral plans. The Project also is closely aligned with the GEF IW strategic objectives, except for the exclusion of biodiversity in the SAP process.
Effectiveness	Moderately Satisfactory	Outcome 1 TDA is rated as Satisfactory; Outcome 2, SAP is rated as Moderately Satisfactory; Outcome 3, Institutional Strengthening is rated as Moderately Unsatisfactory; Outcome 4, Demonstrations is rated as Satisfactory; Outcome 5, Knowledge Management is rated as Satisfactory
Efficiency	Moderately Satisfactory	The Project was efficient with respect to the incremental reasoning of sponsoring an updated scientific assessment of transboundary threats and causal linkages and developing a framework of measures (NSAP's and RSAP) to

**Exhibit 2: Evaluation Rating Table**

Criteria	Rating	Comments
		respond to unsustainable exploitation of regional small pelagic fish. And, co-financing slightly exceeded committed amounts. Turnover of RPM's diminished efficiency, and low value-for-money for Outcome 3 (Institutional Strengthening) further weakened overall efficiency.
Overall Outcome Rating	Moderately Satisfactory	The Project could not fully overcome inefficiencies in project management, with three different regional project managers in four years, and low value-for-money results for some of the components, including the institutional strengthening outcome. These inefficiencies resulted in restricted allocation of funds for some of the activities carried out in the later stages of the Project, including SAP consultations and knowledge management.
<b>4. Sustainability</b>		
Financial	Moderately Likely	The approximate USD 10.5 million estimated to be required by each of the three countries for the first three years of implementation of the RSAP/NSAP's seems unrealistic, as there was no evidence available indicating that the countries have included these sums into their development plans for the next 3 years.
Socio-Economic	Moderately Likely	National and sub-national governments are keenly focused on local economic development, including securing existing and developing alternative livelihood alternatives for coastal communities. There are continued socio-political risks in the region, including in Semporna, Malaysia and in Zamboanga, Philippines, and could potentially compromise the implementation of the activities agreed upon in the RSAP/NSAP's.
Institutional Framework and Governance	Moderately Likely	The RSAP/NSAP's provide a starting point in terms of an institutional framework. The most significant risk to the governance related to the implementation of the RSAP/NSAP's is indication that the Government of Malaysia might be reluctant to approve the proposed extension of the MOU for the SSME Tri-Com. This is a critical risk that jeopardizes the overall viability of the SSME Tri-Com. If the MOU is not extended, there might be other opportunities of coordinating the implementation of the RSAP, either through bilateral arrangements or as part of another regional coordination mechanism.
Environmental	Moderately Likely	As outlined in the TDA, the predicted impacts of climate change extend over a wide-range of ecosystem services and human well-being, and as Asia Pacific is one of the most vulnerable regions to climate change, impacts are expected to become more intense in the future. This transboundary problem is not yet included in the RSAP/NSAP's.
Overall Likelihood of Risks to Sustainability	Moderately Likely	RSAP/NSAP's have a number of inconsistencies, including a fairly unattainable financial plan for the first 3 years of implementation. A sustainability strategy has not been prepared for the Project; for example, defining how the demonstration sites will continue to feed into the SAP process. The larger issue affecting sustainability is indication that the Government of Malaysia might not agree to extending the MOU for the Tri-Com.

## Recommendations

### ACTIONS TO FOLLOW UP OR REINFORCE INITIAL BENEFITS FROM THE PROJECT

1. The reluctance of Malaysia to support extension of the MOU of the SSME Tri-Com after the first one expires in 2015 is a critical risk to the overall viability of the tri-national collaborative framework. The other members of the Tri-Com, with support from the Sub-Com, UNDP, GEF, and also the CTI Secretariat should implement concerted advocacy efforts to communicate the added value of maintaining the SSME Tri-Com, and trying to persuade Malaysian decision makers to reconsider their position.

2. A sustainability strategy should be prepared to aid the Sub-Com in over-seeing subsequent implementation activities, including but not limited to the following items:
  - a) Outline the steps are suggested for deciding upon how coordination of the RSAP implementation will be operationalized;
  - b) Request the countries to indicate roles and responsibilities for implementation of the NSAP's;
  - c) Also, request the countries to outline how continued progress from the demonstration sites will feed into the NSAP's monitoring and evaluation program, as many activities in the current NSAP's are related to the demonstration sites; etc.
3. The RSAP should be rationalized, by considering the following suggestions:
  - a) An executive summary, understandable to the general public, should be added;
  - b) There should be clear, logical linkages to the SSME CAP;
  - c) A Year-1 review should be made, including a detailed account of activities completed, costs incurred, and contributions made toward the SAP targets;
  - d) Short-term and medium term targets should be developed that are attainable and measurable with available resources. If three years is selected as the first phase of implementation, then decide upon fewer activities than currently are included;
  - e) National responses should be rationalized, and activities should be reconciled to the medium-term development funding cycles of the countries (thus enhancing the likelihood for achievement);
  - f) A financing strategy should be made, including an incremental cost analyses for activities that the countries are unable to fund themselves;
  - g) There should be a strategy for eventually agreeing upon common baselines, information management and sharing, and financial reporting; and
  - h) A simple flow chart showing how the RSAP is complementary to other regional initiatives, such as the CTI, PEMSEA, ECOFISH, etc. would greatly aid advocacy efforts.
4. The results and lessons learned on the Project, including the demonstration sites should be documented in concise, informative case study reports and made available on the IW:Learn website and disseminated among the SCS stakeholder community;

#### **PROPOSALS FOR FUTURE DIRECTIONS UNDERLINING MAIN OBJECTIVES**

5. Biodiversity should be included in the RSAP/NSAP at the earliest convenience. This would strengthen stakeholder involvement and greatly facilitate the design and implementation of EAFM efforts.
6. Scaling up EAFM within the SCS might be more prudent on a sub-regional scale, rather than on at the municipality level. Such an approach might also increase opportunities for donor support. The recommendation is to analyze and map out sub-regional areas, which could be within national borders or trans-national, broken down by any number of criteria, including supply chain connectivity, type of fishery, demographics, etc., to create a general framework that could be amended to the TDA, and also used in subsequent development of the RSAP.
7. Design and sponsor regional demonstration initiatives. These could include, but not limited to the following:

- a) Linking universities together from each of the three countries on joint research topics;
  - b) Mapping out supply chain linkages, and highlighting weaknesses and needs for improvement;
  - c) Organizing joint training and experience-sharing workshops for local level surveillance officers;
  - d) Bringing together ethnic communities who are using traditional methods, to spotlight commonalities and to bridge cultural divides; etc.
8. Advocate consolidating national inter-sectoral coordination bodies for some of the complementary regional initiatives, including SSME, CTI, PEMSEA, SEAFDEC, FAO IUU RPOA etc. Some of the same people are involved in the coordinating bodies, so it becomes unreasonable to schedule separate meetings.
  9. Link sustainable land management with EAFM objectives Considering the geographic characteristics in the SCS countries and the impacts associated with agriculture and forestry, including sediment loading, linking sustainable land management with improving the resilience of coastal communities should be better emphasized, in terms of livelihoods, conservation, and pollution reduction targets.
  10. Support improvements to local enabling infrastructure, e.g., jetties, cold chain facilities, etc., as a way to increase ownership and awareness among local stakeholders.

## Abbreviations and Acronyms

Exchange Rates on 5 Dec 2014: Indonesian Rupiah (IDR): USD = 12,300  
Malaysian Ringgit (MYR): USD = 3.4492  
Philippine Peso (PHP): USD = 44.5258

ADB	Asian Development Bank
ASEAN	Association of Southeast Asian Nations
BDP	Bureau for Development Policy (UNDP)
BFAR	Bureau of Fisheries and Aquatic Resources (Philippines)
BIMP-EAGA	Brunei-Indonesia-Malaysia-Philippines East Asia Growth Area
CI	Conservation International
COBSEA	Coordinating Body on the Seas of East Asia
CPUE	Catch per Unit Effort
CTI	Coral Triangle Initiative
CTI CFFC	Coral Triangle Initiative on Coral Reefs, Fisheries and Food Security and Adaptation to Climate Change
CT6	Coral Triangle (6 countries)
DoF	Department of Fisheries (Sabah, Malaysia)
EAFM	Ecosystem Approach to Fisheries Management
ECP	Ecoregion Conservation Plan for SSME
FAO	Food and Agriculture Organization
GEF	Global Environment Facility
GIWA	Global International Waters Assessment
IEC	Information, Education, and Communication
ICM	Integrated coastal management
LME	Large Marine Ecosystem
MARPOL	International Convention for the Prevention of Pollution from Ships (IMO)
MCS	Monitoring, Control, Surveillance
MDGs	Millennium Development Goals
MMAF	Ministry of Marine Affairs and Fisheries (Indonesia)
MOU	Memorandum of Understanding
MTR	Mid-Term Review
NCU	National Coordinating Unit
NFRDI	National Fisheries Research and Development Institute (Philippines)
NPOA	National Program of Action for CT countries
NSAP	National Strategic Action Program
PEMSEA	Partnerships in Environmental Management for the Seas of East Asia
PMO	Project Management Office
PPG	Project Preparation Grant
RPOA	Regional Program of Action for CT countries
RPM	Regional Program Manager
RSAP	Regional Strategic Action Program
SAP	Strategic Action Program
SEAFDEC	Southeast Asian Fisheries Development Center
SCS	Sulu-Celebes Sea Large Marine Ecosystem
SCS-SFM	Sulu-Celebes Sea Sustainable Fisheries Management Project
SSME	Sulu-Sulawesi Marine Ecoregion
SSME CAP	SSME Comprehensive Action Plan
TDA	Transboundary Diagnostic Analysis
TE	Terminal Evaluation
UNDP	United Nations Development Program
UNDP BDP	UNDP Bureau for Development Policy
UNDP CO	UNDP Country Office
UNOPS	United Nations Office for Project Services
USAID	United States Agency for International Development
WWF	World Wide Fund for Nature

## 1. INTRODUCTION

### 1.1. Purpose of Evaluation

As outlined in the guidance documents, evaluations for UNDP Supported GEF financed projects have the following complementary purposes:

- ✓ *To promote accountability and transparency, and to assess and disclose the extent of project accomplishments;*
- ✓ *To synthesize lessons that can help to improve the selection, design and implementation of future GEF financed UNDP activities;*
- ✓ *To provide feedback on issues that are recurrent across the UNDP portfolio and need attention, and on improvements regarding previously identified issues;*
- ✓ *To contribute to the overall assessment of results in achieving GEF strategic objectives aimed at global environmental benefit;*
- ✓ *To gauge the extent of project convergence with other UN and UNDP priorities, including harmonization with other UN Development Assistance Framework (UNDAF) and UNDP Country Programme Action Plan (CPAP) outcomes and outputs.*

### 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<sup>1</sup>.

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

- ✓ An evaluation mission was carried out from 24 November to 6 December 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 the communities where demonstration activities were completed: Semporna, Malaysia; Tarakan, Indonesia; and Zamboanga, Philippines. A summary of the field visits is presented in **Annex 3**;
- ✓ 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 compilation of actual financial expenditures is included in **Annex 4**, and a complete list of information reviewed is compiled in **Annex 5**;
- ✓ The evaluator presented the preliminary findings of the TE at a debriefing held in Manila at the end of the field mission on 5 December 2014.

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

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<sup>1</sup> Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects, 2012, UNDP.

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**).

The rationale for implementing the utilized evaluation methodology is described below.

- ✓ Two of the main components of the project including preparation of a transboundary diagnostics analysis (TDA) and strategic action plans (SAPs). The methodology chosen to evaluate these outcomes were review of the delivered reports and plans, interviews with people who prepared the reports and plans, and interviews with beneficiary stakeholders of the SAP's;
- ✓ With respect to the third outcome, institutional strengthening, the primary evaluation methodology was interviews with officials from the beneficiary institutional stakeholders, and review of information related to the activities of this component of the project and also which has been produced as a result of the strengthened institutions;
- ✓ As there were only one demonstration site in each of the three beneficiary countries, one of the methods used in the evaluating this outcome was visiting the local communities where the activities were implemented, interviewing local government officials and stakeholders from the fishing sector. As each of the 3 sites could be visited, a questionnaire survey was determined unwarranted;
- ✓ The field visits to the demonstration sites and the personal interviews during the entire TE mission were also used to gauge awareness among participating stakeholders. The knowledge products produced and monitoring reports generated under the fourth outcome were also reviewed to assess the performance of the awareness campaigns.

### 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

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	
<b>S</b>	<b>Specific:</b> Outcomes must use change language, describing a specific future condition
<b>M</b>	<b>Measurable:</b> Results, whether quantitative or qualitative, must have measurable indicators, making it possible to assess whether they were achieved or not
<b>A</b>	<b>Achievable:</b> Results must be within the capacity of the partners to achieve
<b>R</b>	<b>Relevant:</b> Results must make a contribution to selected priorities of the national development framework
<b>T</b>	<b>Time- bound:</b> 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.

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 the period of November-December 2014; 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**).

The operational closure of the project was a few months earlier than the TE timeframe, so there were some difficulties in arranging interviews, as some of the key stakeholders had move on to other positions. All in all, the evaluator considers that sufficient feedback was obtained from the key stakeholders, either through personal interviews or via Skype.

Site visits were made to the demonstration sites in each of the beneficiary countries. Due to time and cost constraints, the replication sites were not visited. Except for the Philippines, there were limited on-the-ground activities at the replication sites. In the case of the replication site in the Philippines, there was sufficient information available in progress reports, and the same implementation team was overseeing the demonstration site and those people were personally interviewed.

The project information was available in English language, except for some brochures distributed to local community stakeholders at the demonstration sites, as part of the awareness campaign. Interviews were also held in English; there was no need to use the service of an interpreter.

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		
<p><b>Ratings for Outcomes, Effectiveness, Efficiency, M&amp;E, I&amp;E Execution</b></p> <p><b>6. Highly Satisfactory (HS):</b> The project had no shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency</p> <p><b>5: Satisfactory (S):</b> There were only minor shortcomings</p> <p><b>4. Moderately Satisfactory (MS):</b> There were moderate shortcomings</p> <p><b>3. Moderately Unsatisfactory (MU):</b> The project had significant shortcomings</p> <p><b>2. Unsatisfactory (U):</b> There were major shortcomings in the achievement of project objectives in terms of relevance, effectiveness, or efficiency</p> <p><b>1. Highly Unsatisfactory (HU):</b> The project had severe shortcomings</p>	<p><b>Sustainability Ratings:</b></p> <p><b>4: Likely (L)</b> Negligible risks to sustainability</p> <p><b>3. Moderately Likely (ML):</b> Moderate risks to sustainability</p> <p><b>2. Moderately Unlikely (MU):</b> Significant risks to sustainability</p> <p><b>1. Unlikely (U):</b> Severe risks to sustainability</p>	<p><b>Relevance Ratings:</b></p> <p><b>2. Relevant (R)</b></p> <p><b>1. Not relevant (NR)</b></p> <p><b>Impact Ratings:</b></p> <p><b>3. Significant (S)</b></p> <p><b>2. Minimal (M)</b></p> <p><b>1. Negligible (N)</b></p>
<p>Additional ratings where relevant:</p> <p><b>Not Applicable (N/A)</b></p> <p><b>Unable to Assess (U/A)</b></p>		
<p><small>Source: Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects, 2012, UNDP</small></p>		

## 2. PROJECT DESCRIPTION

### 2.1. Project Start and Duration

Key project dates are listed below:

<b>PIF Approval:</b>	16 November 2007
<b>PPG Approval Date:</b>	28 March 2008
<b>CEO Endorsement Date:</b>	07 October 2009
<b>Executing Agency Signature:</b>	January 2010
<b>Project Inception Meeting:</b>	29-30 September 2010
<b>Mid-Term Review:</b>	April-May 2013
<b>Project completion (original)</b>	June 2014
<b>Project completion (actual)</b>	September 2014
<b>Terminal evaluation</b>	December 2014

The project was first initiated in 2006, shortly after the SSME Tri-National Committee and three Sub-Committees were formed that year to implement the ecoregion conservation plan. The project identification form (PIF) submitted to GEF on 15 October 2007 was approved a month later, on 17 November 2007. A request for a project preparation grant (PPG) was submitted on 15 February 2008, and re-submitted and approved on 25 March 2008. The SSME Sub-Committee on Sustainable Fisheries approved the project at their Second Annual Meeting in 2008.

The approximate one year PPG phase culminated with CEO endorsement of the full-scale project on 07 October 2009. The executing agency, UNOPS, signed project document a couple months later, in January 2010. The regional project manager was hired 6 months later, in June 2010, which was considered the start of the project. The inception meeting was held on 29-30 September 2010.

The Government of Indonesia also delayed signing the project document, citing concerns with the attainability of “adopting” a regional strategic action programme within the Project timeframe

During the 2<sup>nd</sup> Project Steering Committee meeting in 2012, it was agreed to extend the end date by 6 months, through December 2014. The mid-term review (MTR) was completed in April-May 2013. There was no functional PMO in place for a few months after the second regional project manager resigned at the end of 2012, so the MTR was made a bit later than originally planned.

Due to insufficient funds, a decision was made during the 3<sup>rd</sup> Project Steering Committee meeting, held in 2013, to amend the end of the project to 30 June 2014. The end date was extended an additional 3 months, to 30 September 2014, during the final Steering Committee meeting in June 2014. The terminal evaluation was made in November-December 2014.

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.

## 2.2. Problems that the Project Sought to Address

The Sulu-Celebes Sea (SCS) large marine ecosystem (SCS-LME) of the Indo-Malay-Philippines Archipelago covers an area of approximately 900,000 km<sup>2</sup> in the heart of the Coral Triangle, one of the world's most biologically diverse marine environments.

The ecosystem supports considerable numbers and species of important marine flora and fauna, including sea turtles, marine mammals, elasmobranchs, marine fishes, seaweeds, and sea grasses. The SCS is also a rich fishing ground for large and small pelagics, as well as demersal and reef fishes. The capture fisheries production alone is estimated to be more than USD 1 billion.<sup>1</sup> Fish is also an important food security issue among the three countries, as the population of an estimated 35 million, growing 2-5% annually, relies heavily on SCS fisheries as their main source of animal protein and livelihoods. There are, for example, roughly one million small-scale fishers operating within the SCS coastal communities.

The marine environment of the SCS is under threat by the expanding coastal area populations and increased economic activities, including agriculture, aquaculture, tourism, and mining. These pressures include unsustainable fishing practices, destructive fishing techniques, impacts associated with mismanaged aquaculture, pollution, and poorly planned and inappropriate land use. National and local governments face formidable challenges to overcome barriers to these threats, including insufficient understanding of the connectivity of marine biodiversity and the ecological processes that support it, generally ineffective and under-supported conservation management and enforcement regimes, limited capacity, and lack of coordination among natural resource managers, and economic incentives that favor short-term resource exploitation over sustainable use. This situation brings about low fisheries productivity, equity problems, and undermined environmental integrity.

In 2001, the governments of Indonesia, Malaysia, and the Philippines agreed to a regional response to the threats to the SCS marine environment, through formulation of the SSME ecoregion conservation plan (ECP), which embodies a common 50-year vision for biodiversity conservation and sustainable productivity of the SCS. The ECP was adopted in 2004 through a Memorandum of Understanding (MOU), signed by the three countries and ratified in 2006. The SSME Tri-National Committee, including three Sub-Committees, was then formed in 2006 and tasked to implement the ECP.

The SSME Sustainable Fisheries Sub-Committee agreed that small pelagic fisheries are a key regional concern. Trawl-fisheries, primarily targeting demersal fish stocks, were being addressed by countries and regulations are in place. And, large pelagic fisheries were already subject to numerous regional and international meetings and projects. Small pelagic fisheries, on the other hand, had been given very little attention from fisheries managers. The landings of small pelagic fisheries contribute lesser volume of landings compared to trawl fisheries and lesser in terms of value compared to large pelagic fisheries, but small pelagics play an important role in the ecology of marine fisheries (predator-prey relationships) and in the socio-economy of Indonesia, Malaysia, and the Philippines. Small pelagic stocks are schooling and are not highly migratory as the large pelagic and were therefore thought to be likely shared-stocks among Indonesia, Malaysia, and the Philippines in the SCS LME. Moreover, the small pelagic fisheries employ many artisanal fishermen in Malaysia and the Philippines and generate export income for these two countries. The transboundary trade in small pelagic fishes in between Indonesia and Malaysia is profitable to Malaysian traders and important source of protein for the population in Kalimantan, Indonesia.

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<sup>1</sup> Project document, 2008.

For all these varied reasons, the Sub- Committee on Sustainable Fisheries decided that the focus of the Project should be on the regional management of small pelagic fisheries.

### **2.3. Immediate and Development Objectives of the Project**

The goal of the Project was to contribute to the sustainability of the economically and ecologically important fisheries in the SCS and their habitats, including its biodiversity and ecological processes, primarily for the benefit of communities that are dependent on these resources for livelihood.

The development objective of the Project was to improve the condition of fisheries in the SCS to a sustainable level through an integrated, collaborative and sustainable tri-national management and to demonstrate best fisheries management practices in pilot sites in the three SCS countries for subsequent upscaling of lessons learned to the entire SCS.

### **2.4. Baseline Indicators Established**

When the Project was prepared in 2008, the following baseline indicators were established.

The SCS has an outstanding biodiversity being one of the most diverse marine ecosystems in the world. The region provides environmental services to the three bordering countries which in turn support many of the economic activities of the populations in these countries.

Various threats had been identified, including unsustainable exploitation of fisheries, habitat destruction and community modification, land-based and marine pollution, freshwater shortage, and global climate change. Growing human population in the three countries, particularly in the coastal areas have intensified resource exploitation, pollution, sedimentation and coastal development. More frequent and intense storms, sea level rise, warmer waters, and ocean acidification associated with Global Change are expected to aggravate these threats.

National governance institutions are in place for fisheries management in the three SCS countries. In the case of Indonesia and the Philippines, much of fisheries management have been devolved also to local government units while in Malaysia, the same has remain centralized.

Investment in fisheries have been increasing as well as reflected by the numerous fisheries related projects conducted at the national and local levels for promote a more sustainable exploitation of fisheries and aquatic resources.

At the sub-regional level, the three SCS countries have started to work together to address the threats to the shared marine resources of SCS. In particular, the SSME ecoregion conservation plan (ECP) was formulated in 2001. However, since its ratification in 2006, due to shortfalls in funding, manpower, and overall resources available to the SSME Tri-National Committee and its three sub-committees, limited progress had been made in the implementation of ECP.

There had also been a lack of emphasis at the local, national, and SCS levels regarding planning and implementation of projects specifically for small pelagic fisheries which are an economically, environmentally and socially critical resource for the coastal populations in the SCS, particularly the poor. It had been recognized by several scientific studies that the small pelagic fisheries were being overfished, although the extent of overfishing was largely unknown.

Although enabling legislation was largely in place among the three countries, there had been little progress made in preparing and implementing integrated coastal management plans (ICM's).

## 2.5. Main Stakeholders

There were three types of stakeholders identified during project preparation, and categorized according to management level: local, national and sub-regional stakeholders. In terms of organizations, the stakeholders included, among others, government agencies and offices, private and public learning institutions, business organizations, non-government organizations, people organizations, and coastal communities.

For Indonesia, the major national stakeholders of the SCS-SFM Project were the MMAF and its relevant subordinate fisheries offices such as the Marine, Coastal and Small Islands and Capture Fisheries and the Agency for Marine and Fisheries Research (AMFR). The important local stakeholders were the Provincial/District Marine and Fisheries Services and commercial and artisanal fishermen in the Indonesian side of the SCS.

For Malaysia, the important national stakeholders were the DOF of the Ministry of Agriculture (MA) and its relevant offices including the Fisheries Research Institute (FRI). At the local level, the main stakeholders were the DOF Sabah of the Ministry of Agriculture and Food Industry and the commercial and artisanal fisheries in the Malaysian side of the SCS.

For the Philippines, the major stakeholders were the Bureau of Fisheries and Aquatic Resources (BFAR) of the Department of Agriculture (DA) and the National Fisheries Research and Development Institute (NFRDI). The important stakeholders at the local levels were the provincial and municipal agriculture offices, the regional office of BFAR and the commercial and municipal fishermen in the Philippine side of the SCS.

In addition to the above stakeholders, the environment agencies and offices of the local and national governments in Indonesia, Malaysia and the Philippines, particularly those involved in the management and conservation of marine resources in the SCS were important stakeholders of the Project.

Fishers were also important stakeholders; including both commercial and small-scale ones. In addition, backward linkage participants of fisheries such as input suppliers and forward linkage participants such as fish processors and sellers of fish and fish products were identified.

## 2.6. Expected Results

Through the catalytic support from GEF, one expected result of the Project was enabling the three countries through the SSME Sub-Committee on Sustainable Fisheries, to discuss and agree on joint priorities for marine fisheries, particularly on the small pelagics in the SCS. It was envisaged that the persistent shared problem about the overexploitation of marine fisheries would be tackled jointly by the three countries, thereby contributing to the objectives of the GEF and to sustainable livelihoods in the SCS.

The Project also aimed to build foundational capacity and pilot some innovative demonstration on fisheries conservation and management in the SCS for replication and on-the-ground implementation in a subsequent phase and/or under the wider Asia Coral Triangle Initiative Program.

Through institutional strengthening, policy reforms at the global/regional, national and local levels and implementation of concrete actions focused on demonstration sites, the Project was expected to bring about regional, national and local benefits. At the regional level, the three countries stood to benefit through the conservation of shared fish stocks. Overfishing is not only a regional problem but also a global problem. The conservation of these economically important

fish species would benefit each country and local communities through the supply of some of the cheapest sources of fish protein, provision of sustainable livelihoods among the marginalized sectors, and supporting the web of life in the coastal and marine ecosystems.

At the national level, the Project aimed to contribute to national targets as specified in the Millennium Development Goals (MDGs), in particular Goal 7: Ensuring Environmental Sustainability, Goal: Eradication of Poverty and Hunger, Goal 8: Developing a Global Partnership for Development. The Project also facilitated the countries' ability to meet their commitments under the UNCBD and MARPOL.

## 2.7. Budget and Finance Breakdown

The project implementation budget was USD 2,890,000 (GEF grant), as shown below in **Exhibit 5** broken down among the five outcomes and project management.

<b>Exhibit 5: Project Budget Breakdown</b>	
<i>Item</i>	<b>GEF Grant Prodoc Budget % of Total</b>
<b>Outcome 1:</b> Regional consensus on transboundary priorities, their immediate and root causes	USD 300,000 10.4%
<b>Outcome 2:</b> Recommendations on regional and national legal , policy and institutional reforms for improved fisheries management	USD 570,000 19.7%
<b>Outcome 3:</b> Strengthening of existing institutions to catalyze regional cooperation in reducing over-fishing and improving fisheries management in the SCS	USD 550,000 19%
<b>Outcome 4:</b> Increased Capacity of SSME national level institutions to implement site-specific EAFM with local partners to rebuild fish stocks and improve fishing incomes	USD 1,000,000 34.6%
<b>Outcome 5:</b> Facilitated uptake of knowledge and lessons learned	USD 190,000 6.6%
<b>Project Management</b>	USD 280,000 9.7%
<b>Total</b>	<b>USD 2,890,000</b>

Source: Project Document

The total co-financing committed to the Project was USD 3,230,000, including contributions from:

Governments, cash and in-kind:	USD 3,000,000
Conservation International, cash:	USD 140,000
UNDP (BDP, Phi), in-kind:	USD 90,000

## 3. FINDINGS

### 3.1. Project Design / Formulation

#### 3.1.1. Analysis of Logical Results Framework

##### Summary:

- + Followed TDA/SAP process;
- + Consultation outreach (among fisheries stakeholders) was good;
- Difficult to measure some of the indicator targets;
- Demonstration component should have had a stronger regional dimension;
- Not including biodiversity issues in the SAP is inconsistent with EAFM principles

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 process contains a strong advocacy dimension, promoting the recommended priority actions and regional coordination mechanisms among key governmental and other stakeholders.

Based upon interview feedback during the TE mission, key fisheries sector stakeholders indicated they were provided with sufficient opportunity to provide input to the Project design, and many of them participated in the consultations held.

The quantitative targets originally set for the demonstration outcome, specifically 5-10% increase in fish stocks, and 10% increase in household income, were removed after reviewed by the TAG in November 2011, and replaced by more of a capacity building focus. This was a reasonable decision, considering that the Project was not fully prepared and had insufficient resources to carry out the required monitoring for such indicators, and the targets were a bit too ambitious for a demonstration-scale intervention.

The indicator target for Outcome 3 is rather general and could not be practically measured:

*“Institutional strengthening activities are initiated in the first year of the Project and continuing in subsequent years. SAP is properly implemented with better institutions.”*

19% of the Project budget was allocated and spent on this component; there should have been more specific outcome level indicator targets stipulated.

The activities under Outcome 4 were mostly centered around EAFM demonstrations on municipal scales in each of the participating countries. Consistent with the incremental analysis made to justify the GEF support, there should have been a greater regional dimension to the demonstration activities, albeit within the funding levels available.

As fisheries management moves towards a more ecosystem-based approach, biodiversity issues become more important, and are not mutually exclusive with respect to unsustainable exploitation of fish. Considering that the SSME Tri-Com was formed on the basis of a conservation-focused objective, excluding biodiversity issues in the first version of the RSAP/NSAP's was a design flaw, in the opinion of the evaluator.

### 3.1.2. Assumptions and Risks

The project document contains a breakdown of assumptions and associated risks for each outcome and output planned. There were no specific risk mitigation plan in the project document or later during implementation, e.g., which assigns risk owners, presents mitigation measures, and outlines monitoring/reporting procedures. One of the main mitigation approaches indicated in the project document was to be realized through the SAP consultation and implementation processes, which would lead to strengthened capacities among the involved stakeholders. This approach was, in the opinion of the evaluator, too general and lacked appreciation of the required level of risk management on a regional project such as this. The risk of deteriorating collaboration among the three countries was indeed significant, and expecting that SAP consultations that were led by a contractor (CI Philippines) would be an appropriate mitigation measure is overly simplistic. This particular risk, and other significant ones, should have been assigned a risk owner(s) who would proactively advocate for continual improvements in regional collaboration.

Diminishing collaboration among the three countries has been manifested in the standpoint conveyed by a Malaysian federal agency that they do not support extension of the SSME MOU because they see it as redundant with the priorities and programs under the CTI-CFFC<sup>1</sup>. The Malaysian government also did not endorse a proposed medium scale GEF project that was proposed in 2013 to fill knowledge gaps on regional small pelagic fisheries. These decisions were not indicated as critical risks in the 2013 or 2014 PIR's, although they represent a significant possible deterrent to continued regional, tri-national collaboration.

Significant security issues arose during the implementation phase of the project; including in Semporna, Malaysia and Zamboanga, the Philippines. These security incidents were discussed in one of the PSC meetings, and although not included in the TDA, participants agreed to consider adding these political risks to an amended version of the analysis.

The 2013 PIR includes a comment regarding how the turnover of PMO staff was not anticipated early on and not effectively managed by the Implementing Partner (UNOPS). Indeed, this sentiment was stressed by several of the interviewed stakeholders during the TE mission. There were some adaptive measures implemented during times when there were gaps in PMO staff representation, but there was no evidence of a risk management response, trying to find out the root causes and coming up with mitigation responses to reduce PMO staff turnover.

### 3.1.3. Lessons from other Relevant Projects

Prior to this project, the only regional assessment of coastal and marine ecosystems in the SCS LME was made in 1999-2000 during the planning process for the Sulu-Sulawesi Marine Ecoregion<sup>2</sup>. The biophysical and socio-economic assessments completed at that time informed the GIWA/UNEP assessment, which was completed in 2002<sup>3</sup>. The GIWA process included experts from Indonesia, Malaysia, and the Philippines, and five major environmental threats were identified:

- i. Unsustainable Exploitation of Fisheries
- ii. Habitat Destruction and Community Modification
- iii. Pollution
- iv. Freshwater Shortage
- v. Global (Climate) Change

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<sup>1</sup> This standpoint was communicated by a representative of the Malaysian Ministry of Science, Technology, and Innovation (MOSTI) during the 25 September 2014 MOU Extension meeting in Kota Kinabalu, Malaysia.

<sup>2</sup> Worldwide Fund for Nature (WWF), The Ecoregion Conservation Plan for the Sulu-Sulawesi Marine Ecoregion.

<sup>3</sup> GIWA Regional Assessment 56, Sulu Celebes (Sulawesi) Sea, 2002.

The SSME Ecoregion Conservation Plan, ratified by the three countries in 2006, includes three programs of work and recommendations for policy changes, in response to the threats listed above. This Project was designed to build upon these earlier activities, first by carrying out an updated assessment of environmental threats through a causal chain analysis, as part of the transboundary diagnostic analysis, and facilitating development of a regional strategic action program for implementing the SSME Ecoregion Conservation Plan.

#### **3.1.4. Planned Stakeholder Participation**

##### **Summary:**

- + Fisheries sector stakeholders were efficiently mapped out;
- + There was good inter-sectoral participation at the local scale (demonstration sites), and also in TDA development and consultations;
- + Private sector (fisheries sector) was involved in the demonstration activities;
- + Municipal/small-scale fishers were involved in the Indonesian demonstration site, but less so in Malaysia and the Philippines;
- Non-fisheries sector private sector stakeholders were under-represented;
- Local civil society (e.g., livelihoods) were under-represented in the stakeholder participation plan;
- In Malaysia, there was limited involvement by federal level governmental stakeholders; mostly Sabah State stakeholders participated).

Government level stakeholders were primarily built around representation of the Sub-Committee on Sustainable Fisheries, one of the three sub-committees under the SSME Tri-National Committee. The national coordinating units (NCU) in the three countries were assembled within institutions closely involved with the activities of the Sub-Committee, thus, facilitating participation among the key sectoral stakeholders. There were some shortfalls, however, in bridging involvement between activities involving primarily scientific issues, such as the TDA, with those related to strategic planning and policy, which for example were some of the focal areas in developing the regional and national SAP's. For example, in Indonesia, the decision to establish the NCU within the Research Center for Fisheries Management and Conservation, part of the MMAF was prudent with respect to the scope of the TDA, but the Directorate of Capture Fisheries might have been better suited to lead the SAP and demonstration components.

Considering the level of autonomy of State of Sabah in Malaysia, it was sensible to establish the NCU within the State Department of Fisheries (DoF-Sabah), but this arrangement seemed limit the level of participation among federal stakeholders. Subnational stakeholder participation in Indonesia and the Philippines was mostly realized through the demonstration activities (Outcome 3), facilitated by the demonstration site inter-sectoral committee. The decision to carry out the demonstration in Tarakan in Indonesia proved fortuitous, because of the high level of government support to the province of North Kalimantan, newly established in 2012. In the Philippines, the Zamboanga region is high on the political agenda, due to the recent conflicts and subsequent peace-keeping efforts in this semi-autonomous area.

There was extensive involvement by academia in each of the three countries. University researchers worked as technical experts during the TDA process, helped with the design and

monitoring of the demonstration activities, delivered training to local stakeholders, and also provided feedback on institutional and policy framework strengthening studies.

In terms of cross-sectoral stakeholder participation, there was involvement by some of the relevant line agency representatives during the TDA consultation processes, but overall, due to the fisheries focus of the Project, there was relatively low participation among non-fisheries stakeholders. This was also evident with respect to private sector stakeholder involvement. Again, mostly under Outcome 3 (demonstration activities), participation by private sector fisheries stakeholders depended upon the scope of the demonstration. In Malaysia and the Philippines, the focus was mostly on commercial fishers, while in Indonesia small-scale fishers participated because the target species, the Bombay duck (*Harpodon neherus*) is mostly exploited by coastal fisher-folk.

The stakeholder involvement plan outlined in the project document called for participation by UNDP country offices in each of the three participating countries. As the PMU was hosted by the Philippines, the UNDP Philippines (UNDP PH) were actively involved, but mostly with respect to operational issues, including support for procurement, logistics, etc. There were limited thematic synergies capitalized among UNDP PH projects and programs, including poverty alleviation, gender issues, governance, etc. There was no evidence of involvement by the UNDP countries offices of Indonesia and Malaysia.

### **3.1.5. Replication Approach**

The Project design had a replication strategy built into Outcome 4. The approach envisioned that fisheries managers would learn from the Growth, Maintenance, and Control (G-C-M) mechanisms applied at the demonstration sites and use them at the identified replication sites in each of the three countries. Also, the lessons learned and G-C-M best management practices could be replicated in the management of other fisheries, such as coral reef fisheries, trawl fisheries, and large pelagic fisheries within both national marine waters and for transboundary stocks. The replicability of the project also was also foreseen to be possible in other regional small pelagic fisheries, including of the South China Sea LME, the Indonesian Sea LME, and other tropical LME's.

### **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. At the time when the Project was designed in 2008-2009, this included high-level adoption of 11 SAPs, seven of which were then under implementation.

### **3.1.7. Linkages between Project and other Interventions**

The closest linkage the Project had with other interventions was with the Sub-Committee on Sustainable Fisheries of the SSME Tri-National Committee, which was formed through an inter-governmental memorandum of understanding ratified in 2006. The SSME was formed to address common and transboundary threats that were outlined in the SSME Ecoregion Conservation Plan (ECP), and this Project was the first intervention funded to advance the implementation of the ECP. The governmental agencies tasked with implementation of this Project are also represented

on the Sub-Committee on Sustainable Fisheries, and the Sub-Committee approved the Project in 2008, concurrent with obtaining GEF approval of the PPG.

The ECP was rationalized in 2011, through the development of the SSME comprehensive action plan (CAP), which includes an outcome (Outcome 1) focused on sustainable fisheries. The SAP developed under this Project is directly complementary to the SSME CAP.

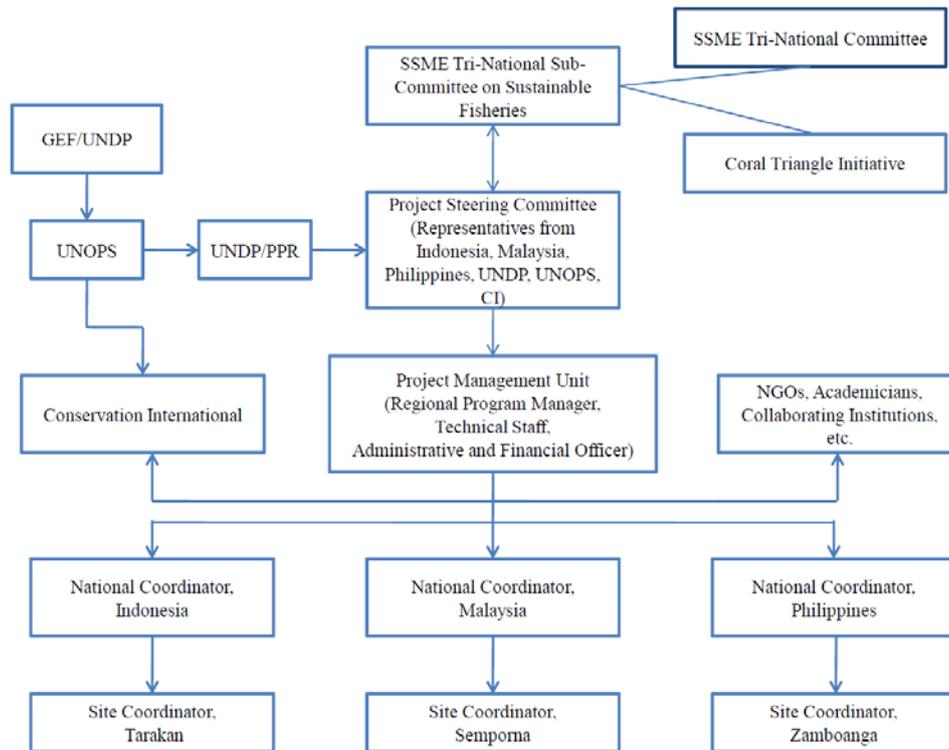
The Project is funded under the GEF CTI program, which was endorsed in 2008 to support the regional six-country initiative that was formalized in 2009 through the adopting the CTI declaration to avert the growing threats to the region's coral reefs, fish, mangroves, vulnerable species and other vital marine and coastal living resources. Through the GEF CTI program, the GEF has been the largest contributor of funds to the CTI, supporting interventions focused on biodiversity, international waters, and climate change adaptation. One linkage under this program was with the project coordinated by the Asian Development Bank (ADB) entitled "Regional Cooperation on Knowledge Management, Policy, and Institutional Support to the Coral Triangle Initiative", which was approved in 2010 and is projected to close at the end of December 2014. Outcome 5 (*Facilitated uptake of knowledge and lessons learned*) of the SCS-SFM project was envisaged to be linked to the broader scope of the ADB-coordinated project.

Linkages with other GEF-financed projects in the region, including the Oceanic Fisheries Management Project for Pacific SIDS and the West Pacific-East Asia Oceanic Fisheries Management Project did not particularly materialize as anticipated in the design of the Project. There were some experience sharing connections with other GEF-funded LME projects, including the Arafura and Timor Sea and the Yellow Sea projects; linkages with these projects were mostly in form of lessons learned and best practices in the TDA/SAP processes.

Starting in 2012 and running until 2017, GIZ has been implementing a project entitled "*Support to the Implementation of the Tri-national Sulu-Sulawesi Marine Ecoregion Comprehensive Action Plan*". The focus is providing assistance to the countries with regard to joint planning, financing, and implementation of bilateral and tri-lateral interventions under the CAP. The SCS Project has been in regular communication with the GIZ implementation team, searching for synergies.

### **3.1.8. Management Arrangements**

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



**Exhibit 6: Project organogram** (source: project document, 2008)

The SSME Tri-Com, Sub-Committee on Sustainable Fisheries had an overall oversight role, reporting to the SSME Tri-Com and the Coral Triangle Initiative.

The Project Steering Committee (PSC) included representatives from the Sub-Committee on Sustainable Fisheries from each of the three countries, UNDP, UNOPS, and CI. As CI was a contracted partner, for facilitating the TDA and SAP components, the evaluator found inclusion of them on the PSC a bit unorthodox. For example, in some of the PSC meeting minutes there were discussions of contract extensions and amendments for CI; there were conflicts of interest if CI was also involved in the PSC decisions regarding those issues. In some cases, national coordinators were designated as PSC delegates, because appointed members could not participate. This could also be construed as a potential conflict, but review of PSC meeting minutes did not reveal decisions regarding the NC's that seemed problematic.

Based upon available records, the Technical Advisory Group (TAG) only convened once, in November 2011. The TAG had a key role in providing the PSC with independent technical advice, and this limited amount of involvement is considered a shortcoming.

The Project Management Office (PMO) was based in Manila, in rented office space during the first few years, and within offices at the NCU-Philippines premises in the final 1-1/2 years of the implementation timeframe. Based upon the arrangements outlined in the project document, the PMO consisted of regional project manager (RPM), who also fulfilled the role of TDA/SAP coordinator, a regional fisheries biologist, a project administrative/financial officer, and several part-time positions, including a monitoring & evaluation specialist, knowledge management specialist, regional and local institutional and legal experts, GIS experts, etc. Some of these positions were supported by CI in the TDA-SAP phases, while others were hired by the PMO.

There were national coordination units (NCU's) established in each of the three countries, and headed by an appointed national coordinator (NC). Participation by the NC and other NCU staff were funded by the governmental co-financing contributions by the countries. Technical task

teams were assembled for TDA and SAP consultations, and there were inter-sectoral local government units (in Indonesia and the Philippines) supporting the demonstration activities.

## **3.2. Project Implementation**

### **3.2.1. Adaptive Management**

The original Project objective remained unchanged throughout the implementation timeframe, but there were a few changes made to some of the outcomes and performance indicators, after the first Technical Advisory Group meeting in November 2011. The changes were discussed and approved during the second PSC meeting, also held in that month. Further, the same changes were reported in PIR 2012. Under Outcome 2, the original design had included a target to achieve ministerial endorsement of the SAP; this was changed to *“endorsement or approval of the regional fisheries SAP by relevant national agencies and its implementation initiated during the life of the project”*. Outcome 3 was reworked by stressing that the institutional strengthening activities would be focused on existing institutions, rather than introducing new institutions. Outcome 4 was also re-focused, after the TAG members agreed that it was unrealistic to expect a 5-10 increase in fish stocks at the demonstration sites, considering the relatively short timeframe and limited scope of the demonstrations. The emphasis of Outcome 4 was placed more on capacity building, contributing toward the strengthening the enabling environment for rebuilding fish stocks and improving fishing incomes.

From an operational perspective, the turnover of regional project managers (RPM), three over the course of the four year project, posed significant challenges to the continuity of the Project performance. The first RPM was hired in June 2010, which was six months after UNOPS signed the project document, and stayed on for one year, resigning in mid-2011. Changes in project managers typically results in interruptions in operational flow, including procurement, financial control, monitoring & evaluation, etc.; but even more important are the disruptions in the communication channels built up among the national coordinators and other stakeholders. Based upon interviews made during the TE mission, the resignation of the first RPM clearly surprised some of the key stakeholders, and questions were raised, and documented in PSC meeting minutes, regarding the recruitment process for the RPM. The second RPM was hired near the beginning of 2012 and also stayed on for roughly one year, resigning at the end of 2012, along with the other members of the PMO at that time. There were then a few months when there was no functioning PMO, and the Project adapted by having the NCU's be in direct contact with the executing agency, UNOPS. There were some inherent shortfalls with this arrangement, e.g., the UNOPS staff were based in Copenhagen, and the six to seven hour time difference proved challenging for obtaining timely decisions in some cases. The NCU in the Philippines took up some of the slack during this period, e.g., by organizing and facilitating the PSC meeting held in Jakarta in February 2013. By the time the third RPM was appointed in mid-2013, the Project needed to adapt to some budgetary constraints, which were partly a result of costs of the previous RPM's compared to the rates indicated in the project document. One adaptive measure implemented in response to these constraints was the decision that the RPM would also serve as the regional fisheries expert, which had been a separate position. Spending on Outcomes 2 (SAP), Outcome 3 (Institutional Strengthening), and Outcome 4 (Demonstrations) happened to peak during the year of 2013, so the decision to have the RPM fulfill two roles occurred at a rather inopportune time, when SAP consultation was in a critical phase and the demonstration activities needed oversight for both technical and strategic issues.

There were a number of exogenous conditions that the Project needed to adapt to during the four-year implementation period. For example, individuals within key institutional stakeholder agencies were shifted as a result of general elections, including legislative elections in the Philippines in 2013, general elections in Malaysia in 2013, and legislative and presidential elections in Indonesia in 2014. There were three different national coordinators for the Project in Indonesia over four years. The regulatory change implemented in 2012 in Indonesia regarding how international projects are registered and administered resulted in delay of more than six months on setting up a facility to receive and distribute disbursements from the executing agency, UNOPS.

In October 2012, the Indonesian government moved to establish a new province, North Kalimantan, in Indonesian Borneo. This decision coincided with the start-up of the demonstration activities in Tarakan, situated within the North Kalimantan province, so the Project needed to adapt to the newly formed local government structures and programs.

There were also changes with respect to valuation of national currencies, mostly in Indonesia, where the Indonesian rupiah has lost more than 30% of its value against the US dollar between 2011 and 2014.

There were also significant security disruptions at the areas where demonstration activities were carried out in Semporna, Malaysia and Zamboanga, the Philippines. Because of security concerns, the local authorities in Semporna introduced restrictions in 2013 on fishing activities during nighttime hours. These changes affected production patterns among the fishers involved in capture fisheries within the affected areas. Also in 2013, certain *barangays* (villages), the airport, and other facilities were occupied by rebel forces in Zamboanga during the peak of the security conflicts. Local government authorities clearly needed to adapt to these circumstances, and priorities, including the ones regarding the Project, were re-focused.

Stakeholder focus was also affected after Super Typhoon Haiyan impacted the Philippines in November 2013. Governmental agencies, as well as the UNDP and other international development agencies, channeled significant resources on recovery and reconstruction efforts.

### **3.2.2. Partnership Arrangements**

The arrangement between the UNDP and UNOPS was formalized in an agreement in which UNDP contracted UNOPS to execute the project. Conservational International (CI) was contracted by UNOPS to carry out the first two components of the project, the TDA and SAP. CI supported the development of the project, and their involvement in the implementation phase was outlined in the project document. The agreement between UNOPS and CI was made on 24 March 2011, for a fixed price of USD 451,548. This sum was increased to USD 501,069, through a contract amendment made on 23 August 2013, to cover CI's assistance in producing reports from the August 2013 and October 2013 meetings of the Sub-Committee on Sustainable Fisheries and the SSME Tri-National Committee, respectively.

UNOPS established cooperative implementing agreements (CA's) with the three participating countries, to cover support of the NCU's and also to fund the activities of the demonstration activities under Outcome 4. Based upon review of meeting minutes and interviews during the TE mission, payment was made under the CA's by activity cash advance by the NCU's, with subsequent reimbursement by the PMO/UNOPS, or, in some cases after submitting activity proposals. There were several complaints regarding delays in disbursing payments, following submission of invoices and activity reports. Recognizing that the delays resulted in additional time by the NCU teams to try an reconcile payment, the evaluator did not note specific delays in the

progress of the Project activities as a result of late disbursements. But there was evidence, verified among several stakeholders, that the delayed payments contributed to an overall deterioration of working morale between UNOPS and some of national coordinating staff. The delays in processing some of the payments was not only due to disbursement procedures at the UNOPS headquarters level, but also, in some cases, due to time required to obtain project manager approval.

In 2012, the demonstration activities in Indonesia were significantly delayed, partly due to disbursement by UNOPS to a wrong bank account, but mostly due to regulatory changes in Indonesia regarding how international projects are registered and administered.

There were important contributions made by the academic sector, mostly associated with the demonstration activities under Outcome 4. Partnership arrangement with the university experts were made with the NCU's, and facilitated through their cooperative implementing agreements with UNOPS.

Private sector enterprises, including commercial fishing and processing companies, also participated in the demonstration activities. In these cases, collaboration from the private companies was realized through informal partnership arrangements.

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

The Project Steering Committee (PSC) meetings were the main decision-making mechanisms used for adaptive management. The Technical Advisory Group made several recommendations to rationalize and clarify some of the Project outcomes and outputs, and the PSC approved the changes in the November 2011 PSC meeting. The annual frequency of the PSC meetings was reasonable, with respect to the typical difficulties associated with convening a meeting of high level officials from three different countries. But, for a 4-year project, this only provided 5 opportunities for an inclusive, strategic review of the Project. There was, for example, discontent communicated by some of the stakeholders during the January 2014 that the management responses to the mid-term review were not shared during the PSC meeting.

The annual PIR's were found to be reasonably comprehensive, and feedback was provided by the RPM, UNOPS, UNDP-GEF RTA, and UNDP CO (Philippines). There did not seem to be outreach to the national coordinators during the PIR process, except for compilation of annual reports from the NCU teams.

### **3.2.4. Project Finance**

#### **Financial Expenditures**

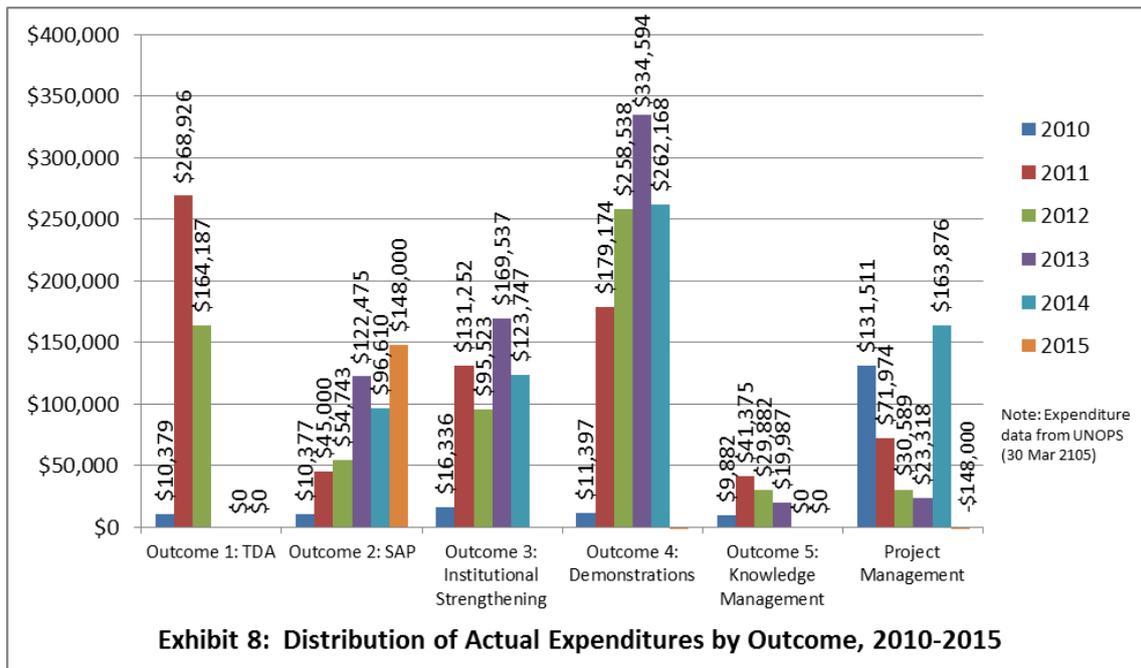
The total cost expended for Project implementation is USD 2,873,381; which is slightly less than the USD 2,890,000 committed GEF grant (see **Exhibit 7** for summary and **Annex 4** for full details).

<b>Exhibit 7: Breakdown of Actual Expenditures</b>		
<i>Item</i>	<b>GEF Grant Prodoc Budget % of Total</b>	<b>Actual Expenditure* % of Total</b>
<b>Outcome 1:</b> Regional consensus on transboundary priorities, their immediate and root causes	USD 300,000 10.4%	USD 443,339 15.3%
<b>Outcome 2:</b> Recommendations on regional and national legal , policy and institutional reforms for improved fisheries management	USD 570,000 19.7%	USD 484,907 16.8%
<b>Outcome 3:</b> Strengthening of existing institutions to catalyze regional cooperation in reducing over-fishing and improving fisheries management in the SCS	USD 550,000 19%	USD 536,532 19%
<b>Outcome 4:</b> Increased Capacity of SSME national level institutions to implement site-specific EAFM with local partners to rebuild fish stocks and improve fishing incomes	USD 1,000,000 34.6%	USD 1,040,388 36.0%
<b>Outcome 5:</b> Facilitated uptake of knowledge and lessons learned	USD 190,000 6.6%	USD 90,241 3.1%
<b>Project Management</b>	USD 280,000 9.7%	USD 277,975 9.6%
<b>Total</b>	<b>USD 2,890,000</b>	<b>USD 2,873,381</b>

\*Source: PMO and UNOPS financial expenditure records (30 March 2015)

The cost spent on Outcome 1 (TDA) was USD 443,339, about 50% more than the indicative estimation in the project document (USD 300,000), while the money spent on the SAP component (Outcome 2) was considerably less than the original budget (USD 484,907 actual, vs USD 570,000 planned). Approximately 19% of the implementation cost was expended on Outcome 3 (Institutional Strengthening), roughly the same as budgeted (USD 550,000). The actual cost of the demonstration component (Outcome 4) was roughly the same as the budgeted amount in the project document, at USD 1,040,338, which equates to about 36% of the total spent. The money spent on Outcome 5 (Knowledge Management) was a bit more than 50% of the USD 190,000 indicated in the project document.

Project management costs totaled about 9.6% of the total amount spent. As shown below in **Exhibit 8**, the project management costs were quite variable over the 5 fiscal years, 2010-2014. Understandably, the project management costs were proportionally high in the first year of operation, when the Project was being started up. But, the RPM was hired in June 2010, so the USD 131,511 is essentially only for half a year. Based upon TE interviews, there was some confusion in the beginning regarding allocation of RPM costs, as this position also provided technical support and should have been distributed among the relevant outcomes, not only under the project management category.



Another issue regarding project management costs that was raised by several interviewed stakeholders was the salary of the RPM. According to financial work plans, a cost of USD 15,000<sup>1</sup> was allocated for the RPM, while the rate used in developing the original budget in the project document was USD 9,000. According to PSC meeting minutes and TE interviews, the first two RPM's were paid a higher salary than the rate budgeted, and the third RPM agreed to a lower rate, to ensure total Project costs would not exceed available funds.

After two years, in 2012 and 2013, of relatively low project management costs, 4% and 5%, respectively, project management accounted to roughly 25% of total costs in 2014. There were time gaps in 2012 and 2013 when there was no active RPM on board, so that seems to be one reason why the project management proportional cost was low in those years. Upon review of the draft TE report, the implementing partners realized that the costs for project management in 2014 were incorrectly allocated under that component. As the RPM was actively engaged in the SAP consultation process, a correction was made by allocating an amount of USD 148,000 was under Outcome 2 for 2015 and correspondingly, the same amount was deducted from the project management component.

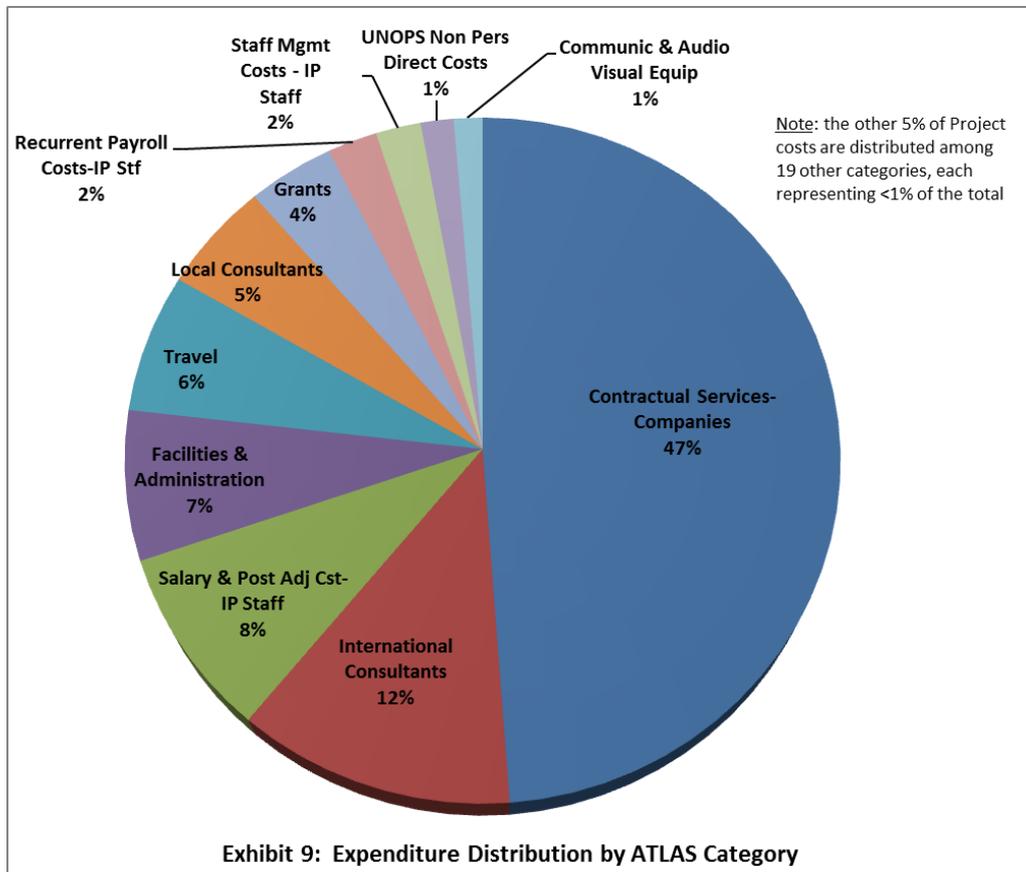
In reviewing the distribution of costs among the different outcomes over the course of the Project (see **Exhibit 8**), the TDA seemed to require 2 years to complete, from 2011 to 2012. The estimated time for the TDA in the project document was 1 year, but 2 years is more consistent with other UNDP-GEF IW projects. The regional SAP was endorsed in December 2013, so the time required to reach this milestone was approximately 36 months, from 2011 through 2013. On other IW projects, the time required to develop a SAP to the point of endorsement is 18-24 months<sup>2</sup>.

As also shown in **Exhibit 8**, there were no costs incurred under Outcome 5 (Knowledge Management) in the last year of the Project, 2014. In the opinion of the evaluator, this is a sign of cost inefficiency, as there should be knowledge management expenditures during the last year of such a project, when results can be consolidated and disseminated.

<sup>1</sup> For example, as outlined in the financial expenditure and estimation documented 28 May 2012 report, which concluded that the Project would incur a deficit of USD 431,866 by the end of 2014. This report sparked concern among national coordinators, who requested clarification from UNDP, GEF, and UNOPS. After re-allocation of certain project activities, it was subsequently demonstrated that the Project would not run a deficit.

<sup>2</sup> GEF Transboundary Diagnostic Analysis / Strategic Action Programme Manual, Vol. 3, March 2013.

In evaluating the actual expenditures broken down by category, as shown below in **Exhibit 9**, 47% (USD 1,321,861) of the total costs incurred fall under the category “Contractual Services – Companies”(ATLAS Code 72100). This amount includes USD 501,069<sup>1</sup> paid to CI for their work completed under Outcomes 1 and 2, the TDA and SAP processes, USD 154,422 for Outcome 3 (Institutional Strengthening), and also USD 718,302 for Outcome 4 (Demonstrations). The sum under Outcome 4 seems to include the USD 171,500 disbursed to each of the three countries, under a cooperative agreement modality with UNOPS.



The actual amount of expenditures spent on local consultants (ATLAS Code 71300), USD 142,965 (5% of total) was considerably lower than the USD 795,000 (28% of the total) estimated in the project document. Travel costs were roughly half the sum estimated: USD 181,755 (6% of the total) were incurred, compared to the USD 356,675 or approximately 12.5% of the total budgeted in the project document.

Available financial records were mainly the expenditure accounts maintained by the PMO, broken down by year, cost category, and outcome. According to interviews with PMO staff, assets purchased with Project funds were confined to computer equipment and software, office furniture, and IT equipment. The final transfer of these assets will need to be arranged prior to project closure.

According to interviews with UNDP CO and UNOPS representatives, there was one independent financial audit ordered at the end of 2014 by UNOPS from a Copenhagen-based auditing firm. The results of this audit were not available to the evaluator to review. Reportedly, there were no other independent financial audits carried out.

<sup>1</sup> Indicated in Amendment No. 2 to the UNOPS-CI contract, dated 23 August 2013.

## Co-Financing

As agreed in the approved project document, co-financing contributions totaled USD 3,230,000, broken down as follows:

Government Contributions, in-kind and cash:	USD 3,000,000
Conservation International, cash:	USD 140,000
UNDP (BDP, Philippines), in-kind:	USD 90,000

Based upon information provided by the PMO and the NCU's, the total amount of government co-financing that materialized was USD 3.0389 million, slightly exceeding the USD 3 million indicated in the project document, and probably is actually higher if the Government of Malaysia also counted ongoing activities that contributed to the foundational baseline on SCS fisheries, as the other two countries did. The contribution by Conservation International was communicated by e-mail correspondence, and the actual amount of co-financing was USD 0.2755 million, twice as much as the USD 0.14 million committed to (see **Exhibit 10**).

The co-financing contributions from the UNDP amounted to USD 0.150 million, exceeding the USD 0.09 million committed. The USD 0.04 million of in-kind funding from the Bureau for Development Policy (BDP) did not materialize as planned, because there were no activities on value chain analysis included under Component 4. The UNDP CO of the Philippines, however, exceeded their in-kind contribution, and also provided an additional USD 0.015 million in cash co-financing to support printing of some of the project deliverables.

Considerable leveraged resources were provided by the Government of Philippines; including for the replication site in Palawan (USD 330,000<sup>1</sup>) and to cover the costs of monitoring at the demonstration sites during 2014.

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<sup>1</sup> Cost figures provided by NCU Philippines staff, Dec 2014 (PHP 14,680,874).

Exhibit 10: Co-Financing Table

Co-Financing Source	Type	Government (USD million)		UNDP (USD million)		Other Sources (USD million)		Total Co-Financing (USD million)	
		Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
		<b>Government Contributions:</b>	Cash / In-Kind	3.0					
<b>Indonesia Government Contributions:</b>									
RCFMC, Staff Salary and Office Costs, 2011	Cash		0.2230						
RCFMC, Admin Support to International/Regional Organizations, 2011	In-Kind		0.0223						
RCFMC, Staff Salary and Office Costs, 2012	Cash		0.2081						
RCFMC, Admin Support to International/Regional Organizations, 2012	In-Kind		0.0208						
RCFMC, Staff Salary and Office Costs, 2013	Cash		0.1804						
RCFMC, Admin Support to International/Regional Organizations, 2013	In-Kind		0.0230						
RCFMC, Staff Salary and Office Costs, 2014	Cash		0.0709						
RCFMC, Admin Support to International/Regional Organizations, 2014	In-Kind		0.0976						
RCFMC, Initiation of EAFM in FMA RI (Sulawesi Sea), 2012	Cash		0.0331						
RCFMC, Initiation of EAFM in FMA RI (Sulawesi Sea), 2013	Cash		0.0196						
RCFMC, Initiation of Co-management of demersal fisheries in Tarakan, 2013	Cash		0.0240						
RCFMC, Policy study on small pelagic fisheries in FMA 716, 2013	In-Kind		0.0309						
RIMF, Assessment of demersal fisheries in FMA 716, 2013	Cash		0.1308						
RIMF, Study on Small Pelagics in FMA 716, Sulawesi Sea, 2013	Cash		0.1205						
RIMF, Study on Large Pelagics in FMA 716, Sulawesi Sea, 2013	In-Kind		0.1221						
RIMF, Study on Penaeid and Blue Swimming Crab in FMA 716, 2013	In-Kind		0.0941						
RCFMC, Research on Bitung Fishing Port Performance, 2014-2016*	In-Kind		0.0122						
RCFMC, Bitung Tuna enumeration, 2014-2016*	In-Kind		0.0976						
RCFMC, MV SEAFDEC II, 2014-2016*	In-Kind		0.0325						
RCFMC, Harmonization on research and data management, 2014-2016*	In-Kind		0.0610						
RIMF, Research on Tuna Fisheries and Oceanographic Parameters, 2014	In-Kind		0.0650						
<b>Sub-Total, Indonesia Government:</b>			<b>1.6895</b>						
<b>Malaysia Government Contributions:</b>									
DoF Sabah, 2012	cash		0.0861						
DoF Sabah, 2013	cash		0.0659						
DoF Sabah, 2014	cash		0.0426						
<b>Sub-total, Malaysia Government:</b>			<b>0.1946</b>						
<b>Philippines Government Contributions:</b>									
BFAR, 2011	Cash		0.2250						
BFAR, 2012	Cash		0.1638						
BFAR, 2013	Cash		0.1832						
BFAR, 2014	Cash		0.1606						
NFRDI, 2011	Cash		0.0124						
NFRDI, 2012	Cash		0.0186						
NFRDI, 2013	Cash		0.0186						
NFRDI, 2014	Cash		0.0138						
In-Kind Contribution, 2011	In-Kind		0.0897						
In-Kind Contribution, 2012	In-Kind		0.0897						
In-Kind Contribution, 2013	In-Kind		0.0897						
In-Kind Contribution, 2014	In-Kind		0.0897						
<b>Sub-Total, Philippines Government:</b>			<b>1.1548</b>						
<b>Sub-Total, Government Contribution:</b>		<b>3.0</b>	<b>3.0389</b>					<b>3.0</b>	<b>3.0389</b>
<b>UNDP (BDP and Phi):</b>									
UNDP BDP	In-Kind			0.0400	0.0000				
UNDP Philippines (core resources)	In-Kind			0.0500	0.0150				
UNDP Philippines (core resources)	Cash				0.1350				
<b>Sub-Total, UNDP:</b>				<b>0.0900</b>	<b>0.1500</b>			<b>0.0900</b>	<b>0.1500</b>
<b>Conservation International:</b>						0.1400			
Staff Salary Contributions	Cash						0.2031		
Shared Office Costs	Cash						0.0286		
Indirect Costs	Cash						0.0438		
<b>Sub-Total, Conservation International:</b>						<b>0.1400</b>	<b>0.2755</b>	<b>0.1400</b>	<b>0.2755</b>
<b>Total</b>		<b>3.0</b>	<b>3.0389</b>	<b>0.0900</b>	<b>0.1500</b>	<b>0.2800</b>	<b>0.2755</b>	<b>3.2300</b>	<b>3.4643</b>

Notes:

IDR:USD exchange rates used: 2011 (8,967); 2012 (9,612); 2013 (12,195); 2014 (12,300)

\*For Indonesian programs running 2014-2016, one-third of the cost was included as co-financing.

Categorizing cash or in-kind contributions from Indonesian Government based upon TE evaluator judgement.

Contributions from Malaysia Government assumed to be in the form of cash.

Contributions from Conservation International based on e-mail correspondence, 6 Jan 2015

### 3.2.5. Monitoring & Evaluation

#### Overall Quality of Monitoring & Evaluation is rated as: Moderately Satisfactory

##### Supporting Evidence:

- + Sufficient funds were indicatively allocated for the M&E plan in the project document;
- + PIR reports contained feedback from key stakeholders, and provided a reasonable summary of project performance;
- + Activity level monitoring at the demonstration sites was good;
- Performance indicator targets and means for verifying them were not worked out, and results-based monitoring was rather weak;
- No evidence of annual tripartite reviews;
- Limited role of the Technical Advisory Group (TAG), which seemed to only have convened once, in November 2011;
- Mid-term review was rather late in the process, and management response not shared with PSC members;
- GEF IW tracking tool contains a number of inconsistencies.

The M&E plan was reasonably well put together, using the template for GEF-financed projects. Performance indicators were not defined, as planned, and results-based monitoring was found to be fairly weak.

#### 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 185,000 USD<sup>1</sup>, which is 6.4% of the USD 2.89 million implementation budget (GEF grant). This cost level exceeds the generally acceptable range, which is typically 3-5% of total cost. The cost estimate was made using the standard M&E project document template used for GEF-financed project, and there does not seem to have been much detailed planning put into the figures. For example, USD 50,000 was allocated for "Measurement & Verification for IW Indicators and Project Performance Indicators", but it is unclear what is included behind this estimate. In review of the project document by the GEF Scientific and Technical Advisory Panel (STAP), the following recommendation was put forward<sup>2</sup>:

"STAP encourages UNDP to specify how the results from the "growth" mechanism and the "control" mechanisms will be measured and monitored. More specifically, STAP believes that considering data collection would be a good idea for the adequate management - monitoring of ecosystem based fisheries, and control efforts to reduce fishing in the project area".

Shortly after starting up the project, the Technical Advisory Group recommended removing the indicator target of 5-10% increases in fish stocks in the pilot areas, partly because the Project was unprepared with the necessary plans and resources to carry out the required monitoring to support this target.

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<sup>1</sup> 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.

<sup>2</sup> STAP review, 13 March 2008.

## Implementation of Monitoring & Evaluation Plan is rated as: Moderately Satisfactory

The RPM was tasked with day-to-day M&E responsibilities. There was no evidence that the team developed specific targets for the implementation performance indicators and their means of verification, during the first year of the implementation of the Project, as specified in the M&E plan. And, rather used the logical results framework as the main M&E tool. Monitoring on activities was fairly good, including the field surveys carried out at the demonstration sites. But, results-based monitoring was found to be generally weak. This is evident in the relatively low level of coherence of the RSAP, and the limited results produced under Outcome 3, Institutional Strengthening.

The completed GEF IW tracking tool to the TE evaluator contains unsupported stress reduction results. The evaluator requested evidence supporting the indicated results, but did not obtain any feedback to date.

Progress reporting was consistently delivered, and internal ratings made in annual progress reports were generally realistic and consistent with external evaluation results, including the mid-term review completed in 2013. The mid-term review (MTR) was originally scheduled for December 2012, but this time period coincided with the resignation of the second RPM and the other members of the PMO. The MTR was shifted to April-May 2013, at which time there was an interim RPM in place, but no other staff of the PMO. Based upon the MTR report, the evaluator had considerable difficulties obtaining files and arranging logistics for the field mission. The management response to the MTR is dated 30 January 2014, more than 6 months after submission of the report. During the PSC meeting held on 14-15 January 2014, some of the national government delegates stressed frustration regarding why the MTR results and management response were not included on the agenda of the meeting. During the TE mission, these sentiments were repeated, i.e., the PSC members were disappointed that the MTR results, except for the ratings, were discussed jointly.

The MTR assisted the Project in directing focus on key priorities, such as completing a high quality SAP and completion of the demonstration activities. The MTR recommendations are tabulated below, along with comments by the TE evaluator on the effectiveness of the management response to each of them.

Mid-Term Review (MTR) Recommendation	Comments by TE Evaluator on Responses to MTR Recommendations
<i>All Project Partners must act quickly to take advantage of the window of opportunity that now exists with country personnel, who are eager to maximize progress over the remaining time. This level of close and constant communication and coordination among the partners of this project, underlain by trust, has not to date been a hallmark of the project</i>	There seemed to have been some efforts made to improve communication, but rapport with some of the NCU's remained strained during the second half of the Project.
<i>The PMU should make its principal focus in the time remaining to develop, receive country endorsement of, and publish a high quality Strategic Action Program (Component/Outcome 2, Output 2.1).</i>	SAP consultations were managed by CI, with limited involvement by the PMO.
<i>The Implementing Agency, the Executing Agency, and the participating countries should work closely with, and fully support the efforts of the PMU to meet this target (SAP endorsement), through increased collaboration and</i>	The UNDP Philippines office extended USD 15,000 from their core resources to support SAP consultations, but due to inefficiencies in some of the other components, considerably

Mid-Term Review (MTR) Recommendation	Comments by TE Evaluator on Responses to MTR Recommendations
<i>provision the necessary and remaining project financial resources and through making available the necessary human resources</i>	less money was spent on the SAP than indicatively allocated in the project document.
<i>The PMU and the participating countries should prioritize successful completion of the country specific demonstration sites (Component/Outcome 4, Output 4.1). It is recognized that the Indonesia – and perhaps Malaysia - pilot demonstration activities will not be completed by close of project and that no-cost extensions may be necessary</i>	Indonesia was delayed through most of 2012, but made up ground in 2013-2014 on the demonstration activities in Tarakan, but there was insufficient time to follow up with some baseline surveys made at the Kwandang replication site.
<i>The PMU should, further to and in addition to the analysis contained in this Review, immediately undertake, in consultation with the participating countries and the Implementing Agency, an in-depth analysis of all targets contained in the most recent PSC endorsed logical framework analysis with the objective of determining targets that can realistically be met, and, as importantly those that cannot be met, given remaining project resources (financial, personnel, and time).</i>	There were no changes made to the logical results framework following the MTR; the only changes made were based on the TAG review made in November 2011.
<i>The Regional Project Manager should, consistent with achievement of the above recommendations and as a priority matter, visit each of the participating countries, including field visits to each of the country demonstration sites, as a means of demonstrating a commitment to close collaboration and cooperation between the re-structured PMU and key personnel and activities within each of the participating countries, and, more specifically, seek out views and encourage the cooperation of each of the National Coordinators.</i>	These visits were made by the RPM.
<i>The Executing Agency should, with the strong encouragement, support, and, as necessary and appropriate, direction of the Implementing Agency to, among other things, ensure timely issuance of contracts, payments to participating countries, payment of vendors, processing of travel authorizations for the PMU and country personnel, and reimbursements of those personnel.</i>	There seemed to be fewer complaints of late disbursements after the MTR.
<i>A representative of the Implementing Agency should, if possible, accompany the Regional Project Manager on early missions to the participating countries as a means of re-establishing a belief on the part of the countries that the UNDP remains committed to the success of the project, that it remains strongly committed to cementing a strong working relationship with the countries in relation to this project, and welcomes and encourages hearing first-hand the views and concerns of country representatives of the project.</i>	UNDP Philippines staff increased their involvement, including making visits to the demonstration sites. There was no evidence of involvement by the UNDP offices in Indonesia and Malaysia.

Mid-Term Review (MTR) Recommendation	Comments by TE Evaluator on Responses to MTR Recommendations
<p><i>At a minimum, the Regional Project Manager should ensure that the GEF IW tracking tool is satisfactorily updated and completed by the end of project implementation, notwithstanding the absence of any earmarked financial resources for the task. It appears that responsibility for updating will have to be assumed by the RPM, due to lack of remaining budget. A version of the tracking tool as contained in the 2011 PIR, and a draft PIR received technically after submission of this evaluation, were taken into account in this evaluation. What is now needed is a 2012 update that could serve the needs of the Terminal Evaluation.</i></p>	<p>The completed GEF IW tracking tool to the TE evaluator contains a number of inconsistencies.</p>

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

**Overall IA-EA Execution is rated as: Moderately Satisfactory**

**Supporting Evidence:**

- + Comparative advantage of UNDP and UNOPS in implementing/executing IW projects;
- + UNDP GEF RTA has extensive regional experience, and was in place throughout;
- + Proactive support delivered by UNDP Philippines;
- High turnover of RPM position;
- Relationship between IA and EA were strained at times, e.g., related to salary of RPM;
- Rapport with NCU's became contentious after late payment disbursements by UNOPS, conflicting reporting about financial status of project funds, etc.;
- Advocacy support by UNDP not sufficiently capitalized upon;
- Essentially no involvement by UNDP Indonesia and UNDP Malaysia.

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

The UNDP has implemented several GEF-financed IW projects throughout Southeast Asia, and through this regional experience they have built up favorable connections with national stakeholders, as well as with regional and international interventions. The UNDP leveraged this experience in implementing the Project, starting in preparation phase and continuing through the implementation timeframe. The same regional UNDP-GEF RTA has been in place for the entire implementation period, adding continuity to the overall process.

There was mostly constructive collaboration between the UNDP and UNOPS, although there were complaints raised in some of the PSC meetings regarding the salary paid by UNOPS to the RPM and also the late disbursement of payments to the NCU's.

The role of advocacy in the Project was under-valued, and contributions by UNDP in this regard were not sufficiently capitalized upon.

The UNDP CO (Philippines) provided regular support to the Project, including assistance with procurement, logistics, and financing document reproduction. Having the PMO based in Manila

facilitated involvement by the UNDP CO. According to the project document, the other two UNDP CO's, in Indonesia and Malaysia, were to have active roles as well during the Project. But, the evaluator found essentially no evidence of participation by these other two UNDP CO's; which is unfortunate because these agencies might have facilitated advocacy of the NSAP's moving forward.

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

UNOPS is specialized in deliver project management services, and they have a long track record executing GEF-financed IW projects for UNDP. The agency has administrative, procurement, and other management procedures in place, and provided some flexibility to the national partners through collaborative implementing agreements, which were meant to facilitate disbursement of payments. Based upon review of e-mail correspondence and interviews during the TE mission, there were occasions when disbursements of payments were delayed. As stated earlier, the evaluator did not find specific evidence that these delays resulted in interruptions in the progress of work, but the situation did contribute to the rather contentious relationship that developed between UNOPS and the NCU's in at least two of three countries.

The PMO staff members were either directly or indirectly hired by UNOPS, and after UNOPS signed the project document in January 2010, it took six months to recruit and appoint a regional project manager (RPM), in June 2010. The moderately satisfactory rating of the UNOP's execution is based primarily on the frequent turnover of the RPM position. The first RPM resigned after for one year, in June 2011. The second RPM was brought on board in January 2012, and also only served one year, until the end of 2012, at which time all of the PMO staff also resigned. So, there were a few months when there was no functioning PMO, including in February 2013 when the 3<sup>rd</sup> PSC meeting was held, in Jakarta. The third and final RPM acted as interim RPM after the February 2013 PSC meeting and was formally appointed in the summer of that year.

The role of the PMO, and especially the RPM, is critical to the success of such a project. Not only is RPM expected to guide the implementation of the Project, ensuring that results are delivered on time and within budget, the position has an important advocacy role, among the national coordinators and other key stakeholders. The frequent turnover of the RPM position caused disruptions both in terms of operational performance, but also in terms of maintaining constructive rapport with the other responsible partners and wide stakeholder community.

The monthly rate for the RPM position was indicated at USD 9,000 in the project document, but the first two RPM's were expensed at USD 15,000 per month. This is a significant difference, and was largely the reason why a separate regional fisheries expert could not be retained when the third RPM took over; the third RPM assumed both roles. During the last 1-1/2 years, when the third RPM was at the helm, the Project was at a critical stage, needing supervision for the SAP process and also support for the demonstration activities, which peaked in spending in 2013. It would have been more constructive to have a separate RPM and fisheries expert during this period.

### 3.3. Project Results

#### 3.3.1. Overall Results (Attainment of Objective)

**Attainment of the Project Objective is rated as: Moderately Satisfactory**

**Project Objective:** To improve the condition of the fisheries and their habitats in the SCS through an integrated, collaborative and sustainable tri-national management.

The project made significant progress since the mid-term review, and managed to complete a good quality transboundary diagnostic analysis (TDS), develop an initial regional strategic action program and national response in the form of national SAP's, produce a report on institutional strengthening, facilitated completion of integrated fisheries management plans for municipalities in each of the three participating countries, and supported scale-able demonstrations of ecosystem approach to fisheries management (EAFM) field interventions at sites in Tarakan, Indonesia and Zamboanga, Philippines. And, these achievements were made amid challenging exogenous conditions, including armed conflicts at two of the demonstration sites, general elections in each of the three countries, the devastating super typhoon Haiyan in the Philippines, currency devaluation in Indonesia, and policy shifts regarding fuel subsidies.

Despite these successes, the Project could not fully overcome inefficiencies in project management, with three different regional project managers in four years, and low value-for-money results for some of the components, including the institutional strengthening outcome. These inefficiencies resulted in restricted allocation of funds for some of the activities carried out in the later stages of the Project, including SAP consultations and knowledge management. One of the key results of the Project, endorsement of the RSAP is diminished by weakening governance structures, due to Malaysia's reluctance to renew the MOU for the SSME Tri-Com. The quality of the finished RSAP in the opinion of the evaluator is sub-standard, with no logical linkages to the SSME comprehensive action plan, limited short and medium term targets, and a rather unattainable set of actions, requiring an estimated USD 32 million, in the first three years of implementation.

**Outcome 1:** Regional consensus on transboundary priorities, their immediate and root causes

Budget estimated in project document: USD 300,000

Actual cost incurred on this outcome: USD 443,271

The TDA was an updated of a Global International Water Assessment (GIWA) made in 2002, and the final ranking of priority regional environmental threats was mostly the same, except for climate change moving up position 3 in the TDA, and the additional of invasive species:

**GIWA 2002 Priority Transboundary Problems:**

1. Unsustainable exploitation of fish
2. Habitat loss and community modification
3. Marine pollution
4. Freshwater shortage
5. Global (climate) change

**TDA 2012 Priority Transboundary Problems:**

1. Unsustainable exploitation of fish
2. Habitat loss and community modification
3. Climate Change
4. Marine pollution
5. Freshwater shortage
6. Alien and invasive species

The SCS Project technical task team also concluded that the following issues, identified in the 2002 GIWA, were no longer relevant: radionuclides and increased UV-B radiation.

The TDA was approved by the Sub-Com on Sustainable Fisheries in 2014.

Interviewed stakeholders were generally appreciative of the results of the TDA, in which scientific experts from the three countries provided input, based mostly on compilation of available secondary data. There are a few shortcomings under this Outcome, however, including the cost for completing the task. An indicative budget of USD 300,000 was allocated for the TDA when the project was designed, whereas the actual amount of money spent was approximately 50% more, at USD 443,271. While one might argue that the costs incurred are similar to other GEF-financed IW projects, the evaluator thinks more financial control oversight should have been made to rationalize the cost of this outcome, considering the available funds provided. The TDA was, in fact, an update of the GIWA made in 2002 and there was no significant primary data collected in the process. The financial shortfalls near the end of the Project, when there were restricted funds to support SAP consultations, might have been averted if the TDA costs were more closely controlled. At the time of the TE mission in December 2014, the TDA had not yet been produced and distributed in hardcopy, despite the fact that the task was effectively completed in 2012, as there were no expenses accounted to this outcome in 2013 or 2014, even though the document is dated 2014.

With respect to the causal chain analyses (CCA's) worked out in the TDA for the main transboundary problems, the evaluator found the CCA's missing categorical labels, making them a bit difficult for decision makers to transpose into action plans. Some of CCA's were clarified in the summary tables provided in the NSAP's, e.g., the ones made in the Malaysian NSAP, but there are a few logical omissions. A few examples include the following. Under the Unsustainable Exploitation of Fish transboundary problem, one of the main causes is the lack of integrated management plans, which was the essence of this Project. This root cause is not highlighted. Similarly, for Climate Change, an important governance issue with respect to the impacts of Climate Change is weak coastal zone planning and management. With respect to biodiversity, the project document includes a statement indicating how the GIWA assessment did not contain information on the number of threatened marine species because of the lack of scientific data, and further explained who the IUCN Global Marine Species Assessment program, launched in 2005, was addressing these gaps. The evaluator did not find information in the TDA on the results IUCN program that might be noteworthy for the SCS, including the assessment of the conservation status of corals and the assessment of the conservation status of wrasses (*Labridae*).

Finally, the evaluator noted a typographical mistake in the Executive Summary of the TDA: the SCS LME is indicated to be 1,000 km<sup>2</sup> in area, but in fact the ecosystem occupies approximately 1,000,000 km<sup>2</sup>.

Achievement of Outcome 1 is rated as **Satisfactory**.

**Outcome 2:** Recommendations on regional and national legal , policy and institutional reforms for improved fisheries management

Budget estimated in project document: USD 570,000

Actual cost incurred on this outcome: USD 325,150

A regional strategic action program (RSAP)<sup>1</sup> was first prepared, in 2013, and endorsed that year by the following national governmental officials:

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<sup>1</sup> Sulu Sulawesi Marine Ecoregion Tri-National Committee, 2013. Strategic Action Program for the Sulu-Celebes Sea Large Marine Ecosystem. Prepared for the Sulu-Celebes Sea Sustainable Fisheries Management Project under GEF/UNDP/UNOPS.

- ✓ **Indonesia:** Director General, Marine, Coasts and Small Islands, MMAF
- ✓ **Malaysia:** Permanent Secretary, Ministry of Agriculture and Food Industry Sabah
- ✓ **Philippines:** Director, Bureau of Fisheries and Aquatic Resources

The RSAP document provided to the evaluator for review is dated 17 December 2013, but the dates are blank in the scanned file, so the exact date of endorsement is uncertain.

National strategic action programs (NSAP's) were compiled after the RSAP was completed. At the time of the TE mission in December 2014, the evaluator was provided draft versions of the NSAP's; final, endorsed versions were unavailable at that time. To avoid confusion, the national actions outlined in the RSAP were assumed final, as the RSAP had already been signed.

The RSAP/NSAP's were developed to respond to the highest prioritized transboundary problem, specifically Unsustainable Exploitation of Fish. The formation of the Tri-National Committee for the SSME was rooted in concerns associated with ecosystem conservation, so excluding the other transboundary problems is a bit puzzling, especially the biodiversity one, which ranked second. The transboundary problems are not mutually exclusive, i.e., the issues are intertwined, and would be best handled using an integrated approach. Paradoxically, the Project promoted integrated coastal management (ICM) in the design, but later modified the term to integrated fisheries management. Considering the Project engaged the productive fisheries sector, it might have been appropriate to "mainstream" biodiversity into the planning and prioritization processes, particularly as secure food supplies and livelihood opportunities are critical issues for communities dependent on small pelagic fisheries.

In the opinion of the evaluator, the RSAP has several inconsistencies, the document is difficult to follow, and the national responses do not seem rationalized among the countries.

Firstly, the RSAP does not include an executive summary. This is an important component of a SAP which should capture the essence of the program and be understood by the general public.

The SAP timeline is until 2025, so the period covers 12 years from 2014-2025. There is one water quality objective, "small pelagic fish stocks in the SSME are healthy, abundant, and exploited sustainably", followed by seven (7) targets, spread among six different themes:

- ✓ Theme 1: Science-based, Social, and Management Interventions
- ✓ Theme 2: Resource Valuation
- ✓ Theme 3: Monitoring, Control, and Surveillance (MCS)
- ✓ Theme 4: Information, Education, and Communication (IEC)
- ✓ Theme 5: Livelihood Development
- ✓ Theme 6: Capacity Building

It should be noted that Outcome 1 under the SSME comprehensive action plan (CAP) is also on sustainable fisheries:

*Short-Term Goal: Develop a harmonized fisheries management regime through the conduct of research, policy development, habitat restoration, and provision of sustainable livelihoods to communities primarily dependent on fisheries.*

And, there are seven strategies / key areas outlined in response to this short-term goal, with several activities under each strategy / key area. As the RSAP/NSAP's are directly complementary to Outcome 1 under the SSME CAP, it is unclear why the RSAP/NSAP's were not designed under the same thematic areas (or strategies/key areas). This would have clarified linkages between the SSME CAP and the RSAP/NSAP's, and facilitated monitoring and evaluation efforts. The SSME CAP was published in 2011, but the evaluator is uncertain when implementation of the 4-year program

of activities started. The cost for implementation of Outcome 1 of the SSME CAP was estimated to be USD 65,196,460. In comparison, the estimated cost for implementing the first years of the RSAP/NSAP's is USD 32,320,001. Again, the evaluator is uncertain if this USD 32 million is over and above the USD 65 million indicated for Outcome 1 of the SSME CAP. There are unclear linkages between the two plans. For example, it is uncertain how investments are handled under the RSAP. In 2015 Indonesia plans to spend nearly USD 800,000 on a surveillance port in Bitung, whereas the entire cost estimate in the RSAP for the first three years for the MSC theme is USD 700,000 for all three countries combined. Conversely, more than USD 18 million of the approximate USD 65 million estimated for the first four years of implementation of Outcome 1 of the SSME CAP is for "equipment and furniture".

Reconciliation of activities under the RSAP/NSAP's is also uncertain with respect to other regional initiatives, including the CTI regional plan of action (CTI RPOA). For example, Goal 2 under the CTI RPOA calls for "*Ecosystem Approach to Management of Fisheries (EAFM) and Other Marine Resources Fully Applied*", and Target 1 under this goal reads: "*Strong legislative, policy and regulatory frameworks in place for achieving an ecosystem approach to fisheries management (EAFM)*". One of the activities under Theme 1 of the RSAP is "*EAFM is integrated into national and subnational plans*". Are roles and responsibilities consistent among national stakeholders overseeing the CTI RPOA and the RSAP/NSAP's?

Among the seven targets of the RSAP, there is only one that is short-term, i.e., 1-3 years (Theme 4, IEC: "*Starting 2016, SSME targeted stakeholders are able to actively participate in managing small pelagic fisheries (SPF)*"), while the other six are long-term, i.e., >5 years, set to be achieved by 2020 or 2025, even though the initial set of activities included in the SAP are for first 3 years of implementation, which effectively means 2014-2016, or maybe rather 2015-2017. Using such an approach, with predominantly long-term targets, it would be advisable to include some type of timeline, showing expected intermediate milestones, and also indicate lines of responsibility for achieving these steps. Or, alternately, the SAP should include short-term, medium-term, and long-term targets.

It was apparent to the evaluator that participation by governmental stakeholders in the SAP development and consultation process was limited. When reviewing progress made on the national targets agreed to, the Indonesian officials, for example, were perplexed in several of the items in the NSAP that were not only unattainable within the indicated timeframe, but also not consistent with the priorities of the ministry, such as the following target: "*By 2014, a Status Report on Fisheries for SSME-Indonesia is finished*".

The limited participation observation is supported by the amount of money spent on this outcome, USD 325,150, which is less than 60% of the USD 570,000 allocated in the project document. Indeed, there were several discussions documented in the PSC meeting minutes, regarding shortfalls in funds to cover SAP consultations. The final product reflects this, i.e., in the inconsistencies described above. The RSAP was endorsed near the end of 2013, but there are several national targets for Indonesia set for 2014, and even one for 2013. There are also numerous targets, for both Indonesia and the Philippines, set for 2015 and 2016, whereas the targets for Malaysia are medium to long term. There should have been further rationalization of the responses from the countries, keeping the RSAP overall objective in context.

A number of the national targets, mostly for Indonesia and the Philippines, are based upon continued progress at the demonstration sites. As national responses to the regional strategic actions, agreed to address transboundary issues, focusing so many of the national targets on the demonstration sites seems a bit short-sighted. Even so, there are no apparent mechanisms in

place to monitor and evaluate the progress at the demonstration sites according to the criteria outlined in the RSAP/NSAP; it is unclear who is responsible to collect, analyze, and disseminate information from the demonstration sites, and also who will finance these activities.

Coordination of the implementation of RSAP and the NSAP's is also unclear. The RSAP and NSAP's include coordination scenarios, but there are no specific roles and responsibilities defined. Based on experience on other GEF-financed IW projects, it would have been advisable if the Project included an output on reporting on the first year of SAP implementation. There have been activities completed under the RSAP and NSAP's in the past year, but they have not been systematically assessed and documented. For Indonesia, financial plans provided to the evaluator by RCFMC staff indicate that approximately USD 450,000 was allocated in 2014 and about USD 1,400,000 for 2015 for activities consistent with those listed in the NSAP. These figures do not include sub-national spending, which, for example, in Tarakan, approx. USD 350,000 (IDR 4 billion) was requested for the fisheries sector in 2015. These budget allocations demonstrate significant national commitment, albeit the actual amount spent is unknown, but the spending levels are short of the approximately USD 10 million outlined for the first 3 years for each country.

Through consultations with national governmental stakeholders it would also be advisable to flag those activities that the countries are unlikely to be able to fund themselves. For example, in discussing with national stakeholders from the Philippines during the TE mission, they will seek international funding for the resource valuation activities under Theme 2 of the RSAP. This would be useful information, providing national resource managers with details regarding potential financing gaps, and also supporting donors, including GEF, in making incremental funding decisions.

Achievement of Outcome 2 is rated as **Moderately Satisfactory**.

**Outcome 3:** Strengthening of existing institutions to catalyze regional cooperation in reducing over-fishing and improving fisheries management in the SCS.

Budget estimated in project document: USD 550,000  
Actual cost incurred on this outcome: USD 536,039

There were two outputs designed under this outcome. The first output originally included hiring coordination staff for both the Tri-Com and the Sub-Com on Sustainable Fisheries, as a way to enable strengthening of these committees. Activities under this output were rationalized after review by the Technical Advisory Group in 2011, and modified to focus on review and decision on regional coordination mechanisms, review of long-term financing strategies for implementation of the SSME CAP, and implementation of an agreed institutional strengthening agenda for the Tri-Com and Sub-Com on Sustainable Fisheries. The second output under this outcome focused on strengthening the inter-ministerial and working groups, facilitated by an institutional strengthening review and development of an action agenda.

The main deliverable under Outcome 3 was the following report:

"Institutional Strengthening for Fisheries Management in the Sulu-Sulawesi Seas", prepared by the Center for Coastal and Marine Resource Studies, Bogor Agricultural University, Indonesia, 20 January 2011.

This report is a compilation of fisheries management laws and institutional arrangements in the three countries, and discusses some optional institutional mechanisms. There is also a section on capacity building, including some recommendations on where gaps in capacity should be strengthened. Based upon the opinion of the evaluator, the report does not provide specific

recommendations for the institutional arrangements moving forward for the Tri-Com and the Sub-Com on Sustainable Fisheries for implementing the SAP developed on this project other interventions under the comprehensive action plan (CAP) of the SSME.

According to the mid-term review report, the institutional strengthening review conducted by the Bogor Agricultural University had not yet started; however, the report is dated January 2011 and the mid-term review was made in April-May of 2013. The Project was in a state of flux at the time of the mid-term review, and the evaluator clearly had difficulties obtaining relevant deliverables.

The 2014 PIR includes a statement under Outcome 3 that the institutional strengthening report was presented to the Tri-Com during the 7<sup>th</sup> meeting of the committee held in Balikpapan, but there is no evidence of adoption of an action agenda to follow up with institutional strengthening needs. The current strength of the Tri-Com has been, in fact, weakened, due to the position by Malaysian officials recommending not approving the proposed extension of the SSME MOU.

The evaluator considers the value-for-money of the results realized under this component, which accounted to 19% of the total funds expended, to be particularly low. And, achievement of Outcome 3 is hence rated as **Moderately Unsatisfactory**.

**Outcome 4: Increased capacity of SSME national level institutions to implement site-specific EAFM with local partners to rebuild fish stocks and improve fishing incomes**

Budget estimated in project document: USD 1,000,000  
Actual cost incurred on this outcome: USD 1,046,412

**Indonesia: Key Achievements and Discussion**

The demonstration site in Indonesia was selected in city of Tarakan, in the recently (2012) formed province of North Kalimantan. The original focus of the demonstration was on small pelagics, as with the other two countries, but as also stated in the project document, there is only a limited small pelagic fisheries sector in Tarakan, partly because of the geographic features of the area, with an estimated four registered purse seine fishing vessels and only 12-15 fishers at the time of the project development in 2008.

The team decided to focus on the demersal species *Harpodon neherus* (see **Exhibit 11**), or commonly referred to as Bombay duck or Nomei, in the local language.

<p><i>Harpodon neherus</i> Bombay duck / Nomei / Lembek / Tipis</p>	
<p><small>Source: Research Center for Fisheries Management and Conservation - INDONESIA. 2013. The Implementation of Tarakan East Kalimantan Demonstration Site of The SCS-SFMP. Third Documentation for UNOPS Project Sulu-Celebes Sea Sustainable Fisheries Management Project. Research Center for Fisheries Management and Conservation (RCFMC), INDONESIA. 62p</small></p>	
<p><b>Exhibit 11: The focal species for the demonstration in Indonesia: Bombay duck</b></p>	

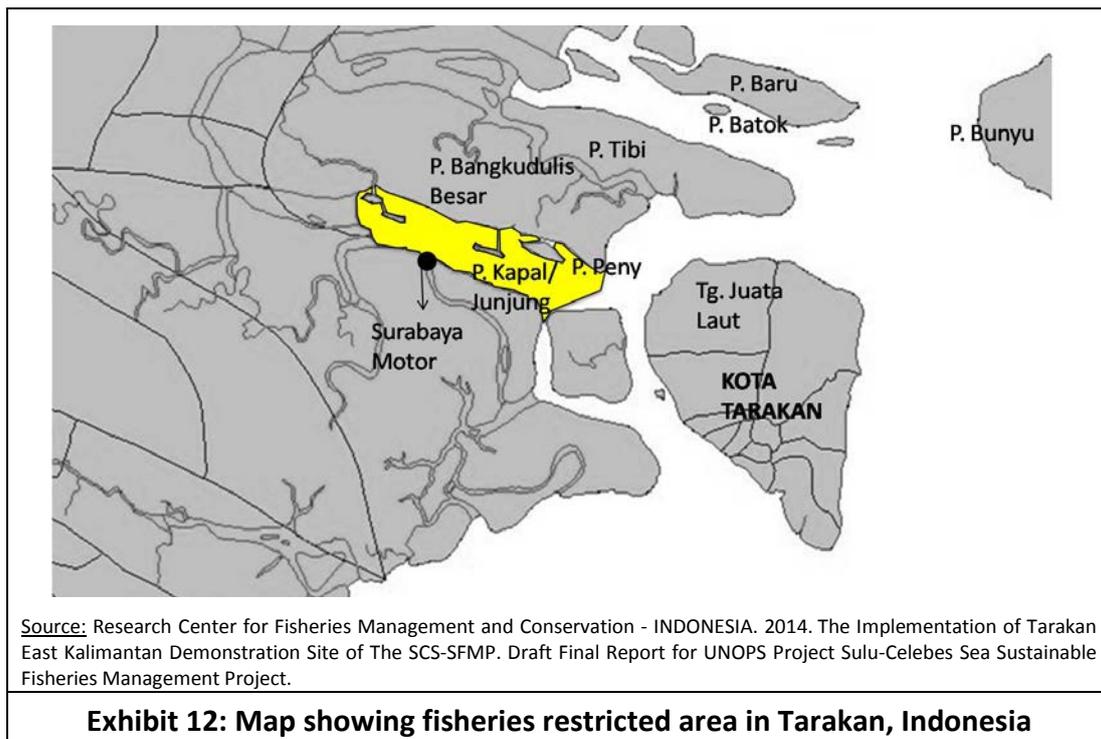
The decision of choosing this demersal species was based on logical criteria. Firstly, there are many small-scale fishers and processors involved in the Bombay duck fisheries, the species is an important contributor to local food security, the local authorities stressed interest in terms of

local socio-economic development priorities, there is active sub-regional trade with the State of Sabah, Malaysia, and it is part of a larger fishing ground that for small pelagics, thus providing opportunities for scale-up later on.

The demonstration activities were delayed in 2012, mostly due to some changes in how international donor projects are registered and administered in Indonesia, but also due to some problems with disbursements from UNOPS. The team expended some resources near the end of 2012 on field surveys and stakeholder consultations, and concluded that the main concern locally was unintended juvenile catch.

More detailed surveys were completed in 2013 and into 2014, and extensive stakeholder meetings and capacity building workshops were organized by the team. The next step was preparation of an integrated fisheries management plan (IFMP), and this was facilitated through establishment of an inter-sectoral committee, consisting of MMAF staff, local fisheries officials, NGO's, fishers associations, community-based surveillance groups, and university researchers. The municipality formalized the inter-sectoral committee through local regulation No. 523/HK-XI/381/2014; this is a clear indication of ownership, and helps ensure the committee will continue to function. The IFMP was completed in 2014, and approved through Mayor Decree of Tarakan City No. 24 in 2014, Governor Decree of North Kalimantan No. 26 in 2014, and as the area falls within the jurisdiction of the adjoining Regency of Tana Tidung, Regent approval is pending.

One of the management approaches implemented through the IFMP is protection of spawning and nursery grounds of the Bombay duck. In collaboration with Bombay duck fishers, officials from the Regency of Tana Tidung, and the Province, parties agreed to establish a 9,730-ha fisheries restricted area (marine protected area, based on local terminology), situated west of the city of Tarakan (see **Exhibit 12**).



Based upon interviews with local fishers, city officials, and other stakeholders, there is overwhelming support for this fisheries restricted area. The city has also extended support to community-based surveillance groups; it appears that the support was in the form of a monthly payment, but that later changed to fuel allowance, and other non-cash contributions.

Not only did the Project support these efforts through sponsoring scientific surveys, to back up the management decision made, but the team also designed and rolled out a commendable awareness-raising campaign, using from the methods and ideas that they observed while visiting the Philippine demonstration site in Zamboanga.

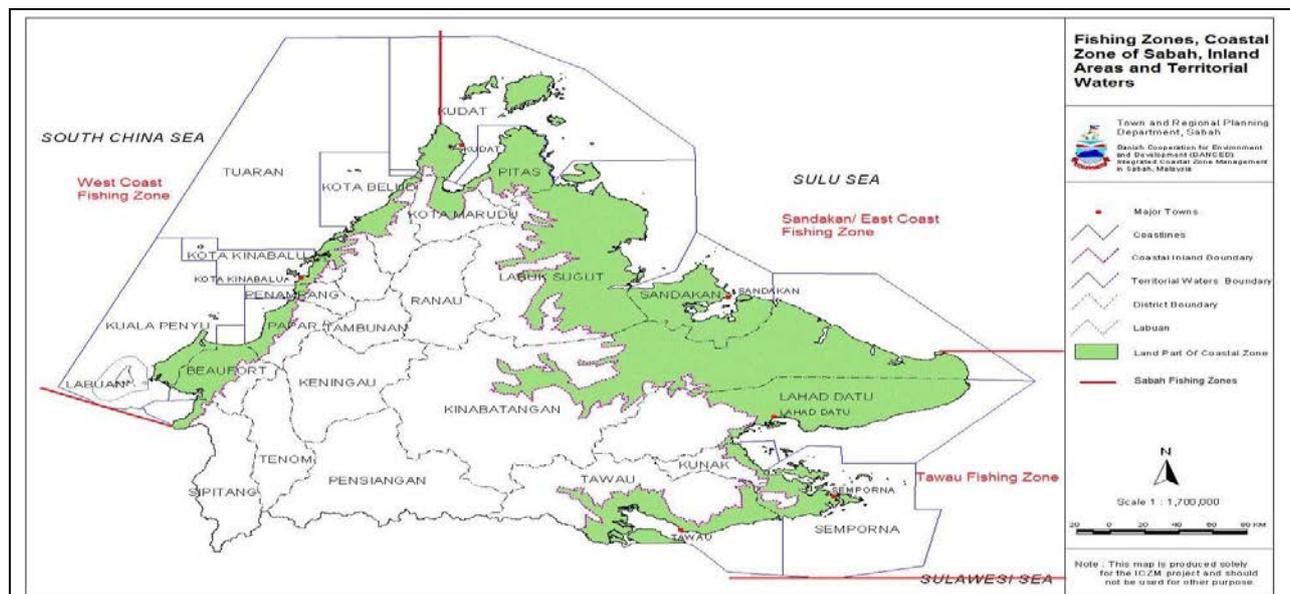
The future viability of the fisheries restricted area will depend on local ownership and oversight. Fishers are required to register their fishing vessels and keep log books, and further research has been recommended to better understand the reproductive cycle of the Bombay duck.

The NSAP contains a number of activities and targets associated with the continued progress at the demonstration site, but how the required data is going to be collected, analyzed, and disseminated to relevant national-level stakeholders is uncertain. The relevant roles and responsibilities, and funding arrangements, should be reconciled prior to Project closure.

According to the original concept for this component of the project, the lessons and best practices learned at the demonstration site in Tarakan would be replicated in the town of Kwandang, situated in Gorontalo Province, which is located in the north side of the island of Sulawesi. Because the activities in Tarakan got off to a late start, the Project was able to facilitate limited field surveys and desk studies. Another problem is associated with the difficult logistics (distance to nearest airport, condition of roads, etc.) of traveling to Kwandang; these factors might not have been fully factored into the decision to select this area of the replication site. The Project was, however, successful in compiling some valuable baseline information that could be used in subsequent interventions.

**Malaysia: Key Achievements and Discussion**

The demonstration site in Malaysia was centered the southeastern Fishing Zone of Sabah, Malaysia, known as the Tawau Fishing Zone (see **Exhibit 13**), occupying an area 64 km long and 49 km wide, and extending from the northern tip of the Dent Peninsula to the border of the Sabah State and Kalimantan, Indonesia.

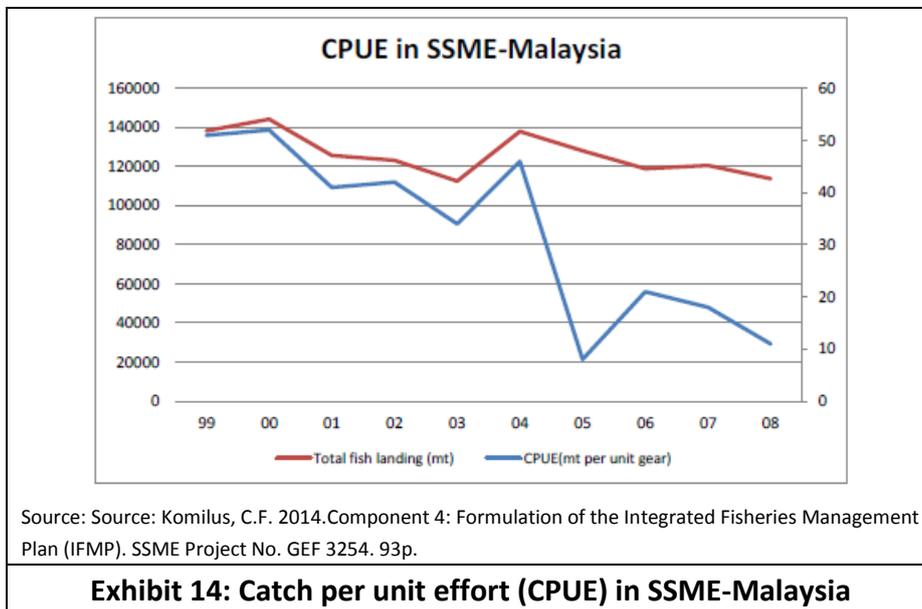


Source: Komilus, C.F. 2014. Component 4: Formulation of the Integrated Fisheries Management Plan (IFMP). SSME Project No. GEF 3254. 93p.

**Exhibit 13: Commercial fishing zones and marine fishing districts of Sabah, Malaysia**

Sabah is the second highest producer of marine fish landings in Malaysia, contributing an average of 15% of the country's annual marine landings in 2000-2006.<sup>1</sup> And, the combined landings of small pelagics in the Tawau Fishing zone bring revenue from domestic and exports and provide employment to about 2,000 registered fishermen and unknown number of migrant fishers.

The Tawau Fishing Zone has a number of transboundary characteristics, including supply chain links with Indonesia, and a high number of Indonesian and Filipino workers among the commercial fishing operations. Even though CPUE has been in decline since 1999, particularly after 2004 (see **Exhibit 14**), local authorities have continued to issue licenses for trawlers and purse seiners.



**Exhibit 14: Catch per unit effort (CPUE) in SSME-Malaysia**

Traditionally, fisheries management has been limited to licensing and gear regulations, so there was a need identified for introducing Growth, Control, and Maintenance management approaches.

The demonstration project had five components: (1) baseline data collection, (2) socio-economic survey, (3) biological-ecological surveys, (4) stakeholder analysis/support, (5) and development of an integrated fisheries management plan. These tasks were coordinated by DoF-Sabah and with technical assistance from local university experts from Universiti Sultan Zainal Abidin (UniSZA) and Universiti Malaysia Sabah (UMS). The scientific contributions by the team were significant, even amid security disruptions in Semporna that peaked in May 2013.

In February 2013, as a demonstration of commitment to sustainable fisheries management, the Project facilitated signing of a Memorandum of Understanding between the Department of Fisheries Sabah with a total of 19 local stakeholders ranging from government agencies, private agencies, industry operators purse, entrepreneurs downstream industries and researchers have jointly pledged to disclose their commitment towards management sustainable fishery of small pelagic fish in the waters of Semporna District.

Applying the ecosystem approach to fisheries management (EAFM), the expert team has produced a draft integrated fisheries management plan (IFMP), with consultations facilitated by the MOU signatory stakeholders. Based upon information shared during the TE mission, the draft IFMP will be further refined in the coming year.

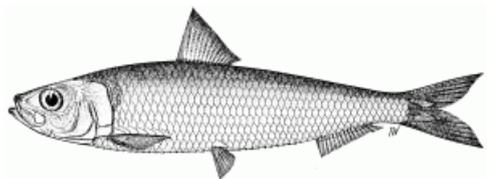
<sup>1</sup> DoF Sabah, 2012. Final report, Gathering of Background Information for the Demonstration Site. UNDP-GEF SCS SFM Project.

The city of Kudat, located in the north of the Sabah State, was selected as the replication site for the Project. Earlier in 2014, the NCU organized a field trip to Kudat with some of the members of the inter-sectoral committee, and targeted purse seine fishers there. The trip provided the Kudat stakeholders with information on how EAFM is being used to develop the IFMP for the Tawau Fishing Zone, and also created networking opportunities between the two districts. The second phase of the histology studies on the gonads of small pelagics was carried out in both the Kudat and Tawau Fishing Zones.

According to the interviewed NCU staff, the CTI program has provided some limited funding to continue baseline studies and literature review for the Kudat fisheries in 2015.

### Philippines

Located in southernmost portion of the Philippine archipelago, the Zamboanga Peninsula (see **Exhibit 15**) is generally known as the sardine capital of the country, with 12 sardine canning factories situated in Zamboanga city, supplying about 75% of the Philippine canned sardine requirements.<sup>1</sup>

	 <p><i>Sardinella lemuru</i> Bali sardinella Bali sardine</p>
<p>Source: BFAR-NFRDI, 2014. Technical Paper, Assessment of Small Pelagic Species, Particularly on Various Species of Sardines at Zamboanga Peninsula and Province of Palawan, SCS-SFM Project.</p>	<p>Source: www.fao.org</p>
<p><b>Exhibit 15: Zamboanga Peninsula landing sites, and rendering of <i>Sardinella lemuru</i></b></p>	

Through the perseverance of local activists and support from the sardine processing industry, the first sardine temporary closure was implemented in 2011, under Joint DA-DILG Administrative Order JOA-1 s.2011. Sardine fishing in the waters of East Sulu Sea, Basilan Strait, and Sibuguey Bay were suspended for three months from 1 December to 1 March, to allow sufficient spawning period, which would hopefully lead to a more sustainable stock.

The Project has significantly contributed to the sardine closure, by sponsoring monitoring and studies to provide scientific support to the management response. These efforts were facilitated through the establishment of an inter-agency demonstration site committee in 2011. The committee is made up of local government unit officials, local BFAR staff, surveillance officials, industry representatives, university professors, and *barangay* (village) leaders. The committee has been instrumental in guiding the implementation of the demonstration activities, including

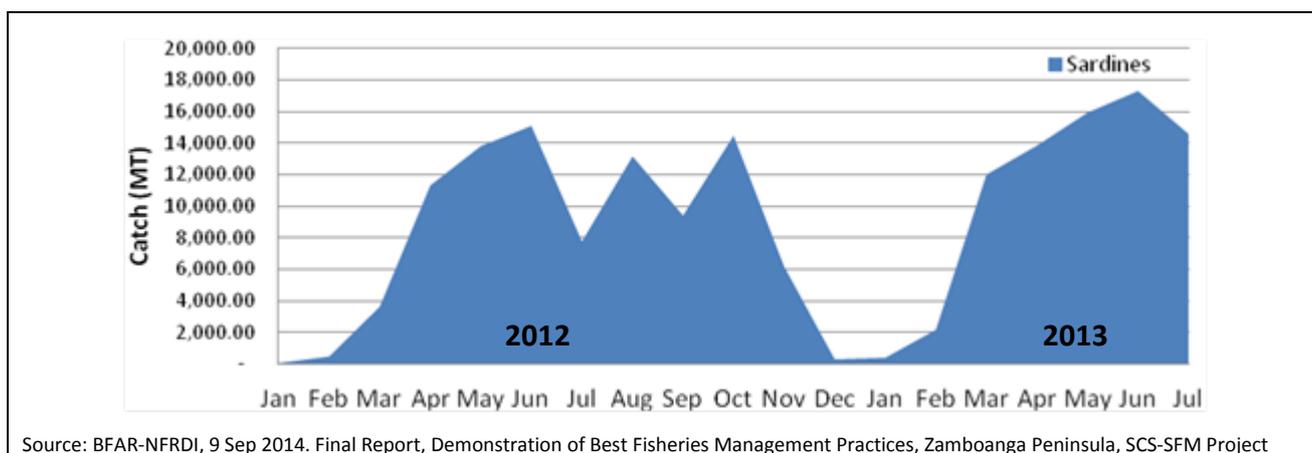
<sup>1</sup> BFAR-NFRDI, 9 Sep 2014. Final Report, Demonstration of Best Fisheries Management Practices, Zamboanga Peninsula, SCS-SFM Project.

facilitating stakeholder involvement in the preparation of an integrated fisheries management plan for the city, and also liaising with the local government, industry, and the general public.

Following generally positive feedback after the first closure in 2011, the three-month suspension of fishing has continued each year since, including in 2013 amid conflicts between military troops and the Moro National Liberation Front.

Based upon data from the Bureau of Agricultural Statistics (BAS), the sardine catch for both commercial and municipal fisheries in Zamboanga grew by 6.34% in 2012 (156,143 metric tons) compared to 2011 figures<sup>1</sup>. The same data set indicates a decline of 2.83% in 2013, with respect to the volumes realized in 2012. The 2013 numbers were partly attributed to fewer fishing trips due to weather disruptions. BAS figures Regions 10 and 11, there is anecdotal evidence that the sardine closure in Zamboanga might be having a positive spill-over effect on the sardine production volumes from these nearby regions.<sup>2</sup>

The distribution of sardine catch from January 2012 through July 2013 is illustrated below in **Exhibit 16**.



Source: BFAR-NFRDI, 9 Sep 2014. Final Report, Demonstration of Best Fisheries Management Practices, Zamboanga Peninsula, SCS-SFM Project

**Exhibit 16: Monthly catch trend of sardines for fisheries in Zamboanga, Jan 2012 – Jul 2013**

The Project financed the hiring of enumerators for various landing sites, in order to document seasonal trends and population parameters. In 2014, the BFAR used their own funds to continue support of the enumerators. In addition to these technical contributions, the Project also supported an effective awareness-raising campaign, made in partnership with the Ateneo de Zamboanga University. The campaign is discussed further below, under the section on Outcome 5.

Based on interviews with operations managers at two of the canneries in Zamboanga during the TE mission, there seems to be general consensus that the sardine closure is having an impact, but according to these officials, the benefit is more in the size of the individuals caught, i.e., fewer juveniles. One unintended consequence of the sardine closure has been the tendency for some furloughed cannery workers of not returning to work, because they had found another job. Local authorities have tried to provide support as much as possible, for example, there is a program administered through the labor department that pays the laid off workers one month of the three months they are off<sup>3</sup>. The other concern from the industry side is maintaining their market position during the closure; and at least one of the canneries has bought supply from China to

<sup>1</sup> BFAR, 17 March 2014, Press Release, DA-BFAR sees rising trend in sardine production as third sardine closed season ends. [www.bfar.da.gov](http://www.bfar.da.gov)

<sup>2</sup> Ibid.

<sup>3</sup> Personal communication during group interview with Zamboanga inter-sectoral demonstration site committee.

ensure there are no disruptions to their supply to market. So, there is support by industry, but it is tenuous and local government officials will need to keep an eye on any signs of wavering from their current supportive position.

The seaweed industry in Zamboanga is also quite strong, but the evaluator did not observe any potential linkages, e.g., alternative livelihoods for fishers, as part of the Project.

There were also potential linkages with the Regional Fisheries Livelihoods Programme for South and Southeast Asia (RFLP)<sup>1</sup>, that was administered by the FAO from 2009-2013. One of the projects under this program was implemented in Zamboanga del Norte and also associated with the sardine industry. In the FAO project, the issue addressed was finding alternative, post-harvest uses for excess catch that is thrown back during the glut period. There might have been complementary synergies with the SCS project, but there was no evidence of collaboration. An important factor that might have limited linkage with the FAO project in Zamboanga del Norte is logistics. According to interviews with local stakeholders, road conditions between the two cities are poor and travel times can be up to 8 hours.

The Project also supported the development of an integrated coastal and fisheries resource management plan (ICFRMP) for the City of Zamboanga. The plan fulfills the requirements of Provincial Board (*Sangguniang Panlungsod*) Ordinance No. 329, enacted on 29 May 2008, entitled "*Formulation and adoption of Comprehensive Coastal Resource Management (CCRM) Plan for the City of Zamboanga to ensure sustainable development of the city's coastal and marine environment and resources and establishing the supporting mechanisms thereof for its implementation, and providing funds thereof*". Through Resolution No. 2014-001, the Technical Executive Committee of the City approved the ICFRMP and endorsed it for submitting to the Provincial Board for approval. The ICFRMP process started in February 2012 and continued with numerous stakeholder consultations, technical workshops, trainings, etc. Approval of this plan is a significant achievement and provides the city with a solid foundation for sustainable management of their coastal and fisheries resources.

Consistent with the scope of activities outlined in the project document, the BFAR, financed from its own sources, conducted scientific research and assessments of the waters off the coast of Palawan, as the basis for establishing a fishery restricted area there, similar to what has been accomplished in Zamboanga.

### **Regional Activities**

From a regional perspective, the Project sponsored research on the genetic diversity, population genetic structure, and demographic patterns of small pelagics, in order to assess if stocks are distinct among sub-regions or rather common across the SCS ecosystem. Four ecologically and economically important small pelagic fishes in the SCS were studied:

- i. *Auxis thazard* (Lacepède, 1800);
- ii. Bali sardine, *Sardinella lemuru* (Bleeker, 1853);
- iii. Indian mackerel, *Rastrelliger kanagurta* (Cuvier, 1816); and
- iv. bigeye scad, *Selar crumenophthalmus* (Bloch, 1793).

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<sup>1</sup> [www.rflp.org](http://www.rflp.org)

As outlined in the abstract of a scientific article<sup>1</sup> produced based on the results of the studies, the researchers used population genetic methods were used to investigate the genetic structure and diversity as well as historical demography. Fish samples were collected from 5 geographic locations: (Philippines: Zamboanga, Tawi-Tawi and Palawan; Indonesia: Manado; and Malaysia: Kudat). The findings indicated no distinct genetic population structuring among the samples. These are significant results, demonstrating with sound scientific analysis that key small pelagic species are genetically similar across the SSME ecosystem, thus supporting the tri-national decision to develop joint management responses to causes of the transboundary problems associated with unsustainable exploitation of these resources.

As indicated earlier, under the discussion on Project design, except for this research study and the cross visits among the demonstration sites (which were notably successful), there was a fairly limited regional dimension to Outcome 4. For example, there are significant differences among the countries regarding connectivity, due to variances in the following: inter-island shipping, both in terms of cost and service; conditions in some ports, for example, in terms of the cold chain; compliance with food safety regulations; and quality and availability of certified laboratories. Recognizing the budget limitations of implementation field interventions on a regional scale, there are a number of activities that could have contributed to improved regional collaboration, for example:

- ✓ Linking universities together from each of the three countries on a joint research topic;
- ✓ Mapping out supply chain linkages, and highlighting weaknesses;
- ✓ Identifying sub-regional areas, based on common fisheries, cultural heritage, supply chains, etc., which could form the basis for later scale-up of EAFM on a sub-regional scale;
- ✓ Organizing joint training and experience sharing workshop for local level surveillance officers;
- ✓ Bringing together ethnic communities who are using traditional methods, to spotlight commonalities and bridge cultural divides; etc.

### **Summary**

Capacities of local stakeholders were strengthened through the activities facilitated by the Project in planning and implementing sustainable fisheries management measures consistent with EAFM concepts. And, in the case of Indonesia and the Philippines, the Project facilitated development of scale-able demonstrations of sustainable fisheries management approaches. Furthermore, the genetic studies completed are significant contributions to the scientific knowledge base of small pelagics in the SCS, and provide sound, technical back-up for addressing the identified transboundary problems jointly. Achievement of Outcome 4 is rated as **Satisfactory**.

<b>Outcome 5: Facilitated uptake of knowledge and lessons learned</b>
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Budget estimated in project document:	USD 190,000
Actual cost incurred on this outcome:	USD 101,127

### **Management**

The money spent on this outcome was USD 101,127, is slightly half of the USD 190,000 allocated in the project document, and no costs were incurred in the last year of Project implementation,

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<sup>1</sup> Pedrosa-Gerasmio, I.R., et al., 2015. Genetic diversity, population genetic structure, and demographic history of AUXIS THAZARD (Perciformes), SELAR CRUMENOPHTHALMUS (Perciformes), RASTRELLIGER KANAGURTA (Perciformes) and SARDINELLA LEMURU (Clupeiformes) in Sulu-Celebes Sea inferred by mitochondrial DNA sequences. Fisheries Research, Vol. 162, February 2015, ELSEVIER.

2014, largely due to lack of funds due to some efficiencies in earlier years. This was unfortunate, because the best practices and lessons learned, including those from the demonstration activities, were not distilled into consolidated case study reports, that could have been shared throughout the region, and also among the GEF IW portfolio.

According to the project document, 264 person days were allocated for a local knowledge management specialist, but according to financial expenditure records for this outcome, staff costs (ATLAS Code 61300), there seemed to be fewer than 150 days, using the USD 250 per person daily rate in the project document.

The envisaged linkage with the GEF-financed ADB-project entitled “Regional Cooperation on Knowledge Management, Policy, and Institutional Support to the Coral Triangle Initiative” did not seem to materialize, as the evaluator did not find evidence in PIR reports, PSC meeting minutes, or in feedback provided through interviews.

Another knowledge management shortcoming was production and dissemination of the TDA and SAP. At the time of the TE, in December 2014, the TDA had yet to be produced in hardcopy, although there were arrangements being made with the procurement assistance of UNDP Philippines to print a limited number. On the other hand, the evaluator observed numerous copies of the SAP stacked in the offices of two of the three NCU’s visited (interviews with the third NCU were held at the location of the demonstration site). It might have been advisable to do a more thorough assessment of which stakeholders would obtain hardcopies of these documents, and maybe also implement an e-mail campaign with links to the Project website, in order to enhance the awareness of the availability of these important resources.

### **Internet Coverage**

The Project had its own website in the beginning of the implementation phase, but there was a later decision to host the site on the GEF IW:Learn platform. The web address to the current website is: [www.scsfishproject.iwlearn.org](http://www.scsfishproject.iwlearn.org)

There were some difficulties in arranging Internet search engines to direct visitors to the newer website, rather than the older one ([www.ssme-fishproject.org](http://www.ssme-fishproject.org)), but this situation has been rectified by automatically linking to the newer site when the older one is accessed.

The Project website contains reasonably current information, including pdf copies of the TDA and SAP documents, although the version of the SAP on the website is not the final version. The institutional strengthening report, prepared under Outcome 3, is also on the website, as well as 2012 and 2013 annual reports for the demonstration site activities (Outcome 4).

The website of for UNDP Philippines has page dedicated to the Project, under the Environment and Energy portfolio, but the information on this site is a bit dated, reporting status as of the end of 2012:

[http://www.ph.undp.org/content/philippines/en/home/operations/projects/environment\\_and\\_energy/Sulu-Celebes-Sea.html](http://www.ph.undp.org/content/philippines/en/home/operations/projects/environment_and_energy/Sulu-Celebes-Sea.html)

The evaluator did not find information on the websites of UNDP Indonesia or UNDP Malaysia.

The GEF’s website ([www.thegef.org](http://www.thegef.org)) also has information pertaining to the Project (GEF ID 3524). The PIF Document, PPG Document, and a STAP review are attached, but the project document, mid-term review report, and other more recent documents are not included.

The MMAF in Indonesia has a page devoted to the Project on their website. It is a bit dated, however, last updated in 2013:

<http://www.ssme-indonesia.net/index.php/component/content/?view=featured&start=5>

The website of the Department of Fisheries Sabah ([www.fishdept.sabah.gov.my](http://www.fishdept.sabah.gov.my)) includes an announcement of the MOU signed with local Semporna stakeholders in February 2013, as part of the demonstration activities there.

Regarding the national stakeholders in the Philippines, there is write-up on the website of the NFRDI ([www.nfrdi.da.gov.ph](http://www.nfrdi.da.gov.ph)) regarding the Lana Sardinas Caravan Tour that was made in July 2014 in the Zamboanga Peninsula, to raise awareness among local stakeholders on the importance of sustainably managing the sardine resource there. Also, the website of the Bureau of Fisheries and Aquatic Resources ([www.bfar.gov.ph](http://www.bfar.gov.ph)) includes a 17 March 2014 press release outline the sardine closure in Zamboanga.

### **Conferences and Workshops**

Project staff and representatives participated in a number of capacity building activities, and also presented results and lessons learned at a number of local, regional and international conferences and workshops, including the following (based on information contained in PIR reports):

- ✓ 2 representatives from Malaysia and the Senior Fisheries Expert participated in the TDA, SAP workshops organized by IW:LEARN and the IW:LEARN Congress in Croatia, October 2011;
- ✓ 3 Malaysian representatives participated and presented findings at the 6<sup>th</sup> World Fisheries Congress in Edinburgh, Scotland in May 2012;
- ✓ The RPM attended the FAO Fisheries Livelihoods Project Workshop in Manila, February 2012;
- ✓ The Fisheries Expert presented updates and lessons at the Third Regional Exchange for Ecosystem Approach to Fisheries management, Putrajaya, Malaysia, 21-25 May 2012, Coral Triangle Initiative Support Program, Regional Working Group on EAFM;
- ✓ The RPM participated in the IW:Learn sponsored Indonesian Seas Twinning Initiative. Results were presented in the IOPAC Conference in Bali Indonesia.
- ✓ The Philippine NC attended the 7<sup>th</sup> GEF Biennial International Waters Conference in Barbados, in 2013, and shared lessons learned and experiences from the Project;
- ✓ Project representatives participated in the IW: Learn Regional Workshop, ADB Headquarters, Ortigas, Philippines, in March 2014;
- ✓ Project representatives participated in the World Coral Reef Conference exhibit in Manado, Indonesia in May 2014. More than 150 delegates from around the world attended this conference;
- ✓ Philippine EAGA Strengthening Private Sector Competitiveness Trainings in Palawan and Zamboanga, June 2014;
- ✓ 5th Asia-Pacific Fishery Commission Consultative Forum Meeting, 19-21 June 2014, Hyderabad, India
- ✓ 12th Pan Ocean Remote Sensing Conference (PORSEC-2014), Bali, Indonesia, November 2014;

### **Peer-Reviewed Scientific Articles**

The genetic diversity study sponsored by the Project, under Outcome 4, was summarized by the researchers into a scientific article, which has been accepted by the international, peer-reviewed journal Fisheries Research, and will be published in the February 2015 volume:

Pedrosa-Gerasmio, I.R., et al., 2015. Genetic diversity, population genetic structure, and demographic history of AUXIS THAZARD (Perciformes), SELAR CRUMENOPHTHALMUS (Perciformes), RASTRELLIGER KANAGURTA (Perciformes) and SARDINELLA LEMURU (Clupeiformes) in Sulu-Celebes Sea inferred by mitochondrial DNA sequences. Fisheries Research, Vol. 162, February 2015, ELSEVIER

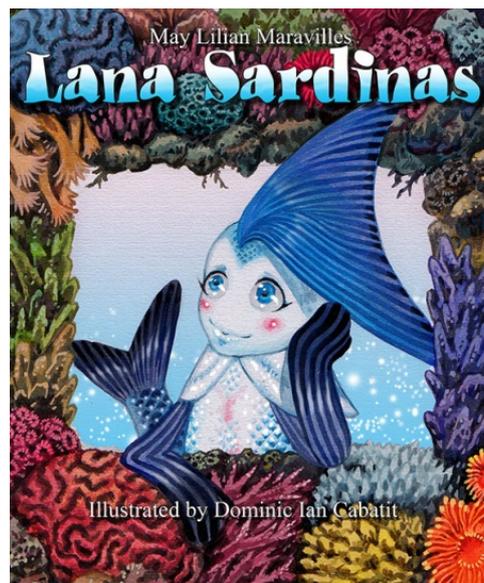
Furthermore, some of the findings and experiences of the Indonesian demonstration site activities were consolidated into two separate articles that have been approved for publication in the peer-reviewed Journal Indonesia Fisheries Research Journal (IFRJ):

1. Andhika P. Prasetyo, Duto Nugroho, Lilis Sadiyah, Rudy M. Purwoko, Ria Faizah and Agus Setiyawan. In Prep (Approved). Approach to Estimate Unreported Data: Rebuilding History of Lift-Net Fishing in Kwandang Waters. Indonesia Fisheries Research Journal (IFRJ)
2. Andhika P. Prasetyo, Duto Nugroho, Wudianto, Hari Eko Irianto and Purwanto. In Prep (Approved). Initiation on Ecosystem Approach to Fisheries Management (EAFM): Case Study on Tarakan Fisheries. Indonesia Fisheries Research Journal (IFRJ)

### **Awareness-Raising**

During the first two years of project implementation, 2010 and 2011, the UNDP was producing a newsletter entitled CTI Currents, to provide stakeholders with an update of the progress and results of the three UNDP-implemented projects under the CTI initiative, including the SCS Project. There were write-ups on the Project in the first two issues of CTI Currents, published in December 2010 and First Quarter 2011, respectively. Project progress reports indicate that contributions were made to three issues of CTI Currents, but the evaluator could only locate the first two issues of the newsletter.

The NCU-Philippines team facilitated a commendable awareness-raising campaign which they called “Lana Sardinas”. In partnership with the Department of Communication of the Ateneo de Zamboanga University, an illustrated storybook (the cover of which is shown below in **Exhibit 17**), an animated video, and a musical puppet show, were produced and delivered to stakeholders throughout the Zamboanga Peninsula over the course of a week in July 2014.



**Exhibit 17: Cover of the *Lana Sardinas* storybook**

The Lana Sardinas campaign provided easy-to-understand information on the issues confronting the sardine fisheries in the region, and what the general public can do to help ensure this scarce resource is managed sensibly.

The NCU-Indonesian team applied some of the lessons learned in Zamboanga in designing the awareness-raising materials, including posters and information boards, for socializing the fisheries restricted area in Tarakan and other sustainable fisheries topics to the local communities there.

## **Media Coverage**

Local and national newspapers covered some of key milestones achieved by the Project, such as the endorsement of the RSAP on 29 October 2013, which was reported by the Philippine Daily Inquirer, and a link to this report is available on the Project website. The progress reports prepared by the NCU's regarding the demonstration activities include newspaper clippings for media coverage by local and regional outlets, and also evidence of radio announcements.

The Zamboanga sardine closure affects several thousand cannery workers and a few hundred fishers, and as the area is the sardine center of the Philippines, there has been also national-level coverage there. For example, the Philippine Council for Agriculture, Aquatic and Natural Resources Research and Development (PCAARRD) published a short article on their website on 2 December 2014<sup>1</sup>, discussing how Mega Global, a large sardine processing company, has adapted to the sardine closure in Zamboanga, the location of one of their largest canneries.

## **Summary**

The Project made substantial improvements in knowledge management since the time of the mid-term review, in spring 2013, and despite the shortcomings outlined above and with considerable fewer funds than originally allocated, achievement of *Outcome 5 is rated as Satisfactory*.

### **3.3.2. Relevance**

#### **Relevance is rated as: Relevant**

The Project is directly relevant according to national development plans of the three countries. In Indonesia, the 2010-2014 medium-term development plan includes a separate section dedicated to development of the Kalimantan area. In Tarakan for example, among the 141 priority goals of the Mayor, 21 are associated with the fisheries sector.

The 10<sup>th</sup> development plan (2011-2015) for Malaysia includes particular objectives for the Sabah Development Corridor. Also, in Malaysia's 5<sup>th</sup> report to the Convention on Biological Diversity, submitted in 2014, the Tun Mustapha Marine Protected Area, covering more than 1 million ha in Sabah State aims to conserve marine biodiversity in mangrove forests, coral reefs and coastal waters, while enabling sustainable development of traditional and commercial fisheries.

The Philippine Development Plan for 2011-2016 outlines in Chapter 4 on Competitive and Sustainable Agriculture and Fisheries Sector, the strategy to reduce the vulnerability of natural ecosystems and biodiversity through ecosystem-based management approaches. The EAFM based demonstrations in Zamboanga and planned in Palawan are relevant to these objectives.

The project is also relevant with respect to the two strategic objectives of the GEF International Waters focal area. The endorsement of the RSAP fulfills the objective of IW Strategic Objective 1: *"To foster international, multi-state cooperation on priority water concerns"*. The expected impacts of IW Strategic Objective 2: *"To catalyze transboundary action addressing water concerns"* include reducing over-exploitation of fish stocks.

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 water resource objective stipulated under the RSAP is directly aligned 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"*.

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<sup>1</sup> Mega Fishing Corporation success story: Sardines innovation for the benefit of all. 2 December 2014. <http://www.pcaarrd.dost.gov.ph>

### 3.3.3. Efficiency

#### Efficiency is rated as: Moderately Satisfactory

##### Supporting Evidence:

- + TDA and SAP completed within budget and timeframe of the Project;
- + Co-financing contributions exceeded committed amounts;
- + Substantial leveraged resources provided by Government of Philippines for the replication site in Palawan;
- Turnover of RPM's diminished efficiency, due to additional time required to get up to speed and develop trust among key stakeholders;
- Delays in disbursing funds to participating countries;
- Value for money was low for Outcome 3 (Institutional Strengthening);
- Results under the knowledge management component (Outcome 5) were limited, partly due to lack of funds in the last year of implementation.

The funding from GEF represented the incremental cost of improving national and regional policy and management measures to address transboundary environmental threats and facilitating implementation of an ecosystem based approach to fisheries management in the SCS. Under these criteria, the Project was efficient in sponsoring an updated scientific assessment of transboundary threats and causal linkages, through completion of the TDA, and also through developing a framework of measures (NSAP's and RSAP) to respond to unsustainable exploitation of regional fish resources.

Government co-financing sums exceeded the committed amounts, signifying strong country ownership. And, in the Philippines, an additional approximately USD 330,000 were provided by the Government to support the activities of the replication site in Palawan.

Overall Project efficiency is rated as moderately satisfactory, however, because of several factors. Firstly, the high turnover of RPM's had a detrimental effect on cost effectiveness. Considerable time and resources were required each time there was a change, to allow time for the new manager to adapt and also build up trust and rapport among the key national and regional stakeholders. Shortfalls in efficiency were manifested in several ways, e.g., by the fact that the RSAP is not sufficiently rationalized among the three countries, there are no clear goals indicated in the document, and consultations seemed to have been incomplete, as some government agency stakeholders were rather perplexed by some of the actions indicated in the program, even though endorsement was realized by national agencies. Assigning technical facilitation of the SAP consultation to CI was consistent with their role on the project, but the PMO should have provided more supervision of this politically-sensitive process.

The fact that there was no money spent on knowledge management (Outcome 5) in 2014, the final year of the Project, is further evidence of relatively low efficiency.

Finally, the efficiency rating was also influenced by the value-for-money achieved under the institutional strengthening component (Outcome 3). Approximately 19% (USD 536,552) of the total project expenditures were spent on this outcome, but the main output was a report produced by the Bogor Agricultural University. In the opinion of the evaluator, the added value from this report and other activities under Outcome 3 are disproportional with the money spent.

### 3.3.4. Country Ownership

Country ownership has been moderately satisfactory.

The project objective is consistent with national development plans. In Indonesia, the 2010-2014 medium term development plan has a separate section dedicated to development of the Kalimantan area, and this includes increasing productivity and value-added of products from fisheries. The 10<sup>th</sup> development plan (2011-2015) for Malaysia includes particular objectives for the Sabah Development Corridor, and has identified strategic development areas, to enhance employment generation and income alternatives. And, the Philippine Development Plan for 2011-2016 outlines in Chapter 4 on Competitive and Sustainable Agriculture and Fisheries Sector, the strategy to reduce the vulnerability of natural ecosystems and biodiversity through ecosystem-based management approaches.

Also, there is evidence that the outcomes from the project have been incorporated into sectoral plans. For example, in Indonesia, approximately USD 1,400,000 has been allocated for activities consistent with those contained in the NSAP.

Another indication of good country ownership is the realization of government co-financing, which slightly exceeded pledged amounts. There was also proactive, cross-sectoral involvement by both sub-national (for the demonstrations) and national government stakeholders (for the TDA and SAP consultations, for example).

Country ownership was diminished, however, based on relatively incomplete consultation during the SAP process. For example, some of the activities that ended up in the NSAP are not consistent with national priorities or plans. More critically, the indication that Malaysia might not agree to the proposed extension of the MOU of the SSME Tri-Com is a significant blow to country ownership.

### 3.3.5. Mainstreaming

The underlying transboundary problem focused on by the Project, i.e., unsustainable exploitation of fish, has a direct impact on local populations, as employment of thousands of SCS coast inhabitants depend upon resilient and productive fisheries. In this context, 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 Project did not have a specific gender objective, but women play an active role in the small pelagic fisheries sector, mostly regarding post-harvest activities, including marketing and processing. The PIR 2014 report indicated that women are under-represented among top fisheries management staff in the three countries. Women were well represented among the project team, including the first RPM, the senior fisheries expert, and the project associated. One of the three national coordinators is a woman, and several of the NCU staff members are as well. The UNOPS Senior Portfolio Manager (WEC), who was active for most of the Project, is a woman, as is the UNDP Philippines Programme Analyst for the Energy and Environment Programme.

The project objectives are also aligned with the UNDP CO (Philippines) country programme document (CPD) for the period 2012-2016. The overall approach of the CPD aims to strengthen capacities of local governments and communities in democratic governance, poverty, disparity and vulnerability reduction, sustainable management of environment and natural resources, and climate change adaptation and disaster risk management. The goal of the Project was consistent with these aims, i.e.

*To contribute to the sustainability of the economically and ecologically important fisheries in the SCS and their habitats, including its biodiversity and ecological processes, primarily for the benefit of communities that are dependent on these resources for livelihood.*

### 3.3.6. 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 Likelihood of Risks to Sustainability: Moderately Likely**

##### **Supporting Evidence:**

- + SSME Tri-National Committee already in place; offering coordination possibilities;
- + Approval of SAP provides a strengthened regional institutional framework;
- + Demonstration sites provide scale-able models; e.g., replication in the Philippines has made significant progress;
- + Ongoing international support for the implementation of the SSME CAP, and complementary activities being supported under other regional initiatives;
- + Co-Financing during the Project was satisfactory;
- Unclear regional coordination of SAP; while overall responsibility is the Tri-Com, the operationalization and financing of the coordination efforts remain uncertain;
- Reluctance of Malaysia to extend Tri-Com MOU;
- RSAP/NSAP's have a number of inconsistencies, including a fairly unattainable financial plan for the first 3 years of implementation;
- Sustainability strategy not prepared for Project; for example, defining how the demonstration sites will continue to feed into the SAP process;
- Political risks in some areas within the SCS remain high;
- Limited involvement of UNDP-ID and UNDP-MY; which limits their effectiveness for advocacy of the NSAP's moving forward.

This was the first project implemented under the Sub-Com on Sustainable Fisheries, and there were high expectations that the capacity of the sub-committee and also the Tri-Com would be strengthened to enable coordination of the implementation of the developed RSAP and also the other interventions under Outcome 1 of the SSME comprehensive action plan. The fact that the Sub-Com was already in place at the start of the project enhances the likelihood of sustainability of Project results, and the RSAP provides a starting point for joint action on addressing unsustainable exploitation of small pelagics. There are some shortcomings, however, in terms of the strategic framework of the RSAP, which lacks a clear "road map" for achieving the single water resource objective, and also, securing the USD 32 million estimated for the first three years of implementation seems rather unlikely, based upon progress made since endorsement of the RSAP in December 2013. A potential larger, looming concern is the position of some Malaysian government officials that Malaysia will not extend the MOU for the Tri-Com (the first MOU expires in 2016), citing redundancy with activities under the CTI initiative, and recommending rather entering into bilateral agreements for relevant sub-regional issues. This reluctance from one of

the three participating countries jeopardizes the overall viability of the Tri-Com, and is considered a critical risk to the sustainability of the Project outcomes.

### ***Financial***

#### **The Likelihood of Financial Risks to Sustainability is rated as: Moderately Likely**

There is evidence demonstrating the countries are committed to finance some of the activities included the RSAP/NSAP's'. For example, the Philippines have spent approx. USD 330,000 on the replication site in Palawan over the past four years, from 2011 through 2014. The municipality of Tarakan has received generous government support in recent years, largely because the province of North Kalimantan was declared in 2012 and the Government has earmarked a large amount of spending there, to fund the institutional and socio-economic development. According to interviews with Tarakan officials, the municipality received more than USD 500,000 in funding for fisheries related issues in 2013-2014, and an additional approximately USD 325,000 (IDR 4 billion) are proposed for 2015.

But, the approximate USD 10.5 million estimated to be required by each of the three countries for the first three years of implementation of the RSAP/NSAP's seems unrealistic, as there was no evidence available indicating that the countries have included these sums into their development plans for the next 3 years. Some of the interviewed government level stakeholders indicated during the TE mission that some of the activities included in the RSAP/NSAP will require financing support from international donors. Considering the typical project cycle for international donor financed projects, securing the required funds over the next three years is moderately unlikely.

### ***Socio-Economic***

#### **The Likelihood of Socio-Economic Risks to Sustainability is rated as: Moderately Likely**

One of the reasons of focusing this Project on small pelagics is the importance of these fisheries with respect to food security and livelihood opportunities for a large number of inhabitants with the SCS. National and sub-national governments are keenly focused on local economic development, including securing existing and developing alternative livelihood alternatives for coastal communities. This is evident in Tarakan, Indonesia, where 21 of the 141 priority local economic development programs of the Mayor are related to the fisheries sector<sup>1</sup>. Also, the sardine industry is an important economic driver in the Zamboanga region in the Philippines, and, in fact, one of the largest sardine-producing areas in the entire country, and containing the highest number of canneries.

The topic of fuel subsidies is a particular socio-economic issue that is highly relevant in each of the three countries. National policies on fuel subsidies have been high on the political agendas during the 4 years of Project implementation. In Indonesia, fuel subsidy was one of the main election issues raised by the newly elected president in 2014. Fuel subsidies have long been a contentious topic throughout Southeast Asia (and in many other countries), including the fisheries sector, in which the subsidies have been claimed responsible for the over-capacity of fishing vessels, but also a sensitive socio-political mechanism for ensuring livelihood opportunities for low-income families. As fuel subsidy reform is implemented there will likely be disruptions in the fisheries sector, as cost of fuel is one of the main operating expenses for both commercial and small-scale fishers.

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<sup>1</sup> Information provided during interviews of Tarakan municipality officials during TE mission.

There are also continued socio-political risks in the region, including in Semporna, Malaysia and in Zamboanga, Philippines. These risks continue to be significant, and could potentially compromise the implementation of the activities agreed upon in the RSAP/NSAP's, as scarce resources would be likely shifted toward resolving such conflicts.

### ***Institutional Framework and Governance***

**The Likelihood of Institutional Framework and Governance Risks to Sustainability is rated as: Moderately Likely**

The most significant risk to the governance related to the implementation of the RSAP/NSAP's is the reluctance of certain representatives of the Government of Malaysia to approve the proposed extension of the MOU for the SSME Tri-Com. This is a critical risk that jeopardizes the overall viability of the SSME Tri-Com. The RSAP/NSAP's provide a starting point in terms of an institutional framework, but un-committed participation by one of the three countries substantially reduces the likelihood for a regional response to the key transboundary problems identified.

In addition to the uncertain involvement by the Government of Malaysia, coordination and financing of the implementation of the RSAP/NSAP's have not yet been worked out, further contributing to the level of governance risks. From a national scale, inter-sectoral committees supported the TDA and SAP consultation processes, but there was only limited evidence available to the TE evaluator that these structures will continue to convene to support implementation of the NSAP's.

The institutional framework/governance risks are being mitigated to a certain extent through continued international support, and national level commitment to other regional initiatives, including the CTI regional plan of action, Sustainable Development Strategy for the Seas of East Asia (SDS-SEA), the ASEAN-SEAFDEC Resolution and Plan of Action on Sustainable Fisheries, etc. The GIZ-financed project entitled "Support to the Implementation of the Tri-national Sulu-Sulawesi Marine Ecoregion Comprehensive Action Plan"<sup>1</sup> has been running since 2012 and continues until 2017, assisting the countries with joint planning, financing, and implementation of bilateral and tri-lateral interventions under the CAP.

### ***Environmental***

**The Likelihood of Environmental Risks to Sustainability is rated as: Moderately Likely**

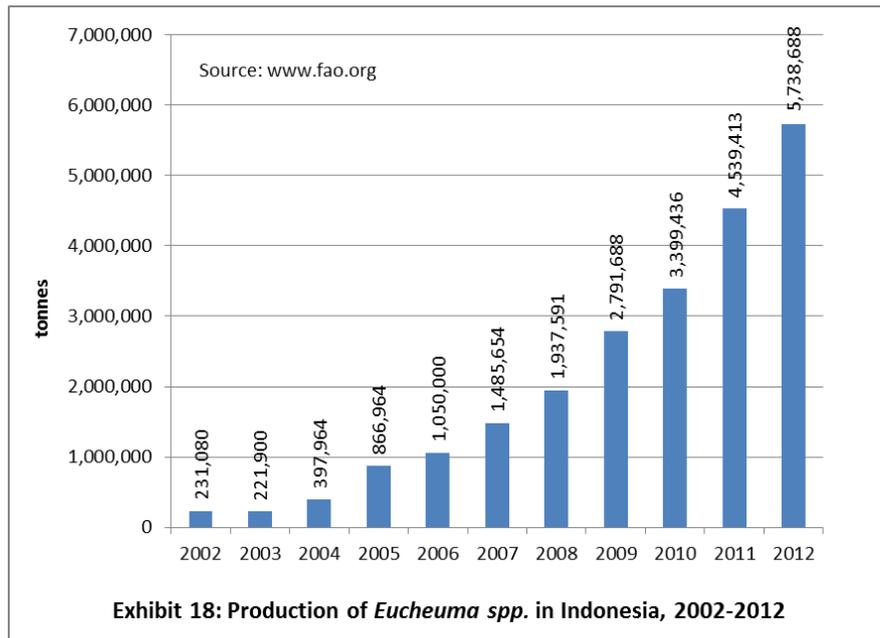
As outlined in the TDA, the predicted impacts of climate change extend over a wide-range of ecosystem services and human well-being, and as Asia Pacific is one of the most vulnerable regions to climate change, impacts are expected to become more intense in the future. The TDA process also revealed how the issue of climate change as a transboundary problem (TP) has become an increasing concern, as Climate Change was stipulated as the third highest ranking TP. Although there are some cross-cutting climate change activities included in the RSAP/NSAP's, including carrying out vulnerability assessments, the RSAP/NSAP's are fisheries focus, and development of transboundary responses to climate change will need to be worked out at a later stage.

Each of the three countries are implementing programs, including the ones agreed to in the NSAP's and the SSME CAP, on encouraging fishers active in the capture fisheries sector to shift to non-fishing livelihood alternatives, which in most cases are relate to aquaculture. As shown below

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<sup>1</sup> <http://www.giz.de/en/worldwide/18229.html>

in **Exhibit 18**, which illustrates production of seaweed (*Euचेuma spp.*) in Indonesia from 2002-2012, there has been a rapid uptake of aquaculture activities in recent years.



Without proper design and operation, intensive aquaculture operations can lead to significant disruptions to ecosystems and ecosystem services. Such risks are not sufficiently addressed in the RSAP/NSAP's, in the opinion of the evaluator, the transboundary problem of Habitat Loss and Community Modification, the second highest ranked in the TDA process, should be addressed in conjunction with Unsustainable Exploitation of Fish.

Protection of biodiversity in the marine environment also extends to introduction of alien invasive species, which was ranked as the 6<sup>th</sup> most important transboundary problem in the TDA. This transboundary problem is also not addressed in the RSAP/NSAP, thus also contributing to the moderately likely rating applied for this dimension of sustainability.

### 3.3.7. Catalytic Role

There was a catalytic role of the Project built into the design, specifically Outcome 4, in which the Growth, Maintenance, and Control (G-C-M) management approaches applied at the demonstration sites were envisaged to be utilized at pre-selected replication sites in each of the three countries. Implementation of integrated fisheries management at the replication sites was achieved to varying degrees among the countries. The most significant progress was made in the Philippines at the replication site in Palawan, where approximately USD 330,000 (PHP 14,680,874<sup>1</sup>) were funded by government sources over the period of 2011-2014. In Indonesia, researches from the Gorontalo University carried out some secondary data collection in support of the preparation of an integrated fisheries management plan for the replication site in Kwandang. As there were delays in implementing the demonstration site activities in Tarakan, the progress in Kwandang was limited. The replication site in Kudat, Malaysia is expected to receive some limited funding under the CTI for compiling secondary data and carrying out a literature review in preparation for an integrated fisheries management plan. This funding has reportedly been leveraged as part of the process of establishing the >1 million ha Tun Mustapha Park (TMP) marine protected area.

<sup>1</sup> Cost data provided by the NCU-Philippines, Dec 2014.

As mentioned earlier, there was limited documented evidence of SAP integration into national policies and programs, although there was some anecdotal evidence provided during the TE mission. For example, some of the items included in the Malaysian NSAP were considered in a strategic paper on agriculture (which includes fisheries issues), as part of the preparatory process for the 11<sup>th</sup> 5-year mid-term development plan, which will start in 2016. The project was also catalytic through influencing the national action plan on EAFM being prepared by the Malaysian National Steering Committee on EAFM, which the DoF-Sabah is the lead agency.

There was also anecdotal evidence indicated by NCU-Philippines representatives, regarding FAO officials during a meeting in Jakarta in 2014 commented on how they would like to utilize the tools developed by the Philippines team for assessing the vulnerability of small pelagic fisheries to climate change. During the TE mission in Zamboanga, an interviewed *barangay* (village) leader explained how he was motivated by this Project to investigate the possibilities of collaborating with one or more other *barangays* in establishing a fish sanctuary, to protect their coastal fisheries, which are an important livelihood resource for their communities.

### 3.3.8. Impact

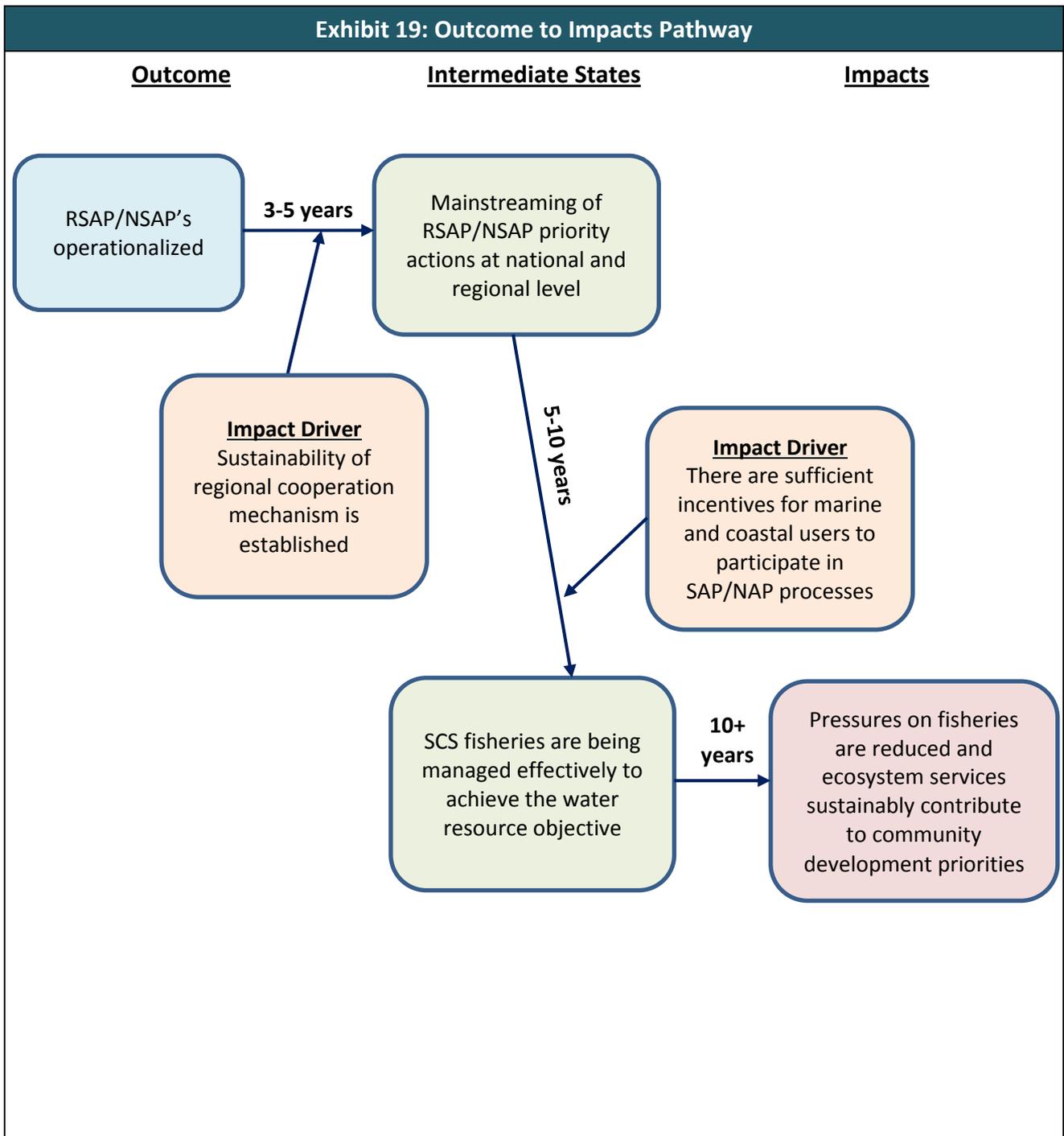
Assessing impact is not particularly feasible, simply because there has been insufficient time to facilitate verifiable improvements in ecological status. Based upon experience among the GEF International Waters portfolio, SAP implementation typically requires a timeframe of 10-15 years<sup>1</sup>, 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	Comments	Impact Rating
Verifiable improvements in ecological status	It is too early to assess progress made toward achieving verifiable improvements in ecological status	<b>Unable to Assess</b>
Verifiable reductions in stress on ecological systems	Endorsement of the RSAP is a significant first step, outlining a transboundary collaborative management framework that will guide efforts in reducing stress on SCS fisheries.	<b>Minimal</b>

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<sup>2</sup>)* method, which applies a Theory of Change approach to assess the overall performance of environmental management projects. The first step was to construct an outcome to impact pathway (see below in **Exhibit 19**).

<sup>1</sup> For example: Catalysing Ocean Finance Volume I Transforming Markets to Restore and Protect the Global Ocean, September 2012 United Nations Development Programme

<sup>2</sup> The ROtI Handbook, Towards Enhancing the Impact of Environmental Projects, Aug 2009, Global Environmental Facility.



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
RSAP/NSAP's operationalized	<b>B</b>	Mainstreaming of RSAP/NSAP priority actions at national and regional level  SCS fisheries are being jointly managed effectively to achieve RSAP water resource objective	<b>B</b>	Pressures on fisheries are reduced and ecosystem services sustainably contribute to community development priorities		<b>BB</b>
<b>Outcome Rating Justification:</b> Approval of the RSAP is an important first step, but staffing and financing the regional cooperation mechanism has not yet been worked out. Also, Malaysia's reluctance to renew the MOU of the Tri-Com jeopardizes regional governance.						
<b>Intermediate States Rating Justification:</b> There is limited evidence so far that the some of the NSAP priority actions have been included in sectoral plans.						
<b>Definitions</b> (extracted from the ROTi Handbook, Aug 2009, GEF):						
<b>Outcome Rating</b>		<b>Intermediate States Rating</b>		<b>Impact Rating</b>		
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.				
<b>Overall Likelihood of Impact Achievement:</b>						
<b>Highly Likely</b>	<b>Likely</b>	<b>Moderately Likely</b>	<b>Moderately Unlikely</b>	<b>Unlikely</b>	<b>Highly Unlikely</b>	
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 outcomes-to-impact assessment results indicate that the likelihood of impact achievement is **likely**. This result is contingent upon the assumptions that the SSME Tri-Com remains intact, and a regional coordination mechanism is operationalized. In order to fulfill these assumptions and create an enabling environment for achieving sustainable fisheries within the SCS, concerted advocacy efforts are needed on a regional scale.

## 4. CONCLUSIONS, RECOMMENDATIONS, LESSONS, GOOD PRACTICES

### 4.1. Conclusions

#### **MAJOR ACHIEVEMENTS/STRENGTHS**

##### ***Important scientific contributions to the knowledge base of the SCS ecosystem***

The updated TDA and the population genetics study are significant contributions to the scientific knowledge base of the SCS ecosystem. It has been 10 years, in 2002, since such a broad assessment was made into the biophysical and socio-economic conditions within the SCS, and the Project was effective in soliciting input from key regional and national scientists. The genetic study of the four selected, regionally important small pelagic species has demonstrated that these fish stocks are truly regional, and provides sound evidence supporting the tri-national decision to manage the transboundary SCS problems jointly.

##### ***The regional and national strategic action programs provide the first set of concrete responses to the transboundary problem of unsustainable exploitation of small pelagic fish***

This was the first project implemented under the Sub-Com on Sustainable Fisheries, and the RSAP and NSAP's have set out the first set of concrete responses to over-exploitation of small pelagics. Despite some shortcomings in the coherence of the SAP, these programs have provided a solid foundation, and the process of developing the RSAP/NSAP's has equally been important, through strengthening regional collaborative capacity and networks.

##### ***Scale-able local demonstrations of EAFM***

At each of the three demonstration sites, Tarakan in Indonesia, Semporna in Malaysia, and Zamboanga in the Philippines, integrated fisheries management plans (IFMP's) were developed by local experts, and two of them, Tarakan and Zamboanga, have been formally approved through sub-national administrative decisions. Following the concepts of ecosystem approach to fisheries management (EAFM), the Project facilitated demonstrations of management approaches in Tarakan, where a year-round, approximately 10,000-ha fisheries restricted area was established, and in Zamboanga, where a seasonal, 3-month closure of the sardine fishery has been implemented annually since 2011, and the Project contributed significantly by financing scientific studies and field surveys validating the viability of the closure, and also by facilitating awareness-raising across a wide spectrum of local and regional stakeholders.

##### ***Strengthened local, national, and 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 SCS ecosystem. The demonstration activities also made strong capacity building contributions, through extensive trainings, workshops, and on-the-ground experience for sub-national administrations, local experts, including those from academia.

##### ***Effective adaptive management against a variety of exogenous conditions***

The Project did a notably good job at effectively adapting to a variety of exogenous conditions, including armed conflicts in two of the three demonstration areas, Semporna and Zamboanga; general elections in each of the three countries; the devastating Super Typhoon Haiyan, which shifted the attention of many of the national stakeholders, and the UNDP and other international agencies; significant devaluation of the Indonesian rupiah between 2011 and 2014 (>30% decline in value); and ongoing speculation and roll-out of fuel subsidy reform.

## **KEY SHORTCOMINGS**

### ***Inefficient and conflicting management arrangements***

There were three different regional project managers over the course of the four-year long project, and this led to inconsistent support to the implementation progress and also with respect to advocacy to key national and regional level stakeholders. Management arrangements were also a bit conflicting, with respect to the role of Conservation International, who was a pre-selected partner for implementing the TDA and SAP components, but as a contracted service provider, it was unconventional to include this organization on the Project Steering Committee. And, the roles of the PMO and Conservation International were somewhat obscured, with respect to technical oversight and facilitation of the SAP process.

### ***Implementation modality led to reduced country participation, diminished ownership, and an inconsistent RSAP***

Contracted service providers accounted for the majority of project cost (47%), with local consultants contributing only 5% to the total. Based upon evidence gathered during the TE, national government decision makers were insufficiently engaged in the SAP process, which diminished the coherency and relevance of the endorsed regional strategic action program. The RSAP lacks clear linkages to the SSME comprehensive action plan (CAP), there are no short-term or medium-term targets, the national responses are not rationalized among the countries, and there is no financing strategy for securing the USD 32 million required for the first three years.

### ***Relatively low value-for-money on some of the components***

Approximately 19% (USD 536,552) of the project cost was spent on Outcome 3, Institutional Strengthening, but with limited results produced, apart from an output deliverable of a report produced by a local university. The strength of the SSME Tri-Com has in fact weakened during the course of the project, with Malaysian officials indicating their reluctance to approve an extension of the MOU which runs out next year.

The cost for the TDA, which was an updated assessment compiling mostly secondary data, was also 50% more than the indicative amount allocated in the project document. Generally weak financial control led to restricted funds being available near the end of the project for SAP consultations and knowledge management.

### ***Design Shortcomings: Not including biodiversity issues in the SAP and inadequate regional dimension among the demonstration activities***

The incremental reasoning behind the GEF funding for this Project was to facilitate a regional response to transboundary problems within the SCS ecosystem. Taking this into account, the demonstration component had an insufficient regional dimension, except for the genetics study on selected small pelagics. Also, the formation of the SSME Tri-Com was founded on common concerns regarding conservation. Even if the Sub-Com on Sustainable Fisheries is mostly focused on fisheries management, not including biodiversity issues, which in fact ranked second among identified transboundary problems, into the SAP framework was a design flaw, as unsustainable exploitation of fish and habit loss and community modification are not mutually exclusive, and should be addressed together.

### ***Comparative advantages of UNDP not fully capitalized on***

By having much of the Project run by service providers, there seemed to be an over-emphasis on outputs, and there was less of a focus on intended results. This is evident, for example, in the

institutional strengthening component. The UNDP has a strong comparative advantage with respect to advocacy, having long-standing favorable standing within the three participating countries, but this was not fully capitalized on. There is a rather complex landscape of regional environmental initiatives, and interviewed stakeholders stressed a certain level of confusion among them. In fact, one of the reasons why Malaysian officials have indicated they are reluctant to renew the MOU of the SSME Tri-Com is redundancy with the CTI regional plan of action. The UNDP, both through their country offices and regional Asia-Pacific office, should have contributed more to advocating the added value of the Tri-Com and the results of this Project.

## **4.2. Recommendations**

### **ACTIONS TO FOLLOW UP OR REINFORCE INITIAL BENEFITS FROM THE PROJECT**

1. The reluctance of Malaysia to support extension of the MOU of the SSME Tri-Com after the first one expires in 2015 is a critical risk to the overall viability of the tri-national collaborative framework. The other members of the Tri-Com, with support from the Sub-Com, UNDP, GEF, and also the CTI Secretariat should implement concerted advocacy efforts to communicate the added value of maintaining the SSME Tri-Com, and trying to persuade Malaysian decision makers to reconsider their position.
2. A sustainability strategy should be prepared to aid the Sub-Com in over-seeing subsequent implementation activities, including but not limited to the following items:
  - a. Outline the steps are suggested for deciding upon how coordination of the RSAP implementation will be operationalized;
  - b. Request the countries to indicate roles and responsibilities for implementation of the NSAP's;
  - c. Also, request the countries to outline how continued progress from the demonstration sites will feed into the NSAP's monitoring and evaluation program, as many activities in the current NSAP's are related to the demonstration sites; etc.
3. The RSAP should be rationalized, by considering the following suggestions:
  - a. An executive summary, understandable to the general public, should be added;
  - b. There should be clear, logical linkages to the SSME CAP;
  - c. A Year-1 review should be made, including a detailed account of activities completed, costs incurred, and contributions made toward the SAP targets;
  - d. Short-term and medium term targets should be developed that are attainable and measurable with available resources. If three years is selected as the first phase of implementation, then decide upon fewer activities than currently are included;
  - e. National responses should be rationalized, and activities should be reconciled to the medium-term development funding cycles of the countries (thus enhancing the likelihood for achievement);
  - f. A financing strategy should be made, including an incremental cost analyses for activities that the countries are unable to fund themselves;
  - g. There should be a strategy for eventually agreeing upon common baselines, information management and sharing, and financial reporting; and
  - h. A simple flow chart showing how the RSAP is complementary to other regional initiatives, such as the CTI, PEMSEA, ECOFISH, etc. would greatly aid advocacy efforts.

4. The results and lessons learned on the Project, including the demonstration sites should be documented in concise, informative case study reports and made available on the IW:Learn website and disseminated among the SCS stakeholder community;

#### **PROPOSALS FOR FUTURE DIRECTIONS UNDERLINING MAIN OBJECTIVES**

5. Biodiversity should be included in the RSAP/NSAP at the earliest convenience. This would strengthen stakeholder involvement and greatly facilitate the design and implementation of EAFM efforts.
6. Scaling up EAFM within the SCS might be more prudent on a sub-regional scale, rather than on at the municipality level. Such an approach might also increase opportunities for donor support. The recommendation is to analyze and map out sub-regional areas, which could be within national borders or trans-national, broken down by any number of criteria, including supply chain connectivity, type of fishery, demographics, etc., to create a general framework that could be amended to the TDA, and also used in subsequent development of the RSAP.
7. Design and sponsor regional demonstration initiatives. These could include, but not limited to the following:
  - a) Linking universities together from each of the three countries on joint research topics;
  - b) Mapping out supply chain linkages, and highlighting weaknesses and needs for improvement;
  - c) Organizing joint training and experience-sharing workshops for local level surveillance officers;
  - d) Bringing together ethnic communities who are using traditional methods, to spotlight commonalities and to bridge cultural divides; etc.
8. Advocate consolidating national inter-sectoral coordination bodies for some of the complementary regional initiatives, including SSME, CTI, PEMSEA, SEAFDEC, FAO IUU RPOA etc. Some of the same people are involved in the coordinating bodies, so it becomes unreasonable to schedule separate meetings.
9. Link sustainable land management with EAFM objectives Considering the geographic characteristics in the SCS countries and the impacts associated with agriculture and forestry, including sediment loading, linking sustainable land management with improving the resilience of coastal communities should be better emphasized, in terms of livelihoods, conservation, and pollution reduction targets.
10. Support improvements to local enabling infrastructure, e.g., jetties, cold chain facilities, etc., as a way to increase ownership and awareness among local stakeholders.

### **4.3. Good Practices and Lessons Learned**

#### **GOOD PRACTICES**

##### ***Involvement by the regional and national scientific community***

The Project did a good job in realizing participation by qualified regional and national experts in the TDA process, SAP development, and design and monitoring of the demonstration sites. Involvement by university professors and researchers in each of the three countries was also commendable, and this increases the likelihood for replication as these professionals have access to several channels of funding for ecosystem research and field studies.

### ***Using scientific evidence to support decisions related to resource management***

The genetic studies on the four selected small pelagic species provided sound evidence, supporting the tri-national decision to jointly manage these scarce resources.

### ***Sub-national partners are critical in facilitating development and implementation of EAFM***

Facilitating active participation of sub-national officials in EAFM training and development of integrated fisheries management plans (IFMP's) was a good-practice implementation approach, which enhanced both ownership and sustainability, as evidenced through the formal approval of the IFMP's in Tarakan and Zamboanga.

### ***The interactive knowledge management methods used in Zamboanga***

The Philippine team, with support from a local university, did a commendable job in designing and deploying the interactive *Lana Sardinias* awareness-raising campaign. Reported feedback from school children groups was particularly demonstrative of the effectiveness of the efforts.

### ***The cross visits among the demonstration sites strengthened regional networks and provided practical examples to the teams***

The cross visits among the teams managing the demonstration sites was an effective way to strengthen regional collaborative capacity, and also provide opportunities to learn from the practical methods and approaches implemented. The Indonesian team was able to apply some of the awareness-raising methods deployed at the Philippine site for their efforts in Tarakan, for example.

## **LESSONS LEARNED**

### ***Advocacy is an important part of the process***

While part of the TDA/SAP process requires intense input by the scientific community, the role of advocacy should not be under-valued. Ensuring that communication lines remain open and positive among regional, high-level officials is critical. And, promoting the added value of the RSAP in a landscape of numerous regional initiatives requires concerted attention by qualified experts. The terms of reference of particular partners and/or individuals tasked with advocacy responsibilities should be clear in this regard.

### ***Strong financial control and M&E are required to ensure good value-for-money***

Results-based management requires that there is sufficient focus on delivering the intended outcomes, and avoiding an over-emphasis on outputs. Through relatively weak financial control and ineffective monitoring & evaluation, the value-for-money of some of components on this Project was low, resulting in an uneven allocation of resources and resultant shortcomings in terms of achieving the intended results.

### ***Biodiversity conservation is inter-twinned with sustainable fisheries management***

As fisheries management moves towards a more ecosystem-based approach, biodiversity considerations become more important, and successful implementation of EAFM essentially requires mainstreaming biodiversity into the productive sector and resource use planning. Conservation should not be treated as a separate issue from sustainable fisheries management.

### ***Important to keep in context the incremental reasoning behind GEF support***

The incremental benefit of the GEF support was catalyzing transboundary collaboration among the participating countries nations, and designing demonstrations should keep this context in perspective.

***Technical oversight throughout the project's lifespan should be maintained***

Based upon available records, the Technical Advisory Group (TAG) convened only once, in November 2011. Although there were various technical task teams and working groups supporting the Project activities, the TAG's role was to provide the Project Steering Committee with informed opinions on the key issues. More frequent involvement by a TAG-type body should be promoted by the implementing agency.

***SAP development should be logical linked to other committed regional initiatives and within the overall medium term development frameworks of the countries***

The participating countries have committed obligations on numerous national and regional programs. It is important to ensure that a SAP be developed complementary to other relevant initiatives, e.g., through highlighting logical linkages. And, programmed activities should fall within the frameworks of the medium term funding cycles of the countries.

***Logistics need to be carefully factored into the selection pilot areas***

Poor road conditions and distance to the nearest airport make travel to/from the replication site in Kwandang, Indonesia very cumbersome. These factors did not seem to be fully factored into the decision of selecting this as the replication site there.

***The Executing Agency should provide more instruction to the implementation partners on issues associated with cooperative implementing agreements and payment procedures***

UNOPS should provide early and more detailed guidance to the implementation partners on issues associated with the cooperative implementing agreements and payment procedures, as a means to mitigate risks of conflicts surrounding disbursement modalities.

**Other Lessons:**

***Regarding public private partnerships, availability and reliability of services are critical factors***

The success of public private partnership arrangements in some of the demonstration areas was found to be highly dependent on the availability and reliability of various services, including electricity quality and supply, fresh water supply, landing site services, etc.

***Regarding Fishery Restricted Areas, buy-in by private sector fish processors can be jeopardized if they cannot fill gaps in supply disruptions and if furloughed workers do not return because of landing alternative employment***

At the Zamboanga demonstration site, buy-in from fish processing industries was found to be relatively good, but there were signs of tension, mostly related to the concern of disruptions to their market positions, thus forcing them to source fish from China and other foreign suppliers during the closure of the fishery, and also due to the tendency of some workers not returning after being furloughed because they found other jobs.

***Regarding participation in regional value chains by small-scale fishers and producers, lack of capacity and capital to fulfill certain quality and safety requirements can be prohibitive***

Several of the small-scale fishers and producers interviewed indicated that they are simply unable to participate in various regional value chains because they lack capacity and capital to fulfill quality and safety requirements.

## 5. ANNEXES

### Annex 1: Evaluation Mission Itinerary (24 November to 6 December 2014)

20 November	Pre-mission briefing (via Skype) with Regional Technical Advisor for Marine, Coastal and Island Ecosystems and IW Program Associate, UNDP Asia-Pacific Regional Centre
24 November, Monday	Evaluator departs for evaluation mission
25 November, Tuesday	Evaluator arrives to Koa Kinabalu, Malaysia Interview with Director Rayner Galid, Department of Fisheries Sabah Interview with Malaysia national coordination unit staff
26 November, Wednesday	Travel to Semporna Interview with Sabah Parks representative Interview with Department of Fisheries staff Interview with Local Fisher Interview with Agency of Fishing Community Cooperation
27 November, Thursday	Travel to Tarakan, Indonesia Meet with Indonesia national coordination unit staff
28 November, Friday	Presentation/meeting at Tarakan Local Government Office Interview with Marine and Fisheries Staff Interview with Local Fisher
29 November, Saturday	Interview with staff at Station for Marine and Fisheries Surveillance, Coastal Fishing Port of Tarakan Interview with Manager of Local Fish Processing Plant Visit to Pantai Amal village and interview with seaweed farmer
30 November, Sunday	Travel to Jakarta
1 December, Monday	Meeting and interview with national coordinator and staff Interview with EAFM consultant
2 December, Tuesday	Travel to Zamboanga, Philippines
3 December, Wednesday	Participate in ceremony for start of sardine closure for this season Interviews at two different sardine processing plants Group interview with demonstration site inter-sectoral committee Interview with national coordinator and staff Interview with a barganguy (village) leader Interview with TDA/SAP consultant
4 December, Thursday	Travel to Manila Interview with UNDP Philippines staff Interview with project associate, PMO Interview with regional project manager, PMO
5 December, Friday	Prepare for TE debriefing TE debriefing at UNDP Philippines office (and Skype) Interview UNOPS water cluster manager
6 December, Saturday	Evaluator completes mission and returns to home base

## Annex 2: List of Persons Interviewed

Name	Position	Organization
Dir. Rayner Galid	Director and Chairperson of SSME Sub-Com on Sustainable Fisheries	Department of Fisheries-Sabah
Dr. Norasma Dacho	National Coordinator, Malaysia	Department of Fisheries-Sabah
Prof. Dr. Hari Eko Irianto	National Coordinator, Indonesia	Research Center for Fisheries Management and Conservation
Mr. Noel C. Barut	National Coordinator, Philippines	Interim Deputy Executive Director National Fisheries Research and Development Institute
Jose Erez Padilla, Ph.D.	Regional Technical Advisor for Marine, Coastal and Island Ecosystems	United Nations Development Programme, Asia-Pacific Regional Centre
Imee F. Manal	Program Analyst	UNDP Philippines, Energy and Environment
Michael Jaldon	Program Analyst	UNDP Philippines, Energy and Environment
Kirk Bayabos	Manager, Small Grants Cluster	UNOPS
Katrin Lichtenberg	Senior Portfolio Manager, GPSO WEC	UNOPS
Romeo Trono	Regional Project Manager	PMO
Marion Abuel-Daclan	Project Associate	PMO
Dr. Annadel Cabanban	Senior Fisheries Expert	PMO (formerly)
Connie Chiang	Regional Project Manager	PMO (formerly)
<b>Malaysia Field Visits and Interviews:</b>		
Jessie Beliku	Project Coordinator, National Coordination Unit	Department of Fisheries-Sabah
Sabrina Malajil	SSME Coordinator, National Coordination Unit	Department of Fisheries-Sabah
Elron Santor	CTI Site Coordinator, National Coordination Unit	Department of Fisheries-Sabah
Mr. Boni Antiu	Parks Manager Semporna	Sabah Parks
Mr. Aldam Jalil	Fisheries Assistant	DoF Semporna
Mr. Deeley Santani	Fisheries Assistant	DoF KK HQ
Mr. Abdul Rashid Abu Hanifah	Semporna, Officer in Charge – under Ministry of Agriculture and Food Industry)	Ko Neleyan (Agency of Fishing Community Cooperation)
Mr. Al-Amin B. Kassim	Local Fisher	
<b>Indonesia Field Visits and Interviews:</b>		
<b>Mayor Meeting Room &amp; Marine and Fisheries Service Office:</b>		
Jamaludin	Director	Mayor Assistant for Economic and Development, Secretariat
Eddy Suriansyah	Director	Agency for Planning and Development
Encik Weliyadi	Dean for Faculty of Marine Science and Fisheries	Borneo Tarakan University
Abidinsyah	Director	Marine and Fisheries Services
Husna Ersant Dirgantara	Deputy for Marine and Fisheries Business	Marine and Fisheries Services
Nurmayanti	Deputy for Aquaculture and Capture Fisheries	Marine and Fisheries Services

Name	Position	Organization
Fery Andua		Transportation Services
Sahril	Staff	WWF
Muhlis	Staff	WWF
Abdan	Staff	Marine and Fisheries Services
Hidayat		Transportation Services
Burhan	Staff	Marine and Fisheries Services
Husna Adhy N		Marine and Fisheries Services
Eka P.		Forestry, Mining and Energy Service
Yeni Sugiati	Staff	Marine and Fisheries Services
Pancawati	Staff	Marine and Fisheries Services
Founta	Staff	Marine and Fisheries Services
Dhimas W.	Lecture	Borneo Tarakan University
Gazali Salim	Lecture	Borneo Tarakan University
Suwatno	Staff	Marine and Fisheries Services
<b>Juata Laut Beringin Village</b>		
Bahri	Fisher, , Community Leader	
Dian	Fisher	
Udin	Enumerator	
<b>Juata Laut Misaya Village:</b>		
Dahlan	Fisher, Coordinator for Community Based Surveillance, Community Leader	
<b>Station for Marine and Fisheries Surveillance, Coastal Fishing Port of Tarakan:</b>		
Heri Arianto	Station for Marine and Fisheries Surveillance, DG Marine and Fisheries Surveillance, Ministry for Marine Affairs and Fisheries	
Maputra	Staff	
Hendra	Operational Manager	PT. Nelayan Barokah
<b>Pantai Amal Village:</b>		
Masnah	Fisherwoman, Owner for Tidal Trap, Seaweed Farmer	
<b>Research Center for Fisheries Management and Conservation, Jakarta:</b>		
Duto Nugroho	Senior Advisor, National Coordination Unit	Research Center for Fisheries Management and Conservation
Andhika Prasetyo	Demo Site Coordinator, National Coordination Unit	Research Center for Fisheries Management and Conservation
Ria Faizah	Project Associate, National Coordination Unit	Research Center for Fisheries Management and Conservation
Mr. Badrudin	EAFM Consultant	
<b>Philippines Field Visits and Interviews:</b>		
Mr. Leonardo Tan	President	Southern Philippine Deep Sea Fishing Association, Inc.
Mr. Rogelio De Sosa	Plant Manager	Zamboanga Universal Canning Corporation Zamboanga City
Operations Manager		MEGA Global, Sardine Canning Company
Mr. Jose J. Suan	President	National President of the Philippine Integrated Industries Labor Union (PIILU) and Vice President of Trade Union Congress of the Philippines (TUCP)

Name	Position	Organization
Mr. Roberto A. Baylosis	Executive Vice-President	Southern Philippine Deep Sea Fishing Association, Inc.
Mr. Roberto G. Valerio	Executive Director	Industrial Group of Zamboanga, Inc.
Mr. Edgar B. Lim	Director	Industrial Group of Zamboanga, Inc.
Mr. Muhaimin P. Albani	Chief-Research Division	Office of the City Agriculturist, City Government of Zamboanga
Dr. Eduardo Bisquera	Assistant Department Head	Office of the City Environment and Natural Resources, City Government of Zamboanga
Dr. Rosalio Tenorio	Former Executive Director	Zamboanga State College of Marine Sciences and Technology (ZSCMST)
Rey Modillas	Chairman- Brgy Cawit	Vice President of Association of Barangay Chairman
Dr. Augustus Rex F. Montebon	Marine Ecologist	Conservation International-Philippines (Currently: freelance), TDA/RSAP Formulation
Ms. Eunice A. Gasmin	Project Associate	National Coordinator Unit- Philippines National Fisheries Research and Development Institute
Ms. Milva L. Carinan	Research Associate	National Coordinator Unit- Philippines National Fisheries Research and Development Institute

## Annex 3: Summary of Field Visits

### Visit to Semporna, Malaysia



Coastal area in Semporna, Malaysia, 26 Nov 2014



Local fish market in Semporna, Malaysia, 26 Nov 2014

The visit started with a discussion with Sabah Parks representatives in Semporna. In recent years there has been a great deal of focus on community involvement and also on enforcement. Sabah Parks was host to the first MPA in Malaysia with people living inside delineated area; there are a few thousand undocumented residents living on a number of islands with the park.

Surveillance and enforcement efforts, coupled with proactive community involvement have led to a sharp decrease in the number of destructive incidents, including fish bombing. The community involvement efforts have included focused awareness campaigns, as many of the residents were largely unaware of the value of the biodiversity in their communities, as well as the connection to local livelihoods.

The agency has also been leading a number of coral rehabilitation interventions, with more than 200 coral frames already installed. There are already signs of positive impact.

Another issue that park managers are engaged in is unsupported land claims by some indigenous people. These claims, although having limited legal proof, have hampered the agency's plans to make certain improvements, including building sanitation facilities for tourists.

Seaweed farming is increasingly popular, and community members can apply for utilization of up to 15 ha per person. The authorities are researching other alternative livelihood opportunities, including rearing giant clams, but seaweed seems to be the most viable at this time.

After concluding the discussion with Sabah Parks representatives, interviews were held with Department of Fisheries (DoF) District Staff in Semporna. According to DoF staff, the Project provided very useful support to their work, including biological sampling, which showed where certain species are laying eggs. And the monitoring activities sponsored by the Project shed light on what species are being caught and when.

One of the problems they are facing is the high number of purse seiners, too high in their opinion. There have been some regulations implemented in recent years, including limits on light intensities, net mesh size, etc. Also, as a result of security concerns in the past couple of years, there is now a curfew for certain fishers beyond 5 nautical miles. The first round of curfews was valid beyond 2 nautical miles, but due to the high number of complaints from local fishers, the line was extended to 5 miles.

There are also infrastructure issues in Semporna that need to be addressed to further support the fishing industry. These include the need for new jetties and cold chain facilities.

A local fisher, a purse seiner owner, was also interviewed in Semporna. This gentleman reiterated the view of how the Project helped them with scientific information on the habitats and reproduction cycles of key small pelagic species. He supports restrictions or even a ban on trawling, as they are causing extensive damage to local fisheries. In his opinion, support for aggregating devices and artificial reef construction would be beneficial to purse seiners in Semporna. Also, according to interviewed fisher, the LKIM gives subsidies per kilogram landed, but the system is not well managed.

### **Visit to Tarakan, Indonesia**



Port in Tarakan, Indonesia, 29 Nov 2014



Packaged dried fish (Bombay Duck) offered in market in Tarakan, Indonesia, 29 Nov 2014

The visit to Tarakan opened with a multi-stakeholder meeting held at the Local Government offices. The site visit also included interviews with local fishers, officials from the provincial surveillance authorities, and interviews with processing industry managers.

The deputy mayor opened meeting with some welcoming words and explained how fisheries is one of the main issues in City. As the province was newly created, local and provincial governments are still working on developing various plans and programs. As part of the mid-term development plan for the city, authorities set up a zoning policy, mainly industrial but also fishing, including fishing industries (processing).

The Project formalized their involvement with local stakeholders through Agreement 4.FGD, entitled "Agreement, Focus Group Discussion the Implementation of Tarakan East Kalimantan Demonstration Site on the SCS-SFM, North Tarakan Sub-District – Tarakan, 15<sup>th</sup> April 2014".

One of the main achievements realized with Project support was the establishment of an approximate 10,000-ha fishery restricted area (for the demersal species Bombay Duck) in and near Tarakan. This protected area has been approved through Mayoral Decree and Governor Decree, and approval of the proposed Regency Decree is in process.

A Forestry Department official outlined the importance of mangroves on marine biodiversity, and the need to have integrated spatial planning, covering both terrestrial and marine areas. These resources are under control of the local government, so long-term development is strongly connected to best practice of spatial planning.

A professor from Borneo University indicated that the Project did a good job at bridging sectors that typically have insufficient collaboration: city management and planning, scientists, local populations, private sector.

Due to the geographic characteristics of the area, demersal fish like the Bombay Duck are very important. The local government has plans to promote other fisheries, including small pelagics, but capacities need to be strengthened and supply chains worked out. Currently among fishers in Tarakan, there are 2,500 vessels in the 1-10 GT category, 18 vessels of 10-30 GT, and 3 having >30GT.

The integration of fisheries management considerations will be included in the Integrated Coastal Zone Management Plan at Tarakan District Indonesia. There are a number of issues that local authorities still need to sort out, including monitoring and surveillance. There is active community participation in surveillance, but there was conflicting reports of the current status. It seems that local authorities have recently discontinued a program to provide a monthly honorarium to those people participating in surveillance, and now offering fuel subsidy as the main incentive.

Registration of fishing vessels is currently being expanded to small fishers, and linking fuel subsidies to the registration has proven to be a strong incentive for participation.

There are currently 42 fish processing plants in the region. The Association of Business, Distribution, Marketing, Collecting, Processing, Fisheries Products formed in 2009 (only cold storage), and was reformulated in 2012. The authorities have plans to construct, starting in 2015, a special economic zone, including a new fishing port and space for industries. Processing plant managers stressed the importance of stable services, including electricity, and would be reluctant to move to new premises if such services are not guaranteed.

With respect to gender issues, there is a high level of participation of women in post-processing.

There has been significant provincial and local spending on the fisheries sector, as this is a new province, and the central government is investment heavily in socio-economic development. Among the 141 priority programs of the Mayor, there are 21 associated with the fisheries sector. For example, in 2013 the following funds were spent on the fisheries sector:

- ✓ IDR 3,169,000,000 (capture fisheries)
- ✓ IDR 3,148,500,000 rp (aquaculture)
- ✓ IDR 577,510,000 rp. (processing and post-harvest)
- ✓ IDR 418,300,000 rp. (cooling system)
- ✓ IDR 2,254,750 rp. (surveillance)

For 2014, IDR 4 billion was proposed, but government officials decided to first evaluate the impact of the funding extended in 2013. Reportedly, IDR 4 billion has been proposed for 2015.

The 2015 budget includes support for training, including on topics such as coastal reef planning, mangrove planting, marine debris, and alternative livelihoods (mangrove beverages, clams, etc.). The deputy director of the Tarakan Department of Fisheries has received training on EAFM.

Inter-sectoral committee was established during project and was formalized through Regulation No. 523/HK-XI/381/2014.

Interviewed local fishers indicated that the main benefits of this project included (1) biological findings, and resulting recommendation for protected area; (2) improving the sustainability of

fishing industry, by strengthening capacities and introducing ideas for alternative livelihood; and (3) increasing awareness.



Seaweed drying, east coast of North Kalimantan, Indonesia, 29 Nov 2014

The last stop was a visit to the east part of the province, where seaweed farming has been increasing in recent years. There is intensive coastal zone seaweed farming, with widespread engagement by men and women, and is clearly the dominant livelihood opportunity for local residents. From a biodiversity point of view, there should be studies made to assess the impacts of this intensive mariculture activity.

### **Visit to Zamboanga, the Philippines**



Ceremony for the launch of the start of No-Fishing Season in Zamboanga, the Philippines. Surveillance crews shown on dock. 3 Dec 2014



Commercial fishing boats in Zamboanga, the Philippines, 3 Dec 2014

The visit to Zamboanga started with attending the opening ceremony of the closed fishing season. This event was attended by more than 100 people, and representatives of local authorities, Coast Guard, Navy, and industry, addressed the participants. This was an impressive ceremony, demonstrating a high level of ownership and participation of the closed sardine fishing season.

After the ceremony, interviews were held with operations managers of two different processing plants. Based upon these interviews, it seems that industry has come to accept the closed season and recognize the importance of avoid catching juvenile fish. But, the support seems a bit tenuous, as the 3-month stoppage has caused significant challenges to them, both in terms of personnel and market position. The industries are receiving some government support, but not

for the entire 3-month period. And, some of the furloughed workers are not returning, after finding alternative work. Maintaining sufficient supply to enable them to keep their market position is equally important. For example, one interviewed manager indicate that they would have very difficult time supporting the idea of extending the closure from 3 to 4 months.

Prior to the first closed season, in 2011, a group of local activists with industry experience were able to obtain support to prepare a Sardine Management Plan, using catch reports from fishing landings, map was done locally together with the private sector. The plan was sent to the central office of the BFAR in Manila, and was approved in 2011 in a memorandum circular.

The closed area covers approximately 15% of the municipal waters; it is not a marine protected area.

According to interviewed stakeholders, the SCS project reinforced the conservation measure, by sponsoring biological surveys that have reinforced the benefit of the closure, and also through effective awareness campaigns. Furthermore, the Project supported completion of the ICZM plan for the Municipality.

Fisher folk were trained on identifying corals, mangrove, fish species, etc. This training was hands-on and very beneficial, as their awareness on biodiversity value was greatly expanded.

According to local government officials, their staff learned a lot on this Project, and their capacity was strengthened through their participation and development of the ICZM plan. 54 local communities, out of a total of 98 participated in the process; this was a significant achievement with respect to community involvement.

Academia representatives (of the demonstration site inter-sectoral committee) indicated that the Project contributed to the scientific knowledge base, including the status of fish biomass, and also made valuable contributions to the ICZM plan.

Local stakeholders were had particular positive remarks regarding the awareness campaign sponsored by the Project. The campaign was designed with the help of a local university and included an interactive story book, puppet show, sardines festival, and a caravan to three other cities.

Recommendations from members of the inter-sectoral committee included: (1) pursue further research, as there are still many gaps that have not been covered, e.g., stock assessment, more information on reproductive cycle, etc.; (2) training on resource valuation; and (3) with respect to the closed fishing season: (i) alternative livelihoods of workers (ii) and study on the impacts of cross-fishing, as there is some anecdotal evidence of certain species showing up since the closed fishing season.

The committee members indicated that it might have been a good idea to involve stakeholders from Zamboanga del Norde, but logistics are challenging. For example, it is a 7-8 hour bus ride to get there.

Also, there is a need to further reach out to municipal fisher folk, who are not subject to the sardine closure. Many of these fishers, for example, are unaware of the problems associated with catching juvenile fish.

Also, stakeholders indicated that there is a need to strengthen the legal framework, e.g., for issues associated with the delineation between municipal waters and high seas.

## **Annex 4: Financial Expenditure Details, 2010-2015**

Source: UNOPS expenditure records (30 March 2015)

Atlas Code	Description	2010						2010 Total	2011						2011 Total
		ACTIVITY 1	ACTIVITY 2	ACTIVITY 3	ACTIVITY 4	ACTIVITY 5	ACTIVITY 6		ACTIVITY 1	ACTIVITY 2	ACTIVITY 3	ACTIVITY 4	ACTIVITY 5	ACTIVITY 6	
61300	Salary & Post Adj Cst-IP Staff	4,844	4,844	4,844	4,844	4,844	36,622	60,840	16,773	16,773	16,773	16,773	16,773	9,319	93,184
62300	Recurrent Payroll Costs-IP Stf	1,191	1,191	1,191	1,191	1,191	9,104	15,058	3,827	3,827	3,827	3,827	3,827	2,126	21,260
63100	Non-Recurrent Payroll - NP Stf	138	138	138	138	138	1,773	2,463							0
63300	Non-Recurrent Payroll - IP Stf	512	512	512	512	512	8,813	11,372	757	757	757	757	757	420	4,205
63500	Insurance and Security Costs	291	291	291	291	291	2,197	3,650	980	980	980	980	980	545	5,446
64300	Staff Mgmt Costs - IP Staff						31,151	31,151	2,536	2,536	2,536	2,536	2,536	1,409	14,087
65100	After Service Insurance							0	2,245	2,245	2,245	2,245	2,245	1,247	12,472
71200	International Consultants	1,808	1,808	1,808	2,711	633	271	9,038	13,963	12,100	12,100	18,150	4,684	2,385	63,381
71300	Local Consultants	808	808	808	808	1,490	212	4,936	2,525	2,525	2,525	68,058	3,668	6,568	85,868
71600	Travel			5,520	0			13,452	18,972	3,836		5,918	588	2,554	31,736
72100	Contractual Services-Companies							0	201,401		41,053	51,920		3,068	297,442
72200	Equipment and Furniture						5,686	5,686							0
72300	Materials & Goods							0							0
72400	Communic & Audio Visual Equip						122	122					0	1,012	1,012
72500	Supplies						674	674						1,077	1,077
72600	Grants							0			32,800				32,800
72700	Hospitality/Catering						6,457	6,457							0
72800	Information Technology Equipmt						2,492	2,492							0
73100	Rental & Maintenance-Premises							0					0	671	671
73400	Rental & Maint of Other Equip							0							0
73500	Reimbursement Costs							0							0
73600	UNOPS Non Pers Direct Costs							0							0
74100	Professional Services							0							0
74200	Audio Visual&Print Prod Costs							0					367		367
74500	Miscellaneous Expenses	61	59	82	104	92	602	1,000	1,435	230	694	952	210	4,497	8,018
74600	Prepaid Project Expenses							2,587	2,587					1,022	1,022
74700	Transport, Shipping and handle							0							0
75100	Facilities & Administration	724	724	1,139	795	689	9,166	13,237	18,645	3,022	9,040	12,383	2,769	4,963	50,822
75700	Training, Workshops and Confer							0							0
76,100	Foreign Exchange Currency Loss	4	4	4	4	4	130	148	5	5	5	5	5	-88	-65
<b>Grand Total</b>		<b>10,379</b>	<b>10,377</b>	<b>16,336</b>	<b>11,397</b>	<b>9,882</b>	<b>131,511</b>	<b>189,883</b>	<b>268,926</b>	<b>45,000</b>	<b>131,252</b>	<b>179,174</b>	<b>41,375</b>	<b>71,974</b>	<b>737,700</b>

Source: UNOPS, 30 Mar 2015

Atlas Code	Description	2012						2012 Total	2013						2013 Total
		ACTIVITY 1	ACTIVITY 2	ACTIVITY 3	ACTIVITY 4	ACTIVITY 5	ACTIVITY 6		ACTIVITY 1	ACTIVITY 2	ACTIVITY 3	ACTIVITY 4	ACTIVITY 5	ACTIVITY 6	
61300	Salary & Post Adj Cst-IP Staff	14,014	14,014	14,014	14,014	14,014	7,786	77,858							0
62300	Recurrent Payroll Costs-IP Stf	4,546	4,546	4,546	4,546	4,546	2,525	25,254							0
63100	Non-Recurrent Payroll - NP Stf							0							0
63300	Non-Recurrent Payroll - IP Stf							0							0
63500	Insurance and Security Costs	847	847	847	847	847	470	4,703							0
64300	Staff Mgmt Costs - IP Staff	36	36	36	36	36	20	198							0
65100	After Service Insurance	1,175	1,175	1,175	1,175	1,175	653	6,527							0
71200	International Consultants	11,604	10,406	10,805	15,808	3,642	1,908	54,174	1,100	54,917	54,507	1,795	1,110	6,437	119,866
71300	Local Consultants	2,975	2,908	2,908	9,175	2,908	-179	20,694	-634	-582	-608	6,855	4,606	680	10,316
71600	Travel	817	11,548	734	4,533	399	16,917	34,948	-714	9,654	18,364		-6,185	29,271	50,389
72100	Contractual Services-Companies	115,000		22,600	177,945			315,545	0	49,521	44,600	301,541			395,662
72200	Equipment and Furniture							0							0
72300	Materials & Goods				53			53							0
72400	Communic & Audio Visual Equip			18			758	776							0
72500	Supplies						736	736							0
72600	Grants			30,106	10,693			40,799			39,800				39,800
72700	Hospitality/Catering		36					36							0
72800	Information Technology Equipmt						53	53							0
73100	Rental & Maintenance-Premises						1,562	1,562							0
73400	Rental & Maint of Other Equip						8	8							0
73500	Reimbursement Costs							0							0
73600	UNOPS Non Pers Direct Costs							0		639	600	791	289	24	2,343
74100	Professional Services						5	5							0
74200	Audio Visual&Print Prod Costs							0							0
74500	Miscellaneous Expenses	1,717	994	851	1,575	229	-1,783	3,583		18	615	233	576	0	1,442
74600	Prepaid Project Expenses						-3,585	-3,585							0
74700	Transport, Shipping and handle						1	1							0
75100	Facilities & Administration	11,455	3,819	6,881	18,030	2,085	2,134	44,403	27	8,608	11,662	23,387	11,492	-8,075	47,100
75700	Training, Workshops and Confer		4,413				600	5,013					7,965	0	7,965
76,100	Foreign Exchange Currency Loss	3	3	3	108	3	-1	121		-299	-3	-8	135	-19	-194
	<b>Grand Total</b>	<b>164,187</b>	<b>54,743</b>	<b>95,523</b>	<b>258,538</b>	<b>29,882</b>	<b>30,589</b>	<b>633,462</b>	<b>-221</b>	<b>122,475</b>	<b>169,537</b>	<b>334,594</b>	<b>19,987</b>	<b>28,318</b>	<b>674,690</b>

Source: UNOPS, 30 Mar 2015

Atlas Code	Description	2014				2014 Total	2015				2015 Total	Grand Total
		ACTIVITY 2	ACTIVITY 3	ACTIVITY 4	ACTIVITY 6		ACTIVITY 2	ACTIVITY 3	ACTIVITY 4	ACTIVITY 6		
61300	Salary & Post Adj Cst-IP Staff					0					0	231,883
62300	Recurrent Payroll Costs-IP Stf					0					0	61,572
63100	Non-Recurrent Payroll - NP Stf					0					0	2,463
63300	Non-Recurrent Payroll - IP Stf					0					0	15,577
63500	Insurance and Security Costs					0					0	13,799
64300	Staff Mgmt Costs - IP Staff					0					0	45,437
65100	After Service Insurance					0					0	18,999
71200	International Consultants			33,108	70,429	103,537	65,000		-6,000	-65,000	-6,000	343,995
71300	Local Consultants		8,123	-211	16,187	24,099		0		0	0	145,913
71600	Travel		8,799	19,203	16,325	44,327	63,000			-63,000	0	193,267
72100	Contractual Services-Companies	80,147	46,169	186,896		313,212					0	1,321,861
72200	Equipment and Furniture		860			860					0	6,546
72300	Materials & Goods					0					0	53
72400	Communic & Audio Visual Equip	682			75	757					0	2,666
72500	Supplies		28			28					0	2,515
72600	Grants		45,400			45,400					0	158,799
72700	Hospitality/Catering		1,779		670	2,449					0	8,942
72800	Information Technology Equipmt				99	99					0	2,643
73100	Rental & Maintenance-Premises				178	178					0	2,411
73400	Rental & Maint of Other Equip					0					0	8
73500	Reimbursement Costs		13			13					0	13
73600	UNOPS Non Pers Direct Costs	1,877	3,857	5,807	34,074	45,615	20,000			-20,000	0	47,958
74100	Professional Services				10,000	10,000				0	0	10,005
74200	Audio Visual&Print Prod Costs	3,131	51			3,182					0	3,548
74500	Miscellaneous Expenses		103			103					0	14,147
74600	Prepaid Project Expenses					0					0	24
74700	Transport, Shipping and handle					0					0	1
75100	Facilities & Administration	6,477	8,639	18,360	11,430	44,906					0	200,468
75700	Training, Workshops and Confer	530			4,363	4,892					0	17,870
76,100	Foreign Exchange Currency Loss	-234	-73	5	47	-255					0	-244
<b>Grand Total</b>		<b>92,610</b>	<b>123,747</b>	<b>263,168</b>	<b>163,876</b>	<b>643,401</b>	<b>148,000</b>	<b>0</b>	<b>-6,000</b>	<b>-148,000</b>	<b>-6,000</b>	<b>2,873,137</b>

Source: UNOPS, 30 Mar 2015

## Annex 5: List of Information Reviewed

1. GEF Project Information Form (PIF)
2. GEF Request for Project Preparation Grant (PPG), March 2008
3. STAP Review of PPG, March 2008
4. Project Document, 2008
5. Project Inception Report, Sep 2010
6. TAG Meeting report, November 2011
7. Mid-term review (MTR) report
8. Management Response to MTR
9. Annual Project Implementation Reviews (PIR 2011, PIR 2013, PIR 2014)
10. Annual Work Plans, 2013, 2014
11. Project Steering Committee meeting minutes: Nov 2011, Feb 2013, Jan 2014, Sep 2014
12. Report of the 7<sup>th</sup> Meeting of the Sub-Committee on Sustainable Fisheries for the SSME Tri-Com, Aug 2013
13. Report of the 7<sup>th</sup> Meeting of the SSME Tri-National Committee, Oct 2013
14. Project GEF Tracking Tool (one version, uncertain date)
15. Financial Expenditure Report, 2010-2014
16. GIWA REGIONAL ASSESSMENT 56, SULU CELEBES (SULAWESI) SEA, 2002
17. Transboundary Diagnostic Analysis, 2014
18. Institutional Strengthening Report, Bogor University, Jan 2011
19. Regional Strategic Action Programme (RSAP), 2014
20. National Strategic Action Program (NSAP) for Indonesia, Malaysia, Philippines, 2014
21. Pedrosa-Gerasmio, I.R., et al., 2015. Genetic diversity, population genetic structure, and demographic history of *Auxis thazard* (Perciformes), *Selar crumenophthalmus* (Perciformes), *Rastrelliger kanagurta* (Perciformes) and *Sardinella lemuru* (Clupeiformes) in Sulu-Celebes Sea inferred by mitochondrial DNA sequences. Fisheries Research, Vol. 162, February 2015, ELSEVIER
22. Contract between Conservation International and UNOPS, Mar 2011 and amendments
23. Indonesia, MMAF letter to UNDP-GEF (New York), requesting clarification of Project budget deficit, Aug 2012
24. Malaysia, DoF-Sabah letter to UNDP Philippines, requesting clarification of Project budget deficit, July 2012
25. Malaysia, E-mail Correspondence between DoF-Sabah and UNOPS regarding delayed payments, Jan-Apr 2013
26. Terms of Reference for EAFM Specialist, 2014
27. Indonesia, MOU between UNOPS and RCFMC for demonstration site, Feb 2012
28. Indonesia, RCFMC, Draft Final Report of Demonstration Site in Tarakan, 2014
29. Indonesia, Integrated Fisheries Management Plan for Tarakan Demonstration Site, 2014
30. Indonesia, List of Government Expenditures in the SCS Fisheries Sector 2014-2015 (unofficial Excel File), Dec 2014
31. Andhika P. Prasetyo, Duto Nugroho, Lilis Sadiyah, Rudy M. Purwoko, Ria Faizah and Agus Setiyawan. In Prep (Approved). Approach to Estimate Unreported Data: Rebuilding History of Lift-Net Fishing in Kwandang Waters. Indonesia Fisheries Research Journal (IFRJ)

32. Andhika P. Prasetyo, Duto Nugroho, Wudianto, Hari Eko Irianto and Purwanto. In Prep (Approved). Initiation on Ecosystem Approach to Fisheries Management (EAFM): Case Study on Tarakan Fisheries. Indonesia Fisheries Research Journal (IFRJ)
33. Malaysia, Final report, Gathering of Background Information for the Demonstration Site. UNDP-GEF SCS SFM Project, 2012
34. (Malaysia), Komilus, C.F., A. Kamu., H.C.Ha & S.I.Nguang. 2013. Malaysia Report prepared for the Sulu-Celebes Sea Sustainable Fisheries Management Project. Component 4, Activity 3: Gathering socio-economic baseline indicators at Demonstration Site in Semporna. SSME Project No. GEF 3254. 93p.
35. Malaysia, DoF-Sabah, Final Report from the National Coordinator, 2014
36. Malaysia, Integrated Fisheries Management Plan for Semporna, Sep 2014
37. Philippines, Budget utilization for Replication Site in Palawan (Excel file), Dec 2014
38. Philippines, NCU Annual Progress Reports: 2011, 2012, 2013, 2014
39. Philippines, BFAR-NFRDI, Technical Paper, Assessment of Small Pelagic Species Particularly on Various Species of Sardines at Zamboanga Peninsula and Province of Palawan, 2013
40. Philippines, *Lana Sardinias* awareness-raising storybook
41. Philippines, City of Zamboanga, Resolution No. 2014-001, approval of the ICFRMP by the Technical Executive Committee of the City
42. Philippines, BFAR On-Line Information System, Press Release, DA-BFAR sees rising trend in sardine production as third sardine closed season ends, 17 Mar 2014
43. CTI Currents newsletter (UNDP), Dec 2011
44. CTI Currents newsletter (UNDP), Quarter 1, 2012
45. UNDP Philippines Country Programme Document, 2012-2016
46. Indonesian Medium Term Development Plan, 2010-2014
47. Malaysian 10<sup>th</sup> Development Plan, 2010-2015
48. Philippine Development Plan, 2011-2106
49. Indonesian 4th National Report to the Convention on Biological Diversity, 2014
50. Malaysian 5<sup>th</sup> National Report to the Convention on Biological Diversity, 2014
51. Philippine 5<sup>th</sup> National Report to the Convention on Biological Diversity, 2009
52. FAO, The State of World Fisheries and Aquaculture, 2010
53. FAO, RFLP, Addressing sardine catch wastage during the glut season in Zamboanga del Norte, 2013

## Annex 6: Evaluation Matrix

Evaluation Criteria Questions	Indicators	Sources	Methodology
<b>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?</b>			
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
<b>Effectiveness: To what extent have the expected outcomes and objectives of the Project been achieved?</b>			
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	Monitoring reports; etc.	Desk review, interviews
<b>Efficiency: Was the Project implemented efficiently, in-line with international and national norms and standards?</b>			
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 local strategies and plans	Desk review, interviews
<b>Country Ownership:</b>			
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 governments maintain their financial commitment to the Project?	Committed co-financing realized	Audit reports, project accounting records, PIRs	Desk review, interviews
Have 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
<b>Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?</b>			
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
Integration of NAP priority actions in to key sectoral plans	Integration into sectoral plans	Progress reports, PIRs, sectoral plans, testimonial evidence	Desk review, interviews

Evaluation Criteria Questions	Indicators	Sources	Methodology
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
<b>Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?</b>			
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
<b>Stakeholder Involvement:</b>			
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	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
<b>Catalytic Role:</b>			
Explain how the Project has 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
<b>Synergy with Other Projects/Programs</b>			
Explain how synergies with other CC projects/programs were incorporated in the design and/or implementation of the project.	Reference to other projects/programs	Plans, reports, meeting minutes	Desk review, interviews
<b>Preparation and Readiness</b>			
Were project objective and components clear, practicable, and feasible within its time frame?	Project efficiency, stakeholder involvement	Logical results framework	Desk review, interviews
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
<b>Financial Planning</b>			

Evaluation Criteria Questions	Indicators	Sources	Methodology
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	Desk review, interviews
<b>Supervision and Backstopping</b>			
Did GEF Agency staff identify problems in a timely fashion and accurately estimate their seriousness?	Project effectiveness	Progress reports, MTR report, final Project review 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	Progress reports, MTR report, final Project review 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, final Project review report, back-to-office reports, internal appraisals	Desk review, interviews, field visits
<b>Delays and Project Outcomes and Sustainability</b>			
If there were delays in project implementation and completion, what were the reasons?	Sustainability of Project outcomes	Progress reports, MTR report, final Project review 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
<b>Monitoring &amp; Evaluation</b>			
Did management adequately respond to mid-term review recommendations?	Project effectiveness	Management response, PIRs, final Project review	Desk review, interviews
Was there sufficient focus on results-based management?	Project effectiveness	PIRs, MTR report, final Project review	Desk review, interviews
<b>Mainstreaming</b>			
Were gender issues had been taken into account in project design and implementation?	Greater consideration of gender aspects.	Project document, design of demonstration sites, monitoring reports, PIR's	Desk review, interviews
Were effects on local populations taken into account in project design and implementation?	Positive or negative effects of the project on local populations.	Project document, design of demonstration sites, monitoring reports, PIR's	Desk review, interviews

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

No.	Indicator	End of Project Target(s)	TE Comments				Rating
<b>Objective: To improve the condition of the fisheries and their habitats in the SCS through an integrated, collaborative and sustainable tri-national management.</b>							
<b>Outcome 1: Regional consensus on transboundary priorities, their immediate and root causes</b>							
O1-1	TDA employing accepted methodology	Updated TDA and analysis of unsustainable exploitation of marine resources delivered on the 2nd year of the Project	The Project did a good job facilitating completion of the TDA, with assistance of key national and regional scientists. Value-for-money, however, was relatively low, spending 50% more on this component than allocated in the project document, thus taking up resources for other critical activities, such as SAP consultations and knowledge management.				Moderately Satisfactory
O1-2	Status of acceptance of the results of the TDA by the SSME Tri-Com and Sub-Com on Sustainable Fisheries	TDA on regional priorities and their immediate and root causes in the Sulu-Celebes Sea accepted by the SSME Tri-Com and the Sub-Com on Sustainable Fisheries right after completion of the report.	TDA was accepted by the Sub-Com on Sustainable Fisheries. Stakeholders mostly pleased with the finalized product, although not yet distributed in hardcopy.				Satisfactory
<b>Sub-Total, Outcome 1</b>			Amount Spent	Weighted Cost	TE Outcome Rating Score	Weighted Score	Satisfactory
			USD 443,271	0.18	80	14.4	
<b>Outcome 2: Recommendations on regional and national legal, policy and institutional reforms for improved fisheries management</b>							
O2-1	Status of appropriate regional and national legal, policy and institutional reforms and collaborative agreements for improved management of fishery resources	REGIONAL FISHERIES SAP endorsed by the SSME Tri-Com during the third year of the Project	RSAP and NSAP's completed and endorsed by SSME Tri-Com. Overall quality of the RSAP is weak, however, with no clear linkages to the SSME CAP, no short term or medium term targets, and a rather unattainable plan to mobilize USD 32 million in the first 3 years.				Moderately Satisfactory
		ENDORSEMENT or approval of the REGIONAL FISHERIES SAP BY RELEVANT NATIONAL AGENCIES AND ITS IMPLEMENTATION INITIATED DURING THE LIFE OF THE PROJECT.	There have been some national level activities completed since the RSAP was endorsed in Oct 2013, but no systematic assessment of results achieved so far. Regional coordination is not yet operationalized and national roles and responsibilities unclear.				Moderately Satisfactory
		Collaborative agreements with regional organizations are established DURING THE LIFE of the Project.	No evidence of collaborative agreements being reached.				Moderately Unsatisfactory
<b>Sub-total, Outcome 2</b>			Amount Spent	Weighted Cost	TE Outcome Rating Score	Weighted Score	Rating
			USD 325,150	0.13	70	9.1	Moderately Satisfactory
<b>Outcome 3: Strengthening of existing institutions TO CATALYZE REGIONAL COOPERATION IN reducing over-fishing and improving fisheries management in the SCS</b>							

O3-1	Status of institutional REVIEW AND reforms AGENDA at the regional and national levels	Institutional REVIEW OF strengthening AGENDA are PRODUCED IN THE 2ND year of the Project and IMPLEMENTATION INITIATED in subsequent years. SAP is properly implemented with better institutions.	The main deliverable under Outcome 3 was an Institutional Strengthening report prepared by the Bogor Agricultural University. The report is a compilation of fisheries management laws and institutional arrangements in the three countries, and discusses some optional institutional mechanisms, and there are some recommendations on capacity building. The report does not, however, provide specific recommendations for the institutional arrangements moving forward for the Tri-Com and the Sub-Com on Sustainable Fisheries for implementing the SAP developed on this project other interventions under the comprehensive action plan (CAP) of the SSME. The evaluator considers the value-for-money of the activities completed under this Outcome, which accounted to approximately 18% of the total funds expended, to be unsatisfactorily low.	<b>Moderately Unsatisfactory</b>			
<b>Sub-Total, Outcome 3</b>			<b>Amount Spent</b>	<b>Weighted Cost</b>	<b>TE Outcome Rating Score</b>	<b>Weighted Score</b>	<b>Moderately Unsatisfactory</b>
			USD	0.22	60	13.2	
			536,039				
<b>Outcome 4: INCREASED CAPACITY OF SSME NATIONAL LEVEL INSTITUTIONS TO IMPLEMENT SITE-SPECIFIC EAFM WITH LOCAL PARTNERS TO REBUILD FISH STOCKS AND IMPROVE FISHING INCOMES</b>							
O4-1	STATUS OF PLANNING AND IMPLEMENTATION OF INTEGRATED FISHERIES MANAGEMENT PLAN (IFMP) USING EAFM IN THE THREE DEMONSTRATION SITES	Within the Demonstration Sites, adoption of IFMP USING EAFM DURING 3RD YEAR OF THE PROJECT AND IMPLEMENTATION DURING THE REST OF THE LIFE OF PROJECT	Indonesia: Despite delays through most of 2012, the ID team was very successful in facilitating an EAFM based measure in Tarakan, specifically a fisheries restricted area covering 10,000 ha of spawning and nursery ground for the Bombay duck demersal species, a locally important resource.	<b>Satisfactory</b>			
			Malaysia: Formalized a MOU with 19 local stakeholders, agreeing on sustainable management of local fisheries. Local universities provided good quality outputs on biophysical and socio-economic conditions. Also, some baseline information compiled for the Kudat replication site.	<b>Satisfactory</b>			
			Philippines: Made significant contributions to the Zamboanga sardine closure, including scientific surveys, capacity building, stakeholder engagement, etc. Also, designed and implemented a very good awareness-raising campaign. And, levered government resources for baseline and field surveys at Palawan replication site.	<b>Highly Satisfactory</b>			
		Integrated Fisheries Management Plans (IFMP) prepared and implemented at each demonstration site	Indonesia: IFMP completed and approved through sub-national administrative decision.	<b>Satisfactory</b>			
			Malaysia: Draft IFMP completed, not yet finalized	<b>Moderately Satisfactory</b>			
			Philippines: IFMP completed and approved through sub-national administrative decision.	<b>Highly Satisfactory</b>			
<b>Sub-Total, Outcome 4</b>			<b>Amount Spent</b>	<b>Weighted Cost</b>	<b>TE Outcome Rating Score</b>	<b>Weighted Score</b>	<b>Satisfactory</b>
			USD	0.43	82	35.26	
			1,046,412				

Outcome 5: Facilitated uptake of knowledge and lessons learned							
O5-1	Scope, frequency and dissemination of information, education and communication (IEC) reports as well as evaluation and monitoring reports	Regularly conducted IEC, monitoring and evaluation reports covering local, national and regional activities	The money spent on this outcome was USD 101,127, is slightly half of the USD 190,000 allocated in the project document, and no costs were incurred in the last year of Project implementation, 2014, largely due to lack of funds due to some efficiencies in earlier years. Knowledge management at ID and PH demonstration sites was very good.		Moderately Satisfactory		
		Creation of a project website that is linked to the websites of participating government agencies, UNDP, CI and IWLEARN.net	The Project had its own website in the beginning of the implementation phase, but there was a later decision to host the site on the GEF IW:Learn platform: <a href="http://www.scsfishproject.iwlearn.org">www.scsfishproject.iwlearn.org</a>		Satisfactory		
		Dissemination of above reports to various channels and audiences including through the IWLEARN.net	Production and dissemination of the TDA and SAP was fairly inefficient. At the time of the TE, in December 2014, the TDA had yet to be produced in hardcopy. The available SAP document on the website is not the final version.		Moderately Satisfactory		
Sub-Total, Outcome 5			Amount Spent	Weighted Cost	TE Outcome Rating Score	Weighted Score	Satisfactory
			USD 101,127	0.04	80	3.2	
Overall Outcome Rating			Amount Spent		Overall Outcome Score		Moderately Satisfactory
			USD 2,451,999		75		

Notes:

Weighted scores are based upon the weighted costs of each outcome. The weighted costs are based upon the total amount spent for Outcomes 1-5, excluding project management.

The TE rating scores are based upon the judgment of the evaluator, according assessed achievement toward each outcome, using the following qualitative rating scale:

Qualitative Rating	Rating Score
Highly Satisfactory	90 – 100
Satisfactory	80 – 90
Moderately Satisfactory	70 – 80
Moderately Unsatisfactory	60 – 70
Unsatisfactory	50 – 60
Highly Unsatisfactory	<50

## Annex 8: Evaluation Consultant Code of Conduct Agreement Form

### Evaluator:

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 Manila on 5 December 2014

Signatures:



**James Lenoci**  
Terminal Evaluator

## Annex 9: Draft Report Review Comments and Evaluator Responses

Comment	Response by Evaluator
1. The TE does not adequately describe the purpose and objectives of the evaluation. The TE provides only a single statement for both the purpose and objective of the evaluation (on pg. 1), and this statement more directly corresponds to the evaluation objective, but that is minimal.	More detail has been added to Section 1.1, in order to better describe the purpose of the evaluation.
2. The total co-financing is listed as USD 3.33 mil in Exhibit 1: Project Summary Table, but as USD 3.23 mil on pg. 9. This inconsistency should be addressed.	The total committed co-financing sum of USD 3.23 million is consistently stated in the Project Summary Table (Exhibit 1) and in Section 2.6. No changes have been made.
3. The methodology needs to be more thoroughly described e.g. a description of the rationale of the methodological approach taken, the rationale and basis for the selection of field visits and persons interviewed. The Report should include a description of the sampling method that was used and its limitations, if any.	A description of the rationale of the methodical approach has been added to Section 1.2.
4. The ratings for sustainability that are presented in Exhibit 2: Evaluation Rating Table are clear, however in the text of the Sustainability discussion in the report, the consultant refers to the ratings categories as “risks to sustainability” (ie. “the financial risks dimension is rated as Moderately Likely” pg. 49). Therefore, it is confusing if the consultant is rating the financial sustainability as Moderately Likely, or the financial risks to sustainability as Moderately Likely to occur. The text on the Sustainability Section (3.3.6, pg. 48-51) should be clarified.	The narrative discussion under Section 3.3.6 has been clarified accordingly.
5. The limitations section (1.6) should clearly articulate the limitations of the evaluation. Currently, it only describes the timeline of the evaluation. There is no indication of potential limitations related to time, resources to assess all relevant data sources, language issues, etc.	More information has been added to Section 1.6, to more clearly articulate the limitations of the evaluation.
6. The evaluation matrix is well-designed, except that it does not address gender equality issues.	A section on mainstreaming has been added to the evaluation matrix.
7. All required annexes are included. The only item that could still be added is a questionnaire (if used) and summary of results.	A questionnaire was not used for the evaluation.
8. Suggest an additional clause in Section 3.2.1. Adaptive Management. After the second sentence, suggest you add the sentence highlighted. “The change were discussed and approved during the second PSC meeting, also held in that month. Further, the same changes were reported in PIR 2012.”	The suggested clause has been added to Section 3.2.1.
9. UNOPS: Regarding the delays in payments to the countries under the Cooperative Implementing Agreements (CAs), we do acknowledge some delays in this respect; but this is also in respect of needing the approval from PM in order to proceed with payments. Thus we cannot immediately issue payment once invoice is received, we need the green light from PM to proceed with payment. Furthermore, for future reference we should inform the countries better about the actual timeframe for making a payment. Our payments go through UNDP Treasury in New York and if there are no issues with a payment it takes in any case 3-4 working days before a payment is received in the vendor’s account.	Section 3.2.2., Partnership Arrangements, was amended with the further explanation provided. And, an additional “Lesson Learned” was added at the end of the report.

## **Annex 10: Terms of Reference (excluding annexes)**

## TERMINAL EVALUATION TERMS OF REFERENCE

### (INDIVIDUAL CONTRACTOR AGREEMENT)

**TITLE:** TERMINAL EVALUATOR

**PROJECT:** SULU CELEBES

**DUTY STATION:** HOME-BASED

**SECTION/UNIT:** GPSO IWC

**CONTRACT/LEVEL:** INTERNATIONAL ICA 4

**DURATION:** (LUMPSUM) ONE TO TWO MONTHS

**SUPERVISOR:** KIRK BAYABOS, MANAGER, UNOPS, RTA, UNDP

### 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 Implementation of the Sulu Celebes Sea Sustainable Fisheries Management Project (PIMS 4084)

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

### PROJECT SUMMARY TABLE

<b>Project Title:</b>	PIMS 4063 IW FSP Sulu Celebes Sea Sustainable Fisheries Management Project			
<b>GEF Project ID:</b>	00058166		<i>at endorsement (Million US\$)</i>	<i>at completion (Million US\$)</i>
<b>UNDP Project ID:</b>	00072140	<b>GEF financing:</b>	\$2,890,000	
<b>Country:</b>	Indonesia/ Malaysia/ Philippines	<b>IA/EA own:</b>	\$90,000.00	
<b>Region:</b>	GPSO	<b>Government:</b>	\$3,000,000.00	
<b>Focal Area:</b>	IW	<b>Other:</b>	\$140,000.00	
<b>FA Objectives, (OP/SP):</b>	SP-1	<b>Total co-financing:</b>	\$3,210,000.00	
<b>Executing Agency:</b>	UNOPS	<b>Total Project Cost:</b>	\$6,120,000.00	
<b>Other Partners involved:</b>	MMAF, Indonesia; DoF-Sabah, Malaysia; NFRDI, DA, Philippines	<b>ProDoc Signature (date project began):</b>		October 12, 2009
		<b>(Operational) Closing Date:</b>	<b>Proposed:</b> December 2014	<b>Actual:</b> September 2014

## OBJECTIVE AND SCOPE

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The project was designed to evaluate the Sulu-Celebes Sea (SCS) is a Large Marine Ecosystem in the tropical seas of Asia bounded by three countries – Indonesia, Malaysia and the Philippines. Being at the heart of the most bio-diverse marine area in the world, the SCS is also a very rich fishing ground for large and small pelagic as well as bay and coral reef fishes, providing livelihoods to the coastal inhabitants and food for the entire region and beyond. The fishery resources, however, have declined due to various threats, including overexploitation, habitat and community modification and global climate change.

The goal of the Project is to have an economically and ecologically sustainable marine fisheries in the SCS, for the benefit of communities who are dependent on these resources for livelihood and for the global community who benefit in the conservation of highly diverse marine ecosystems and its ecosystems services. The objective of the Project is to improve the condition of fisheries and their habitats in the SCS through an integrated, collaborative and participatory management at the local, national and tri-national levels. The three countries and other stakeholders, including NGOs, have worked together to develop the Sulu-Sulawesi Marine Ecoregion Conservation Plan and formally put in place a regional institutional mechanism to implement the plan.

The Project activities, outcomes and outputs will build on these strong regional and national initiatives. There are five major outcomes of the Project. The first is the achievement of a regional consensus on trans-boundary priorities and their immediate and root causes by updating an earlier Trans-boundary Diagnostic Analysis for the SCS and focusing on unsustainable exploitation of fisheries. The second outcome is agreement on regional measures for improved fisheries management through coordination in the formulation of a Strategic Action Program, which will build on the existing Ecoregion Conservation Plan. The third outcome is the strengthening of institutions and introduction of reforms to catalyze implementation of policies on reducing overfishing and improving fisheries management. The primary target for institutional strengthening is the Sulu-Sulawesi Marine Ecoregion Tri-National Committee and its Sub-Committees, in particular the Sub-Committee on Sustainable Fisheries. The fourth outcome is increased fish stocks of small pelagics through the implementation of best fisheries management practices in demonstration sites. The fifth outcome is the capture, application and dissemination of knowledge, lessons and best practices within the SCS and other LMEs.

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

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An overall approach and method<sup>1</sup> 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 **relevance, effectiveness, efficiency, sustainability, and impact**, as defined and explained in the [UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects](#). A set of questions covering each of these criteria have been drafted and are included with this TOR (*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, Indonesia; Kota Kinabalu, Malaysia; Manila, Philippines**, including the following project sites : **Tarakan City, Semporna, Zamboanga City**. Interviews will be held with the following organizations and individuals at a minimum:

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<sup>1</sup> For additional information on methods, see the [Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 7, pg. 163

1. Romeo B. Trono, Regional Project Manager, Project Management Office, c/o NFRDI office, Philippines
2. Noel C. Barut, National Coordinator, National Fisheries Research & Development Institute, Philippines
3. Dr. Norasma Dacho, National Coordinator, Department of Fisheries – Sabah, Malaysia
4. Prof. Hari Eko Irianto Research Center for Fisheries Management and Conservation, MMAF, Indonesia
5. LGU Tarakan
6. LGU Semporna
7. LGU Zamboanga City
8. Dr. Jose Padilla, Regional Technical Adviser, UNDP
9. Ms. Amelia Supetran, UNDP Philippines
10. Mr. Kirk Bayabos, Head of Cluster Unit, 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](#).

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	
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 (type/source)	UNDP own financing (mill. US\$)		Government (mill. US\$)		Partner Agency (mill. US\$)		Total (mill. US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Actual	Actual
Grants								
Loans/Concessions								

• In-kind support	\$90,000		\$3,000,000		\$140,000			\$3,230,000
• Other								
Totals	\$90,000		\$3,000,000		\$140,000			\$3,230,000

## 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.<sup>2</sup>

## CONCLUSIONS, RECOMMENDATIONS & LESSONS

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

## IMPLEMENTATION ARRANGEMENTS

The principal responsibility for managing this evaluation resides with the UNDP CO in *Philippines*. The UNOPS will contract the evaluator and the PMO in the Philippines will 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 evaluator to set up stakeholder interviews, arrange field visits, coordinate with the Government etc.

## EVALUATION TIMEFRAME

The total duration of the evaluation will be 25-30 days according to the following plan:

Activity	Timing	Completion Date
Preparation	2 days ( <i>recommended: 2-4</i> )	July 31, 2014
Evaluation Mission	12 days ( <i>r: 7-15</i> )	August 19, 2014
Draft Evaluation Report	5 days ( <i>r: 5-10</i> )	August 29, 2014
Final Report	1 days ( <i>r: 1-2</i> )	September 12, 2014

## EVALUATION DELIVERABLES

The evaluator is expected to deliver the following:

Deliverable	Content	Timing	Responsibilities
<b>Inception Report</b>	Evaluator provides clarifications on timing and method	No later than 2 weeks before the evaluation mission.	Evaluator submits to UNDP CO

<sup>2</sup> 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](#)

<b>Presentation, including powerpoint file</b>	Initial Findings	End of evaluation mission	To project management, UNDP CO; Final PSC Meeting in September <sup>3</sup>
<b>Draft Final Report</b>	Full report, (per annexed template) with annexes	Within 3 weeks of the evaluation mission	Sent to CO, reviewed by RTA, PCU, GEF OFPs
<b>Final Report*</b>	Revised report	Within 1 week of receiving UNDP comments on draft	Sent to CO 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.

## COMPOSITION

The evaluation will be conducted by an *international 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 Consultant must present the following qualifications:

- Minimum ten (10) years of monitoring and evaluation of GEF projects and other 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) international waters
- Familiarity with integrated fisheries management
- Masters degree in the field of marine/coastal/fisheries or closely related disciplines
- English is a requirement

## EVALUATOR ETHICS

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

## PAYMENT MODALITIES AND SPECIFICATIONS

*(this payment schedule is indicative, to be filled in by the CO and UNDP GEF Technical Adviser based on their standard procurement procedures)*

%	Milestone
30%	At contract signing and submission and approval of an inception report listing the activities including itinerary plus a detailed outline of the report building on the outline provided in this TOR
40%	Following submission and approval of the 1ST draft terminal evaluation report
30%	Following submission and approval (UNDP-CO and UNDP RTA) of the final terminal evaluation report

## APPLICATION PROCESS

The recruitment will follow the UNOPS procedure for recruitment of individuals.

<sup>3</sup> The consultant will be required to prepare a powerpoint presentation highlighting the terminal evaluation process and the findings. Subject to availability of funds, the consultant will be requested to present at the RSC, otherwise, UNDP Philippines will make the presentation.