Mid-Term Review of the Project: *Mainstreaming Coastal and Marine Biodiversity Conservation into Production Sectors in the Sindhudurg Coast, Maharashtra*

Dennis Fenton and Vivek Saxena, September 2015

Mid-Term Review Report

Undertaken during July 2015 – August 2015.

Conducted by Dennis Fenton and Vivek Saxena

Government of India
Government of the State of Maharashtra
United Nations Development Programme
Global Environment Facility

Country: India	PIMS Number	4242					
	Atlas Project Number	00072738					
	Project Type	FSP	x	MSP		EA	
Implementing Agency	Ministry of Environment, Forests and Climate Change/Mangrove Cell, State Forest Department, Government of Maharashtra						
GEF Focal Area	Biodiversity						
UNDAF Outcome	Outcome 4: The most vulnerable, including women and girls, and government at all levels, have enhanced abilities to prepare, respond and adapt/recover from sudden and slow onset of disasters and environmental changes (from Project Document).						
UNDP CP Outcome	Outcome 4.3: Progress towards meeting national commitments under multilateral environmental agreements						
UNDP CP Outputs	Output 4.3.2: National efforts supported towards conservation and management of natural resources						

Project timeframe: **Project Budget:**

Project Document Signature Date: 27 October 2011	Total budget: US$15,438,294[1] of which:
Original Planned Closing Date: August 2016 (source: CEO Endorsement) Current Planned Closing Date: August 2016	GEF funds: US$3, 438,294 Government of Maharashtra: US$12,000,000
Planned Project Duration: 58 months	

[1] Figures from Project Document.

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List of Acronyms

AWP	Annual Work Plan
CBD	Convention on Biological Diversity
EC	Executive Committee
(the) Foundation	Coastal and Marine Biodiversity Conservation Foundation of Maharashtra
IGCMP	India GEF Coastal Marine Programme
LLPMU	Landscape Level Project Management Unit
LP	Landscape level zoning plan
MoEF&CC	Ministry of Environment, Forests and Climate Change
MMFRA	Maharashtra Marine Fisheries Regulation Act
MSFD	Maharashtra State Forest Department
MMS	Malvan Marine Sanctuary
MTR	Mid Term Review
NPD	National Project Director
NPMU	National Project Management Unit
NPSC	National Project Steering Committee
PIF	Project Identification Form
PIR	Project Implementation Review
PMU	used to refer collectively to the project's management units at national, state and landscape level
QWP	Quarterly Work Plan
rampini	A traditional form of sea fishing practiced in eastern India
(the) Team	The MTR Review Team
SCME	Sindhudurg coastal and marine ecosystem
SMART	Specific, measurable, attainable, relevant and time-bound – criteria for identifying appropriate indicators
SPD	State Project Director
SPMU	State Project Management Unit
SPSC	State Project Steering Committee
Taluka	A subdivision of a District consisting of a group of several villages organized for revenue purposes
ToR	Terms of Reference
UC	Utilization Certificate

Acknowledgements

The Review Team would like to acknowledge the guidance and insight provided by the Ministry of Environment, Forests and Climate Change, UNDP and the PMUs to this review. The helpful nature, good humour and positive attitude of all involved helped make the review an enjoyable as well as an informative experience.

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The photos on the cover of this report were provided by the PMUs.

Executive Summary

Project Information Table

Project Title: **Mainstreaming Coastal and Marine Biodiversity Conservation into Production Sectors in the Sindhudurg Coast, Maharashtra**		
UNDP Project ID (Atlas #): 00072738	PIF Approval Date: **July 2009**	
GEF Project ID (PMIS #): 4242	CEO Endorsement Date: **August 2011**	
ATLAS Business Unit: **UNDP India**	Project Document (ProDoc) Signature Date (date project began): **27 October 2011**	
Country(ies): **India**	Date project manager hired: December 2012	
Region: **Asia and Pacific**	Inception Workshop date: **January 2014**	
Focal Area: **Biodiversity**	Midterm Review completion date: **August 2015**	
GEF Focal Area Strategic Objective:	Planned planed closing date: **August 2016**	
Trust Fund [indicate GEF TF, LDCF, SCCF, NPIF]: **GEF TF**	If revised, proposed op. closing date: **n/a**	
Executing Agency/ Implementing Partner: **Ministry of Environment, Forests and Climate Change**		
Other execution partners: **Mangrove Cell, State Forest Department, Government of Maharashtra**		
Project Financing	*at CEO endorsement*	*at Midterm Review*
[1] GEF financing:	US$3,438,294	US$3,438,294
[2] Government contribution:	US$12,000,000	US$12,000,000
PROJECT TOTAL COSTS [1 + 2]	US$15,438,294	US$15,438,294

Project Description

1. Maharashtra state lies on the western side of India and is one of India's top five states in terms of species biodiversity. Sindhudurg District, on the southern end Maharashtra, is considered to be the richest in the State in terms of coastal diversity and habitat types. However, in recent years, there has been a depletion of these coastal and marine resources and an associated loss of globally significant biological diversity. The Project document identified several threats to the natural and resources and biodiversity, of which the most important were non-sustainable fishing and pollution/habitat disturbance from tourism.

2. In response, this Project aims to "*mainstream biodiversity conservation considerations into production sectors that impact the coastal and marine ecosystems of the Sindhudurg Coast of Maharashtra*". This is to be achieved through three Outcomes: (1): Cross-sectoral planning framework that mainstreams biodiversity conservation considerations; (2) Enhanced capacity of sector institutions for implementing biodiversity-friendly fisheries management plan, ecotourism management plan and MMS management plan; and (3) Sustainable community livelihoods and natural resource use in the Sindhudurg coast and marine ecosystem.

Summary of Mid Term Review Findings and the Mid Term Review Ratings

3. A summary of the key findings of this Mid-Term Review is presented in the Box 1. Full details and justifications are provided in the concerned sections of Chapter 3 of this report.

MTR Key Findings

- The process to design the Project appears adequate, although there are signs that it was a little too driven at the national level;

- The Project design documents were adequate as a basis for approving and starting implementation of the Project;
- There are several gaps and weaknesses in the Project design documents. The two most significant are: (i) the strong local opposition to the Marine Sanctuary and to conservation was overlooked; and (ii) the lower levels of the Project's logical framework – outputs and indicators – are confusing and inadequate;
- There was no inception period nor inception workshop. Hence, there was no formal process to review the Project strategy, framework, indicators and partnership arrangements. This was necessary due to the long gestation period;
- The slow project start up and the opposition to the Sanctuary by local communities meant that there were few on the ground activities in the first 18 months. After, the level of activities and delivery appears high;
- The Project team is high quality. Planning, management, control and reporting have all been adequate. Adaptive management has been good. The Project has maintained an overall focus on conservation and the Sindhudurg coast, and its planning has responded to ground realities. Although, the formal documenting of management discussions and decisions is incomplete;
- The Project has developed a large number of diverse partnerships with quality partners, and it has helped stimulate connections amongst partners. Some challenges remain regarding partnership building;
- Some non-project issues have added significantly to the management and reporting workload in this Project. These include the confusions in the Project logical framework and the three different reporting periods for the Project sponsors;
- Notwithstanding the slow early progress and delays, the Project has made good progress towards Outcome 3 and to mainstreaming biodiversity into production (fishing and tourism and livelihoods) at the site level. Progress towards Outcomes 1 and 2 has been much more limited. There is only limited evidence of mainstreaming biodiversity into production at the sector level;
- A main achievement under the Project has been to change the nature of the dialogue between conservationists and local communities from one of conflict to a constructive dialogue;
- Overall, progress towards the overall objective is considered satisfactory and there are already tangible impacts. However, the Project is some way from reaching its final objective;
- There are reasons to be optimistic about sustainability, especially at site level, but it is not assured. Greater challenges face sustainability at the coast-wide or sectoral level.

Box 1: Key Findings of the MTR

4. The MTR has rated progress towards the Overall Objectives and Outcomes. These ratings are summarized in Table 1. The evidence for these is presented in Chapter 3 of this report.

Measure	Rating
Overall Objective: mainstream biodiversity conservation considerations into production sectors that impact the coastal and marine ecosystems of the Sindhudurg Coast of Maharashtra	Satisfactory or '5'
Outcome 1: Cross-sectoral planning framework that mainstreams biodiversity conservation considerations	Satisfactory or '5'

Outcome 2: Enhanced capacity of sector institutions for implementing biodiversity-friendly fisheries management plan, ecotourism management plan and MMS management plan	Satisfactory or '5'
Outcome 3: Sustainable community livelihoods and natural resource use in the Sindhudurg coast and marine ecosystem	Highly Satisfactory or '6'
Project Implementation & Adaptive Management	Satisfactory or '5'
Likelihood of Sustainability	Moderate risks to achieving sustainability or '3'.

Table 1: Summary of MTR Ratings

Summary of Recommendations

5. Based on the evidence collected, the MTR makes 12 recommendations to the Project stakeholders and managers. These are summarized in Table 2. The reader is strongly encouraged to carefully read Chapter 4 which provides full details, explanations and a justification for each of these recommendations.

Recommendation	Concerned Party
Strategic	
The management should now focus on developing the land-scape wide aspects of the Project.	NSPC and SPSC.
The Project should prepare an exit strategy to progressively lessen dependence on GEF funds of the PMU and of the implementing partners.	MoEF&CC and UNDP
The indicator framework should be substantively revised.	NSPC and SPSC
The membership and the rules of the Foundation should be reviewed.	SPSC
Activity Level	
The Project, in the coming period, should find ways to handover ownership of the local cross-sectoral Stakeholder Committee to local stakeholders.	Mangrove Cell and PMU
Alternative approaches to implementing Output 1.1 (the Landscape Plan) should be considered.	SPSC.
The Project should acquire more experience and expertise in the tourism sector.	Mangrove Cell and PMU.
The Project should be empowered to undertake the coral transplanting/artificial reef creation at sites both inside and outside the MMS.	UNDP
The Project should prepare a short document summarizing the Sindhudurg coast biodiversity and its value (in global terms), and it should support an exercise to rank the threats to biodiversity.	Mangrove Cell and PMU
The Project should (i) prepare a document that captures the best practice (*of converting dialogue from conflict to constructive)* and it should (ii) consider using public attitudes to conservation and to the MMS as an indicator of progress.	UNDP and PMU
The Project should *consider* providing the PMU with a one-day workshop on gender and should consolidate efforts to reach women beneficiaries.	UNDP and Mangrove Cell
If the specified conditions and milestones are met (see Chapter 4, recommendation no. 12), an extension of the Project for up to 18 months should be approved.	NPSC and UNDP

Table 2: Summary of recommendations

1 INTRODUCTION

1.1 Purpose of the Review and Objectives

6. This report is the Mid Term Review (MTR) of the Project: ***Mainstreaming Coastal and Marine Biodiversity Conservation into Production Sectors in the Sindhudurg Coast, Maharashtra.***

7. In accordance with UNDP/GEF policies, all GEF-funded projects implemented by UNDP are subject to a mid-term and a final independent evaluation or review. These reviews are to reflect on achievements and results and to consider progress to longer term impacts. They are also to explore and analyze the factors behind achievements and challenges. Where possible, they are to make recommendations related to future implementation and to propose corrective measures.

8. The principle purpose of this MTR, as stated in the Terms of Reference (TOR), was to "*assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document, and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results".* It was also designed to review the Project's strategy and the risks to sustainability of the Project's results.

1.2 Scope, Methodology and Limitations to the Review

9. This MTR was undertaken in line and accordance with the guidance provided in "*Guidance for Conducting Midterm Reviews of UNDP Supported, GEF-Financed Projects*" (UNDP/GEF, 2014). In terms of scope, the MTR covered all aspect of the development and implementation of the Project, from the preparation of the PIF up till and including end-June 2015. According to the ToR (see Annex 1), the scope of the MTR covers:

    - Project formulation, including conceptualization/design and stakeholder participation;
    - Project results, including progress to attaining outcomes and achieving objectives;
    - Project implementation, including implementation approach, monitoring and evaluation and stakeholder participation; and,
    - Project sustainability and risks.

10. To the extent possible, this MTR was undertaken through a participatory and collaborative approach. In essence, this meant that, where possible, the Project stakeholders and beneficiaries participated in the MTR activities. This helps the MTR to be a positive learning experience for the Project stakeholders and beneficiaries. Notwithstanding, the Review Team consisted of experts entirely independent of, and external to, the Project.

11. The main audience for the MTR is the Project sponsors in India – notably in Maharashtra - and the Project management team – in order for these stakeholders to learn lessons and refine or modify implementation of this Project, and also future projects. The MTR also captures lessons learnt and knowledge gained regarding how to mainstream biodiversity conservation into productive sectors, and disseminates this knowledge, for example through the national government of India's mechanisms and through the UNDP and GEF global knowledge networks.

12. The Review Team (the *Team*) consisted of two experts both entirely independent of and external to the Project and the Project sponsors. The Team included one international and one national expert in order to ensure that the MTR was, on the one hand, based on international best practices and, on the other hand, appreciative of and consistent with national circumstances. The Team included

expertise and experience related to: forestry, biodiversity, climate change, conservation, project implementation, project evaluation, GEF and UNDP.

13. The Team was guided by the TOR and followed a logical approach with distinct techniques and standard tools to assessing all aspects of the Project. The key steps in the MTR were: (a) planning and preparation; (b) data collection; (c) data analysis; (d) report drafting; (e) review and consultation and (f) report finalization. Although mostly sequential, there was some important back and forth across these steps. These are described in more detail in the coming paragraphs.

14. Planning and Preparation This took place prior to the data collection mission and included: organizing logistics; establishing initial contacts with key stakeholders; collecting documentation; reviewing basic project documentation related to project design, planning and management; identifying key issues; and MTR planning. The principle output of the preparation stage was an *Inception Report* which incorporated the draft *Evaluation Matrix* (see Annex 2).

15. The Evaluation Matrix provided the technical framework to the MTR and to all data collection. It also played the role of questionnaire. This Matrix was constantly referred to (at data collection phase, at analytical phases, and during report preparation phases) in order to ensure that adequate coverage was being given to relevant issues, and to ensure that nothing was overlooked. The Evaluation Matrix was an organic document: although every attempt was made to ensure it was comprehensive and accurate at the outset, it evolved as new issues emerged and as some issues were seen to be less pivotal.

16. Data collection relied principally on the following tools/methodology: literature and documentation review, stakeholder interviews, site visits and group discussions.

    - The literature and documentation review was broad and covered the development background, the Project context, the Project design, the Project planning and management tools and the Project outputs. The literature and documentation review generated a great deal of quantitative data pertaining to the Project and its achievements. See Annex 3 for a full list of the documentation reviewed;
    - The interviews were mostly held on a one-one or one-two basis. They were semi-structured – with an initial question list that evolved during the interview. They generated a great deal of evidence related to understanding how the Project has functioned and how/why it has achieved its impact (or not). Interviews were held notably with the Project implementation team, officials in government and UNDP, representatives of Project implementing partners and representatives of Project beneficiaries. See Annex 4 for the full list of people met and interviewed;
    - Site visits allowed the Team to observe first-hand the Project's community level impacts, to assess the Project's interaction with communities, and to ensure that the voice of the beneficiaries was given sufficient weight in the Review. This led to a further validation of findings. See Annex 5 for a short description of the findings from the site visits. The overall mission itinerary is provided in Annex 6;
    - Group stakeholder and beneficiary discussions. These provided an opportunity to interact with groups of project stakeholders and to assess the participatory nature of the Project. This also greatly increased the number of beneficiaries that it was possible to meet, whilst maintaining the direct and interactive nature of the MTR. This led to a further validation of findings.

17. Site visits Overall, there were 4 full days of site visits. The site visits allowed the Team to visit sites that had benefitted from physical investments and to visit sites with capacity building activities for local communities. Site visits provided an opportunity to assess the likelihood of sustainability and

associated challenges, as well as to assess the participatory and community nature of the Project activities. The visits also helped assess how the site level interventions fit within the overall Project strategy and overall project vision. The site visits included a mixture of the following data collection techniques: visual observation, beneficiary interviews, local decision-maker interviews and group discussions.

18. Data analysis commenced during the mission and continued thereafter. Data analysis relied on multi-sourced evidence for findings (or *triangulation*) whereby evidence from at least two sources is required as a basis for Review findings. Data analysis commenced with an intensive internal brainstorming session by the two-person Team, in order to optimize understanding and ensure that both team members concur on findings, conclusions and recommendations, and ensure that all findings, conclusions and recommendations are (i) in line with international best practices and (ii) in line with national conditions and constraints.

19. Report drafting commenced shortly after the mission and continued thereafter.

20. Review and consultation Review and consultation commenced with an interactive presentation of the initial MTR findings to main stakeholders during the mission. Subsequent consultation was based on the distribution of a draft report for comment and for factual corrections to as many stakeholders as possible. Stakeholders were encouraged to meet to discuss the draft report and present consolidated suggestions and comments to the Team. Forty substantive and substantiated comments were received. Subsequently, the Team was solely responsible for finalizing the report. Finally, an audit trail was prepared (Annex 9) describing how each of the substantive comments was addressed in the final report.

21. Principles of the MTR The MTR notably respected the following key principles:

    - *evidence-based*. All findings and conclusions are based on clear and balanced evidence collected by the MTR. However, as with most MTRs, the nature of the Project is such that actual proof was rarely available;
    - *participative*. To the extent possible, the MTR involved Project stakeholders in MTR activities, and this hopefully contributed to capacity development in the Project team;
    - *constructive*, where possible. The underlying aim of the MTR was to help the Project stakeholders, so that the remaining periods of the Project can be optimized. Hence, all actions were undertaken in a constructive manner and spirit;
    - *independence* and neutrality. The Team members have no connections with the Project, and no interests in the Project and in the Project implementation agencies. The MTR sole objective and interest was to report objectively on the Project in order to support future optimization.

22. Limitations The MTR Team is confident that the findings and conclusions reached in this report are accurate and fair. It is recognised that the evaluation was subject to the following constraints:
    - The inadequacy of the Project's indicators and targets as set out in the Project document (see Chapter 3). Hence, these indicators could not be used as a basis for assessing progress. Accordingly many MTR findings are drawn from a combination of observations, perceptions, secondary data and anecdotal data;
    - Given the large number of local activities and partners, it was not possible to visit all sites, nor was it possible to meet all the beneficiaries nor all the implementing partners. At the sites, the meetings were limited to interviews with stakeholders as arranged by the Project management and were inevitably short. It was not possible to meet all community members, nor to verify that the group met was fully representative; and,

- A small number of state and national level stakeholders were not available due to scheduling conflicts. Notably, it was not possible to meet many of the stakeholders involved during the Project development period. Finally, it was not possible to meet with representatives of other organizations/initiatives that are familiar with the Project but external to it (and would therefore have been able to provide an informed, external perspective).

1.3 Structure of the Report

23. This Chapter introduces the purpose of the MTR, the methodology and limitations. Next, Chapter 2 introduces the context to the Project, the problem that the Project set out to address, the main elements of the Project strategy and the key stakeholders. Chapter 3 is the main substantive chapter. It sets out the main findings of the MTR. It first assesses the Project design and strategy. It then assesses progress towards Project results. It then looks at the factors behind the progress – the implementation and management factors. The final section of Chapter 3, section 3.4, assesses the likelihood that the Project will reach sustainability. Chapter 3 is structured so that evidence is first presented, section by section, before a succinct listing of the concerned Key Findings for each section is provided. The final chapter, Chapter 4, provides the conclusions and recommendations of the MTR and the lessons learnt so far.

2 PROJECT CONTEXT AND DESCRIPTION

2.1 Biodiversity Context

24. India has approximately 7,500 km of coastline and an exclusive economic zone of 2.02 million km^2 and a continental shelf of 468,000 km^2. According to India's Fourth National Report to the Convention on Biological Diversity (CBD) (2009), more than 13,000 species of flora and fauna have been recorded in India's coastal and marine areas. Maharashtra state lies on the western side of the Indian Peninsula and is one of the top five states in terms of species biodiversity. It has 720 km or 9% of India's total coastline stretching along the five coastal districts, i.e.: (from north to south) Thane, Mumbai, Raigarh, Ratnagiri, and Sindhudurg. The State's coastal geo-morphology is variegated due to a number of estuaries, creeks and bays with rocky cliffs, promontories and sandy beaches in. The narrow coastal plain is squeezed between the sea and the Sahyadri mountain range.[2]

25. Sindhudurg district lies at the southern end of the Maharashtra coast between Ratnagiri district and the neighbouring state of Goa (see map in Figure 1). The Sindhudurg coast is considered to be the richest of the coast of Maharashtra in terms of diversity and habitat types. Critical habitats include: rocky shores, sandy shores, rocky islands, estuaries, mud flats, marsh lands, mangroves, coral reefs and sargassum forests (seasonal).

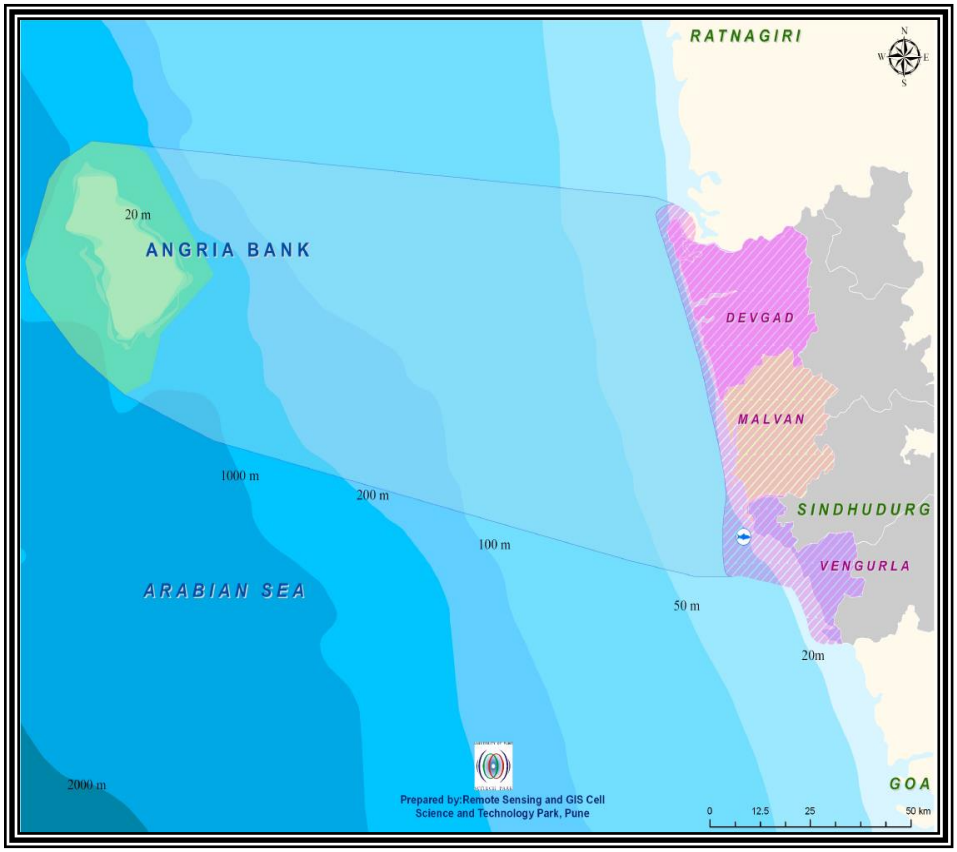

Figure 1: Map of Sindhudurg Coast

[2] Source: Project Document

26. Due to its high ecological importance, the Malvan Marine Sanctuary (MMS) was established in 1987 under the national Wildlife (Protection) Act. This is considered one of only seven protected areas in India that can be truly considered *marine* protected areas. The MMS covers an area of 29.12 km^2 near the town of Malvan and around the Sindhudurg fort.

27. At the time of the Project Document, 367 species of marine flora and fauna had been reported for the Malvan coast. This included 73 species of marine algae, 18 species of mangrove trees and shrubs, 11 species of coral, 73 species of molluscs, 47 species each of polychaetes and arthropods, 18 species of sea anemones and 74 species of fish. This includes several species classified as threatened either in India or globally. Another notable feature of the Sindhudurg coast is the coral reefs that have been recorded at several sites along the coast.

28. Another key aspect of the coastal ecology is Angria Bank. Angria Bank is a submerged, sunken atoll at the edge of the continental shelf approximately 105 km off the Sindhudurg coast. Angria Bank has a depth of 20.1 meters. It stretches 40 km from north to south and 15 km from east to west. It is known to be a thriving coral habitat.

2.2 Development and Socio-Economic Context

29. According to the Project Document, India accounts for approximately 0.25% of the world's coastline, however 1.1% of the global population lives in India's coastal areas. In India, approximately 250 million people live within 50km of the coast. Hence the coastal areas experience a generally high population density.

30. Sindhudurg district includes 3 coastal *Talukas*[3]: (from north to south) Devgad, Malvan and Vengurla. According to the 2001 census, the total population of these 3 Talukas was approximately 330,000. This population is known to be slowly declining due to emigration to other districts and urban areas. In 2001 the male to female ratio was approximately 1:1.08. According to a 2003 census undertaken by the Department of Fisheries, the three Talukas included 80 fishing villages with a total fishing population of 24,630 in 4,992 households. Possibly, this could be considered the direct, coastal population.

31. According to the Project Document, annual per capita income in 2005-06 in Sindhudurg was INR 32,862 (or approximately US$ 550), and so considerably below the average for Maharashtra state. The population below the poverty line was recorded to be 29.8 % in Devgad, 35.5 % in Malvan and 41.2 % in Vengurla. The overall literacy rate was 80 %, with a female literacy rate of 71 % and male literacy rate of 90 %.

32. Fisheries and fishery associated activities are the principal economic activity of communities along the Sindhudurg coast. These communities, together with fishermen from elsewhere, exploit the sea up to a depth of 40 fathoms – an area of approximately 55,500 km^2. Data in the Project document suggest that 33 species were being exploited and that the district includes 8 major fishing centres and 35 landing centres. Although the majority of the fish catch is taken by mechanised fishing vessels, non-mechanised (using both motorized vessels and traditional practices) fishing continues to play an important role, particularly for the poorer communities. Although the fishing is undertaken by men, almost all post-catch work is undertaken by women, giving women a key role in fishery-related decision-making and in social organization.

33. Tourism is considered a high potential economic activity and Sindhudurg was declared a 'tourism district' in 1997. For example, the recorded number of visitors to the Sindhudurg fort grew from

[3] Administration in Maharashtra State is first divided into *Divisions* and then into *Talukas* or districts. These are further divided into *Panchayats* and villages.

100,000 to 700,000 between 2006 and 2010. Tourists are attracted by the many cultural sites (notably the forts), the beautiful beaches, the cruises, the backwaters and snorkeling/diving.

34. Further inland beyond the coastal area, agriculture (including forestry and horticulture) is the economic principal sub-sector. There are also minor mining and industrial activities.

2.3 The Problem to be Addressed

35. The ultimate problem to be addressed by the project was the ongoing depletion of the coastal and marine resources along the Sindhudurg coast and the associated loss of globally significant biological diversity. The Project document identified several threats to the natural and resources and biodiversity. Although detailed statistics were not available, the main threats were identified as:

    - Unsustainable fishing. This was identified as probably the single most important threat. This has many dimensions including overfishing, the high levels of bi-catch and the non-respect of management regimes;
    - Pollution and habitat disturbance due to tourism. Although recognized as a potential positive force for biodiversity conservation, the Project document emphasizes that unplanned and irresponsible tourism can lead to coastal and marine pollution, as well as to disturbance and direct damage to fragile ecosystems, notably to coral reef;
    - Pollution from fishing vehicles and maritime traffic – notably small oil leakages and release of ballast water;
    - Agriculture related pollution – notably related to the use of pesticides with cash crops such as mangos, cashew, areca nuts and coconuts;
    - In addition, illegal trade in marine species, pollution from industrial activities and climate change were identified as likely threats, but little was known about the scale or science of these.

36. Prior to this Project, the government and other stakeholders had taken measures to overcome the above threats and were continuing to do so. This included regulatory and legislative measures related to protection and sustainable fishing, and small-scale development initiatives to provide additional revenue-generating activities for local people in an attempt to discourage them from undertaking economic activities that damage the natural resource or the biodiversity.

37. One of the key steps taken to protect the natural resources and biodiversity had been the establishment of the MMS in 1987. However, this sanctuary had been formally notified very quickly without following a due process[4]. Accordingly, until the time of the Project document, it had not been a successful measure. The MMS was not accepted or understood by the local communities who continued to fish and promote tourism in the MMS. The government authorities did not have the resources or the capacity to implement the MMS, or even to establish a dialogue with local stakeholders on this issue.

38. The Project Document envisions a long term situation in which fisheries, tourism and other economic activities continue to prosper, in which the local communities enjoy sustained socio-economic development, the natural resources along the coast improve, and the globally significant biodiversity is protected. It identifies the following barriers to reaching this long term situation:

    - Weak coordination between sectors;
    - Inadequate information base for decision-making, including the inadequate representation of the interests of coastal communities;

[4] It is noted that some rights issues are yet to be settled/regulated and final notification is still pending.

- Inadequacy of the Wildlife Act for protecting marine areas;
- Weaknesses in fisheries legislation;
- Inadequate capacities and approaches in sectoral institutions; and,
- Insufficient incentives and know-how at the community level for sustainable resource use.

2.4 Project Description and Strategy

39. According to the approved Project Document "*the long-term goal to which the project will contribute is the sustainable management of the globally significant coastal and marine biodiversity of India by mainstreaming biodiversity conservation considerations into production activities in the coastal and marine zones, while also taking into account development imperatives, need for sustaining livelihoods and addressing retrogressive factors such as the anticipated impacts of climate change*". Further, the immediate objective of the project is "*to mainstream biodiversity conservation considerations into production sectors that impact the coastal and marine ecosystems of the Sindhudurg Coast of Maharashtra*".

40. Hence the Project strategy was to impact and influence the production sectors in and near to the Sindhudurg coast so that they would impact biodiversity in a less negative, or more positive, way. The key production sectors targeted were fisheries and tourism. The approach set out in the Project document consisted of data collection, analysis, scientific studies, planning (involving consultation and participation) followed by training and on-the-ground action. The actions identified included regulatory measures as well as the modification of production process.

41. The Project Objective was to be achieved through three Outcomes.

    - *Outcome 1: Cross-sectoral planning framework that mainstreams biodiversity conservation considerations*. This is understood to focus on removing the prevailing barriers to a multi-sectoral, integrated, ecosystem approach. Under this Outcome, the boundaries between sectors that indirectly undermine biodiversity conservation were to be reduced; cross-sectoral planning and decision-making mechanisms were to be established; and biodiversity conservation was to be mainstreamed into this planning and decision-making.
    - *Outcome 2: Enhanced capacity of sector institutions for implementing biodiversity-friendly fisheries management plan, ecotourism management plan and MMS management plan.* This is understood to focus on sectoral institutions and on the barriers *within* sectors. Under this Outcome, biodiversity conservation was to be mainstreamed into planning and decision-making in the fishery and tourism sectors, and the management of the MMS was to be strengthened.
    - Outcome 3: *Sustainable community livelihoods and natural resource use in the Sindhudurg coast and marine ecosystem (SCME).* This is understood to work with local communities and to mainstream biodiversity into production process at the site level. The piloting and demonstration new practices or technologies is understood to be part of this. Many activities under this Outcome were to result from the analysis and planning and capacity development in Outcomes 1 and 2.

42. The above interpretation of the Outcomes is utilized throughout this report to assess progress. The MTR recognises that the Project management utilized a different interpretation. This is discussed further in paragraph 119 and onwards.

2.5 The Main Stakeholders

43. Through its cross-cutting and multi-level nature, the Project has a large and diverse set of stakeholders. First, at the national level, the main stakeholders are governmental. The foremost stakeholder at national level is the Ministry of Environment, Forests and Climate Change (MoEF&CC)[5]. MoEF&CC is responsible for national level legislation related to biodiversity conservation and wildlife protection and for ensuring alignment to international agreements and best practices. It is also responsible for coordination across States as necessary, for trouble-shooting and for replication to other states.

44. At the State level, the stakeholders are also mainly Governmental. The State level technical departments play a principal role in interpreting and implementing the national natural resources policies. The State departments responsible for forests, conservation, fisheries, biodiversity, tourism, environment, maritime issues and rural development all clearly have a role to play in reaching the Project objective.

45. At the local level – i.e. from the community up to district level - both the government and the private sector have clear roles to play. The local government agencies responsible for the local implementation of issues related to forests, conservation, fisheries, biodiversity, tourism, environment, maritime issues and rural development are clearly concerned. Private sector organizations – both small scale and medium scale – that utilize local resources in order to provide for livelihoods and generate profit are also very important stakeholders. This includes the local community members who make a livelihood from the natural resources.

46. Finally, the research and academic community has a clear role to play, particularly those with expertise in marine and coastal biology. This relates to undertaking the science and providing the data on which to base rationale decision-making. On the whole, this community is based in southern India (notably in Maharashtra, Kerala and Tamil Nadu), although in some cases it can be found in other parts of India or even internationally.

3 FINDINGS

3.1 Project Conception and Design

47. This section provides an assessment of the process to design the Project. It then provides a more detailed assessment of the main outputs from the Project design phase - that is the Project document.

Approach to Project Design

48. The Government of India and UNDP determined to access GEF funds to support marine and coastal biodiversity conservation as long ago as 2007. All of India's coastal states were invited to suggest project sites. Then, using primarily biodiversity richness and local commitment as criteria, a short-list of sites in five States was first identified. Further analysis and consultation reduced this to two: the Sindhudurg coast in Maharashtra state and the East Godavari river estuarine in Andhra Pradesh State. Subsequently, GEF projects were developed for these two sites in the form of the India GEF Coastal and Marine Programme. It was intended to take a programmatic approach to strengthening the enabling environment for conservation of India's coastal and marine biodiversity through mainstreaming conservation considerations in production sectors.

[5] At the time of Project start-up, this was the Ministry of Environment and Forests

49. The first step in developing the Sindhudurg component was to collect data and hold initial consultations in Malvan[6]. Based on this data, the Project Identification Form (PIF) was prepared and approved by GEF in July 2009. The PIF contains the essence of the ultimate Project design and strategy – it already determines the three Components[7], many of the outputs, the main partners and responsible agencies and the general budget information.

50. Following PIF approval, the Government of India and UNDP initiated the detailed design process. An NGO was recruited to undertake data collection, consultation and to prepare the design documents. However, the outputs were not considered satisfactory, and the Government undertook to prepare the final drafts of the Project document. The full Project design was approved by GEF in July 2011 and the Project Document signed by all concerned parties in October 2011.

51. The Review Team makes the following observations:

- As described, the process is systematic and scientifically sound;
- The process, by GEF standards, was neither short nor lengthy, the duration is average;
- The Team met only one person involved in the detailed Project design and preparation[8]. The fact that no others involved in design and preparation were available to be met by the Team may be due to the amount of time passed since the design period. Or it may be due to the diverse nature of the stakeholders - so each of the many stakeholders was only involved slightly and can no longer remember their participation. Or, it may be due to the consultation/participation process not being effective;
- The approval and design documents were finalized in Delhi, in a somewhat lengthy process, in consultation with UNDP and Government, and in consultation with GEF. This may have contributed to them being somewhat disconnected from some of the on-the-ground realities, for example resulting in the incorporation of some unrealistic progress indicators.

The Project Document - Problem Analysis

52. Overall, the Project Document is clear, well written and covers most aspects in sufficient detail. The justification for GEF support, the description of the context and the analysis of the problems are all clear and logical.

53. One weakness of the problem analysis is the assessment of the policy and legislative framework. The section provides a comprehensive *list* of policies and legislation. It does not, however, provide an analysis of the quality of the policies and legislation nor of the gaps.

54. The problem analysis also provides a description of the threats to biodiversity, the previous responses to the threats and baseline, and of the barriers to achieving the desired situation. These again are clear and well set out. There is, however, an important omission. At the time of Project development, there was a strong local opposition to the MMS and this was a major barrier to reaching the Project objective. In fact, at that time the Government authorities responsible for the MMS were not welcome in the Project area and there was no constructive dialogue between the responsible government authorities and the local communities. Further, the local communities associated the MMS with conservation in general and with the Project – so neither conservation initiatives nor the Project were welcomed by the local communities.

[6] At the outset, the project was to focus on only Malvan Taluka and the MMS, not all of Sindhudurg coast.
[7] Which subsequently became the three 'outcomes'.
[8] And, at the time of the meeting, was not informed of that persons involvement in the design process and so was unable to ask questions on this issue.

55. This issue and its critical nature should have been explicitly recognized and a correction strategy identified. In fact, this should have been recognized in the PIF, and the Project preparatory phase could have been used to start correcting this situation. Instead, even by the time of the Project document, this issue was only referred to obliquely. One explanation for this omission is that the Project proponents were afraid that the Project sponsors (the Government and/or GEF) would not have supported the Project if they had been aware of the level of opposition to the MMS and to conservation in the area. This omission contributed to severe delays in the early implementation period of the Project (see later sections).

The Project Document - Project Implementation Strategy, Logical Framework and Indicators

56. The overall Project implementation strategy as described in the Project document is clear, logical and makes good sense. In summary, the strategy is to collect data, undertake studies, prepare plans, train stakeholders and implement the plans. This is to be done on cross-sectoral issues, priority sectoral issues and with local communities as a way of demonstrating approaches. The implementation of plans would include both site-specific and sectoral interventions.

57. The Team notes that the Project area is not too large and appears to be manageable. The Project intervenes in a single area (unlike many GEF biodiversity projects of that period). The Project can be considered ambitious, but realistic.

58. The Project document acknowledges that data and understanding are incomplete, and this relates to the biodiversity, the distribution of the biodiversity, the threats and the ranking of threats. This is acceptable.

59. As described in the previous section, the Project strategy consists of reaching three Outcomes. Below that, the Project document provides two alternative for the next level of the logical framework (see subsequent paragraphs). These two alternatives may have been a source of confusion.

60. First, in the text of the Project document (Section 2.3), the logical framework is described as including Outputs (listed in Table 3 below). These outputs make sense and the logic as to how they should contribute towards the three Outcomes is sufficiently clear. Further, the text in Section 2.3 provides a description of each Output, and, although not actually specifying activities, it does provide good guidance as to the type of activities required.

61. Second, in the results framework matrix in Section 3 of the Project Document, the logical framework does not mention Outputs. Instead, under the Objective and Outcomes, it provides a list of 'indicators', each with a 'baseline' and a 'target'. In all there are 23 indicators (again listed in Table 3 below).

62. The links between the Outputs in Section 2.3 and the indicators in Section 3 are not all clear.

Result	Outputs	Indicators
Objective: To mainstream biodiversity conservation considerations into those production sectors that impact coastal and marine ecosystems of the SCME.	N/A	1. Landscape/seascape area in the SCME where production activities mainstream biodiversity conservation (area in hectares); 2. Extent of coral reefs in the project area; 3. Population status of following critical species: Olive Ridley turtle and Indo-pacific hunch back dolphin; 4. Population status of birds (including migratory);

Outcome 1: Cross-sectoral planning framework that mainstreams biodiversity conservation considerations	Output 1.1 Landscape-level Zoning Plan is developed; Output 1.2 Cross-sectoral stakeholder consultation committee is established; Output 1.3 Recommendations for strengthening fisheries legislation and conservation sector legislation to better incorporate coastal and marine biodiversity conservation considerations	5. Landscape level zoning plan (LP) that zones resource use by taking into account conservation needs of the SCME; 6. Establishing a functional cross-sectoral Stakeholder Committee for the management of SCME involving District Planning Dept, Forest Dept, the Maritime Board, Dept. of Industries, Fisheries, Agriculture, Tourism, Private Sector & NGOs; 7. Recommendations on reform of Wildlife (Protection) Act; 8. Recommendations on reform of MFRA; 9. Compliance of new developments related to tourism, fisheries, ports, mining and agricultural activity in the target landscape with the LP; 10. Compliance of existing activities related to tourism, fisheries, ports, mining and agricultural activity in the target landscape with the LP; 11. Zoning of MMS in line with LP; 12. Financial sustainability strategy for continued implementation of landscape-level management of SCME
Outcome 2: Enhanced capacity of sector institutions for implementing biodiversity-friendly fisheries management plan, ecotourism management plan and MMS management plan	Output 2.1 Implementation of sustainable fisheries management based on an ecosystem approach; Output 2.2 Implementation of sustainable tourism that mainstreams biodiversity considerations; Output 2.3 Strengthened management effectiveness of the Malvan Marine Sanctuary	13. Number of representatives from the key sectors (government and private) trained in mainstreaming and integration of environmental management considerations and safeguards into policies, plans and activities of key sectors; 14. Mesh size laws are followed by the trawlers; 15. Incidence of encroachment of intensive fishing operations into traditional fishing grounds; 16. Reduction/ elimination of trawlers from outside SCME i.e., from Ratnagiri (Maharashtra), Goa and Karnataka; 17. Community based ecotourism operations as a % of all tourism operations in project area; 18. Number of violations of MMS Management Plan, compared with year of initial patrolling;
Outcome 3: Sustainable community livelihoods and natural resource use in the SCME	Output 3.1 Support for traditional fishing practices and capacity building for conservation management; Output 3.2 Implementation of livelihood diversification strategy and related socio-economic interventions based on market and community needs	19. Traditional fishing communities continue to practice sustainable, low-impact, traditional fishing activity as measured by extent of rampani fishing and related cooperatives; 20. Number of EDC[9]s active in the SCME; 21. Number of skills-development activities carried out for VLI[10]s and other local institutions for alternative livelihoods or sustainable ecosystem-based livelihoods that reduce pressures on biodiversity; 22. Amount of resources flowing to local communities annually from community based ecotourism activities;

[9] Eco-development committee

[10] Village level institution

		23. Number of people shifting to alternative livelihood options that reduce pressure on biodiversity.

Table 3: Summarizing the project's logical framework

63. Section 3 of the Project Document provides four indicators for the overall Project Objective. These meet some of the SMART[11] criteria, however: (i) there is no baseline data; (ii) collection of accurate data would be expensive and time consuming and perhaps beyond the scope of this Project; (iii) indicator no. 1 is vague, and; (iv) indicators 2 – 4 are parameters that are unlikely to change within the timespan of the Project and could easily be affected by factors other than the Project. Accordingly, the Project Objective level indicators are not good indicators of overall Project success.

64. A further 19 indicators are provided for the three Outcomes, eight for Outcome 1, six for Outcome 2 and five for Outcome 3. However, a closer look at these 'indicators' suggest that eight of these are really outputs or deliverables. This applies to indicators: 5-8, 11-13 and 21. These are all things that the Project can directly create or deliver (e.g. a landscape plan, or a number of representatives trained), these do not *indicate* that the concerned Outcome has been reached.

65. This leaves 11 potential indicators for the Outcomes. Each of these is considered briefly in Table 4. In general, these indicators are not SMART. On the whole there is no baseline, many cannot be measured realistically with the Project resources, and in general they do not provide a good, representative indication of progress towards the Outcome.

Description	Description of Indicator	Rapid Comments and Observations
Outcome 1:	Compliance of new developments related to tourism, fisheries, ports, mining and agricultural activity in the target landscape with the LP	There is no baseline. Otherwise, this would be ok if there is an agreed target and there is the capacity to measure 'compliance'.
	Compliance of existing activities related to tourism, fisheries, ports, mining and agricultural activity in the target landscape with the LP	There is no baseline. Otherwise, this would be ok if there is an agreed target and there is the capacity to measure 'compliance'.
Outcome 2:	Mesh size laws are followed by the trawlers	There is no baseline. It is not clear that trawlers from outside Maharashtra can be monitored.
	Incidence of encroachment of intensive fishing operations into traditional fishing grounds	There is no baseline, and probably capacity to monitor is limited. Further, it is probably beyond the Project's scope to have an impact on this indicator.
	Reduction/elimination of trawlers from outside SCME i.e., from Ratnagiri (Maharashtra), Goa and Karnataka	There is no baseline, and probably capacity to monitor is limited. Further, it is probably beyond the Project's scope to have an impact on this indicator.
	Community based ecotourism operations as a % of all tourism operations in project area	There is no baseline. It is not clear that this sufficiently represents the Outcome - biodiversity mainstreaming is the outcome, and this mainstreaming needs also to be with large scale tourism.
	Number of violations of MMS Management Plan, compared with year of initial patrolling	There is no baseline, and probably capacity to monitor is limited.
Outcome 3:	Traditional fishing communities continue to practice sustainable, low-impact, traditional fishing	There is no baseline.

[11] i.e.: specific, measurable, attainable, relevant and time-bound

Description	Description of Indicator	Rapid Comments and Observations
	activity as measured by extent of rampani fishing and related cooperatives	Until there is a full study available, it is not clear if rampani should be encouraged, discouraged or given technical support to be modified – i.e. there is no clear, agreed target.
	Number of EDCs (eco-development committee) active in the SCME	This could be good. There is no baseline.
	Amount of resources flowing to local communities annually from community based ecotourism activities	This could be good. There is no baseline and no agreed definition of 'eco-tourism'.
	Number of people shifting to alternative livelihood options that reduce pressure on biodiversity	This could be good. There is no baseline. Note that people often adopt 'additional' livelihoods and continue to practice the original, degrading livelihoods in parallel. Care must be taken.

Table 4: A critique of selected indicators

66. In summary, at level of the Project Outcomes, there is confusion amongst outputs, indicators and targets. Further, there are very few, if any, suitable indicators at the Outcome level. Finally, there is no clear listing of activities.

Management Arrangements

67. The Project document (Section 5) provides a description of the project management and implementation arrangements. These sets out a role for the Project Executive, the National Project Director (NPD), the National Project Steering Committee (NPSC), the National Project Management Unit (NPMU), Project Assurance, UNDP, State Project Steering Committee (SPSC), State Project Director (SPD), the Landscape Level Project Management Unit (LLPMU) and the Technical Advisory Group. [12]

68. Initially this seems a cumbersome management arrangement with too many layers and actors. However, on further consideration, given the federalized nature of India, it seems appropriate that there be important management functions at both national and state level, as well as some functions at the level of the Project intervention (i.e. the landscape level). The management arrangements as described in the Project document therefore appear consistent and necessary.

69. Notwithstanding, the MTR observes:

- The Project document introduces the management stakeholders and their responsibilities. It does not provide sufficient detail. For example there is no clear list of functions for the two Project Steering Committees, nor does it precise the membership of the SPSC. The Project document does not clearly allocate roles and responsibilities between national and state level and so there is a danger of gaps or duplication;
- Generally, the Project Document gives too much emphasis to the National level as opposed to the State level. This gives an impression that the Project energy and locus of decision-making is nearer to the central level than the State level. For example, it is stated that the NPSC is to play a critical role in project monitoring and other important tasks. For this Project to succeed, the energy and ownership should lie mostly at the State level or even below. This initial centering of

[12] The Section 5 of the Project Document setting out the management arrangements establishes a National Project Management Unit and a Landscape Level Project Management Unit. Other sections of the document refer to a state level project management unit. Where appropriate, in this report, these 3 project management units are referred to collectively as PMU.

the Project ownership near to the national level may have contributed to the Project not being fully sensitive to local concerns, and may have contributed to the low level of activities during the first 18 months implementation (see below).

The Project Document – Other Issues

70. Assumptions and Risks. The Project Document provided an assessment (Section 2.4) of risks. This was a serious effort. In all, thirteen risks were considered, and each was rated as 'low' or 'medium', and mitigation steps were set out for each. It is noted that the risk of opposition from local communities was rated as a 'medium threat' - this was probably under-estimated or understated.

71. Lessons from other projects. The Project Document provided a description (in Section 5.2) of similar projects – past and ongoing. These were the GEF-World Bank Eco-development project, the GEF-UNDP Gulf of Mannar Biosphere Project and the UNDP Community Based Natural Resource Management Project. It briefly stated the kinds of lessons that could be learnt from these projects and stated how the lessons would be learnt. Further, the same section referred to several projects that were recently launched (The ICMAM Programme, the World Bank's Integrated Coastal Zone Management Project and the GEF Bay of Bengal Programme). It briefly stated how synergies with these projects were to be sought, and duplication avoided.

72. The Project was conceived within the India GEF Coastal Marine Programme (IGCMP) together with the East Godavari Estuarine Ecosystem Project in Andhra Pradesh. It was stated that national level coordination with that project was to be established by the Government and UNDP.

73. Plans for stakeholder participation The Project document provided significant attention to this. Notably, Annex 6 of the document included a 13-page table on this. This table considered each stakeholder or stakeholder group, it provided a description of the stakeholder, it outlined their needs, problems, expectations, interests, strengths and weaknesses, and it identified their potential role in the Project. This was a good and serious effort.

74. The approach to replication The Project Document (section 2.8) provides some ideas as to how this will happen, but it does not provide details.

75. UNDP's comparative advantage This is not treated as a separate subject in the Project Document.

76. Linkages between the Project and other interventions in the sector As this Project is a 'mainstreaming' project, linkages with the concerned sectors (fisheries and tourism) are fundamental to the Project's justification, approach and success. Hence these linkages are fundamental throughout the Project document and they are described adequately, as well as an assessment of how they required strengthening and a strategy for how to strengthen them.

77. Approach to Gender and Vulnerable Groups The Project Document states that women's groups will be involved as stakeholders and that gender disaggregated data will be collected during implementation. It also provides good targets for the percentages of women to be involved in many of the Project activities. However, the Project Document does not *analyze* the situation regarding women, gender or vulnerable groups in the Project intervention area. As such, it may misunderstand vital gender dynamics or it may miss opportunities to empower women or ensure gender mainstreaming. The Project document supports some targeting of women's empowerment, but it does not attempt to fully understand the gender situation in the Project intervention area.

Summary of Findings

Key Finding 1: The process to design the Project appears adequate, although there are signs that it was a little too driven by the national level.

Key Finding 2: The Project design documents were adequate as a basis for approving and starting the Project.

Key Finding 3: There are several gaps and weaknesses in the Project design documents. The two most significant are: (i) the strong local opposition to the MMS and to conservation was overlooked; and (ii) the lower levels of the logical framework – outputs and indicators – are confusing and inadequate. These two factors should have been addressed during the Project detailed design phase; alternatively they could have been addressed during Project inception.

3.2 Project Implementation

Project Inception and Start-Up

78. The Project Document was signed by UNDP on 27th October 2011 and this is considered the official start date. According to the Project Document, one of the first activities under the Project was to be the Inception Workshop. UNDP, based on previous experience, insists on having such inception workshops in GEF financed projects. Typically, because the project design and formulation and appraisal and approval take a long time, possibly years, an inception workshop is considered essential to update the project strategy, partnerships and ownership.

79. For this Project, the inception workshops was to 'be held within the first three months of project start-up'. It was to be 'crucial to building ownership' and to planning the first year. It was also to review and revise indicators and targets, as well as to define the roles and responsibilities of all the Project organization structures. Ultimately, the Inception workshop took place in January 2014, more than two years after the official start date. At that time, it can no longer be considered an inception workshop. It is observed that the agenda and format of the workshop were in effect a platform for presenting the Project and its initial findings, not those of an inception workshop.

80. Following Project signature, the initial periods of the Project were difficult. The opposition of local people to the Sanctuary, and therefore to the Project objectives, became more evident. It became evident that the Project could not be implemented as planned with any form of local ownership. In turn, this meant that the Maharashtra State Forest Department (MSFD) lacked the confidence and skills on how to approach the Project and engage with the stakeholders. It also took time to establish the Project implementation framework. As a result, very few ground level activities took place during the first 18 months.

81. In this initial period, most Project-related institutional mechanisms become operational and the following key management actions were taken:

    - MSFD established the 'Mangrove Cell', housed in Mumbai, and gave it direct operational responsibilities for the Project. Although formally established in early 2012, the Cell took more than one year to become staffed and fully operational;
    - The National Project Steering Committee (NPSC) and the State Project Steering Committee (SPSC) were established in April[13] and July 2012 respectively. Two meetings of the National

[13] In May 2012, the NPSC was reconstituted, jointly with the EGREE Project

Project Steering Committee were held (May 2012 and January 2013) and three meetings of the State Project Steering Committee (August 2012, April 2013 and November 2013);

- The head of the Mangrove Cell became the Nodal officer for the Project with certain delegated powers;
- The Project's Landscape Level Management Unit (PMU) was established, with staff in Mumbai (the Project Coordinator started in late 2012) and staff based in Malvan;

82. Also during this period several 'behind the scenes' discussions and dialogue where held, notably with representatives of local communities. These were an attempt to develop trust and a common understanding and a basis to reducing community opposition to the Project's objective. As a result the community opposition to the Sanctuary – although still present – was softened. Also, opposition to the Project faded - except for the Project activities that focus directly on the Sanctuary under Output 2.3.

83. Accordingly, it was then possible to organize the 'inception workshop'. Notably, as an indicator of the revised sentiments of the community, a local leader, who had been a focal point of opposition to the Project, supported and participated in the inception workshop. On the ground activities truly commenced slowly during 2013.

Project Management

84. The project management bodies are UNDP, MoEF&CC, MSFD (notably the Mangrove Cell), NPSC, SPSC, Executive Committee (EC), and the three project management units (PMU). These are summarized in Table 5.

Management Body	Role in Project	MTR Observations/Findings
UNDP	GEF Implementing Agency, responsible to GEF for the use of funds, general oversight to project and trouble shooting. Overall fund management and some procurement responsibilities.	Played an active and positive role in helping the Project along, including through the troubled early days. Participated in all PSC meetings, in all EC meetings, and attended several Project activities. Played a good role in strengthening dialogue with local communities.
MoEF&CC	Government implementing partner. Responsible to Government and UNDP for use of funds. Oversight, trouble shooting and mainstreaming into government programmes.	Established a national project office. Played an active and positive role in helping the Project along, including through the troubled early days. Shown good ownership, chairing the NPSC and attending all PSC and EC meetings. Also played a good role in facilitating the dialogue with local communities. Adequately delegated powers and decision-making.
NPSC (jointly with the sister EGEERI Project under the IGCMP)	General direction to project, coordination with national initiatives, support to project as needed.	Met 3 times. Played an active and positive role in helping the Project along. Shown good ownership. There is, on paper at least, a risk of overlap with role of SPSC[14].

[14] For example the ToR for both NPSC and SPSC include qualitative and quantitative project monitoring. Also, trom these ToR, it is not clear who takes financial and budgetary decisions (e.g. who approves annual and quarterly work plans on behalf of government).

SPSC	General direction to project, coordination with State initiatives, programmatic and operational guidance and support to project as needed.	Met 6 times. Played an active and positive role in helping the Project along. Shown good ownership, involving the highest levels of State Government. The SPSC has closely followed Project inputs and activities, but in some cases this may tend towards micro-management. There is, on paper at least, a risk of overlap with duties of NPSC.
MSFD Mangrove Cell	Takes the lead in Project implementation, supporting the Project objectives and coordination. Ensure government is fully behind the Project	Once it became operational, the Mangrove Cell has been the key to developing appropriate Project ownership, Project implementation and Project strategic development. Also played a major role in developing Project partnerships. Despite the progress made under the Project, the MSFD still has capacity constraints related to marine and coastal biodiversity protection.
Executive Committee (streamlined SPSC sub-committee)	Takes the lead in identifying input providers and managing the procurement process.	Met 9 times to discuss in detail the ToR for Project activities and the potential service providers. Has certainly played a role in ensuring the best service providers were selected and that the service providers were guided.
Project Management Units (PMU) at national (NPMU), State (SPMU) and Landscape Level (LLPMU) (The NPMU is based in Delhi. The SPMU is based partly in Nagpur and partly in Mumbai. The LLPMU is based partly in Mumbai and partly in Malvan.)	Day to day operationalization of the Project; activity planning, support and monitoring; provides direct technical inputs; provides coordination with other national and state level activities.	The connections between the various levels function well. Most operational level work is undertaken by the LLPMU, which has approximately 10 staff responsible for all aspects of project operationalization. At the time of the MTR, the staff were all highly professional, competent and motivated in their work. Also played a role in building the many partnerships, and in fostering the dialogue with the local communities.

Table 5: Assessing Project management bodies

85. Although on paper the management structure appears complex and has many layers, as can be seen from Table 5 the individual bodies have functioned well and in a coordinated manner. Communications within the layers of management and within the Project implementation team appear to be timely and clear. The MTR finds that the management structure has been very effective, with the following observations:

- The ToR of the PMU are not available in document form, and this could lead to confusion, overlaps or gaps;
- Many of the Project discussions and decisions are not captured in the minutes of either of the PSCs. Examples of this are: the true nature of the local opposition to the Project and the details of the related 'behind the scenes' discussions; the inferred decision (see below) to lead the Project with Outcome 3 rather than with Outcomes 1 and 2 – that is to lead with community dialogue rather than landscape level interventions.

Adaptive Management and Activity Planning

86. The MTR observes many good examples of adaptive management. The first, and most significant, relates to the overall Project strategy. The Project document describes a classic implementation strategy of data collection, studies, planning and training followed by the implementation of site level actions and multi-level capacity building. Under the guidance of the Mangrove Cell, the Project adopted a different strategy. Due to the opposition from local people, it was felt that the Project should first focus on establishing and fostering a dialogue with communities and building community trust. Hence, the focus has been more on site level livelihood and conservation interventions, with a strategy of building dialogue around these. Only after these steps would it make sense to undertake strategic planning and institutional capacity building. This was a major change in Project strategy and a good example of adaptive management. However, as noted above, it is not documented in the records of management meetings.

87. More adaptive management is observed at the level of activity planning. As described in the previous section, the text of the Project Document provides clear Outcomes and describes Outputs that make sense and would lead to the Outcomes. This provides good conceptual guidance to Project implementation, and allows flexibility for planning specific activities. On the other hand, and again as described in the previous section, the Results Matrix provides a list of 'indicators'. These are more prescriptive towards determining activities, and it is noted that many are in fact outputs, and not all of which are pertinent. However, in practice, activity planning has been responsive and has been a good balancing of bottom up and top down. Many ideas for activities originated from local consultations and observations and responded to local needs or to specific opportunities (e.g. supporting turtle nesting and plastic free campaigns). Other activities were suggested by PMU or SPSC members, based on a good knowledge of the local situation and of best practices from other places (e.g. the introduction of new rice systems and oyster raising technology). In each case, the proposed activities have been subject to a thorough review by PMU, EC, SPSC and Mangrove Cell and in some cases even the NPSC.

88. Overall, there is little evidence of the Project logical framework being used as a management tool. Activities were mostly identified from the bottom up and then discussed, appraised and approved on a one-by-one basis by the EC, SPSC and NSPC. The minutes of the EC, SPSC and NSPC show that the merits of each activity were thoroughly discussed, but their alignment to the Outcomes, Outputs and indicators in the Project logical framework is not mentioned, nor is their alignment to the Annual Work Plan (AWP). By contrast, the AWPs are based almost entirely on the logical framework in the Project document. This is illustrated in Table 6. Table 6 compares priority activities as identified in the official AWP with priorities identified in the SPSC Minutes at a similar time during implementation. The two sets of priorities are very different. The AWP priorities are closely linked to the results framework of the Project document, whereas the SPSC priorities are clearly linked to site level needs and opportunities. In effect, there have been two alternative but fully compatible ways of interpreting the Project, i.e.: (i) the Outcomes and outputs (as seen in the Project Document, AWP and PIR) and

(ii) a set of inter-connected conservation activities, livelihood activities and other[15]activities (as seen by the NPSC, SPSC and PMU). There is little evidence to suggest that the AWP has used as anything other than a mechanism to release funds (i.e. not a planning tool). Notwithstanding, all activities supported by the Project are fully aligned to the overall Project Objective, and are somehow linked to one of the Outcomes.

AWP 2013 (approved early 2013)[16]	SPSC minutes (April 2013)[17]
• Process to prepare Landscape Level Zoning and Management Plan • Process to establish Stakeholder Consultation Committee • Analysis/review of Marine Fisheries act • Process to prepare sustainable tourism management plan • Process to prepare Malvan Marine Sanctuary management plan • Capacity building and so forth to develop (sustainable) traditional fishing practices • Process to develop livelihood diversification strategy	• Establish Sindhudurg Foundation; • Hire Agencies for Conducting PRA (180+ villages); • Pilot projects: 'Cage Culture', 'Marine Ornamental Fish Breeding' and 'Artificial Reefs', mussels & oysters, bycatch reduction; • Capacity building on cetacean monitoring protocol; • National Consultation on issues relating to sustainability in marine fishing; • Turtle conservation Project; • training of local youth for acting as snorkeling guides; • Clean Beach Campaign; • Design/construction of Marine Interpretation Centre; • Coral inventory (Malvan); • Geological and Biological Survey (Angria Bank); • value addition to low value catches; • Studies on the Seaweed flora; • Training of Small Scale Fishers on Sustainable Marine Fishing.

Table 6: Comparing priorities in the AWP and SPSC minutes (both early 2013)

[15] This notably includes training and creating the local Foundation – see later.
[16]Source: AWP, analysis of Outputs and planned activities
[17]Source: Agenda items and Decisions

89. The MTR concludes that activity planning has been very adaptive, responding to needs and opportunities, whilst remaining clearly within the overall Project scope and within guidance provided by the Project document.[18]

90. The two alternative but compatible ways of interpreting the Project must have been confusing for the Project team as it planned and developed activities. Also, the confusion between Outputs and Indicators (discussed in the previous sub-section) must have confused the Project team. The MTR notes that the Inception Workshop was the optimal time to remove these confusions, and to clarify/amend the Project strategy, outputs and indicators. Moreover, the confusing framework has surely created additional work for the PMU, including in terms of reporting. This confusion may also be a factor in the Project management classifying many activities as contributing to Outcome 2, whereas this MTR finds they are more closely aligned to Outcome 3.

Partnership Arrangements

91. The Project document provided a very thorough stakeholder analysis and thus identified many potential partners: notably government agencies, technical implementing partners and local community representatives and members. However, at the outset the MSFD had limited expertise related to coastal and marine resources management and it did not have a good network of partners in related sectors. It was therefore necessary to build partnerships in these sectors.

92. Government agencies in order to achieve the Project aims – notably 'mainstreaming', it is necessary to work with several government agencies, notably those responsible for fisheries, tourism, agriculture, coastal affairs and maritime affairs. In addition, it is necessary to work with local government, notably the District level and the Taluka level. This is always a challenge within UNDP supported projects. The MTR finds that good progress has been made. Joint activities have been implemented and planned with the Fisheries Department and some awareness of the Project has been generated in the MSFD. Contacts have been established with the Maharashtra Tourism Development Corporation, the Maharashtra Maritime Board, and Maharashtra State Biodiversity Board and others. These agencies are generally involved in the SPSC meetings. A good interaction has been developed with Taluka level government and the District Controller.

93. These provide a good basis for further activities and for further Project achievements. However, the MTR finds that these partnerships are not yet sufficient for 'mainstreaming' biodiversity into the concerned sectors. Notably, particularly with regards to fisheries, tourism and district level government, the partnerships still appear *Project* driven rather than existing outside the Project.

94. Technical implementing partners. Almost all technical activities have been implemented by a technical implementing partner through an agreement or contract. This includes NGOs, research institutes and government technical departments. In many cases this has involved a partnership connecting local (Maharashtra-based) experts with experts from other parts of India (notably Tamil Nadu and Kerala). This has facilitated the circulation of knowledge and best practices. The MTR met with many of these partners and generally found them to be competent, motivated and professional and fully aware of their role in the Project. This is a good set of partners, and there is also evidence of connections being developed directly between these partners. It is noted that there was some examples of duplication across these technical activities or their outputs, and not all of the partners

[18] It is noted that this does not constitute a 'classic' planning or adaptive management approach for UNDP projects. Under the classic approach, indicators are monitored, findings are fed-back to Project Management, and the Project strategy (including inputs and activities) may be modified in response to the findings. Otherwise, outputs and activities remain very much in line with the Project document's logical framework.

are communicating fully with each other (for example in the collection of data on coral species, or the fact that many relevant stakeholders were unaware of the Fisheries Management Plan).

95. Local community representatives and partners. The project has initiated and developed a vast dialogue with local communities – as evidence through the MTR stakeholder meetings and the statements provided by local communities. A vast number of local people have been involved in one or more of the Project activities. This involvement has provided a mechanism around which to establish dialogue. As a result, a vast number of local people are somewhat informed of the Project and its general objectives. Any general opposition to the Project appears to have disappeared, and opposition to the Sanctuary has greatly softened. In addition, many ***representatives*** of local people (heads of associations, heads of Self Help Groups, local politicians and civil servants) have been involved in the Project activities and are aware of the Project and its aims.

Monitoring, Evaluation, Reporting and Knowledge Management

96. The Mid Term Review was well prepared and well organized. In terms of delivery, it took place when approximately 50% of GEF funds had been delivered, and so can be considered 'mid-term'. However, in terms of time, it took place more than 3 years after Project signature and so cannot be considered 'mid term'.

97. Annual monitoring. The Project has prepared several reports on overall progress on an annual basis. "Annual Progress Reports" were prepared at the end of 2012 and 2013. These were short but well prepared. They are activity based and do not give a sense as to overall progress. They do not follow the structure of the Project's Outcomes or Outputs. They do not explore challenges or problems – for example there is no clear communication of the prevailing opposition of local people to the Project.

98. Subsequently, Project Implementation Reviews (PIR) were prepared in 2014 and 2015. These are in line with GEF/UNDP formats and requirements and so are based on the Project Outcomes and 'Indicators'. The Project team reported that they take a long time to prepare. Although seen as a good way of 'reporting' to UNDP and GEF, their use as a monitoring tool is less evident

99. Whereas the Progress Reports can be seen basically as a listing of achievements and the PIRs can be seen as a reporting requirement to GEF, there is little evidence of true monitoring at the Outcome or overall Project level. For example, most NPSC and SPSC discussions focus on individual activities - there is little evidence of the PSC undertaking a strategic review or macro level monitoring. Further, as discussed above, the indicators in the Project document do not provide a good framework for Outcome or higher level monitoring.

100. GEF, UNDP and Government of India each have a different financial year, meaning 'annual' reports may be requested three times per year. This particularly applies to financial reports. This causes additional work for the Project team.

101. The Project prepares quarterly progress reports that are linked to the quarterly work plan for the subsequent quarter and the requests for advancing funds. These reports are structured around the Project Outcomes. The MTR understands that the QWPs, as the AWP (see above), are used a mechanism to release funds rather than as a monitoring or reporting mechanism. Neither the AWP nor the QWPs are linked to substantive technical reports, only to financial reports.

102. Activity level monitoring has been strong. It is mostly undertaken by the PMU staff based in Malvan. Three professional staff, each assigned to one Taluka, regularly visit Project sites and activities, and prepare monthly reports on progress and issues. In addition, for each activity, the

Project has ensured that good reports are prepared by the implementing partner. In most cases there are both interim reports and final reports. These reports are generally clear and well prepared, and together constitute a good resource base. There is good, updated information on the Project activities.

103. Although it is a little early to talk of knowledge management, the Project has prepared many tools for collecting and disseminating findings. This includes the activity reports (mentioned above), several clips or short films (in local language and English), a website, a Project brochure and the first edition of a Project newssheet. There is no strategy for knowledge management despite the availability of a great deal of reports and documents.

Finance

Control and reporting

104. The majority of funds are managed directly by the Mangrove Cell. Less than one quarter of funds are managed by UNDP in Delhi. UNDP manages funds where it is felt likely to be difficult for the Mangrove Cell to mobilize inputs, notably if the inputs were not likely to be available in India or in south India.

105. For the funds managed by the Mangrove Cell (i.e. the vast majority of funds), the Project functions on a quarterly advance system, as follows:

- The PMU identifies likely requirements for the coming quarter in the form of a quarterly work plan (QWP);
- The Mangrove Cell, State Project Director and National Project Director review and validate the QWP, and submit it to UNDP in the form of a request for a quarterly advance;
- UNDP transfers the funds to a Project bank account managed by the Mangrove Cell;
- At the end of the quarter, the remaining funds are held by the Mangrove Cell and contribute to the next quarter's needs. Funds can only be requested for a subsequent quarter when 80% of funds from the preceding quarter have been delivered. All funds advanced must be delivered within 6 months.

106. Subsequently to the quarterly transfer of funds to the Project bank account, the procurement and payment is as follows:

- A contract or agreement is signed between the Mangrove Cell and the concerned service provider;
- Based on the submission of deliverables and the *Utilization Certificate (UC)*[19], payments are made to the service provider, in line with the schedule set out in the contract. There is normally an initial down payment at contract signature; subsequent payments are based on the delivery report and the *UC*;
- Before payment, all technical deliverables are verified by at least two technical experts in the PMU. All financial reports and *UC* are verified by the financial PMU staff and the Project Coordinator in PMU. All reports are approved by the Mangrove Cell Nodal officer;
- Further, within the service provider agency, several checks are in place before the deliverable and the *UC* are submitted to the PMU.

[19] This certifies that the funds have been used by the service provider and gives details of how, in line with a format established by the UNDP Country Office.

107. The MTR observes:

- There is a good financial planning, good control over quarterly advances and payments, and thorough reporting of all payments;
- The requirement for the *UC* creates an additional level of control but also an additional layer of processing. This has led to increased workloads for both service providers and PMU. Notably, the fact that funds are not considered *delivered* until the *Utilization Certificate* is available has undermined delivery;
- It is not clear what the UCs add in terms of either financial control or quality control. Management are interested in results, and if the results are demonstrated, then the quality control is assured, and there is no need for the UC. Also, if the process of tendering, contracting and payments is controlled, there is no need for a UC to demonstrate how the contractor utilized the funds. In fact the use of UCs may be a disincentive to innovation – as contractors are encouraged to use all their resources rather than seek cost-efficient measures.

108. The above process leaves little room for flexibility and requires financial planning to be highly accurate and effective. For example, if the Project commits in a quarter but the service provider does not deliver or provide the UC in that quarter, then the funds are undelivered in the quarter and the Project cannot receive the next quarter's funds, and so it does not have additional funds in its account, and so it cannot make any further commitments for other activities. In theory, the Project has to be on hold until all the delivery is processed and the UCs obtained.

109. Further, the Project implementation is actually dependent on the seasons. Very little can be delivered during the monsoon season (approximately June – September). Hence, delivery is not spread evenly over the year. However, the quarterly advances assume an even delivery over the year. This creates additional challenges for planning and processing finances, contracts and payments.

110. In summary, although the processing of advances and payments has not caused many delays, it has created a great workload for the PMU and has somehow undermined delivery.

<u>Use of Funds</u>

111. Annex 7 provides a summary of how Project funds have been used until now. Of GEF funds, total delivery is $1,825,547 (of the US$3, 438,294 available). Hence total delivery is approximately 53%. $1.48 million (or 81%) was delivered by the Government of Maharashtra, with $0.35 million delivered by UNDP.

112. From Annex 7, we can also observe that the total cost of consultants, technical meetings, SC meetings and the three PMUs is $395,120 or 21.6% of overall delivery. This appears reasonable.

113. Seven activities or inputs have cost more than $50,000. These are listed in Table 7.

Activity/Input	Cost (US$)
Pilot project on Crab Ranching	174,603
Studies on Geological & Living Marine Resources of Angria Bank	127,820
UNDP Activity-2: Enhanced Capacity of sector Institution	121,905
Entry Point Activities - Gazebo, Jetties, Water Harvesting Structure	109,149
Painting of MSRTC Buses and Project signposts along Sindhudurg beaches	58,584
UNDP Activty-5: NPMU expenses	55,575

PRA/RRA Exercise initiated (TERI)	54,898

Table 7: Listing those activities/inputs costing above $50,000

114. Overall, the costs of activities appear reasonable, assuming the quality is adequate and the impacts are realized.

115. Table 8 provides data on delivery over the years. As can be seen, 36% of funds were delivered in 2012 and 2013, prior to the inception workshop. Reportedly, this was mostly towards Project management, initial contractual payments and first installments (rather than to completed activities).

	2012	2013	2014	2015	Total
GOM	42,307	488,534	807,142	213,350	1,551,333
UNDP	37,649	110,307	137,966	59,207	345,130
Total	79,956	598,841	945,108	272,557	1,896,463
Percentage of total delivery	4%	32%	50%	14%	100%

Table 8: Delivery over the years

Co-Financing

116. The Project Document states that the Government of Maharashtra will provide $12 million in co-financing. It does not provide any detail of what this co-financing will be and how it will contribute to the overall Project objectives. Since start-up, securing and reporting on the co-financing has been a challenge for the Project management, as discussed several times in the PSC minutes.

117. In practice, the Project has worked in many partnerships, and the contribution of the most partners to the activities could be considered co-financing. This, however, would lead to a long list of small co-financers that is difficult to monitor and report on. The PMU have recorded details of the major co-financing commitments at this stage (see Table 9). The recorded commitments to co-financing amount to approximately $7.6 million, this is approximately 63% of the targeted amount. This co-financing contributes to the overall Project objective. The Project is broadly on target to mobilize the co-financing it had committed to mobilizing.

Department	Contribution	Value of the Commitment (INR Million)
State Fisheries Department	Transfer of 1.36 hectares of land, for the Marine Interpretation Centre.	28.60
State Fisheries Department	Contribution of 2,800 m^2 (this is the building on the 1.36 hectares of land, to be converted to the Marine Interpretation Centre.	5.80
Sindhudurg District Administration	Towards the establishment of a crab hatchery	15.00
Sindhudurg District Administration	The land for the crab hatchery	0.66
State Fisheries Department	Fisheries infrastructure in Sindhudurg (2012-2014) (a. Fishing jetty and b. Basic facilities for fishermen)	235.50

State Fisheries Department	Fish drying platform, ramp, solar lamps, pump house	181.00
Malvan Nagar Prishad (municipal government)	The municipality had committed to providing 25% (i.e. Rs. 0.59 million) to the Solid Waste Management in Malvan town Project (total cost: Rs.2.374 million)	0. 50
Compensatory Afforestation Fund Management and Planning Authority (CAMPA)[20].	Towards the establishment of a crab hatchery	10.00
Maharashtra State Biodiversity Board	Towards the preparation of Peoples Biodiversity Registers and formation of Biodiversity Management Committees	2.5
State Agriculture Department	Extending SRI to 1000 Acre	1.50
Total		**481.06 (or $7.63 million)**

Table 9: Co-financing contributions

Summary of Findings

Key Finding 4: There was no inception period or inception workshop as planned for in the Project document. Hence, there was no formal process of reviewing the Project strategy, framework, indicators, partnership arrangements and approving necessary changes – this was necessary given the long gestation period.

Key Finding 5: The slow project start up and opposition by local communities to the Sanctuary were the main reasons why there was little on the ground activity in the first 18 months. Subsequently, the level of activities and delivery appears high.

Key Finding 6: The Project team is high quality. Planning, management, control and reporting have all been adequate, including of financial issues. Adaptive management has been good: the Project has maintained an overall focus on conservation and the Sindhudurg coast, yet planning has been driven more by ground realities than the Project document. The formal documenting of management discussions and decisions is incomplete.

Key Finding 7: The Project has developed a large number of diverse partnerships with quality partners, and it has helped stimulate connections amongst partners. Creating partnerships with government departments is perhaps the most challenging.

[20]The fund is meant to promote afforestation and regeneration activities as a way of compensating for forest land diverted to non-forest uses. It has a mandate to utilize the funds for undertaking compensatory afforestation, assisted natural regeneration, conservation and protection of forests, infrastructure development, wildlife conservation and protection and other related activities and for matters connected therewith or incidental thereto.Since crab farming would help in conservation of private mangrove areas through income generating economic activities, the deployment of the fund for crab hatchery would promote the conservation of mangroves.

Key Finding 8: Various aspects have added significantly to the PMU management and reporting workload. These include the necessity of UCs, the confusions in the Project logical framework and the three different reporting periods of Government UNDP and GEF.

3.3 Progress towards Results

118. It is pertinent at this point to recall the strategic shift taken by the Project management (as discussed above under 'Adaptive Management'. In the Project document, the Project strategy is to collect data, undertake studies, support planning, and then training, and then support implementation. However, in response very much to the opposition from local people, the Project adopted a different strategy, whereby the Project first focused on establishing and fostering a dialogue with communities, and building community trust. This was to be followed by the sectoral and cross-sectoral and institutional interventions, particular at the level of the entire Sindhudurg coast or the District.

119. The MTR interprets this to mean that Project efforts initially focused mostly on Outcome 3, with Outcomes 1 and 2 starting slowly and growing. Accordingly, this review first looks at Outcome 3.[21]

Outcome 3

120. Outcome 3 is "***sustainable community livelihoods and natural resource use in the Sindhudurg coastal and marine ecosystem***". In the Project document there are two Outputs:

- 3.1: Support for traditional fishing practices and capacity building for conservation management;
- 3.2: Implementation of livelihood diversification strategy and related socio-economic interventions based on market and community needs.

121. In essence, this Outcome is about supporting community livelihoods and releasing community level energy and capabilities in favour of coastal and marine ecosystem and biodiversity conservation. The majority of the Project's activities undertaken so far have contributed to this Outcome. Many were designed to contribute to it and have done so directly. Others, although possibly primarily designed to contribute to another Outcome, were implemented with strong local consultation and participation and so have also contributed to this Outcome indirectly. Box 2 lists the activities having contributed to this Outcome.

Activities contributing, directly or indirectly, to Outcome 3

The large-scale PRA/RRA exercise undertaken in the Project early stages helped to establish a more complete understanding of the status and the situation in 136 villages. This also allowed a first set of awareness raising regarding biodiversity conservation and trust-building, with at least 5,000 persons participating. The output was useful 'micro-plans' at the village level, as a basis for identifying subsequent activities and generating local ownership – a contribution to Outcome 3.

[21] It is noted that the Project Management feels that many activities contributed to Outcome 2, whereas this MTR finds they are more closely aligned to Outcome 3. This is referred to in paras 41 and 42 and is clarified in the subsequent paragraphs of this section.

Many activities to introduce new, biodiversity friendly technologies have contributed to Outcome 3. In addition to introducing possibly new revenue generating technologies that can help local development, the process ensured further awareness raising with the target groups. These include:

- Training, demonstration and technical support to mud-crab farming;
- Training, demonstration and technical support to oyster farming;

Many activities to enhance existing technologies and ensure they are more biodiversity friendly have contributed to Outcome 3. These focus on developing existing technologies so that they are more efficient and generate more revenue. Further, the process ensured further awareness raising with the target groups. These include:

- The so-called 'Entry Point Activities' - Gazebo, Jetties, Water Harvesting Structure;
- Training, demonstration and technical support to vermicomposting;
- Developing and disseminating the System of Rice Intensification;
- Studies, training and demonstration of by-catch reduction devices;
- Training for snorkelling guides;

In addition, there have been many conservation activities that have been implemented in such a way as to increase understanding and build trust with local communities, and have also contributed to Outcome 3. All the following contribute to conservation, include the participation of the local communities, and have utilized a process that ensures further awareness raising with the target groups:

- Training, demonstration and support for turtle conservation;
- Studies and capacity building on cetacean and cetacean populations;
- Clean Beach Campaign;
- Establishing mangrove nurseries and planting mangroves;
- Studies and related awareness raising on coral reefs and artificial reef development;
- Studies on avifauna status.

Box 2: Activities contributing to Outcome 3

122. As evidenced in Box 2, there has been a very high level of achievements across the coast. These activities have demonstrated ways to achieve sustainable coastal livelihoods at the site level. Taken together, they have also helped establish a technical basis, to build networks, and to build trust and understanding that can, in turn, contribute to achievements under Outcomes 1 and 2. There has been very substantial progress towards Outcome 3 and this can be considered **effective** and **efficient**. Until now, the site activities are distributed across the large landscape and are not necessarily inter-connected.

123. In addition, the Project has managed to maintain a strong biodiversity conservation focus through these activities. It has done this by: mostly supporting activities that are either good for biodiversity (e.g. protecting turtles) or that require a clean environment (e.g. oyster farming); taking the opportunity at all interactions with local community to communicate the global significance of Sindhudurg's biodiversity. Hence this can be considered **relevant**.

124. The total number of beneficiaries under these activities is provided in Table 10. As can be seen there have been 1,420 beneficiaries, of which approximately 6.5% were female.[22]

Livelihood Activity	Male	Female	Total
Mangrove crab farming	95	20	115
SRI	1122	42	1164

[22] Source: direct communication from the Project management unit

Apiculture	0	20	20
Mussel oyster	0	10	10
Snorkelling guide	105	1	106
IMTA	5	0	5
Total	1327	93	1420

Table 10: Showing the number of beneficiaries at the community level, disaggregated by gender

Outcome 1

125. Outcome 1 is the "**Cross-Sectoral planning framework that mainstreams biodiversity conservation considerations**". As explained in the Project document, it is to address the fact that "*contrasting objectives of sectoral institutions are not only negating the opportunities for synergy among diverse stakeholders but also, instead of acting as a force multiplier, lead to negative outputs*". In the Project document, there are three Outputs:

- 1.1: Landscape-level Zoning Plan is developed;
- 1.2: Cross-sectoral stakeholder consultation committee is established;
- 1.3: Recommendations for strengthening fisheries legislation and conservation sector legislation to better incorporate coastal and marine biodiversity conservation considerations[23].

126. The Project has supported several activities that have contributed to reaching this Outcome. Firstly, a great number of project activities have included data collection and research – covering social, economic, ecological and biodiversity parameters. This has led to a generation of great deal of data, for example related to mangroves and their distribution, coral and their distribution, animals (cetaceans, birds, turtles) and their status and distribution, socio-economic activities and status, etc. This data and related understanding will contribute greatly to the preparation of the cross-sectoral landscape plan at a later date and to any other cross-sectoral planning mechanisms.

127. Likewise, these activities have contributed to raising awareness of the local communities and building trust with them. This awareness and trust will also be a good basis for the participatory preparation of the landscape plan or other cross-sectoral planning mechanisms.

128. The Project has also taken steps to creating two new institutions that can support the cross-sectoral, conservation and development of the Sindhudurg coast over the long term. First, it has established a local cross-sectoral Stakeholder Committee, which has met 3 times. Although currently driven by the Mangrove Cell and the Project, this Committee has the potential to anchor the Project's ultimate objective within local people, local decision-makers and local forces. Second, the Project has taken steps to establish the "Coastal and Marine Biodiversity Conservation Foundation of Maharashtra" (hence forth referred to as simply the 'Foundation'). The Project has secured high-level state support for this Foundation and has initiated the process to its formal establishment. This Foundation, if well-conceived and funded - and there are good reasons to believe these are both feasible - can provide cross-sectoral support to biodiversity conservation along the Maharashtra coasts, including Sindhudurg.

129. Finally, the Project has also taken steps to amend pertinent state and national regulations and legislation (related to Output 1.3). The Project identified gaps in the Wildlife (Protection) Act pertinent to the conserving the SCME. It has proposed amendments and these are under official

[23] The MTR understands that this Output could more naturally fall under Outcome 2. However, for the sake of this review, it is taken as part of Outcome 1.

review. These are to ensure the Act adequately covers marine and coastal wildlife, and to ensure that the Act can allow for the establishment of protected areas beyond the 12 nautical mile limit for territorial waters. Second, the Project has proposed modifications to the Maharashtra Marine Fishery Regulation Act (MMFRA), and is facilitating their adoption. This is to ensure that the MMFRA incorporates biodiversity concerns, and incorporates the best practices identified under the Project related to net meshes and juvenile exclusion.

130. Overall, a basis has been set for reaching Outcome 1, but progress so far is limited. With regards to the 3 Outputs, much remains to be done, notably with regards to the landscape planning, and operationalizing the local Committee and the Foundation. These issues will be discussed further in the Sustainability section below.

131. This is all **effective** and **efficient**, despite the scale limitations. The Project has managed to maintain a good biodiversity focus on all activities, and hence this is all **relevant**.

Outcome 2

132. Outcome 2 is "**Enhanced capacity of sector institutions for implementing biodiversity-friendly fisheries management plan, ecotourism management plan and MMS management plan***".* According to the Project document, the Outcome was primarily about *"translating the elements of the Landscape Plan into implementable actions on the ground, by developing institutional capacities for sustainable fisheries management, sustainable ecotourism management and effective management of the marine sanctuary*". In the Project document, there are three Outputs:

- 2.1: Implementation of sustainable fisheries management based on an ecosystem approach;
- 2.2: Implementation of sustainable tourism that mainstreams biodiversity considerations;
- 2.3: Strengthened management effectiveness of the Malvan Marine Sanctuary.

133. As seen above under Outcome 1, it has not yet been appropriate to prepare the Landscape Plan, which was to have been a precursor for Outputs in this Outcome. Notwithstanding, some activities have been implemented that contribute to Outcome 2.

134. In particular, at the ***site*** level, the Project has undertaken much site level mainstreaming of biodiversity into production sectors, and demonstrating how mainstreaming can be done. This has notably covered site level activities in the fisheries and tourism sectors. For example, most of the activities listed in Box 2 have contributed to mainstreaming biodiversity into site level sectoral activities. The oyster farming has mainstreamed biodiversity into local rural development, the training for fishermen and demonstration of by-catch reduction devices has mainstreamed biodiversity into local fishing activities, and the snorkeling training has helped to mainstream biodiversity into local tourism activities. The PIR 2015 reports that a total of 1600 local people have received training and other benefits. More importantly, new technologies have been demonstrated to be successful, and a good dialogue with local communities has been established.

135. Less progress has been made at the ***sector*** or ***institutional*** level – here used to mean to all activities in the concerned sector across the entire District coast. To achieve such mainstreaming, the Project would need to strengthen institutions, or revise plans, legislation or regulation (with enforcement), or to replicate site level success at a broader scale. In many cases, given the administrative structure and the importance of State level institutions, many of these activities would have to be at the State level or with State level actors.

136. With regards to the fisheries sector, some steps have been taken towards sustainable fishing. This includes the support for improved nets[24] leading to their adoption. Also, plans are advanced to support joint patrolling of fishing grounds (through joint Department of Fisheries/Department of Forestry patrols). Another achievement in this sector has been the preparation of the "*Sustainable Fisheries Management Plan for the Sindhudurg Coast in Maharashtra*". This plan is well prepared and provides a very good study and analysis of the sector, as well as a blue print for future action. However, there is little evidence that the Plan is owned by the pertinent stakeholders (including government), and awareness of the Plan appears low. It was never discussed by the either of the PSCs. The Plan is also very ambitious (a very long list of recommendations covering all aspects of fisheries) and is simply not very feasible in the current context.

137. It has to be noted that the threats to sustainable fishing are very large and manifold. It seems unlikely that the interventions envisaged by this Project alone could make much overall impact. The Government of India, together with the concerned State Governments, will have to adopt a broad and well-resourced programme to push sustainable fishing.

138. Little has been done directly for Output 3.3 (strengthened management effectiveness of the Malvan Marine Sanctuary). Much of the data collected under other activities will help when attempts are made to strengthen MMS management. Many local activities have started building trust and these activities have somewhat changed attitudes of local people towards conservation, and considerably softened opposition to Sanctuary. However, the lingering opposition to the Sanctuary means that this Output will have to be undertaken very delicately.

139. Overall, a basis has been set for reaching Outcome 2, but progress so far has been somewhat limited. With regards to the 3 Outputs, much remains to be done. This is all **effective** and **efficient**, despite the scale limitations. The Project has managed to maintain a good biodiversity focus on all activities, and hence this is all **relevant**.

Progress towards the Overall Objective and Impact

140. The overall Project objective is "***to mainstream biodiversity conservation considerations into those production sectors that impact coastal and marine ecosystems of the SCME***".

141. It is first important to recall that in the first 18 months of implementation the priority of the Project was to build dialogue and trust with local communities, particularly regarding the MMS and conservation. Hence, during this period, on the ground activities were limited and only certain sector level activities were implemented. Subsequently, notably since early 2014, the level of on the ground activities has increased and reached impressive levels.

142. The Project activities so far, notably those targeting local communities, have established a very good basis and created good opportunities to reaching the Project objective.

143. One achievement of the Project is to have raised the awareness of, and understanding of, and commitment to, the conservation of globally significant biodiversity on the Sindhudurg coast. This applies to the local communities, but also to certain sector institutions (in fisheries and less in tourism).

144. A second key achievement is to have radically changed the nature of the dialogue between the conservation authorities and the local people – from one of 'conflict' to one of 'constructive cooperation'. At Project outset, the MSFD officials were not welcome in the area and there was high opposition to the Sanctuary and conservation. Now, there is good dialogue and cooperation between

[24] Notably square mesh as opposed to diamond mesh nets for trawlers

MSFD officials and local people, although there is no explicit discussion of the MMS and its management.

145. Another important achievement is to have introduced and started to demonstrate several new livelihood technologies, which have the potential to generate revenues, and are either biodiversity friendly or biodiversity neutral.

146. Also, the Project has supported some serious conservation work activities, which had not occurred in the area before. This includes several small-scale conservation actions, it also includes the collection of a great deal of data and related research. And finally the Project has developed some capacity in government agencies. The State Forest's department capability to work in coastal/marine area protection and on mangroves has increased significantly. The Fishery Department has also benefitted on certain key issues.

147. Hence the Project has been **effective** and **efficient**. Moreover, the Sindhudurg does contain globally significant biodiversity, and the status of the biodiversity means it is worth protecting, although it is under threat. The Project has maintained a strong biodiversity focus, meaning it has been very **relevant**.

148. There have been and will be challenges. First, in some sense, the Project lost over one year. Reaching the Objective is still some distance away. Considering it officially started almost four years ago, overall progress is somewhat behind schedule. And although it has now been successful for over 18 months, the challenges are to ensure the successes are maintained and that sustainability is achieved (see below).

National Ownership

149. The Project has demonstrated good national ownership. The National, State and local governments are all involved, and balanced ownership is distributed amongst them. The Project design is in line with national priorities, notably addressing one of the five most important marine and coastal areas in the country. The Minutes of the NPSC and SPSC clearly demonstrate how the Project is nationally owned and in line with national and local priorities. The Project design is also focused on improving the livelihoods of the rural poor in Maharashtra, in line with national priorities. Finally, the Project includes specific activities to implement the CBD in India, through its support to the State Biodiversity Management Board and to the establishment and operations of biodiversity management committees in over 50 villages.

Impacts on Gender Mainstreaming and Women's Empowerment

150. The Project has no specific objective or targets related to gender mainstreaming and women's empowerment. However, in recent years, GEF has taken an increasingly strong stance on these issues, and hence this MTR briefly looked into this matter.

151. The MTR found sufficient evidence to determine that the Project is sensitive to these issues, that it aims to support livelihood and conservation activities that are highly accessible to women, and that in all the activities that it supports it takes measures to involve women to the extent possible. As a result, there have been some women beneficiaries, for example in crab farming and oyster farming. However (see Table 10), the overall number of women beneficiaries remains very low, at under 10% at the community level.

152. Moreover, there is no evidence of a *systematic* approach to gender mainstreaming or women's empowerment. This would involve more than ensuring that a high proportion of the beneficiaries are women. It would involve analyzing the gender situation and identifying opportunities for gender

mainstreaming. It could then involve modifying existing activities, or adding new activities, in order to generate gender mainstreaming or women's empowerment as a secondary product. For example, it is understood that gender-based violence is an issue in the Project area, the Project could ensure that raising awareness and understanding on this be an integral part of all dialogue. It is notable that major Outputs (e.g. the 136 local micro plans, the Sustainable Fisheries Plan) do not address gender as a separate issue.

3.4 Likelihood of Sustainability of Project Impacts.

153. Sustainability is considered at two levels: the community or site level and the coast-wide level. At the community level, sustainability means that the technologies and practices introduced to the communities by the Project continue to be used and to generate benefits – in terms of either conservation and/or livelihoods - ***after*** the Project. At the coast-wide level, sustainability means that the coast wide and sectoral initiatives supported by the Project in terms of policy, institutions, legislation, planning and programmes are maintained or expanded after the Project ends. As the Project supports piloting and demonstration, *replication* also has to be considered – i.e. what are the chances that the technologies and practices introduced will be replicated at other sites across the country. Replicability links community level to the coast-wide level, and ultimately to the national level – as national policy, institutions, legislation and initiatives can be forces for replication.

Community or Site Level Sustainability

154. The Project has introduced many technologies and practices at the site level: turtle hatchery protection; reduction of plastic bag use; addressing stranded cetaceans; improved snorkeling services; improved 'Homestays'; crab farming; oyster farming; system of rice intensification; vermicompost; use of square mesh nets; etc, etc. The sustainability of each one of these has to be considered individually (Table 11).

Technology or practice	**Site level sustainability considerations (Note: here we discuss continuance at the site, not replication to other sites)**	
	Positive	**Negative**
Turtle hatchery protection	The practice was initially started by local communities who have the social and governance skills to continue. The project introduced low cost improvements that can be maintained. Even school children are sensitized for turtle conservation.	
Reduction of plastic bag use	This practice is supported by many in the local communities who have the social and governance skills to continue. It is low cost so there are no financial risks.	Government institutional support may be needed to maintain pressure on tourists.
Addressing stranded cetaceans	This practice is supported by many in the local communities who have the social and governance skills to continue.	Costs may be high, so Government support may be necessary over the medium-term.
Improved snorkeling services	This practice should lead to increased revenue from tourism and so should be sustainable.	A continued, but small-scale, 'technical' support from the Project may still be needed.

Improved 'Homestays'	This practice should lead to increased revenue from tourism and so should be sustainable.	A continued, but small-scale, 'technical' support from the Project may still be needed.
Crab farming	If the initial technological constraints can be overcome, this practice should lead to increased revenue for communities and should be sustainable.	It is noted that most (6 out of 7) groups involved in the first phase did not continue in the second phase – the reasons for this are not clear but it places a question mark on sustainability. Government technological support or market support (e.g. a new hatchery) is probably needed, but not confirmed. Likewise for government support to value addition. There may also be a need to help getting permits and access to land.
Oyster farming	Once initial technological constraints are overcome, this practice should lead to increased revenue for communities and should be sustainable.	Government technological support or support to value addition (e.g. the Depuration Unit) may still be needed. There may be a need to help getting permits and access to land.
System of rice intensification	This practice has already demonstrated increased revenue for communities and other benefits and so should be sustainable. Further, it should replicate with little support and the Agriculture Department seems to support it.	
Vermicompost	This practice has already demonstrated increased revenue and other benefits, although small-scale, to communities and so should be sustainable.	
Use of square mesh fish nets	This practice has already demonstrated many benefits to communities and so should be sustainable. It is very popular.	

Table 11: Considering sustainability of technologies introduced at site level

155. As can be seen from Table 11, for most practices introduced at the sites, there is good reason to believe they are either already sustainable or will reach sustainability. Some introduced technologies, such as improved 'homestays' and oyster farming, do still need some support to reach a sustainable level. In particular, attention needs paying to the crab farming.

Coast-Wide Level Sustainability

156. Coast wide sustainability, whereby an effort to support and maintain biodiversity conservation is upheld across Sindhudurg, is currently a more distant prospect than site level sustainability.

157. Coast wide sustainability requires a long-term, coast-wide vision. And it requires coast-wide stakeholders supportive of the vision and willing to invest the necessary resources. And it requires coast-wide institutions that are able to operationalize, on a daily basis, the steps towards the vision. The Project has already established some bits of these requirements, e.g. there is high level support in State level government agencies and the District government have expressed a willingness to support the Project. The Project is supporting developments towards other components: notably the local stakeholder Cross-Sectoral Committee and the Coastal and Marine Biodiversity

Conservation Foundation. However, all the tools and mechanisms required for this coast-wide sustainability are not yet present.

158. It is noted that the Landscape Level Project management unit currently includes around 10 staff financed by the Project. The Project is also continuing to finance many sub-projects, thereby maintaining partnerships with and across government agencies, NGOs, expert institutes. Without Project support, under the present circumstances, these factors would not be able to continue, and the momentum and progress from the Project could be lost.

159. One special word with regards to tourism. The area has a healthy and growing number of tourists. Tourism can take two very different paths. At one extreme, tourism can adopt a 'mining' approach, where short-term profits dominate and tourism revenue comes at the cost of rapid damage to cultural and ecological heritage. At the other extreme, tourism can be a major force for conserving cultural and ecological resources, as these become central to the tourist attraction, and the long term benefits of their preservation are allowed to dominate over short term pressures to *mine* the resources. In this extreme, tourism becomes a powerful force in favour of both biodiversity conservation and sustainable fishing.

160. One special word of caution is required regarding fisheries. The Project has introduced technologies that can be sustainably adopted by *individual* fishermen. However, fishing, generally, appears to be on an unsustainable trajectory in Sindhudurg, and this also threatens biodiversity. The concerned threats and factors go beyond the Project intervention area and are large and manifold. The development of sustainable fishing will require a bigger push from both State and National stakeholders.

Data Sustainability

161. The Project has generated a good deal of data that is of interest to scientists and to conservationists. This relates to mangrove status and cover, coral reef status and cover, cetacean population and demographics, bird populations and distributions, turtle nesting sites and practices. This takes forward considerably the knowledge and understanding of the coast. It is not clear at this stage where the best place is to house this data in order to ensure its long term storage and so that it will be appropriately accessible to the public, to scientific organizations and to all government organizations – possibilities include the MoEFCC or Mangrove Cell websites, or with the Foundation.

Environmental Risks

162. There are possible environmental risks at community level, albeit not considered to be major. One risk is the potential environmental pollution associated with crab farming. he environmental risks are considered low, however, there is no protocol for performing an EIA on crab farms available in India currently, and the Project is working on this.

3.5 Summary of Progress towards Project Results

Key Finding 9 The Project has made good progress towards Outcome 3 and to mainstreaming biodiversity into production (fishing and tourism and livelihoods) at the site level.

Key Finding 10: The project has changed the nature of the dialogue between conservationists and local communities from one of conflict to a constructive one.

Key Finding 11: Early progress was slow in many ways and the Project fell behind schedule. Progress towards Outcomes 1 and 2 has been limited. There is only limited evidence of mainstreaming biodiversity into production at the sector level (fishing and tourism and livelihoods).

Key Finding 12: If "now" is considered to be the Project mid-stage, progress towards the overall objective is considered satisfactory and there are already tangible impacts. However, the Project is some way from reaching its final objective.

Key Finding 13: There are reasons to be optimistic about sustainability, especially at site level, but it is not assured. This is especially true at the coast-wide or sectoral level.

163. The Ratings of success for the Objective, Outcomes, Implementation and Sustainability are provided in Table 12. Table 13 provides the 'progress towards results matrix' using the traffic light system.

Measure	MTR Rating	Achievement Description
Progress towards results	Objective: **Satisfactory** or '5'	During the first year very few activities were possible, as the priority was to establish a dialogue with local communities regarding conservation. This was an unexpectedly lengthy process. However, since late 2013, progress has been 'so far, so good'. A very good basis has been set and good opportunities created to reach the Objective. Of course there are challenges ahead, some key things need continued support and other things have not started. These will take time.
	Outcome 1: **Satisfactory** or '5'	A Basis has been set for achieving the Outcome (e.g. through the cross-sectoral committee, progress towards the State Foundation; progress on amending the Wildlife Act, research and data collection).
	Outcome 2: **Satisfactory** or '5'	A Basis has been set for achieving the Outcome. For fisheries and tourism sector, there has been good progress with site level mainstreaming and demonstration. However, so far, progress is less at the sector or coast-wide level. The MMS strengthening is on hold due to opposition from the local communities – although attitudes have changed and opposition has been considerably softened.
	Outcome 3: '**Highly Satisfactory** or '6'	This has been the main focus of the Project energy and Project activities. There has been a very high level of achievements across the three coastal Talukas. This has provided a technical basis, a network, a trust and an understanding. These activities have also generated a range of partnerships. They also provide a basis for further achievement under Outcomes 1 and 2. They have kept a strong biodiversity focus.
Project Implementation and Adaptive Management	**Satisfactory** or '5'	To some extent the first year was 'lost', as the project team initially focused on establishing a basis for dialogue with local community. Subsequently, planning, partnership building, management and monitoring have all been satisfactory.

Sustainability	**Moderate risks to achieving sustainability**: '3'.	At the mid-term progress is acceptable. Necessary steps need to be taken at sector level and in institutional terms to ensure sustainability at both site and coast-wide levels.

Table 12: Rating the success of the project components[25]

Strategy	Output (Indicator)	Baseline	MTR Assessment (traffic light)	Rating and justification[26]
Outcome 1	1.1 Landscape level zoning plan	No plan	* *	Satisfactory or '5'
	1.2 Cross-sectoral stakeholder consultation committee	No plan		
	1.3 Recommendations for strengthening fisheries legislation and conservation sector legislation to better incorporate coastal and marine biodiversity conservation considerations	Legislation needed strengthening.		
Outcome 2	2.1 Implementation of sustainable fisheries management based on an ecosystem approach	There was little State level operational management, and high prevalence of traditional practices.		Satisfactory or '5'
	2.2 Implementation of sustainable tourism that mainstreams biodiversity considerations	There was a low level of tourism, with few impacts on biodiversity, but it was growing rapidly.		
	2.3 Strengthened management effectiveness of the Malvan Marine Sanctuary	There was a low level of MMS management effectiveness due to opposition from communities.		
Outcome 3	3.1 Support for traditional fishing practices and capacity building for conservation management	Traditional (including Rampani) fishing was common in the area.		Highly Satisfactory or '6'
	3.2 Implementation of livelihood diversification strategy and related socio-economic interventions based on market and community needs	Most local community had poorly diversified economic activities with low levels of integration into national economy.		

Table 13: Ratings matrix using traffic light system

*** For the landscape level zoning plan, a lot of the work done under the other Outputs will contribute to this, but the formal process to prepare the Plan has not started.**

[25] Note, to some extent, these ratings depend on whether the Project is considered to have been 50% or 80% implemented. This table assumes that the project is 50% implemented, which is consistent with expenditure. However, in terms of time, implementation is approximately 80% complete – in such terms more progress would be expected, and lower ratings provided.
[26] See Table 12 for the rating justification.

4. CONCLUSIONS, LESSONS LEARNT FOR REPLICATION AND RECOMMENDATIONS

4.1 Conclusions

164. GEF support to this Project is well justified. The Sindhudurg coast and marine area contains some of the most significant coastal and marine biodiversity in India, with rich species diversity and diverse habitats and ecosystems. Despite previous efforts, including the establishment of a protected area, the biodiversity is under threat, notably due to unsustainable fishing practices and to potential developments in the tourism sectors.

165. In response, the Government and UNDP set about developing a project to support the mainstreaming of biodiversity conservation into the production sectors. The Project development process was largely adequate. As far as can be ascertained, good data was collected, the problem analysis was adequate and all stakeholder groups participated at some stage. The two main weaknesses in the Project development process were: (i) it was rather lengthy (as is typical for GEF projects). This can make it challenging to continuously involve all stakeholders at all stages, and there is some evidence to suggest that the final stages were too driven at the national level; and (ii) it failed to fully account for the strong local opposition to the MMS and to conservation.

166. The resulting Project document was adequate for approving and starting implementation of the Project. It included a good description of the context, a reasonable analysis of the problem, a very thorough stakeholder analysis and an overall strategy that made sense. It clearly established both the rationale for GEF support and the national ownership of the Project. As with all Project documents, it did have some gaps and weaknesses, of which the two most important were: (i) it under-estimated or overlooked the strong local opposition to the MMS and the resulting opposition to conservation and to the Project. The reasons for this underestimation are unclear, possibly the Project proponents feared that Government or GEF approval would not have been possible if this opposition was explicit in the document; and (ii) the logical framework is confusing and inadequate at its lower levels – the outputs and the indicators.

167. Following start-up, the Project has been implemented through a multi-level (national, State and local) framework involving government departments, project management units and technical partners. Although complex on paper, the management structure appears to have functioned well.

168. The initial periods of the Project were difficult as the opposition of local people became more evident. During almost two years, the focus was on operationalizing the Project implementation framework, redefining a Project strategy and establishing a dialogue with the community. Although lengthy, this was ultimately successful, and subsequently the level of activities and of delivery appear high. There are high levels of support, enthusiasm and a broad participation.

169. This change of strategy was one good example of adaptive management in the Project. Adaptive management has also been strong at the activity level. The Project planning responds to needs and opportunities generated at the site. As a result, the Project has been driven by ground realities yet it has maintained an overall focus on biodiversity conservation and on the Sindhudurg coast.

170. However, the change of strategy has not been formalized in the Project management documents. Hence, the strategy and logical framework provided by the Project document are not the best structure for Project implementation and are not used in many aspects of Project management. Further, the Project document's indicator framework and indicators are not

appropriate or useful in practice. These factors have created additional work and challenges for the Project implementation team.

171. Normally, these issues should have been resolved during the Project inception period and workshop. However, Project 'inception' did not take place as planned. There was no formal process of reviewing the Project strategy, framework, indicators, partnership arrangements and making the necessary changes.

172. Starting soon after the Project start-up, the Project enjoyed good and effective support from the State Government, particularly the newly established Mangrove Cell. The Project has quite a large technical team by UNDP/GEF standards that is high quality. Planning, management, control and reporting have all been adequate, including of financial issues. It is noted that the many steps required to process financial advances and payments have created a great workload for the PMU, although they have not led to significant delays.

173. A key aspect of the Project has been the creation of a large number of diverse partnerships with quality partners, and indeed new connections *amongst* many of these partners. Many technical institutes have undertaken good work under the Project. Many local people have been involved in the Project activities and are aware of the Project and its aims. Some partnerships with government departments have also developed, although not yet enough to fully achieve the Project objective.

174. The Project has made very good progress towards Outcome 3 and to mainstreaming biodiversity into production (fishing and tourism and livelihoods) at the *site* level. This mainstreaming has been demonstrated and piloted in many ways at many sites. The Project has also collected an important quantity of data, contributing to an increased understanding of the biodiversity and of how to protect it. The Project has also successfully implemented many concrete conservation activities.

175. The slow progress in the 18 months after signature meant that in many ways the Project fell behind schedule. Also, given the change in strategy, progress towards both Outcome 1 and Outcome 2 is still somewhat limited. There has been only limited progress towards mainstreaming biodiversity into production at the *sectoral* or institutional level (i.e. into fishing and tourism and community livelihoods). And, there has been only limited progress towards establishing cross-sectoral planning framework for mainstreaming biodiversity conservation. There has been very little progress on strengthening the MMS.

176. As this MTR considers the Project to be at its mid-stage, overall progress is considered satisfactory with tangible impacts. However, the Project is still some way from reaching its final objective.

177. A main achievement of the Project has been to change the nature of the dialogue between conservationists and local communities from one of conflict to a constructive one. Large parts of the local population are reportedly knowledgeable about the Project and broadly support its conservation objectives, although resistance to the actual MMS still lingers.

178. Included in reaching the final objective is the need to achieve acceptable levels of sustainability – both at the site level and coast-wide or at the sectoral level. At the site level, although understandably not yet fully sustainable, there are good reasons to believe that many of the practices introduced at the sites can become sustainable. At the coast-wide level, much less of the necessary ground work for sustainability has been undertaken, although there is still enough time and resources to achieve this. It should be noted that the Project is unlikely to be a game-changer for the overall fisheries sector as this sector faces major challenges beyond the Project scope.

179. The Government of India has substantial funds and resources for biodiversity conservation and local development. However, its structure and procedures means that it cannot always easily test and develop innovative approaches, practices and technology for these goals. Many in government feel that UNDP funds can be used to do just that – and this Project has the potential to be a good example of that.

4.2 Best Practices and Lessons Learnt

180. The Project is at the mid-stage and in some ways it is premature to discuss lessons learnt and best practices. Until present, the following can be stated.

181. One best practice has been **the transformation of the interaction between conservationists and local communities from one of conflict to a constructive one**. This was partly achieved through the thorough and persistent hard work of the Project team on the ground. This hard work has created a community presence for conservationists, a mutual understanding and a channel for communication. Another factor in achieving this transformation was the wise use of Project funds to support a large number of small, responsive, community-centered and well-designed sub-projects. Also, it is noted that the Project implemented grass-roots action *before* significant planning and training – contrary to the strategy set out in the Project document.

182. A second best practice has been the **consistent mobilisation of competent and motivated experts and technical partners.** The factors behind this are not fully clear, but it may be a combination of the good attention provided by the Mangrove Cell and the thorough work of the members of the EC in designing activities and identifying partners.

183. One lesson learnt is that **community opposition to a Project goal, or to conservation in general, should not be under-estimated or over-looked**. In fact, in this case, this opposition was probably *the most important barrier* to achieving conservation, and should have been central to the Project design (as indeed it was central to Project activities).

184. A second lesson, although not for the first time, is that **the inception period/workshop is a critical, necessary step in UNDP/GEF Projects**. The lengthy project approval and appraisal process mean that the project strategy, indicators, stakeholders and partners need to be reviewed and updated and communicated soon after project start-up in an inception period.

4.3 Recommendations

Strategic and Design

185. No. 1. To NSPC and SPSC. A good basis has been established for achieving the Project objective. Until now, most of the successes have been at the site level. Taken together, they are not yet sufficient to create the critical mass necessary to achieve the Project objective. Also, they are distributed across the landscape and are not necessarily connected. T**he MTR recommends that the Project should now focus on developing the land-scape wide aspects of the Project.** This should link together all the site level successes and provide a needed platform for coast wide sustainability. In terms of the Project document, this means moving the focus to Outcomes 1 and 2, of course without stopping support to those Outcome 3 community oriented activities that still require support. This will specifically mean the following:

- Invest resources in operationalizing the Foundation in an appropriate way and ensuring it can quickly focus on the Sindhudurg coast (see more detail under recommendation no. 4 below);
- Invest resources in operationalizing the local Cross-Sectoral Committee, with local drive and ownership (see more detail under recommendation no. 5 below);

- Invest resources in the landscape wide plan (see more detail under recommendation no. 6 below);
- Develop a more astute and targeted approach to tourism (see more detail under recommendation no. 7 below);
- Continue to invest resources in communicating with and influencing fishery sector actors; and,
- Keep the support necessary to the ongoing site level initiatives, whilst progressively reducing involvement.

186. No. 2. To MoEF&CC and UNDP. GEF funds currently support approximately 10 full-time staff in the PMU and finance the involvement of many technical partners through the sub-projects. This is not sustainable: as such, these inputs can not continue without GEF support. **The MTR recommends the preparation of an exit strategy to progressively lessen the dependence on GEF funds of the PMU and the implementing partners.** This could possibly be achieved by progressively handing these functions over to another party (e.g. the Foundation).

187. No. 3. To NSPC and SPSC. The Project Logical Framework has not been used extensively as a management tool and, in particular, the 'indicators' have caused problems to the Project team. The MTR found that these 'indicators' are in fact either (i) outputs or (ii) insufficiently SMART to be used as a management tool. **The MTR recommends that the indicators framework be substantively revised.** One possibility would be to (i) drop all the existing indicators except the first four and (ii) identify two new indicators for each of the three Outcomes (i.e. six new ones, making a grand total of ten) that truly indicate holistic progress to the concerned Outcome. For these six new indicators, the Project could establish a baseline and end of Project target.

Activity Level

188. No. 4. To SPSC. The Project has made good progress towards establishing the Foundation and this Foundation may in the future sustainably oversee the mainstreaming of biodiversity conservation into production sectors along the Sindhudurg coast. In India, a foundation is an established approach that has been successful at other sites. Yet, the current proposed rules for the Foundation leave it strongly under the influence of the Forest Department. Moreover, the proposed membership of the Foundation's Board of Governors is entirely Governmental, predominantly from the Forest sector. This may be suitable to a biodiversity 'protection' approach, but not for the 'mainstreaming' approach that is chosen for Sindhudurg. **The MTR recommends that the Foundation rules and membership be reviewed,** with the possibility of giving more responsibility to actors in the fishery, tourism and agriculture sectors, and ensuring an adequate participation for non-governmental civil society and technical institutes.

189. No. 5. To Mangrove Cell and PMU. The Project has already established the local cross-sectoral Stakeholder Committee and supported initial operations. The next step, although challenging, is to fully handover the energy and ownership of this Committee to local stakeholders, whist ensuring it remains both active and committed to biodiversity conservation. **The MTR recommends that handing over ownership of the local cross-sectoral Stakeholder Committee to local stakeholders be a clear focus for Project support in the coming period.** Possible actions may include: establishing a focal point in the District Government; funding local stakeholders to develop a three-year plan for the Committee (this should be a low level, informal process), and; giving the Committee specific tasks (e.g. overseeing some of the Project activities/outputs). This will lessen the Project's control over the Committee and over the concerned Project activities/outputs, but it will help ensure they are anchored, and so realistic and sustainable.

190. No.6. To SPSC. The Landscape-level Zoning Plan (Output 1.1) is an essential tool for developing a cohesive landscape approach, for connecting all existing activities, for developing a shared vision of development of the Sindhudurg coastal area, and for creating a management platform. The Project has, with reason, hesitated on this Output. **The MTR recommends that the following possible approaches to Output 1.1 be considered:** (i) preparing an integrated coastal zone management plan (encompassing also marine issues) using standard ICZM approaches and expertise; or (ii) using a methodology similar to that developed in the GEF International Waters Focal Area for the preparation of TDA-SAPs. This would lead to a strategic action plan through both a political and scientific process, with a vision, targets and activities. **In all events, the MTR recommends that Output 1.1 meets all the following criteria/principles:**

- It includes a vision, and this leads to a delineation of clear zones with clear functions, and it clarifies the process for implementing the zones that includes regulatory measures;
- It is founded on all the results and data and suggestions from the many studies already undertaken in the Project. The results of previous project activities provide great data and analysis and stakeholders, all of which should be combined and contribute to the Output 1.1;
- It is under strong local ownership from the outset, driven at the district level, and is linked to financial resources (e.g. in the district budget or through the Foundation); and,
- It includes a clear implementation mechanism – defining who is responsible for decision-making, monitoring, implementing activities and reaching targets.

191. No. 7. To Mangrove Cell and PMU. The Project has a great deal of expertise and experience related to community communication, conservation, marine ecology, mangroves, fisheries, and even rice growing. This expertise is in the PMU and/or with the implementing partners. However, the Project does not have significant expertise and experience related to tourism. Tourism is a globally important economic sector. Home-stays and community-based tourism are only a small part of the tourism sector. Mainstreaming biodiversity into tourism will require a thorough knowledge and understanding of the entire sector, and this knowledge should lie within the Project. **The MTR recommends that the Project acquire experience and expertise in the tourism sector**. This would be to develop a fuller understanding of tourism, to create operational partnerships with tourism stakeholders, and to develop realistic activities for mainstreaming biodiversity into the tourism sector. This experience and expertise could be in the form of a part-time consultant or a performance-based sub-contract with an institute/organization. It is important that this expertise comes from the tourism sector, not from conservationists interested in eco-tourism.

192. No 8. To UNDP. Transplanting coral and creating artificial reefs is an experimental and demonstrative activity and will face challenges as such. In addition, it is understood that the technical partner responsible for these activities is facing additional challenges to obtaining permits for the selected sites. It is understood that it would be easier to obtain permits inside the MMS. In order to expedite these demonstrative activities, t**he MTR recommends undertaking the coral transplanting/artificial reef creation at appropriate sites both inside and outside the MMS.**

193. No 9. To Mangrove Cell and PMU. Despite all the data and information collected under the Project, there is still no document cohesively presenting the biodiversity of Sindhudurg and its global significance, nor clearly assessing and prioritizing the threats to biodiversity. This information is necessary for decision-makers. T**he MTR recommends that a short document summarizing the biodiversity and its value (in global terms) be prepared, and a ranking exercise be undertaken to rank the threats.** The methodology for the ranking could similar to that developed in the GEF International Waters Focal Area for the preparation of TDA-SAPs.

194. No. 10. To UNDP and PMU. One of the Project's 'best practices' has been 'the transformation of the interaction between conservationists and local communities from one of conflict to a constructive one'. This successful process has not been well documented. Moreover, there is no indicator of success for this. **The MTR recommends (i) preparing a document that captures this best practice, covering all stages from the PIF onwards and all the challenges encountered and (ii) public attitudes to conservation and to the MMS be used as an indicator of progress.** For example, a professionally designed annual survey of public opinion on conservation and the MMS in Sindhudurg could be undertaken.

195. No. 11. To UNDP and Mangrove Cell. The Project is committed to contributing to women's empowerment and improving women's livelihoods in the Project. Yet, there is no evidence of a *systematic* approach to gender mainstreaming or women's empowerment, and opportunities may have been missed. Moreover, impacts on the ground in terms of the number of female beneficiaries are not yet sufficient. **The MTR recommends that the Project *consider* providing the PMU with a one-day workshop on gender**, with an experienced facilitator. The workshop output would be specific approaches for the Project to adopt to mainstream gender, without weakening the Project's main objective or increasing PMU workload. Efforts to reach women beneficiaries on the ground must also be consolidated.

And

196. No. 12. To NPSC and UNDP. The MTR found that the Project suffered early delays and subsequently is somewhat behind schedule. Notwithstanding, the MTR found that the Project has since become very successful in many ways. The MTR takes "August 2015" to be the Project mid-point and so considers it successful. However, due to those previous delays, the MTR considers there is very little likelihood of the Project achieving sustainability by the official end-date (October 2016). Hence, **an extension is recommended.** However, the MTR is aware that many GEF projects are routinely extended and that this is a sloppy management practice. Hence **the MTR recommends the following**:

- A series of milestones be defined that will act as a trigger to approve the extension. Possible milestones include: (i) the Foundation being established with an operational budget allocated to the Sindhudurg Coast; (ii) the Landscape Plan (Output 1.1) being under preparation in line with the above recommendations; (iii) solid evidence of community support to a protected area along the Sindhudurg coast.
- The NPSC, in conjunction with UNDP/GEF, *six-months after the finalization of this report*, assesses whether these milestones have been reached. If, and only if, the milestones have been reached, they should approve an extension until March 2017. This equates to an extension of approximately 18 months, which is commensurate with the 18 months 'lost'' during the early delays;
- Under no circumstances should the Project be allowed to run until later than March 2017.

Annexes

Annex 1 – Terms of Reference

Can UNDP provide in Word Format?

Annex 2 – Evaluation Matrix

Key question[27]	Indicators/basic data/what to look for	Sources of information	Methodology	Responsibility[28]
Project Strategy, Design and Framework				
What is the problem addressed by the project and what are the underlying assumptions? Is it clear? Have any incorrect assumptions or changes to the context affected the project results as outlined in the project document?	Clear and coherent descriptions. Evidence of consultation.	Approval Documents; Decision Makers; SC members and minutes	Literature Review (LR); Interviews (I)	Dennis Fenton (DF); Vivek Saxena (VS).
Is the project relevant? Does the project strategy provide the most effective route towards expected/intended results? Were lessons from other relevant projects properly incorporated into the project design?	Alignment to national/stakeholder priorities. Clear and coherent descriptions. Evidence of lesson learning.	Context documents; Approval Documents; Decision Makers	LR, I.	DF, VS.
Does the project addresses country priorities? Is there country ownership? Is the project concept in line with the national sector development priorities and plans?	Alignment to national/stakeholder priorities. Evidence of engagement and commitment. Evidence of consultation.	Context documents; Approval Documents; Decision Makers	LR, I.	DF, VS.
What are the decision-making processes? Were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?	Evidence of clear, logical and consultative planning processes and decision-making in the project.	Stakeholders. Steering Committee (SC) members and minutes. Project management reports.	LR, I.	DF, VS.
To what extent were relevant gender issues raised in the project design	Evidence of women's involvement, and involvement of gender specialists.	Stakeholders. SC members and minutes. Reports.	LR, I.	DF, VS.
What are the recommendations for improvement?				

[27] Questions adapted from MTR Terms of Reference

[28] In this draft, DF and VS work on all aspects. Following internal discussions, there will be delegation.

Key question[27]	Indicators/basic data/what to look for	Sources of information	Methodology	Responsibility[28]
Is the project's log-frame, indicators and targets clear and logical? How "SMART" are the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound)?	Clear and logical framework, SMART indicators.	Approval and planning documents.	LR, backed up by I	DF, VS
Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?	Clear and logical and realistic project strategy and implementation framework.	Approval and planning documents.	LR, backed up by I	DF, VS
To what extent could present or future progress catalyse beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance etc...)? Should this be included in the project results framework and monitored on an annual basis?	Evidence of development benefits being generated and monitored.	Project reports. SC members or other stakeholders.	LR, I and site visits (SV).	DF, VS
Are broader development and gender aspects being monitored effectively?[29]	Evidence of development benefits being monitored.	Project reports. SC members or other stakeholders.	LR, I.	DF, VS.
Project Results				
What is progress of the log-frame indicators towards the end-of-project targets (use the Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects; colour code progress in a "traffic light system" based on the level of progress achieved; assign a rating on progress for each outcome; make recommendations from the areas marked as "High risk of not being achieved" (red)).	Use of project indicators (assuming they are 'SMART'). Evidence of actual 'impact'.	Project Management Unit (PMU) members, project reports, consultations. Project sites.	LR, I and SV	DF, VS
For successful aspects of the project, what are the ways in which the project can further expand these benefits?	N/A	PMU, SC members and other stakeholders	I, FG discussions	DF, VS
Project Implementation and Adaptive Management				

[29]Note the TOR suggest that the MTR "develop and recommend SMART 'development' indicators, including sex-disaggregated indicators and indicators that capture development benefits". This may be beyond the resources of the MTR.

Key question[27]	Indicators/basic data/what to look for	Sources of information	Methodology	Responsibility[28]
Overall, is the project management effective? Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner?	Evidence of clear, fair decision-making processes and results. Evidence of participation from stakeholders and co-financiers.	Project plans, project reports, project financial reports, minutes of meetings. Stakeholders and co-financiers	LR, I, SV.	DF, VS
How is the quality of execution of the project Implementing Partners?	Evidence of transparency and commitment and quality and timeliness of support. Satisfaction levels.	Project reports. SC/PMU minutes. Stakeholders.	LR, I, SV.	DF, VS
How is the quality of support provided by UNDP?	Evidence of transparency and commitment and quality and timeliness of support. Satisfaction levels.	Project reports. SC/PMU minutes. Stakeholders.	LR, I.	DF, VS
Have there been delays in project start-up and implementation? What are the causes and examine if they have been solved?	Evidence of meeting delivery and time targets.	Approval documents, planning documents, reports, SC/PMU members	LR and I.	DF, VS
Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results.	Evidence that monitoring is actively and effectively supporting project planning and decision-making, with appropriate role of all stakeholders.	Project reports, workplans and SC minutes.	LR and I.	DF, VS
Examine the use of the project's results framework/ logframe as a management tool and review any changes made to it since project start.	Evidence that monitoring is actively and effectively supporting project planning and decision-making, with appropriate role of all stakeholders.	Project reports, workplans and SC minutes.	LR and I.	DF, VS
How is the financial management of the project, with specific reference to the cost-effectiveness of interventions?	Evidence of clear, transparent reporting. Evidence of cost effective processes and purchases.	Financial reports. Project reports. PMU records.	LR, backed up by I	DF, VS
Have there been changes to fund allocations as a result of budget revisions? How were these decided? Have they been appropriate and relevant?	Evidence of reallocation based on clear, logical transparent decision processes.	Project reports, budgets, SC minutes,	LR, backed up by I	DF, VS

Key question[27]	Indicators/basic data/what to look for	Sources of information	Methodology	Responsibility[28]
Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allowed for timely flow of funds?	Evidence of effective financial controls and management.	Project reports. Financial reports. PMU records.	LR, backed up by I	DF, VS
(**Project management to provide a completed co-financing monitoring table**) Is the co-financing mobilized efficiently? Is co-financing being used strategically to help the objectives of the project? Are project teams meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?	Evidence that co-financing is in line with approval documents. Evidence of monitoring of co-financing. Evidence of co-financers involvement/engagement in project.	Co-financing report. Project reports. SC/PMU members	LR, I.	DF, VS PMU to prepare co-financing report prior to mission.
Project monitoring tools: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive?	Evidence that monitoring is actively and effectively supporting project planning and decision-making.	Planning documents, SC minutes, Project reports. SC/PMU members	LR, I.	DF, VS
Financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?	Evidence of active and effective financial management.	Project reports. Financial Reports. UNDP. PMU members	LR, I.	DF, VS
Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?	Evidence of effective partnerships	Project reports, PMU members	LR, I.	DF, VS
Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?	Evidence of effective government support, partnerships and engagement.	Project reports, PMU members	LR, I.	DF, VS

Key question[27]	Indicators/basic data/what to look for	Sources of information	Methodology	Responsibility[28]
Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives	Evidence of effective public participation, consultation and appropriate and engagement.	Project reports, PMU members	LR, I, SV.	DF, VS
Have adaptive management changes been reported by the project management and shared with the Project Board?	Evidence that monitoring is actively and effectively supporting project planning and decision-making, with appropriate role of all stakeholders.	SC minutes, Project reports. SCPTC/PMU members	LR, I.	DF, VS
Assess how well the Project Team and partners undertake and fulfil GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs, if applicable?)	PIR reports.	PMU. PIR Reports	LR, I.	DF, VS
Have any lessons derived from the adaptive management process been documented and shared with key partners and internalized by partners?	Evidence of this happening	SC minutes, Project reports. SC/PMU members	LR, I.	DF, VS
Internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and long-term investment in the sustainability of project results?	Evidence of internal communication and of it being strategic, effective and efficient.	Project reports. Project stakeholders. SC/PMU members	LR, I, SV.	DF, VS
External project communication: Are proper means of communication established or being established to express to the public the project progress and intended impact (is there a project website or a weekly e-bulletin, for example)? Did the project implement appropriate outreach and public awareness campaigns?)	Evidence of external communication and of it being strategic, effective and efficient.	Project outputs, projects materials and media, project reports.	LR, I, SV.	DF, VS
Long-term Sustainability				

Key question[27]	Indicators/basic data/what to look for	Sources of information	Methodology	Responsibility[28]
Are the risks identified in the Project Document, APR/PIRs and the ATLAS Risk Management Module the most important and are the risk ratings applied appropriate and up to date? (Give particular attention to critical risks).	Usefulness of risk analysis and associated tools.	Project approval documents and reports.	LR, backed by I	DF, VS
*Financial Sustainability:*What is the likelihood of financial and economic resources not being available once the GEF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?	Evidence that an assessment of options has been undertaken/is planned, and that a complete and realistic upscaling or exit strategy exists or is being prepared.	Project reports. SC minutes. SC/PMU members. Potential financers of upscaling.	I, backed by LR.	DF, VS
*Socio-political Sustainability:*Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project? Are the lessons learned are being documented by the project team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?	Evidence that socio-political risks to sustainability have been assessed and any mitigation measures taken.	Project reports. SC minutes. SC/PMU members.	LR, I.	DF, VS.
*Institutional and Governance Sustainability:*Do the legal frameworks, policies, governance structures and processes pose risks that may	Evidence that institutional/governance risks to sustainability have been assessed, that a full consultation process has taken place/is	Project reports. SC minutes. SC/PMU members.	LR, I, Focus Group (FG).	DF, VS

Key question[27]	Indicators/basic data/what to look for	Sources of information	Methodology	Responsibility[28]
jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/ mechanisms for accountability, transparency, and technical knowledge transfer are in place.	planned, that potential mitigation measures have been identified/are planned, and that a clear strategy for ensuring sustainability is in place/under preparation.	Senior decision-makers.		
*Environmental Sustainability:*Are there any environmental risks that may jeopardize sustenance of project outcomes? The MTR should assess whether	Evidence that any environmental risks to sustainability have been assessed and any mitigation measures taken.	Project reports. SC minutes. SC/PMU members.	LR, I.	DF, VS.

Annex 3 – Documents and Literature Reviewed

Project Management Documents

Project Identification Form (PIF) (2009)

Project Document (2011)

Memorandum to Re-Constitute the National Project Steering Committee (Government of India, May 2012)

Resolution to Constitute the State Project Steering Committee (Government of Maharashtra , July 2012)

Annual Workplans (2012, 2013, 2014, 2015)

State Project Steering Committee Minutes (August 2012, April 2013, November 2013, May 2014, August 2014, Feb. 2015)

National Project Steering Committee Minutes (May 2012, January 2014, June 2015)

Executive Committee Minute (9 meetings)

Project Inception Workshop Report (January 2014)

Project Progress Report, 2012 (March 2013)

Project Progress Report, 2013

Project Implementation Review, 2014

Project Implementation Review, 2015 (draft)

MTR Terms of Reference (2015)

Project Outputs

Date of publication	Name of the Document
July 2014, Sept 2014, November 2014, November 2014, April 2015, May 2015	6 QPR for BRJED project
14 February 2015	Clean Beach Campaign completion report
July 2014 June 2014	Dealing with marine mammal stranding in India Species Identification of marine mammals
2014	Proceedings of the international consultative workshop-Visakhapatnam
13 November 2014	Concept note on Crab Hatchery
13 October 2014	Culture Aangan tourism sector plan
2013	District Tourism plan
August 2014	Fisheries sector plan

July 2014	Guidelines for green rating of B & B units
4 May 2015	Interpretation centre
21 November 2014	Joint Patrolling by Fisheries and Forest Department Personnel
4 Feb 2015 (Phase I completion report) 15 May 2015 (Phase II)	Phase I and Phase II
10 May 2015	Kunkeshwar report
March 2015	Mangrove maps
28 February 2014	Angria Bank Expedition -Interim Report Documentary
19 November 2014	Report -The Indian Study Mission to Philippines
9 April 2015	Plastic free fort report
3 Dec 2013 (129 villages) and 23 April 2015 (6 villages)	PRA-RRA Reports
November 2013	Project Brochure
Final yet to come	Rampan Documentary Film
25 April 2015	Mussel and Oyster Survey
5 March 2015	RFP - Alternative Tourism Destination
January 2015	Sagarika
19 December 2013	Closure Report-Snorkeling Guide Training Program Nov 2013
9 March 2015 6 July 2015	Coral rehablitation and AR project - Deliverable - 1 and 2
3rd week March 2015 and 4th week June 2015	Mangrove Gene Bank
March 2015	Signboards
November 2013 4 June 2015	SRI Completion Report-Rabi 2014 Kharif 2014 and Rabi 2015
4 June 2015	Final Report on Beekeeping Apiculture Booklet
December 2014	3 QPRs on Sustainable Fishing Manual
2013	Turtle conservation progress reports Flyer, Banner
December 2014	WCCB report
July 9	Assessing the current status of coral reef ecosystem
November 2013	GOI UNDP GEF Project Film
February 2014	Mangrove field guide

Annex 4 – People Met

Government Stakeholders

1) Dr. S. S. Garbyal, Director General & Special Secretary Forests, Ministry of Environment, Forests & Climate Change (MoEF & CC)
2) Dr. S.K. Khanduri, Inspector General of Forests (WL), MoEF & CC
3) Mr. Praveen Pardeshi, Principal Secretary to Chief Minister, Government of Maharashtra
4) Mr. Vikas Kharge, Secretary (Forests), Government of Maharashtra
5) Mr. N. Vasudevan, Chief Conservator of Forests (Mangrove Cell) Government of Maharashtra
6) Mr. Virendra Tiwari, Chief Conservator of Forests, Mantralaya, Government of Maharashtra
7) Mr. M. B. Gaikwad, Commissioner of Fisheries, Government of Maharashtra
8) Mr. Anil Bhandari, District Collector, Sindhudurg
9) Mr. Ramdas Kokare, Chief Officer, Vengurla Municipal Council
10) Mr. Madhukar Shelke, Range Forest Officer, Malvan Mangrove Cell, Forest Dept.
11) Ms. Priti Wadekar, Sarpanch, Wada Gram Panchayat
12) Mr. Rajaji Sawant, Sarpanch, Hodawada Gram Panchayat
13) Ms. V Parab, Sarpanch, Shiroda Gram Panchayat
14) Mr. Mangesh Temkar, Sarpanch, Achara Gram Panchayat
15) Dr. Rahul Mungikar, Senior Research Consultant, Maharashtra State Biodiversity Board
16) Mr. Rane, Taluka Agriculture Assistant, Agriculture Dept.
17) Mr. Keluskar, Plantation Officer, Devgad Social Forestry, Sindhudurg Division
18) Mr. Sudhir Joshi, Social Worker
19) Mr. Laxman Tari, Social Worker

UNDP

1) Mr. Doley Tshering, Regional Technical Advisor - Ecosystems and Biodiversity, UNDP Bangkok
2) Ms. Alka Narang, focal point for Gender in UNDP, UNDP India
3) Ms. Lianchawii Chhakchhuak, Program Analyst, UNDP India
4) Mr. C. Sasi Kumar, Project Manager, UNDP India

Project Team

1) Dr. Subir Ghosh, Project Coordinator
2) Mr. Suhel Jamadar, Socio-Economic and Livelihood Specialist
3) Dr. Merwyn Fernandes, Conservation Biologist
4) Mr. Rohit Sawant, Project Management Specialist - Devgad
5) Ms. Daya Patki, Project Management Specialist - Malvan
6) Ms. Durga Thigale, Project Management Specialist - Vengurla
7) Ms. Rinky Rajdev, Project Management Specialist, Finance and Accounts
8) Ms. Suvarna Khandare, Finance and Administrative Assistant
9) Ms. Kshiti Gala, UN Volunteer (Administrative and Management Associate)
10) Ms. Sneha Pillai, UN Volunteer (Outreach and Monitoring Associate)

Technical Partners

1) Dr. P. K. Asokan (Principal Scientist) and Dr. Sakthivel (Scientist), Central Marine Fisheries Research Institute (CMFRI)
2) Dr. Edward Patterson, Director, Suganthi Devadason Marine Research Institute (SDMRI)
3) Dr. Deepak Apte, Chief Operating Officer, Bombay Natural History Society (BNHS)
4) Dr. B.S. Tripathi, Principal Scientist, Zoological Survey of India (ZSI)
5) Dr. Madhu V R, Senior Scientist, Fishing Technology Division, Central Institute of Fisheries Technology (CIFT)
6) Dr. Goldin Quadros, ENVIS Coordinator, Wetland Ecology Division Salim Ali Centre for Ornithology and Natural History (SACON)
7) Dr. Padma Kumar, Centre for Environment and Development (CED)
8) Dr. Anjali Parasnis (Deputy Director) and Mr. Yatish Lele (Research Associate), The Energy and Resources Institute (TERI)
9) Mr. Anil Kumar, Deputy Director, MPEDA
10) Dr. Purushottam Sai, Assistant Director, Aquaculture, Panvel, Navi-Mumbai, Marine Products Export Development Authority (MPEDA)
11) Dr. C Wilson Deputy Director, Panvel, Navi-Mumbai, MPEDA
12) Mr. Mihir Sule, Ms. Ketki Jog and Ms. Isha Bopardikar (Researchers), Konkan Cetacean Research Team (KCRT)
13) Dr. Sachin Tendulkar, Project Coordinator, Mayem Panlot Sangh on System of Rice Intensification
14) Dr. Mangesh Shirdhankar, Professor and Head, College of Fisheries (CoF), Ratnagiri
15) Dr. Ketan Chaudhari, CoF
16) Dr. Nitin Sawant, CoF
17) Dr. Ravi Pawar, CoF
18) Mr. S Patil, CoF
19) Mr. D Gholam, Officer, Agricultural Technology Management Agency (ATMA)
20) Mr. Abhay Bhide, Field Facilitator, Mayem Panlot Sangh
21) 8 Agriculture Students, Agricultural Technology Management Agency
22) Mr. Mayur Sarang Technical Officer, Vengurla, MPEDA
23) Mr. Umesh Parab Technical Officer, Devgad, MPEDA
24) Mr. Kedar Palav Technical Officer, Malvan, MPEDA

Local stakeholders/beneficiary groups

1) Mr. Sakharam Pednekar, Farmer, Chairman, Mayem Panlot Sangh
2) Mr. Laxman Naik, Farmer, SRI
3) Mr. Sachin Dalvi, Vermicompost Entrepreneur
4) Mr. S Gavade, Chairman, Vighnaharta Crab Farm, Shiroda
5) Mr. Ambre, Point Person, Turtle Conservation, Shiroda
6) Mr. Bhaskar Rawool, Chairman, Vengurla Crab Farm
7) Ms. Sneha Kerkar, Chairman, Sindhudurg Women Fish Workers Society
8) Mr. Ramesh Dhuri, Representative, National Fish Workers Forum
9) Mr. Meghnath Dhuri, Chairman, Fisheries Federation, Sindhudurg
10) Mr. Vasant Tandel, Chairman, Vengurla Fisheries Society
11) Mr. Gurunath Rane, Chairman, Kille Sindhudurg Prernotsav Samiti (Plastic Free Fort)
12) Mr. Hemant Walkar, Member, Kille Sindhudurg Prernotsav Samiti

13) Ms. Shweta Parab, Volunteer, Kille Sindhudurg Prenotsav Samiti
14) 21 Snorkeling Guides
15) Ms. Kasturi Dhoke, Chairman, Prasiddhi Self Help Group (SHG), Wadatar
16) Ms. Shreya Kadam,Taluka Manager, Mahila Arthik Vikas Mandal (MAVIM),Devgad
17) Ms. Smita Bhabal, Prerana SHG, Wadatar
18) Ms. Ujwala Koyande, Krushnai SHG, Kadhan
19) Ms. Pradnya Darves Vitthal, Rukmini SHG, Katta
20) Ms. Supriya Mestri, Charhateshwar SHG, Jamsande
21) Ms. Priyanka Tari, Dirbha SHG, Taramumbri
22) Ms. Anita Mayekar, Apteshwar SHG, Jamsande
23) Ms. Diksha Sarang, Jai Bagrang SHG, Jamsande
24) Ms. Nilam Wagh Omkar, SHG, Kawalewadi
25) Mr. Ajit Dhoke, Dolphin SHG, Wadatar
26) Ms. Neelam Pujare, Principal, Rameshwar High School
27) Mr. Kedar Sawant, In-charge Teacher Harit Sena, Rameshwar High School
28) Mr. Khot, In-charge Teacher, Harit Sena, Shantadurga High School
29) Ms. Asmita Acharekar, Member, Crab Farm Rameshwar SHG
30) Mr. Wadekar, Nursery care-taker, Mangrove Nursery, Jamdul
31) Mr. Chavan Owner, Ornamental Fish Farm, Kudal

Annex 5 – Summary of the Site Visits

Site visit 1 - Meeting with Farmers, Asoli & Hodavda

- Observed SRI in rice nursery and paddy field;
- Discussed with key SRI farmer;
- Held brief discussion with farmer group and agricultural students;
- Observed vermicomposting technology
- Overall impression: SRI is successful and popular. Likewise for vermicomposting.
- In addition: exchanged views on project and situation with two local Sarpanchs and discussed: Biodiversity Management Committee (BMC) constituted; Turtle conservation awareness and participation in conservation initiatives; and Enhanced awareness about beach cleaning and garbage management.

Site visit 2- Meeting with Vengurla Crab Group

- Observed initiatives for mud crab farming and community participation.
- Discussed with Self Help Group.(SHG consisits of 10 persons)
- Held brief discussion with SHG and observed mud crab farm.
- Overall impressions: Good potential for alternate and sustainable livelihoods. Mud crab farming also ensures mangrove conservation.

Site visit 3- Meeting with Chief Executive Officer and other officials , Vengurla Nagarparishad

- Observed and discussed implementation of ban on plastic carry bags.
- Discussed about proposed Integrated solid waste management project/plan.
- Brief discussion about awareness about conservation of marine ecosystem.
- Overall impression- there is effective community participation in adopting practices related to use of non plastic carry bags.

Site visit 4: Interaction with trawl owners regarding Square Mesh Net

- Interaction with local fishermen and fishermen association.
- Discussed problems/ issues of local fishermen.
- Overall impressions: fishermen are aware and concerned about declining fish catches and non enforcement of regulations in respect of high Horse power jetties by fishermen from other states, and fishermen willing to adopt bycatch / juvenile catch reduction devices e.g adoption of square mesh net for sustainable fishing.
- Note: Infrastructural improvement support for traditional fishermen required.

Site visit 5: Interaction with fishermen and women from Fisheries Societies

- Brief discussion with fishermen and women from Fishries Societies
- Discussed about role of women in fishing in Sindhudurg district.
- Enhanced women participation in community organizations as 30 % of the positions are reserved for women.
- Women are concerned that new projects should not hamper local people livelihoods.
- Overall impression- 50 % women are participating in fishing related activities, mainly in activities related to drying and selling.

Site visit 6: Meeting with Kille Sindhudurg Prenotsav Samiti (Plastic Free Fort) at LLPMU office

- Kille Sindhudurg Prenotsav Samiti introduced their organization and its aims

- Kille Sindhudurg Prenotsav Samiti had received small grant from project to demonstrate ensuring tourists leave no waste at the fort
- Kille Sindhudurg Prenotsav Samiti is a locally based organization, motivated with a clear objective that is complementy to the Project's objectives.
- Overall impression: this is a good partner for certain activities.

Site visit 7: Meeting with Snorkelling Guides at Sanskar Hall, Dhuriwada, Malvan

- Held discussions with trained Snorkelling guides and also with Trainer Mr. Sarang Kulkarni.
- Had briefing about capacity building as snorkeling guide and potential alternative sustainable livelihoods.
- Discussed about UNDP project/ Maharashtra Tourism Department support.
- Also visited Training centre for snorkeling/ scuba diving guides.
- Overall impressions: trained Young fishermen have undertaken alternate livelihood of snorkeling/ scuba diving guide, and a good future potential for youth esxists.

Site Visit 8: Meeting with Distrcit Collector Sindhudurg

- Discussed with District Collector Sindhudurg about support for mud crab hatchery, district Tourism plan, and other activities of the project.
- Noted the good potential for streamlining biodiversity conservation with fishing practices, tourism sector and livelihood opportunities;
- Overall impressions: District Government is very supportive of the initiatives under the project.

Site visit 9: Field visit to Mussel and Oyster program + Community based tourism site at Wadatar

- Discussed with Prasiddhi SHG(10 members) about Mussel and Oyster program.
- SHG also made presentation about activities/ operations undertaken.
- Observed the good potential for alternate livelihood/ enhanced income generating opportunities.
- Noted the way forward is: Capacity building and scaling up of Oyster culture across Sindhudurg Coastal and Marine Environment.(SCME)
- Noted: Support is needed for an Oyster depuration unit needed for scaling up and sustainablility.
- The region has good community based eco-tourism potential eg. Mangrove bird tourism etc. , Vadatar back water development plan, good support from men and locals
- Overall impressions: Perceptible women empowerment through undertaking such activity in organized manner.

Site visit 10: Visit to Vermi Compost Unit and interaction with Harit Sena students at Rameshwar Highschool Mithbav

- Observed Vermi compost unit set up by school children and interacted with children and teachers.
- Noted that the children are also aware about turtle conservation, plastic free bags, clean beach campaign etc. and importance of biodiversity conservation.
- Environment education through schools has good potential in ensuring biodiversity conservation.
- Overall impressions: Children are aware about organic farming and have also set up vermicompost units in their homesteads.

Site visit 11: Achara Crab Site Visit and Interaction with group

- Observed Achara Crab farming site and interacted with the farming group (Rameshwar SHG).
- Discussed key issues pertaining to crab farming.
- Noted that crab farming also ensures mangrove conservation.
- Support for setting up of mud crab hatchery is vital for scaling up and ensuring sustainability.

- Overall impression: Crab farming has good potential as an alternate livelihood and to enhance income opportunity.

Site visit 12: Visit to Mangrove Restoration Site Mithbav

- Observed Mangrove Restoration site at Mithav by Forest Department in an area of 17 ha.
- Overall impression: Good initiative for conservation, needs to be scaled up in other potential areas.

Site visit 13: Visit to Mangrove Nursery

- Observed Mangrove nursery raising site and transplanting technique in nursery.
- Overall impression: For scaling up, local farmers/SHG's also need to take up mangrove planting in supplementing conservation initiatives of Forest Department/ Mangrove cell.

Site visit 14: Visit to Ornamental Fish Unit, Kudal

- Observed Ornamental fish cultivation techniques.
- Discussed marketing and other issues.
- Overall impression: Ornamental fish cultivation has very good potential as a livelihood.
- Further capacity building is key to success.

Annex 6 –Mission Itinerary

Itinerary				
Date : 13th July to 24th July 2015				
Date	**To**	**From**	**Travel Plan**	**Mode of Travel**
7/13/2015	10.30am	4.30pm	Briefing session with Chief Conservation of Forests, Mangrove Cell and CEO Sindhudurg Project and LLPMU team	
7/14/2015	10.30am	11.00am	Presentation by Central Marine Fisheries Research Institute (CMFRI)on Capacity building of officials & local communities-Stranding & beaching of Cetaceans	Car
	11.00am	11.30am	Presentation by Suganthi Devadason Marine Research Institute (SDMRI) on Artificial reef and coral transplantation	
	11.30am	12.00pm	Presentation by Konkan Cetacean Research Team (KCRT) on Cetacean Population Studies	
	12.00pm	12.30pm	Presentation by Central Marine Fisheries Research Institute (CMFRI)on Mussel and Oyster Culture Potentials in Sindhudurg	
	12.30pm	1.30pm	Lunch	
	1.30pm	2.00pm	Presentation by Zoological Survey of India (ZSI)-Studies on Corals & Associated species	
	2.00pm	2.30pm	Presentation by Marine Products Export Development Authority (MPEDA) on Crab Farming	
	2.30pm	3.00pm	Presentation by Mayem Panlot Sangh on System of Rice Intensification	
	3.00pm	3.30pm	Presentation by Salim Ali Centre for Ornithology and Natural History (SACON)-Studies on Avifauna	
	Evening		Discussion with Chief Conservation of Forests, Mangrove Cell and CEO Sindhudurg Project	
7/15/2015	9.45am	10.30am	Pick up from Hotel and Drop at Mumbai Airport	Car

	11.45am	1.00pm	Travel from Mumbai to Goa	Air Indigo 6E416
	1.00pm	1.45pm	Lunch	Car
	1.45pm	3.45pm	Travel from Goa to Asoli	
	3.45pm	4.30pm	Meeting with Farmers	Car
	4.30pm	5.10pm	Travel from Asoli to Vengurla Crab Farm	
	5.10pm	5.50pm	Meeting with Vengurla Crab Group	
	5.50pm	6.00pm	Travel from Vengurla Vengurla Crab site to Vengurla Nagarparishad	
	6.00pm	6.45pm	Meeting Chief Officer, Vengurla Nagarparishad	
	6.45pm	9.15pm	Travel from Vengurla Nagarparishad to Hotel Blue Water Resort, Devbag	
7/16/2015	9.00am	9.30am	Travel from Hotel to Sanskar Hall, Dhuriwada, Malvan	Car
	9.40am	11.00am	Presentation by College of Fisheries (Cof) Ratnagiri and Central Institute of Fisheries Technology (CIFT)	
	11.00am	12.30pm	Interaction with trawl owners regarding Square Mesh Net	
	12.30pm	1.30pm	Lunch	
	1.30pm	2.30pm	Interaction with fishermen and women from Fisheries Societies	
	2.30pm	3.30pm	Meeting with Kille Sindhudurg Prenotsav Samiti (Plastic Free Fort) at LLPMU office	
	3.30pm	4.30pm	Meeting with Snorkelling Guides at Sanskar Hall, Dhuriwada, Malvan	
	4.30pm	5.10pm	Travel from Sanskar Hall to District Collector Office, Oras	
	5.30pm	6.15pm	Meeting with Distrcit Collector Sindhudurg	
	6.15pm	7.15pm	Travel from Oras to Blue Water Resort, Devbag	
7/17/2015	9.00am	10.30am	Travel from Hotel Blue water Resort Devbag to Wadatar	Car
	10.45am	12.30pm	Field visit to Mussel and Oyster program + Community based tourism site at Wadatar	
	12.45pm	1.00pm	Travel from Wadatar to Devgad	
	1.00pm	2.00pm	Lunch	
	2.00pm	2.40pm	Travel from Devgad to Mithbav	

	2.40pm	3.40pm	Visit to Vermi Compost Unit and interaction with Harit Sena students at Rameshwar Highschool Mithbav	
	3.40pm	4.20pm	Travel from Rameshwar Highschool to Mangrove Restoration Site Mithbav	
	4.20pm	4.50pm	Visit to Mangrove Restoration Site Mithbav	
	4.50pm	5.10pm	Travel from Mithbav to Achara Crab Site	
	5.10pm	5.45pm	Crab Site Visit and Interaction with group	
	5.45pm	5.50pm	Travel from Crab site to Mangrove Nursery, Jamdul	
	5.50pm	6.10pm	Visit to Mangrove Nursery	
	6.10pm	7.00pm	Travel from Mangrove Nursery to Blue Water Resort, Devbag	
7/18/2015	8.00am	8.10am	Travel from Hotel Blue Water Resort, Devbag to Indian Institute of Scuba Diving and Aquatic sports (IISDA)	Car
	8.10am	8.30am	Visit to Indian Institute of Scuba Diving and Aquatic sports (IISDA)	
	8.30am	8.45am	Travel from IISDA to LLPMU office	
	8.45am	10.30am	Interaction with LLPMU, Malvan	
	10.30am	11.10am	Travel from Malvan to Kudal	
	11.10am	12.15pm	Visit to Ornamental Fish Unit, Kudal	
	12.15pm	2.30pm	Travel from Kudal to Dabolim Airport, Goa	
	5.20pm	7.00pm	Travel from Goa to Mumbai	Indigo 6E 192 Dep 5.20pm
7/19/2015			Holiday	
7/20/2015	11.00am	12.00pm	Meeting with Fisheries Commissioner, Maharashtra State	Car

7/21/2015	09.30am	10.00am	Meeting with Center for Environment Development (CED)	
	11.00am	11.30am	Meeting with TERI	
	12.00pm	1.00pm	Meeting with Senior Research Consultant from Maharashtra State Biodiversity Board	
		Afternoon	Meeting with Secretary (Forests), Maharashtra Forest Department	
		Afternoon	Meeting with Principal Secretary to Hon'ble Chief Minister, Maharashtra	
			Discussion with Finance and Administration project management unit (PMU)	
7/22/2015	9.00 am	12.30 pm	Mumbai-New Delhi	
	2.00 pm	0630 pm	UNDP office- Report and Presentation preparation.	
7/23/2015	9.00 am	2.00 pm	UNDP office- Report and Presentation preparation.	
	2.00 pm	3.00 pm	Meeting with Ms. Lianchawii Chhakchhuak, UNDP Program Analyst	
	0400 pm	630 pm	Presentation of findings by MTR team at Ministry of Environment, Forests &Climate Change.(Meeting Chaired by Director General Forests & Special Secretary, Dr. S. S.Garbyal)	
7/24/2015	0900 am	1100 am	UNDP office- MTR report preparation by MTR team	
	1100 am	0100 pm	Meeting with Mr C Sasi Kumar,Program Manager, UNDP, New Delhi	
			Telconference with (i) Ms. Alka Narang, focal point for Gender in UNDP (ii) Mr. Doley Tshering, Regional Technical Advisor – Ecosystems and Biodiversity, UNDP Bangkok.	

Annex 7 – Summary of Project Expenditures by Activity

Item	Cost (US$)
Government of Maharashtra implemented	
Consultant for Landscape Planning - initiation	3,515
Workshop for identifying Anchorage Points	1,995
Fishermen's Awareness Visit - Madhurai, Trivandrum	8,377
Mud-Crab Training (Awareness Visit-Sirkali)	3,810
System of Rice Intensification	18,832
Entry Point Activities - Gazebo, Jetties, Water Harvesting Structure (Bandhara)	109,149
Construction of Fish Drying Platform - Commissioner of Fisheries	24,698
Implementation of Biological Diversity Act 2002 - MSBB	4,087
Gulf of Mannar Exposure Visit	2,048
Whale Shark Conservation Workshop	7,778
Mangrove Nursery Raising and Plantation	48,486
Interpretation Centre - Expressions of Interest (EoI)	314
Turtle Conservation- Sahayadri Nisarga Mitra	6,079
Snorkelling/Training (Science and Technology Park)	8,782
Solid Waste Management Interventations (Including workshops, solid wate management project by Malvan Nagar Parishad & Kunkeshwar Gram Panchayat in 2014)	14,595
Mapping of Living Marine Resources - MMS/ Mapping of Mangroves (MRSAC)	28,095
Studies on impact of By-catch Reduction Devices by CIFT and Square Mesh Project by CIFT	41,910
Studies on Coral Reef by Zoological Survey of India	40,022
Studies on Geological & Living Marine Resources of Angria Bank by National Institute of Oceanography	127,820
Cetacean Studies (CMFRI)	41,253
Clean Beach Campaign by Social Forestry - Sindhudurg	27,288
Painting of MSRTC Buses - Prithvi Associates/ Designs by Words Worth Communications/ Project signposts along Sindhudurg beaches by Public Works Department	58,584
Capacity building programmes for fishermen on Sustainable Marine Fishing by College of Fisheries, Ratnagiri	20,857
Cetacean Population Studies - KCRT	45,180
Documentary Film on Rampan Fishing by Dewz Vision	4,919
Tagging of Turtles project by Wildlife Institute of India and Turtle conservation by DCF Sawantwadi	43,615
Establishment of Field Gene Bank of RET Mangrove Species in Sindhudurg by Shivaji University, Kolhapur	12,500
Plastic Free Fort - Kille Sindhudurg Prenotsav Samittee	3,254
Joint Patrolling Project by Commissioner of Fisheries	23,048
Pilot project on installation of Artificial Reef and Coral Reef Restoration programmes involving Transplantation of Corals by SDMRI	47,713
Avifauna Studies by SACON	30,823
Alternative Tourism - Expression of Interest (EOI)	4,496

Other interventions - underwater photography, jute bags etc.	3,281
Sindhudurg Tourism Festival - Mahotsav 2014	18,142
EGREE Foundation	8,439
Workshop on Mussel and Oyster farming	2,441
PRA/RRA Exercise initiated (TERI)	54,898
Pliot project on Crab Ranching by MPEDA	174,603
Apiculture project - Suprakriti Madhushala	5,522
Mussel and Oyster farming in Sindhudurg by CMFRI	12,698
Survey on the Mussel and Oyster culture potential of Sindhudurg by College of Fisheries	9,071
Integrated Multitrophic Aquaculture System by CIBA	17,778
Farmers Exposure Visit to Aqua Aquaria by MPEDA	7,111
Other interventions - Vermicomposting and Publications	2,142
System of Rice intensification Phase 3 under Livelihood Diversification	9,099
Technical consultants and technical meetings	119,565
PSC and SC meetings	17,873
NPMU meetings and workshops	3,868
LLPMU (salaries, furniture, travel, etc)	149,962
TOTAL Government implemented	**1,480,417**
UNDP Implemented	
Activity-1 Cross Sectorial Planning	44,103
Activity-2 Enhanced Capacity of sector Institution	121,905
Activity-3 Sustainable Community livelihood	9,391
Activity-4 LLMPU expenses	48,277
Activity-5 NPMU expenses	55,575
Activity-6 (no information available)	17,457
Unrealized Gain/ Loss	48,422
TOTAL UNDP Implemented	**345,130**
GRAND TOTAL	**1,825,547**

Annex 8 – Completed Tracking Tool

I. Project General Information

1. Project Name: Mainstreaming Coastal and Marine Biodiversity Conservation into Production Sectors in the Sindhudurg coast, Maharashtra, India
2. Project Type (MSP or FSP): FSP
3. Project ID (GEF): 3941
4. Project ID (IA): 4242
5. Implementing Agency: UNDP
6. Country: India
7. Name of reviewers completing tracking tool and completion dates:

	Name	Title	Agency
Work Program Inclusion	PrakritiSrivastava	National Project Director	MoEF
	Mr.Pant	State Project Director	Maharashtra Forest and Wildlife Department
	Pramod Krishnan	Programme Analyst	UNDP
Project Mid-term	Dennis Fenton Vivek Saxena	MTR Consultant	Independent
Final Evaluation/ project completion			

8. Project duration: Planned__5___ years Actual ___5____ years

9. Lead Project Executing Agency: Ministry of Environment, Forests and Climate Change (MoEF&CC)

10. GEF Strategic Program:
    ✓☐Strengthening the policy and regulatory framework for mainstreaming biodiversity (SP 4)

    ☐Fostering markets for biodiversity goods and services (SP 5)

11. Production sectors and/ or ecosystem services directly targeted by project:

Please identify the main production sectors involved in the project. Please put "P" for sectors that are primarily and directly targeted by the project and "S" for those that are secondary or incidentally affected by the project.

Agriculture	S
Fisheries	P
Forestry and Wildlife	P
Tourism	P
Mining	S
Oil and Gas	NA
Transportation (fishing ports and maritime traffic)	S

Other (please specify): NA

II. Project Landscape Coverage

12. What is the extent (in hectares) of the landscape or seascape where the project will directly or indirectly contribute to biodiversity conservation or sustainable use of its components? An example is provided in the table below.

Area Coverage	Total hectares targeted at the following intervals during the project cycle:		
	At project start	At Mid-term Evaluation	At Final Evaluation
Landscape area directly covered by the project (ha)	232 700	232 700	
Landscape area indirectly covered by the project (ha)	400 000	400 000	

Explanation for indirect coverage numbers:

The area where most of the project activities will be focused is around 2,327 sq. km. This area includes the Malvan Marine Sanctuary (2,912 hectares), the coastal talukas of Deogad, Malvan and Vengurla (165,300 hectares), and the Angria Bank (64,500 hectares). In addition, the project area will include the marine waters that connect the MMS and Angria Bank (another 400,000 hectares), mainly under the zoning exercise under Output 1.1. Thus, the total area intended to be covered under the project is around 632,700 hectares. The coordinates for the project area are latitudes $15^0$43 and $16^0$44 north and longitudes $71^0$50 and $73^0$43 east.

13. (b) Are there Protected Areas within the landscape covered by the project? If so, names these PAs, their IUCN or national PA category, and their extent in hectares.

	Name of Protected Areas	IUCN and/or national category of PA	Extent in hectares
1.	Malvan Marine Sanctuary (MMS)	Category IV	2 912

14. (c) Within the landscape covered by the project, is the project implementing payment for environmental service schemes?

No, the project will not be implementing such a scheme. However, the Project will encourage eco-Tourism and this could relate to payment schemes in the future.

III. Management Practices Applied

15. Within the scope and objectives of the project, please identify in the table below the management practices employed by project beneficiaries that integrate biodiversity considerations and the area of coverage of these management practices. Please also note if a certification system is being applied and identify the certification system being used. Note: this could range from farmers applying organic agricultural practices, forest management agencies managing forests per Forest Stewardship Council (FSC) guidelines or other forest certification schemes, artisanal fisherfolk practicing sustainable fisheries management, or industries satisfying other similar agreed international standards, etc.

	Specific management practices that integrate BD	Name of certification system being used	Area of coverage foreseen at start of project	Achievement at Mid-term Evaluation of Project	Achievement at Final Evaluation of Project
1	Conservation sector: E.g., Rationalization of MMS boundaries, conservation of coral areas.	Management Effectiveness Evaluation Scorecard (developed by WII)	Around 10 000 hectares	Studies have been initiated for identification coral and other biodiversity rich areas in SCME. Rationalization of boundaries of MMS would be done after the results of the studies.	
2	Livelihoods/ subsistence sector: traditional, low-impact fisheries management system; diversification of livelihoods to include fisheries-based and non-fisheries based alternatives	NA	10 000 hectares	About 200 trawler boats have been fitted with by-catch reduction/juvenile fish exclusion cod end nets. The Fisheries Commissioner has issued orders for use of square mesh nets. Additional livelihood activities like Mangrove crab farming; Oyster-Mussel culture; Apiculture have been initiated in the Project area. No information available on the hectares covered.	
3	Production Sectors:				
3a	Fisheries: EAF-based Fisheries Management Plan to be developed for the SCME that will include various measures such as modification to catch size, fishing tools (nets, etc), better management of fishing activity to minimize associated waste.	Feasibility of MSC certification to be considered under the project	100 000 hectares	The Fisheries Sector Plan has been prepared. Commissioner Fisheries, Maharashtra has issued order to make BRJFEDs mandatory on trawlers so that only those who have nets with BRJFEDs are eligible for diesel subsidies. Joint patrolling of Sindhudurg Coast	

	Specific management practices that integrate BD	Name of certification system being used	Area of coverage foreseen at start of project	Achievement at Mid-term Evaluation of Project	Achievement at Final Evaluation of Project
				by Fisheries and Forest Department has been agreed. No information available on the hectares covered.	
3b	Tourism: A sustainable tourism plan is to be developed to ensure sustainable management of beach, cultural and ecotourism in the SCME. Measures could range from better visitor management in sensitive areas such as coral reefs; limitation of visitor numbers during certain periods to cause minimal disturbance to fauna; measures to reduce impacts of beach and cultural tourists, etc.	NA	50 000 hectares	Guidelines for ecotourism Green rating for Bed & breakfast units has been prepared. No information available on the hectares covered.	
3c	Mining and industrial sector: These sectors will be brought in line with the landscape-level zoning plan. Measures could range from stricter enforcement of national air and water pollution standards for existing units to reconsideration of new leases.	ISO	10 000 hectares	This is no longer seen as a priority Coastal Regulation (CRZ) already covers this as required.	
3d	Fishing ports and maritime traffic: Under the landscape-level zoning plan, several strategies will be considered to reduce pollution and habitat disturbance caused by fishing vessels and other maritime traffic such as better management of fishing vessels congregating in ports to minimize adverse impacts on coastal habitat, better management of maritime traffic routes with specification of no-traffic areas due to ecological sensitivity.	NA	1 000 hectares	Under preparation.	

IV. Market Transformation

16. For those projects that have identified market transformation as a project objective, please describe the project's ability to integrate biodiversity considerations into the mainstream economy by measuring the market changes to which the project contributed.

Not applicable.

V. Policy and Regulatory frameworks

For those projects that have identified addressing policy, legislation, regulations, and their implementation as project objectives, please complete the following series of questions: 17a, 17b, and 17c.

17. (a) Please complete this table at CEO endorsement for each sector that is a primary or a secondary focus of the project. Please answer YES or NO to each statement under the sectors that are a focus of the project.

Statement: Please answer YES or NO for each sector that is a focus of the project.	Fisheries	Tourism	Agriculture	Ports	Mining
Biodiversity considerations are mentioned in sector policy	Yes	Yes	Yes	Yes	Yes
BD considerations are mentioned in sector policy through specific legislation	No	No	No	No	No
Regulations are in place to implement the legislation	Yes	Yes	Yes	Yes	Yes
The regulations are under implementation	No	No	No	Yes	Yes
The implementation of regulations is enforced	No	No	No	No	No
Enforcement of regulations is monitored	No	No	No	No	No

17. (b) Please complete this table at the project mid-term for each sector that is a primary or a secondary focus of the project.

Statement: Please answer YES or NO for each sector that is a focus of the project.	Fisheries	Tourism	Agriculture	Ports	Mining
Biodiversity considerations are mentioned in sector policy	YES	YES	YES	YES	YES
BD considerations are mentioned in sector policy through specific legislation	In progress	No			
Regulations are in place to implement the legislation	YES	YES	YES	YES	YES
The regulations are under implementation	YES	YES	YES	NO	NO
The implementation of regulations is enforced	Some	YES	To an extent	NO	NO
Enforcement of regulations is monitored	YES	YES	NO	NO	NO

17. (c) Please complete this table at project closure for each sector that is a primary or a secondary focus of the project.

Statement: Please answer YES or NO for each sector that is a focus of the project.	Fisheries	Tourism	Agriculture	Ports	Mining
Biodiversity considerations are mentioned in sector policy					
BD considerations are mentioned in sector policy through specific legislation					
Regulations are in place to implement the legislation					
The regulations are under implementation					
The implementation of regulations is enforced					
Enforcement of regulations is monitored					

All projects please complete question 17(d) at the project mid-term evaluation and at the final evaluation, if relevant:

17. (d) Within the scope and objectives of the project, has the private sector undertaken voluntary measures to incorporate biodiversity considerations in production? If yes, please provide brief explanation and specifically mention the sectors involved. An example of this could be a mining company minimizing the impacts on biodiversity by using low-impact exploration techniques and by developing plans for restoration of biodiversity after exploration as part of the site management plan.

There are many, key examples include:

Community: adopting biodiversity friendly crab farming and oyster raising; adopting vermicompost;

Fisheries: fishermen adopting square mesh nets;

Agriculture: farmers adopting Sustainable Rice Intensification (SRI);

Tourism: efforts to generate less waste, protecting turtle hatcheries, biodiversity friendly snorkelling/scuba diving.

VI. Other Impacts

18. Please briefly summarize other impacts that the project has had on mainstreaming biodiversity that have not been recorded above.

The project has:

- Raised the awareness, and understanding of, and commitment to, biodiversity conservation issues amongst local population;
- Changed the nature of the dialogue with local people – from one of 'conflict' between conservation and production to a 'constructive' dialogue;
- Introduced and started demonstration of several 'additional' livelihoods which are BD – friendly;
- Undertaken some serious conservation work – conservation actions and research/data collection;
- Developed capacity of government agencies: Forest department ability to work on coast/mangroves; fishery department on certain key issues.
- Initiation of Institutional sustainability through initiation of the Mangrove Foundation.

Annex 9 - Report Audit Trail

#	Comment (and location in first draft) (consolidated comments received by email on 3rd September)	Response, action (and, if appropriate, location in final draft)
1	It may not be correct to say that there was little activity on the ground in the first 18 months owing to opposition by local communities. Whereas the project commencement date is August 2011, the Government of Maharashtra's order constituting the SPSC itself came almost a year later, i.e. on 12 th July 2012. The fund flow started only on 6th August 2012. Mangrove Cell itself was a fairly new entity, having come into existence only in January 2012. The recruitment of project staff took place starting, October, 2012, i.e. after a gap of 14 months from the commencement date. It may, however, be noted that despite recruitment of staff late in 2012, it was possible to start five intervention during the same year, involving local communities. During 2013, 16 interventions took place and 2014 witnessed another 22 interventions. Thus delay of ground activities were primarily on account of factors other than community opposition. However, it can be said that the delay in inception workshop was the result of a conscious decision to wait until the opposition of the local communities to MMS was somewhat subdued. 5th bullet point, Box 1, in Executive Summary (but refers to main text)	The point is accepted. See mostly the new chronological information and other changes in new paras 80 - 83. See also the new 5th bullet point in Box 1.
2	May be reviewed in the light of observations vide annexure 1 (being submitted with our comments)	This point is discussed in the main text (not in the Executive Summary) and under relevant comments below. See notably new paras 41 and 42. No changes required
3	The project objective assessment if based on the 4 indicators as listed vide item 3 of the Project Result framework of the Project Doc. (pp. 47), as well the criteria referred to vide item 182 of the MTR draft report, have been mostly carried out, as substantiated vide Annexure 1, (being submitted with our comments) On Rating for Progress to Project overall objective.	This comment is not fully clear. The MTR finds that the four Objective level indicators from the Project document are not adequate for assessing Project progress (new para 63). The MTR provides a rating 'satisfactory' for progress to overall objective. By definition, this means there are "minor shortcomings" on

#	Comment (and location in first draft) (consolidated comments received by email on 3rd September)	Response, action (and, if appropriate, location in final draft)
		progress towards the Project objective. The MTR report provides much evidence of these minor shortcomings. No changes required. Note: The MTR has (rather generously) agreed to treat the Project as being at its mid-term stage. The MTR could have assessed the Project as being 4 years old or 80% completed. In such a case, it would not have been judged Satisfactory.
4	For a fuller understanding of the biodiversity and threats of the area, several studies were commissioned as part of the project. These include the studies on biodiversity of Angria Bank, coral and associated biodiversity of SCME, turtles, avifauna, cetaceans and mangroves. The response strategies have been appropriately tuned taking into consideration the results of these studies, some of which are still ongoing. Para 57.	This comment is made on a sentence that was not appropriate for this Section of the report. The sentence has been deleted. See new para 58.
5	As per the decision of the 12th Executive Committee, a Strategic Workshop to streamline and assess the applicability of the existing indicators and outputs viz-a-viz the Project Document and other reporting frameworks will be conducted during the year. Para 61	All of this Section (i.e. Section 3.1 in the MTR report) assesses the *Project design* period – i.e. up to and including the Project signature in October 2011. Hence, actions which occurred *after* October 2011 are not relevant here – they are considered in other sections of the report. No change required.
6	The Strategic Workshop shall address this. Para 64	See response to comment no. 5. No change required.
7	1. There is absolutely no duplication/gaps in co-ordination between the national and state level committees nor has there ever been any conflicting or overlapping decisions by any of these bodies. 2. The NPSC is involved with decision making processes of relevance at the national level. It facilitates inter-ministerial coordination at the national level and it helps in scaling up interventions at the national level. Additionally, it provides a platform for cross-learning from other ongoing projects, especially the East Godavari EGREE Project. The NPSC serves as a national level monitoring body. The TOR of NPSC is in attached document (Annex.2).	See response to comment no. 5. No change required.

#	Comment (and location in first draft) (consolidated comments received by email on 3rd September)	Response, action (and, if appropriate, location in final draft)
	3. The SPSC is the primary decision making body in the project. It spearheads and leads decision making and implementation at the state level. Senior officials of the state government, especially from the forest and fisheries department have taken ownership of the project and guide its decision making. The TOR of SPSC is in attached document (Annexure 3). 4. The Executive Committee has been instituted to speed up the decision making process and help address challenges and issues faced by the project from time to time. It also provides a platform for much more intensive discussions on different aspects of the Project. 5. The Cross Sectoral Stakeholder Consultation Committee coordinates with various department at the district level and helps mainstream various initiatives undertaken in the project. It provides a platform for coordination among local agencies, institutions and stakeholders.. Most importantly, the CSSCC helps in engaging in constructive dialogue with the local communicate and devise effective solutions. 6. 7. The roles and responsibilities of the NPSC, SPSC, EC and CSSCC are clearly defined and there is no duplication. Overall, the division of roles and responsibilities at the national, state and local level have led to effective project management and have provided a boost to project implementation. Para 67, first bullet	
8	Although the Project emphasizes many things at the national level, the project energy and locus of decision making has always been at the state level. For the reasons already elaborated, the State could not kick start the project early, which caused the delay in the initial stages. Para 67, second bullet	See response to comment no. 5. No change required.
9	There has been a conscious attempt to promote economic empowerment of women by promoting sustainable livelihood activities through women Self	See response to comment no. 5.

#	Comment (and location in first draft) (consolidated comments received by email on 3rd September)	Response, action (and, if appropriate, location in final draft)
	Help Groups. Women-centric initiatives such as mussel and oyster farming, apiculture and crab farming have led to active participation of women in various project activities. The other possible women centric activities could be various interventions relating to post-harvest management of fish landings, which are largely handled by women particularly marketing, fish drying and small scale fish processing. The interventions could be planned looking into existing gaps in infrastructure, technology, credit etc. Para 75	No change required.
10	Same comment as #7. Table 5	This comment is partly accepted. The TOR provided for the NPSC and SPSC do provide many answers and additional evidence. Yet, there remains some vagueness and some confusion on paper between the two bodies. See new Table 5. See also new para 85. (Note, this comment is made on a paragraph that assesses the documented management arrangements for the Project. Criticism of the documented management arrangements is not the same as criticism of management itself. It is possible for management to be effective, even if there are no clear management arrangements on paper. It is recalled that the MTR is generally positive in its assessment of management.)
11	Same comment as #7. Table 5	This comment is partly accepted. The TOR provided for the NPSC and SPSC do provide many answers and additional evidence. Yet, there remains some vagueness and some confusion on paper between the two bodies. See new Table. See also new para 85.
12	This is true for Forest Departments across India. However, it must be said that Maharashtra is the only State in the country, which has created a dedicated unit within Forest Department to focus on coastal and marine biodiversity. The Mangrove Cell, since its inception has made considerable headway in capacity building of its staff towards management of coastal and marine biodiversity.	Point mostly accepted. See the new pertinent entry in Table 5.

#	Comment (and location in first draft) (consolidated comments received by email on 3rd September)	Response, action (and, if appropriate, location in final draft)
	Table 5	
13	Government Resolutions constituting NPSC and SPSC are attached, which clarifies the mandate of these bodies. TOR in attached documents (annexure 2 & 3) Para 82	This has been revised with regards to NPSC and SPSC. See new para 85.
14	All the project activities are invariably linked to the outcomes or outputs and there is hardly any deviation from the overall project objectives. Whether a proposed project activity is linked to any of the stated outcomes/output is examined more intensively in the Executive Committee and the EC gives its approval only to those projects, which are visibly linked. AWP has certainly been used as a tool for financial planning for the year and not merely as a mechanism for fund release. Para 85	The MTR does not contest that Project activities have been fully in line with the Project Objective. The point made here by the MTR is that the planning has been mostly bottom up, and the Project's logical framework has not served as a planning tool (there is no evidence for this, and there is enough evidence against it). Likewise for the AWP – it has not served as a tool for activity planning either. The evidence suggests the logical framework has been used only when reporting to GEF (i.e. the PIR) and when requesting fund's release (i.e. the QWP and AWP). Note, this is not a negative observation. See clarification in new para 88.
15	Partnerships in the fisheries, agriculture and tourism sector are being strengthened, even outside the project area through the CSSCC. The setting up of the Coastal and marine Biodiversity Foundation will give a fillip to forging such partnership. Para 90	The project has supported some collaboration. Further, the CSSCC and Foundation may well lead to strengthened inter-agency collaboration outside Project supported activities. But there is no evidence of that happening yet. No change required.
16	One of the major achievements of the Project has been the networking with the good set of partners, who have been carefully chosen based on their skills and competencies. All efforts are made to avoid any duplication, even in areas where there are apparent overlaps. For example, in the cetacean conservation work, the population assessment was done by KCRT, whereas the capacity-building for dealing with stranding and beaching was entrusted to CMFRI. Similarly, identification of the potential sites for mussel and oyster culture was given to the competent local organization, viz. College of Fisheries Ratnagiri, whereas the culture *per se* was entrusted to the most experienced organization, i.e. CMFRI.	There has been some networking and this is adequately mentioned elsewhere in the MTR report at the appropriate points. There was also some duplication, albeit minor, and so this has to be mentioned. See clarification in new para 94.

#	Comment (and location in first draft) (consolidated comments received by email on 3rd September)	Response, action (and, if appropriate, location in final draft)
	Para 91	
17	A rich repository of reports, findings and data has been created under the project. A systematic knowledge management and dissemination strategy is being planned to communicate project results. Para 99	The existence of the 'rich repository' is adequately covered by this para. As of yet there is no KM strategy, and the MTR has to state that fact, even if it is planned to develop one. No change required.
18	Release of payment installments is made, not just on receipt of the UC, but after due diligence and scrutiny of the progress made at the field level. Based on the assessment made by LLPMU and receipt of relevant project reports, payments for the next installment are released. Para 103, 3rd bullet point	Here the MTR is making the point that the UC does not seem to add any value in the management process, and especially not in terms of quality. The paragraph has been made clearer. See new para 107, 3rd bullet.
19	Expenditures in 2012 and 2013 have been incurred on account of initial payments/first installments on contracts awarded to agencies as well as towards project start-up expenses. Please refer details as per Annexure A Para 111	Noted (although none of the annexures provide details of payments to distinguish between first, second and final instalments). See new para 115.
20	Co-financing has been committed by the Maharashtra State Biodiversity Board for preparation of Peoples Biodiversity Registers and formation of Biodiversity Management Committees (Rs. 50,000 * 50 = Rs. 25 lakhs) Table 9	Noted and inserted. See new Table 9.
21	Refers to #1 Key finding 5	The Key Finding has been modified. See new Key Finding no. 5
22	As may be evident from Annexure 4, it was Outcome 2 which witnessed more interventions than Outcome 3 in the first 3 years of the project. Para 115	As explained at several points in the report, the MTR finds that many activities are closely aligned to Outcome 3, whereas the Project management considers them more aligned to Outcome 2. Outcome 2 focuses on sectoral institutions. Outcome 3 focuses on the community level. Hence this MTR finds that the majority of actions implemented by the Project so far are more aligned to Outcome 3 than to Outcome 2.

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		This has no bearing on the overall assessment. However, it does facilitate the elaboration of a Project strategy (as informed by the Project management, the Project was initially to have started with planning and capacity building, but a decision was taken very early to revise this approach and focus on engaging with communities.) See new paras 41, 42, 119 (and the footnote).
23	This activity may be viewed as a measure to conserve mangroves in privately held mangrove areas, as otherwise there is no economic incentive for the land holders to conserve mangrove. Box 2, second para	The paragraph introduces these activities as "biodiversity friendly" and that adequately covers the issue raised in the comment. The Project supports these activities because they do not damage biodiversity: they are ecosystem and environmentally friendly. However, the community gets involved in these activities because they generate revenue, not because they contribute to conservation. They are good examples of sustainable, biodiversity-friendly development; but they are not conservation activities as such. The probable exception is 'mangrove nurseries and planting mangroves', which has been moved to the appropriate group of examples (see comment #27). No other change required.
24	These activities may be viewed as measures primarily to reduce nutrient loading and that of harmful chemical pesticides & herbicides into coastal waters Paddy being the single largest crop by geographical spread in the project area, SRI has been viewed as a technology which could mainstream coastal and marine biodiversity conservation into Agriculture Sector through reduced outflow of nutrient as also harmful chemical pesticides & herbicides into coastal waters, increasing its primary productivity and thereby reducing sunlight penetration in the water, which has altered the coral composition in the near shore areas. Besides, SRI is also known to reduce Green House Gas emission by 60%. The increased supply of vermicompost will help the cause of reduced application of chemical fertlisers. It may also be mentioned that SRI reduces water requirement of paddy by about 40%, beside improving beneficial soil microbes, making available nutrients. Owing transplantation of	These activities are introduced as 'biodiversity friendly' and that adequately covers the issue raised in the comment. The community gets involved in these activities because they generate revenue, not because they contribute to conservation – nor because they generate less GHG. No change required.

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	single plantlet per hill and higher spacing norms, the plant density is almost 1/10th of the normal spacing thus reducing seed requirement to the same extent, thereby providing an excellent drought copping mechanism in the event of delayed monsoon as low seed requirement enables farmers to go for staggered nursery with progressively shorter duration varieties. The increased yield character of grain and straw following SRI (40-80%) is incidental, conservation and climate change being the major focus. Box 2, third para	
25	Here again the main focus is conservation of living marine resource through higher recruitment, which is fall out of Fisheries Mgmt. plan . Box 2, third para	This activity is introduced as 'biodiversity friendly' and that adequately covers the issue raised in the comment. The community gets involved in this activity because it generates revenue, not because it contributes to conservation. No change required.
26	The snorkelling training is an attempt towards availability of certified guides, which also includes interpretation of marine life as also conservation by not trampling corals or collecting them as souvenirs etc, which is a fall out of sustainable tourism. Box 2, third para	This activity is introduced as 'biodiversity friendly' and that adequately covers the issue raised in the comment. The community gets involved in this activity because it generates revenue, not because it contributes to conservation. No change required.
27	These are also part of the Project Objectives related to conserevation. Box 4, fourth para	Agreed. These activities are more directly conservation activities – not income generating. See the new introductory paragraph to the final set of bullet points in Box 4.
28	The data in this regard is in attached file (Annexure 5) Para 120	Noted. The table provided in Annexure 5 has been inserted. It is noted that the number of women beneficiaries is in fact very small (approximately 6.5%). The MTR had not previously captured this. This affects gender related findings and recommendations. See Table 10, new paragraph 124, new para 151 and new Recommendation no. 11.

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29	Although most of these activities may appear to be site specific, many of them have the potential to be scaled up and replicated all along the Maharashtra coast; some even across the entire Indian coast. For instance, the livelihood generation from mangrove areas through crab farming could secure the mangroves for all times to come. SRI being implemented in 1000 acres in the 3 talukas will be mainstreamed by the Agriculture Department to the entire potential area of 6000 acres in next 2-3 years and is likely to spread even to non-coastal areas. By-catch reduction devices are relevant to the entire Indian coast as a great tool for ensuring sustainability in fisheries. Turtle conservation model now covers all the 30 beaches of Sindhudurg and will certainly be adopted in the remaining coastal districts of the State. Similarly cetacean conservation work is a novel initiative, that has the potential to bring research and management interest in the marine mammals of Indian waters. Similarly, coral transplantation and artificial reefs also have great scalability across the Indian coast. Para 130	The comment is correct. However, the paragraph it refers to is discussing the immediate impacts at sites. It is not discussing upscaling. The issue of 'upscaling' is covered in part by the subsequent paragraph in the report (no. 135). The issue of **potential** upscaling is dealt with later in the report. No change required.
30	The cumulative number since inception is 2999 Para 130	The number provided in the table in annexure 5 was 1,420. This is confusing. The MTR quotes the figure from the PIR 2015 accurately. No change required.
31	The State Fisheries Department has made use of square mesh net at the cod end of trawl gears compulsory. Once a critical mass of fishermen adopt these devices, these initiatives could make an impact not just at the state level, but also at the national level. More such sustainable fishing regulations are going to be enforced through joint patrolling, which will also be a first of its kind. The issues of interstate nature are going to be taken up during the National Fisheries Workshop slated towards the end of the year. Para 133	The MTR does not agree with the essence of this comment. The evidence collected, including statements from Project staff, suggests that there are still many major challenges to sustainable fishing in the area, and that the Project alone cannot make a major impact on this. This will require larger scale intervention. No change required.
32	Already discussed Para 134	Noted. No change required.

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33	Should also include Agriculture Para 139	No evidence was provided that agricultural *institutions* have *increased* understanding of, or *increased* commitment to, conservation. Those institutions that do have the commitment (e.g. those involved in SRI) already had the understanding and commitment prior to the project. No change required.
34	Either designed to conserve biodiversity (Crab farming, turtle conservation, mangrove gene bank, cetacean distribution, stranding & beaching) or designed to reduce pressure on natural resources (Oyster farming) or resource regeneration (juvenile fish exclusion, mangrove plantation etc.) or biodiversity friendly (SRI). Para 141	Crab farming, for example, is designed to generate revenue and it is biodiversity friendly. It is not a conservation activity. Hence, this para (now no. 145) is accurate. Turtle nest protection, for example, is most likely a conservation activity. This and other conservation activities are covered by the following paragraph (i.e. new para 146). New para 146 summarizes activities designed to conserve biodiversity. No change required.
35	Introduction of topics on these conservation needs in school syllabi may be a good intervention. Para 150	Here we are assessing the current level of sustainability, we are not making recommendations for future activities or strategies. No change required. However, the recommendation to introduce topics into school syllabi appears to make sense.
36	The websites of MOEF & CC & UNDP at the national level and the websites of Mangrove Cell as well that of Coastal and Marine Biodiversity Conservation Foundation of Maharashtra, could be considered for the purpose. Para 157	Agreed. See new para 161.
37	The agriculture sector is missing. SRI has already been mainstreamed with 1000 acre of paddy area out of 6000 acre of potential land area having adopted the practice. The case of juvenile fish exclusion using square mesh net in trawl gears has resulted in adoption to the extent of 60%. The tourism sector activities though at their initial stages of implementation yet, the same have been designed to address the gaps in the existing tourism plan of the state from the conservation point of view.	We have to be careful what we say about the agriculture sector. The evidence provided showed that the SRI is certainly very good for the communities and very good for the local environment. However, no evidence was provided that other forms of rice farming are a major threat to *coastal* and *marine* biodiversity (the main threats are stated as fishing and tourism). Nor was evidence provided that fishermen (who had previously contributed to overfishing) are now turning to SRI

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	Key finding 11	farming. Hence, there is no evidence for clear links between SRI and coastal/marine biodiversity conservation, and so we cannot refer to this in the 'Key Finding'. No change required.
38	In spite of repeated efforts, a suitable agency could not be found earlier to do the landscape level zoning plan. But now the National Centre for Sustainable Coastal Management, Chennai, an autonomous body under the MOEF&CC has agreed to take up the work. In a sense, this is the right time to do this exercise, as we are now prepared with a slew of studies which would feed into the preparation of a Landscape Plan. The mangrove mapping of the Sindhudurg coast is completed, the study of corals and associated fauna and avifauna are nearing completion, the Angria Bank expedition and the Cetacean studies have revealed vital information about the hitherto unexplored biodiversity of SCME; the Fisheries Plan, Tourism Plan and the Biodiversity Action Plans for 134 coastal villages are now ready. Without all these, the Landscape Plan preparation would have been a rather superficial exercise. The fact that the Landscape level zoning plan is getting ready towards the latter half of the project need not worry us unduly, as it is not just meant for implementation during the project period. Institutions like the Coastal and Marine Biodiversity Foundation and the CSSCC will ensure that the Landscape Plan will be put to effective use far beyond the project period. Table 12	The MTR considered the balanced evidence for progress towards this Output. On the one hand, there is no evidence of any ongoing process to prepare a plan. Nor is there evidence of recent strategic innovative thinking as to what the plan should consist of, how to develop it, how to ensure it is anchored, or how to adapt this Output to the progress made under the Project. On the other hand, it is recognised (see the '*' in new Table 13) that many of the previous studies should be helpful when the plan process starts. Hence this Output gets a mixed coloured rating. No change required.
39	Some of the legislation relating by-catch reduction and use of square mesh has been carried out through office order. The issue relating revision of the MMFRA has been taken up by the Department. The issue of strengthening coastal and marine biodiversity conservation under the WPA has been initiated Table 12	This comment is attached to the baseline status for the Output - i.e. the situation *before* the Project started. The comment does not contest the description of the baseline, but it provides information on what has been achieved after the baseline. No change required.
40	On the basis of the foregoing observations, necessary modifications in this part may please be considered. Introduction to section 4.1	The MTR team have reviewed the additional evidence provided and have taken into consideration all the comments provided. The main additional evidence provided was in the form of 5 annexures.

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		On the whole, the additional evidence and the comments have mostly led to editorial and presentation changes. These are described under comments 1 – 39 above. As a result, there have been some editorial changes to the conclusions and recommendations. On the whole, the additional evidence and the comments do not impact on the substance of the conclusions and recommendations. The principal exception is the new evidence provided in Annexure 5. This provided data on the number of beneficiaries, and provided a disaggregation by gender. This brought to light new evidence that only 6.5% of local beneficiaries are women. This has led to a revised formulation of Recommendation no. 11. Finally, Annexure 1 (and also Annexure 4 to a lesser extent) concerned whether most activities should be considered under Outcome 2 or Outcome 3. The MTR maintains that most community level activities should be considered under Outcome 3, for the reasons set out above and in the MTR report. However, this issue would not affect the overall findings of the MTR report – it only affects the presentation and the structure.