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**3rd SPC Heads of Fisheries**

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**Terminal Evaluation of UNDP-GEF's Strategic Action  
Programme for the International Waters of the  
Pacific Small Island Developing States:  
Oceanic Fisheries Management Component  
RAS/98/G32**

**Secretariat of the Pacific Community**





## **Terms of Reference**

# **Terminal Evaluation of UNDP-GEF's Strategic Action Programme for the International Waters of the Pacific Small Island Developing States: Oceanic Fisheries Management Component RAS/98/G32**

### **I. Introduction:**

The International Waters Project (the IWP) is a 7-year initiative to implement the Strategic Action Programme for the International Waters of the Pacific Small Island Developing States<sup>1</sup> (the SAP). It is implemented by the United Nations Development Programme (UNDP) and executed by the South Pacific Regional Environment Programme (SPREP). The Project Document was signed by UNDP and SPREP in February 2000. Actual execution did not commence until July 2000 when the Programme was activated at SPREP.

The IWP is designed to support actions to address the root causes of degradation of the international waters of the Pacific Islands region. The actions are to be carried under the auspices of two complementary, linked consultative programs: Integrated Coastal and Watershed Management (ICWM), to be executed over seven years, and Oceanic Fisheries Management (OFM) executed over four years. This Terminal Evaluation (TE) is confined to the OFM component of the IWP. Although a Project Coordination Unit (PCU) based at SPREP is responsible for overall project coordination and administration, the Forum Fisheries Agency (FFA) (based at Honiara, Solomon Islands), and the Secretariat for the Pacific Community (SPC) (based at Noumea, New Caledonia) are responsible for the execution of the OFM Component of the IWP.

The SAP identifies unsustainable use of living resources as one of the three priority transboundary concerns relating to the International Waters of the Pacific Islands Region. In respect of oceanic fisheries, the SAP identifies deficiencies in management at the national and regional levels as the ultimate root cause of the threat of unsustainable exploitation of transboundary oceanic stocks and related species, and recognises these deficiencies as arising from weaknesses in governance of fishing on these stocks and related activities, and a lack of understanding, including a lack of understanding of the biotic components and system dynamics of the Western Tropical Pacific Large Marine Ecosystem.

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<sup>1</sup> The 14 Pacific Island States that qualify for GEF support are: Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu, and Vanuatu.



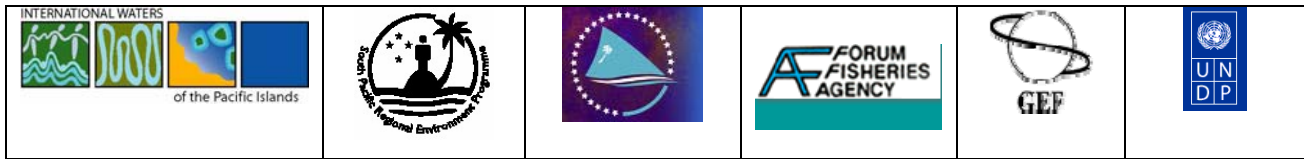
At the time the SAP and the IWP were prepared in 1997-1998, there was substantial uncertainty about the future pattern of management of transboundary oceanic fish stocks in the region. Negotiations had begun on new arrangements for the conservation and management of transboundary stocks of highly migratory species in accordance with the UN Convention on the Law of the Sea and the UN Fish Stocks Agreement, but there were a wide range of proposals tabled and it was not clear what the outcome of the negotiations would be. Because of this uncertainty, the activities of the OFM Component were funded for only three years as a pilot programme within the broader original 5-year programme of the IWP. It is now programmed to terminate in 2004. The key pilot activities of the OFM Component are:

- providing support for the process of discussions and negotiation between Pacific SIDSs, other coastal states of the Western and Central Pacific Ocean (including Indonesia and the Philippines) and fishing states, on a new regional arrangement for the conservation, management and sustainable development of transboundary stocks of highly migratory species and related species, including support for effective participation by Pacific SIDSs;
- providing training to Pacific SIDSs to strengthen their understanding and capacity to participate in the process of preparing new arrangements for transboundary fish stocks, and to identify the necessary policy, legal and institutional reforms at national level associated with implementation of the new arrangements;
- providing technical assistance through existing regional organisations to support Pacific SIDSs in the development and implementation of new regional and national conservation and management arrangements for transboundary stocks of tuna and related species, and provide additional scientific knowledge and information about these stocks and the WTP LME. The outputs of the scientific work include enhanced scientific information:
  - on regional tuna stocks through developments in stock assessment methodology, including analysis of stock-specific reference points, and improved flows of information from regional monitoring programmes and databases; and
  - characterizing the WTP LME through a programme of biological and ecological monitoring, research and analysis.

These activities are financed by a GEF grant of US\$3.5 million, with co-financing of these and other complementary activities amounting to an estimated US\$6.3 million in FFA and SPC resources.

## II. Objectives

The Monitoring and Evaluation (M&E) policy at the project level in UNDP/GEF has four objectives: i) to monitor and evaluate results and impacts; ii) to provide a basis for decision making on necessary amendments and improvements; iii) to promote accountability for resource use; and



(iv) to document, provide feedback on, and disseminate lessons learned. A mix of tools is used to ensure effective project M&E. These might be applied continuously throughout the lifetime of the project – e.g. periodic monitoring of indicators -, or as specific time-bound exercises such as mid-term reviews, audit reports and terminal evaluations.

The GEF Manual on Monitoring and Evaluation Policies and Procedures notes “*All GEF **regular projects** will carry out a terminal evaluation at project completion to assess project achievement of objectives and impacts*”. This Terminal Evaluation for the OFM component of the IWP is based on this directive.

Final evaluations are intended to assess the relevance, performance and success of the project. It looks at early signs of potential impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental goals. It will also identify/document lessons learned and make recommendations that might improve design and implementation of other UNDP/GEF projects.

The overall objective of this TE is to review progress towards the project’s objectives and outcomes, assess the efficiency and cost-effectiveness of how the project has moved towards its objectives and outcomes, identify strengths and weaknesses in project design and implementation, and provide recommendations on design modifications that could have increased the likelihood of success, and on specific actions that might be taken into consideration in designing future projects of a related nature.

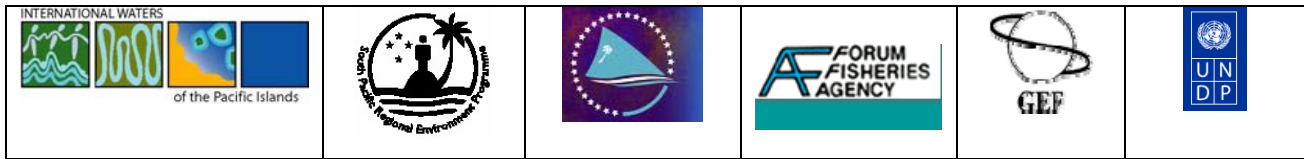
In pursuit of the overall objectives, the following key issues will be addressed during the TE of the OFM Component of the IWP:

- Assess the extent to which the OFM Component achieved the IWP’s regional and global environmental objectives as described in GEF operational focal areas 8 and 9;
- Assess the effectiveness with which the IWP addressed the root causes and imminent threats identified by the SAP as giving rise to the concern about unsustainable use of transboundary oceanic fishery resources in the Pacific Islands region
- Assess the extent to which the planned objectives and outputs of the IWP were achieved;
- Describe the IWP’s adaptive management processes – how did project activities change in response to new conditions encountered during implementation, and were the changes appropriate?
- Review the clarity of roles and responsibilities of the various institutional arrangements for IWP implementation and the level of coordination between relevant players;
- Review any partnership arrangements with other donors and comment on their strengths and weaknesses;



- Assess the level of public involvement in the IWP and recommend whether public involvement was appropriate to the goals of the project;
- Describe and assess efforts of UNDP, SPREP, FFA and SPC in support of the implementation of the OFM Component of the IWP;
- Review and evaluate the extent to which IWP impacts have reached the intended beneficiaries;
- Assess the likelihood of continuation and sustainability of project outcomes and benefits after completion of the OFM Component of the IWP;
- Describe key factors that will require attention in order to improve prospects for sustainability of IWP outcomes and the potential for replication of the approach;
- Assess whether the Logical Framework approach and performance indicators have been used as effective IWP management tools;
- Review the implementation of the IWP's monitoring and evaluation plans;
- Review the knowledge management processes of the Project, including the use of IW:LEARN;
- Describe the main lessons that have emerged in terms of:
  - country ownership/drivenness;
  - regional cooperation and inter-governmental cooperation;
  - stakeholder participation;
  - adaptive management processes;
  - efforts to secure sustainability; and
  - the role of M&E in project implementation.
- In describing all lessons learned, an explicit distinction needs to be made between those lessons applicable only to this project, and lessons that may be of value more broadly, including to other, similar projects in the UNDP/GEF pipeline and portfolio.

The Report of the TE will be a stand-alone document that substantiates its recommendations and conclusions.



The Report will be targeted at meeting the Evaluation needs of all key stakeholders (GEF, UNDP, FFA, SPC, SPREP and stakeholders in Participating Countries).

### **III. Scope**

Three main OFM Component IWP elements to be evaluated include Delivery, Implementation and Finances. Each component will be evaluated using three criteria: effectiveness, efficiency and timeliness.

#### **Programme Delivery**

The TE will assess to what extent the IWP has achieved its immediate objectives? It will also identify what outputs have been produced and how they have enabled the SAP to achieve its objectives?

The section will include an assessment of the following priority areas:

1. Institutional arrangements
  - Strategic planning, preparatory work and implementation strategies,
  - Consultative processes,
  - Technical support,
  - Capacity building initiatives,
  - Programme outputs,
  - Assumptions and risks, and
  - Programme-related complementary activities.
2. Outcomes:
  - Efficiency of IWP activities,
  - Progress in the achievement of immediate objectives (level of indicator achievements when available), and
  - Quality of IWP activities
3. Partnerships
  - Assessment of regional collaboration between governments, intergovernmental and non-governmental organizations,
  - Assessment of national-level involvement and perceptions
  - Assessment of local partnerships, and
  - Involvement of other stakeholders
4. Risk Management:
  - Were problems/ constraints, which impacted on the successful delivery of the IWP identified at project design?



- Were there new threats/risks to project success that emerged during project implementation?
- Were both kinds of risk appropriately dealt with?
- Are they likely to be repeated in future phases?

#### 5. Monitoring and evaluation:

- Assess the extent, appropriateness and effectiveness of adaptive management in project implementation
- Has there been a monitoring and evaluation framework for the IWP?
- Is the reporting framework effective/appropriate?
- Has M&E been used as a management tool in directing project implementation in a timely manner?
- Is this framework suitable for replication/ continuation for any future Programme support?

### **Programme Implementation**

Review the IWP's management structure and implementation arrangements at all levels, in order to provide an opinion on its efficiency and cost-effectiveness.. This includes:

#### 1. Processes and administration:

- Programme-related administration procedures,
- Milestones;
- Key decisions and outputs;
- Major Programme implementation documents prepared with an indication of how the documents and reports have been useful, and
- Processes to support national components of the Programme.

#### 2. Programme oversight:

- GEF
- UNDP
- SPREP
- SPC
- FFA
- Participating country mechanisms

#### 3. Programme execution:

- SPREP as the Executing Agency (under the UNDP National Execution (NEX) modality)
- SPC and FFA
- The PCU





- National functions.
4. Programme implementation:
- UNDP as the Implementing Agency
5. Comparative assessment
- Compare the IWP's overview (GEF/UNDP), execution (SPREP, FFA and SPC) and implementation (PCU, National Lead Agencies, National Coordinators, etc) elements of the Programme with similar regional natural resource management programmes in the Pacific and elsewhere. Provide an opinion on the appropriateness and relevance of the structure and recommend alternatives (if required) for future consideration.

### **Programme Finances**

How well and cost-effective did financial arrangements of the IWP worked? This section will focus on the following three priority areas:

1. Programme disbursements. Specifically:
  - Provide an overview of actual spending vs. budget expectations
  - With appropriate explanation and background provide a breakdown of the ratio of funds spent “directly” in-country against total funds spent
  - With appropriate explanation and background provide a breakdown of the ratio of funds spent “indirectly” in-country (i.e. external consultants and regional training) against total funds spent, and
  - Critically analyse disbursements to determine if funds have been applied effectively and efficiently.
2. Budget procedures
  - Did the Project Document provide enough guidance on how to allocate the budget?
  - Review of audits and any issues raised in audits; and subsequent adjustments to accommodate audit recommendations;
  - Review the changes to fund allocations as a result of budget revisions and provide an opinion on the appropriateness and relevance of such revisions, taking into account the increased duration of the IWP.
3. Coordinating mechanisms
  - Evaluate appropriateness and efficiency of coordinating mechanisms between national agencies, SPREP (including internal coordination), FFA, SPC, UNDP and the GEF.
  - Does the IWP/SAP approach represent an effective means of achieving the objective of the OFM Component of the IWP? How can the approach be improved?





## IV. Methodology

The TE will be undertaken through a combination of processes including desk research, visits to selected participating countries, questionnaires and interviews - involving all stakeholders, including (but not restricted to): UNDP (Apia), GEF, SPREP, FFA, SPC, participating Governments, National NGOs, communities, resource users and local governments.

The methodology for the study is envisaged to cover the following areas:

- Desk study review of all relevant IWP documentation;
- Possible Apia, Honiara and Noumea-based consultations with UNDP, SPREP, FFA, SPC, and the PCU;
- Visits to as many participating countries as feasible within budgetary and timeframe constraints, and
- Possible participation in a regional consultation of senior fisheries officials (FFC) to discuss the TE Report in Kiribati in May 2004.

## V. Products

The main product of the Evaluation will be:

- A Terminal Evaluation Report based on the general format outline at Annex 1.

### Terminal Evaluation Report:

The Terminal Evaluation report will include: i) findings and conclusions in relation to the issues to be addressed identified under sections II and III of this TOR; ii) assessment of gaps and/or additional measures needed that might justify future GEF investment in the Pacific Islands region, and iii) guidance for future investments (mechanisms, scale, themes, location, etc).

The Evaluation Report will be written in the format outlined in Annex 1. It will be submitted to UNDP, SPREP, FFA and SPC by 1<sup>st</sup> March 2004. The final report will be formally presented to the 2004 annual session of the Forum Fisheries Committee (FFC) in May 2004. It will also be forwarded to the GEF for review and extraction of broadly applicable lessons by the Independent M&E Unit.

The reviewers will provide UNDP, FFA, SPC and SPREP with an electronic copy of the final reports at the time of their submission.

### **Reviewer Attributes:**



#### *Team Leader:*

- Academic and/or professional background in institutional aspects of oceanic fisheries resource management. A minimum of 15 years relevant experience;
- Detailed knowledge of the international sustainable development agenda, with particular emphasis on regional priorities of the South Pacific. Knowledge of regional groupings structures, priorities and operations;
- Experience in the evaluation of technical assistance projects, preferably with UNDP or other United Nations development agencies and major donors;
- Experience in the evaluation of GEF-funded international waters and/or biodiversity conservation projects;
- Excellent English writing and communication skills. Demonstrated ability to assess complex situations in order to succinctly and clearly distill critical issues and draw forward looking conclusions;
- Experience leading multi-disciplinary, multi-national teams to deliver quality products in high stress, short deadline situations;
- Proven capacity in working across the levels of institutions from policy, to legislation, regulation, and organisations;
- An ability to assess institutional capacity and incentives, and
- Excellent facilitation skills

#### *Resource Specialist*

- Academic and professional background in oceanic fisheries resource research and/or management – preferably in Pacific Island environments;
- An understanding of GEF principles and expected impacts in terms of global benefits;
- A minimum of 15 years relevant working experience;
- Experience in implementation or evaluation of technical assistance projects;
- an understanding of UNDP, FFA and SPC activities and operational procedures in the Pacific Islands region;
- Skills and experience in OFM-related processes and programmes;
- Excellent English writing and communication skills, and
- Excellent facilitation skills

At least one of the Reviewers will be a Pacific Island national.

## **VI. Tentative Schedule**

August 2003	Calls for Expressions of Interest
September 30 2003	Expressions of Interest close
October 31 2003	Selection of Reviewers



January 1 2004  
February 29 2004  
May 2004

Reviewers commence the Evaluation  
Final Report submitted to UNDP, FFA, SPC and SPREP  
Annual Session of the Forum Fisheries Committee

## V. Report Submission

The report will be submitted simultaneously to:

Ms Joyce Yu,  
Resident Representative,  
UNDP,  
Private Mail Bag,  
Apia,  
Samoa  
(to the attention of Mr Tom Twining-Ward [tom.twining-ward@undp.org](mailto:tom.twining-ward@undp.org)).

AND

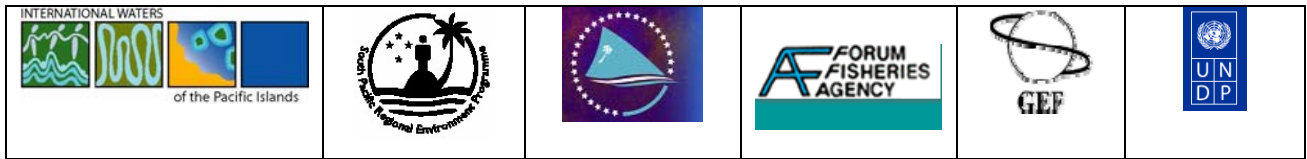
Mr Asterio Takesy,  
Director,  
South Pacific Regional Environment Programme,  
PO Box 240  
Apia  
Samoa  
(to the attention of Mr Andrew Wright [drew@sprep.org.ws](mailto:drew@sprep.org.ws))

AND

Mr Feleti Teo  
Director  
Forum Fisheries Agency  
PO Box 629  
Honiara  
Solomon Islands  
[feleti.teo@ffa.int](mailto:feleti.teo@ffa.int)

AND

Dr John Hampton  
Oceanic Fisheries Program Manager  
Secretariat for the Pacific Community  
PO Box D5,



Noumea Cedex  
New Caledonia  
[John.Hampton@spc.int](mailto:John.Hampton@spc.int)

## **Additional Information**

Additional information is available at [www.sprep.org/iwp](http://www.sprep.org/iwp)



## Annex I

### EVALUATION REPORT: SAMPLE OUTLINE

(Minimum GEF requirements<sup>1</sup> are underlined)

#### Executive summary

- Brief description of project
- Context and purpose of the evaluation
- Main conclusions, recommendations and lessons learned

#### Introduction

- Purpose of the evaluation
- Key issues addressed
- Methodology of the evaluation
- Structure of the evaluation

#### The project(s) and its development context

- Project start and its duration
- Problems that the project seek to address
- Immediate and development objectives of the project
- Main stakeholders
- Results expected

#### Findings and Conclusions

- Project formulation
- Implementation
- Stakeholder participation
- Replication approach
- Cost-effectiveness
- UNDP comparative advantage
- Linkages between project and other interventions within the sector
- Indicators
  
- Implementation
- Delivery
- Financial Management
- Monitoring and evaluation
- Execution and implementation modalities
- Management by the UNDP country office and other partners
- Coordination and operational issues
  
- Results
- Attainment of objectives

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<sup>1</sup> Please refer to GEF guidelines for explanation of Terminology



- Sustainability
- Contribution to upgrading skills of the national staff

### **Recommendations**

- Corrective actions for the design, implementation, monitoring and evaluation for consideration in future projects
- Actions to follow up or reinforce initial benefits from the project
- Proposals for future directions underlining main objectives

### **Lessons learned**

- Best and worst practices in addressing issues relating to relevance, performance and success

### **Annexes**

- TOR
- Itinerary
- List of persons interviewed
- Summary of field visits
- List of documents reviewed
- Questionnaire used and summary of results