



# **GloBallast Partnerships Project Mid-Term Evaluation (MTE) January 2012 *Final Report***

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The GloBallast Partnerships Programme is a co-operative initiative of the Global Environment Facility (GEF), the United Nations Development Programme (UNDP) and the International Maritime Organization (IMO) to assist developing countries to reduce the transfer of harmful aquatic organisms and pathogens in ships' ballast water and sediments and to assist the countries in implementing the International Convention on Ballast Water Management. For more information, please visit <http://globallast.imo.org>.

**MID-TERM EVALUATION OF  
GEF PROJECT ID 2261 - UNDP PMIS ID3050 ENTITLED**

**“BUILDING PARTNERSHIPS TO ASSIST DEVELOPING COUNTRIES TO REDUCE THE TRANSFER OF  
HARMFUL AQUATIC ORGANISMS IN SHIPS' BALLAST WATER (GLOBALLAST PARTNERSHIPS)”**

**Table of Contents**

Acknowledgements and Disclaimer	1
Acronyms and Abbreviations	2
Executive Summary	3
Recommendations	10
1. Introduction	14
2. Purpose, Scope and Documentation	16
<u>2.1 Purpose and scope of the evaluation</u>	16
<u>2.2 Project documentation</u>	17
3. Project formulation	19
4. Project evaluation	21
<u>4.1 Implementation</u>	21
4.1.1 Summary & evaluation of the Project to date and progress in achieving the overall objectives	21
4.1.2 Summary of progress in participating countries (PCs and LPCs) and regions	24
4.1.3 Performance of the Project in relation to the indicators, assumptions and risks specified in the logical framework matrix and the Project Document	31
4.1.4 Scope, quality and significance of Project outputs and outcomes produced to date in relation to expected results	34
4.1.5 Relevance of the Project intervention in relation to IMO's work to encourage a harmonized and timely ratification and implementation of the BWM Convention	37
4.1.6 Roles, responsibilities and effectiveness	39
4.1.7 Coordination, management and administration provided by the PCU	44
4.1.8 Programmatic & financial adjustments in the first 3.5 years	47
4.1.9 Co-financing and public-private partnerships	48
4.1.10 Outputs and outcomes beyond those specified in the Project Document	49
<u>4.2 Achievement of results</u>	51
4.2.1 Prognosis concerning the degree to which the overall objectives and expected outputs of the Project are likely to be met	51
4.2.2 Possibilities for the terminal evaluation to measure Project impacts in the context of IAS and the BWM Convention	55

4.2.3	Progress towards sustainability and replication of project activities	56
4.2.4	Adjustments to the overall Project work-plan & timetable so as to enhance the achievement of Project objectives and outcomes	57
<u>4.3</u>	<u>Project ratings</u>	59
5.	Best practices and lessons learned	62
References		66
<u>Annexes</u>		
1.	Terms of Reference - Scope of the Mid-Term Evaluation	68
2.	List of persons consulted for the GBP Mid-Term Evaluation	71
3.	Questions to Lead Partnering Countries and summary of responses	72
4.	Questionnaire to Pilot Countries (July 2011)	76
5.	Progress in BWM at regional level – a case history	77
6.	List of materials consulted	79

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### **Disclaimer**

***This report is the work of an independent consultant and does not necessarily represent the views, or policy, or intentions of the GEF, UNDP or IMO.***

## **ACRONYMS & ABBREVIATIONS**

(used in this report)

APR	Annual Progress report
BW	Ballast Water
BWM	Ballast Water Management
CME	Compliance, Monitoring & Enforcement
CPPS	Permanent Commission for the South Pacific
EBRD	European Bank for Reconstruction and Development
ExCom	Executive Committee
GBP	GloBallast Partnerships
GEF	Global Environment Facility
GIA	Global Industrial Alliance
GISP	Global Invasive Species Programme
GPTF	Global project Task Force
HELCOM	Helsinki Commission
IAS	Invasive Alien Species
IMAREST	Institute of Marine Engineering, Science & Technology
IMO	International Maritime Organization
IUCN	International Council for the Conservation of Nature
LPC	Lead Partnering Country
MEPC	Marine Environment Protection Committee
NBWMS	National Ballast Water Management Strategy
OSPAR	The Oslo and Paris Commissions
PC	Pilot Country
PCU	Project Coordination Unit
PD	Project Document
PLF	Project Logical Framework
QPR	Quarterly Progress Report
RAP	Regional Action Plan
RCO	Regional Coordinating Organization
ROPME	Regional Organization for Protection of the Marine Environment - Kuwait
RSP	Regional Seas Programme
SPREP	Secretariat of the Pacific Regional Environment Programme
UNDP	United Nations Development Programme
WCAR	West and Central Africa Region
WMU	World Maritime University

## EXECUTIVE SUMMARY

1. **The context:** GloBallast Partnerships (GBP) is designed to assist developing countries vulnerable to the impacts of marine bio-invasions to implement the Ballast Water Management convention adopted by member states of the International Maritime Organization (IMO) in 2004. This 7-year project (2008-14), developed by IMO in Collaboration with the Global Environment Facility (GEF) and the United Nations Development Programme (UNDP), builds on the previous GloBallast project (2000-04) and assists selected Lead Party Countries (LPCs) in raising awareness and building capacity for ballast water management (BWM).
2. **The objective:** The overall goal of the GloBallast programme is to remove barriers to the effective implementation of ballast water control and management measures in developing countries. The main objective of GBP is *to assist vulnerable developing countries to implement sustainable, risk-based mechanisms for the management and control of ships' ballast water and sediments so as to minimize the adverse impacts of aquatic invasive species transferred by ships*. It does this by assisting LPCs to carry out the policy, legal and institutional reforms that are prerequisite to the implementation of the BWM Convention, by providing the training and support for building national capacity in BWM and by generally raising awareness of the social and economic implications of BW mediated bioinvasions.
3. **This evaluation:** This Mid-Term Evaluation (MTE) is an integral part of project management within the UN system and forms part of the GBP project work plan. It starts by examining the Project Document (PD) which explains how the Project is formulated and then evaluates the performance of the Project, the progress made in achieving the planned outcomes and objectives, the management structure and financial arrangements. It identifies some of the more important lessons learned as well as best practices that might benefit other UN sponsored projects. Finally, it identifies issues and adjustments to the work plan that should be considered during the remaining years of the Project.
4. The key questions underlying this mid-term evaluation are how well the Project is progressing towards achievement of its objectives and whether or not, in the view of the Evaluator, the objectives will be achieved at the end of the Project. Subject to the conclusions on these two issues, a secondary question is what changes in the following years of the project will improve its chances of success. Numerous factors can influence such an undertaking. Thus, the evaluation needs to distinguish between circumstances that are within the control of the Project and its management team, and those that are not. In some cases it may be possible to take actions that can divert a potential problem, or overcome or reverse an existing one. In other cases, such as the downturn in the world economy and its impact on government expenditure, there are no practical solutions. Where relevant, the evaluation attempts to take these factors into account.

5. ***Project formulation:*** The Project aims at risk reduction through a multi-component process, implicitly recognizing that although the contribution of any particular component may be small and unquantifiable, the combined effect of the various activities, if carried out as intended, should significantly reduce the risk of ballast water mediated bioinvasions. This is an entirely reasonable assertion. The use of risk assessment is consistently advocated in relation to compliance monitoring and enforcement (CME). The factors involved in initiating invasions of species transported in ballast water are complex and, in general, still poorly understood. Thus, in the absence of a standardized system for risk assessment, the development of BWM procedures allows a degree of discretion and flexibility that will differ between countries, depending on national capacities and levels of expertise. The PD recognizes this difficulty and includes an activity (2.7.1) to refine and harmonize CME approaches as experience is gained. This will be critical to the success of the Project. With this caveat, the Evaluator finds that the Project design is clear and logical, although somewhat ambitious within the original time-frame.
6. ***The institutional framework:*** The institutional framework created in support of the GBP Project is broadly based and well-suited to the task of optimizing the global response to marine bioinvasions resulting from ballast water discharges. The collaboration between GEF-UNDP (the implementing agency) and IMO (the executing agency) has been harmonious and fruitful and exemplifies an effective mechanism for the UN system in assisting developing countries to put in place necessary measures for marine environmental protection. GEF-UNDP has been instrumental in the establishment of GBP, in allocating funds to initiate and prepare for the Project and playing a major role in developing the Project Document which sets the overall objectives of the Project, identifies the anticipated outcomes and related indicators, and details the activities to be carried out along with estimated budgets and timescales. The pivotal role in GBP is carried by the PCU. The PCU is the driving force of the Project without which the critical elements of GBP could not be delivered nor could the goals of the Project be achieved. Despite an extremely lean staff complement (see below and Recommendation 7), the unit is active and highly influential on all 3 geographical scales. A high degree of collaboration exists between the PCU and its IMO colleagues within the Marine Environment Division, IMO Technical Cooperation Programme and IMO Financial Services. Working relationships are excellent and there is an attitude of mutual understanding and support that facilitates adaptive management and efficient management of GBP budgets.
7. The staff complement of the PCU is extremely lean for the range of functions it is expected to perform and its overall work-load. Coupled to this, the timetable of events spread over a dozen regions is such that one or more PCU member is scheduled to participate in an event (sometimes a series of events) away from headquarters almost every week of the year. When back at base, the same individuals have a large number of domestic and client-related duties to perform as well as coping with new demands and eventualities. Under these circumstances, the absence of any major disruptions to the work-plan during the past 3 years is, in the Evaluator's opinion, astonishing. It reflects an unusual degree of dedication,



competence, efficiency and professionalism by PCU staff. Nevertheless, such pressures are unreasonable, cannot be absorbed indefinitely and must inevitably bring into question the staffing provisions of the Project Document which clearly did not allow for the expansion in the work-plan which has been made possible by the success in leveraging significant co-funding for the GBP Project. Even without this increase in activity, it would appear that expectations regarding the capacity of a 3-person PCU to manage, as well as to provide technical advisory services, to a global project of this scale and complexity were somewhat unrealistic, even with the valuable assistance provided by RCOs.

8. **Governing bodies:** The Project Executive Committee (ExCom) is a forum for dialogue between the sponsoring UN agencies (IMO and GEF-UNDP) and the PCU which has responsibility for the day-to-day management of the Project. It monitors progress, discusses any emerging issues relating to Project management and financing and takes decisions at the highest level. It provides an important safeguard over the financial sustainability of the Project and an opportunity for key issues to be raised at senior level within the agencies. It is a small group that works efficiently and economically. The much larger Global Project Task Force (GPTF), provides a mechanism for the necessary endorsements required by the GBP Project management as well as an opportunity for key stakeholders to query strategies and work plans and to make constructive suggestions for changes or improvements. These attributes justify its existence. The GPTF is charged with providing 'strategic advice' and 'guidance', to ensure achievement of Project objectives in a co-ordinated, efficient and cost-effective manner. However, it seems from the very concise records of GPTF meetings that few, if any, of the discussions have provided the 'strategic policy and management direction' or 'guidance' envisaged by the Terms of Reference. Overall, the level of engagement of participants at GPTF meetings appears low. Whether or not the current mechanism offers value for money is questionable. Possible alternative arrangements include the use of teleconferencing, participation only on the basis of advance written submissions or moving to a series of regional meetings (with the same ToRs) held in conjunction with RTF meetings.
9. **General progress:** The planned outputs and activities of the Project are categorized in accordance with four principal outcomes: i) Learning, evaluation and adaptive management; ii) Ballast water management strategies in place and legal, policy and institutional reforms implemented and sustained at national level; iii) Knowledge management and electronic communications systems developed and utilised and iv) Public-private partnerships developed for accelerating technology solutions. These outcomes are fundamental to the design of the GBP Project and the mechanisms used to implement it. Approximately half of the activities and events occurring between January 2008 and March 2011 contributed to Outcome 1, a quarter to Outcome 2 and about 20% and 5% to Outcomes 4 and 3 respectively. A PCU report in September 31<sup>st</sup> 2010 noted that approximately 60% progress had been achieved at the global and regional levels of Project implementation i.e. all global and regional targets set for the end of 2009 had either been met or exceeded. The report also noted that progress at national level (Outcome 2) had

been slower, although according to the Project design greater momentum at national level would not have been expected until the end of Year 3 (2010). The success of the Project to a large extent will depend on the efficient delivery of the planned activities under Outcome 2. Thus, the PCU devoted considerable time and effort to Outcome 2 in the second quarter of the Project and most targets have been met within the envisaged time-frame. The evaluation predicts that most intended outcomes will be achieved by the end of the Project.

10. Progress at national level is reflected by changes in policy, legislation and institutional structures, the establishment of national task forces and action plans but, especially in the case of LPCs, there should also be tangible evidence of a fast-track approach to ratification, training, sustainable funding and regional outreach activities. To date, only a few LPCs have been able to demonstrate such progress and momentum. On the other hand a majority of countries have made significant strides in developing their national capacities for BWM. Most LPCs are well on the way to completing the preparatory steps (i.e. institutional arrangements, legislative reforms etc.) that are part of the BWM implementation strategy developed by GBP. At Project mid-term, GBP has successfully delivered to LPCs the information, guidance and assistance needed to undertake the institutional, legal and other reforms that are part of developing national BWM strategies and programmes. In this respect, the Project is on schedule to achieve its most important outputs and objectives by the end of 2014.
11. The number of PCs and LPCs that have ratified the BWM Convention is, however, low and possibly below expectations. Only three of the 6 pilot countries and three of the 15 LPCs have ratified to date, although several more LPCs (Jamaica, Trinidad and Tobago and Turkey (PCU pers. com.)) are expected to do so in the near future. This undoubtedly reflects the slow pace of legislative processes in many countries and the reality that marine environmental issues are not always accorded high priority by the legislature. In the case of 3 pilot countries that have yet to ratify the Convention, it is now more than a decade since they commenced their BWM programmes under Phase 1 of GloBallast. However, the ratification process is going through the parliamentary discussions in India whereas China had re-focussed on developing in-house technologies for ballast water treatment.
12. LPC involvement at regional level is less evident and feedback from regions on the status of BWM is poor. Only three of the 12 national presentations to the 2010 GPTF meeting stated explicitly that the countries concerned were actively engaged in regional activities. Although the rate of BWM implementation in non-LPC and non-PC countries varies widely, and diffusion of expertise across regions is slow, there has been progress in creating structures and mechanisms for regional cooperation. As a result of the GloBallast intervention, Regional Tasks Forces (RTFs) have been formed in 14 developing sub-regions and Regional Action Plans (RAPs) on ballast water control and management have been developed and adopted involving more than 100 countries. However, there is need for better information on activities at regional level, for example by more regular reports from RCOs focusing on progress towards ratification of the BWM Convention, the application

of advice and training received at regional seminars and workshops and the implementation of regional strategies within individual States.

13. Whereas the evaluation finds that the number of planned activities at global level facilitated and completed by GBP has met or exceeded expectations, it finds no room for complacency as progress at national and regional levels is in some cases slower than expected and indicates a need for continuous support and encouragement. In this context, it is important to emphasize that until it can be established that a large majority of ballasted vessels arriving at their destinations are being actively checked and found to comply with the provisions of the BWM Convention, the *risks* remain high.
14. Overall, the progress towards achievement of the objectives over the first half of the Project, from establishment of the management system, to the stimulating of activities at national level, the preparation of educational and guidance materials, the delivery of seminars and workshops, the forging of relationships with strategic partners and industry and to the initiation of longer-term activities, is commendable. The rate of progress, however, has been constrained by a number of factors beyond the immediate control of the Project and the PCU, including the lack of agreed BWM port state control procedures and uncertainties related to sampling, monitoring and treatment techniques (currently being addressed within IMO), and in particular the global economic crisis. The BWM programmes of some countries in the Arab region have also been delayed by political instability.
15. The global economic situation and instances of political instability exemplify problems that cannot be resolved by GBP and its management team and that hamper the achievement of targets set by the Project Document. The main impact of these factors is likely to be a delay in meeting certain objectives in participating countries that are most affected by economic and political difficulties. Other factors that are beyond the control of the Project are the reluctance of some countries to ratify the BWM Convention until it comes into force<sup>1</sup>, in other cases the slow pace of the legislative process, shortages of funding and expertise to implement CME procedures and personnel changes in relevant government agencies. GBP focuses on raising awareness of, building national capacities for, BWM through a process of training, guidance and technical assistance. With regard to national funding for BWM, the application of this assistance package, and ultimately the efficacy of the BWM measures introduced, is primarily a national responsibility. Participating countries are generally well aware of this situation.
16. **Quality, scope & significance of outputs:** The scope of products generated by the Project during the extended first-half of the Project is wide, spanning all the major categories of activity envisaged by the Project Document under all of the 4 planned Outcomes. In the three and a half years since GBP commenced, the Project completed 286 separate activities (documents produced, meetings and seminars

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<sup>1</sup> Currently the Convention has been ratified by the minimum number of countries required for entry-into-force(30) but the shipping tonnage represented by these countries is below the required threshold (not less than 35% of the gross tonnage of the world's merchant fleet).

organised and attended, training packages delivered, consultants provided etc.). There is no doubt that persons introduced to the GBP system for improving awareness of the need for BWM, and for developing the necessary expertise and capacity, are impressed by the materials and functions they are exposed to and that the key messages are being transmitted in ways that are authoritative and readily understandable. This is a good indication of the quality of the products available. The materials used to raise awareness of BW issues and the GBP monographs relating to rapid status assessments, economic assessment and strategy development are clear and well constructed, providing pragmatic advice that even the least experienced countries should be able to apply. Overall, the Evaluator concludes that the quality of the products reviewed is excellent and well fitted to the purpose.

17. **Project performance:** By the end of the project all Lead Partnering Countries (LPC) are expected '*to demonstrate significant improvement in legal, policy and institutional structures, with corresponding reduced risk of ballast water borne marine bio-invasions*'. The indicators laid down by the project Document to signify that this target has been met are: i) All lead partnering countries (LPCs) have assigned a Lead Agency, formed a National Task Force and developed National Ballast Water Management Strategy (NBWMS); ii) Each LPC has revised its legal instruments, instituted a risk-based compliance monitoring and enforcement (CME) system, and established a sustainable financing structure for their national ballast water management program; iii) All lead participating countries are proceeding towards ratification of the IMO ballast water management Convention, with at least 10 LPCs ratified and implementing the Convention; iv) At least 3 neighbouring partnering countries developed draft NBWMS; v) The Regional Seas & LME conventions in each partner region include approved provisions supporting improved BWM, the BWM convention and BWM regional strategies.
  
18. At the half-way stage of the Project, it is evident that the provisions of Indicator 1 have been largely fulfilled and that significant but varying degrees of progress have been made with all other indicators. Activity in relation to Indicator 2 is currently at a high level with most LPCs either completing, or in the process of completing, necessary adjustments to national legislation to allow ratification and implementation of the BWMC. On the other hand, CME systems still present technical difficulties and some LPCs are awaiting development of a CME model that is currently a priority for the PCU (see Recommendation 4). Indicator 3 is an essential target for all LPCs but in many countries national ratification procedures have proved to be cumbersome and slow. To date, only three of the 15 LPCs have ratified the Convention, although a further two anticipate ratification by the end of 2011. The status of national outreach activities to encourage and assist LPC neighbouring countries to develop their national BWM strategies (Indicator 4) is variable between regions but the process is actively being coordinated by RCOs and through other regional initiatives. With regard to Indicator 5, there is widespread support for the implementation all IMO Conventions<sup>2</sup>, including the BWMC, within

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<sup>2</sup> RSP New Global Strategy (2008-2012), <http://www.unep.org/regionalseas/about/strategy/default.asp>

the Regional Seas Programme (RSP) as well as the independent RSCs of the Baltic, North-East Atlantic and Caspian Sea areas. A good example of inter-regional collaboration in BWM is the adoption of a joint voluntary interim arrangement on BW exchange between the Mediterranean, Baltic (HELCOM) and N-E Atlantic (OSPAR) sea areas.

19. **Relevance of the project to IMO and the BWM Convention:** Resolution 3, adopted at IMO in parallel with the BWM Convention in 2004, provides a strong mandate for the GBP Project. The resolution '*invites the Technical Co-operation Committee of IMO to continue providing for capacity-building activities on the control and management of ships' ballast water and sediments....in order to support the effective implementation and enforcement of the Convention by developing countries*'. In the absence of GBP or its equivalent, there would be a serious loss of momentum globally, both in bringing the Convention into force and in realising its effective implementation on a broad geographical scale. GBP has provided substantial assistance to developing countries in selected regions and there are clear signs that for many recipients this assistance has accelerated the ratification process through building the necessary expertise and capacities and facilitating the necessary reforms. However, not all countries have managed to adopt the fast-track approach to BWM development which they envisaged on entering the Project. Coupled to this, there is a large number of developing countries that do not benefit directly from GBP and in some GloBallast (Phase 1) pilot regions the assistance extended to developing countries is still quite limited. This leaves open the question of whether or not the scale of assistance enabled by GBP, even with the substantial co-funding that the Project has attracted since its inception, will be sufficient to catalyse an effective response to the BWM Convention in developing regions of the world.
20. **Sustainability:** The Evaluator concurs with the Project Document where it states that the best mechanism to ensure sustainability is widespread ratification of the BWM Convention amongst the 130 countries in the partner regions. This recognises the link between an effective global regime for reducing risks of BW mediated bioinvasions and the number of countries within each region that have established their BWM programmes on a sustainable basis. Replication and harmonisation of BWM strategies at regional scales is essential. Information on the current position with regard to financial sustainability of national BWM programmes is not readily available. When LPCs joined the Project, they committed a certain amount of time and co-financing to implement Project activities and, thus, the BWM Convention. All LPCs intend to have fully operational BWM programmes in place by the end of the Project (2014). Thus, it is reasonable to conclude that by the end of 2014 most LPCs will have instigated measures for long-term funding of BWM, either from national budgets, stakeholder partnerships, port fees, penalties or some combination thereof. To date, there is no evidence to the contrary.
21. **Lessons learned:** The main lessons learned from GBP to date that might benefit GEF-IW and other projects are: i) The importance of ensuring that the project time-frame is realistic, taking into account the scope of the work proposed and the

possibility that, for various reasons, progress in some developing countries assisted by the project may be considerably slower than anticipated; ii) The advantages of locating the project headquarters within an organization that has a direct interest in the outcome of the project and which can provide a variety of related support services; iii) The need to ensure that staffing levels within the management team are commensurate with the duties to be performed, taking into account the geographical and technical scope of the project and the responsibilities to be fulfilled at project headquarters, and in the field, respectively; iv) The recognition that public-private partnerships may constitute a source of co-financing combined with access to expertise and specialised services, facilitate research and development and thereby help to resolve outstanding issues and enhance the overall value of the project; v) The benefits to be gained by facilitating and encouraging adaptive management as a means of keeping the project on track under constantly changing circumstances and vi) The need to impress on participating countries the importance of retaining trained government personnel in their specialist BWM roles.

22. **Best practices:** In some respects the entire GBP Project could be considered an example of best practice. It is well designed, well managed, widely supported, attracts significant co-financing and is achieving its targets in a cost-effective manner. The Evaluator has no hesitation in recommending GBP as a model to be used for other marine environmental projects, including those that may form part of the GEF International Waters portfolio. On the other hand the Evaluator is unsure about the value of designating an entire project as 'best practice' and suggests that it may be more helpful to examine how experience with particular components of the Project might benefit future investments in capacity building for developing countries and regions, thereby enhancing environmental protection and management. Components of GBP that might be considered best practices include i) The logical structure of the Project; ii) The emphasis on objectives (as the guiding force behind national action plans); iii) The conceptual framework (sequence of required actions/reforms at national level) and iv) The coordination mechanism (PCU and RCOs, individually and in collaboration).

## RECOMMENDATIONS

1. The GBP model in terms of its overall design, and particularly its structure incorporating objectives, planned outputs, activities and indicators of achievement, is working well and can be confidently recommended for use by other complex environmental projects requiring major investment. To assist evaluation of such projects, there is a need for consistency in the way the objectives are stated, for example, in different parts of the Project Document.
2. Better and more frequent feedback from countries and regions on BWM implementation would improve abilities to monitor and evaluate progress and to identify needs and opportunities for additional support. The current system of biennial presentations by LPCs to GPTF meetings is insufficient and should be supplemented by annual written reports to the PCU using a standard format that

covers *inter alia* ratification status, the reform process, CME implementation and activities at regional level.

3. For the remainder of the Project, it is strongly recommended that special attention be given to meeting objectives focusing on regional cooperation (PLF Outcome 2), with particular reference to associated indicators such as PLF 2.2 and 2.4.2, as these indicators deserve high status in determining the overall success of the Project. To be fully effective, the BWM Convention needs to be implemented on broad geographical scales and, to the extent possible over the next 3 years, efforts to stimulate the introduction of BWM by participating countries should be intensified with a view to achieving the introduction of CME procedures at all major commercial ports within GBP regions. Achievement of regional objectives will signify that LPCs have proceeded well beyond their national borders in their efforts to deliver BWM and are committed to effective control of ballast water borne invasives at regional level. The GBP work plan should exploit any opportunities to maximize the regional component of the Project.
4. There is a pressing need to clarify, consolidate and finalise guidance on compliance monitoring and enforcement (CME) for purposes of the BWM Convention and it is recommended that every effort be made by IMO, its relevant committees and working groups, to expedite such guidance for rapid incorporation into the GBP training programme. The guidance should be comprehensive and should seek to remove current ambiguities such as the proposed use of shore-based reception facilities for non-compliant ballast water which, in reality, do not exist and are unlikely to be available in future. Advice on alternative means of treatment or disposal (e.g. designated offshore areas) for non-compliant ballast water should be included in the guidance. Greater clarity regarding methods for sampling ballast tanks (see for example Gollasch (2011)) and measurement of organisms referred to in Regulation D2 of the BWM Convention, is urgently required.
5. In order to maintain continuity in BWM at national level, GBP course material and PCU presenters should impress on government agencies and their officials the importance of retaining personnel trained in BWM in the relevant offices and positions. This message warrants particular emphasis. A number of countries have experienced significant delays (and reversals) in developing their BWM programmes due to changes in personnel, involving temporary losses in expertise and breakdown of communications between relevant institutions.
6. At times during the first half of the Project, the GBP work load has placed unreasonable demands on the PCU which has an extremely small staff complement. The pressures on PCU staff stem from the wide variety of managerial and programmatic tasks to be performed, as well as the geographical scale of the Project, and are compounded by substantial co-financing which has enabled a major increase in the number of activities that GBP can perform on behalf of participating countries. It is therefore recommended that:

- the work programme for any given period should be kept well within the capacity of the PCU to deliver it without excessive demands on individuals or the need to service one particular activity at the expense of other important PCU functions;
  - in keeping with the above, and recognizing that the presence of PCU officers at most GBP activities overseas is a major factor in the success of the Project, the professional and administrative staff complement of the Unit should be kept proportional to the number and duration of overseas activities;
  - the Chief Technical Advisor monitor the time allocation of PCU staff, ensuring that a reasonable balance is maintained between deployments at headquarters and in the field; and
  - as more GBP activities become routine, consultants and RCO representatives be delegated more frequently to represent the PCU and undertake awareness and training functions.
7. Whereas there is no compelling argument to change the GPTF format at this stage of GBP, for the benefit of future projects it is recommended that more productive and cost-effective models of such a governing body be explored. The aim would be to enhance dialogue and to improve feedback on progress within countries and regions. Possible new approaches might include the use of video/teleconferencing; participation only on the basis of advance written submissions, or an expressed intention to discuss an issue or make proposals under a particular agenda item; or moving to a series of regional meetings (with the same ToRs) held in conjunction with RTF meetings. Such meeting could also be used as a training platform on specialized strategic issues, by arranging back-to-back training workshops.
8. It is recommended that publicity given to IMO-GBP public-private partnerships should avoid overstating benefits and outcomes until tangible results, specific targets or objectives, have been achieved. Without proper substantiation, exaggerated claims concerning the 'success' of these important initiatives, especially during their early stages, are unconvincing and could diminish the credibility of the projects and partnerships concerned.
9. The preparation of a global policy and strategy for advancing BWM worldwide between now and 2020 is strongly recommended. While GBP has 3 more years to run, there are good reasons for IMO and GEF-UNDP to begin considering the future of the GloBallast programme. In some countries and regions, momentum with regard to implementation of the BWM Convention is weak and needs to be re-energised. Although not within the remit of GBP, several Pilot Countries (e.g. China, South Africa) would benefit from additional seminars to stimulate their national BWM programmes and, including in the case of Brazil, to encourage greater participation at regional level. The RCO of at least one GBP region (CPPS) believes that further assistance in expanding BWM within the region will be required post-2014. This leaves open the question of whether or not the scale of assistance enabled by GBP, even with the substantial co-funding that the Project has attracted



since its inception, will be sufficient to catalyse a quantum leap in responding to the BWM Convention in the main developing regions of the world.

10. To assist non-LPCs in participating regions to develop their national BWM capabilities, thereby extending compliance with the BWM Convention within the region, it would be useful to develop and make available a condensed written version of the GBP approach to BWM capacity building as presented in the Project Document. This would outline the recommended pathway to the necessary national reforms, the development of a national strategy and infrastructure for BWM and approaches to training, financing and implementing CME at major commercial ports. This synopsis of the GBP approach would be applied in conjunction with other available GBP guidance as given in the relevant monographs and other training manuals. It is recommended that the synopsis be added to the GBP website and widely publicised within regional task forces and through RCOs.
11. The Global Industrial Alliance (GIA) is a public-private partnership of significant potential benefit to the GBP project as it promotes the BWM Convention within the wider shipping industry, including designers and manufacturers of BW treatment systems, with the intention of stimulating research and development aimed at the creation of improved BWM technologies. At present the secretarial functions for the GIA are performed by the PCU, without any particular individual within the PCU having a specific GIA brief or serving as the focal point for GIA activity management. This arrangement is not ideally suited to maintaining a dynamic GIA programme, monitoring its performance or identifying new ideas and approaches that will produce tangible results within a reasonable time-frame. It is therefore recommended that, as and when the PCU professional staff complement is increased (e.g. by an additional professional), that GIA secretarial functions should be made a specified part (e.g. 25%) of the job description for the new staff member; the GIA budget could be used to fund the relevant portion of their salary, subject to the approval of the GIA Task Force or specific GBP budget may be made available for this purpose.

## 1. INTRODUCTION

The transfer of organisms beyond their natural ranges through containment in ship's ballast water, and their proliferation in areas where ballast water is discharged, is a world-wide problem that can have significant ecological and socio-economic impacts. There is substantial evidence in the scientific literature concerning the impacts of invasive alien species (IAS) in both marine and freshwater ecosystems on all seven continents. Shipping is an important vector for marine organisms (Hewitt et al., 2009). The Ballast Water Management Convention (BWMC 2004) specifically addresses the risks that ballast water represents as a vector of IAS and provides a framework for global action to reduce, and eventually to minimize, these risks.

The transfer of invasive aquatic species in ballast water is perhaps the biggest environmental challenge facing the global shipping industry. The introduction of potentially invasive species and pathogens to new environments, including via shipping-related vectors such as ballast water and hull fouling, have been identified as one of the four greatest threats to marine bio-diversity and ecosystems (Carlton 2000). An estimated 3-5 billion tonnes of ballast water are carried around the world by ships each year (Endresen et al., 2003). The global economic impacts of invasive aquatic species, through disruption to fisheries and industry, and interference with human amenity, have been estimated at US\$100 billion per annum (Chisholm in prep).

Without concerted international action, it is likely that the impacts of aquatic bioinvasions will increase as global economic activity and the transport of goods and materials around the world by ship, and therefore volumes of ballast water, increase. Developing regions are particularly at risk as new markets, and therefore ports and shipping routes, are opened in these areas. The impact of aquatic bioinvasions on developing countries, especially some small island communities, may be exacerbated by their reliance on coastal resources and tourism.

Ballasting ensures the stability and safety of unladen vessels. It is a practice that has continued for thousands of years and one that is essential to the shipping industry. Thus, despite the wide recognition that ballast water is responsible for the transport of organisms well beyond their natural ranges, this is not a practice that could be discontinued without major disruption to international trade. Accordingly, the preferred response of the shipping and environmental communities has been to promote the concept of ballast water management (BWM) as a means of reducing the range and quantity of organisms carried in this way. The BWM Convention provides for various approaches to management ranging from risk assessments for vessels operating only between specified ecological regimes, to exchange of ballast water at sea, to the replacement, removal and/or eradication of organisms in ballast water prior to discharge at destination ports. The current most widely used option, exchange at sea, is due to be discontinued at the end of 2015.

To be effective, the Convention must first be ratified and implemented by a majority of coastal states, especially states with large commercial ports that are the terminals of major shipping routes where ballasting and de-ballasting are regular occurrences. For this to happen, there must be firm political support within coastal states for the campaign to reduce alien species introductions. This, in turn, requires an understanding by states of the lasting damage that may be caused by alien species and the associated costs to society and the economy. It also requires an acceptance by governments

that effective implementation of the BWM Convention may require changes in national legislation and as well as institutional and other reforms.

The GloBallast Project was initiated by GEF/UNDP/IMO in February 2000, with the overall goal of the project being to '*remove barriers to the effective implementation of ballast water control and management measures in developing countries*'. The first phase (Pilot Project), which operated through six demonstration sites located in six countries representing the main developing regions of the world, concluded at the end of 2004.

Following a detailed assessment of progress in the first phase of the GloBallast project, as well as an analysis of future needs, consultations with stakeholders and development of a project design, a second, full-scale phase of the project commenced in 2008. This phase, described as *Building Partnerships to Reduce Transfer of Harmful Aquatic Organisms in Ships' Ballast Water*, is known as GloBallast Partnerships (GBP) and will continue to the end of 2014. GBP aims to expand and build on Phase 1 of the project and focuses on assisting especially vulnerable and sensitive countries<sup>3</sup>.

The present document evaluates the progress made by GBP at approximately its half-way stage. This is a standard practice for major projects involving UN agencies and is included as a scheduled activity in the GBP Project Document. The key questions underlying this mid-term evaluation are how well the Project is progressing towards achievement of its objectives and whether or not, in the view of the Evaluator, the objectives will be achieved at the end of the Project. Thus, the evaluation needs to distinguish between circumstances that are within the control of the Project and its management team, and those that are not. In some cases it may be possible to take actions that can divert a potential problem, or overcome or reverse an existing one. In other cases, such as the downturn in the world economy and its impact on government services, the only recourse is to adjust to the situation through a process of adaptive project management. GBP focuses on raising awareness of BWM issues and building national capacities for BWM through a process of training, guidance and technical assistance. The application of this assistance package, and ultimately the efficacy of the BWM measures introduced, is primarily a national responsibility.

The evaluation is based on reviews of documentation produced prior to and during the Project (see Chapter 2 and Annex 6), records maintained by the Project Coordination Unit (PCU) and interviews with representatives of participating countries, Regional Coordination Organizations (RCOs), strategic partners, members of the implementing (UNDP) and executing (IMO) agencies and PCU staff members. A list of persons interviewed is given at Annex 2.

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<sup>3</sup> The main goal of the GBP is to assist vulnerable developing countries to implement sustainable, risk-based mechanisms for the management and control of ships' ballast water and sediments in order to minimize the adverse impacts of aquatic invasive species transferred by ships (Proc. 2nd Global Project Task Force (GPTF) Meeting, London 2010, Annex 9).

## **2. PURPOSE, SCOPE AND DOCUMENTATION**

### **2.1 Purpose and scope of the evaluation**

The purpose of the Mid-Term Evaluation (MTE) is to examine the performance of the project since the beginning of its implementation. It evaluates progress in project implementation measured against the planned outcomes and indicators as described in the Project Document.

The MTE is intended to identify weaknesses and strengths of the project design and to develop recommendations for any necessary changes in the overall design and orientation of the project. Accordingly, it should evaluate the adequacy, efficiency, and effectiveness of Project implementation, as well as assessing Project outputs and outcomes to date. It should also consider the need for adjustments to the work plan for the remaining period of the project.

On the basis of the work to date, the MTE should also attempt to derive from the Project any lessons learned and best practices that might benefit future and on-going projects within GEF International Waters portfolio.

The scope of the evaluation comprises the following elements:

#### *Project Formulation*

An assessment of whether the Project design is clear, logical and realistic within the time and resources available.

#### *Project Implementation*

A summary and evaluation of the Project and all of its major components undertaken to date and a determination of progress toward achievement of its overall objectives. This includes, *inter alia*: a) an assessment of the scope, quality and significance of Project outputs and outcomes in relation to expected results; b) a summary of the progress in each of the participating countries and regions; c) an evaluation of Project coordination, management and administration (including governing bodies); d) an assessment of funding arrangements for the Project and e) an assessment of the adaptive management approach adopted by the Project.

#### *Achievement of results*

This element includes a) a prognosis of the degree to which the overall objectives and expected outputs of the Project are likely to be met and b) a discussion on the possibilities for measuring Project impacts (in the Terminal Evaluation to be carried out at the end of the Project) in the context of IAS and the BWM Convention. The element also examines progress made in achieving sustainability of ballast water management activities and make recommendations on any necessary corrections and adjustments to the overall Project work plan and timetable that would enhance the achievement of Project objectives and outcomes. It also highlights lessons learned and best practices that emerged during Project implementation and which would benefit the GEF International Waters (IW) portfolio.

Terms of Reference for the Evaluation will be found at Annex 1.

## **2.2 Project documentation**

The documentation generated for and by the GBP is extensive, starting with the Inception Document and the Project Document and extending through a series of work plans and records of outputs and activities completed, as well as financial and status reports generated at either quarterly or annual intervals. It includes reports of meetings of the Global Project Task Force (GPTF) and Project Executive Committee (ExCom), and papers submitted thereto, as well as reports from meetings of related bodies such as the Regional Seas Organizations and the Global Industry Alliance (GIA). Project records and status reports generated by the PCU are updated on a regular basis. The information contained in these records and reports has been submitted in various forms to relevant management meetings. The evaluation has reviewed and drawn on the content of all such documents, as necessary and appropriate. Some of the more important documents consulted are described below and a more complete list is given at Annex 6.

### Inception Report (PDF-B Phase)

This report was prepared following the GloBallast Pilot phase (Phase 1), and in advance of GBP. It developed criteria for use in identifying potential beneficiary areas for the following phase of the GloBallast programme and applied these criteria in selecting and ranking candidate regions for possible inclusion in this phase. The findings of the report were debated by the GPTF and this resulted in the identification of 6 priority regions for inclusion in the full GBP Project. These regions, and the justifications for their selection, are described in the Project Document.

### Project Document

The UNDP Project Document, finalized in September 2007, sets the foundation for the project and is the guiding document with respect to Project objectives, participation, design, envisaged outputs, planned activities and progress indicators. It includes a Project Logical Framework (LF) that lists more than 50 activities under 4 separate Project outputs as well as the associated indicators, means of verification, amounts and sources of funding. It is reviewed in this report under the heading Project Formulation.

### Global project Task Force (GPTF) meeting reports

The GPTF is the highest advisory body of the GloBallast programme, chaired jointly by IMO and UNDP. It reviews the progress of the programme, assists in identifying and allocating programme support for activities consistent with programme objectives, provides guidance to the PCU in coordinating and managing the programme and its activities and provides advice to the IMO and UNDP on the general directions to be followed. Members include representatives from each of the Lead Partnering Countries (LPC) and Regional Coordinating Organizations (RCO) as well as one each from GEF/UNDP, the private sector, other donor partners, the NGO community and the IMO. There have been 2 GPTF meetings to date, the first in March 2008 and the second in October 2010. The reports include various presentations made to the meetings by LPCs, PCs, RCOs and several strategic partners. Reports of both meetings, including presentations, have been considered in the present evaluation.

### Executive Committee report

The Executive Committee, composed of UNDP/GEF, IMO and the PCU convenes to discuss project implementation, focusing on feedback from issues raised in the annual APR/PIR reports. To date, there has been one meeting of ExCom in February 2009, one Extraordinary Meeting of the

Committee in January 2010, and one in November 2011 (which the Evaluator attended in person). An important outcome from the meeting in 2010 was a decision to extend the Project by a further 2 years, to the end of 2014. This extension will be done at no increase in the total Project budget (i.e. at no cost to GEF). Following the endorsement of the GPTF for this extension, the timing of the present, mid-term evaluation was revised accordingly.

#### Annual and Quarterly Progress Reports (APRs & QPRs)

The Annual Progress Report/Project Implementation Report (APR/PIR) is used by GEF and UNDP to identify issues, track and benchmark progress, provide information needed to practice adaptive management, to support the delivery of results and to communicate progress both internally and externally. It provides an opportunity to check whether GBP will meet its intended objective and outcomes. The PCU provides information for inclusion in the APR/PIR including budget summaries and benchmarks of progress. The third such report was prepared in September 2011. The PCU also produces a series of 'quarterly' (Note: There are minor variations in the time periods covered) reports which, taken together, constitute a valuable chronology of the main activities and events undertaken by the PCU and GBP partnering countries and organizations. All annual and quarterly reports have been considered for purposes of this Mid-Term Evaluation.

#### Monograph Series

An important output from GloBallast and GBP is the Monograph Series of publications that commenced in 2002 and includes a variety of reports of meetings, symposia and workshops on BWM topics as well as documents specifically designed for training and guidance purposes. In the latter context, since the start of the GBP Project guidelines have been prepared on the conduct of national status assessments, national BWM strategies and economic assessments. The most recent addition to the series (No. 20) is a technical review of alternative BWM systems and approaches to testing and monitoring such systems.

#### National and regional training courses

A central component of GBP is the series of seminars and training courses delivered by PCU technical advisors and consultant lecturers for the benefit of participating countries and regions. Preliminary information designed to raise awareness and improve understanding of the ballast water issue, and to explain the nature and purpose of the BWM Convention, is provided by means of an Introductory Course and this is followed by a specialized Training Course which focuses on the compliance monitoring and enforcement (CME) aspects of the BWM Convention, i.e. flag state and port state aspects. Other specialized courses deal with the legal implementation of BWM Convention into national legislation, and the operational aspects of BWM (mainly ship-board). There is also a specialized training course on Port Biological Baseline Surveys. The instructor's manuals, visual presentations and manuals for these courses have been examined as part of this evaluation.

#### The GloBallast website

The GloBallast website fully describes the GBP Project and gives access to materials generated by both phases of the GloBallast programme including the text of the BWM Convention and its Technical Guidelines, the BBC-IMO video *Invaders from the Sea*, newsletters, publicity material, the monograph series, invasive species and country profile databases and links to related international websites. It is well designed and maintained up-to-date by the Project Coordination Unit. It would benefit from inclusion of the current status of the BWM Convention (i.e. ratifications and tonnages represented).

### 3. Project Formulation

In this section the Evaluator examines the Project design and asks whether or not it is clear, logical and realistic within the time and resources available.

The Project Document (PD), finalized in April 2007, sets out the background and context of GloBallast Partnerships and fully describes the scope of the Project as well as the strategy to be adopted. It includes a comprehensive and detailed description of the various project components, a budget and work plan. The PD is the definitive template for GBP, defining specific and overall objectives of the Project, identifying the expected outcomes and describing indicators for use in assessing progress and verifying outcomes.

The PD commences with the following statement: *The GloBallast Partnerships project will expand government and port management capacities, instigate legal, policy and institutional reforms at the country level, develop mechanisms for sustainability, and drive regional coordination and cooperation. The project will spur global efforts to design and test technology solutions, and will enhance global knowledge management and marine electronic communications to address the issue.* As the remainder of the document reveals, this is fairly modest description of a project that has very high expectations of what should be achieved in a relatively short time-frame with limited human and financial resources.

The care and thought devoted to the drafting of the PD is impressive. The document conveys a real sense of the multi-dimensional nature of ballast water management and clearly acknowledges the associated implications for national governance, including the need for political, legal and institutional reforms in many of the participating countries. It provides assurances that the project will be well managed, coordinated and financed. There is a distinct awareness of the range and complexity of the issues to be addressed in developing a sustainable capacity for effective BWM at both national and regional levels. The Project Logical Framework included in the PD lists almost 50 activities needed to achieve the four planned, principle outcomes of the Project. The Project aims at risk reduction through a multi-component process, implicitly recognizing that although the contribution of any particular component may be small and unquantifiable, the combined effect of the various activities, if carried out as intended, should significantly reduce the risk of ballast water mediated bioinvasions. This seems to be an entirely reasonable assertion. On the other hand, the PD emphasizes the need for 'risk-based' mechanisms and approaches that require some form of prior risk assessment, so as to identify management priorities and to select the most appropriate mechanisms and approaches. The use of risk assessment is consistently advocated in relation to compliance monitoring and enforcement (CME). The difficulty here is that the factors involved in initiating invasions of species transported in ballast water are complex and, in general, still poorly understood. Thus, in the absence of a standardized system for risk assessment, the development of BWM procedures allows a degree of discretion and flexibility that will differ between countries, depending on individual capacities and levels of expertise. The PD recognizes this difficulty and includes an activity (2.7.1) to refine and harmonize CME approaches as experience is gained. This will be critical to the success of the Project.

With this caveat, the Evaluator finds that the Project design is clear and logical, although somewhat ambitious within the original time-frame. As to whether or not the Project is realistic, this requires further examination.

At the end of Year 2 of the Project (2009), the PCU recognized that various factors were conspiring to slow the pace of the project and there were strong indications that the work plan would not be completed within the originally envisaged 5-year time span (GPTF 2, Annex 9). Accordingly, the Project Executive Committee agreed to extend the project for another two years i.e. to the end of 2014, at no additional cost to GEF, taking into account that the savings on the original investment made possible through co-financing, as well as additional co-financing expected during the extended period. This was a positive step in line with the adaptive management approach, while also being a reflection of the somewhat over-ambitious, perhaps unrealistic, nature of the Project as originally conceived.

The need for an extended time-frame for the Project indicates that some LPCs are finding their commitment to a fast-track approach to BWM did not make adequate allowance for the slow progress that sometimes characterizes the legislative process, institutional reorganisation and changes in budgetary provisions. In some cases countries may be unable, or unwilling, to initiate programmes prior to ratification of the international instrument on which the programmes are based. Others may consider that some elements of BWM are premature, pending clarification at international level of the standards, treatment and compliance systems to be applied. Another complication has been delays incurred by frequent changes in government personnel in key agencies; this matter is addressed elsewhere in this report. Thus, whereas many GloBallast activities such as workshops and consultancies are delivered on time, and in accordance with the PCU work plan, the estimated time for countries to apply the knowledge, advice and assistance provided in some cases may have been overly optimistic.

The extended time-frame for the project should enable most LPCs to ratify and implement the BWMC by the end of 2014. A majority of national focal points in contact with the Evaluator have given firm indications to this effect. Thus, it seems likely that GBP is now on course to meet the targets set by the PD for the development of BWM at national level. Some doubt remains, however, concerning the progress that will be made at regional level, in particular in those maritime countries bordering LPCs that have not benefited directly from GBP programmes. Although there is evidence that cooperative efforts and regional structures are facilitating the diffusion of BWM expertise within regions, the rate and scope of this process have been difficult to ascertain. In this context, the support and assistance of Pilot Countries that benefited from Phase 1 of GloBallast is often cited as a key element in extending BWM regionally. Attempts by the Evaluator to determine the extent of this support and assistance, including a questionnaire to Pilot Countries to which only one country responded, have so far been unproductive.

An underlying principle of the BWMC is that, to be fully effective, the Convention must be applied globally. It is therefore imperative that particular efforts are made to extend BWM measures to all sectors of the coastline within a region, spanning all jurisdictions. For this reason, it would be advisable during the remaining years of GBP to focus on ensuring that the regional components of the project are advanced to the extent possible, so that harmonized BWM practices are extended to all coastal areas of the region, encompassing all major commercial ports. If this cannot be accomplished during the lifetime of GBP, further international interventions in BWM may be needed.



## 4. PROJECT EVALUATION

### 4.1 Implementation

#### *4.1.1 Summary and evaluation of the Project to date and progress in achieving the overall objectives*

The GBP Project was initiated in autumn 2007 following approval of the Project Document by the GEF Council in July of that year and the conclusion of a Project Execution Agreement between IMO (the executing agency) and UNDP (the implementing agency) in September 2007. During the period October 2007 to March 2008, the Project Coordination Unit (PCU) was established at IMO and the PCU team developed a practical Project Implementation Plan (PIP) as well as a revised budget and work plan for the 2008-2009 biennium.

#### Project structure

The Project Implementation Plan incorporates the Project Logical Framework (Log-Frame) that describes the expected outcomes of the project, indicators of success and means of verifying these indicators. It also provides a detailed timeline for the various tasks, the budgetary allocation for each activity and the responsibilities of various parties for achieving the outcomes expected. The outputs and activities are categorized in accordance with four principal **Outcomes**, as follows:

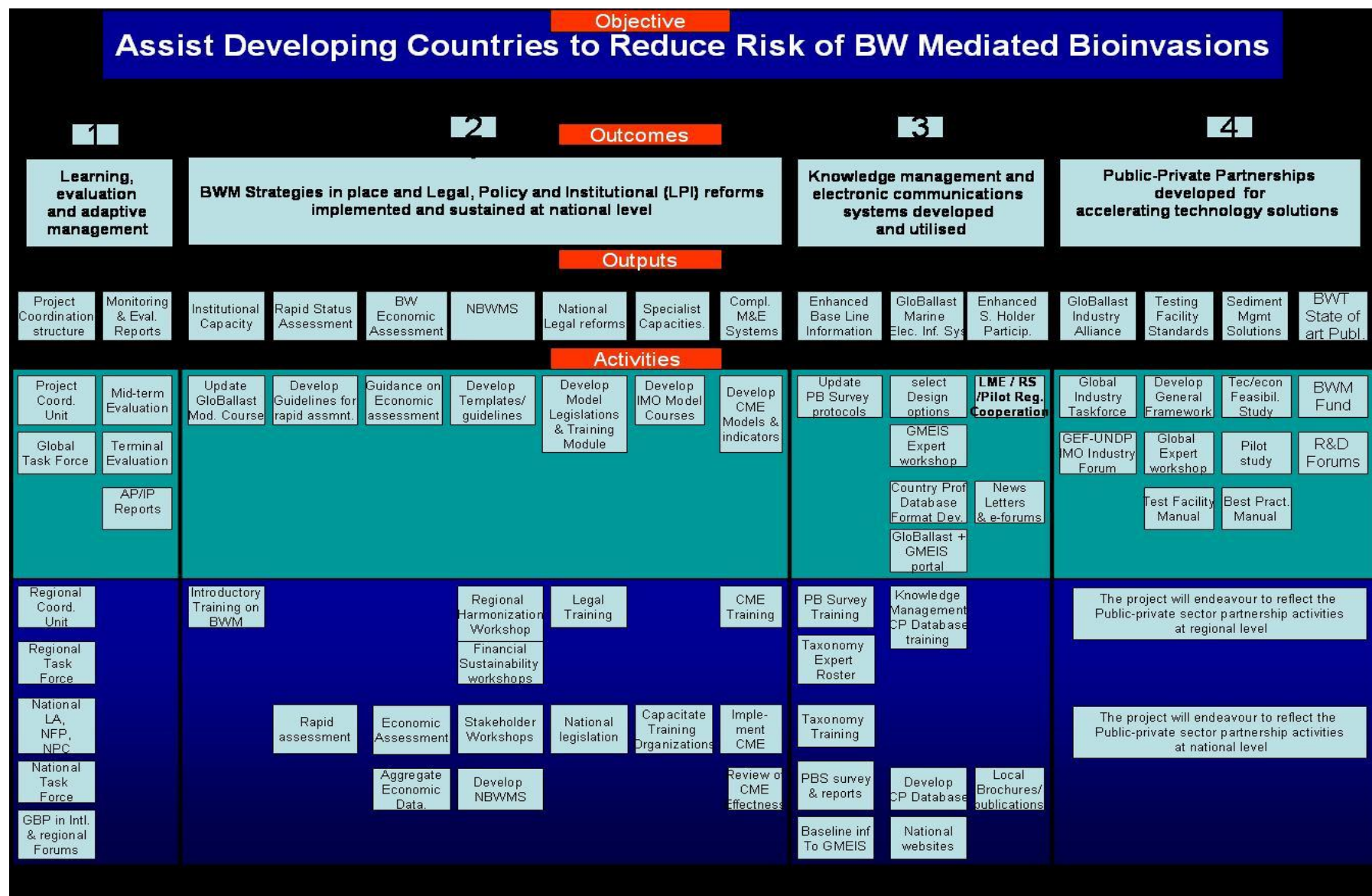
1. Learning, Evaluation and Adaptive Management
2. Ballast Water Management Strategies in place and Legal, Policy and Institutional reforms implemented and sustained at national level
3. Knowledge Management and electronic communications systems developed and utilised
4. Public-Private Partnerships developed for accelerating technology solutions.

This carefully-worded set of outcomes effectively explains the strategy adopted by GBP in order to achieve the Project objective. These outcomes determine both the design of GBP and the mechanisms for its implementation. In essence, they underpin the entire Project.

The relationships between the objective, outputs, outcomes and activities, as well as the activities to be carried out under each outcome, are clearly presented in Figure 4.1. It depicts the different activities to be undertaken at global, regional and national levels. This most useful figure was prepared by the PCU at the start of the Project, is an integral part of the PIP and serves as a template for annual work plans and timetables.

Output 1 of the Project focuses on establishing an efficient management structure for the Project that allows for adaptive management, in essence the capacity to react expeditiously to changing circumstances and new developments while maintaining the overall pace and direction of the Project. The management structure at global level, consisting of the PCU, GPTF and inter-agency Executive Committee (EC) is now firmly in place and operating effectively. Output 1 also requires coordination mechanisms at national and regional levels and significant progress has been made in both respects.

Figure 4.1: GBP components by Outcome, Outputs and Activities



Output 2 of the Project anticipates the need for most developing countries to review and revise their legal, policy and institutional systems in order to accommodate and effectively implement the BWM Convention. Accordingly, the initial tasks for GBP in this area include the development of introductory courses, guidelines and training packages for use in participating countries followed by an extensive series of seminars and workshops to convey the information and advice contained therein. Outcome 2 is of utmost importance to the success of the Project. It could be argued that the feasibility of the Project depends on the efficient delivery of the planned activities under this output. Thus, the PCU has devoted considerable time and effort to these tasks over the first half of the Project and most targets have been met within the envisaged time-frame.

Output 3 embodies technical aspects of the project, specifically the methodologies for extending knowledge of marine invasive species in and around major ports of participating countries, and the development of electronic information systems to store and communicate data relevant to BWM. It also focuses on the general requirement for improving and broadening knowledge of the impacts and costs of marine bioinvasions so as to build a strong constituency for action to reducing the risks of such invasions. Good foundations for each of these activities have been built and this work is likely to continue until the end of the Project and beyond.

Output 4 recognizes that the success of the project will ultimately depend not only on national efforts to implement the BWM Convention but also the extent to which the private sector engages in the process of finding innovative and effective solutions to preventing the introduction of invasive species contained in ballast water. To this end, Output 4 focuses on research and development especially in the fields of BW treatment, testing of treatment systems, availability of suitable test facilities and the management of sediments that accumulate in ballast tanks and may contain potentially invasive organisms and/or their resting stages. It includes arrangements for public-private sector alliances (e.g. the GloBallast Industry Alliance (GIA)) to stimulate the industrial response to BWM and to encourage collaboration between relevant industry sectors. Work in this area is progressing well and efforts to increase the momentum are ongoing.

#### Synopsis of progress at global level

A high level of activity was evident in the first 6 months of the Project. Amongst other things, national focal points and coordinators were established in 12 LPCs; the PCU collaborated with the BBC in producing an award-winning documentary on the problem of marine invasive species; the ballast water training package was revised; a template for national work programmes was developed; an introductory course on BWM was presented for the Wider Caribbean Region; a Risk Assessment workshop was presented in Turkey and preparations were made for the first Global Project Task Force (GPTF) meeting.

The quarterly reports (QPRs) prepared by the PCU provide a useful chronology of the more significant activities and events that took place under the auspices of GBP during the intervals concerned. Although it is not always easy to ascribe individual items to particular Outcomes, approximately half of the activities and events occurring between January 2008 and March 2011 contributed to Outcome 1, a quarter to Outcome 2 and about 20% and 5% to Outcomes 4 and 3 respectively. This breakdown does not necessarily reflect the time and effort expended under each outcome. Considering the need to lay a firm foundation for the Project at an early stage, in particular to consolidate project management, to establish efficient working relationships with national and

regional bodies and to initiate a broad spectrum of outreach activities, the priority given to Output 1 activities was necessary and appropriate. The guidance and assistance required by LPCs in reforming legal, policy and institutional reforms (Outcome 3) had to await delivery of introductory courses and involved a series of preparatory tasks, such as the drafting and printing of guidance documents and identification of suitable consultants, so that it was inevitable that output targets in this area would be slower to achieve. The early attention given by the PCU to developing public-private partnerships in the field of BWM technology development was also appropriate as the development, construction and testing of new equipment can be a lengthy process in relation to the lifetime of the Project.

The report of the PCU to GPTF 2 noted that, as of September 31<sup>st</sup> 2010, approximately 60% progress had been achieved at the global and regional levels of Project implementation i.e. all global and regional targets set for the end of 2009 had either been met or exceeded. The report also noted that progress at national level had been slower, although according to the Project design greater momentum at national level would not be expected until the end of Year 3 (2010).

A point to register here is that progress at global, and to some extent regional, levels tends to be measured by the delivery of pre-determined events such as introductory courses, the forging of relationships between GBP and relevant organizations and so forth, whereas progress at national level is more difficult to gauge. In part, national progress is reflected by changes in policy, legislation and institutional structures, the establishment of national task forces and action plans but, especially in the case of LPCs, there should also be evidence of commitment to a fast-track approach to ratification, training, sustainable funding and regional outreach activities. Only few LPCs have demonstrated such commitment to date.

Overall, the progress towards achievement of the objectives over the first half of the Project, from establishment of the management system, to the stimulating of activities at national level, the preparation of educational and guidance materials, the delivery of seminars and workshops, the forging of relationships with strategic partners and industry and to the initiation of longer-term activities, is commendable. There are, nevertheless, a number of factors beyond the immediate control of the Project and the PCU that will also have an important bearing on global progress in BWM in future years. These factors are considered later in the document.

#### **4.1.2 Summary of progress in participating countries (PCs and LPCs) and regions**

Table 4.1 summarizes information pertaining to progress based on presentations given by LPCs or their representatives to GPTF 2 in October 2010, 3 years after the Project commenced. It must be stressed that the table entries reflect only the information that was either clearly specified, or could reasonably be inferred from, the presentations. A blank entry does not indicate that a particular action had not been carried out, only that the presentation did not mention it. With this caveat, it would appear that by the end of 2010 a majority of LPCs had responded to GBP by identifying lead agencies and national task forces and were well on the way to completing their national BWM strategies. Most countries indicated that they had availed of training opportunities provided by the GBP project and had initiated necessary legal reforms. LPC involvement at regional level was less evident; only three of the 12 national presentations stated explicitly that the countries concerned were actively engaged in regional activities.

**Table 4.1**

**Status of BWM development in LPCs, October 2010**  
**(from presentations to GPTF 2)**

	<b>Ratification</b>	<b>Lead Agency</b>	<b>NTF</b>	<b>NBWMS</b>	<b>National status assess't</b>	<b>Legal reforms</b>	<b>Training activities (No.)</b>	<b>Risk assess't</b>	<b>Baseline surveys</b>	<b>Regional activities</b>
Argentina	Draft bill under review	?		[✓]	[✓]			✓	Proposed	
Chile		✓		✓		✓				
Colombia		✓	✓	[✓]	✓	[✓]	✓		✓	Chair RTF
Croatia	April 2010	✓	✓			[✓]	✓	✓	✓	✓
Ghana		✓	✓	[✓]	✓	[✓]			Sponsors available	Help needed
Jamaica	Draft to cabinet	✓	✓	[✓]	[✓]	[Model]	✓		✓	Chair WCRTF
Egypt	May 2007	✓	✓				✓			[✓]
Jordan		✓	✓	[✓]	[✓]		✓			
Yemen		✓	✓		[✓]		✓			
Trinidad & Tobago	NTF 'priority'	✓	✓	?		[✓]	✓ (4)	✓	✓	
Turkey	Committed	✓	✓	✓		✓	✓ (5)	✓	✓	
Venezuela		✓	✓			[✓]			Designed	

✓ = completed; [✓] = underway

A more recent assessment of progress was obtained through a questionnaire sent by the Evaluator to LPC focal points in June 2011. This questionnaire explored the attitudes of LPCs to the GBP project and the work of the PCU, as well as barriers to progress in the countries concerned. Responses were received from 11 of the fourteen LPCs (Chile, Ghana and Yemen did not reply). The questionnaire and a synthesis of responses is given in Annex 3. As far as overall progress is concerned, the responses generally confirmed the positions reflected in the national presentations in October 2010, although it was evident that many LPCs anticipated more rapid development of their BWM capacities in the following 1-2 years. What is most encouraging is that of the 11 countries responding to the questionnaire, nine unambiguously stated that they would be in a position to implement the necessary port state controls for ballast water before the end of 2014.

The questionnaire responses also revealed considerable differences in the pace of progress amongst LPCs, a situation well recognized by the PCU. A subjective ranking of the status of BWM development in responding LPCs, in summer 2011, is presented in Table 4.2. This ranking does not take account of the various different circumstances faced by counties in seeking to overcome barriers to progress, and does not imply judgement by the Evaluator of the efforts being made to overcome these barriers. It merely illustrates the differences that exist. These apparent differences were to a large extent confirmed by interviews with national and regional representatives attending the meeting of the Marine Environment Protection Committee (MEPC) in July 2011.

<b>Table 4.2:</b> General Assessment of LPC Progress in BWM, June 2011*	
Category A: Relatively well advanced	Argentina, Croatia, Trinidad & Tobago, Turkey
Category A/B	Jamaica, [Panama, Yemen]
Category B: Moderate/ Promising	Jordan, Nigeria, Venezuela, [Ghana]
Category B/C	Bahamas, Chile, [Colombia]
Category C: Room for improvement	Egypt

*\*Countries responding to a questionnaire from the GBP Evaluator*

*[Non-respondents: rankings subjective and provisional]*

The report of the 2<sup>nd</sup> GPTF meeting (Oct. 2010; Annex 9 and Document 2/3) notes that significant progress was achieved in the first two years of the Project. Apart from Outcome 3, most of the targets set by the PCU for the 2008-2009 period had been met or exceeded. Various tools had been developed to assist with the necessary national reforms (legal, political & institutional) and at regional level several strategies for capacity-building and cooperation were under development.

GPTF 2 also noted that, despite the progress, significant barriers to the development of national BWM strategies remained. It was surmised that the process would take much more time than originally envisaged due, *inter alia*, to the lack of agreed BWM port state control procedures, uncertainties related to sampling, monitoring and treatment techniques and in particular the global economic crisis. These factors are outside the control of the project. Subsequently the Project Executive Committee approved the suggestion by the PCU to extend the project for another two years. The work plan for the extended GBP project was revised accordingly.

The most recent progress report prepared by the PCU (June 30th 2011) includes a table showing the status of key steps that LPCs are expected to take in developing their national and regional BWM programmes. This is reproduced below as Table 4.3. It shows that 10 of the 15 LPCs have either

completed, or are in the process of completing, drafts of national status assessments and economic assessments and 9 of these had also drafted legislation to allow for ratification and implementation of the BWM Convention. It suggests that the Bahamas, Trinidad and Tobago and Venezuela may be proceeding at a somewhat slower pace than the LPCs. The main difference between the PCU report and the earlier assessment by the Evaluator (Table 4.2) appears to be the position of Trinidad and Tobago which, based on their questionnaire responses, is more active than the PCU report would suggest.

**Progress in PCs and their contribution to BWM at regional and global levels:** The situation with regard to recent progress in Pilot Countries (PCs) has not been easy to evaluate. Only India and Iran made presentations to the first GPTF meeting (March 2008). At this stage India had already developed a national BWM policy and associated action plan backed up by significant financial resources. It was also committed to regional cooperation in BWM for South Asia involving awareness-raising, the development of regional agreements and plans and collaboration in the development and verification of BW treatment technologies. Indian experts are playing an important role globally, contributing to the development of an advanced training package on operational aspects of BWM and helping to revise protocols for Port Biological Baseline Surveys (PBBS). By early 2008, I.R. Iran had initiated a national awareness-raising programme and was actively engaged in biological surveys and risk assessments at its port on Khark Island. I.R. Iran has also been engaged in the development of a regional Project Task Force and BWM action plan for the ROPME area. This shows that I.R. Iran has played an active part in BWM training courses for the ROPME Sea Area as well as the promotion of a mandatory BW exchange requirement for vessels entering the area. A regional strategy for BWM is under development and there are promising signs that other States in the region will become party to the BWM Convention. An Iranian expert has contributed to discussions on IAS and BWM in the Caspian Sea area.

No PC presentations were recorded in the report of the second GPTF meeting held in October 2010.

In order to obtain more recent information on the activities of PCs, a questionnaire (Annex 4) was sent to PC focal points on July 21<sup>st</sup>, 2011. I. R. of Iran was the only one of the six PCs to reply to this questionnaire. Its response confirmed the very positive progress made by I. R. Iran in developing its national BWM programme; a current major consideration was the implementation of CME procedures which had significant legal implications. The Ukraine has instigated stringent procedures for BWM at its ports on the Black Sea, although the decision by the Ukraine to introduce CME procedures that differ from those specified by the BWM Convention is a source of some controversy. Vessels with segregated ballast tanks containing BW from other seas must carry out ballast water exchange and sampling is carried out on a regular basis. Experts from the Ukraine have contributed to training courses for the Baltic and Black Sea regions as well as training courses in Russia supported by the EBRD.

A report from South Africa, received by the Evaluator in response to an earlier questionnaire circulated in June 2011, indicated little progress in that country since its participation in GloBallast Phase 1. Key personnel in the administration responsible for the earlier work on BWM development had apparently moved to other positions. The principal barriers to BWM development in South Africa were given as a lack of awareness/understanding of the problem, institutional issues, limited co-operation between shipping and environment authorities and lack of capacity. The respondent suggested that the PCU should consider running a follow-up workshop in South Africa to re-energise

the work that was done, especially as SA has ratified the Convention. Several experts from South Africa have made important contributions to GBP, for example in the development and revision of training packages and by acting as instructors and consultants in the preparation of regional strategies (West & Central Africa, Mediterranean) and the delivery of national seminars in 5 East African countries.

Based on an interview with representatives of Petrobras, the petroleum company that is the principal advisor to the Brazilian government on matters of BWM, it appears that personnel changes have also hampered progress in developing BWM within Brazil. Nevertheless, all vessels arriving at Brazilian ports are expected to have carried BW exchange. Petrobras, with over 200 vessels, is in the process of fleet renewal and uncertainty over BW treatment standards to be met at different world destinations is complicating decisions over the choice of treatment systems to be installed on the new vessels. In 2009, an expert from Brazil contributed to introductory training in BWM for all South America countries and national seminars on PBBS in the WCAR and CPPS regions. In relation to the diffusion of BWM capabilities across participating countries in South America (South West Atlantic, South East Pacific regions), Chile has indicated that it would benefit from greater assistance from PCs (i.e. Brazil).

In the absence of a response from China, the Evaluator was briefed by an IMO staff member on the situation with respect to BWM in that country and the North-West Pacific generally. China, similar to Japan and Korea (which has ratified the BWM Convention), is concentrating more on the development of BW treatment technologies than the implementation of a national BWM strategy; already three treatment systems have received type-approval. A RTF has been established for the region but does not meet on a regular basis. The problems caused by IAS are considered minor compared to pollution from land-based sources. No significant progress within the region is considered likely until the Convention has entered into force.

Although the rate of BWM implementation in non-LPC and non-PC countries varies widely, and diffusion of expertise across regions is slow, there has been significant progress in creating structures and mechanisms for regional cooperation. As a result of the GloBallast intervention, Regional Task Forces (RTFs) have been formed in 14 developing sub-regions and Regional Action Plans (RAPs) on ballast water control and management have been developed and adopted involving more than 100 countries. The RAPs are focussed on the protection of shared coastal and marine environments through policy reforms at national level triggered by the BWM Convention.

Significant insight into the development and diffusion of BWM at regional level has been obtained from the Regional Coordinator in the CPPS region during an interview with the Evaluator in July 2011. Because experiences with the development of BWM in the region most likely mirror those of other regions, a summary of the interview is given at Annex 5. The level of cooperation and sharing of experience between Brazil (as PC) and other participating South American countries is poor and hampers regional progress. The principal barriers to progress at national level are strategic, rather than political and economic. For example, ship-owners are confused and apprehensive about the BW treatment systems in which they should invest. A further difficulty is that the political situation in some countries changes so often there is a lack of continuity which has an impact on national BWM development and coordination. Whereas GBP has been highly beneficial, it is predicted that further assistance to counties of the region will be required after the Project has concluded (i.e. post 2014).



The Evaluator's overall impression of progress in LPCs and PCs, based on reports to the GPTF, PCU progress reports and interviews with various national representatives attending the 2011 MEPC meeting, is that a majority of the countries have made significant strides in developing their national capacities for BWM. Most LPCs are well on the way to completing the preparatory steps (i.e. institutional arrangements, legislative reforms etc.) that are part of the BWM implementation strategy developed by GBP for the benefit of developing countries. At Project mid-term, GBP has successfully delivered to LPCs the information, guidance and assistance needed to undertake the institutional, legal and other reforms that are part of developing national BWM strategies and programmes. In this respect, the Project is on schedule to achieve its major outputs and objectives by the end of 2014. The number of PCs and LPCs that have ratified the BWM Convention is, however, low and possibly below expectations. Only three of the 6 PCs and three of the 15 LPCs have ratified to date, although several more LPCs (Jamaica, Trinidad and Tobago and Turkey (PCU pers. com.)) are expected to do so in the near future. In the case of PCs that have yet to ratify the Convention, it has been more than a decade since they commenced their BWM programmes under Phase 1 of GloBallast. This undoubtedly reflects the slow pace of legislative processes in many countries and the reality that marine environmental issues are not always accorded high priority by the legislature. At the half-way stage of GBP, it would be prudent to commence planning for the future of BWM development programmes (see Recommendation 9), including consideration of extending GBP by one or two years to assist LPCs and PCs in fulfilling their ratification and BWM implementation strategies, in accordance with the process foreseen by the Project Document.

**Table: 4.3**  
**PCU National Progress Report (June 2011)**

LPC	Ratify BWMC	Lead Agency	National T. Force	National F. Point	Contribute to RTF	Host Reg. Meeting	National Assessment (Draft)	National Strategy (Draft)	National Legislation (Draft)	Economic Assessment (Draft)
Argentina										
Bahamas										
Chile										
Colombia										
Croatia										
Egypt										
Ghana										
Jamaica										
Jordan										
Nigeria										
Trinidad and Tobago										
Turkey										
Venezuela										
Yemen										
			Incomplete			In progress			Completed	

#### **4.1.3 Performance of the Project in relation to the indicators, assumptions and risks specified in the logical framework matrix and the Project Document**

Annex 9 of the report of the 2<sup>nd</sup> Global Project Task Force meeting details the main indicators to be used to measure the success of GBP. These are derived from a broader set of indicators provided for the intended project outcomes in the Project Logical Framework (UNDP Project Document (PD), Section 2.2). It is expected that by the end of the project all Lead Partnering Countries (LPC) will be able 'to demonstrate significant improvement in legal, policy and institutional structures, with corresponding reduced risk of ballast water borne marine bio-invasions'. The 5 main indicators specified are:

- Indicator 1: All lead partnering countries (LPCs) have assigned a Lead Agency, formed a National Task Force and developed National Ballast Water Management Strategy (NBWMS).
- Indicator 2: Each LPC has revised its legal instruments, instituted a risk-based compliance monitoring and enforcement (CME) system, and established a sustainable financing structure for their national ballast water management program.
- Indicator 3: All lead participating countries are proceeding towards ratification of the IMO ballast water management Convention, with at least 10 LPCs ratified and implementing the Convention.
- Indicator 4: At least 3 neighbouring partnering countries developed draft NBWMS.
- Indicator 5: The Regional Seas & LME conventions in each partner region include approved provisions supporting improved BWM, the BWM convention and BWM regional strategies.

At the half-way stage of the Project, it is evident that the provisions of Indicator 1 have been largely fulfilled and that significant but varying degrees of progress have been made with all other indicators. Activity in relation to Indicator 2 is currently at a high level with most LPCs either completing, or in the process of completing, necessary adjustments to national legislation to allow ratification and implementation of the BWMC. On the other hand, CME systems still present technical difficulties and some LPCs are awaiting development of a CME model that is currently a priority for the PCU. Indicator 3 is an essential target for all LPCs but in many countries national ratification procedures have proved to be cumbersome and slow. To date, only three of the 15 LPCs have ratified the Convention, although a further two anticipate ratification by the end of 2011. The status of national outreach activities to encourage and assist LPC neighbouring countries to develop their national BWM strategies (Indicator 4) is highly variable but the process is actively being coordinated by RCnOs and through other regional initiatives. With regard to Indicator 5, there is widespread support for the implementation all IMO Conventions<sup>4</sup>, including the BWMC, within the Regional Seas Programme (RSP) as well as the independent RSCs of the Baltic, North-East Atlantic and Caspian sea areas. An excellent example of inter-regional collaboration in BWM is the adoption of a joint voluntary interim arrangement on BW exchange between the Mediterranean, Baltic (HELCOM) and N-E Atlantic (OSPAR) sea areas.

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<sup>4</sup> RSP New Global Strategy (2008-2012), <http://www.unep.org/regionalseas/about/strategy/default.asp>

The Project Document (Activity 2.7.1) also notes that, because impacts are difficult to gauge, it is necessary to use performance indicators that focus on process components and stress reduction, such as:

- port state control measures are in place
- risk based approaches are being utilized legislation is in place and enforced
- high risk ships are receiving on board inspections
- sediment dump out facilities are in place and used
- financial mechanisms for administering BWM programs are established
- countries are ratifying the BWMC
- flagged vessels are installing and using proven treatment equipment and systems
- flagged vessels are implementing on-ship BWMPs
- shippers are using certification programs & international standards to demonstrate compliance)

These indicators apply primarily at the end of the project and, at the current mid-term stage of GBP, most are not yet applicable. A clear exception is the ratification process which, as noted above, is proceeding rather slowly. As of September 1<sup>st</sup> 2011, only 3 of the 15 LPCs had ratified the Convention; two others were hopeful that they would do so before the end of 2011 (Table 4.2). Whereas progress in achieving some other conditions may be evident from information provided by LPCs and PCU reports, in general the extent of progress can only be estimated. Nevertheless, there are many positive indications of progress recorded by the PCU, from presentations given by LPCs at the 2nd GPTF meeting in 2010 and from responses to questionnaires sent to LPC focal points by the Evaluator in 2011.

There are, of course, other relevant indicators of project performance. It's important to recognize the many outputs from the work of the PCU including the coordination of national seminars and workshops for the benefit of LPCs, the preparation of guideline documents on topics such as rapid assessment and legislative reform, the provision of consultants and the delivery of presentations to build awareness and stimulate capacity building at national and regional levels. Given the very low level of staffing within the PCU, the range and quality of such outputs over the past 3 years has been remarkable.

The performance of the Project in relation to *risks* specified in the Project Document and Logical Framework is closely related to the progress made in completing planned activities, as closely as possible within the planned time-frames. In accordance with the underlying concept presented in the Project Document, each activity successfully completed constitutes a small, but significant, step towards reducing the risk of harmful marine bioinvasions. The term *risk* is used extensively in both the Project Document and the Project Logical Framework in the context of risk assessment which is either explicitly or implicitly required as a precursor to the choice of priorities and measures as part of the national BWM development process and, consequently, the national programme for IAS risk reduction. This explains the frequent use of '*risk-based*' to describe the measures to be adopted.

The evaluation of progress in risk reduction at Project mid-term needs to take into account both the targets pursued and the rate of progress in achieving these targets. Whereas the evaluation finds that the number of planned activities at global level, facilitated and completed by GBP, has met or exceeded expectations, it finds no room for complacency as progress at national level is in some cases slower than expected and indicates a need for continuous support and encouragement. In this

context, it is important to emphasize that until it can be established that a substantial proportion of ballasted vessels arriving at their destinations are being actively checked and found to comply with the provisions of the BWM Convention, the *risks* remain high.

Section 1.2.7 of the Project Document specifies a number of *risks and assumptions* relating to expected Project outcomes. The current position with respect to these risks and assumptions is given in Box 2 following:

<b>Table 4.4</b>	
<b>Risks &amp; Assumptions</b>	<b>Current status</b>
The project team at global, regional and local levels will effectively coordinate the project, and accomplish objectives in a timely fashion and within budget. Verification will be provided through the monitoring and evaluation procedures and evidence of sustainability at project completion.	There is firm evidence of effective coordination at global level while performance at regional and local levels is variable. Project is on course to achieve most objectives by the end of 2014. PCU and IMO records will show project remains within budget. For a more detailed prognosis see Section 4.2.1 and Table 4.4. Sustainability unpredictable at present.
Each LPC and priority region will be implementing an effective program of ballast water management; evidenced by each LPC having a government approved NBWMS in place, and all LPCs with revised legal structures, improved CME systems and a cadre of trained experts.	Clear signs of progress by most LPCs in developing BWM systems but only a few have shown a 'fast-track approach'. Progress at regional level is limited and region-wide BWM by 2014 is unlikely. Based on current feedback, there is a high probability that BWM strategies, legal structures, improved CME systems and trained port officers will be in place in all LPCs by Project end.
Cost effective technology solutions and standards will be developed, tested and promoted through a successful partnership with industry, evidenced by testing facility standards developed, sediment facility options piloted, R&D symposiums held, and a ballast water management innovation fund launched.	At Project mid-term, firm foundations have been set for these planned outcomes. By May 2011, 14 BW treatment systems had received G8 Type Approval certificates. A global mechanism for harmonization of BW treatment test facilities is under development, a shipbuilders forum on BWM has taken place and an awareness-raising campaign is underway. An innovation fund has yet to be launched although one commentator notes that this has now been replaced by the GIA fund.
Each LPC will be able to identify the significant environmental and economic impacts and threats to biodiversity in their major port areas, verified through port baseline surveys and economic impact assessments conducted, as well as training provided for more than 250 experts on surveys and taxonomy.	Most LPCs have completed, or are in the process of conducting, economic assessments to compare environmental costs with management costs. LPCs have also attended courses on the conduct of port biological baseline surveys. Surveys and taxonomic training are national responsibilities and the costs may be prohibitive for some LPCs.
Sufficient information will be made available for countries to implement risk-based ballast water management programs. Verification will be through evidence that a web portal is operating as intended, a global database has been established, and the public awareness program is in place. By the end of the project, the backbone for a Global Marine Electronic Information Systems will be functional	A considerable amount of information has been provided to countries participating in GBP seminars, workshops and training courses. A country profile database has been included on the GBP website but few countries have entered data so far. The value of including BWM-relevant data in a GMEIS is currently under review; a separate EIS for BWM may be preferable. The work of establishing a web-based system has been initiated by the PCU.

With respect to other **assumptions** made in the logical framework matrix and the Project Document, few if any have a significant bearing on the current level of Project performance. Nevertheless, a concise summary of these assumptions and their relevance/validity at Project mid-term is given in Table 4.5.

<b>Table 4.5</b>	
<b>Other assumptions specified in GBP Project Document</b>	<b>Validity at Project mid-term<sup>5</sup></b>
<i>That ratification of the BWMC will be slow because:</i> <i>a) lack of institutional capacity, insufficient finances and human resources to implement new BWM programs;</i>	Scarcity rather than 'lack'  zz
<i>b) The complex and likely expensive treatment technologies that await further R&amp;D and globally accepted verification and approval mechanisms;</i>	Confirmed – ongoing problem for shipping industry (fleet replacement etc.) and CME development
<i>c) BWM assigned a low priority for nations whose leaders may not be aware of the ecological and economic implications.</i>	Only few countries – GBP economic assessments very effective
<i>That the Lead Agency will most likely be from the Government Maritime Authority.</i>	True in general (in a few cases a port authority may be delegated)
<i>That there will be difficulties in identifying economic costs, both for direct economic impacts and response costs.</i>	No insurmountable difficulties reported but accuracy not assured
<i>That the national BWM Strategies will need to be approved at cabinet of ministers level, and/or by national legislative bodies.</i>	Confirmed – can be the slowest step in the process
<i>That in addition to GIA financial support, the host country will provide in-kind support, including facility management, to construct and manage a pilot sediment facility.</i>	At the second GPTF meeting it was decided that this activity should be replaced by the preparation of a Guideline on best practices for sediment reception facilities
<i>That there will be strong country buy-in for BWM amongst the LPCs, and significant industry support.</i>	Yes, in the case of a majority of LPCs but, for others, doubts remain
<i>That there will be flexibility for adaptive management, with the PCU empowered to respond to information requests from (not yet participating) LMEs, and able to build in opportunities for GB pilot country experts to assist in regional and global activities.</i>	Adaptive management practiced routinely; Pilot Country experts are important contributors to GBP training activities

#### **4.1.4 Scope, quality and significance of Project outputs and outcomes produced to date in relation to expected results**

The scope of products generated by the Project during the extended first-half of the Project is substantial, spanning all the major categories of activity envisaged by the Project Document under all of the 4 planned Outcomes (Table 4.6). The PCU has effectively initiated, organized and delivered a wide range of activities designed to raise awareness of the marine bio-invasives issue, to promote the need for ballast water management, to assist participating countries in making the necessary policy, legal and institutional reforms to implement the BWM Convention and in developing the guidance, infrastructure and partnerships required to accelerate global BWM linkages and technology development. As shown in Table 4.6, in the three and a half years since GBP commenced, the Project has completed 286 separate activities (documents produced, meetings/seminars organised and attended, training packages delivered, consultants provided etc.).

<sup>5</sup> Evaluator assessment

**Table 4.6**  
Summary of GBP activities by Outcome (to June 2011)

Outcome	Activity	Number of activities			
		2008	2009	2010	2011
1	PCU establishment	3		1	
	Global Task Force	1	1	2	1
	Regional Coordination Organizations	1	2		
	Regional Task Forces	2	4	2	4
	LPC Coordination	1	1		
	National Task Force meetings	11	9	26	12
	International & Regional forums	3	7	16	7
	Quarterly and Annual Progress Reports	2	5	4	4
2	GloBallast modular course – updating	2	4		
	Introductory training in GBP regions	3	6	1	
	Prepare guidelines for rapid assessment		2		
	Conduct rapid assessments	2		4	5
	Prepare guidelines on economic assessment		1		
	Conduct national economic] assessments			1	4
	Prepare guidelines on national BWM strategies		2		
	National BWM strategy development	1		3	6
	Develop model legislation and training module	1	5	1	
	Regional legal training		3	5	1
	Development of national legislation	3	1	8	
	Prepare specialist courses (PBBS, CME)	1		1	3
	Regional training in CME				2
	Institutional training in BWM (Colombia)	1			
3	Port Biological Baseline Survey (PBBS) protocol update	1			
	PBBS training	2	4	1	2
	Develop format for Country Profile Database	1	1		
	GloBallast + GMEIS web-portal	1	2		1
	Partnerships with Pilot regions, Pilot Countries and LME Regions	5	5	6	
	Awareness-raising materials (e.g. printing, revision, translation)		13	2	7
4	Establishment of Global Industrial Alliance	3	5	6	
	R&D forums (sharing scientific & technical information)	2		1	

The quality of outcomes and outputs produced to date is more difficult to evaluate as the Evaluator has had no direct exposure to many of the functions, such as presentations, meetings and seminars delivered or attended by PCU members, and must therefore depend on judgements based on reviews of selected documentation and also the general positivity that emerges from the wider GloBallast constituency and stakeholders in general. With respect to the latter, it is notable that many non-LPCs participating in GBP activities are sufficiently impressed by the services available that they contact the PCU seeking materials and assistance that will assist them to develop their national BWM strategies and programmes. There is no doubt that those introduced to the GBP system for improving awareness of the need for BWM, and for developing the necessary expertise and capacity, are impressed by the materials and functions they are exposed to and that the key messages are being transmitted in ways that are authoritative and readily understandable. This is a clear indication of the quality of the products available. In addition, the Evaluator has reviewed the GBP monographs relating to rapid status assessments, economic assessment and strategy development and finds

these to be clear and well constructed, providing pragmatic advice that even the least experienced countries should be able to apply.

An important element of the GBP Project is the series of training courses delivered to participating countries and regions by PCU instructors and contracted lecturers. The courses comprise manuals covering the different course modules, visual presentations and notes for instructors. In some cases, such as the Introductory Course, the manuals appear to be revised versions of those prepared for Pilot Countries during Phase 1 of the GloBallast programme. There is also a more advanced training course that includes exercises and focuses on the practical aspects of ships, flag state and port state aspects and the CME system. Other courses deal with the legal framework for BWM, port biological baseline survey methodologies and the development and implementation of national. It is not the function of this evaluation to review in detail all aspects of these training courses but there is evidently a need to subject the manuals to thorough editing to remove grammatical errors and in some cases to simplify language and phraseology to make them more understandable to audiences that do not use English as their national language. There is also considerable overlap in the courses, with earlier modules devoted to the general issue of alien species transfer in ballast water, its impacts and implications and the role of the BWM Convention in providing a global response to the problem; this seems more relevant to the introductory course than some of the more specialised courses that would presumably be delivered on subsequent occasions. With these minor comments, the material used for introductory courses and training courses is well selected, effectively raising awareness and improving knowledge whilst emphasizing key issues and requirements and presenting practical approaches without being either dictatorial or alarmist. Overall, the Evaluator concludes that the GBP products reviewed are of high quality and well suited to the purposes intended.

With respect to the significance of the outputs and outcomes produced during the period, the most important point to make is that all of them are firmly in accordance with the objectives and strategy laid down in the Project Document. They are all essential building blocks of a programme designed to expand government and port management capacities, instigate legal, policy and institutional reforms at the country level, develop mechanisms for sustainability, and drive regional coordination and cooperation. Some are aimed at stimulating global efforts to design and test technology solutions, and to enhance global knowledge management and marine electronic communications, in support of BW management. Thus, in the context of the Project itself, the outcomes achieved during the period are highly significant and provide strong assurance that the project is well on the way to fulfilling its overall objectives.

In the context of the global effort to reduce the risks of marine bioinvasions, the significance of the outcomes achieved by GBP to date may be even greater. There is now far greater awareness in developing countries and regions of the role of ballast water in the transfer of marine invasive species and the potentially serious economic and ecological consequences that may ensue. There is also a greater understanding of the purpose and benefits of the BWM Convention and the need for national reforms before the Convention can be effectively implemented. The need for collaboration at regional level to ensure that all major commercial ports are implementing effective controls over ballast water discharges is also well recognized and regional organizations, as well as international agreements on protection of the marine environment, are extending support to the development of regional BWM strategies. As a result, more countries are working to ratify the Convention, to undertake the necessary internal reforms and to build the capacity and expertise required. The legacy of the earlier GloBallast programme, now greatly enhanced by GBP, is a significant stimulus to



the global effort to reduce the incidence and risk of harmful invasions by species carried in ballast water.

#### **4.1.5 Relevance of the Project intervention in relation to IMO's work to encourage a harmonized and timely ratification and implementation of the BWM Convention**

In evaluating the GBP project, it is appropriate to consider its relevance in the context of IMO's work to encourage ratification and implementation of the BWM Convention. IMO is the United Nations' specialized agency responsible for safety and security of shipping and the prevention of marine pollution by ships. IMO's role is primarily to enact international legislation, which normally applies to the ship itself, while the Contracting Governments assume the responsibility for implementing and enforcing the legislation on ships flying their flag or calling at their ports. The BWM Convention is one of 52 IMO treaty instruments and other measures including codes, guidelines and recommended practices, that influence almost every non-commercial aspect of shipping and ship operations, including ship design, construction, equipment, operation, maintenance and manning. When an IMO instrument has entered into force, countries that have ratified it can apply it not only to ships of their own flag but also to all other ships as a condition of entering their ports or internal waters, regardless of flag.

IMO has an Integrated Technical Co-operation Programme which is designed to help developing countries improve their ability to comply with international rules and standards, giving priority to technical assistance programmes that focus on human resources development and institutional capacity-building. IMO recognises that not all of its Members have the same capacity to fulfil their obligations as parties to the various conventions, often because they lack resources and expertise. The technical co-operation programme aims at redressing this resource imbalance by assessing the needs of countries and matching them to expertise, funding and training made available by the IMO regular budget and from other sources. The BWM Convention was adopted by the International Conference on Ballast Water Management for Ships held at IMO headquarters in February 2004. The Conference also adopted 4 conference resolutions, one of which, Resolution 3, deals with the promotion of technical co-operation and assistance and requests, inter alia:

*'international development agencies and organizations to support, including through the provision of necessary resources, technical co-operation programmes in the field of ballast water control and management, consistent with the Convention';*

and also:

*'invites the Technical Co-operation Committee of IMO to continue providing for capacity-building activities on the control and management of ships' ballast water and sediments....in order to support the effective implementation and enforcement of the Convention by developing countries'.*

The provisions of this Resolution provide a strong mandate for the IMO/UNDP-GEF GloBallast Partnerships (GBP) Project as well as additional support that has been, and continues to be, provided to GBP by IMO's Technical Co-operation Programme.

The experience with GBP to date fully justifies the need for Resolution 3 and the subsequent response by UNDP-GEF in co-operation with IMO. It is clear that many coastal developing countries engaged in maritime trade have inadequate capacities, resources and legal and institutional frameworks to implement the BWM Convention and, while recognizing the need for action to reduce the risk of marine bioinvasions mediated by ballast water, require assistance to undertake the necessary reforms, to develop their national BWM strategies and to work towards ratification of the Convention. Thus, in the absence of GBP or its equivalent, there would be a serious loss of momentum globally, both in bringing the Convention into force and in realising its effective implementation on a broad geographical scale. GBP has provided substantial assistance to developing countries in selected regions and there are clear signs that for many recipients this assistance has accelerated the ratification process through building the necessary expertise and capacities and facilitating the necessary reforms. However, in some instances progress is slower than expected and not all countries have managed to adopt the fast-track approach to BWM development which they envisaged on entering the Project. Coupled to this, there is a large number of developing countries that do not benefit directly from GBP and in some GloBallast (Phase 1) pilot regions the assistance extended to developing countries is still quite limited. This leaves open the question of whether or not the scale of assistance enabled by GBP, even with the substantial co-funding that the Project has attracted since its inception, will be sufficient to catalyse an effective response to the BWM Convention in the main developing regions of the world. It is nevertheless worth recording that, of the 30 countries that have ratified the BWM Convention to date, 70% have been involved in some form of GloBallast activity.

There are, of course, other factors to be considered. A key stage will be reached when the Convention enters into force. This would be expected to expedite ratification by some countries which, due to the nature of their legal systems, have been unable to introduce necessary changes prior to the Convention coming into force. It will also allow reconsideration, and possibly amendment, of various technical provisions of the Convention that until now have been the cause of delays in implementation, especially in some developed countries. A total number of 30 parties (out of the 30 required for entry into force) have ratified the Convention, corresponding to 26.44% (out of the 35 % required) of the world's shipping tonnage. It therefore seems probable that the rate at which BWM programmes are developed and implemented is set to increase significantly within the next year or so.

Although there are numerous factors controlling the rate and efficiency of implementation of the BWM Convention beyond the control of the Organization, it may nevertheless be advisable for IMO, through its Marine Environment Protection Committee (MEPC) or appropriate working group, to monitor progress with implementation of the Convention in member states, both developing and developed. Periodic reports (e.g. every 2-3 years) on BWM issues from member States, as well as from Regional Co-ordinating Organizations (RCOs), should be encouraged. This may provide an indication of the efficacy of GBP over time and whether or not further assistance to developing countries should be considered.

#### **4.1.6 Roles, responsibilities and effectiveness:**

- *the governing bodies;*
- *UNDP and IMO - their respective implementing and executing capacities;*
- *effectiveness of roles at national, regional and global levels.*

The relationships between the various bodies contributing to the GBP Project are shown in Figure 4.2. Those included in the upper section of the box comprise the global component and the two lower tiers represent the regional and national components respectively.

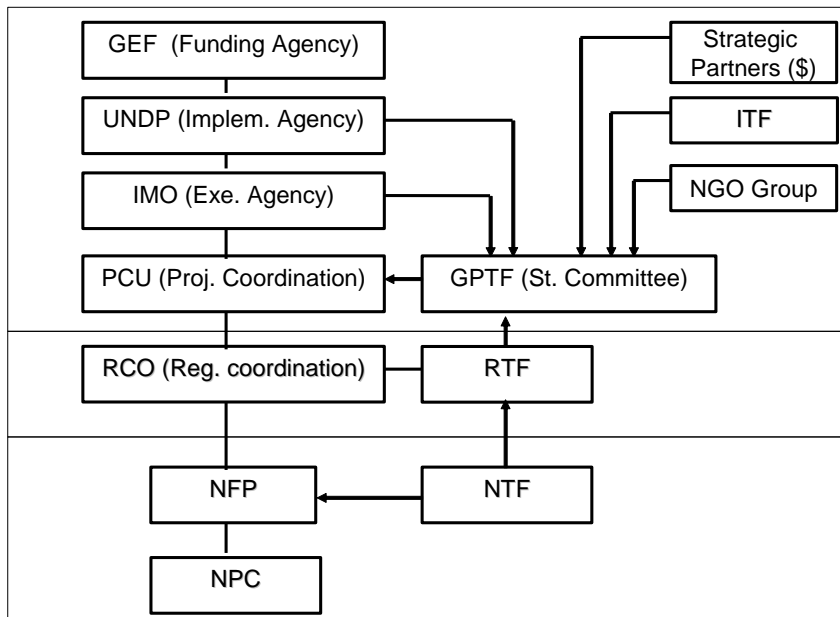
An additional body, not shown in the figure, is the Executive Committee (ExCom) composed of UNDP/GEF, IMO and the PCU. ExCom is mentioned only briefly in the Project Document. That document notes that ExCom should discuss project implementation, focusing on feedback from issues raised in the annual APR/PIR reports. However, in an opening address to the first ExCom meeting in February 2009, a more specific mandate was presented i.e. to review the progress of the Project, to address any project management issues, to review strategies to overcome such issues, to discuss the budgetary situation and any budget revisions that may be required for the smooth implementation of the Project.

The original schedule required ExCom to meet twice, in the interim years between GPTF meetings (i.e. Yrs. 2 & 4). A second (Extraordinary) meeting of ExCom was held in January 2010 and a third meeting is scheduled for November 2011. With the extension of the Project, the possibility of another meeting before the close of the project cannot be discounted.

In accordance with the Project Document (Activity 1.1.2), the project is managed through a Global Project Task Force (GPTF), adopting the approach taken during the GloBallast pilot project. The GPTF membership includes a representative from each of the Lead Partnering Countries (LPC) and Regional Coordinating Organizations (RCO) as well as one each from GEF/UNDP, the private sector, other donor partners, the NGO community, the IMO (PCU) and a number of observer organizations. Two representatives from GloBallast Phase-1 Pilot Countries are invited on a rotational basis. The GPTF was originally scheduled to meet 3 times, during yrs 1, 3 & 5, but following the extension of the Project to 2014 the schedule was modified at GPTF 2 to include a fourth meeting.

The first GPTF meeting took place in London in March 2008 and the second, also in London, in October 2010. The extension of the project time-frame by a further 2 years (until December 2014) was approved by ExCom in January 2010. Thus, although the second session of GPTF occurred at the latter end of Yr. 3, it did not coincide with the present evaluation the timing of which is in accordance with the revised time-frame (i.e. mid-way through Yr. 4). Presumably this report will now be considered by the third GPTF meeting in 2012.

**Figure : 4.2**  
**GloBallast Partnership - Organogram**



While noting that a large (20 member) GPTF had significant cost implications, the Project Document concluded ‘it is imperative that the key project participants have an opportunity to periodically come together to consider project status and operational aspects’. As it transpired, there were 28 participants at the first meeting and 35 at the second; 11 of the 15 LPCs were represented on both occasions. The GPTF is chaired jointly by IMO and UNDP.

Terms of Reference and Rules of Procedure were adopted at the first GPTF meeting and revised at the second meeting. The former states that the task force should ‘*review the activities of the programme and provide advice to the IMO and UNDP on the general directions to be followed*’. On the other hand, the Rules of Procedure state that its role should be to ‘*provide strategic advice and guidance on the activities of the Project and ensure the achievement of its development objectives, as outlined in the UNDP Project Document, in a co-ordinated, efficient and cost-effective manner, and to provide a forum for regular and ongoing review and approval of the Project’s Implementation Plan*’.

Elsewhere in the Rules of Procedure, it is said that the Task Force should advise and assist IMO and UNDP with the following:

- Provide overall strategic policy and management direction to the programme;
- Assist in identifying and allocating programme support for activities consistent with programme objectives;
- Bi-Annually review and assess the progress of the programme and its components;
- Bi-Annually review and approve the work plan and comment on the budgets of the programme and its activities, and provide strategic direction on the work plan;
- Provide guidance to the PCU in coordinating and managing the programme and its activities;

- Create mechanisms for interaction with the private sector (shipping, ports), NGO and other stakeholders (e.g. public health); and
- Seek additional funding to support the outputs and activities of the programme.

Any analysis of the functionality and effectiveness of the GBP governing bodies needs to recognize that a mechanism for project supervision and a forum for stakeholder consultation are essential requirements for any international activity supported by substantial funding from governments, international agencies and other organizations. So the question that arises is not so much the need for a mechanism as whether or not the particular mechanism adopted by the GBP Project Document is fulfilling its assigned role in an effective (in this case 'cost-effective') manner. In addressing this issue, it must be recorded that the Evaluator has had no direct exposure to GPTF meetings and therefore must rely on minutes from the meetings and interviews with selected participants.

Having considered the records of GPTF meetings, the first observation to be made is the large number of documents prepared for the meetings by the PCU which has an exceptionally low level of staffing and a very demanding work programme. This amounts to a significant work load. However, many documents submitted to GPTF 1 & 2 were reporting templates and guidance documents that should not have to be repeated at subsequent meetings and it should therefore be possible, and is certainly desirable, to reduce this work load in future. The minutes of GPTF meetings have been extremely concise, possibly reflecting the instructions in the Rules of Procedure which state that meeting reports should contain only 'a summary of views expressed, during consideration of an item, which may have influenced the decision taken by the reporting body (thus not allowing the reports to turn into summary records...'. Consequently, although the reports indicate that detailed discussions were held under certain agenda items it was generally not possible for the Evaluator to judge how detailed and relevant these discussions actually were. What seems clear, however, is that few, if any of the discussions have provided the 'strategic policy and management direction' or 'guidance to the PCU in coordinating and managing the programme and its activities' envisaged by the Terms of Reference. Many of the points raised in discussion have been observations, or points of information or, occasionally, suggestions concerning activities requiring greater support.

A useful function of the GPTF is to receive progress reports from LPCs as well as updates of activities in the pilot countries involved in first phase of GloBallast. To date these reports have been in the form of Powerpoint® presentations which, despite the PCU guidelines, have not followed a standard format. These presentations can be difficult for an external evaluator to read and have not been a suitable basis to judge progress in participating countries. Thus, it is strongly recommended that national reports to future GPTF meetings should also be available as hard copy, formatted strictly in accordance with PCU requirements. Indeed, it would be most beneficial if such reports were to be forwarded to the PCU on an annual basis.

With respect to the bi-annual review of the GBP programme, its components, work plan and budget, the GPTF has fulfilled these tasks by endorsing the work plans, albeit with little debate or comment. Nevertheless, this is an important function for the Task Force, its management and sponsors, as it gives legitimacy to the activities and expenditures to be undertaken over the coming months.

With respect to the other 5 tasks (see above) listed in the Terms of Reference and Rules of Procedure, it has not been possible for the Evaluator to judge from the GPTF minutes, with any degree of accuracy, how many of these have been addressed at meetings to date. A subjective view,

based on the topics and comments reported, would be that attention to these tasks has been minimal. Overall, the level of engagement of participants at GPTF meetings would appear to be low.

In summary, the GPTF provides a mechanism for the necessary endorsements required by the GBP Project management as well as an opportunity for key stakeholders to query strategies and work plans and to make constructive suggestions for changes or improvements. These attributes justify its existence. Whether or not the current mechanism offers value for money remains questionable, despite the savings made by holding GPTF meetings in conjunction with meetings of the MEPC. Cost-effectiveness should, however, be judged mainly through comparisons with alternative arrangements. Options that could be explored to reduce costs might include the use of tele-conferencing; participation only on the basis of advance written submissions (based on circulated meeting documents) giving notification of an intention to discuss an issue or make specific proposals under a particular agenda item; or moving to a series of regional meetings (with the same ToRs) held in conjunction with RTF meetings.

Turning to ExCom, this is a forum dedicated entirely to the interests and responsibilities of the sponsoring UN agencies and the PCU which has responsibility for the day-to-day management of the Project. This is a small group which can fulfil its mandate with minimal expenditure of time and cost. It provides a valuable safeguard over the financial sustainability of the Project and provides an opportunity for key issues to be raised at senior management level, such as the proposal to extend the Project by 2 years.

In considering roles and responsibilities within the Project and their effectiveness at national, regional and global levels, it is clear that the pivotal role is carried by the PCU. The PCU is the driving force of the Project without which the critical elements of GBP could not be delivered nor could the goals of the Project be achieved. The PCU is active and highly influential on all 3 geographical scales. At national level, it creates awareness of the risks posed by alien species carried in ballast water, guides national administrations through the process of assessing risks and costs, provides guidance on internal reforms that may be needed to implement the BWM Convention and assists with the costs of seminars and specialist consultants. At regional level, it advises and cooperates with RCOs and regional conventions in developing initiatives to extend and harmonise BWM throughout the regions. At global level, it forms partnerships with relevant international organizations and representative industry bodies that can support the GBP Project by, for example, developing methodologies for alien species surveys and innovative systems for ballast water treatment. Finally, a key function of the PCU at global level is to serve as the interphase between the principal agencies – IMO and GEF/UNDP – that both support GBP and have a particular interest in ensuring its success.

The Evaluator has been impressed by the high degree of collaboration that exists between the PCU and its IMO colleagues within the Marine Environment Division, IMO Technical Cooperation Programme and IMO Financial Services. Meetings with staff of all these groups have confirmed that working relationships are excellent and there is an attitude of mutual understanding and support that facilitates adaptive management and efficient management of GBP budgets. Where it can be shown that additional support for GBP participating countries is warranted and available, IMO's internal mechanisms can make an invaluable contribution towards extending the benefits of GBP and increasing the likelihood that Project objectives will be met.

Having joined forces with IMO at the inception of Phase 1 of the GloBallast Programme (2000-2004), GEF/UNDP has been a key player in building capacities for ballast water management in developing

countries for more than a decade. GEF/UNDP has been instrumental in the development and establishment of GBP, as well as allocating funds to initiate the Project. It played a major role in drafting the Project Document which sets the overall objectives of the Project, identifies the anticipated outcomes and related indicators, and details the activities to be carried out along with estimated budgets and timescales. GEF/UNDP supports the Project through its general supervisory and monitoring function, continuous attention to quality assurance and periodic reviews of the financial status of the Project. UNDP national offices provide a valuable service by disbursing funds needed for GBP activities at national level. The organization also advises on outside sources of funding (i.e. co-financing).

The evaluator finds that the collaboration between GEF-UNDP (the implementing agency) and IMO (the executing agency) has been harmonious and fruitful and exemplifies an effective mechanism for the UN system in assisting developing countries to put in place necessary measures for marine environmental protection. The contribution of GEF-UNDP to ballast water management is, however, not without its critics. A spokesman for one of GBP's strategic partners commented to the Evaluator that the funds (\$ 5.7M) allocated to the project by GEF were far from commensurate with the magnitude of the task and that its own programmes to reduce the risks from bioinvasions had much greater financial support. The argument that GEF-UNDP funding was intended to trigger additional sources of funding, and had been very successful in this regard through both committed and actual, leveraged co-financing, did not alter this opinion.

As shown in the organogram (Figure 4.2), other important contributors to GBP are the Regional Coordinating Organizations that are instrumental in facilitating regional initiatives in BWM, in particular in the establishment of Regional Task Forces. Strategic partners include the World Maritime University (WMU), the Global Invasive Species Programme (GISP), the International Union for the Conservation of Nature (IUCN), the International Chamber of Shipping (ICS), the Institute for Marine Environmental Engineering, Science and Technology (IMarEST) and the Global Industry Alliance (GIA). These bodies work to increase awareness within their constituencies of the risks presented by species carried in ballast water and provide mechanisms for developing relevant responses including, for example, monitoring methodologies and BW treatment technologies. In addition, a number of Regional Sea Organizations, both within and outside UNEP's Regional Seas Programme, are working to develop action plans specifically designed to stimulate and harmonize BWM at national and regional levels.

In conclusion, the institutional framework created in support of the GBP Project is broadly based and well-suited to the task of optimizing the global response to marine bioinvasions resulting from ballast water discharges. It spans the main international regimes for marine environmental protection, programmes specializing in the control and monitoring of invasive species and shipping and related industries. With the exception of the status reports presented by the PCU, however, reports submitted to GPTF meetings outlining activities undertaken by individual contributors, tend to be concise and the full extent of such contributions, and their effectiveness in relation to Project objectives, cannot yet be evaluated with confidence. Nevertheless, there is clear evidence of a real momentum towards BWM in a majority of LPCs stimulated by GBP support and this, supplemented by the collective actions of strategic partners and other contributing organizations, constitutes an effective campaign for global implementation of the BWM Convention.

#### **4.1.7 Coordination, management and administration provided by the PCU**

The PCU is probably the most critical entity for implementing the GBP project. In addition to day-to-day management of the Project, its functions include planning, coordination, strategic liaison, representation, accounting, BWM promotion, fund-raising, product development, event management, recording and reporting. The national partners associated with the GloBallast programme, with which the PCU remains in continuous contact, many of which are visited by PCU staff at intervals throughout the year, range over 12 maritime regions of the world. These functions have been accomplished with a maximum of 3 staff members – two technical advisors and one administrative assistant.

There are firm arrangements between the PCU, sponsoring agencies and regional organizations to allow for collaboration in organizing and executing GBP activities both at headquarters (e.g. meetings of governing bodies) and in participating regions. A Project Execution Agreement between IMO (the executing agency) and UNDP (the implementing agency) was concluded in September 2007. Arrangements with regional organizations allow for the transfer of funds in support of Project activities and for the delegation of activities to be conducted in participating regions. In the case of regional organizations such as CPPS, PERSGA and SPREP, these arrangements are in the form of Memorandums of Understanding (MOUs), whereas the coordinating bodies for the Mediterranean (REMPEC) and Caribbean (REMPEITC-Caribe) are IMO activity centres with which there are established arrangements for functions relating to the implementation of IMO conventions. The regional organizations are represented at the biennial GPTF meetings where they have the opportunity to report on progress with BWM in the regions concerned. Discussions with PCU members did not reveal any particular problems with these inter-organizational arrangements; no such difficulties have been recorded in either quarterly or annual reports and the Evaluator therefore concludes that the arrangements are operating satisfactorily.

Progress with Project execution is monitored routinely by the PCU through constant communications with participating countries and RCOs. Every year (and in each IMO biennium) the PCU plans regional and national activities in dialogue with the RCOs. These are based on the Project Document and its expected outcomes and indicators, although the timing and location of activities may be adjusted according to the progress achieved to date. In this context, a guiding principle is that planned targets should be achieved before new activities are planned. The PCU has shown considerable aptitude for this form of adaptive management.

The staff complement of the PCU is extremely lean for the range of functions it is expected to perform and its overall work-load. Coupled to this, the timetable of events spread over a dozen regions is such that one or more PCU member is scheduled to participate in an event (sometimes a series of events) away from headquarters every 2-3 weeks throughout the year. When back at base, the same individuals have a large number of domestic and client-related duties to perform as well as coping with new demands and eventualities. Under these circumstances, the absence of any major disruptions to the work-plan during the past 3 years is, in the Evaluator's opinion, astonishing. It reflects an unusual degree of dedication, competence, efficiency and professionalism by PCU staff. Nevertheless, such pressures are unreasonable, cannot be absorbed indefinitely and must inevitably bring into question the staffing provisions of the Project Document which clearly did not allow for the expansion in the work-plan which has been made possible by the success in leveraging significant co-funding for the GBP Project. Even without this increase in activity, it would appear that



expectations regarding the capacity of a 3-person PCU to manage a project of this scale and complexity were somewhat unrealistic.

Initially, GBP was not structurally integrated as a major project into the mainstream IMO programme. However, at the end of 2010 GBP was integrated within the Technical Cooperation Section of IMO's Marine Environment Division, bringing additional responsibilities for the PCU's Chief Technical Advisor who is currently also managing the Technical Co-ordination function of the Division. This reduced the capacity of the PCU and placed further pressure on an already over-loaded work force. To compensate for this overlap in duties, the PCU proposed that additional manpower should be contracted for the remainder of the project. This has now been done.

To avoid future constraints on the delivery of GBP activities imposed by PCU staff capacity, the Evaluator recommends that the Chief Technical Advisor should constantly monitor the time allocation of PCU staff and ensure that a reasonable balance is maintained between deployments at headquarters and in the field. There would be merits in applying a limit on the proportion of a PCU member's time spent on overseas missions, or the number and/or duration of missions undertaken by a member, in any one year. As the Project develops and more GBP activities become routine, consultants and RCO representatives could be delegated more frequently to represent the PCU and undertake awareness and training functions; such an approach has recently been initiated. The work programme for any given period should be kept well within the capacity of the PCU to deliver it without excessive demands on individuals or the need to service one particular activity at the expense of other, equally important, PCU functions. Requests to undertake new or additional events at overseas venues should be acceded to only if they can be accommodated without exceeding PCU travel guidelines.

With respect to financial management of the Project, the PCU has continuously and efficiently controlled expenditures and maintained a proper balance between administrative and overhead costs and expenditures required to achieve planned Project outputs. This can be seen by the constant cost savings through co-financing and other means, where annual delivery targets in terms of activities are constantly being met or exceeded while using on average only 60% of the originally allocated GEF funds. Control is maintained by keeping detailed financial records in a set of databases including:

- A constantly updated Project budget detailing expenditures on individual activities;
- Expenditures, transfers etc. Under each budget line in the Project funds;
- Expenditures, transfers etc. Under the IMO funds;
- A classified list of expenditures on global, regional and national activities.

All budgets and expenditures are continuously monitored both by the PCU and IMO Financial Services using the agency's accounting software (SAP). This is where all transactions are created and approved and where goods are receipted.

**Importance of adaptive management:** Orchestrating a global campaign to deal effectively with a major environmental problem that demands concerted action by riparian states, and a considerable degree of inter-regional cooperation, will always be a formidable task. In the case of the GBP, the difficulties are exacerbated because there are a few comparable precedents and it is clearly important that the campaign should proceed as rapidly as possible in order to deal with the progressive and expanding problem of alien species transfer. Furthermore, the focus of the effort needs to be in the

developing regions of the world which may be both recipients and donors of species carried by ballast water while at the same time having limited capacity to deal with the issue.

Accordingly, it is essential that the GBP is managed in a way that focuses the available human and financial resources on carefully selected priorities while ensuring that the programme can respond to new information and changing circumstances. The level of awareness concerning the environmental hazards associated with ballast water varies between countries and regions, as does the need for training, institutional and legal reforms. As the programme proceeds, the extent of these differences becomes more apparent and may occasionally require additional support and/or the refocusing of resources in certain countries to help in removing barriers to progress. This implies that the team managing the programme needs to adopt a system of adaptive management that will maintain the momentum of the programme and optimize the outputs and benefits throughout its lifespan. Indeed, the need to develop adaptive management capabilities is at the core of Output 1, set within the context of GBP objectives.

Taking into account the global nature of the programme, the human resources allocated to managing the GBP are extremely limited. The programme Coordination Unit (PCU) based at IMO headquarters in London consists of two Technical Advisors and one Programme Management Assistant. These three individuals are responsible for organizing GBP related activities in 15 Lead Partner Countries in five regions spanning three continents. The team receives significant administrative support internally, as well as from IMO regional offices, but overall programme management and core field responsibilities rest with the PCU itself. Output has been impressive. For example, in 2010 alone the team was directly or indirectly involved in 80 GloBallast-related activities comprising lectures, workshops, training sessions and meetings at national, regional and global levels. In the 30 months preceding the 2<sup>nd</sup> Global Project Task Force (GPTF, October 2010) meeting, over 200 activities were undertaken within the GBP.

The delivery of services to GBP participating countries by such a small team would not be possible without a high degree of personal effort, dedication, planning and organization. This evaluation finds that the current PCU team demonstrates these qualities in abundance and the team deserves considerable credit for the progress achieved to date. It has shown that by dividing the workload between individuals, for example by assigning each officer to particular regions, that parallel progress can be made on a broad geographical basis. The political, legal and institutional barriers to implementing a global convention vary significantly between regions. The PCU has taken this into account in the allocation of regions between staff to ensure an even distribution of effort. The ability to raise awareness in developing regions concerning the problems posed by untreated ballast water, to advise on legal, institutional and technical issues, to arrange training in preparation for port surveys and to draft guidance documents demands a deep understanding of the needs of participating countries in building the capacity to implement the BWM Convention. This evaluation finds that the performance of the PCU in all these areas has been impressive.

An essential element of adaptive management is the ability to react quickly to new, unanticipated situations, and to make quick decisions that may involve changes in direction or timetables wherever these may lead to greater efficiency and help to achieve programme objectives. The PCU receives numerous requests for information and assistance relevant to GBP aims and activities and is continuously evaluating new information regarding the needs and aspirations of participating countries. In considering new or expanded activities the PCU has been conscious of the costs involved and has demonstrated particular skill and commitment in raising additional funds and in-

kind contributions from various sources to support activities that are well justified and within the scope of the GBP.

When operating within a large organization that has a complex managerial structure, the skills and experience needed for adaptive management are more easily acquired where the team concerned has the autonomy and flexibility to reach decisions and take actions expediently. This is certainly the case for the PCU which has been well served by its association with IMO, and the internal support it receives from that organization, actively managing a global programme with minimal staff while remaining accountable to its sponsors and associated agencies. Accordingly, one of the more important lessons learned from this project is that adaptive management greatly facilitates efficient programme delivery and is more likely to evolve where responsibility for the programme rests predominantly within the team assigned to the task.

#### ***4.1.8 Programmatic & financial adjustments in the first 3.5 years***

The Evaluator is requested to identify any programmatic and financial variances and/or adjustments made during the first 3.5 years of the Project and to assess their conformity with decisions of the ExCom and their appropriateness in terms of the overall objectives of the Project.

The major programmatic adjustment has been the extension of the Project by 2 years, resulting in a new termination date of December 2014. At an extraordinary meeting of ExCom, held in January 2010, a Progress Report from the PCU noted that, whereas approximately 40% progress had been achieved at the global and regional levels of Project implementation, and all global and regional targets for 2009 had been met, progress at national level had been somewhat slower. Although greater momentum amongst LPCs was predicted for Year 3, it was also clear that the political and capacity hurdles remaining, and uncertainties over compliance and enforcement aspects of BWM, might have an impact on national policy and legal reforms in coming years. Accordingly, the PCU informed ExCom that it might be 'strategic and beneficial' for the Project time-line to be extended until the end of 2014. Despite the additional assistance provided by the Project to facilitate national task force meetings, which are responsible for driving the reform process, some LPCs had requested an extended time-frame for reforms to be made. This was possible due to the extensive cash co-financing (1:4) committed in the Project Document and mobilized by the PCU and the Executing Agency (IMO) during the first two years of the Project. ExCom approved the PCU proposal which was endorsed by GPTF in October 2010.

The Evaluator concurs entirely with the decision to extend the Project in order to optimize the possibilities of guiding LPCs through the series of national reforms that will facilitate ratification and implementation of the BWM Convention. This will clearly increase the likelihood that the overall objectives of GBP will be met.

Extension of the project by 2 years has had no cost implications for GEF (see 4.1.8 below).

#### **4.1.9 Co-financing and public-private partnerships**

The level of co-financing committed before and after preparation of the Project Document is substantial, as follows<sup>6</sup>:

		<u>% of funds committed to date</u>
GEF contribution:	\$ 5,688,000	11.7
Initially committed co-financing:	\$23,389,939	48.2
Additional co-financing 2008-2011	\$19,400,000	40.0

The above figures reflect co-financing in the form of cash from donor countries and organizations as well as contributions-in-kind i.e. the estimated value of facilities, services and human resources provided by participating countries and organizations when hosting GBP events such as seminars, workshops and other functions.

The co-financing of GBP can be seen from two different perspectives. Clearly, the ability of the project to attract the level of co-financing that has materialised is a credit to the way the Project has been formulated as well as the efforts of IMO, GEF-UNDP and the PCU in promoting the global significance and potential benefits of GBP and the GloBallast programme in general. On the other hand, without significant co-funding the Project would have had little chance of success, being limited to providing a level of support to developing countries that would have only a minor impact on BWM and IAS risk reduction. In essence, the initial GEF contribution has served as a catalyst for creation of a global fund without which the objectives of GBP could not possibly be achieved.

Whereas not all funds contributed since the start of the Project are available to fund additional GBP activities – some, such as the \$15m allocated by India, are reserved for specific national activities – co-funding has enabled a significant expansion in the supports available to participating countries and regions as well as an extension of the Project by two years.

The Global Industry Alliance (GIA) is a pioneering partnership between IMO and 4 major private shipping corporations which aims to accelerate development of innovative technical solutions to issues such as ballast water treatment and monitoring and to investigate alternative management options including new concepts in vessel design that might reduce treatment requirements. The creation of this partnership has been widely applauded and is considered a model for further alliances of this kind. The partners have pledged a sum of \$1 million to support GIA activities. Initial work has been completed on the harmonization of BW treatment test facilities, the establishment of a global forum for dialogue and information exchange on BWM solutions and the creation of a shipbuilders' forum.

A partnership between IMO and the European Bank for Reconstruction and Development (EBRD) is intended to catalyse action amongst East European states to develop their BWM capacities and to ensure that vessels from the region will comply with the requirements of the BWM Convention as well as port controls in countries that have ratified the Convention. Known as the IMO-EBRD Marine Biosafety Initiative, this public-private partnership is supported by €320,000 (USD 440,000) from EBRD's Shareholder Special Fund. The funds are being used for training and awareness programmes and to support the development of the necessary technical and infrastructural capacity. Introductory training sessions were successfully conducted in Russia and Ukraine early in 2011 and the second

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<sup>6</sup> Source: APR for June 2011

phase, targeting private sector companies, will begin in December 2011. The training is being executed by selected course instructors from Ukraine, with technical backup from the PCU.

The two public-private partnerships forged to date by IMO to support implementation of the BWM Convention in developing countries, exemplify two different ways of extending the scope of the current GBP project. The GIA has opened doors into the shipping industry, informing the industry of the relevance and implications of the BWM Convention and stimulating both shipbuilders and water treatment designers to search for innovative BWM solutions. The Marine Biosafety Initiative has renewed activity in a region introduced to BWM during the previous GloBallast pilot phase that ended in 2004, making full use of GBP training materials to extend awareness of the BWM Convention within the region and to assist the region's strategically important shipping sector to develop the necessary infrastructure to comply with the Convention. The first strengthens the technological component of BWM and the second expands the geographical coverage of BWM.

Public-private partnerships not only provide valuable additional funding and extend the scope of the Project, they also serve as ambassadors for the Project and could open further opportunities for other partnerships and investments. In all such cases it is essential that each partner contributes in some way to achieving the objectives, either by funding or the provision of expertise or materials. It is also important that the objectives are clearly defined (this is not apparent from the documentation on the two partnerships examined here but may be covered in the relevant agreements/MoUs). The Evaluator notes that both the GIA and the Marine Biosafety Initiative have received considerable publicity and that too often there is a tendency to present activities as having been a great success. For example, a recent report from the GIA Secretariat used phrases such as 'successful mechanism', 'tremendous momentum' and 'substantial impact in terms of awareness' to describe various GIA activities without any apparent justification or tangible evidence to support these statements. Such claims are unconvincing and diminish the credibility of the projects and partners concerned. The Evaluator recommends that Secretariats, public relations officers and others reporting these events avoid overstating outcomes, particularly in the early stages of projects, and reserve their judgements until tangible results, specific targets and objectives, have been achieved.

#### ***4.1.10 Outputs and outcomes beyond those specified in the Project Document***

This topic is closely linked to co-financing, discussed in 4.1.9 above.

The adaptive management approach adopted by the PCU (see 4.1.7) optimizes the selection of activities and their sequence and also the allocation of financial resources. The PCU works closely with the RCOs, LPCs, Strategic Partners and the IMO Secretariat, to determine how, when and where interventions are needed and resources are strictly allocated and spent based on progress made within countries and regions. This is a crucial aspect of the overall strategy to achieve the objectives of the Project. The BWM Convention is somewhat different from other IMO instruments and countries and stakeholders are still examining ways to implement its requirements.

Understanding of the BWM Convention, related treatment technologies and their availability, have changed since commencement of the Project which must now react and adapt to these changes. The Project must not only achieve the goals set out in the PD but also undertake additional activities that are expected to benefit implementation of the BWM Convention. This will be difficult to achieve

unless additional resources are mobilized and the PCU is strengthened further to take on the additional responsibilities. The Convention can succeed only if it is implemented globally.

Almost all activities are implemented in partnership with other stakeholders, not only to minimise costs but more importantly to increase ownership of the IAS issue and the specific activities designed to deal with it. Since all activities involve cost-sharing it is difficult to single out specific activities that have been made possible through additional co-financing. However, it is clear that extension of the project by two years is a direct result of a very successful campaign to raise co-financing (both in kind and cash) and that this has enabled a significant increase in the number of activities conducted at national and regional levels.

As illustrated in Table 4.7, the amount of co-financing leveraged so far in the Project has already surpassed the amount expected during the entire Project. It is envisaged that the total amount of co-financing eventually will be twice that originally committed in the Project Document.

<b>Table: 4.7</b>					
<b>Summary budget for GBP, June 30<sup>th</sup> 2010</b>					
<b>Name of Partner or Contributor</b>	<b>Nature of Contributor</b>	<b>Amount committed in Project Document (in total for the entire Project)</b>	<b>Additional amounts committed after PD finalization</b>	<b>Estimated Total Disbursement to 30 Jun 2011</b>	<b>Expected Total Disbursement by end of project</b>
<b>GEF Contribution</b>	GEF	\$5,688,000		\$1,871,008	\$5,688,000
<b>Cash Cofinancing</b>	IMO	\$498,000	\$552,000	\$1,050,000	\$1,050,000
	UNEP	\$0	\$16,000	\$16,000	\$16,000
	EU	\$0	\$85,000	\$85,000	\$85,000
	GIA	\$1,000,000	\$0	\$250,000	
	Med. Trust Fund	\$0	\$133,000	\$133,000	
	LPC (Turkey)	\$0	\$1,000,000	\$1,000,000	
	EBRD	\$0	\$300,000	\$300,000	
	RCO (CPPS)	\$0	\$55,000	\$55,000	
	Pilot (India)	\$0	\$15,000,000	\$3,200,000	\$15,000,000
	ASEAN India project		\$500,000	\$500,000	
	TOTAL Foundation	\$0	\$90,000	\$90,000	\$90,000
<b>In-Kind Cofinancing</b>	Governments	\$9,849,799	\$762,000	\$5,546,188	\$10,611,799
	IMO	\$3,820,800	\$0	\$2,580,160	\$3,820,800
	Private Sector	\$2,133,340	\$0	\$1,900,000	\$2,133,340
	NGOs	\$400,000	\$0	\$250,000	\$400,000
<b>Other cash and in kind</b>			\$907,000	\$907,000	\$1,814,000
<b>TOTAL</b>		<b>\$23,389,939</b>	<b>\$19,400,000</b>	<b>\$19,733,356</b>	<b>\$40,708,939</b>

## 4.2 Achievement of results

### 4.2.1 Prognosis concerning the degree to which the overall objectives and expected outputs of the Project are likely to be met

The GBP Project Document sets clear and ambitious goals for the Project, some of which are already well on the way to achievement. However, an assessment of the degree to which the overall goal is likely to be met is complicated by the way in which the goal, its indicators and sources of verification, are formulated.

According to the Project Logical Framework (PLF) presented in the Project Document, the overall goal of the Project is *to reduce the risks and impacts of ballast water mediated marine bioinvasions caused by international shipping*. Stated in this way, there is no doubt whatever that the Project will achieve this goal although it may be impossible to assess, at any stage, whether the level of risk reduction achieved by GBP alone significantly reduces ballast water mediated invasions on any particular (national, regional, global) scale.

The PLF also gives a more specific objective for the Project which is *to assist vulnerable developing countries to implement sustainable, risk-based mechanisms for the management and control of ships' ballast water and sediments in order to minimize the adverse impacts of aquatic invasive species transferred by ships*. Once again, there is no doubt that the Project will achieve this objective and, to a large extent, it has already done so. A matter that is more difficult to resolve is the extent to which the Project will meet the various indicators and confirmatory conditions (sources of verification) specified in the PLF as a means to verify that the main objectives have been achieved<sup>7</sup>. Prognoses for the achievement of these indicators and sources of verification are given in Table 4.8.

The prognoses in Table 4.4 take into account information contained in reports from both LPCs and RCOs presented to the second GPTF meeting in October 2010. These reports provided little information on the extent of regional activities in BWM beyond statements that regional task forces and/or strategies are in place. With respect to the possibility of LPC neighbouring countries developing national BWM strategies, an encouraging report came from Croatia which is working to develop a common BWM protocol for the entire Adriatic Sea area, taking into account the strategy already developed for the Mediterranean.

Turning to the 4 main Outputs of the Project, the Project Document provides a suite of indicators that can be used to evaluate the extents to which these Outputs are likely to be achieved. Considerable caution needs to be exercised in doing so. The status of an indicator at mid-term is not easily determined and may not give a reliable indication of the position that is likely to exist in 2014. The extent and rate of future progress is seldom predictable. Consequently, the prognoses given for the achievement of Outputs 1-4 (Table 4.8) are based primarily on the Evaluator's judgement, taking into account feedback from LPCs and RCOs as well as PCU progress reports.

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<sup>7</sup> Separate indicators and sources of verification are specified for each individual Project activity

<b>Table 4.8:</b> <b>Prognoses for achievement of overall Project objectives</b>	
<b>MAIN INDICATORS</b> By the end of the project, all partnering countries can demonstrate significant improvement in legal, policy and institutional structures, with corresponding reduced risk of ballast water borne marine bio-invasions	
<b>Source of verification</b>	<b>Prognoses at mid-term</b>
All lead partnering countries (LPCs) have assigned a Lead Agency, formed a National Task Force and developed National Ballast Water Management Strategy (NBWMS).	Conditions will be met.
Each LPC has revised its legal instruments, instituted a risk-based compliance monitoring and enforcement (CME) system, and established a sustainable financing structure for their national BWM program.	Moderate to high probability. As of June 2011, nine countries had completed, or were in the process of completing, draft BWM legislation, 5 had yet to commence the process.
All lead participating countries are proceeding towards ratification of the BWM Convention, with at least 10 LPCs ratified and implementing the Convention.	Possibly too optimistic. Only 3 LPCs ratified to date. 2011 questionnaire suggests that at least another 4 LPCs should have ratified before the end of 2014.
At least 3 neighbouring partnering countries of each LPCs developed draft BWM strategies.	Potential varies by region for geographical and political reasons. Possibly too optimistic. For some LPCs, regional engagement is limited; priorities national.
The Regional Seas & LME conventions in each partner region include approved provisions supporting improved BWM, the BWM convention and BWM regional strategies.	Yes (Mediterranean, Caribbean, Red Sea & Gulf of Aden, Guinea Current LME, Pacific Regional Environment Programme – SPREP, The South-East Pacific – CPPS). <u>Note:</u> Provisions vary

In summary, an examination of Project achievements at its half-way stage clearly suggests that the Project is well on its way to meeting its primary objectives and that most expected outcomes should be realized. In other words, the degree to which the overall objectives and expected outputs of the Project are likely to be met is high, although doubts remain concerning the rate and extent of regional diffusion of BWM activities and the extent to which PCs and LPCs will influence this process during the lifetime of the Project. For some regions, such as the Mediterranean and the Red Sea/Gulf of Aden, there are firm indications of commitment to harmonized regional strategies but it is too early to predict developments in other regions.

Evaluating Project success: It is critically important that the PCU, lead partner countries and coordinating bodies focus continually on achieving a successful outcome to the project in 2014. This not only implies constant attention to the progress made with individual project components, and decisions to make whatever adjustments become necessary, it also requires a clear understanding of how *success* is defined for purposes of the project, and therefore how it will be measured on project termination.

The GBP Project Document sets out an overall project objective and a detailed list of project outcomes in the form of a Project Logical Framework (PLF). This is the basis for the ensuing Project Implementation Plan (GPTF 1, Agenda 3) and Work Plan (GPTF 2, Annex 9). It also specifies the



indicators that will denote whether or not each particular outcome has been achieved. This document is very much at the heart of the GBP project. The indicator that will denote whether or not the overall objective of GBP has been achieved is given as follows:

*By the end of the project, all partnering countries can demonstrate significant improvement in legal, policy and institutional structures with corresponding reduced risk of ballast water borne marine bioinvasions.*

In accordance with the framework's own classification system, this is both a process indicator and an environmental stress reduction indicator. However, it is not entirely clear how *significant improvements* will be measured. Whereas the framework gives a number of benchmarks for use in verifying the process indicator, no benchmarks are given for verifying a significant reduction in the *risk* of bioinvasions. Fulfilment of the overall objective of GBP, therefore, appears to rest on a critical assumption i.e. that significant structural improvements will reduce such risks. This is a questionable proposition. The PLF acknowledges this and notes that the risk reduction effort is, by nature, process driven.

There is no doubt that all outcomes identified in the PLF (see Table 4.9) have genuine potential to reduce the risk of marine bioinvasions by species carried in ballast water. Whereas there is a high probability that these outcomes will be achieved within the lifetime of GBP, there can be no certainty that the combined process outcomes will, for any particular country or region, reduce the risk of marine bioinvasions to a level that is ecologically sustainable or where these invasions are effectively eliminated. Such conditions may be impossible to measure or verify using field data. Inventories of alien species obtained from field surveys seldom differentiate between different vectors. A recent analysis (Hewitt & Campbell, 2010) of a global dataset concluded that more invasive marine species have life histories associated with biofouling (55%) than ballast water (31%). Comparable figures for Australia were 60% and 24% respectively. On the other hand, there are also encouraging signs from the Great Lakes (Bailey et al., 2011) that BWM strategies, especially BW exchange, are proving effective.

Reliance on process indicators for evaluating the success of GBP has disadvantages. For example, the mere completion of a particular task (e.g. strategy, economic assessment, training course etc.) carries no assurances that subsequent actions needed to realise the benefits from these tasks will be carried out. It is clear that the success of the GBP depends on the completion of a set of tasks by LPCs combined with a commitment to undertake the follow-up actions that are necessary for effective, sustainable BWM at national level. Much depends on the availability of reliable information from participating countries. Progress reports delivered by LPCs to the 2010 GPTF meeting were fragmentary and in the form of visual presentations, not written accounts. A proper evaluation of the status of national BWM activities cannot be based exclusively on these presentations. For this reason it would be advisable to increase the frequency of progress reports from LPCs, from the current bi-annual reports presented at GPTF meetings to annual reports that should be lodged with the PCU and provide greater detail on the actual measures introduced nationally in the past 12 months as part of the BWM development process. Such measures should include practical steps to assist neighbouring countries in developing their own BWM capacities with a view to a cohesive regional programme for implementation of the BWM Convention.

The latter point deserves particular emphasis. The best possible outcome for GBP will be the creation of fully functional, region-wide programmes of ballast water management whereby all riparian states

within a region have ratified the BWMC and are collaborating in applying harmonized approaches to Convention implementation. This will greatly increase the level of protection afforded to adjacent coastal ecosystems spread across different jurisdictions. It will reduce the opportunities for secondary, inter-latitudinal spread of invasive species, one of the more insidious causes of IAS introduction. Accordingly, it is strongly recommended that, for the remainder of the Project, special attention be given to meeting objectives focusing on regional cooperation (PLF Outcome 2), with particular reference to associated indicators such as PLF 2.2 and 2.4.2, as these indicators deserve high status in determining the overall success of the Project. Achievement of regional objectives will signify that LPCs have proceeded well beyond their national borders in their efforts to deliver BWM and are committed to effective control of ballast water borne invasives at regional, and ultimately global, levels.

**Table 4.9:**  
**Prognoses on achievement of planned outcomes**

	Outcome	Indicator	Evaluator's prognosis
1	Learning, evaluation and adaptive management increased.	The project team at global, regional and local levels is effectively coordinating the project, with objectives met, and outputs completed in time and within budget	Effective coordination already in evidence; by the end of the Project, all major outputs and most activities should be substantially completed within budget.
2	BWM Strategies in place, with legal, policy & institutional reforms developed, implemented and sustained at national level.	At project conclusion, each LPC is implementing an effective program of ballast water management in line with the IMO Convention and any Regional Strategies. During the project, each LPC is sharing the lessons learned with other countries in the region	By the end of 2014, all LPCs are expected to have in place an effective BWM program. Regional structures (RTFs) are in place and will facilitate sharing of experience between neighbouring countries. But some LPCs may be slow to engage in regional cooperation prior to completing their national BWM preparations.
3	Knowledge management tools and marine monitoring systems are effectively utilized to expand global public awareness and stakeholder support, improve understanding of ballast water impacts on marine ecology, and enhance maritime sector communication.	Sufficient information is available by the end of the project for LPCs to implement risk-based ballast water management systems. All LMEs and regional Seas programs globally have raised ballast water management as an important coastal zone concern, with their members taking steps to address the issue. Momentum on GBM is sustained in the GB pilot regions.	The Project has substantially increased awareness of the risks from BW mediated bioinvasions and this should effectively motivate LPCs and their neighbours to accelerate BWM strategy development. Regional bodies for marine environmental protection are aware of the issues and committed to action. However, momentum in some pilot regions (e.g. South Asian Seas) could not be ascertained. Despite this, Output 3 will, in large part, be achieved.
4	Public-private partnerships developed to spur the development of cost-effective ballast water technology solutions	Cost effective technology solutions and testing standards are developed, tested and promoted through a successful partnership with industry.	The Global Industry Alliance (GIA), formed in 2009, stimulates development and installation of technologies for BWM onboard ships. As of May 2011, 14 BW treatment systems had received type approval and such systems had been fitted on more than 200 vessels. Output 4 will be achieved.

#### ***4.2.2 Possibilities for the terminal evaluation to measure Project impacts in the context of IAS and the BWM Convention***

In some respects the terminal evaluation to be undertaken at the end of the Project will be in better position to assess the overall impact of GBP than the present, mid-term evaluation. To begin with, the next 3 years are certain to bring major changes in the extent to which BWM is applied in participating countries, especially those that complete their ratification process and which then proceed to revise their port state controls and CME systems in order to implement the BWM Convention. Further ratifications will, of course, expedite the coming into force of the BWM Convention which, for some countries, is a prerequisite for the necessary legal reforms and ratification. Once the Convention comes into force, there will be renewed activity within MEPC to resolve technical issues that have arisen since the BWM Convention was adopted, such as uncertainties with respect to monitoring compliance with BW treatment standards, and which hamper progress by some national administrations. For all these reasons, plus the additional support provided to LPCs by the GBP Project, a considerable acceleration in the development and application of BWM within the five GBP regions is to be expected over the next 3 years.

Since the commencement of the GloBallast programme in 2000, it will have been apparent to IMO and GEF-UNDP that a phased programme of assistance to selected developing countries could not, by itself, achieve a harmonized, worldwide implementation of the BWM Convention. At best, it would achieve a significant but unquantifiable reduction in the risk of BW mediated bioinvasions across the regions directly assisted by the programme. Ideally, it would also develop an ongoing momentum that would serve to progressively close remaining gaps within the regions with respect to controls over ballast water discharges and would influence adjacent regions to initiate or strengthen their BWM strategies. This process would be greatly assisted by the involvement of Regional Sea Programmes that have developed action plans to improve bio-security and/or maintain biodiversity.

From an environmental perspective, the best evidence that BWM is effective would be that new arrivals of alien species, in the vicinity of major ports frequented by ballasted vessels and implementing BW controls, had ceased or slowed significantly. This would not be easy to establish as it would depend on the frequency and reliability of previous surveys of alien species. Many port areas will have been surveyed only recently and the data obtained are unlikely to reveal information on when particular species arrived unless the surveys had included detailed population analyses. Biological surveys are costly and countries will be reluctant to repeat them on a frequent basis, especially countries with a large number of major commercial ports. Even long-term historical datasets can be difficult to interpret as trends in introductions have a tendency to be erratic, being subject to a variety of influences including climate, hydrography, patterns of shipping, commercial fishing and recreational sailing. Where adequate records do exist, it needs to be appreciated that continuing new arrivals would not necessarily signify a failure of BWM strategies, they might be an indication that another vector such as hull fouling is the principal vector in the area concerned.

Other records will also reflect the impact of GBP in terms of IAS risk reduction. Vessel log books, for example, will show the number of voyages completed since type-approved BW treatment systems were installed on board, the maintenance records for the equipment concerned and the results of any compliance monitoring tests carried out by port officials or their designates. Conversely, port administrations will also keep records of vessels that fail to comply with the international standards and the enforcement actions that ensued. When available from all national ports, such records will

constitute a valid basis for assessing whether or not national strategies are effectively delivering the maximum attainable level of protection against the risks of BW mediated bioinvasions.

From an IMO perspective, the main criterion of progress towards global application of the BWM Convention will be the number of countries that have ratified the Convention. At the end of the project and periodically thereafter a review of ratification status, both global and regional, taking into consideration the extent of ratification by developed as well as developing countries, would be informative and useful. A strong performance by regions supported by the GloBallast programme (Phases 1 and 2) would tend to confirm the benefits of the programme in facilitating implementation of the Convention. To date, the level of ratification by developed countries has been slow and there appears to be no existing mechanism by which to determine the underlying reasons for this. As noted above, it may in part be linked to the entry into force of the Convention but there may be other reasons such as impending controls over ship fouling as a vector in alien species introductions. Some administrations may prefer to reform their legal systems and port state controls in way that will deal with both shipping-related vectors at the same time.

#### ***4.2.3 Progress towards sustainability and replication of project activities***

The replication and sustainability of BWM activities that are promoted and assisted by GBP have been important considerations for the Project since its inception. The Project Document notes that “the best mechanism to ensure sustainability is widespread ratification of the BWM Convention amongst the 130 countries in the partner regions”. This recognises the link between an effective global regime for reducing risks of BW mediated bioinvasions and the number of countries within each region that have established their BWM programmes on a sustainable basis. The Project Document addresses 4 forms of sustainability – environmental, social, financial and institutional.

In the context of marine IAS, environmental sustainability refers mainly to the conservation of native biodiversity which can be seriously threatened by highly competitive species that disrupt native food chains and alter the structure of ecosystems. Because the different ecological assemblages that characterise biodiversity do not respect national geographical boundaries, conservation efforts need to focus on larger, even regional, scales. Thus, the intention that GBP should encourage LPCs to assist and share experiences with neighbouring countries, and to contribute to regional task forces, has particular relevance in the context of biodiversity conservation. It is only through harmonized and concerted efforts to control BW discharges across large sections of the coastal zone that the threat to biodiversity presented by IAS in ballast water will be effectively managed. Replication of BWM strategies at regional scales is, therefore, essential.

At mid-term, there is still much work to be done in order to strengthen regional programmes of BWM and to replicate national action plans amongst non-LPCs in partner regions. The main reason why this regionalization has not proceeded more rapidly is that many LPCs are giving priority to implementing their national BWM programmes before expanding their efforts at regional level. This is entirely reasonable. Coupled to this, it is now clear that the policy, legal and political reforms needed to achieve ratification, and the training and capacity building that must precede the introduction of port state controls and compliance monitoring systems, in many LPCs is taking far longer than anticipated. However, there are good reasons to expect a significant acceleration in the regional programme during the second half of the GBP Project. Apart from more LPCs having the time to devote to regional activities, the regional task forces are already in place and in some cases regional action plans, for example in the Mediterranean and Red Sea/Gulf of Aden, have already

been drafted. The continuing work of the RCOs in facilitating regional cooperation in BWM will be critical over the next 3 years.

Social sustainability refers to the impact of invasives on the health (e.g. water-borne diseases) and food security (e.g. fisheries) of coastal communities. Indirectly, by reducing the risks that these socially important factors might be compromised by untreated BW discharges, the GBP affords an important social benefit. Financial sustainability refers to the essential requirement that countries that introduce port state controls and compliance monitoring systems secure the financial means to continue implementing their BWM programmes after the Project has ended. Guidance on how to assess the level of sustainable financing required, and options for raising the necessary funds through, for example, port fees and penalties, is given in the Project Document as well as in GBP Monograph No.19 (GBP/IUCN, 2010). It is evident that many countries tend to overestimate the costs of BWM that are additional to those already expended on other, shipping-related administrative costs. Countries with major commercial ports already have the necessary regulatory infrastructures and BWM will mainly require some additional, specially-trained personnel and data recording systems. Compliance monitoring is not expected to be a major overhead since the need for monitoring will be limited to known or suspected high-risk vessels that do not have appropriate log-book entries confirming the on-board presence, satisfactory maintenance and use of type-approved BW treatment systems. Where sampling and testing is warranted, it could be made a national requirement that the costs are borne by the shipping company.

Information on the current position with regard to financial sustainability is not readily available. When LPCs joined the Project, they committed a certain amount of time and co-financing to implement Project activities and, thus, the BWM Convention. All LPCs intend to have fully operational BWM programmes in place by the end of the Project (2014), although a few countries (e.g. Egypt) may find this difficult to achieve due to internal political difficulties. It therefore seems likely that, by the end of 2014 at the latest, most LPCs will have instigated measures for long-term funding of BWM, either from national budgets, stakeholder partnerships, port fees, penalties or some combination thereof. To date, there is no evidence to suggest that this will not be the case.

Institutional sustainability, as described in the Project Document, focuses on national policy reforms to ensure continued management and delivery of BWM activities at national level and progressive regionalization of BWM programmes to extend cooperation with non-LPCs, thus providing a regional impetus for continuation of activities beyond the lifetime of the Project. At global level, IMO's Office for Ballast Water Management and Integrated Technical Cooperation Program will continue after the Project and IMO member states are committed to an ongoing process of guidance for the implementation of the BWM Convention.

#### ***4.2.4 Adjustments to the overall Project work-plan and timetable so as to enhance the achievement of Project objectives and outcomes.***

In general, the Evaluator is satisfied that the Project has made excellent progress towards achievement of its core objectives. Based on the accomplishments of GBP to date, the Project will undoubtedly:

- *reduce the risks and impacts of ballast water mediated marine bioinvasions caused by international shipping;*

- *assist vulnerable developing countries to implement sustainable, risk-based mechanisms for the management and control of ships' ballast water and sediments; and*
- *by the end of the project, all partnering countries [will be able to] demonstrate significant improvement in legal, policy and institutional structures, with corresponding reduced risk of ballast water borne marine bio-invasions.*

Furthermore, the high level of commitment demonstrated by the PCU and its aptitude for adaptive management give confidence that the remaining tasks in the GBP work-plan will be completed during the Project time-frame. With this background, there is no basis to recommend corrections or adjustments to the overall Project work-plan and timetable in order to enhance the prospects of achieving Project objectives and outcomes.

There is, however, one aspect of the GloBallast programme that warrants continuing attention. That is the expectation that countries assisted by the programme, both PCs and LPCs, will play an active role in expanding BWM within their regions, assisting and encouraging other countries to work towards ratification of the BWM Convention using approaches similar to those adopted by GBP. Indeed, one of the sources of verification for the main GBP indicators is that, by the end of the Project, '*at least 3 neighbouring partnering countries of each LPCs [will have] developed draft BWM strategies*'.

The need to extend BWM across entire regions, so as to achieve a harmonized regional network of controls over ballast water discharges, is an important part of the overall GloBallast strategy. The Evaluator is concerned that the current rate of progress with this component of GBP may not be sufficient to achieve good regional coverage of BWM by the end of the Project. From the information available, it would appear there are significant differences between regions in the level of regional activity to date. There has been good progress in the Mediterranean, Red Sea/Gulf of Aden and South Pacific regions, whereas momentum in the Caribbean, South-East Pacific and West and Central Africa regions is comparatively low. On the other hand, it is acknowledged that the amount of effort expended by LPCs on regionalization of BWM is likely to be limited until their national strategies have been fully implemented. This being so, the level of activity with respect to regional BWM should increase during the second half of the project.

The Evaluator is aware of the high expectations attached to the contribution of Pilot Countries (GloBallast Phase 1) in helping to diffuse BWM across Pilot Regions. An overview of the status of BWM in Pilot Countries and regions is given in Section 4.1.2. This indicates marked differences between regions with good progress in Eastern Europe, the ROPME Sea Area and South Asia and little or no progress in the Asia/Pacific region, South America and Africa. In order to obtain a clearer picture of the situation in pilot regions, a questionnaire (Annex 4) was sent to Pilot Country focal points enquiring about their efforts to extend BWM within their respective regions. Only Iran (ROPME Sea Area) has replied (see Section 4.1.2).

In the longer term, the success of the GloBallast programme will be measured not only by the presence of effective, sustainable BWM regimes in the countries directly assisted by the programme but also by the extent to which those countries, collectively and individually, are instrumental in extending BWM to other countries in their regions. Whereas many non-LPCs have availed of opportunities for awareness-raising and training provided by GBP at regional level, there is insufficient evidence to show how far these countries have progressed with development of their

own BWM strategies. The creation of regional task forces (RTFs) and action plans is encouraging but progress at regional level is slow and some additional measures to expedite the process would be beneficial. Accordingly, the Evaluator recommends that the GBP work plan for the next 3 years be reviewed to see where there may be opportunities to stimulate the regionalization of BWM in GloBallast regions that have not yet implemented harmonized action plans. The following steps are recommended:

- review the GBP work plan to identify further opportunities for awareness-raising, capacity-building and training at regional level, stressing the importance of harmonized region-wide BWM programmes in achieving significant IAS risk reduction;
- working more closely with RCOs to give impetus to regional fora (RTFs), to generally strengthen national commitment and to set targets for ratification and implementation of the BWM Convention; and
- develop improved mechanisms for regular reporting on progress at regional level (i.e. annual reports from all RCOs and participating countries and standardised narrative reports to GPTF meetings).

### **4.3 Ratings**

In accordance with the Terms of Reference for the mid-term evaluation (MTE) of GBP, the Evaluator is required to assign satisfaction ratings to specific aspects of the Project using a 6-point scale and to comment as appropriate.

This a complex task involving a high degree of subjectivity and some preliminary remarks concerning the approach to ratings adopted by the Evaluator are appropriate. The evaluation is based on information provided to, or requested by, the Evaluator during the agreed working period, as specified in the MTE contract. There was considerable variation in the amount and quality of information available on particular issues. Reports from participating countries presented to GPTF meetings, for example, are available only as graphic presentations and not as narrative statements; these tend to be highly variable in style and content and difficult to review and assess. In general, national reports have not provided an adequate account of the status of BWM in the countries concerned. Certain key reference materials such as PCU progress reports, budget statements and work plans are frequently updated, requiring frequent updates of parts of the report during the course of its production. Every opportunity was taken to supplement documented information through discussions and interviews with PCU staff both in person and by telephone or email. Three visits were made to PCU headquarters totalling 10 days, five of which were during the MEPC meeting in July 2011 and were devoted almost entirely to interviews with delegates connected to the GBP Project. Members of the PCU have been extremely helpful to the Evaluator in providing information and answering queries but, due to pressure of work within the Unit, were not always in a position to devote the time to the MTE that either they, or the Evaluator, would have wished.

With the above background there is, inevitably, an element of doubt as to the currency and accuracy of information used in the evaluation and, consequently, some uncertainty in assigning ratings to different facets of the GBP Project. As a baseline, the Evaluator holds the view that the Project as a whole has made an immense contribution to BWM in developing regions of the world and deserves to be highly commended for its constructive and cost-effective support strategy. However, in evaluating individual Project components, the Evaluator hesitates to assign the highest possible

ratings unless there is indisputable supporting evidence. While lower ratings may have been influenced by misleading or incomplete information, they may nevertheless provide an incentive to focus greater attention on particular outputs and objectives during the remaining years of the Project. The ratings and associated comments are given in Table 4.10 below.

**Table 4.10**  
**Project Success Rating**

Feature rated	Evaluator's comments	Rating *
Relevance	The Project directly addresses the evident and urgent need to expedite ratification and implementation of the BWM Convention in countries and regions that are most vulnerable to the negative impacts of marine bioinvasions resulting from ballast water discharges. It is a logical sequel to the adoption of the BWM Convention and a key component of the international effort to significantly reduce the risks of such bioinvasions.	HS
Effectiveness	The effectiveness of the Project will depend on whether or not it achieves its primary objective of assisting vulnerable developing countries to implement sustainable, risk-based mechanisms for the management and control of ships' ballast water and sediments, as verified by the situation at the end of the Project whereby the conditions stipulated in the Project Logical Framework (PLF) are shown to have been met (see Table 4.4). The effectiveness of Project interventions to date – the introductory courses, awareness raising activities, guidance and assistance with status assessments and economic assessments, training workshops (e.g. PBBS) etc., is of a very high order. All LPCs have instigated reforms to either ratify or implement the BWM Convention and at least 10 out of the 14 [now 15] LPCs are on target to introduce port state controls for BW discharges on or before the end of the 2014. Thus, at mid-term, the GBP Project has created a momentum that, if sustained, is well on course to meet the goals applicable to LPCs. However, there is uncertainty regarding the achievement of goals applicable at regional level, partly because the status of regional activities has been difficult to assess. Greater regional momentum is warranted during the second half of the project and may occur as a natural progression from successful completion of national BWM strategies.	S
Sustainability	Sustainability has several dimensions; it also has environmental, economic, institutional and social components (4.2.3). It embraces the commitment and capacity of states to continue with their BWM programmes beyond the lifetime of the Project as well as the extent to which BWM programmes are implemented on regional scales. At the mid-term stage, the Evaluator can assess Project sustainability only by subjective assessment of the progress made to date in countries and regions directly assisted by the Project and, in particular, an assessment of whether or not the momentum demonstrated by LPCs to date is likely to continue. Whereas most LPCs are confident that they will be in a position to apply Port State Controls for BW by the end of 2014, the long-term financing of these controls, especially the costs of any necessary BW sampling and testing, for some countries is not yet resolved. No confident predictions can be made concerning sustainability on regional scales. Whereas progress in extending BWM at regional level is encouraging, there is insufficient evidence to indicate that harmonized BWM strategies will be implemented region-wide in the near future. A proper assessment of sustainability must await the conclusion of the Project; in the meantime predictions must remain cautious.	S



Quality of the Project design and implementation of monitoring & evaluation	The Project is built on clearly elucidated concepts of what needs to be done in order to achieve the overall objectives. The clarity of vision shown in the Project Document is impressive. Intended outcomes, and the activities required to achieve those outcomes, are well described and essentially define the work programme. A minor complaint is the somewhat confusing term <i>Sources of Verification</i> used in the PLF for specified sets of conditions that, once satisfied, verify that the indicators have been met (i.e. they are <i>means</i> of verification (specific indicators), not <i>sources</i> ). Day-to-day monitoring and evaluation of the Project, as performed by the PCU, and overseen by the GPTF and ExCom, is meticulous and of a very high standard. Attention to financial management, activity schedules and feed-back from client countries has been thoroughly professional and maximized the cost-effectiveness of the Project.	HS
Quality of Project outcomes	This aspect of GBP is discussed in Section 4.1.4 of the report where it is noted that the limited information on outcomes available to the Evaluator provides few possibilities for objective evaluation of outcome <i>quality</i> , although the quality of individual products such as guidelines and course materials is judged to be high. Most outcomes have yet to be fully realised; prognoses regarding the achievement of outcomes by the end of the Project are given in Section 4.2.1. In general, LPCs assisted by the Project and participants in national and regional seminars and workshops express a high level of satisfaction for the information, guidance and support they have received from the Project and members of the PCU. An output of particularly high quality is the GloBallast Monograph Series which includes a set of 3 guidance documents (soon to be 4) published during the GBP lifespan. These monographs are well written and presented, also informative and practical, and invaluable aids to the development and implementation of national BWM programmes. Another notable output is the GBP website, especially the announcements page that provides a useful chronology of GBP events and accomplishments. The website also includes a fledgling Country Profile Database (which would benefit from annotations to clarify certain information requested). Awareness-raising materials such as BW posters and the impressive GloBallast animation (which should be updated to GBP) are also of a high standard. Reports of GPTF meetings would benefit from a more standardised format and more detailed coverage of discussions. A review of modules for Port Biological Baseline Surveys showed them to be clear and comprehensive but the approach is time-consuming and costly and may not be suitable for use in all developing countries; a simpler, rapid assessment technique should be considered as an alternative option (see for example Minchin 2007). The Introductory, Training and CME Courses, their associated visual presentations and instructors manuals, are suitable for the purposes intended but will require updating as new approaches (e.g. more specific CME techniques) are developed and adopted. When presented as a series, the background material covering IASs, BW and the BWM Convention is rather repetitive and could be shortened following the Introductory Course.	S
Executing agency effectiveness	IMO, the executing agency for purposes of GBP, has proven to be an ideal headquarters for the Project, providing accommodation for the PCU in a working environment that is entirely supportive of the Project. This executing agency has two particular strengths: a) with its focus on global shipping and protection of the marine environment from the impacts of shipping, IMO has been the driving force behind the development and adoption of the BWM Convention and has provided Secretariat services spanning policy, legal and technical aspects of this complex mission; it continues this function pending the entry into force of the Convention dealing with outstanding technical issues through its Marine Environment Protection Committee (MEPC) and BW working group; b) it affords the PCU direct access to its Integrated Technical Cooperation Programme that, where consistent with IMO's international role and to the extent possible, provides additional co-funding which to date has significantly extended the assistance provided by GBP to partnering countries.	HS

\*Highly Satisfactory = HS ; Satisfactory = ; Marginally Satisfactory = MS; Marginally Unsatisfactory = MU; Unsatisfactory = U; Highly Unsatisfactory = HU

## 5. Best practices and lessons learned

A best practice is typically defined as a method or technique that has consistently shown results superior to those achieved by other means. There are various other definitions, all of which carry a requirement either for consistency, proof, official acceptance or at least a comparison with alternatives e.g. most 'efficient or prudent'. With this in mind, it may be presumptuous, or at least premature, to describe any particular approach adopted by GBP as a best practice. Nevertheless, the approaches taken with respect to the location of project headquarters, the forging of public-private partnerships and the facilitation of adaptive management (see items ii, iv and v below) firmly suggests that these features of GBP are, at least, suitable candidates for this title.

In some respects the entire GBP Project could be considered an example of best practice. It is well designed, well managed, widely supported, attracts significant co-financing and is achieving its targets in a highly cost-effective manner. This view is certainly supported by the UNDP Global Technical Advisor for the Project who, in evaluating Implementation Progress and progress in meeting the Development Objective, comments in the APR/PIR for 2010 as follows:

*Both Highly satisfactory: Project is expected to achieve or exceed **all** its major global environmental objectives, and yield substantial global environmental benefits, without major shortcomings. The project can be presented as "good practice".*

The Evaluator is generally supportive of this view and has no hesitation in recommending GBP as a model to be used for other marine environmental projects, including those that may form part of the GEF International Waters portfolio. On the other hand the Evaluator is unsure about the value of designating an entire project as 'best practice' and suggests that it may be more helpful to examine how experience with particular components of the Project might benefit future investments in capacity building for developing countries and regions, thereby enhancing environmental protection and management.

In Section 4.1.2 of this report, reference is made to the status of BWM in the CPPS region, as described in an interview with the Regional Coordinator for this area. Because this interview serves as a useful case history of experiences at regional level, a summary of the conversation is given at Annex 5. When asked whether or not there were components of GBP that might be considered best practices, the Coordinator identified the following<sup>8</sup>:

- The logical structure of the Project
- The emphasis on objectives (as the guiding force behind national BWM action plans)
- The conceptual framework (sequence of required actions/reforms at national level)
- The coordination mechanism (PCU and RCOs, individually and in collaboration)

These are valuable observations and clearly define the elements that should be built into the design of future projects.

The experiences gained from GBP may not be entirely new but, because of their relevance to project implementation in the broadest sense, they qualify as 'lessons learned' and warrant emphasis here.

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<sup>8</sup> Parentheses inserted by the Evaluator

The following paragraphs give brief explanations of the main lessons identified, a number of which are considered in more detail in the relevant sections of Chapter 4.

#### Project scope and time-frame

The scope of the GBP Project is very broad which, in itself, is commendable. However, in retrospect, it is now clear that the original Project time-frame of 4 years was over-ambitious and an extension of the Project by 2 years was a necessary step in order to improve chances of the objectives and outputs being met. A primary cause of this amendment was that the time required for LPCs to develop a proper understanding of the reforms needed to implement the BWM Convention, and to bring about the legal, economic and institutional changes required, was underestimated.

It is seldom possible to predict changing circumstances that may have a significant bearing on the delivery of planned activities and outcomes. In October 2010, the PCU informed the GPTF that the process of developing national BWM capacities would take much longer than originally envisaged due, *inter alia*, to the lack of agreed BWM port state control procedures, uncertainties related to sampling, monitoring and treatment techniques and in particular the global economic crisis. These factors were outside the control of the Project and necessitated an extension of the Project by a further 2 years. For the most part, the technical difficulties that arose could not have been anticipated but there is certainly a lesson to be absorbed regarding economic trends and their impact on developing countries that rely on income on from wealthier States. Fluctuating economic fortunes are likely to be a feature of world markets from here on and it must be expected that the time and cost involved in establishing major new initiatives for environmental protection will increase.

#### Project headquarters

The decision to embed the PCU within a UN specialised agency that has a global responsibility for the issue addressed by the Project, has been a major success and has undoubtedly helped to minimize the difficulties caused by the unanticipated slow pace of the Project. Projects of this kind need the back-up resources, including the expertise, inter-agency and inter-governmental networks, on which efficient delivery of outputs depends. In particular, IMO has made available the full range of supports needed for the financial management of the Project, including additional co-funding for particular Project activities that could not be financed solely by funds committed at the Project outset.

IMO is the hub of global shipping administration, is located in a very accessible capital city and is visited regularly by maritime officials from member States as well as marine attachés from nearby embassies. The agency employs staff specialised in many fields of relevance to BWM such as maritime safety, bio-safety, carriage of bulk liquids, flag state implementation and various aspects of the Convention for the Prevention of Pollution from Ships (MARPOL). These features dictate that IMO is the ideal forum for international dialogue on a range of issues related to ballast water. They epitomize features that should have a strong influence on the choice of hosts for major international projects.

#### Dedicated public-private partnerships

Not all of the varied and complex components of a major environmental issue, such as bioinvasions mediated by ballast water discharges, can be addressed in their entirety by a global Convention and a series of associated, pre-planned actions. Thus, it was clear from the start of GBP that certain specialized requirements of BWM would be better addressed by forging partnerships between the Project and the private sector. It was also clear that there would be distinct advantages in forging

such partnerships early in the Project, allowing maximum time for benefits to be realized. The example of the Global Industrial Alliance (GIA), designed to promote and stimulate the development of innovative BW treatment technologies, is particularly significant. The GIA currently comprises four major shipping corporations and aims to promote the transfer of technology within the industry by providing a means for ballast water information exchange, developing training tools targeted at the maritime industry and establishing a forum for industry dialogue. A GIA Fund established through annual membership contributions by the GIA industry partners provides the necessary financial resources for the GIA to implement selected projects.

A very different but equally valuable partnership, forged between IMO and the EBRD, focuses on raising awareness amongst east European States of the significance of the BWM Convention for their strategically important port and shipping industries. This innovative partnership is of special significance because it demonstrates that where environmental and commercial interests coincide, the commercial side, in this case a development bank, may be prepared to invest in solutions to the problem. It suggests that an optimum formula for dealing with some of the world's more pressing environmental issues may be to aggressively publicize the costs to industry (e.g. loss of profit) as well as the potential losses to resources on which industry depends.

Publicity surrounding the GBP public-private partnerships suggests that current partnerships may serve as models for further agreements of this kind, catalysing interest amongst other private entities affected by the IAS issue and/or the BWM Convention. This is certainly a possibility but some potential partners may prefer to await the outcome of the partnerships already forged before deciding to invest in the BW issue. In this context, it is important that claims regarding the 'success' of public-private partnerships be clearly substantiated (see Section 4.1.9).

#### Adaptive management

The effective implementation of the GBP Project relies on constant feedback from participating countries, RCOs and strategic partners and a management team that can adjust to changing circumstances, new information, unanticipated delays, new requests for assistance and other developments at national, regional and global levels. The PCU established for GBP, with full responsibility for day-to-day management of the Project, is a prime example of a professional and highly proficient management team that is afforded the flexibility to adapt rapidly to changing circumstances, to rearrange priorities and to manage the Project budget in ways that enable GBP to be both responsive and cost-effective. This style of adaptive management will benefit any complex project with multiple dimensions and the Evaluator does not hesitate to recommend that the PCU model should be replicated for other projects within the UN system (see Section 4.1.7).

#### Staffing levels

A major caveat that has recently emerged from the Project is the risk of underestimating the management workload imposed by project scope and design. Despite the professional and efficient manner in which the PCU has gone about its work, it has been apparent for some time that the productivity of team members, taking into account the number of courses, presentations and training sessions they are expected to attend in various countries and regions of the world, and the wide range of duties they have at Project headquarters, could not be sustained with just 3 team members, one of whom has been assigned additional duties within IMO. From discussions with PCU members, it is clear to the Evaluator that at times over the past year the team has been subject to an unreasonable level of stress due to an unrealistic workload. Such a situation can jeopardise staff morale and compromise project efficiency and output. This problem has recently been alleviated by

the hiring of a new temporary PCU member bringing team complement to a level that should arguably have existed from the beginning.

#### Personnel changes in national administrations

A lesson that emerges from a number of LPCs, and at least one PC, is the impact on national BWM development of changes in lead agency personnel. It is no secret that progress in national policy formulation, legal and institutional reforms frequently depends on a few individuals with a clear vision of what needs to be done and the determination to see it through. There can be nothing more disruptive than complete or frequent changes in personnel within the agencies and departments responsible for developing and implementing new regulatory programmes. Continuity of personnel is vital. Without it, the necessary knowledge and expertise can easily be lost and valuable progress reversed. Under such circumstances it could, for example, be very difficult to expedite the ratification process and for some coastal areas this could prolong the time to achieve a significant reduction in the risks from marine bioinvasions. Whereas government staffing practices are well beyond the control of GBP, it would be advisable during BWM training courses, as well as in consultant reports, to stress the importance of personnel continuity in national lead agencies. To strengthen the message, the point could be made that, once trained, the personnel concerned could be regarded as specialists and thus indispensable to the implementation and management of BWM at national level.

To summarize, the lessons learned to date from GBP that might benefit GEF-IW and other projects are:

- i. The importance of ensuring that the project time-frame is realistic, taking into account the scope of the work proposed and the possibility that, for various reasons, progress in some developing countries assisted by the project may be considerably slower than anticipated.
- ii. The advantages of locating the project headquarters within an organization that has a direct interest in the outcome of the project and which can provide a variety of related support services.
- iii. The need to ensure that staffing levels within the management team are commensurate with the duties to be performed, taking into account the geographical and technical scope of the project and the responsibilities to be fulfilled at project headquarters, and in the field, respectively.
- iv. The recognition that certain specialised project components can best be undertaken through the establishment of public-private partnerships.
- v. The benefits to be gained by facilitating and encouraging adaptive management as a means of keeping the project on track under constantly changing circumstances.
- vi. The need to impress on participating countries the importance of retaining trained personnel in their specialist roles.

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## **Annexes**

## **Annex 1**

### **GLOBALLAST PARTNERSHIPS PROJECT MID-TERM EVALUATION**

#### **TERMS OF REFERENCE: Scope of the Mid-Term Evaluation**

The scope of the mid-term evaluation will cover all activities undertaken under the framework of the project. One Evaluator with a combination of subject knowledge, evaluation experience, and in-depth knowledge of project management will compare planned outcomes of the Project to actual outcomes and assess the actual results to determine their contribution to the attainment of the Project objectives.

The MTE will evaluate the efficiency of Project management, including the delivery of outputs and activities in terms of quality, quantity, timeliness, potential impact and cost efficiency. The evaluation will also determine the likely outcomes and impact of the Project in relation to the specified Project goals and objectives.

The evaluation will comprise the following elements:

#### *Project Formulation*

1. An assessment of whether the Project design is clear, logical and realistic within the time and resources available;

#### *Project Implementation*

2. A summary and evaluation of the Project and all of its major components undertaken to date and a determination of progress toward achievement of its overall objectives;
3. A summary of the progress in each of the participating countries and regions, as well as the involvement of the Phase 1 countries (Brazil, China, South Africa, India, Iran, Ukraine);
4. An evaluation of the performance of the Project in relation to the indicators, assumptions and risks specified in the logical framework matrix and the Project Document;
5. An assessment of the scope, quality and significance of Project outputs and outcomes produced to date in relation to expected results;
6. A discussion on the relevance of the Project intervention in relation to IMO's work in general to encourage a harmonized and timely ratification and implementation of the BWM Convention;
7. An assessment of the functionality of the institutional/governing structure established and the roles and effectiveness of the Executive Committee (ExCom) and Global Project Task Force (GPTF);



8. An assessment of the roles and responsibilities within the project and their effectiveness at national, regional and global level;
9. Identification and, to the extent possible, quantification of any additional outputs and outcomes beyond those specified in the Project Document;
10. Identification of any programmatic and financial variance and/or adjustments made during the first 3.5 years of the Project and an assessment of their conformity with decisions of the ExCom and their appropriateness in terms of the overall objectives of the Project;
11. An assessment of the success in raising co-financing to support the objectives of the project, and its impacts on the Project outcome so far. In particular, the assessment should include the progress in establishing a public-private partnership and lessons learned from this;
12. An evaluation of Project coordination, management and administration provided by the PCU. This evaluation should include specific reference to:
  - a. Organizational/institutional arrangements for collaboration among the various agencies and institutions involved in project arrangements and execution;
  - b. The effectiveness of the monitoring mechanisms currently employed by the PCU in monitoring on a day-to-day basis, progress in Project execution;
  - c. Administrative, operational and/or technical problems and constraints that influenced the effective implementation of the Project and present recommendations for any necessary operational changes; and
  - d. Financial management of the project, including the balance between expenditures on administrative and overhead charges in relation to those on the achievement of substantive outputs.
13. An evaluation of the effectiveness of UNDP and IMO in fulfilling their roles and responsibilities in terms of their respective implementing and executing capacities in the project implementation. In particular, the MTE should look at the UNDP and IMO operational/procedural requirements fit together;
14. An assessment of the adaptive management approach adopted by the Project;

#### *Achievement of results*

15. A prognosis of the degree to which the overall objectives and expected outputs of the Project are likely to be met;
16. A discussion on the possibilities to pinpoint/measure the Project impacts (in the Terminal Evaluation to be carried out at the end of the Project) in the context of IAS and the BWM Convention;
17. Progress towards sustainability and replication of project activities;

18. Lessons learned and best practices during Project implementation which would benefit the GEF IW portfolio;
19. Recommendations regarding any necessary corrections and adjustments to the overall Project workplan and timetable for purposes of enhancing the achievement of Project objectives and outcomes.

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## **Annex 2**

### **List of persons consulted for the GBP Mid-Term Evaluation**

<b>Date</b>	<b>Person</b>	<b>Affiliation</b>
31.05-2.06 & 11-15.07.11	Jose Matheickal	IMO-GBP Project C-ordination Unit
31.05-2.06 & 11-15.07.11	Fredrik Haag	IMO –GBP Project Coordination Unit
12.07.11		IMarEST
12.07.11	Zafrul Alam	Maritime & Port Authority of Singapore (consultant)
12.07.11	A.C. Anil	National Inst. Of Oceanography, India
12.07.11	Juliana Gunwa	Nigerian Maritime Administration & Safety Agency
12.07.11	George Lovemore	Maritime Authority of Jamaica
13.07.11	Jonathan Pace	REMPEC (RCO for Mediterranean)
13.07.11	Luis Ojeda Pérez	Embassy of the Bolivarian Republic of Venezuela
13.07.11	Javier Caceres Erazo	DIRECTEMAR, Chile
13.07.11	David Tongue	International Chamber of Shipping
14.07.11	Jorge Antônio Lopes Cláudio Gonçalves Land	Petrobras, Brazil
14.07.11	Andrew Wood	RAC-REMPEITC (RCO for Wider Caribbean)
14.07.11	Murat Korcak	Undersecretariat for Maritime Affairs, Turkey
15.07.11	Cato C. Ten Hallers-Tjabbes	Netherlands Inst. For Sea Research (for IUCN)
23.08.11	Andrew Wood	UNDP GEF Services
31.08.11	Carl Gustaf Lundin	IUCN
07.09.11	Pamela Tansey	IMO Integrated Technical Co-operation Programme
01.09.11	Hector Huerta	Regional Technical Coordinator CPPS (Plan de Acción para la Protección del Medio Marino y Áreas Costeras del Pacífico Sudeste)
08.09.11	Andrew Richardson	IMO Financial Services
08.09.11	Jo Espinoza Ferrey	Director, IMO Marine Environment Division (MED)
08.09.11	Huang Tianbing	IMO/MED Marine Biosafety Section
14.09.11	Anthony Talouli	RCO for Pacific Islands

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**Annex 3**  
**Questions to Lead Partnering Countries and summary of responses (June 2011)**

Lead Partnering Country	Q1. What do you believe are the principal barriers (legal, institutional, economic, technical etc.) to effective implementation of the BWM Convention in your country?:	Q2. To what extent has the Programme Coordination Unit (PCU) and the guidance and assistance it provides helped to remove the barriers identified above? In what way, if any, might the work of the PCU be modified to enhance the efficacy of GBP implementation, and ultimately the Convention, in your country?	Q3. Lead Partnering Countries (LPCs) in the Project have agreed to take a 'fast-track approach' as an example to other countries in the region, as well as globally. Has your country been able to take further action beyond what is expected in the project (e.g. port baseline surveys, etc.)?	Q4. Based on the progress made to date, do you expect your country to be actively applying ballast water controls and associated management procedures at major national ports on or before the end of 2014?	Q5. In addition to establishing efficient port-state controls (monitoring, enforcement etc.), and promoting increased use of effective ballast water treatment systems aboard ships, are there other measures your country could take to further the aims of the BWM Convention (education, IAS reporting etc.)?	Q6. Do you believe that the work of the PCU and relevant Regional Coordinating Organizations (RCOs) in facilitating regional and inter-regional cooperation in ballast water management will lead to effective implementation of the BWM Convention at global level? If not, please explain.
Argentina	Bureaucratic; 3 ministries involved; subject to congressional approval, hope to ratify this year.	Improves general knowledge and answers all questions; strengthens planning by relevant agencies. More economic support needed for research into marine habitats and ship movements (risk assessment).	BW monitoring programme developed; Navy works with university on ship inspections, keeps statistical records; navy inspectors trained in sampling etc.;	Yes. Many preparatory activities. National BWM strategy being developed;	Mainly awareness – raising activities with navy and university/science sector.	Yes.
Bahamas	The principal barriers hindering the implementation of the BWMC are economics, the law and technical expertise.	The PCU has provided helpful suggestions and feasible means to overcome the barriers that hinder the BWM Convention. It has done a prolific job in educating and awareness-raising in the Bahamas. It has provided the government with sufficient information and resources.	The Bahamas is making diligent progress in the process of meeting requirements of the project. We are moving to apply measures above and beyond what the project requires.	Positive response from government and progress so far suggests the Bahamas should be actively applying ballast water controls and associated management procedures at major ports before the end of 2014.	Potentially a database would be created to assist with reporting findings on a regular basis to the relevant international bodies. Education should/is expected to enhance the national expertise.	Yes. The PCU has stressed the importance of the issue and seems aware of the challenges facing the region. If each region is supported in this way we should be well on our way to global implementation of the BWM.
Chile	Institutional capacity building most important (incl. training) and identification of lead agency/institution.	'...good initiative for assisting developing countries...'. Economic resources and focalized technical support are required together with an improvement in knowledge transference and coordination between countries in the Region that are more	Chile has been in the process of outsourcing & generating awareness on a State level, and elaborating a programme that will allow the realization of further actions in BWM.	Unlikely due to the fact that currently there is no clear policy to facilitate BWM by this date.	Yes but this requires defining the responsibility of the State in the complementary initiatives that will support the BWMC.	Yes, but effectiveness requires the acceptance of the States in receiving their support.

		experienced in BWM, and have participated in Phase 1.				
Croatia	Technical, primarily in the availability of equipment for sampling of ballast water, organization of laboratories & their availability. Economical aspect managed so far but further funding is necessary to implement all aspects of the D2 standards and substantial funds are necessary for PBBS Surveys and building an Electronic Risk Assessment system.	They have been promoters of “good ideas” from various countries, further elaborated and presented in seminars & workshops in a practical and informative way. Exchange of information is very important in resolving technical issues especially, so the workshops in training and exchanging information have been very useful. Further education on use and technical aspects of the Risk assessment electronic system, identifying sources of information needed.	Regulation on BWM since 2007. NTF has 9 working groups. Activities for 2008-2009 included PSC Croatia Annual meeting; Training on BW related issues for PSC Inspectors; Intro. of Protocols for BW sampling (as per Reg. D1); Workshop on BWM technologies; Port Authority Training; Intro. & use of CRIMP Protocol; Min. of Sea Trans. & Infrastructure funded PBBS for 3 Ports; Regional and Adriatic cooperation; Active participation in Trilateral BWM Sub- Com..	In all aspects by the end of 2014.	Electronic Risk Assessment system for use in targeting ships for inspection purposes and a source of information for scientific purposes.	Yes, their role is of the highest importance especially in providing a link in communication and exchange of experiences between countries.
Egypt	Mainly it's institutional barriers and failure to provide economic support for specialists and professionals to finalise the job. There is an extraordinary situation in Egypt at present, but in a few months everything should improve.	PCU did its best to help but political/ admin. will in the maritime transport area is lacking. We have NTF but it has not met for 5 months for financial reasons. We have proposed marine surveys using scientific institutions but there is no budget to start. Need more support for marine surveys and all technical functions needed for BWMC implementation.	Sure, but not now!	Of course, as mentioned above, if financial support is available our colleagues in NTF will do it.	We have start the [BWM?] education course in the maritime academy through courses for the seafarer.	YES, of course, but with more cooperation between national coordinators.
Jamaica	Legal - shipping related legislation not a priority. All resources currently allocated to the 8 IMO mandatory Instruments that are the subject of VIMSAS. Also insufficient capacity to facilitate timely promulgation of legislation; once promulgated, other barriers due to insufficient awareness of enforcement agencies, prosecutors and the judiciary.	PCU very responsive to requests for information & support, facilitating & conducting an introductory course and legal seminar. Monographs and information on best practices of other States have helped in “fast-tracking” the implementation process despite limited human & financial resources; funding for a consultant to conduct a National and	Through the U.W.I. Centre for Marine Science a number of projects have been conducted that support Convention implementation e.g. training in sampling techniques, analysis of data obtained from sampling a selected port and visiting ships, the identification of possible areas for BW discharge in territorial waters. BWM issues also integrated into the national &	Yes. With the passage of the incorporating legislation & the expected delivery of training for PSC officers, Jamaica should be in a position to apply BWM controls etc in 2012.	Keeping BWM issues on the research agenda of the universities will help to determine the effect of CME measures & increase awareness of the issues. As stated, BWM activities have been integrated into the Invasive Species Agenda and this should also raise awareness as well as assisting in the implementation of the BWMC at national & regional	Yes. We believe the PCU with the RCU in the Wider Caribbean will continue to play a key role in facilitating regional & inter regional cooperation which is important to achieving effective implementation of the Convention.

	Technical - lack of sampling & testing equipment; limited human resource capacity for development & implement'n of BWM policy/strategy. Economic – lack of funds for PBBS, to acquire equipment, to increase awareness and “buy in” for BWM activities.	Economic Assessment, to assist in preparing a PPBS for Kingston and for the production of a national strategy also very helpful. Barriers are mostly “local”; not much more the PCU can do apart from continuing to support national activities.	regional Invasive Alien Species Agenda, enabling wider acceptance of BWM issues.		levels.	
Jordan	Technical only (e.g. Training PSCOs, inspectors, testers etc.)	More training for technical issues across the region. It is crucial that Jordan lead the PERSGA counties by ratifying the convention.	We still need assistance to improve the human element and the necessary cooperation between the regional countries.	Yes, after ratifying the convention and hopefully before the end of 2014.	Yes, we will encourage and support the training issue in our institutes and all necessary related issues for effective implementation.	Yes, we agree.
Nigeria	Nil.	It has provided technical and financial assistance by engaging 4 consultants to carry out research work on the following aspects of Ballast Water Management in Nigeria: i) National Ballast Status Assessment; ii) National Ballast Water Management Strategy; iii) Legal Implementation of BWM Convention; iv) Economic Assessment for Ballast Water Management. The PCU in constant liaison with the Administration to ensure full implementation of the BWM in Nigeria.	IMO has approved a National Workshop on Marine Biological Baseline Study in August, 2011. Thereafter baseline surveys of the nation's port would be carried out by the Administration.	The NTF is working assiduously to ensure that strategies are put in place for immediate implementation of the Convention.	The Administration is collaborating with some Research Institutions such as Nigeria Institute of Oceanography and Marine Research, Lagos and Maritime Academy of Nigeria Oron to organize seminar and sensitization programme on BWM implementation in Nigeria.	Yes.
Trinidad and Tobago	BWM is part of Mar. Poll. Legislation to be enacted later in 2011. Lack of surveyors – 3 out of 4 transferred. The Maritime Administration has only recently received formal cabinet commitment for the full implementation of the BWM Convention.	These issues are outside the scope of GBP; however, the framework & guidelines provided have greatly assisted in the formulation of forward actions. The offer of funding from the PCU to give effect to consultancies will greatly enhance the implementation of BWM in T&T. This Administration is in the process of identifying consultants for 4 assignments	Through the NTF, statistical information is now being received with respect to Baseline Surveys and Ship Ballast Water activities in the critical ports identified by the NTF. This is helping to clarify the extent and scope of activities to be undertaken.	Definitely. A Cabinet note for accession to BWM Convention has been prepared and the legislation will be enacted in 2011, latest first quarter of 2012. Thereafter, full implementation of BWM controls & associated management systems will commence.	Two specific areas of activity, one regional: MoU regarding involvement in regional & bilateral communications for PSC purposes and our proposed VTS system have been identified as areas for enhancing BWM. A meeting of stakeholders is proposed for July 2011 involving all ports and the Task Force appointed by the government, to sensitize officials on aspects of	With respect to the Caribbean, States are obliged to cooperate and coordinate as any impact will be intertwined given the proximity of States. This Administration is not fully aware of the external circumstances beyond the Caribbean to venture a comment regarding prospects outside the Caribbean.

		and would like the PCU to confirm that funding is still available and the timeframe for accessing these funds.			BWM and to promote greater “buy in” and commitment to the sharing of information and required BWM activities.	
Turkey	Ratification process slowed due to uncertainty over date of Convention entry-into-force , but good technical progress.	Valuable assistance in attending meetings, raising awareness and national capacity building; Q2b. No further comment.	Web-based IAS Database, web-based BW Reporting Form System, Risk Assessment Study for all Turkish ports & web-based GIS which covers BW discharge amounts and port environmental parameters, bioregions, IAS, sensitive areas of Turkey. Risk assessment software will also be prepared.	Only when ratification is completed and monitoring & enforcement procedures have been more clearly defined – meanwhile pilot monitoring at selected ports.	Assisting and sharing experiences with neighbouring countries.	Yes, definitely.
Venezuela	To effectively implement the BWMC in Venezuela, the following is required: 1. Monitoring to populate the national species database & data for early warning; 2. Legislation covering all aspects of control & management of BW & sediments; 3. Ports’ terminals with facilities for repair and cleaning of ballast water tanks; 4. Train personnel for inspections, sample analysis or systems of early warning in ports; 5. Equipment and methods for sampling, analysis of data, effective port reception so that ships do not incur unnecessary delays; 6. Certificates that ensure the appropriate conditions of ships to unload, treat or exchange BW & sediments.	Venezuela’s national BWM Programme (PNGAL) is coordinated by the Aquatic Authority (INEA). PNGAL is implemented through the Group of Technical Support (GAT) which discusses control strategies and measures to enable effective national BWM. GAT’s priority is to collect data (quantities of BW, native & exotic species reported, cases of harm from ballast), awareness raising (dissemination/outreach & training) and assessment of information needed to design & implement an early warning system. GAT has 3 “Bureau” (Training and Outreach, R&D, Legal) that aim to achieve PNGAL targets, with positive results in terms of outreach and training of personnel.	Yes, at the moment, they are sounding the different national ports to ascertain the conditions of the port reception facilities for BW & sediments. The Ports’ Administrators are also planning to adapt the port facilities for the reception and treatment of ships’ ballast water. The biological surveys currently taking place in 4 ports will provide a database to corroborate the preliminary studies.	It is estimated that in 2014, the country will have appropriate national legislation for the control & management of BW in ships arriving in Venezuela.	The BAT Bureau of Outreach & Training is promoting educational days in the ports and on the coasts to inform people of the problems of BW at the economic, ecological and health levels. These “days” will take the form of informal discussions, workshops & scientific presentations etc.	Yes, especially because the work will not be short term. All the PCUs and the RCOS are working hard to solve the problem of BW at global level, because the economic damages caused by invasive species due to increasing maritime transport affect all countries involved in international transport. Hence the importance of regional & interregional cooperation.

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## **Annex 4**

### **GLOBALLAST PROJECT: MID-TERM EVALUATION**

#### **Questionnaire to Pilot Countries (July 2011)**

Pilot Country	
Person responding	
Title/Position	
Agency/Institution	

Q1. Since 2004, what further steps have been taken by your country towards implementing the Ballast Water Management Convention at national level? For those Pilot Countries that have not yet ratified the Convention, what are the remaining barriers to ratification (legal, institutional etc.) and when might the process be completed?

Q2. Are there any particular technical barriers (e.g. standards, monitoring, enforcement, reception facilities etc.) to the implementation of BWM in your country and/or region that in your opinion may need to be addressed or clarified at global level?

Q3. As an established participant in the GloBallast Project, has your country been able to directly assist other countries in the region in developing their ballast water management (BWM) strategies and capacities? What particular initiatives has your country undertaken in this regard?

Q4. Has your country been collaborating with regional bodies (Coordinating Organizations (RCOs), Regional Seas Programmes etc.) to extend and improve BWM across the region? If so, please explain the ways in which your country contributes to such regional initiatives.

Q5. Do you believe that an effective and sustainable programme for BWM in your region will be achieved from 2014 onwards? If not, what barriers will remain and how might they be addressed?

*Note 1: As far as possible answers should be limited to c.250-300 words*

*Note 2: Please return completed questionnaires to Rick Boelens, at [rickboelens@eircom.net](mailto:rickboelens@eircom.net) on or before August 19<sup>th</sup> 2011*

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## **Annex 5**

### **Progress in BWM at regional level – a case history: responses to questions raised with the CPPS Regional Coordinator**

**1) Are you in a position to monitor the extent to which Pilot Countries are assisting neighbouring countries to develop their BWM programmes?**

Yes, mostly through ROCRAM (Argentina, Bolivia, Brasil, Chile, Colombia, Cuba, Ecuador, México, Panamá, Paraguay, Perú, Uruguay y Venezuela.) with whom CPPS has a memorandum of cooperation to share experiences of the Member States of CPPS with the other member States of ROCRAM.

They do not have any cooperation and sharing of experience with Brazil as pilot country as such.

**2) What are the remaining barriers to ratification: political, legal, institutional, financial, others?**

The barriers are more strategic than political or economic. The problem mainly comes from the ship-owners who are apprehensive and find it complicated to know which treatment system they have to invest in.

**3) Are there any particular countries that would benefit from greater encouragement and/or assistance?**

The partnering countries (Ecuador, Panama and Peru) need assistance and also to learn to share the responsibilities related to the project. They need to get the instruments to establish their own national strategy. All three CPPS countries already have their national strategy, at least, in draft.

**4) Do you think that countries of the region participating in the GloBallast Partnerships project will continue to develop, maintain and fund BWM practices after the project ends in 2014?**

The countries mentioned above will certainly still need assistance and possibly funding to develop their national instruments. The problem is that the political situation in some of them changes so often that it is difficult to have continuity at the national level and this has an impact on the national improvements and for the coordination of the national efforts..

**5) Do you feel that additional initiatives, possibly by IMO itself, to promote the global application of BWM will be needed after GBP has been completed?**

GloBallast strategic assistance is unique and has had a very good result. The countries of the region will still need assistance and funding and will have to count on IMO to mobilize resources and send the experts.

**6) What would you say are the most important “lessons learned” from GB and GBP to date?**

Technical support  
Capacity building  
Technical information  
Expertise

The fact that assistance is given at the national level as well as at the regional one - very important.  
Being able to develop a project of international dimensions  
Biodiversity

**7)** *Are there any actions taken within the GBP to date that you would regard as “best practices” and which could therefore be recommended for use in future IMO/UNDP/GEF projects?*

Logical structure - Methodology

Monographs

Coordination scheme

To work according to objectives and to have to develop the national task according to this objective

Conceptual framework that every country has to develop at the national level.

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## **Annex 6**

### **GBP Mid-Term Evaluation: Materials consulted**

Ballast Water Treatment Technology: current status (Lloyds Register 2011)  
BLG Sub-Committee, report of 15<sup>th</sup> session (IMO 2011)  
BWM Convention (2009 edition)  
BWM status assessment and strategy development for Argentina (2010)  
BWM strategy for Ghana  
BWM Strategy for Yemen (Dec. 2010)  
CME Strategies and Principles (REMPEC)  
EBRD/IMO Marine Biosafety Initiative (IMO briefing June 2010)  
Economic Assessment for Yemen (2010)  
ExCom Report (1 only available)  
GBP Inception Report  
GBP Introductory Course  
GBP Project Document  
GBP Training Course ((CME aspects)  
GBP website including Country Profile Database (IMO-PCU)  
GIA Report on Activities 2008-2010  
GISP Strategy Document (2000)  
GloBallast Mid-Term Evaluation  
GloBallast Monographs (Nos. 17-19)  
GloBallast terminal evaluation  
GPTF meeting reports (2) and presentations  
PBBS for Mumbai (India) – survey report (2001)  
PBBS Training (GISP) presentations  
PBBS training course notes (Georgia 2011)  
PCU Quarterly and Annual Reports (2008-2011)

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