



*5th Meeting of the Regional Steering Committee
FFA Headquarters
Honiara, Solomon Islands
7 November 2009*

Paper Number RSC5/WP 5
Title MID TERM REVIEW – RESPONSES AND ACTIONS

Summary

The Implementing Agency (United Nations Development Programme – UNDP) monitors the responses taken to the recommendations to mid term reviews of projects that they implement on behalf of GEF. The fourth meeting of the Regional Steering Committee (RSC4) held at Apia, Samoa in 2008 reviewed the UNDP Management Response template which captured the recommendations by the consultants that undertook the OFMP Mid-Term Review. At RSC4 UNDP provided an explanation of Adaptive Management and stated that this process allowed for flexibility in project delivery for projects that were “over designed” and allowed managers to keep track of adjustments. The steering committee indicated that they looked forward to receiving a follow-up report at their next meeting.

Recommendation

The Regional Steering Committee is invited to provide comments on the follow-up report of the recommendations in the Mid-Term Review as required by UNDP.

MID TERM REVIEW – RESPONSES AND ACTIONS

Introduction

1. The Mid-Term Review (MTR) for the Pacific Islands Oceanic Fisheries Management Project (OFMP) was tabled at the fourth meeting of the Project's Regional Steering Committee (RSC4) held at Apia, Samoa in October 2008.
2. In order to capture the management responses to the MTR and monitor the outcomes of the recommendations in the Review, the UNDP Evaluation Unit require the completion of a 'Management Responses' tracking form on which the Review recommendations are entered along with the responses to those at the time of the Reviews completion. The form also delegates responsibilities and timing in which the actions responding to the recommendations must occur.
3. In Apia, UNDP representatives explained UNDP's management responses to the recommendations in the MTR. The process of Adaptive Management, it was further explained, would be applied to project amendments. In discussing the Adaptive Management Framework it was also pointed out that Global Environment Facility (GEF) projects tend to be over designed so Adaptive Management softens the common criticism that project documents are too rigid, and that it is important to be aware of changes allowed and levels of authority required for approval for those changes.

Reporting to RSC on Actions

4. When endorsing the UNDP Management Responses information in principle, RSC4 also indicated that they looked forward to a report on the responses and actions at the next meeting of the Project Steering Committee meeting in 2009.
5. This paper has been prepared to provide RSC5 with a report on the status of the responses to the MTR Management Responses.

Mid-term Review Management Responses

6. The MTR made a number of recommendations for adjustments to the OFMP and these are captured in detail in the UNDP Management Responses template appended at **Attachment A**.
7. The Mid-term Review recommendations include that:
 - i) OFM PCU is better supported & greater focus is given to information dissemination in the second term of the Project;
 - ii) SPC should assist in the development of oceanic fisheries science within Pacific SIDS in this term of the Project;
 - iii) Development in oceanic fisheries science within Pacific SIDS is a priority in the proposed new capacity-building Project;
 - iv) Seamounts program is coordinated by the new scientist at the IUCN Oceania Office to ensure collaboration within the SPC/IUCN Seamounts programme, with other OFM Project activities, and with other agencies involved in seamount research in the region;
 - v) A suite of appropriate indicators should be developed within the Logical Framework to better monitor progress in Project Outputs and Activities. (and progress in achieving outcomes and impacts);
 - vi) partnerships with appropriate agencies be enhanced;
 - vii) Gender, human rights and equity issues should be better promoted;
 - viii) performance of each NCC should be evaluated by the PCU and be reported to the Project Steering Committee, and assistance in kind be given where appropriate to assist in their operations;

- ix) new project should be developed for strategic, long-term capacity-building in OFM in Pacific SIDS;
 - x) strengthened linkages to MDG targets and Pacific Plan for mainstreaming of GEF Pacific Alliance for Sustainability (GPAS) and Coral Triangle Initiative (CTI); and that
 - xi) a future programme should include private sector engagement – supply-chain analysis, certification schemes, etc.
8. To report on the actions to the MTR recommendations are contained in the last two columns of the template appended at Attachment A.

Tracking*	
Status	Comments

9. The Regional Steering Committee is invited to provide comments on the follow-up report of the recommendations in the OFMP Mid-term Review as required by UNDP.

UNDP Management Response Template

[Name of the Evaluation] Date:

Prepared by:	Position:	Unit/Bureau:
Cleared by:	Position:	Unit/Bureau:
Input into and update in ERC:	Position:	Unit/Bureau:

Overall comments:

The MTR concludes that the project is well designed and implemented, with significant impact on the immediate regional objectives and global objectives. Notably, the capacities of Pac SIDS to meet their WCPFC obligations are enhanced as a result of project intervention but that the smaller countries of this membership require more support. The review also recognizes that the management and administration of this large project owes to a large extent the high efficiency and effective rating to the execution through established regional organizations with extensive experience. The review recommendations range from minor to more strategic long term issues that need to be addressed both within the remainder of the project and in the development of a further project.

Evaluation Recommendation or Issue 1: Results (4)¹				
<p>Management Response: Future developments requires more specific attention on the smaller Pac SIDS capacity to fulfill their conservation & management responsibilities in the long term. The MTR identifies a number of issues that will need to be considered for sustainability.</p> <p>Continued support to capacity development in SIDS beyond the project will be provided by UNDP and FFA core programmes and efforts will be made to mainstream the objectives of the OFM project into long-term plans and strategies of the executing agencies that are supporting regional marine governance, including the Pacific Plan, in order to ensure sustainability.</p> <p>There is concurrence that any long-term strategic approaches to develop the capacity of in OFM and ensure sustainability should be encapsulated in future planning and funding initiatives</p>				
Key Action(s)	Time Frame	Responsible Unit(s)	Tracking*	
<p>Project Impact - Governance (4.1.4.) It is therefore recommended that the OFM Project should be more explicitly linked to the Pacific Plan and a new project be</p>	<p>Mainstreaming efforts in agencies are ongoing and will be further</p>	<p>FFA & UNDP</p>	<p>Ongoing</p>	<p>Long-term institutional capacity building needs for Pac SIDS are a significant feature of the concept for a further project phase. This</p>

¹ Bracketed numeral references are the order in which evaluations & recommendations appear in the MTR Report.

ATTACHMENT A

<p>developed to implement the long-term strategic approach to capacity-building in OFM recommended under the Vavau Declaration. Discussions should be held between FFA and the Pacific Forum Secretariat in developing this project.</p>	<p>strengthened in the second term of the project.</p> <p>Long-term capacity building needs will also be considered during the design of Phase III, late 2008 - 2009</p>			<p>includes human capacity building although presently in the form of short term attachments, as long term academic training of individuals cannot be directly supported by GEF grants that are meant for strengthening of institutional and systemic capacity. However, efforts to support post graduate studies in fisheries for Pac SIDS has been successful using other donor funding.</p> <p>Discussions with other regional organizations included ForSec are expected to occur during the design of phase II.</p>
<p>Recommendations from results (4.1.7.) It is recommended that:</p> <ul style="list-style-type: none"> (a) the second term of the OFM Project, and any future developments of the Project, specifically addresses the needs of smaller Pacific SIDS; (b) alternative strategies should also be considered to support smaller Pacific SIDS in OFM (e.g. Sub-regional groupings, country-specific support from FFA); (c) long-term, strategic approaches should be developed to build capacity in OFM and ensure sustainability, and should be the focus of a future OFM Project. (These recommendations are elaborated upon in 5.2 and 5.3) 	<p>Second term of ongoing project. Incorporate in the design of Phase III - Late 2008 - 2009</p>	<p>PCU, FFA, SPC</p>	<p>Ongoing</p>	<p>A consultant was engaged to design a concept for a further phase of the project. Feedback from UNDP on the draft indicated that the proposed budget would not be supported and that priorities would need to be revisited. The concept was also considered by the governing body of the FFA who were informed that the concept would need to be substantially revised.</p>
<p align="center">Evaluation Recommendation or Issue 2: Project Design (4.2)</p>				
<p>Management Response: See comments for issue 1. Long-term capacity building needs will also be considered during the design of Phase III which commence in late 2008 - 2009</p>				
<p>Key Action(s)</p>	<p>Time Frame</p>	<p>Responsible Unit(s)</p>	<p align="center">Tracking*</p>	
<p>Project Design (4.2.2) Relevance to capacity development and sustainability It is therefore recommended that:</p> <ul style="list-style-type: none"> • the above proposed long-term capacity building project in OFM be based on systematic assessments of training needs in OFM in each country, and appropriate Fisheries institutional models and arrangements. (See 5.3 for details) 	<p>For consideration during the design of Phase III (late 2008 – 2009)</p>	<p>PCU, FFA</p>	<p>Ongoing</p>	<p>Design consideration in phase II concept</p>
<p>Evaluation Recommendation or Issue 3:</p>				

Project Management & Administration (4.3)				
<p>Management Response: Efforts to address shortfalls during the second half of the project in terms of management & administration will need to be elevated, including information dissemination. There have been some developments at FFA since the review was completed that have dramatically changed the work load at the PCU. FFA has finally recruited a very dynamic Media Information officer who is providing excellent assistance to the OFM Project (publications, newsletters, media releases and website). The need to allocate one more full-time position to the PCU is therefore not as urgent as when the review was conducted and funding constraints also makes this difficult. Opportunities to both continue and add to the development of oceanic fisheries science capacity within Pac SIDS should be maintained over the remainder of the project and should be a central element in the next phase. IUCN have appointed the coordinator who has responsibility for ensuring collaboration within the SPC/IUCN Seamounts programme, with other OFM Project activities, and with other agencies involved in seamount research in the region.</p>				
Key Action(s)	Time Frame	Responsible Unit(s)	Tracking*	
Project Management & Administration (4.3) Executing agency FFA (4.3.2.) It is therefore recommended that: <ul style="list-style-type: none"> (a) The OFM PCU is better supported in the second term of the Project. (b) Greater focus is given by the PCU to information dissemination on the OFM Project amongst stakeholders, and wider community in the Pacific SIDs. (See 4.4.4. for details). (c) GEF should be informed on the need for greater flexibility in allocations for Project management. 	By second quarter 2009.	PCU & UNDP (c)	Completed	Significant support has been provided to the PCU to address shortfalls in information dissemination project activities which are now considered on target.
SPC (4.3.3.) It is therefore recommended that: <ul style="list-style-type: none"> (a) Where possible, SPC should assist in the development of oceanic fisheries science within Pacific SIDs in this term of the Project. (b) Development in oceanic fisheries science within Pacific SIDs is a priority in the proposed new capacity-building Project. 	Ongoing during current project and for consideration during the development of a follow-up phase, late 2008 - 2009	SPC & for consideration during the design of phase III.	Ongoing	Refer to earlier comments on the preparations for a further project phase.

<p>IUCN (4.3.4.) It is recommended that:</p> <ul style="list-style-type: none"> the Seamounts program is coordinated by the new scientist at the IUCN Oceania Office to ensure collaboration within the SPC/IUCN Seamounts programme, with other OFM Project activities, and with other agencies involved in seamount research in the region 	<p>Completed - IUCN have appointed a coordinator (Eric Gilman) early 2008</p>	<p>IUCN</p>	<p>Completed</p>	<p>Responsibility for IUCN activities of the project are now coordinated by the IUCN Pacific Programme office based in Suva.</p>
<p>Evaluation Recommendation or Issue 4: Project Implementation (4.4)</p>				
<p>Management Response: The GEF Council adopted new focal area strategies at its June 2007 meeting. The IW strategy was thus updated and environmental process, stress and status indicators for the Strategic Programme on Fisheries were strengthened and updated. UNDP/GEF will provide further guidance on adjustment to the LFA & the appropriate indicators with which to monitor progress of Outputs & Activities and how they link to measurement of project outcomes/results and impacts. To date financial records and budgets have monitored output and activity progress. Reporting processes and their effectiveness could usefully be reviewed with UNDP/GEF taking the lead. Other project implementation recommendations should be implemented in the remainder of the project or are considerations for the next phase. The Baseline study for the project will investigate the issues that have arisen in relating to reporting against indicators and will make recommendations for changes to indicators. The outcomes of the Baseline study will also be the basis for discussions between the PCU & UNDP to review reporting processes and their effectiveness. After considerable time lapse the FFA has managed to fill the position of Media Information officer who is now providing some increased assistance to the OFM Project (publications, newsletters, media releases and website). She is also working with WWF on some joint initiatives. A number of issues require clarification in advance of developing further assistance focused on capacity building. This includes the need to understand GEF and UNDP policies on issues such as support for formal academic training, gender, human rights and equity in terms of resource projects of this nature.</p>				

Key Action(s)	Time Frame	Responsible Unit(s)	Tracking*	
Project Implementation (4.4.) Applicability of logical framework tool (4.4.2) It is therefore recommended that: <ul style="list-style-type: none"> A suite of appropriate indicators should be developed within the Logical Framework to better monitor progress in Project Outputs and Activities. 	December 2008	PCU & UNDP	Completed	A second annual review, assessment by the PCU and the Baseline Study reviewed project indicators with the Logical Framework resulting in some adjustments to the LFA. [UNDP advises that indicators at activity level is not required]
Project reporting (4.4.3.) It is therefore recommended that: <ul style="list-style-type: none"> The OFM Project Coordinator and UNDP Project Management should undertake an informal review of the reporting processes and their effectiveness with the view of reducing the number and/or detail, while maintaining their effectiveness. 	December 2008	PCU & UNDP	Ongoing	Informal review of the reporting process yet to occur. 2 nd Annual Review expected to comment on effectiveness of the RSC
Information dissemination (4.4.4.) It is recommended that: <ol style="list-style-type: none"> the OFM media strategy should be implemented and there should be a greater focus on dissemination of information from the OFM Project by the PCU. the capacity of the OFM/PCU should be increased to undertake these additional functions. The previously recommended additional staff member may be charged with these responsibilities. 	December 2008 FFA media officer now recruited and assisting	PCU & FFA	Ongoing	OFM Knowledge Management strategy implemented and dependent in available funding. Increase in PCU staffing constrained by funding but a consideration in the design of phase II.
Partnership arrangements (4.4.7.) It is therefore recommended that: <ul style="list-style-type: none"> the proposed future Project in capacity-building in OFM involves partnerships with appropriate CROP agencies (including Pacific Forum Secretariat, USP and SPREP), regional NGOs, and international assistance agencies. 	For consideration during the design of Phase III, late 2008 - 2009	PCU & FFA	Ongoing	Project design consideration
Cross-cutting issues: Institutional strengthening, innovation, national development, gender, human rights, and equity (4.4.8.) It is therefore recommended that: <ul style="list-style-type: none"> gender, human rights and equity issues should be better promoted in the second term of the OFM Project, and be a focus in the proposed future capacity-building project. 	By 3 rd quarter 2010 & for consideration during the design of Phase III, late 2008 - 2009	PCU, FFA, SPC	Ongoing	GEF relies on its partner agencies on mainstreaming of gender, human rights and equity into projects that it funds. Gender policies are in place at both UNDP, SPC & FFA and are promoted in work programmes for member countries. High numbers of female lawyers are targeted for legal fellowships at FFA and this is being tracked in the logframe indicator on the number of lawyers (men and women) that have been trained . GEF guidelines for these issues need to be

				apparent during the design of a further project phase.
Coordinating mechanisms (4.4.9.) it is therefore recommended that: <ul style="list-style-type: none"> the performance of each NCC should be evaluated by the PCU and be reported to the Project Steering Committee, and assistance in kind be given where appropriate to assist in their operations. Where this is not possible, alternative strategies should be considered for national coordination 	By RSC5 October 2009	PCU	Incomplete	A review of the mixed performance of the NCCs and the level of inter-ministry cooperation is pending. (delayed until late 2009, early 2010)
Evaluation Recommendation or Issue 5: Corrective actions for the design, implementation, monitoring and evaluation of the project (5.1.)				
Management Response: See earlier comments on issues for corrective actions for design, implementation and evaluation of the project.				
Key Action(s)	Time Frame	Responsible Unit(s)	Tracking	
			Status	Comments
Design (5.1.1.), Implementation (5.1.2) <ul style="list-style-type: none"> (a) The revised design for the IUCN Seamount sub-component Output 1.3.2. should be closely coordinated, integrated with the wider OFM Project objectives, and be collaborative with other regional research. 5.1.2. Implementation (b) The OFM PCU should be better supported in the second term of the Project. (c) GEF should be informed on the need for greater flexibility in allocations for Project management. (d) Pacific SIDs should be assisted where possible in developing their capacities in oceanic fisheries science. 	<ul style="list-style-type: none"> (a) Completed & ongoing (b) Ongoing (c) December 2008 (d) 3rd quarter 2010 	PCU (a,b & d) UNDP Fiji – b & c	Completed Ongoing	IUCN work programme redesigned and consistent with project objectives. See earlier comments on PCU support. SPC continuing to assist countries develop oceanic fisheries scientific capabilities
Evaluation Recommendation or Issue 6: Partnership agreements (5.1.3.)				
Management Response: Earlier comments apply to (a). Some engagement with USP (TSC Training) & SPREP (Turtle conservation and project oversight) occurs but the recommendation to increase the				

² Please refer to the Jan – April and July reports of the Pacific Plan Action Committee and the 2007 Pacific Forum Leaders Communiqué (Vavau Declaration) and the 2008 Forum Leaders Communiqué (Annex A)

<p>dialogue with these organization with the view to collaborate on capacity and oceanic biodiversity and conservation is well founded. Whilst the project has fulfilled the designed activities to engage Pacific tuna industry through stakeholder participation in the Commission and awareness raising, there is room to strengthen communication between the PCU & PITIA. The OFM Project is explicitly linked to the Pacific Plan and regular reports against the Vavau Declaration and the Plan are submitted to the Pacific Plan Action Committee². Presently, the reports do not profile the activities as OFMP & GEF funded and this needs to be rectified immediately.</p>				
Key Action(s)	Time Frame	Responsible Unit(s)	Tracking*	
<ul style="list-style-type: none"> (a) the OFM Project should be more explicitly linked to the Pacific Plan and a new project be developed to implement the long-term strategic approach to capacity-building in OFM, as recommended under the Vavau Declaration. Discussions should held between FFA and the Pacific Forum Secretariat in developing this project. (b) Discussions should be held with USP and SPREP to more actively involve them in capacity-building and oceanic biodiversity and conservation. (c) Special efforts should be made to more closely engage with the private sector, tuna industry and related business communities in the promotion of the OFM Project objectives. 	<ul style="list-style-type: none"> (a) For consideration during the design of Phase III, late 2008 – 2009 (b) Before 3rd quarter 2010 (c) By February 2009 	PCU	Ongoing	<ul style="list-style-type: none"> a) - see earlier comments b) –not yet actioned c) regional tuna industry association inactivated early 2008. PCU undertaking efforts to produce and dissemination OFM information tailored towards industry.
<p>Evaluation Recommendation or Issue 7: Monitoring and reporting (5.1.4.)</p>				
<p>Management Response: See earlier responses. At the time of writing, the baseline study for the project has commenced.</p>				
Key Action(s)	Time Frame	Responsible Unit(s)	Tracking*	
<ul style="list-style-type: none"> (a) A suite of appropriate indicators should be developed within the Logical Framework to better monitor progress in Project Outputs and Activities. (b) A baseline study of OFM in Pacific SIDS, including a summary of the achievements and shortfalls of WCPF Convention commitments, should be prepared. (c) The monitoring and reporting requirements of the major donor, GEF, and implementing agency UNDP, 	<ul style="list-style-type: none"> (a) By December 2008 (b) September 2008 (c) December 2008 	PCU & UNDP	Complete/ongoing	<ul style="list-style-type: none"> a) see earlier comments b) completed c) This cannot be changed at this stage, but streamlining of reporting should be considered for the new project that is under development.

should be assessed to reduce unnecessary bureaucratic procedures.				
Evaluation Recommendation or Issue 8: Coordination (5.1.5.)				
Management Response: To be commenced after the projects 4 th meeting in Apia in Oct 2008.				
Key Action(s)	Time Frame	Responsible Unit(s)	Tracking*	
<ul style="list-style-type: none"> A review of the functions and effectiveness of the Regional Coordination Committees should be undertaken by the PCU and alternative strategies for in-country coordination is developed where necessary. 	December 2008	PCU	Ongoing	2 nd Annual Review to address issue of effectiveness of RSC. Incomplete to-date
Evaluation Recommendation or Issue 9: Information dissemination (5.1.6.)				
Management Response: To be implemented subject to available resources.				
Key Action(s)	Time Frame	Responsible Unit(s)	Tracking*	
<ul style="list-style-type: none"> the OFM Knowledge Management Strategy should be fully implemented and there should be a greater focus on dissemination of information from the OFM Project by the PCU. 	December 2008	PCU	Ongoing	See earlier comments
Evaluation Recommendation or Issue 10: Actions to follow up or reinforce initial benefits from the project (5.2.)				
Management Response: See Issue 11				
Key Action(s)	Time Frame	Responsible Unit(s)	Tracking	
			Status	Comments
<ul style="list-style-type: none"> (a) The specific needs of small Pacific SIDS should be identified, and a strategic plan developed to provide appropriate support. (b) The Knowledge Management/Media programme should highlight significant achievements in the first term. (see 5.3). (c) Discussions should be held as soon as possible with potential donors for a future project (see 5.3). 	<ul style="list-style-type: none"> (a) By 3rd quarter 2010 (b) For consideration during the design of Phase III, late 2008 – 2009 (c) RSC4 to consider 	PCU, FFA, UNDP	Completed	<ul style="list-style-type: none"> a) SPC & FFA work programmes (included project funded activities) are aligned to assisting countries that challenged by Commission reporting and other requirements and is reflected in business and strategic plans. b) This has been factored into the draft concept and budget and is being addressed in the second half of the project term. c) completed
Evaluation Recommendation or Issue 11: Proposals for future directions underlining (5.3.)				

<p>Management Response: The MTR has highlighted a number of issues that will bear closer inspection in the development of a future phase of the project. Many of the recommendations relate to the gaps identified or a range of activities that simply could not be undertaken in the current project. A preliminary report will be prepared for the next RSC to draw to the attention of the stakeholders the need to consider a further project and taking into consideration the recommendations made by the MTR.</p>				
Key Action(s)	Time Frame	Responsible Unit(s)	Tracking	
			Status	Comments
<p>New initiatives (5.3.1.)</p> <ul style="list-style-type: none"> A new project should be developed for strategic, long-term capacity-building in OFM in Pacific SIDS, and to specifically assist smaller Pacific SIDS and those with governance problems. 	<p>For consideration during the design of Phase III, late 2008 – 2009</p>	<p>PCU, FFA & SPC</p>	<p>Completed</p>	<p>completed</p>

* The implementation status is tracked in the ERC.