

# Terminal Evaluation Report

## GEF IW: LEARN/CTI

### Portfolio Learning in International Waters with a Focus on Oceans, Coasts, and Islands and Regional Asia-Pacific and Coral Triangle Learning Processes (PIMS: 4164)

Governments of:                   Indonesia  
  Malaysia  
  Papua New Guinea  
  Philippines  
  Solomon Islands  
  Timor Leste

Global Environment Facility: International Waters

Executing Agency: United Nations Office for Project Support

Implementing Agency: United Nations Development Programme

Implementing Agency: Asian Development Bank

Terminal Review 22 April-18 July, 2014

#### Evaluation Team:

Kenneth T MacKay  
Vonu Environmental Consulting  
1619 Kisber Ave  
Victoria, BC  
V8P2W5, CANADA  
[vonuconsulting@gmail.com](mailto:vonuconsulting@gmail.com)

Ivan Ruzicka  
Consulting environmental economist  
1515 route de Body  
74350 Vovray-en-Bornes  
France  
[ivan.ruzicka@orange.fr](mailto:ivan.ruzicka@orange.fr)

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## Acronyms and Abbreviations:

ADB	Asian Development Bank
ABNJ	Area beyond national jurisdiction
AusAID	Australian Agency for International Development (former)
BIMP	Brunei Darussalam, Indonesia, Malaysia, and Philippines
CAREC	Central Asia Regional Economic Cooperation
CBD	Convention of Biological Diversity
CI	Conservation International
COP	Conference of the Parties
COREMAP	Coral Reef Rehabilitation and Management Project
CT6	Six countries of the Coral Triangle (viz., Indonesia, Malaysia, Papua New Guinea, Philippines, Solomon Islands, and Timor-Leste)
CT	Coral Triangle
CTI	Coral Triangle Initiative
CTI-CFF	Coral Triangle Initiative on Coral Reefs, Fisheries, and Food Security
CTMPAS	Coral Triangle Marine Protected Areas System
CTSP	Coral Triangle Support Partnership (of USAID)
DMF	design and monitoring framework
DP	development partner
DSS	decision support system
EAGA	East ASEAN Growth Area
EC	European Commission
EFACT	Economics of Fisheries and Aquaculture in the Coral Triangle
FAO	Food and Agricultural Organization
FRWG	Financial Resources Working Group
GEF	Global Environment Facility
GIZ	German Agency for International Cooperation
GOC	Global Oceans Conference
GOF	Global Forum on Oceans, Coasts & Islands
ICO	International Coastal and Oceans Organization
ICRS	International Coral Reef Symposium
IRS	Interim Regional Secretariat
IW	International Waters
IWC5	5 <sup>th</sup> International Waters Conference
IW:LEARN	International Waters Learning Exchange Network
KI	knowledge integrator
KM	knowledge management
KMID	knowledge management information and dissemination
KMIS	knowledge management information system
MAF	Ministry of Agriculture and Fisheries (Timor-Leste)
M&E	monitoring and evaluation
MESOM	Monitoring and Evaluation System Operations Manual
MEWG	Monitoring and Evaluation Working Group
MM	ministerial meeting
MMAF	Ministry of Marine Affairs and Fisheries (Indonesia)
MPA	marine protected area
MOSTI	Ministry of Science, Technology, and Innovation (Malaysia)
NCC	National Coordinating Committee
NGO	nongovernment organization
NOAA	National Oceanic and Atmospheric Administration
NPOA	national plan of action
PARD	Pacific Regional Department (of ADB)
PEMSEA	Partnerships in Environmental Management for the Seas of East Asia

PES	payment for ecosystem services
PNG	Papua New Guinea
POA	plan of action
PSVT	Project Scoping, Visioning, and Teambuilding
RCIF	Regional Cooperation and Integration Fund
RETA	Regional Technical Assistance
RPOA	regional plan of action
RSCTR	Regional State of the Coral Triangle Report
RSDD	Regional and Sustainable Development Department (of ADB)
SAC	Science Advisory Committee
SCTR	State of the Coral Triangle Report
SEER	Natural Resources, Environment, and Agriculture Division (of SERD)
SERD	Southeast Asia Regional Department (of ADB)
SF	sustainable financing
SIDS	Small Island Developing States
SMART	specific, measurable, achievable, reliable and time-bound
SOM	Senior Officials' Meeting
SRF	Strategic Results Framework
SSEM	Sulu-Sulawesi Marine Ecoregion
TA	technical assistance
TNC	The Nature Conservancy
ToR	Terms of Reference
UN	United Nations
UNFCC	United Nations Framework Convention on Climate Change
UNOPS	United Nations Office for Project Services
UNDP	United Nations Development Program
UNEP	United Nations Environment Program
USAID	United States Agency for International Development
USCTI	United States Coral Triangle Support Program
WG	working group
WOC	World Ocean Conference
WWF	Worldwide Fund for Nature

## Executive Summary:

### Project Description:

The UNDP GEF IW project: *Portfolio Learning in International Waters with a Focus on Oceans, Coasts, and Islands and Regional Asia-Pacific and Coral Triangle Learning Processes (IW:LEARN/CTI)* had a global and regional focus.

The project goal: *Coastal and marine ecosystems, especially in the Coral Triangle, are managed sustainably, with equitable outcomes for all communities that depend on these resources for their livelihoods and with long term protection of the globally significant biological diversity in coastal and marine ecoregions.*

The project objective: *Improved management of coastal and marine ecosystems through efficient and effective inter- and intra-regional adaptive learning processes.*

The project included 4 components and was co-implemented by UNDP and ADB. The first, second and fourth components were implemented by UNDP and executed by the United Nations Office for Project Services (UNOPS) while the third was implemented by ADB. The following table summarises the relevant information on the components.

**Summary Table of IW:LEARN/CTI**

Implementing Agency	Activities/ Outputs	Budget US\$	Comments
<p><b>1. Component 1: Advancing the Global Agenda on Oceans, Coasts and Small Island Developing States</b>  <b>Outcome:</b> <i>To foster critical thinking, creativity, learning, and partnership building towards the achievement of WSSD goals and the MDGs related to oceans, coasts, and SIDS, and in response to new ocean issues.</i></p>			
<b>Global Forum on Oceans, Coasts and Islands (GOF)</b>	1.1.1 Strategic Planning to Advance the Global Oceans Agenda to 2016	GEF 900,000 Co-Financing 1,061,000 (plus levered resources of 838,000)	Activities very successfully accomplished
	1.1.2 Organize the 5 <sup>th</sup> Global Oceans Conference, UNESCO, Paris, France 2010		
	1.2 World Ocean Conference 2009, Manado, Indonesia		
	1.3 Enhancing Governance of Marine Areas Beyond National Jurisdiction		
	1.4 Ocean Leadership Training for High-Level Decision Makers particularly Capacity building in the lead up to Rio+20		
	1.5 Public Education and Outreach		
<p><b>2. Component 2 - GEF International Waters Portfolio Learning</b>  <b>Outcome:</b> <i>Improved adaptive management of transboundary marine, coastal and freshwater systems.</i>  <b>Learning outcomes increased GEF IW project capacity at 3 levels: (i) individual project stakeholders; (ii) organizations; and (iii) governments, fostering enabling environments for transboundary cooperation to deepen &amp; accelerate EBM &amp; policy reform processes.</b></p>			
<b>GEF IW:LEARN</b>	2.1 Fifth Biennial GEF IW Conference participative learning program	GEF 400,000 AusAid 80,000 Co-Financing for GEF5	2.1 achieved very successfully 2.2 successfully accomplished 2.3 could not be accomplished as one activity
	2.2 Post-IWC5 learning exchanges and GEF IW Experience Notes -		
	2.3 Monitoring and evaluation		



Implementing Agency	Activities/ Outputs	Budget US\$	Comments
			was beyond mandate and ability to influence output & another due to budget constraints was accomplished by a follow up GEF project.
<b>3. Component 3 Coral Triangle Initiative</b> <b>Outcome: Improved management system for CTI strategic planning and implementation of the CTI program of action through inter- and intra- regional adaptive learning processes.</b>			
ADB RETA 7307	3.1 Strengthened CTI regional cooperation	GEF 1,200,000	Project started a year after Comp 1 & 2 It made a significant contribution to regional cooperation, advanced the approach to learning & M&E & injected much needed economic perspective into CTI
	3.2 Establishment of regional learning mechanisms	ADB 500,000	
	3.3 Implementation of a communication and information dissemination plan	AusAid 168,000	
	3.4 Support to sustainable financing of CTI plans of action.	CT6 Government in kind 600,000	
<b>4. Component 4 Project Coordination &amp; Management</b> <b>Outcome: Improved coordination and integration between the global oceans and coastal agenda, the GEF international waters portfolio, and CTI.</b>			
UNOPS with PMU UNDP APRO, Bangkok	4.1 Effective linkage of global, regional, & national level coastal and marine EBM.	GEF 200,000	Most of funds reallocated to Comp 1&2
	4.2 Efficient, transparent, and effective results-based management of all project components.		

## Summary of Conclusions, recommendations and lessons

The terminal evaluation was undertaken from April to July by a two person team. The team leader Kenneth MacKay, international environmental consultant carried out a desktop survey of Components 1, 2 & 4. The knowledge management specialist Ivan Ruzicka, a resources and environmental economist evaluated Component 3 and was based at ADB, Manila. The consultants were employed separately by UNDP and ADB and report separately on their findings. The following documents the significant findings.

The Project helped meet the need to sustain the dynamism of the IW portfolio (GEF, UNDP) and ADB's desire to better support technically its large investment portfolio in the CT region, and help improve decision making in a vital environmental and economic domain. The project components were well designed although the intended coordination across components was not well articulated nor tools or budget present for integration. In spite of that inter-component collaborations did occur especially

with Component 3/ADB where there were improved linkages with the IW portfolio, IW learning, increased coordination of regional programs, and increased global networking.

The project logical framework was weak as few links were made between activities and outputs and in many cases the indicators were not SMART (specific, measurable, achievable, reliable and time-bound). Project monitoring and evaluation (M&E) while satisfactory was not clearly budgeted in the Project Document.

Management of all components frequently had to adapt as a number of activities needed modifications due to delayed project start-up, and changed circumstances. New but related activities were implemented and these new activities complemented the project objectives and contributed to successful accomplishment of outputs and outcomes.

The project is deemed to have been efficient as achievements are considerable given the fairly small budget and there has been impressive mobilisation of co-financing in all components. There are some issues of financial accounting and reconciliation of budgets and disbursements that need to be improved.

Components 1 & 2 have shown considerable financial sustainability as they have both received additional GEF IW funding for follow up activities. Component 3 awaits regional and global deliberations on the future support for the CTI.

The emphasis on learning and knowledge management was bold and original and all components have contributed significantly. There have been a large number of knowledge products from all components that are linked to websites and social media that has increased the dissemination.

Stakeholder involvement has been excellent in all components. A large number of the relevant ocean related international and regional organisations, national governments, including SIDS took part in the various meetings and activities and contributed to the successful achievement of Component 1. Component 2 worked closely with the GEF IW family, but also involved Australian organisations and experts in the planning and implementation of IWC5, and worked closely with national governments involved in IW Projects. In Component 3 there was a wide range of well-chosen stakeholders who took part in project implementation and had ample opportunities to influence the detailed course of implementation. The regional needs assessment, inception workshops were particularly useful in this regard.

We conclude that the project has achieved most of the outcomes. In the case of Component 3 this is a considerable improvement over the picture presented in the Midterm Evaluation. Component 1 particularly is showing potential for accomplishment of significant impacts. Three of the most notable impacts are:

- Placing the ocean issues squarely in the climate change talks within and outside the United Nations Framework Convention on Climate Change (UNFCCC).
- Advancing the area beyond national jurisdiction (ABNJ) agenda at regional and international level and the inclusion of these issues in GEF5 and a subsequent programme, and

- The building of alliances and partnerships through GOF that have kept the Ocean targets high on the agenda of world leaders spurring analysis, policy dialogue, and political commitment.

The following give our ratings for M&E, Execution, Outcomes and Sustainability<sup>1</sup>.

**Evaluation rating Table with Rating Scales**

<b>Ratings for Outcomes, Effectiveness, Efficiency, M&amp;E, I&amp;E Execution</b>	<b>Sustainability ratings:</b>	<b>Relevance ratings</b>
6: Highly Satisfactory (HS) : no shortcomings 5: Satisfactory (S): minor shortcomings 4: Moderately Satisfactory (MS) 3. Moderately Unsatisfactory (MU): significant shortcomings 2. Unsatisfactory (U): major problems 1. Highly Unsatisfactory (HU): severe problems	4. Likely (L): negligible risks to sustainability 3. Moderately Likely (ML): moderate risks 2. Moderately Unlikely (MU) : significant risks 1. Unlikely (U): severe risks	2. Relevant (R) 1..Not relevant (NR)  <b>Impact Ratings:</b> 3. Significant (S) 2. Minimal (M) 1. Negligible (N)
<i>Additional ratings where relevant Not Applicable: N/A) Unable to Assess (U/A</i>		

**Table summarizing main ratings received**

<b>Evaluation Ratings:</b>	1	2	3	Overall Project
<b>1. Monitoring and Evaluation</b>				
M&E design at entry	6	5	4	5
M&E Plan Implementation	5	5	4	4
Overall quality of M&E			4	4
<b>2. IA&amp; EA Execution</b>				
Quality of UNDP Implementation				5
Quality of Execution - Executing Agency UNOPS				4
Overall quality of Implementation/ Execution	6	5	4	5
<b>3. Assessment of Outcomes</b>				
Relevance	R	R	R	R
Effectiveness	6	5	5	5
Efficiency	6	6	5	5
Overall Project Outcome Rating	6	5	5	5
Impact	S	M	NA	S
<b>4. Sustainability</b>				
Financial resources:	L	L	ML	ML
Socio-political:	L	L	L	L
Institutional framework and governance:	L	L	ML	ML
Environmental :	L	L	L	L
Overall likelihood of sustainability:				ML

#### **Recommendations Components 1,2 and 4:**

<sup>1</sup> Components 1, 2, and 4 were assessed by an independent evaluator retained by UNDP and component 3 was evaluated separately by an independent evaluator retained by ADB. While working as a team to provide a unified view of the project, each evaluator brought his own perspective to evaluating "his" components. The lack of rating for Impact for Component 3 is in line with ADB policy of only rating impact at least two years after project completion.

1. UNDP, GEF IW and ADB should ensure that when new projects are developed that involve different organisations and partners, the Project Documents indicate clear strategies, processes and tools/activities accompanied by a realistic budget to ensure coordination and cooperation among the various partners.
2. While accepting that there have been advances in preparation of the Strategic Results Framework (SRF) since this project was proposed we encourage UNDP and GEF IW to incorporate clear and easy to follow Logical Frameworks (LF) that link activities to outputs to outcomes, accompanied by SMART indicators that clearly assess achievements of all project results (outputs, outcomes and impacts), and ensure changes to activities, outputs and indicators are tracked in the project reporting (e.g. Annual Project Reviews and Project Implementation Reviews).
3. All GEF implementing agencies should be encouraged to include in their projects' logical frameworks several key tangible targets that can act as methodological unifiers. In RETA 7307 this was the role of the State of the Coral Triangle reports. As insufficiently clear identification of such key elements can lead to uncertainty on the part of implementers, with a tendency to deliver more than required but deliver something that may not have been expected at the outset.
4. UNDP and GEF IW in collaboration with UNOPS should ensure that in future projects project management activities and outputs including Monitoring and Evaluation (M&E) are clearly stated along with appropriate budgets in the Project Document.
5. UNDP and GEF IW are encouraged to explore with the Global Ocean Forum (GOF) through its Secretariat the International Coastal and Ocean Organisation strategies and approaches for sustainable core funding of the GOF Secretariat.
6. Given that IW:LEARN is a service project for the GEF IW, the GEF IW is encouraged to explore with IW: LEARN strategies and approaches for sustainable core funding of the IW: LEARN PMU.
7. GOF, IW LEARN and ADB should be encouraged to continue their efforts in knowledge management through summarising key learnings and wide dissemination through web sites and appropriate social media. Additionally as the subject of simplicity and clarity in communicating should be foremost in the IW and CTI approach to disseminating information UNDP, GEF-IW and ADB should institute a "simple-words-for-environment" prize, possibly through IW:LEARN.
8. UNDP PMU in consultation with UNOPS should correct the discrepancies in the project expenditure for Component 1, 2 and 4 to truly reflect the spending in each of the Components.

### **Recommendations Component 3**

- 9.** It is important periodically to question the continued validity of an implementation baseline. In the case of Component 3, the baselines were the CTI regional and national action plans. RETA 7307 was rightly intended to serve the plans' objectives. That alignment notwithstanding, CTI stakeholders, led by ADB, should periodically revisit the plans and confirm their technical soundness in the often fast-changing socio-economic and environmental circumstances. The challenge for all is not mainly to mobilize funds for a set of tasks but to ensure that the tasks themselves continue to have a sound economic justification.
- 10.** Some of RETA 7307's work on the economic aspects of marine and coastal management would deserve to be continued under a strengthened peer input and editorial assistance. Key messages relating to the economic and financial aspects of CTI (now summarized in the EFACT study) should be periodically updated to incorporate new results and be made to fit the requirements of specific occasions (e.g. high level meetings etc.). This work would ideally be driven by FRWG with encouragement and leadership by ADB.
- 11.** In any follow-up project the large and diverse output relating to the subject of knowledge management, produced under RETA 7307, ought to be ordered and prioritized, and continued validity of the approach to KM adopted in 2011, re-confirmed. ADB should ensure that the key document (the Needs Assessment report of 2011) that retains much of its original value is available to CTI stakeholders on line.
- 12.** GEF and implementation partners should question the place of PES within a broader range of approaches to financing of sustainable management of marine and coastal resources. ADB in particular should turn to a fuller menu of financing options including the more conventional ones the next round of its technical assistance activities.
- 13.** In projects deliberately and justifiably formulated to address regional and global concerns the local dimension should not be forgotten. In the case of CTI, regional and country activities cannot exist without one another. The challenge for future rounds of CTI action is to arbitrate among three groups of claimants on financial and technical support, i.e. (a) the regional structures (the regional secretariat and policy-making upper echelons); (b) country-level institutions; and (c) local and field level stakeholders. ADB should place the topic of this financial arbitration on CTI agenda, possibly attaching it to the Study of CTI financial architecture now underway.
- 14.** Several imaginative decisions taken by ADB and RETA consultants in mobilizing political and financial support for CTI deserve to be replicated. One example was the High Level Financial Roundtable (CT6) Ministerial Meeting and Marketplace that coincide with 45<sup>th</sup> ADB Annual Meeting. GEF should take leadership in identifying and helping organize similar occasions in consultation with CTI partners.

## 1. Introduction

### 1.1. Purpose of the evaluation

The terminal evaluation is intended to assess the achievement of project results, and draw lessons that can both improve sustainability of benefits from the project, and aid in the overall enhancement of United Nations Development Program (UNDP) and Global Environment Facility (GEF) programming.

In addition the evaluations for UNDP supported GEF financed projects have the following complementary purposes:

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

The evaluation followed the guidance and procedures of UNDP and GEF, including UNDP's "*Handbook on Monitoring and Evaluation for Results*" and GEF's "*Monitoring and Evaluation Policies and Procedures*", and the specific terms of reference for the terminal review. The evaluation of Component 3 is also in line with ADB guidelines for performance evaluation of public sector projects (ADB. 2013). Our approach was to follow a participatory and consultative approach that will provide evidence-based information that is credible, reliable and useful.

Component Three *Regional Cooperation on Knowledge Management, Policy, and Institutional Support to the Coral Triangle Initiative Policy, and Institutional Support to the Coral Triangle Initiative (CTI)* was implemented by the Asian Development Bank (ADB) as a regional technical assistance project (RETA) No. 7307, henceforth referred to as RETA 7307 or Component 3. The evaluation of Component 3 was undertaken to: (1) describe and assess the Project's design and implementation; (2) present RETA 7307's results and stakeholders' perceptions of those results; (3) account for the use of financial resources by the Project; (4) identify and document the lessons learned; and (5) make recommendations., The main elements the RETA 7307 evaluation report are incorporated into this document.

## 1.2. Scope & Methodology

The evaluation was carried out by a two person team and the individual Terms of Reference (ToR) are given in Annex 1. The Terminal Evaluation team leader was Kenneth T MacKay, PhD who has over 30 years of International Development experience, including extensive evaluation experience with complex multi country and multi-institution development project. He lead the evaluation, coordinated with the Knowledge Management Specialist, prepared the inception report, analyzed Components one, two and four, and finalized the terminal evaluation report.

The Knowledge Management Specialist was Ivan Ruzicka, a resource and environmental economist with over 30 years of experience in designing and evaluating resource-related projects and programs in Asia's developing countries. He focused on Component Three as described in RETA 7307 and was based at ADB, Manila.

The overall approach in conducting this terminal evaluation was to frame the evaluation using the criteria of relevance, effectiveness, efficiency, sustainability, and impact.

**Project Implementation:** The following issues were rated according to the UNDP scales.

6. Monitoring and evaluation
  - 6.1. M&E design at entry
  - 6.2. M&E Plan Implementation
  - 6.3. Overall quality of M&E
7. Implementing Agency and Executing Agency Execution
  - 7.1. Quality of UNDP/ADB Implementation
  - 7.2. Quality of Execution - Executing Agency
  - 7.3. Overall quality of Implementation / Execution
8. Assessment of Outcomes
  - 8.1. Relevance
  - 8.2. Effectiveness
  - 8.3. Efficiency
  - 8.4. Overall Project Outcome Rating
9. Sustainability
  - 9.1. Financial resources:
  - 9.2. Socio-political:
  - 9.3. Institutional framework and governance:
  - 9.4. Environmental :
  - 9.5. Overall likelihood of sustainability:

**Project Financial aspects including co-financing:** The team assessed the key financial aspects of the project, including the extent of co-financing planned and realized. Variances between planned and actual expenditures were also assessed and explained.

**Mainstreaming:** The evaluation team assessed the extent to which the project was successfully mainstreamed with other UNDP/ADB priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender.

**Impact:** The evaluation team assessed the extent to which the project achieved impacts or is progressing towards the achievement of impacts. Key findings brought out in the evaluations include whether the project has demonstrated, as applicable in the IW Tracking Tools<sup>2</sup>: a) verifiable improvements in ecological status, b) verifiable reductions in stress on ecological systems, and/or c) demonstrated progress towards these impact achievements.

**Relevance** was addressed by assessing the congruence of project objectives with GEF, UNDP-IW, and ADB global and national ocean priorities and policies both past (at time of project implementation) and current.

**Effectiveness** was measured based on the quantitative and qualitative indicators in the project logical framework (Annex 4). A Mid-Term Evaluation was carried out in March-April 2012, at which time most of the activities of Components 1 and 2 had been completed and most of the outputs were rated as successfully achieved. Thus the performance of these activities was not assessed during this review, the measurement of effectiveness concentrated on activities and outputs that were accomplished after the Mid-Term Evaluation was completed. In the case of Component 3, the start-up was delayed, many of the activities had not been completed, and the outputs in most cases had been only partially achieved. Thus effectiveness was measured for all the Component 3 outputs.

**Efficiency** was determined by examining the cost effectiveness of each component including examining the co-funding and additional project leverage.

**Sustainability** was determined by examining not only the degree to which the outcomes are continuing and have been or will be continued with other funding, but also the socio-political; institutional framework and governance; and environmental aspects of sustainability.

Both the medium (**outcomes**) and long term results (**impacts**) were determined by assessing how the overall project objectives have been achieved and identifying some of the most important achievements.

The evaluation also considered issues related to management, coordination, project delivery, implementation, and finances. Particular attention was paid to lessons learned in order to assist UNDP & GEF in designing future projects and follow-up studies.

The evaluation of Components 1, 2 and 4 was carried out via a desk review of key project documents, interviews of key stakeholders and project participants via Skype or emailed questions, and compilation of inputs and assembly of a draft report.

The evaluation of Component 3 was based on (a) review of RETA 7307 documentation; (b) review of other documentation of relevance to RETA 7307, including reports and communications by the Coral Triangle Initiative development partners (GEF, UNDP,

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<sup>2</sup> The IW Tracking Tools were received very late in the evaluation and appeared not to be relevant to the overall evaluation so were not incorporated into the findings.



ADB, USAID, Australian Government), the government agencies of the Coral Triangle countries, and relevant international and domestic NGOs; (d) in-person discussions of the project with selected stakeholders in one of the Coral Triangle countries (the Philippines) (e) analysis of the feedback to a questionnaire developed for the purpose of terminal evaluation (f) follow-up written and oral communications with selected CTI stakeholders.

**Document review:** The documents and websites examined were based on a preliminary list prepared for the inception report that was determined from a review of the MTE Report and recommendations from the PCU and Component leaders; it was supplemented by additional documents during the course of the review. A list of the documents and websites referenced is given in Annex 3.

**Key Stakeholders:** A preliminary list of key stakeholders was assembled for the inception Report. As many of the key stakeholders are very senior, busy people, the selection was restricted to key people where there was a strong chance of their availability for an interview or responding to email. Additionally for Component 1 the Component leaders facilitated contact with the key stakeholders. The stakeholders were contacted via email to introduce the evaluation and indicate confidentiality of responses, and determine their willingness and timing to participate in a Skype call or further email questions. The interviews were semi-structured but guided by a standardized set of questions. A questionnaire was developed to measure relevance and impact for Component 1 and to assess the effectiveness of some of the Component 2 outputs and outcomes, and administered on-line.

A questionnaire was developed to probe the degree of success in achieving Component 3 expected outcome (“strengthened cooperation among the CT6 on information exchange and decision making on coastal and marine resource management”) and provide early indications of impact (“strengthened management of coastal marine ecosystem in the CTI”). The interviewees were asked to give ratings or rating (on a scale of 1 to 5) against the questions posed. The questionnaires and answers to them were transacted on line and to the maximum degree possible followed by direct contact (Skype, phone) to obtain more details or clarifications. The questionnaire and analysis is presented in Annex 7.

**Field Visit:** Ivan Ruzicka was based with ADB (Environment, Natural Resources & Agriculture Division, Southeast Asia Department) and met with ADB, the Component 3 principal consultant (Primex Inc), CTI Secretariat, and selected Philippine-based stakeholders.

**Project Reporting and Review:** After completion of the document review, interviews, and questionnaire the evaluators analyzed the data and assembled a draft terminal evaluation report. This draft report is being circulated to the UNDP-PCU, UNOPS, UNDP/GEF, Component leaders, and ADB for review and comment. The evaluators will then incorporate changes, corrections and additions as appropriate and submit a final draft to the PCU.

**Limitations:** There were some limitations to this terminal Evaluation that to some

extent limited the completeness. They included:

- A delay in the contracting of the ADB consultant resulting in a need for subsequent revisions to the time frame and the team leaders contract;
- Lack of travel funds for the team leader resulting in lack of face to meetings with PMU and ADB consultant;
- Considerable time zone challenges;
- Low return rate on some questionnaires;
- Delay in the availability of some financial documents.

### **1.3. Structure of the evaluation report**

The terminal evaluation report follows the recommended guidelines for UNDP/GEF reports with some minor modifications. The project leader (KTM) was responsible for the overall report and the issues around Component 1, 2 and 4, while the knowledge management specialist (IR) developed the sections on Component 3. Because of the dual nature of the evaluation the results for Component 3 are reported separately for each section.

## **2. Project description and development context**

### **2.1. Introduction**

The UNDP/GEF project: Portfolio Learning in International Waters with a Focus on Oceans, Coasts, and Islands and Regional Asia-Pacific and Coral Triangle Learning Processes (IW:LEARN/CTI) had both a global and regional focus. The overall project goal as stated in the project logical framework was:

*Coastal and marine ecosystems, especially in the Coral Triangle, are managed sustainably, with equitable outcomes for all communities that depend on these resources for their livelihoods and with long term protection of the globally significant biological diversity in coastal and marine ecoregions.*

While the project objectives were:

*Improved management of coastal and marine ecosystems through efficient and effective inter- and intra-regional adaptive learning processes.*

The project included 4 components and was co-implemented by two GEF agencies, UNDP and ADB. The first, second and fourth components were implemented by UNDP and executed by the United Nations Office for Project Services (UNOPS) while the third was implemented by ADB. UNOPS as the implementing partner of UNDP had responsibility for the overall implementation of components one, two and four. In turn, UNOPS contracted the Global Forum on Oceans, Coasts and Islands (GOF), through its secretariat – International Coastal and Ocean Organization (ICO), to carry out the project activities under component one. The second component was undertaken by UNDP through IW:LEARN and the fourth component, which is the Project Coordination Unit (PCU) based with UNDP, Asia-Pacific Regional Centre was under UNOPS direct management.

Further details on each component are given in section 2.3 and the component objectives and verifiable indicators are given in the project logical framework (Annex 4).

## 2.2. Project start and duration

### **Components 1, 2, and 4:**

UNDP/GEF: Portfolio Learning in International Waters with a Focus on Oceans, Coasts, and Islands and Regional Asia-Pacific and Coral Triangle Learning Processes (IW:LEARN/CTI)

Approval, Start, Close, Mid-term	
Project Start	July 2009
Mid-Term Review	March - April , 2012
Close Date	June 2014
Terminal review	May-July 2014
Project Budget	
GEF Funding	US\$ 1,500,000
Co-financing	US\$ 1,934,000
<b>Total Project Budget</b>	<b>US\$ 3,434,000</b>

GEF Project Budget by Component	
Component One	US\$ 900,000
Component Two	US\$ 400,000
Component Three	Fund managed by ADB
Component Four	US\$ 200,000
<b>Total</b>	<b>US\$ 1,500,000</b>

### **Component 3:**

ADB: Regional Technical Assistance of ADB for Knowledge Management, Policy, and Institutional Support to the Coral Triangle Initiative (TA 7307-REG)

Approval, Start, Close, Mid-term	
Project Start	May 2010
Mid-Term Review	March - April 2012
Original Close Date	12 October 2012
Revised close date	31 December 2014

Component 3 Budget	
GEF	US\$ 1,200,000
ADB Funding	US\$ 500,000
Government of Australia through AusAID	US\$ 168,000
Government Financing (in-kind contribution)	US\$ 600,000
<b>Total Project Budget</b>	<b>US\$ 2,468,000</b>

With the endorsement, in April 2009, of the IW LEARN/CTI by GEF, the road was opened to the processing of its individual components. Component 3, implemented by ADB as RETA 7307, was approved by ADB in July 2009 and supported by a GEF grant of \$1,200,000, an ADB grant of \$500,000 sourced from ADB's Regional Cooperation and Integration Fund (RCIF), and a few months later, an Australian grant of \$168,000

equivalent<sup>3</sup>.

The demanding nature of consultant recruitment (see Section 3.4) created delays in the recruitment of the TA consulting team that was mobilized and became functional only in May 2010. While ADB TA documentation envisaged completion of RETA 7307 on 31 October 2012 the start-up delays and modifications of project scope (made it necessary to extend the completion date, first, to 31 July 2013, second, to 31 December 2013 and, finally, to 31 December 2014. The terminal evaluation is therefore taking place ahead of RETA 7307's formal closing date. This, however, is best considered a technicality only as all Project activities had been finished and all Project funds committed by the end of the evaluation. The remaining period up to December 2014 had been set aside to allow for additional printing and distribution of some of the Project's materials and liquidation of remaining eligible expenses..

The delayed start and completion of the Project brought Component 3 out of line with the other components of IW:LEARN/CTI, a fact noted during the umbrella project's mid-term evaluation (April 2012; see UNDP/GEF.2012). Apart from the administrative inconvenience the consequences of this temporal de-linking for the umbrella project's integrity were not overly serious: Component 3 was not *directly* linked to Component 1 and the much closer link between Component 2 and 3 was never intended to be of a limited duration only. RETA 7307's goal was (also) to establish a *permanent* link between CTI learning mechanisms and the wider (GEF) International Water (IW) learning portfolio. As it was, that link was established somewhat later than originally envisaged but established it was. Somewhat more serious may have been a lost opportunity for RETA 7307 to plan and calibrate its activities simultaneously with the preparation of CTI plans of action.

### **2.3. Brief description of the project**

The IW:LEARN/CTI project includes three independent components intended to be interrelated and mutually supporting, and linked and coordinated through a fourth management component.

The project was designed to ensure that coastal and marine ecosystems, especially in the Coral Triangle, are managed sustainably, with improved linkages to river basin and groundwater management and equitable outcomes for all communities that depend on these resources for their livelihoods and with long term protection of the globally significant biological diversity in coastal and marine ecoregions. Two of the components (1&2) were focused globally while Component 3 focused on the Asia-Pacific region via the Coral Triangle Initiative. Component 4 was intended as a management component.

As the project document states:

*“What links these elements together is the need for all major efforts in relation to protecting and managing the marine environment to share information on what works and what doesn't work, to foster a culture of peer-to-peer learning*

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<sup>3</sup> The Australian co-financing of RETA 7307 post-dated that projects' official approval by ADB and was formalized by a Funding Agreement of May 2010.

*supported by communities of practice, to exchange knowledge, and to facilitate project implementation among all development partners involved in marine and coastal environment programs and projects.”*

As discussed in Section 3.1.1 there were weaknesses in the Logical Framework that includes the unclear linking of activities with outputs and inconsistencies between the UNDP and ADB documents. The following is a brief description of each component. More detailed tables giving activities, indicators, sources of verification, and assumptions and risks are found in Annex 4.

Component 1 was undertaken by the International Coastal and Ocean Organization as the Secretariat of the Global Ocean Forum (ICO-GOF) and has a global reach. It focused on strategic planning to advance the oceans, coasts and Small Island Developing States (SIDS) targets of the 2002 Johannesburg Plan of Implementation, and at addressing emerging challenges such as climate change impacts and improved governance of marine areas beyond national jurisdiction. The project also contributed to a large number of meetings (see section 2.8) in addressing these issues.

Component 2 was undertaken by IW:LEARN. It was focused on portfolio learning among GEF IW projects to achieve maximum synergy in the further dissemination of lessons learned and peer knowledge-sharing on integrated, ecosystem-based management. The major activity was the planning, organisation and follow up to the International Waters 5<sup>th</sup> Conference (IWC5) in Cairns, Australia in partnership with the Australian government and a number of other partners. Additional activities included the development of decision support tools, peer to peer learning exchanges, and preparation of experience notes. This component has also collaborated with the CTI Component 3 on web site development and peer-to-peer learning.

The third component was implemented by ADB through a regional technical assistance project (RETA 7307(REG)). It was intended to strengthen the management of coastal and marine ecosystems in the coral triangle through a regional approach to knowledge-based policy formulation and decision making. Although a number of projects attempting to counter unsustainable management of the marine resources in Southeast Asia were being implemented by donor agencies or international financial institutions more was needed including coordination. Needed especially was the fortuitous combination of political will and right kind of technical and financial support. The emergence of the Coral Triangle Initiative (CTI) in 2009 was one such moment, when a high degree of political consensus across an unusually rich but vulnerable part of Southeast Asia met the activism of those responsible for the global environmental commons (GEF, some other UN agencies) or regional economic development broadly conceived (ADB, US and Australian Governments). Greater in its scope and ambition than several similar transboundary initiatives<sup>4</sup>, CTI came to be supported by a number of projects (most notably, those under USAID's Coral Triangle Support Program). IW:LEARN/CTI Component 3 (ADB RETA 7307) reinforced and added an extra dimension

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<sup>4</sup> Such as the Partnerships in Environmental Management for the Seas of East Asia (PEMSEA) and the associated Ecoregion Conservation Plan for the Sulu-Celebes/Sulawesi Marine Ecoregion, conceived between 2004 and 2009 or the Arafura-Timor Seas Ecosystem Action Program conceived in 2006-2007 and formalized in 2010.

to CTI activities.

Component 3's hallmark was the coordinated approach to diffusion of science-based information and adaptive learning, and novel mechanisms of financing sustainable practices in the six Coral Triangle Initiative (CTI) countries (Indonesia, Malaysia, Papua New Guinea, Philippines, Solomon Islands and Timor Leste. It had four main outputs: (i) strengthened CTI regional cooperation, (ii) establishment of regional learning mechanisms, (iii) implementation of a communication and information dissemination plan, and (iv) establishment of sustainable financing schemes. Building on agreements among invited project stakeholders during the project's Inception Workshop held at ADB on 29-30 July 2010, the scope of RETA 7307 was revised and the Component's knowledge management (KM) and communication activities were directed at three specific areas – (i) sustainable finance; (ii) economic studies in support of policy and sustainable financing, including payment for ecosystem services (PES), coastal valuation, and economics of climate change; and (iii) preparation of the State of the Coral Triangle Report (SCTR) – all leading to regional learning and cooperation.

IW:LEARN/CT that put learning at the center of its design also offered the CTI greater exposure to global issues and projects. If the countries of the Coral Triangle were to manage their marine and coastal resources more sustainably they needed to become more closely involved in the international deliberations affecting the management of their marine resources (Component 1), be exposed more to the experience of GEF (and others') international waters portfolio and learn from it (Component 2), and ensure that CTI decision makers and stakeholders have access to the right kind of knowledge and become its active users especially in the implementation of agreed plans of action (Component 3).

Further details on the intended activities and revisions are given in Section 3 and a detailed comparison of the RETA Design and Monitoring Framework (DMF) with the UNDP LFA is given in Annex 4b.

Component 4 was intended to link and coordinate the three components. It was under UNOPS direct management and supported the Project Coordination Unit (PCU) located with UNDP Asia-Pacific Regional Centre, Bangkok, Thailand.

## **2.4. Problems that the project sought to address**

The project addressed the wide variety of threats currently facing the world's oceans and coastal waters including: invasive species, marine and land based pollution, ocean acidification, habitat loss/conversion and over-exploitation of marine resources all to varying degrees interacting with the effects of climate change. Project efforts were directed towards removing the key barriers to alleviate these threats and secure the long-term integrity of coastal and marine habitats:

- (i) The lack of scientific knowledge and its effective management for decision-making and action;
- (ii) Inadequate institutional arrangements, stakeholder participation, and sustainable financing; and,
- (iii) Inadequate strategic planning and policy development at the global and regional levels.

The project addressed this by focusing on international, multi-state cooperation on ocean policy, strategic planning and policy development, knowledge management and information sharing in order to share the best practices and experience of the GEF IW global portfolio, all enhanced by the cross cutting theme of adaptation to climate change.

Component 3 was conceived to help fill the gap between the scale of development and conservation opportunities associated with the marine ecosystems of CT countries (as well as the scale of threats to this potential) and the capacity of local decision-makers and affected people to appropriately respond. The development community's perception, to varying degrees shared by the CT6, was that policies and institutions were not up to the magnitude of the task of sustainably managing the resource because they did not make sufficient use of existing, let alone, potential knowledge, especially the scientific one. Facts and useful lessons were not reaching key individuals, and policies were not formulated in full knowledge of domestic and cross-country experience and in full recognition of trans-boundary and global dimensions of marine ecosystems. If CTI was to realize its potential, the considerable body of experience and knowledge generated in and outside the region needed to be captured and made use of in shaping CT countries' institutions, policies and practices.

## **2.5. Immediate and development objectives of the project**

The detailed objectives are given in Annex 4c. The overall project goal was "Coastal and marine ecosystems, especially in the Coral Triangle, are managed sustainably, with equitable outcomes for all communities that depend on these resources for their livelihoods and with long-term protection of the globally significant biological diversity in coastal and marine ecoregions."

The project objective was "*Improved management of coastal and marine ecosystems through efficient and effective inter- and intra-regional adaptive learning processes.*"

In component 3 the LF developed for the Project ("DMF", in ADB's practice) (Annex 4b) envisages four project outputs: (1) Strengthening of CT regional collaboration; (2) Establishment of a regional learning mechanism; (3) Implementation of a communication and information dissemination plan; (4) Establishment of sustainable financing schemes for national plans of action. With these in place, the Project's expected outcome is strengthened cooperation among CT6 on information exchange and decision-making in coastal and marine resource management. The ultimate impact is improved management itself of coastal and marine resources in the CT. Modifications made in the DMF at the close of the Project Inception Workshop were a matter of (a) re-casting ("toning down") the last category of anticipated project output; and (b) giving the Project a narrower, more economics- and finance-oriented focus. Neither modification changed the Project's development objectives but they, especially the latter, had significant bearing on the conduct of the project and its outputs.

## **2.6. Main Stakeholders**

The stakeholders of this project were very diverse and widely dispersed geographically. They included intergovernmental organisations, government policy makers, NGOs,

scientists and individual citizens. In addition the GEF IW itself was a key stakeholder both participating and benefiting from the project.

Component One targeted global ocean policy makers and involved a broad group of stakeholders. The main stakeholders included high level government officials especially those from Small Island Developing States (SIDS), UN Agencies, other intergovernmental and regional agencies, International NGOs, country researchers and research institutions, and the private sector. The executing agency for this component was GOF, an international ocean focused NGO.

Component Two focused on promoting learning and experience sharing to enhance trans-boundary cooperation with regards to international waters management especially among GEF IW projects. The main shareholders were the GEF and associated GEF IW project participants, in particular the partners and participants in the IWC5 meeting in Cairns, Australia. This component also linked closely with Component 3 so many of the stakeholders in the CTI component including ADB, Primex Inc, and CTI researchers were stakeholders in Component 2. The UNDP (IW: LEARN) implemented this project.

Component Three was regional in scope and targeted primarily stakeholders within the six Coral Triangle (CT6) nations of Indonesia, Malaysia, Papua New Guinea, Philippines, Solomon Islands, and Timor-Leste. In addition to the Governments and policy makers of these six nations, stakeholders include the CTI Secretariat and Coordinating Committee, the apex national bodies in charge of marine and coastal resources, ADB, US and Australian Governments, GEF and GEF agencies, NOAA, and international and national NGO's. The primary implementing stakeholder was a CTI Regional Technical Assistance Team established by ADB. In addition many people had, and continue to have, a stake in RETA 7307's success as it became part of an extensive network of projects and initiatives within and outside CTI (Annex 8). If pressed for specificity the account would start with the political initiative of CT countries demonstrating a willingness to act regionally. This gave the CTI (Interim) Regional Secretariat (IRS) a prominent place among stakeholders, a position occupied in each CT6 country by national coordination committees (NCCs) that typically had representation by relevant apex government agencies and members of the scientific, academic or NGO communities, and in some cases, representatives of local governments. A link was easily established between the Interim Regional Secretariat (IRS) and NCCs on the one hand, and CTI development partners (GEF, ADB, USAID, Australian Government, Coral Triangle Center) on the other. Through major involvement in USAID-funded program, prominent international NGOs (The Nature Conservancy, WWF, Conservation International and others) or scientific institutions (e.g. WorldFish Center) became active participants and stakeholders not only in their own programs but also in RETA 7307. ADB's stake in the success of RETA 7307 was considerable given the Project's link to a large portfolio of ADB's investments in the Southeast Asia and Pacific regions (see Annex 8) and a desire to build on a productive relationship with GEF. Some of RETA's pilot activities (e.g. on the use of novel financing approaches) and training included members of local communities, the ultimate and unsung heroes (or villains) of CTI.

Component Four was concerned with project management. The main stakeholders for this component relevant to the mid-term evaluation included the Project Coordinating



Unit (Team Leader and Project Implementation Coordinator); International Waters Principal Technical Advisor, UNDP/GEF; Senior Portfolio Manager, UNOPS; and the component leaders.

## **2.7. Baseline Indicators established**

Indicators were established for the outcome results and are presented in the Project Logical Framework (Annex 4c). However, as indicated in section 3.1.1 there were no clear indicators for outcomes and impacts and in some cases there was not a clear match between indicators and activities/outputs. Additionally the indicators in the UNDP documentation are different than those developed for RETA 7307 (ANNEX 4b). Similarly baselines are given for Components 1, 2, and 4 but there are no Baselines established for Component 3 in the UNDP LFA. Section 3.1.1 discusses the baseline and indicators in more detail.

## **2.8. Expected Results**

GEF IW: LEARN/CTI has four components and over 20 outputs. A short summary is given below and details on the outputs and indicators are given in Annex 4, along with notes on changes to the original Logical Framework (LF).

**Component one** addressed global ocean and coast issues primarily by focusing on high level policy makers and significant global meetings. Including the World Ocean Conference (2009, Manado, Indonesia); 5<sup>th</sup> Global Conference on Oceans Coast and Islands (2010, UNESCO, Paris, France); Rio +20 (2012, Rio de Janeiro, Brazil), and other associated meetings of the United Nations Framework Convention on Climate Change (UNFCCC), Convention on Biological Diversity (CBD), and other meetings related to the management of areas beyond national jurisdiction (ABNJ). In addition they contributed to the raising of cross cutting and new issues including SIDS, climate change and governance of ABNJ.

**Component two** promoted adaptive learning within the GEF IW portfolio focusing on peer-to-peer learning in order to share experiences and innovative practices across GEF's global IW portfolio. The primary activity was the 5<sup>th</sup> Biennial GEF International Waters Conference (2009, Cairns, Australia). Additional activities included the development of decision support tools, peer to peer learning exchanges, and preparation of experience notes. This component has also collaborated with the CTI Component 3 on web site development and peer-to-peer learning.

**Component three**, targeting the six countries of the Coral Triangle (CT6) and their exceptionally rich marine and coastal ecosystems, sought to improve and institutionalize regional and national mechanisms of knowledge generation and adaptive learning, and mobilize them for the task of policy formulation and investment action directed at the countries' marine and coastal resources. Besides promoting science-based knowledge and sharing of best practices, it also addressed the question of sustainable financing, backed by assessments of the economics of fisheries and aquaculture and applicability of payment-for-environmental-services (PES) approaches.

**Component four** was to carry out the project coordination and management. In addition to ensuring there was efficient and effective management they were to link and

coordinate the above three components.

### **3. Findings**

#### **3.1. Project Design / Formulation**

The project was made up of three independent Components with a fourth component that was intended to coordinate them. Linkages among components were anticipated with the suggestion of co-activities. From the outside the project appears more as a programme involving interrelated projects.

The rationale for the inclusion of the three components (1, 2 and 3) was as much the desire to accommodate GEF IW priorities as to meet country or regional requirements. At a time of reduced GEF funding there was a need to sustain support for IW:LEARN and particularly IWC5. This offered the opportunity to have IWC5 as a signature event in direct support of the CTI portfolio and to increase linkages between IW:LEARN and the portfolio of IW-type (ADB & UNDP IW) projects in Southeast Asia. IW5 also served as a venue for the inception of the Timor Arafura seas LME CTI project and was also a chance to show Australia's engagement of CTI among reasons. Component one was included as a way of further developing the global ocean agenda and reinforcing the relevance of GEF IW. The ADB/CTI component was included not only to increase the sharing of results between CTI and other global IW projects and within the Coral Triangle region but also to provide indirect technical support to ADB's large investment portfolio in CT countries.

The individual components themselves were well designed and particularly for component one represented an incremental approach that followed on a clear strategy that built on previous activities. Component 3 was considerably reworked during the detailed formulation of the ADB RETA but in essence kept the basic approach as documented in the UNDP proposal.

The intent was to have synergy across the three components but this has not happened for the following reasons.

1. Component 4 was expected as the Prodoc indicated “(to) provide the cohesion and coordination that will make the sum of the three components greater than the parts” Unfortunately it never functioned as a coordinating mechanism. The project document did not specify detailed outputs and activities that would indicate how these results were to be achieved. Nor did it identify a formal project management committee. The component leaders met opportunistically when attending the same meeting but there was no formal coordination. The PMU in Bangkok worked individually with the Component Leaders but did not formally coordinate the three. In reality, the funding for Component 4 was not used for coordination but was reallocated to over spending in Component 2.
2. There were planned joint activities between Component 1&2: *Output 1.4 Ocean Leadership training for High Level Decision Makers* and *2.1.1 GEF IW Leadership learning participatory learning program*. There appeared to be difficulties identifying the potential target audience for the training. As a result two separate activities were added, for component one the activity was changed to supporting capacity building around RIO+20, and component two partially funded the development of decision support tools and a workshop (Stockholm, Sweden, 2010) that tested and reviewed the tools.
3. Joint activities were also anticipated between Components 1 and 3 as output *3.1 Stakeholder participation and consultation*. This was to take place during the World Ocean Conference Manado, Indonesia. However, the ADB RETA project did not start until a year after the conference so that the activity was no longer relevant.
4. Coordination was hampered by the implementation partners’ diverse locations: UNDP (Bangkok), IW:LEARN (Bratislava); ICO/GOF (USA), and ADB (Philippines). Additionally the ADB project began later than expected and did not commence in unison. Components 1, 2 and 4 officially started in July 2009. Component 3 started in May 2010.

It is important in a complex project like this that a formal effort is made to coordinate and to spell out specific coordination mechanisms and tools in the project documents in order to achieve the hoped-for synergy. However, in spite of the failure to establish a coordination mechanism there has been informal coordination and joint activities as Component 2 IW:LEARN worked closely with the ADB Component 3 in website design and cross project learning and Component 1 and 2 collaborated on climate change and Large Marine Ecosystems (LME) issues.

### **3.1.1. Analysis of LFA/Results Framework (Project logic /strategy; Indicators)**

The project logical framework was identified as a weakness in the MTE evaluation. The weaknesses included indicators that reflect process rather than accomplishments; lack of indicators for impact, and changes to activities that were not clear incorporated into a revised logical framework. The MTE

indicates:

*“The project is designed to move forward a global agenda, but the specific terms and expectations are not clear. The project objective (effective, efficient management systems) is indicated simply by; “Lessons learned from previous IW projects, and from World Ocean Conference applied by the six CTI countries.” There is no measurement for total number of governments that have adopted specific practices that will ultimately result in long-term ocean and coastal conservation. This makes it difficult for evaluators to gauge what actually constitutes an effective and efficient management system.”*

The TE team agrees with these observations and has identified additional weaknesses.

Some activities have changed or been removed but they have not been reflected in a revised LF and in some cases indicators have not been added. In the case of the outcomes and impact, there are no clear indicators that allow measurement of achievement. Given the potential importance of the project's accomplishments it is important that long term results be measured and documented for stakeholders and a broader audience. This would also help make each component more strategic and goal oriented.

The indicators in general were not SMART (specific, measurable, attainable, realistic and timely), they were often related to process rather than achievement of results, they do not use change language and in most cases measure completion of activities not outputs. In addition, for example in Component 2 it is not obvious which activity/output is being measured and/or whether the indicator can be measured. This is further compounded by the absence of tables or clear statements that would link the activities to outputs and indicators. In the Prodoc the activities are clearly stated in the Methodology and Key Outputs/Activities section and are budgeted (Annex 5) but when the indicators and targets are specified their link to activities is lost. We have suggested in Table 1 a possible way of restoring this linkage that might be used in future proposals and make it easier to track achievement of results.

**Table 1:** Example of UNDP Project Logical Framework and suggested improvements

Activity	Output	Indicator	Target	Sources of Verification
<b>UNDP Project Logical Framework</b>				
Component 1  1.b). Organise 5 <sup>th</sup> Global Oceans Conference, Paris, France 2010		(3) 5 <sup>th</sup> Global Ocean Conference successfully accomplished April 2010	Strategic Plan and Program of Work for 2010-2014 for each of the WSSD targets endorsed by GOC2010 participants, completed by end June 2010  500 participants from various sectors	Conference Report
<b>Suggested improvements to Logical Framework (note consistency of numbering)</b>				
(1.1.2). Organise 5 <sup>th</sup> Global Oceans Conference, Paris, France 2010	(1.1.2) Increased strategic planning and work plans directed towards the WSSD targets	(1.1.2) Strategic Plan and Program of Work for 2010-2014 for each of the WSSD targets endorsed by 500 GOC2010 participants from various sectors ,		Conference Report

Component 3 was formulated after the approval of the GEF: IW: LEARN/CT. While the UNDP Project LF informed ADB's design and monitoring framework (DMF), the activities and indicators of that DMF depart from those of the Project Log Frame (Annex 4b). We consider the ADB Framework the clearer of the two (but even there we find some weaknesses). In addition one activity (Improved coordination & integration between the global oceans & coast agenda, GEF IW Portfolio & CTI) that was a part of Component 4 in the UNDP Framework is also included in the activities of Component 3. This duplication can cause confusion when reporting on achievements.

The passage of time and detachment from the intensity of project formulation and approval makes it easier to see some of the weaknesses of the original design encapsulated in the Design and Monitoring Framework (see Annex 8). The weaknesses in the design of RETA 7307 are two: (a) questionable translation of some of the four expected outputs into individual activities, milestones and performance targets of the DMF; and (b) complexity. Of the two, the second may well be more significant.

The compelling formulation of the text of the TA document (including the terms of reference for RETA implementation consultants) contrasts with the somewhat arbitrary nature of some of the DMF performance targets, activities and milestones. These may

reflect exaggerated confidence by the original DMF framers about the correctness of the RETA 7307 “recipe”, a degree of impatience, and a pre-conceived idea about what is reasonable to expect and what is not. The “details” of the DMF were clearly not given the same amount of attention as the rest of the Project documentation, understandable, perhaps, given the vast amount of effort required to assemble project documentation and see it through to the final approval<sup>5</sup>. Some activities of DMF could be argued to be miscategorised or overlapping. (e.g. a study of the economics and coastal resources in the CT included under the heading of communication and information dissemination plan, the task of “developing knowledge management strategies” under Output 2 coexisting with that of “developing an information management system” under Output 3, or incorporation of knowledge management lessons included under Output 1, duplicating similar items under Output 2 and 3). The point is less to find flaws with the DMF (easy in retrospect) but rather to serve a reminder that Project implementation needs to arbitrate between the letter (or better still, the spirit) of the text and the details of the formal logical framework where the two are not well matched or where developments in the field make some departures from DMF inevitable. The RETA consultant team, “ADB-responsive” professionals that they are, aligned their implementation activities and reporting closely with the DMF and on numerous occasions –in view of what was said above -- struggled with finding the right way to respond. In the course of RETA 7307 both the Consultant Team and ADB had to accept departures from the details of the DMF<sup>6</sup>. In the end much was achieved under RETA 7307 but it was not *exactly* what the DMF had anticipated in spite of the tendency by the Consultant *and* ADB to force the presentation of RETA 7307’s results into the original detailed DMF straightjacket<sup>7</sup>. Do DMF ambiguities or lack of clarity matter? They do if they obscure or distort projects’ achievements. Under RETA 7307 the problem was never serious but it was not altogether absent.

The statement that RETA 7307 was a complex project to implement could easily be dismissed as trivial. Many technical assistance projects are complex and some, like RETA 7307, have the intricate subject of knowledge management at their core. What made the implementation of RETA 7307 particularly demanding was a combination of the difficult and wide-ranging content, the Project’s regional scale (with travel and coordination demands exceeding those of some other ADB regional initiatives, and the need to involve two separate ADB departments (SERD and PARD) –to say nothing of 6 different state bureaucracies-- in the implementation. A comparison with US CTI Support Program, a regional technical assistance project of a sort supported massively by a combination of experienced international NGOs, “integrators”, and contractors of different kinds, confirms the inherent complexity of projects and programs of this kind<sup>8</sup>.

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<sup>5</sup> Insufficient harmonization of the DMF with the Project text was noticed during an ADB internal pre-approval (“SRC”) review but the efforts to improve it did not go far enough.

<sup>6</sup> In the case of anticipated activities under Output 1, the delayed start of the Project made some activities (e.g. those relating to plans of action) harder to interpret and implement.

<sup>7</sup> In the absence of confidence that ADB would accept departures from DMF the Consultant compensated for lack of DMF clarity by “over-delivering” (to be on the safe side). The result is an unusually wide array of activities and explanations that are at times difficult to untangle. The problem was lessened (but not eliminated entirely) once RETA 7307’s focus was narrowed to three topics/areas. To ADB’s credit, some of the ambiguities of the DMF were recognized before long and the Consultant was encouraged to interpret the DMF obligations more flexibly. To the Consultant’s credit, it succeeded in eventually “untangling” the methodological challenge posed by the details of DMF.

<sup>8</sup> This does not necessarily make regional TA projects less desirable. Their normally higher unit cost is balanced by the extra regional (and global) benefits.

The characterization made of RETA 7307's complexity as weakness above should therefore be understood more as a "handicap". Regional projects will always be harder to implement than their single-administration twins. There are reasons to judge Component 3's results with the above background in mind.

### 3.1.2. Assumptions and Risks

The Assumptions and Risks for each component are given in the Project LF (Annex 4c) and additional ones are detailed for Component 3 in the ADB RETA document. In general the assumptions were all realistic and in most cases the risks have fortunately not been realised.

The overall project assumption of *"Development partners, including the private sector, will substantially increase external funding of coral reef management, along with increased funding from national governments."* This has been partially met as there has been increased funding through GEF, multilateral and bilateral funding for ocean related initiatives particularly in relationship to climate change, although the private sector involvement still lags behind governments. Similarly the risk *"among the many environmental and natural resource crises globally, marine and coastal ecosystems may remain relatively neglected"* has not been realized.

In **Component 1** the assumption that *"GEF Council will accept that the IW focal area should include governance of MABNJ and that measures of impacts could be formulated"* has proved true and there is now a major GEF programme around ABNJ with \$50 million in funding. The assumption *"The Ocean Leadership Training will be institutionalized under the sponsorship of the Global Forum and other main collaborators. Sustainability will rely on good feedback from inclusion of an M&E program"* was not valid as this activity was not implemented and was replaced with a new activity of Capacity Building towards RIO+20.

For **Component 2** the assumptions all appeared to be valid. The Risk *"Not all GEF IW projects are willing to engage in various types of portfolio learning activities or to expose any weaknesses in project implementation to external scrutiny"* did not bear out as evidenced by solid IWC5 participation from projects implemented by all GEF agencies and diverse participation in twinning exchanges. In terms of the risk *"Online/virtual services are inaccessible to some stakeholders for technical reasons"*, there was some very temporary dysfunction with the online platform.

By and large **Component 3** was based on correct assumptions, that of keen interest among CT6 stakeholders probably the most important. A critic might take exception to the assumption that *"CT6 governments and development partners will provide adequate resources for the implementation of POAs"* and describe it as naïve.

In hindsight, the Project could have foreseen a belated start to the TA and some of the resulting need to adjust Project activities. The characterization of risks under the impact segment of DMF (i.e. that economic and other development issues take precedence over environmental concerns) betrays a skewed understanding of what CTI tries to achieve and what "development" is. CTI is not a giant conservation project. It is an environmental++ project (to mimic ADB's recent usage). ADB is in the business of development (the sustainable variety) and so are UN *Development Program* and (only

somewhat less) GEF. Here, ADB's quality control slipped.

The assumption that staff won't be released for training is less important than the assumption that trained staff will stay with the Government. The second assumption that everyone will substantially increase funding, belongs to the same ("somewhat naïve") category of assumptions. A more appropriate assumption would be that Project design and implementation progress will convince DPs and the private sector to maintain or increase their funding. The last risk mentioned ("overwhelming national implementation capacity") is acceptable but it have been better worded "national governments will increase the internal coordination of CTI-relevant activities to be able to implement new CTI projects"

**For Component 4** the Risk of *The challenges of integrated management and a coordinated approach may overwhelm project participants and cause them to fall back into a reliance on disparate sectorial and national approaches*, has been somewhat prophetic as each Component has managed their own show with little coordination (see Section 3.1), although they have kept a regional or global focus so they have not "*fallen back into a reliance on disparate sectorial and national approaches*".

### **3.1.3. Lessons from other relevant projects incorporated into project design**

This design of IW: LEARN/CTI was based on a solid foundation. **Component 1** was part of a broader strategy of GOF to strengthen the ocean agenda to ensure continued development and evolution of global and national ocean-related policies. The Manado 2009 WOC was built on previous meetings in Singapore and Vietnam and developed recommendations and strategies that were carried through to the Paris GOC, 2010 and the Copenhagen Climate Change negotiations in 2010. Similarly the Paris GOC helped develop the strategy that went forward to Rio+20.

**Component 2** was essential a short term continuation of GEF funding to IW:LEARN after it had been successful established through a pilot and operational phase and showed the value of wider sharing of learning across the IW portfolio. During the implementation (2010) of this project IW:LEARN received GEF funding for a full third phase.

**Component 3** sought to link GEF funding for International Waters projects in SE Asia and the Pacific. The design of RETA 7303 was informed by, but did not replicate several projects the most relevant among them two UNDP/GEF regional projects (*Arafura-Timor Seas Ecosystem Action Program*, and *Sulu Celebes Sea Regional Fisheries Management Project*), World Bank/GEF COREMAP projects in Indonesia, as well ADB's own (GEF co-financed) project *Strengthening Sound Environmental Management in the Brunei Darussalam, Indonesia, Malaysia and Philippines East ASEAN Growth Area*. There were also features of the design borrowed from ADB's other regional projects, especially GMS, CAREC and BIMP-EAGA (e.g. structure of ministerial meetings, senior officials meetings, regional secretariat, etc. others).

The design of IW:LEARN/CTI is a testimony to the realization by GEF and ADB that a vast amount of information is generated by a significant number of initiatives pursuing



objectives similar to those of CTI but paradoxically, a good deal of this information is not making its way to the right places. The universe of relevant projects is large globally, regionally and at a country level.<sup>9</sup> Components 1 and (especially) 2 of IW/LEARN/CTI respond to the crying need to integrate available information and turn it into a learning tool. Without calling it that, RETA 7307 pursued a similar knowledge-integrating objective at regional and national levels. If, at times, RETA 7307 and ADB documentation speak of *insufficient* information in the Coral Triangle countries this is only in part a matter of generating *new* information (although it is that also, in particular in the economics domain). More often than not it describes inefficient use of available knowledge, especially of the scientific sort. Rather than mainly new facts, RETA 7307's stated aim was to develop and institutionalize the *mechanisms* of generating, disseminating and learning from facts. Here, all three parties to IW/LEARN/CTI have taken on board the lessons of numerous "knowledge" projects (conveniently summarized by ADB in <http://www.adb.org/site/knowledge-management/main>).

Beyond the approach to information and knowledge management, many other aspects of RETA 7307 embody lessons learnt or consensus on what constitutes good practices. This is true of the role assigned by the Project to monitoring and evaluation (a prominent place), stakeholder participation (active, wide-ranging, genuine), donor coordination and co-financing (formalized), information dissemination (open to the maximum degree), formats of meetings and workshops (inclusive, well prepared), or cost efficiency (important). This is no more than intended outcome of the internal review and approval of technical assistance projects by ADB one of the objectives of which is to ensure that the project in question does indeed incorporate relevant lessons<sup>10</sup> and good practices. At the risk of sounding glib there is nothing in the Project design that would suggest that relevant lessons had not been heeded or that anything other than good practices were to be followed<sup>11</sup>. If anything, ADB might have studied more closely the roles of project integrators as used by USAID when formulating the terms of reference of local knowledge integrators under RETA 7307. In retrospect, these were inadequate and necessitated adjustments later on<sup>12</sup>.

#### **3.1.4. Linkages between project and other interventions within the sector**

Similar to the above section that indicates the project has been built on a solid foundation

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<sup>9</sup> Annex 8 is an attempt to summarize that complex picture.

<sup>10</sup> Indeed, the comments on draft TA paper by the Independent Evaluation Department drew the design team's attention to lessons of other regional projects summarized in <http://www.adb.org/Documents/SES/REG/sst-reg-2007-02/sst-REG-2007-02.asp> ; <http://www.adb.org/Documents/SES/REG/SST-REG-2007/08/SST-REG-2007-08.asp> and <http://www.adb.org/Documents/PERs/IE-63.pdf>. Other sources such as [www.corareef.gov/index.html](http://www.corareef.gov/index.html) were also referenced. Several additional evaluations have become available recently, e.g. those of the Indonesian COREMAP project.

<sup>11</sup> The Project heeded lessons and in turn *generated* some (See 3.1.3) These need to be distinguished from Project *findings* Not all (positive) findings constitute lessons to be taken on board by (wise) others. For that to be the case the findings must be replicable.

<sup>12</sup> RETA 7307 was formulated ahead of the completion by USAID of key documents summarizing lessons of the US CTSP and US CTI, most closely related to the objectives of RETA 7307 (see Social Impact Inc. et al. 2013, Read et al. 2014, and Christie et al. 2014). Had these insights become available somewhat earlier RETA 7307 might have been more explicit, for instance, about the vertical allocation of responsibilities (regional vs. country-level activities) but otherwise it would have been re-assured by the reports' findings and recommendations.

of previous International Waters and other activities, this project links closely with numerous Ocean related projects and interventions. Perhaps the best example is the large amount of co-funding that has assisted in the various meetings participated in by GOF in Component 1, and the large input of mainly Australian funds to the IWC5 in Component 2. Component 1 is very closely linked to most of the global ocean policy activities through GOF who if not facilitating activities at the meetings are presenting and intervening. Component 2's main mandate is to assist information sharing and learning across GEF:IW and as such is connected to all GEF:IW projects and participants.

For component 3 the TA report mentions a large number of other existing or planned ADB projects with which RETA 7307 was to be aligned. They included (i) Regional Review of the Economics of Climate Change in Southeast Asia; (ii) Regional Connectivity in Infrastructure in Archipelagic Southeast Asia; (iii) Strengthening Coastal and Marine Resources Management in the CTI of the Pacific (phase I); (iv) Strengthening Coastal and Marine Resources Management in the CTI Southeast Asia; (v) Strengthening Sound Environmental Management in the Brunei Darussalam, Indonesia, Malaysia, and Philippines; (vi) the Sulu–Sulawesi Marine Ecoregion of the Coral Triangle; (vii) Coral Reef Rehabilitation and Management in Indonesia (phases I and II); and (viii) the Integrated Coastal Resources Management Project in the Philippines. The Project documentation does not reference non-ADB projects and interventions in the sector (but a summary was prepared for this evaluation see Annex 8).

### **3.1.5. Planned stakeholder participation**

**Components** one and two were design with a global focus addressing a very broad range of stakeholders, while Component 3 was more region and country focused.

**Component one** focused on the global ocean agenda and involved a vast array of participants representing all sectors of the global ocean community, these including heads of state, high level government officials, intergovernmental and multilateral agency staff, NGO representatives, academic researchers, museum and aquaria staff and industry representatives from developed and developing countries including SIDS. The response to the questionnaire for this component indicated that the multinational and multi-institutional nature of the meetings were a strength and lead to creative learning and greater alliances. In addition as a result of their participation some countries took the lead on follow up activities. Well over 3000 people from over 100 countries attended the meetings and other events that GOF organised as a result of this project. This component has produced a large volume of high quality reports, scientific publications and popular material, and has contributed significantly to a large number of international fora. This component has firmly built a wider constituency for global ocean conservation and sustainable development.

**Component two** focused more closely on the global GEF IW family. The IWC5 meeting in Cairns, Australia brought together about 300 participants from 73 countries and 66 GEF IW projects. The post conference evaluation with a 26% response rate showed that participants found the conference directly applicable to their work and the most important components were the face-to-face networking and experience sharing. Additional activities have continued the networking and project twinning and developed experience sharing documents all shared via a website and other social media tools, complete with tracking tools.

This component has strong connections to countries and governments as with all GEF projects, country-drivenness is the sine qua non for the proposed project, and all IW projects assisted by IW:LEARN have the country GEF focal point endorsement. GEF IW:LEARN aims at supporting and improving the management of GEF international waters projects and enhancing the projects' capacity to address national priorities and plans. The IWC's have a specific focus on the inclusion of government representatives, featuring on average, about 70 countries per conference. Additionally IW:LEARN functions to an extent as the international waters focal area "*Meeting of the Parties*". While IW as a focal area does not yet have an official governing global convention, the IWC is where for every full-sized project, at least two government representatives are invited one of which is at the level of Water Director or at a high ranking reasonably permanent person. Many of the principle global and regional NGO's play an active role in the implementation NGO involvement GEF IW projects and were welcomed and invited to participate in Component 2 activities.

Part of **Component three's** complexity is a matter of the large number and kinds of project stakeholders. Their participation was intended to be, and was, structured both vertically – from involvement in policy making fora (MM, SOMs) to the Regional Secretariat with its Working Groups and down to National Coordination Committees—as well as horizontally within each component (i.e. stakeholders taking part in the work of CTI working groups, or NCCs). Involvement of the scientific community and NGOs in these mechanisms was a stated goal of the Project. Unlike the more field-oriented programs (such as US CTSP) local stakeholders at the national level (the fishermen, local government officials) were involved less but did collaborate in several project activities (i.e. work on coral reef valuation or socio-economic profiling of subsistence fisheries). On the consultant side, the Project was implemented by a multinational team, most of whom are nationals of the CTI countries, strong at identifying and involving a range of local resource persons.

#### **3.1.6. Replication approach**

The project itself is probably not a good model for replication given the difficulty encountered in coordination of the three components; however, each component by itself has already shown strong elements of replication.

**Component one** has continued the ocean policy awareness and capacity building through GOF activities (e.g. follow up to Rio+20—*Proposal for Sustainable Development Goal on Oceans and Seas* presented to 8<sup>th</sup> session of the Open Working group on Sustainable Development Goals, and GOF now coordinate the new GEF:IW Project *Strengthening Global Capacity to Effectively Manage ABNJ* . Additionally the involvement in meetings and capacity building by the various ocean stakeholders has resulted in their application of policies and best practices in their countries or organisation. This is reinforced by the fact that many of the key stakeholders have participated in a number of the meetings thus allowing them to be part of the evolving strategies for ocean conservation and sustainable development.

**Component two** has received two more GEF:IW projects. *MENARID IW: LEARN* was implemented before this current project was completed and in fact funded some of the activities planned for this phase. A new project GEF *International Waters Learning Exchange and Resources Network IW LEARN4* has recently been approved by the GEF Council. In addition the major push in this component is stakeholder learning and

replication and as such they have increased the replication of successful approaches and the integration of improved practices in the design and implementation of recent GEF projects. The IWC5 brought together about 300 participants from various GEF projects to share and apply successful approaches; this was borne out in the meeting evaluation report.

**Component three:** Elements of replication of some of USAID's CT Support Program's activities found in the design of RETA 7307 (such as support to the Regional Secretariat, approach to dissemination) were unintended and if anything, reflected a less-than-full familiarity of ADB staff with the details of the USAID-funded program.

### **3.1.7. UNDP and ADB comparative advantage**

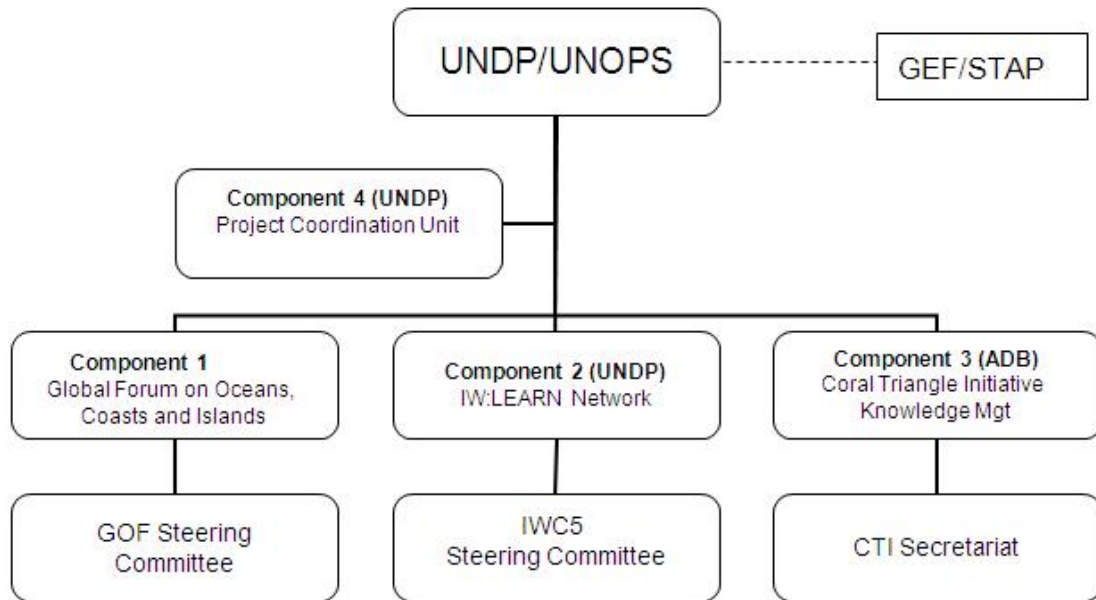
On the face of it would have been difficult to find two institutions better suited for implementing the IW:LEARN/CTI Project than UNDP and ADB. Given UNDP's early involvement and continuing support to IW:LEARN, as well as UNDP's close involvement with GOF and funding for a number of related GEF IW's projects associated with the CTI UNDP was a logical candidate to implement Components 1 and 2 of IW:LEARN/CTI

In terms of **Component three** ADB's comparative advantage lay less in its technical expertise (at the time of RETA 7307's formulation, ADB did not have and doesn't have to this day, a single fisheries specialist although it does have a number of excellent environmental and natural resource management specialists) and more on the side of regional project implementation and management, mobilization of financial resources and a results-oriented culture. The fit became even better once RETA 7307 was re-directed from an across-the-board involvement in CTI towards a more finance- and economics oriented content.

### **3.1.8. Management arrangements**

UNOPS, through its Global and Inter- Regional Division was the executing agency, and UNDP the implementing agency. The project was coordinated by a Project Coordination Unit (PCU) (Component 4) established with the UNDP Asia-Pacific Regional Centre, Bangkok, Thailand to manage and coordinate the three other components. The PCU included a part-time Team Leader/Programme Manager/ Marine Resource Management Specialist (15%) and a part time (15%) Project Implementation Coordinator supervised by the RTA for International Waters. The team was responsible for oversight, monitoring and facilitation of implementation of the project and for application of all UNDP administrative and financial procedures, as well as the use of UNDP/GEF funds. Figure 1 shows the project organisational structure.

**Figure 1: Project Organogram**



**Component 1** *Advancing the Global Agenda on Oceans, Coasts and Small Island Developing States* was implemented by the Global Ocean Forum, through its Secretariat, the International Coastal and Ocean Organization via a contract direct to UNOPS.

**Component 2** GEF International Waters Portfolio Learning was implemented by UNDP through the IW LEARN Network with assistance from the IWC5 steering committee.

**Component 3** Regional Cooperation on Knowledge Management, Policy, and Institutional Support to the Coral Triangle Initiative (“Coral Triangle Initiative KM” for short) was developed via RETA 7307 implemented by ADB’s Southeast Asia Department supported by CTI Regional Technical Assistance Task Force.

In practice the PMU coordinated independently with each Component and as indicated in Section 3.1.1 there was no mechanism or tools in the project design for coordination across the three components and the budget for Component 4 was not used for coordination.

For **Component three** the following is a description of the coordination approach:

*“Southeast Asia Department will serve as the Executing Agency for the TA and will work closely with the ADB CTI task force in the management of the TA. The lead environment agencies in each CT6 country will serve as the counterpart implementing agencies. To ensure whole-of-government engagement and coordination, the CTI NCCs in each CT6 will also be utilized. At a regional level, ADB will consult and coordinate with the CTI regional secretariat. Any specific activity funded by this TA will start in a particular member country only after ADB has received a no-objection letter from that country’s government.*

..... The project will take a proactive approach to coordination, collaboration and information sharing with: (i) CTI projects and activities supported by other development partners and the GEF; (ii) related projects and activities under the GEF International Waters Focal Area and the IW:LEARN portfolio; and (iii) related regional and global initiatives and programs such as Coordinating Body on the Seas of East Asia, Partnerships in Environmental Management for the Seas of East Asia, and the Global Forum on Oceans, Coasts, and Islands.

.....ADB will coordinate with UNDP, the United Nations Office for Project Services (UNOPS), and the UNDP Project Coordination Unit regarding the implementation of the project and linkages between components 1 and 4 (of the IW:LEARN/CTI project) . Roles and responsibilities for reporting to the GEF secretariat regarding project progress, financial disbursement, and monitoring and evaluation will be established through a memorandum of understanding and/or coordination agreement between ADB and UNDP at project commencement.

The only small departures from, or additions to, the original design were (i) involvement of agencies other than the apex *environmental* bodies to act as lead (focal) national implementers (MMAF in Indonesia, MOSTI in Malaysia, MAF in Timor Leste); and (ii) designation of the ADB CTI Task Force [composed of representatives of two concerned project departments (SERD and PARD) and ADB's "environmental guardian", i.e. RSDD].

The TA paper provided a total of 30 person-months of international and 82 person-months of national consulting services and prepared corresponding terms of reference. Recruitment of the consultants was split into four separate packages, i.e. (a) a consulting firm (3 international and 3 domestic consultants), (b) a volume contract (36pms) to a NGO/NGOs; (c) an individually recruited international consultant (regional fisheries and aquaculture economist); and (d) a volume contract for other national consultants (10pms).

## **3.2. Project Implementation**

### **3.2.1. Adaptive management (changes to the project design and project outputs during implementation)**

The project has been very effective in adapting to changing circumstances and changes were made in all components with some of these indicated in the LF (Annex 4).

In **Component one** the project started after the WOC Manado had occurred. Output 1.2 (implementing multistakeholder dialogues at WOC) was implemented at the meeting using GOF funds and they were then reimbursed once this project started. Output 1.4 (Global leadership training) was not implemented but was replaced with leadership capacity building to forward the ocean and coastal agenda at Rio+20. Also for Output 1.5 (public education and outreach) Nausicaa and the World Ocean Network advanced the funding to start in May 2009 prior to project commencement and implemented a public education and outreach program on climate change and oceans.

In **Component two** several outputs were adapted Sub-output 2.1.1 (GEF IW collaborative IW:LEARN/GOF leadership learning program linked to IWC5) was not

implemented as it was to be linked to activity/output 1.1.4. There was lack of agreement on the audience for this component and as indicated above the GOF component was changed to capacity building for Rio+20. IW:LEARN/CT collaborated with the UNDP-GEF (IW) Legal and Institutional Frameworks project on the development of decision-support tools and training courses for GEF IW projects and used a Stockholm meeting to test and evaluate the tools. Additionally there were challenges in implementing Output 2.3 (monitoring and evaluation<sup>13</sup>). Under this Output, IW:LEARN was to accomplish two things. First, IW:LEARN was to facilitate participation of GEF IW projects in broader International Waters for a, both ocean and freshwater. There were issues around funding for this activity although several GEF IW projects were represented, at these meetings. MENARID IW:LEARN 3 initiated in 2010 has subsumed this activity. The second output was to generate and support the implementation of tracking tool for monitoring GEF IW contributions to the achievement of MDGs. This was beyond the capacity and mandate of IW:LEARN and GEF was to assist in developing tools for this (they were not developed), as a result this activity has not been implemented. It should be noted that this activity could only be implemented if GEF and all GEF agencies require this reporting of all projects.

In **Component three** during the 2010 Project regional Inception Workshop some of the unintended overlaps of RETA 7307 with the activities of other CTI partners (in particular the US CTSP) came to be better understood. Combined with the participants' perception of ADB's comparative advantage in the "finance++" domain the meeting recommended a narrower and sharper focus for RETA 7307, namely the technical areas of (a) sustainable financing, (b) PES (as representative of innovative financing mechanisms), economics of fisheries and aquaculture, and economics of climate change and (c) State of Coral Triangle Reports (SCTRs).

ADB accepted these suggestions considering them to represent a minor change of scope as they did not, at least on the face of it, necessitate changes of the DMF. Knowledge management/communications and policy/institutional support remained the overarching themes, henceforth applied to the three technical areas mentioned above (the difficulties of selectively applying an overarching theme are mentioned immediately below).

The sharper focus given to the Project was a positive development and ADB acted wisely in embracing it. It reduced the overlap with US CTSP activities adding to the overall efficiency of the CTI and provided for a better fit of the Project with ADB's comparative advantage and the Bank's ability to oversee and steer the implementation. And in a project struggling with how best to operationalize the complex menu of DMF-mandated knowledge management responsibilities it supplied more tangible objectives, especially for Output 4 (see DMF in Annex 8). It did not dispense with the lack of implementation clarity (caused in part by the "confused" DMF) completely since the task of developing regional learning mechanisms and implementing communication and dissemination plan (expected Outputs 2 and 3) could not be reasonably split by technical areas ("one learning mechanism for economics, another for something else").

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<sup>13</sup> This activity was really misnamed in the Prodoc as it was not concerned with M&E.

Adjustments were necessary also on the consultant side, the details of which are described in RETA 7303 full evaluation report

For **Component four** there were significant changes in project design as it never functioned as a coordination unit over all the components but instead coordinated individually with each component, and the budget was not used for coordination or for funding the Midterm and Terminal Evaluations. While as indicated in 3.1.1 the activities for this component were not clearly spelled out it does appear that one Outcome *Effective linkage of global, regional, and national level coastal and marine EBM* has been subsumed by the ADB/RET project and funding, yet is still reported under Component 4 in the PIR/APR. The other output of *efficient transparent and effective based management of all project components* has been carried out with each of the three components. As a result in the follow discussion of achievement of results Component 4 will not be discussed.

### **3.2.2. Feedback from M&E activities used for adaptive management**

The MTE indicate that the project was very successful at the use of the LFA as a management tool. The report states:

*“The project actively uses the logical framework as a management tool for all four components (Global Ocean Forum, IW:LEARN, CTI, Project Management). Component management teams are very aware of the logical framework, apply it regularly to guide and monitor implementation, and provide consistent updates. The project management team applies the APR/PIR to regularly track framework progress. Over the course of implementation, adaptive management changes (noted below) have been made. Some of these changes are not yet reflected in the logical framework.*

The terminal evaluators concur with these observations. We also note that the PMU has made good use of the PIR/APR in tracking progress and changes in the project, albeit subject to the weaknesses identified in the LFA in 3.1.1.

The primary changes to project implementation and management occurred as a result of the Midterm Evaluation. These changes are summarised in Table 2.



**Table 2: Midterm Evaluation Recommendations and Management Response on Issues related to project management**

Recommendations	Management Response	Key Action(s)	Accomplishments
<p><b>Issue 1:</b> Complete a full assessment of the project budget &amp; allocations by activity prior to project close</p>	<p>Project Coordination unit (PCU) will work with UNOPS in order to address this recommendation</p>	<p>PCU and UNOPS to coordinate closely to complete the project budget assessment and make it available upon final evaluation start</p>	<p>Budget supplied to review team near end of final evaluation but not documented by activity</p>
<p><b>Issue 2:</b> Compile a summary of best and most urgent governance and management approaches</p>	<p>GOF &amp; IW LEARN can work together in preparing a summary of best &amp; most urgent governance and management approaches</p>	<p>GOF can put together a list of governance and management approaches identified during GOC5 and other multi-stakeholder events and meetings organized within the framework of this project.</p>	<p>Summary available : <i>How Well Are We Doing in Meeting the Commitments from the 1992 Earth Summit and the 2002 World Summit on Sustainable Development?</i>: <a href="http://www.globaloceans.org/sites/udel.edu/globaloceans/files/Rio20SummaryReport.pdf">http://www.globaloceans.org/sites/udel.edu/globaloceans/files/Rio20SummaryReport.pdf</a></p>
<p><b>Issue 7:</b> Provide an extension for Component 3</p>	<p>ADB agree with the recommendation</p>	<p>ADB has approved extension of the project to April 2013. Another extension to June/July 2013 is being processed to accommodate request from countries to finalize their respective country State of the CT Report and the regional State of the CT Report.</p>	<p>Component extended to December 2014</p>
<p><b>Issue 8:</b> The permanent Regional CTI Secretariat needs to be installed &amp; be more closely engaged in ensuring the sustainability of the project's successful activities.</p>		<p>Through RETA 7307 &amp; 7813 (Coastal and Marine Resources Management in the Coral Triangle Southeast Asia), ADB is working closely with the CTI Financial Resources Working Group (FRWG) in advancing the roadmap of the FRWG to ensure the sustainability of the CTI program through the development of a financial resources architecture and strategy for the CTI. A high-level' assessment report to estimate the economic and political consequences of the ongoing decline in the marine and coastal resources in the Coral Triangle and identify solutions/provide recommendations to reverse the current trend was approved during the 8th Meeting of the CTI Council of Senior Officials in November 2012. The terms of reference for the study have been prepared by the FRWG &amp; ADB, &amp; will be finalized &amp; approved by the FRWG during its meeting on 21 March 2013.</p>	<p>IRETA 7307 provided a number of separate but temporary inputs into the functioning of the Interim Regional Secretariat (e.g. secondment of the KM specialist, or co-hosting of several regional workshops to, inter alia, lay the groundwork for making the Regional Secretariat a permanent one) RETA 730&amp; supported the preparation of the Regional State of the Coral Triangle report that serves as strong (region-)unifying function. Some activities essential for cementing the role of the Regional Secretariat (e.g. study</p>

Recommendations	Management Response	Key Action(s)	Accomplishments
		Implementation of the study is expected to commence shortly. ADB has committed to support a package of assistance that includes a Business Development Unit to assist the CTI Secretariat by tapping resources for regional implementation activities, including possibly those endorsed by the secretariat.	of CTI financial architecture, BDU), begun under RETA 7303 are continued under other ADB technical assistance projects (RETA 7813)
		ADB fielded 2 positions (Coastal & Marine Resources Management [CMRM] Policy Specialist & Knowledge Management [KM] Specialist) to strengthen the CTI Secretariat. The CMRM Policy Specialist has been mobilized and assigned to the IRS since August 2012 while the KM Specialist has been on loan to the Indonesia National Coordination Committee (NCC). The two specialists are allocated 24 pmm each. A new KM position will be provided to Indonesia NCC so that the KM position that is on loan can be vacated & filled-up by a person to be assigned to the IRS.	Temporary secondment of RETA 7307 staff was provided to IRS while broader discussions continued between CT6 governments and DPs about the the budget and functioning of (future) Permanent Regional Secretariat.
Issue 9: Successful & promising activities in sharing & exchange of CMR management practices should be sustained.	Recommendation 9: noted & actions have been undertaken	As RETA 7307 winds down, a downloading workshop was conducted 8 March in Manila & was directed towards the consulting team of RETA 7813. This is to ensure that the knowledge and knowledge products generated by RETA 7307 are used & applied by RETA 7813 in the technical areas of climate change, marine protected management, & sustainable financing. The other insights gained by RETA 7307 in terms of support to the existing working groups of the CTI and the preparation of the State of the Coral Triangle Report shall also be shared with the RETA 7813 team. Highlights of the workshop focused on project learnings, processes, & outputs; issues & how the RETA dealt with these; and how to sustain interest within country. The first downloading workshop was successfully conducted 8 March in Manila. Downloading activities in Indonesia and Malaysia will be more of a Training of Trainers & are tentatively scheduled on 8-12 April 2013 for Indonesia & the last week of April 2013 for Malaysia.	The activities described in MTE report took place and RETA 7813 has been building on the experience of RETA 7307.
		9.2 Training on decision support tools that were developed & utilized under the RETA 7307 will be conducted for the Philippines and Timor Leste in April 2013.	Activity took place.
Issue 10: Focus final evaluation efforts on		10.1 Both consultant team and ADB will prepare comprehensive project completion reports; if project is not extended beyond April 30, 2013, the PCR shall be submitted on May 15. If otherwise, project	Comprehensive report received from Component 1 .

Recommendations	Management Response	Key Action(s)	Accomplishments
Component 3		completion report will be submitted at the end of project.	Comprehensive TA Completion Report was prepared by the Principal RETA consultant and submitted to ADB in October 2013.
		10.2 The final evaluation is under process which UNDP and ADB agree to do a rapid assessment on component 1, 2 and 4 and do full evaluation on component 3	Final evaluation underway April-June Full evaluation of Component 3 (RETA 7307) now completed and its main elements are incorporated into this document

### 3.2.3. Partnership arrangements (with relevant stakeholders involved in the country/region)

The project is based on the premise of building, creating and strengthening partnerships.

**Component one** in the various meetings and capacity building efforts have worked with most of the ocean related major players and organisations. In the process they have assisted in building alliances and partnerships this was particularly evident in the capacity building and Ocean Days at Rio+20. In some cases some of the follow up activities where lead by countries (e.g. Indonesia and Korea) additionally most of the activities of this component have a considerable amount of co-funding from numerous organisations and donors.

**Component two** IW:LEARN has a mandate to work with all GEF:IW projects. In the organisation and running of the IWC5 they established strong partnerships with the Australian government and Australian Institutions that lead to increased commitments from Australia to the CTI.

**Component three** benefited from, and contributed to, a systematic, genuine and productive partnership among CTI development partners. This partnership was formal in some cases (e.g. the agreement between Australian Government's co-financing of RETA 7307 and subsequent inputs into it<sup>14</sup>) but more often than not, informal. This was most evident in the organization and running of regional and national workshops where partners often collaborated (cost-shared, co-hosted) substantively and smoothly. In a very small number of cases where disagreements arose (e.g. in deciding the best way of supporting the Regional Secretariat with a web-based information system) these were resolved to the parties' satisfaction. Informal partnerships were reinforced during key international meeting such as the ICRS in Cairns (2012) and World Coral Reef Summit in Manado in 2014 routinely attended by all key CTI-associated agencies.

Regular consultations, involving the CTI Interim Regional Secretariat, NCC staff and representatives of development partners, are held (via remote conferencing) every month or so. As a result of the large number of projects implemented in CT6 countries even prior to CTI, formal let alone informal networking among scientists and other interested professionals in numerous institutions located in three distinct global regions (North America, Europe, and Asia) continues and there is improved understanding of "who does what and how" in the CT area. If anything the combination of advances in information technology and activities of projects such as RETA 7307 has given additional impetus to this important source of knowledge and support. Indeed the diversity of active stakeholders and emergence of informal partnerships (on the edges of formal structures) are among the most positive aspects of CTI to which RETA 7307 undoubtedly contributed.

As previously indicated, the project was not designed with strong intra-project

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<sup>14</sup> AUS\$55,000 contribution by Australia's Department of Sustainability, Environment, Water, Population and Communities channelled to the Project through WorldFish Center: in support of coral valuation study in the Solomon islands, and AUS\$17,000 from the same source similarly coursed to support the costing the CTI national plans of action in Timor Leste, Solomon Islands, and Papua New Guinea.

coordination. There has, however, been an evolving collegial collaboration. GOF because of attendance at IWC5 and subsequent IW meetings has become more closely involved with IW:LEARN and GEF especially the LME projects. IW:LEARN assisted the CTI KM project to build the CTI website, produce knowledge products, and involve CTI participants in twinning exchanges.

### 3.2.4. Project Finance: Components 1,2 & 4

The total GEF budget was US\$1,500,000 for these three components. AusAid contributed an additional US\$ 73,357 towards IWC5 activities in Component 2 that was managed by UNOPS as part of the project. A summary of the project budget and expenditures for these components is given in Table 3. This summary suggests that while total project disbursements are within the project total budget, components 1 & 2 significantly overspent the Prodoc budget, while Component 4 had negative spending. In the case of Component 1 (Table 4) GOF received \$840,000, there was overhead to UNOPS (\$67,000) but there appears to be an additional \$132,000 that was not transferred to GOF but is showing as this components spending. In addition the component leaders were not aware of the additional spending. Additional information supplied by the UNDP PMU (Annex 5) indicates that an additional \$5,800 was charged for the MTE consultant but the other differences in Component 1 were not expense incurred by Component 1 but were internal mistakes in coding and should have been coded to Component 2.

**Table 3: Project Budgets and expenditures for all Components (as of June, 2014)**

Outcome	Year 1	Year 2	Year 3	Year 4	Extended	Extended	Total
<b>Outcome 1: Advancing the Global Agenda on Oceans, Coasts and Small Island Developing States</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	
Total Project PRODOC Budget	244,200	495,750	20,350	139,700	-	-	900,000
Annual Work Plan (as in Atlas)	244,200	521,906	222,117	103,362	49,388	8,221	1,149,194
UNOPS/ICO Contract	483,506	224,493	16,000	116,000	-	-	839,999
UNOPS/ICO Contract Disbursed (to date)	135,000	360,813	253,969	50,000	40,000	0	839,782
Disbursed (to date)	212,530	552,712	156,892	63,542	44,384	1,974	1,032,034
Remaining GEF Funds	31,670	(30,806)	65,225	39,820	5,004	6,247	
<b>Outcome 2: GEF International Waters Portfolio Learning</b>							
Total Project PRODOC Budget	328,575	71,425	0	0	0	0	400,000
AusAid (ProDoc)	73,357	0	0	0	0	0	73,357
Annual Work Plan (as in Atlas)	403,932	99,254	53,500	7,062	6,442	6,379	576,569
Disbursed (to date)	407,500	67,436	75,306	7,315	94	636	469,691
AusAid (Disbursed)	47,527	(47,446)	0	0	0	0	80,632 <sup>15</sup>

<sup>15</sup> Increased amount due to exchange rate gain.

Remaining GEF Funds	(51,095)	79,264	-21,806	-253	6,348	5,743	
<b>Outcome 3: Coral Triangle Initiative KM (Outcome Budget ADB) Disbursed<sup>16</sup></b>							<b>As of 30 June 2014</b>
ADB (Regional Cooperation and Integration Fund), budget \$500,000							<b>304,140</b>
GEF budget \$1,200,000							<b>1,172,878</b>
Australian Government Budget \$168,000							<b>159,998</b>
Total budget \$1,868,000							<b>1,637,016</b>
<b>Outcome 4: Project Management</b>							
Total Project PRODOC Budget	74,750	75,250	44,500	5,500	0	0	200,000
Annual Work Plan (as in Atlas)	74,750	75,249	43,710	9,630	14,170	11,506	229,015
Disbursed (to date)	0	4,238	(39,791)	4,518	0	0	(31,035)
Remaining GEF Funds	74,750	71,011	83,501	5,112	14,170	11,506	
<b>Grand Totals</b>							
Total Project PRODOC Budget	720,882	642,425	64,850	145,200	0	0	1,573,357
Annual Work Plan (as in Atlas)	728,157	698,357	324,596	120,054	70,000	26,106	1,954,778
Disbursed	667,557	576,940	192,407	75,375	44,478	2,610	1,559,367
Remaining GEF Funds	57,273	124,737	132,188	44,679	25,522	23,496	13,990

**Table 4:** Budget discrepancies in Component 1

	Project Budget Prodocol	UNOPS Contract with GOF	Disbursed to GOF	UNOPS overhead	Total Disbursed	Difference
US\$	900,000	839,999	839,782	67,000	1,032,034	-125,252
%				7.5%		-13.7%

There is a similar situation in Component 2 where there appears to be 77,000 in additional disbursement. Information from the PMU (Annex 5) indicates that there was additional spending for a three month contract extension of the IW-Learn project manager, additional activities and costs of a number of activities were above estimated budgets. The cost overruns were covered by transfer of funds from Component 4 (see below) and the additional budget wrongly coded to Component 1 (above). However, the current expenditures as listed in Table 3 gives a distorted picture of actual Component spending. The reality is that Component 1 spent in line with the budget while Component 2 had about a 50% (\$196,000) increase in budget. The review recommends that should be corrected in the final project budget and expenditure report.

**Component 4** was designed to be responsible for project management with a budget of \$200,000. The breakdown of anticipated expenses is given in Table 5.

**Table 5:** Anticipated spending in Component 4

<sup>16</sup> Annual disbursements were not available

GEF Outcome/Atlas Activity	Responsible Party/Implementing Agent	ATLAS Budget Description	Total (USD)	Budget Notes
<b>Outcome 4: Project Management</b>	UNOPS	ALD Employee Cost	\$130,000	Project Implementation Specialist (130 weeks *1,000)
		ALD Employee Cost	\$44,000	Part time Team Leader (16 weeks*2,750)
		Travel	\$10,000	3 trips Bangkok-Manila for M&E and reporting
		Communications	\$6,000	Support to communication related to project coordination and management for 2.5 years
		Supplies	\$10,000	Bangkok workspace rent for 2.5 years

There has been substantial savings in this component particularly in the two coordination positions. Project management was accomplished by the PCU at UNDP Bangkok with two part time staff (15% of time) on this GEF project. The Project Implementation Coordinator was charged 25% to Component 4 from October 2010 to December 2011, and subsequently her salary has been covered by UNDP APRC and is considered an in-kind contribution. The Project Coordinator's salary is covered by the GEF implementation agency fee and is managed by UNDP GEF, New York. Additional cost of \$16,000 for travel of the part-time project manager and project coordinator to join the IWC5 and the ADB Inception Workshop, were charged to Component 4, as was \$5,800 for the MTE. The savings in Component 4 have been reallocated to cover the overspending noted above. However, the reviewer still has questions on how a negative spending can occur and where those additional funds were transferred from.

#### **Other Budget issues Component 1, 2 & 3**

**Monitoring and evaluation:** The Prodoc gives a detailed table of M&E activities and a budget of \$170,000 for M&E (Annex 5). It is not clear how M&E was subsequently budgeted for as project M&E is not included in any of the Component budgets. In addition the MTE and TE expenses were distributed across the three components but the leaders of Components 1 & 2 were not aware of their contributions. The review suggests that if M&E had been budgeted for within Component 4 it would have been administratively easier and more transparent.

**Overheads:** UNOPS charges an overhead on the funds that they manage of 7.5%. There was a suggestion that overheads rates had recently risen and is becoming an issue for other GEF IW projects, however, the Component leaders in this project did not raise this as an issue.

**Activities:** As mentioned in Section 3.1.1 activities are not clearly linked to the LFA. Similarly the budget notes do not budget by activity and nor does the UNDP Atlas system appear to allow tracking by activity. As such it is difficult to determine the cost effectiveness of individual activities.

#### **Financial Component three:**

The total disbursements for Component 3 are given in Table 3 with further details in Annex 5. By 30 June 2014, all Project field activities had been completed and 87.6 per cent of the total Project budget of \$1,868,000 had been disbursed. All the remaining

funds had been set aside for printing and distributing (by the Project formal closing date of 31 December 2014) of additional knowledge products and liquidating outstanding financial claims. The use of the in-kind contribution by CTI governments (estimated at Project outset to amount to a total of \$600,000) is accounted for separately by each CT6 government concerned.

**Co-financing:**

The total GEF investment in Components 1, 2 & 4 is US\$ 1,500,000. Co-financing of approximately US\$ 2,743,000 was obtained (Annex 5). This has far surpassed the co-financing planned during project design of US\$ 1,934,000.

For **Component One**, GOF obtained co-financing equalling US\$ 1,060,884 and levered \$838,217 in additional resources for a total of 1,899,101 an impressive amount that is double the GEF funds of \$900,000 allocated to this component. This was contributions in-kind and cash from 34 organizations (governments, NGOs, international organizations, and foundations).

For **Component Two**, AusAid provided US\$ 80,000 in cash co-financing for IWC5 and, numerous donors including UNESCO, governments, NGOs and private organizations provided additional funding for IWC5. There has also been additional contributions from a variety of sources for learning programs, and UNEP financing for several IW:LEARN project related knowledge management activities.

For **Component Three**, ADB's Regional Integration and Cooperation Fund's contribution of \$500,000 supplemented the GEF grant of \$1,200,000. For Component Three, ADB support for CTI represents US\$ 1,267,000 in co-financing. By responding to Australia's interest in additional activities in the Pacific CTI countries, the project team secured an additional US\$ 168,000 to fund research on the economics of fisheries and aquaculture in Solomon Islands, Papua New Guinea, and East Timor. The project captured an additional US\$72,000 from Australian Government channelled to WorldFish Center- SI to undertake economic valuation of coral resources in the Solomon Islands and help complete national plans of action in Timor Leste, PNG and Solomon Islands

**3.2.5. Monitoring and evaluation: design at entry and implementation (\*)**

**Rating: Whole Project=5, Component 1 & 2 =5, Component 3=4**

The UNDP Prodoc has a detailed description of the approach to monitoring to be followed by the project (Annex 5). The changes to the approach are documented in Annex 5 but the approach appears to have been more or less followed.

The project has two levels of monitoring and evaluation:

- one at the UNDP/GEF management level that consists mainly of the Project Implementation Review (PIR) and the Annual Project Review (APR);
- the second at the level of each component.

The TE Evaluation team concurs with the conclusions of the MTE

*"The project has an adequate M&E system. The project follows standard GEF and UNDP monitoring modalities. The project management team actively oversees*



*implementation. This includes regular PIR/APR processes.*

*-- The implementation teams regularly track and report their activities. The IW: LEARN website is able to monitor users and downloads. Participants from nearly all project-learning forums such as international conferences and information exchange programs are polled to monitor activity impact and learn how to improve future activities."*

A mid-term evaluation (MTE) was conducted in a timely manner, albeit delayed due to the challenges associated with a multi-faceted, global initiative. Table 2 Section 3.2.2 describes the changes made to the project as a result of the MTE. At the time of the MTE many of the activities of Component 1 and 2 had already completed while Component 3 due to the delayed start was less than halfway through their activities.

In **Component 3** monitoring and evaluation makes its way into the Project through the details of the DMF and terms of reference of the Consultant Team Leader who is tasked to review existing M&E programs in CT6 countries and conduct a workshop that would consider, among others, the question of how to enhance M&E systems. The DMF assigns a role to CTI's M&E Working Group.

More than anything else, M&E systems require establishment of a baseline. There is considerable ambiguity surrounding the concept of baseline as used in Project documentation. What the project was expected to achieve in the M&E domain was to develop and institutionalize a system of monitoring and evaluation that would make it possible to gauge the impact of CTI and other activities on the state of CT marine and coastal resources (rather than *mainly* monitor the financial commitments to implementing existing plans of action, interesting but secondary activity whatever DMF architects might think). The Project soon established –a finding that trickles into various Project documents rather than being based on a formal comprehensive study- that there are data of very different quality in CT6 countries. In some cases, they make it possible to monitor the state of selective components of the country's (or selected sub-area's) ecosystems or certain aspects of ocean-related economic performance. What none of the CT6 countries had at the Project outset was a *system* of regular evaluations of a wide-enough range of variables that would generate solid understanding of underlying trends. The same was even more true of the region as a whole that not only lacked such a mechanism but faced a number of problems of comparability. At entry, the Project could mobilize piecemeal data from individual countries, something far short of a monitoring and evaluation system. UNDP/GEF MTE put the same diplomatically:

*"The project (RETA 7307) would have benefitted from indicators that provide more measurement of impact, particularly in terms of achieving the project objective and outcomes related to improving the governance and management of ocean and coastal areas. The effectiveness of the project would likely have been enhanced had it, from the beginning, identified even broad policy and governance objectives and designed indicators to measure project success at reaching the intended objective and related outcomes" (UNDP/GEF 2012*

The Project and the CTI Partnership responded along two interlinked tracks. A M&E Working Group was established (with major support also by US CTSP) to deliberate on, and develop an approach to M&E to be applied region-wide, supported by agreed-on indicators of performance (see CTI 2012 and 2014) . Simultaneously, work on the State

of Coral Triangle reports was launched, based on a common structure designed to generate answers on how the region and its member countries are doing, especially in relation to the objectives of their plans of action. Completion of the RSCTR and SCTR was a major step toward establishing a monitoring and evaluation baseline and do it on a regional scale. In spite of some flaws in the reports this is a major achievement. It is this and the quality of the work of the MEWG that makes it possible to lift the rating from unsatisfactory (at entry level) to moderately successful.

### **3.2.6. Overall quality of M&E**

**Rating: Whole Project=5, Component 1 & 2 =5, Component 3=4**

The major shortcomings in the overall M&E appears to be a lack of transparency in budgeting for Components 1&2. The issues for Component 3 are described above.

### **3.2.7. UNDP, ADB and Implementing Partner implementation / execution (\*) coordination, and operational issues**

**Rating: UNDP= 5, Component 1 =6, Component 2=5, Component 3=4**

**UNDP implementation:** UNDP established a PCU in the UNDP Asia-Pacific Regional Centre (ACPRC) in Bangkok that managed the three components. Centre (ACPRC) in Bangkok that managed the three components. The PCU comprised two part time staff (both 15% of time), a Team Leader/Programme Manager/Marine Resource Management Specialist and the Project Implementation Coordinator. While they were only part time on this project, had other demanding duties including managing a portfolio of much larger projects, all sources (MTE Report and Component Leaders) indicated that management went smoothly and there was adequate support to the Implementing Partners. In general there was a positive attitude to the UNDP PCU that was appreciated

**Component 1 Implementation:** The implementing agency, GOF, was excellent in implementation. They routinely managed for results, reported on activities, carried out effective adaptive management, organised an impress number of global activities, and produced an impressive list of publications including reports, media articles, scientific papers, and public awareness material.

**Component 2 Implementation:** This component was coordinated by *the IW:LEARN GEF International Waters Learning Exchange and Resource Network*. As they are a GEF project they are completely aware and utilize the GEF results management system and produced timely reports. There were some difficulties (see 3.5.3) with one output on monitoring and evaluation this was more a fault of the project design and budgeting than of their implementation. They also carried out adaptive management when another output that was to be linked to Component 1 could not be implemented (see Section3.2.1).

**Component 3 Implementation:** ADB was a demanding and energetic agent of Project implementation. Those involved in managing the Project were committed to its success. ADB quickly understood the need for, and advantages, of giving the Project a narrower focus and supported the new path unreservedly. ADB could have injected, early on,

more clarity into implementation arrangements and the structure of different targets, activities and milestones, especially those linked to formulation of knowledge strategies where much drifting occurred. As it was, certain revisions were made informally without disturbing the formal DMF framework. This was done transparently and in good faith. ADB may not always had time to provide detailed critique of some of the technical materials generated by the Project relying instead on outside peer reviewers who were not in all cases well matched to the task. Given the finance- and economics-orientation of the re-focused Project, the paucity of comment and inputs by outside economists and finance specialists is striking but perhaps not altogether surprising as for many, CTI was not mainly “about economics”.

ADB staff were involved in substantial amount of liaison and coordination activities and this ate into their ability to devote time to technical matters. Some of the administrative burden was deflected on the RETA consultant team.

The TA consultant team was enthusiastic, responsive, and dutiful. When in doubt (often, especially at the Project’s outset) it delivered more rather than less. There was a degree of reluctance to question the Project design, especially since ADB itself wasn’t questioning it. As a result, a disproportionate amount of time may have been spent on rationalizing and interpreting the DMF. Ultimately the Consultant succeeded in “untangling” the DMF, not a small task intellectually. The Consultant made very good use of DMC talent and was exemplary in regular reporting to ADB. It could have done better in synthesizing some of RETA’s results. As it is there are many disparate outputs (some of considerable value), and the key messages are not emerging clearly enough.

### **3.3. Project Results**

#### **3.3.1. Relevance (\*)**

##### **Rating: Overall Project=R, Component 1&2 =R**

Relevance of the project and results was assessed by examining the congruence of the project objectives against the stated priorities for the main stakeholders via literature review, and interviews and questionnaires with the key stakeholders (Annex 7).

The conclusion is that the project and all components are highly relevant. The project is line with and has supported key elements of the GEF IW strategy (<http://www.thegef.org/gef/node/1798>) and was partially responsible for the inclusion of a new element “promoting effective management of areas beyond national jurisdiction (ABNJ) in GEF5 ([http://www.thegef.org/gef/IW\\_GEF5\\_strategy](http://www.thegef.org/gef/IW_GEF5_strategy)). The ocean and coastal agenda of the project are highly relevant to coastal nations and communities, ocean related IGOs and NGOs, and particularly SIDS.

The response to the questionnaires for Component 1 showed that all respondents agreed that the meetings/activities were highly relevant towards *advancing the goals of sustainable use and development of the ocean* and in *assisting governments or organisations in participating in Rio+20 to ensure the ocean outcomes were represented in the sustainable development outcomes of the conference*. The following quotes further enforce the conclusion of relevance:

*Ocean Forum has become the only organization that systematically and science-based deals with ocean, coasts and islands issues, needs, risks, vulnerabilities, lessons learnt exchanging, creative policy proposals designing, governance building & decision-making processes in a comprehensive, holistic & integrated approach.*

For Component 2 a detailed evaluation following the IWC5 showed the meeting was successful and very relevant to the work of the GEF related participants. Additional quotes indicate that:

*IW:LEARN is very useful for information exchange between various regional projects*

*The design of the ADB-GEF RETAs on CTI were informed by IWC5 and its linkages to GOF supported by GEF.*

*IWC5 also assisted the--- coordination among multiple agencies in the mainstreaming of climate change adaptation considerations into development plans and programs, creation of national coordination bodies for climate change.*

### **Component 3 Rating=R**

Component 3 was highly relevant at the time of its launch and remains highly relevant to this day. CTI policy makers may be served with better information by now and new ideas may be making their way into CT but the original purpose of the Project is far from having been exhausted. The same can be said of the revised technical focus the Project that enhanced its relevance (by addressing until then inexplicably neglected technical topics). In its economics and finance-related activities RETA 7307 provided an exciting beginning but much more work remains to be done and consolidation, to take place.

Despite a hiatus in the activities of a major donor, the future of CTI itself seems promising. Making sure that improved knowledge makes its way not only to the upper and medium echelons of country administrations but to the coastal communities is a task that would cement the relevance of RETA 7307-like projects for years to come.

The relevance of RETA 7307 derives also from its role as a facilitator of a sort of ADB and GEF larger investment projects in the CT region. Here, too, nothing suggests that that role has in any way diminished.

### **3.3.2. Overall results (attainment of objectives) (\*)**

#### **Rating: Overall Project=5, Component 1=6, Component 2=5**

The project Objectives of *Improved management of coastal and marine ecosystems through efficient and effective inter- and intra-regional adaptive learning processes* was very ambitious. The proposed indicator was difficult to measure and was focused primarily on the Coral triangle area. However, a number of outcomes and early impact of the project suggest that this small project has assisted in moving the target of improved marine and coastal management forward. The project in conjunction with other related activities of IW:LEARN and CTI has clearly increased inter and intra-regional

learning. The following sections document the achievement of outputs, outcomes and early impacts that substantiate the above statements.

#### **Rating: Component 3=5**

Embedded in a multi-project and multi-agency setting, the Project made a significant contribution to improving the conditions for more sustainable management of the resources of the Coral Triangle. It has done this through a combination of (a) technical and other support to the policy-making layer of the Initiative, (b) placing the subject of knowledge management and learning at the center CTI deliberations and activities and supplying elements of learning systems ; (c) producing and disseminating knowledge products in an area vital to CTI's success, namely sustainable financing, valuation of CT resources and economics of fisheries and aquaculture; (d) taking important steps towards creating regional and national baselines for monitoring the state of the CT resources and evaluating the effectiveness of CTI plans, projects and programs; (e) encouraging and facilitating emergence and activities of CTI-relevant communities of practice.

The Project's contribution to CTI sustainable financing was significant, too. Some of the technical outputs introduced new ideas to a new audience (e.g. PES, coral valuation) and filled important gaps (the EFACT study), acting as an invitation to expand this line of work. The Project facilitated the examination of CTI national plans of action, introduced a costing methodology that made it possible to appreciate the financial dimension of these plans and tackle the issue of resource gaps. More controversially, the Project (and ADB) acquiesced in the "financial gaps" line of thinking relegating to a secondary place the question of whether the plans themselves are good enough. The DMF-mandated task of regular updating of the plans of action slipped through the cracks. The Project should have more forcefully defended the idea that it is the quality of project proposals (plans) that attracts funding, not the knowledge of how much money is needed for a given project/plan or even what available financing mechanisms might be. Here, duty prevailed over judgment.

#### **3.3.3. Effectiveness (\*)**

##### **Rating: Component 1=6, Component 2 =5**

The MTE reported that many of the outputs from **Components 1 & 2** had been achieved (Annex 4a). This TE accepted these conclusions and did not revisit these achievements. Instead there was a focus on the outputs that had not been achieved at the time of the MTE and on the outcomes and early impacts.

For **component one outputs**, the MTE reported all outputs had been achieved but the readjusted Activity 4 *Capacity building of government leaders in the lead up to Rio+20 and the associated Ocean Day* had not been completed at the time of the MTE. It has now been completed very successfully. GOF coordinated a large number of activities with other partners to assist in capacity building and expanding the ocean agenda for Rio+20. These included:

- Rio+20 Friends of the Ocean;
- Multistakeholder dialogues during side events at Rio+20 Prepcom and Intersessional meetings;

- Submissions to the Rio+20 compilation document and analysis of the document
- Organisation and participation at various workshops and meetings leading up to Rio +20;
- Organisation of Ocean Days at Rio+20 and participation in various side meetings and dialogues at Rio+20;
- Dissemination of Oceans days and Rio+20 Outcomes through a variety of communication channels (Annex 3 list a few of the very impressive list of related publications); and
- Various follow up meetings (that have not been part of this project).

Perhaps the greatest contribution was the report: *How Well Are We Doing on the Major Ocean Commitments from the 1992 Earth Summit and the 2002 World Summit on Sustainable Development*

<http://globaloceanforumdotcom.files.wordpress.com/2013/03/rio20summaryreport.pdf> The respondents to the questionnaire (Annex 7) indicated this document was highly useful and critical in moving forward the ocean agenda at Rio+20.

The **Component 1 Outcome** to *foster critical thinking, creativity, learning, and partnership building towards the achievement of WSSD goals and the MDGs related to oceans, coasts, and SIDS, and in response to new ocean issues* was to be measured by answering three questions (Annex 6):<sup>17</sup>

- Have there been increased critical thinking, creativity, learning, and partnership building in advancing the ocean agenda?
- Has there been increased involvement of SIDS & SIDS agenda in ocean policy discussions?
- Has there been movement of new ocean issues on to the ocean policy agenda?

The answer to all three questions is a resounding yes. Table 6 gives some of the examples of how GOF has contributed to these goals for question 1 and is reinforced with quotes.

**Table 6:** Examples of GOFs contribution to Project Outcome increased critical thinking, creativity, learning, and partnership in advancing the oceans agenda (based on a questionnaire to key partners (Annex 7).

Critical thinking	Creative learning	Partnerships
Discuss high priority issues	Objective & strategy of meetings is to create an atmosphere of learning leading to capacity building	GOF itself is a dynamic partnership
Multiple perspectives & multiple ideas	Increased knowledge of policies	All meetings plan for and facilitate partnerships
Cutting edge issues	Science input useful for policy makers	GOF facilitates various organisations to take lead e.g. Indonesia (Manado), Korea

<sup>17</sup> There were no outcome indicators presented in the LFA (Annex 4c)

		(green economy), Mexico & South Africa (climate change), Seychelles (climate change)
Various actors from heads of state and high level policy makers to NGOs & communities	Learning about other experiences	High diversity of participants facilitates alliances, collaboration & coordination
Big picture, holistic & integrative	Diversity of participants	

**Quotes:** *The Ocean Forum has become a unique space for presenting, analyzing, and discussing all the relevant ocean, coasts and island topics. Most of any other meetings focus on a single topic missing the big picture and therefore conducting to partial outcomes.*

*The holistic and integrated approach provided at each one of the Ocean Forum meetings drives parties and participants to critical thinking that result in insightful conclusions and propositions.*

GOF has also ensured SIDS participation and SIDS agenda at all of the meetings. There has been considerable SIDS participation but GOF indicates it is difficult to measure whether there has been increased participation. However, SIDS leaders have been involved as session chairs and played central roles in multistakeholder dialogues on climate change, additionally the SIDS issues especially related to climate change---vulnerability, coastal disasters, climate refugees, have been brought forward.

GOF has been critical in moving new issues on to the ocean agenda. This has been particularly true for ABNJ and Climate Change. As a result of the WOC in Manado where the endorsement by leaders of the ABNJ issue allowed the GEF council to approve a new \$50 Million Program on ABNJ and GOF is implementing one of the projects. GOF has also been active in various follow up meeting on this issue to ensure it moves forward on the ocean agenda.

Climate Change is another issue where GOF through Component 1 has affected the global ocean agenda. Ocean acidification was not considered a major issue prior to the WOC , meeting but the attention there has moved it forward. In addition GOF has very strategically brought the Ocean climate change issues to the climate change community following on from WOC, and GOC, Paris through Ocean Day meetings at UNFCC Copenhagen, and COP meetings in Cancun and Durban.

**Component 2 Outputs:** The major outputs of this component were the activities (Output 2.1) leading up to the organisation, and implementation of IWC5 in Cairns Australian in 2009. The success of this activity is confirmed by the positive post-conference evaluation and by the response to questionnaires (Annex 7) during this evaluation.

Activity 2.1.1 GEF IW leadership learning program could not be achieved as it was to be linked to Component 1 Output 1.4 that was changed. The project instead collaborated with the UNDP-GEF (IW) Legal and Institutional Frameworks project to supported decision support tools, and training courses to support IW Leadership Training and

participation in a Workshop in Stockholm, Sweden to test and validate the tools. Subsequently the tools have been incorporated into the *Governance of International Waters Reference and Training Manual* (<http://www.internationalwatersgovernance.com/reports.html>). This activity has now been completed.

There was also to be activities associated with the CTI including integration of CTI within the IW:LEARN program ; a learning portal within the IW; LEARN website ; and climate change facilitation at the WOC Manado meeting. The last activity could not be carried out as WOC took place prior to project implementation. CTI has been more closely integrated into IW: LEARN and participated actively in the IWC5 meeting. The CTI website has now been developed (funded by RETA 7307) with considerable and useful input from IW: LEARN.

Output 2.2.1 Stakeholder learning exchanges were project to project exchanges between GEF projects in addition to 4 exchanges reported in the MTE Report there have been additional exchanges involving CTI personnel and projects including the Indonesia Seas Exchange involving 3 regional UNDP GEF IW projects and the Bay of Bengal LME, additional personnel from the CTI Sulu-Clebes LME were supported to attend the LME conference in Paris and a recent regional workshop was held in Manila on scaling up GEF IW investments. The learning exchanges are documented at <http://www.iwlearn.net/exchange>).

Output 2.2.2 involved the preparation of experience notes. Twenty one of the expected 30 notes had been prepared at the time of the MTE and nine more have been completed and are currently being reviewed by GEF and will be then added to the list on the website. (<http://iwlearn.net/publications/experience-note>).

There were some difficulties with Output 2.3 Monitoring and Evaluation as note in the MTE. Output 2.31 *Inclusion of GEF IW projects in global fora* has been subsumed by the IW:LEARN3/MENARID project as there appeared to be some confusion on the allocation of money to this output.

Finally Output 2.3.2 *Tracking Contributions to MDGs* was difficult to implement as it was outside the mandate of IW:LEARN to force IW projects to report on the MDGs. Additionally this activity was to rely on a set of indicators for the tracking developed by GEF and the indicators were not developed.

This component has now successfully completed all the activities and outputs that it was able to accomplish.

The **Component 2 Outcome** of *Improved adaptive management of transboundary marine, coastal and freshwater systems. Expected learning outcomes include increased GEF IW project capacity at 3 levels: (i) individual project stakeholders; (ii) organizations; and (iii) governments, fostering enabling environments for transboundary cooperation to deepen and accelerate EBM and policy reform processes* was to be answered by the following question:

*Has there been improved adaptive management of transboundary marine, coastal and freshwater systems in GEF–IW projects due to transboundary cooperation?*



This question has proven difficult to answer. There has been increased transboundary cooperation shown by the IWC5 and subsequent IWCs, the project to project twinning, and increased interactions with CTI. It has, however, been difficult to measure whether this has been translated into improved management. This was in spite of attempts at follow up questionnaires both by IW:LEARN and this TE. They yielded very few responses probably due to the diverse, dispersed and transient nature of GEF project staff. It will be important to build in measurable (SMART) indicators for Outcomes in future GEF IW projects.

### **Component 3 Rating =5**

There is little doubt that RETA 7307 was productive and in that sense, effective. Both tangible results described below as well as the marking of spirits and contributions to the less easily quantified results such as improved stakeholders' capacity or maintenance of institutional memory were useful and meaningful. Description of project outputs follows here the provisions of the design and monitoring framework in spite of overlaps within that framework that means that certain activities and their results contributed to more than a single output category. Detailed listing of all RETA 7303's reports and outputs is provided in Annex 3.

#### **Output 1: *Strengthening CTI regional collaboration***

The RETA organized and/or co-sponsored a total of 27 meetings, workshops, and events at the global, regional and country level including the launch of the State of the Coral Triangle reports at the International Coral Reef Symposium (Cairns 2012); a regional ministerial meeting with a focus on sustained financing of CTI (the High Level Financial Round Table, Manila 2013); and numerous regional and country-level needs assessment- and knowledge management workshops (Milestone activities 1.3 to 1.6).

Component 3 linked regional and national CTI action plans (RPOA and NPOAs) to State of the Coral Triangle reporting supplying part of the baseline for monitoring of the region's marine and coastal resources and future evaluation of CTI action. However, this and a baseline assessments of CT6's commitments (of own resources towards achievement of POAs) originally to take place in 2009--Milestone activity 1.7-- took place much later under Output group 4 (see below). No regular review and update of POAs originally anticipated during the period 2010 to 2012 (Milestone 1.8) took place. This was, in part, because POAs are country documents first and foremost and the decision to update them (or not) is therefore the countries' rather than RETA's.

The Project duly provided inputs into this (terminal) evaluation (Milestone 1.6 ) as well the 2013 Mid-term evaluation of IW:LEARN/CTI.

#### **Output 2. *Establishment of a regional learning mechanisms***

A Concept Note on the composition and functions of a regional Science Advisory Committee was prepared (Milestone 2.1) even if a more opportunity-driven mechanism continues to be preferred for now by the CT6 countries. Preparatory activities leading to the formulation of the knowledge management strategy and formulation of the strategy itself were accomplished by May 2011 (Milestone 2.2). The 2011 Regional Needs Assessment Workshop proved crucial here not only in establishing a CTI knowledge

baseline (how much and what sort of information was available to CT6 decision makers and practitioners at Project outset?) but in formulating a knowledge management strategy that then drove RETA 7307 implementation and remains highly relevant to this day. Several follow up workshops were organized (milestone 2.3). The Project introduced a relatively new mechanism of knowledge integrators to help address country-specific information gaps. Rather than exactly meeting the details of Milestone 2.4 (and producing formal integrator reports) the RETA used integrators' inputs more flexibly for a variety of knowledge management tasks (e.g. mapping of POA implementation initiatives (Philippines); preparation of CTI Newsletter for the Solomon Islands; addressing specific mapping and database needs for Malaysia., contributing to the preparation of SCTR , etc.)

**Output 3.** *Implementation of a communication and information dissemination plan* following the recommendations of the Decision Support and Knowledge Management System Workshop held in Manila in March 2009 (Milestone 1.1. of Output 1) RETA reserved a special place to the preparation of the State of the Coral Triangle reports (SCTRs). The approach to the task and its modalities were discussed with the Interim Regional Secretariat (Milestone 3.2). All six CTI countries organized their SCTR working groups and prepared their country SCTRs which were duly recognized and endorsed by Senior Officials' Meeting an instrument feeding into the MEWG processes. In addition, the Team prepared the Regional State of the Coral Triangle Report utilizing a Driver-Pressure-State-Impact-Response framework.

Rather than preparing a formal communication strategy (Milestone 3.3) the approach to communications and information dissemination (KMIS) was spelt out in the Knowledge Management Strategy (see Output 2 above).

A CTI information and database system was designed and operationalized (Milestone 3.4) to suit the preferences and capacities of each CT6 country and the regional secretariat. Here, Component 3 also made a link to Component 2 of IW:LEARN/CTI by embedding its information system in the existing IW:LEARN platform. Joint training sessions were organized for this purpose. As a result, RETA 7307 reports and technical documents are available on line to regional and global stakeholders through IW:LEARN.(Milestones 3.3.-3.4) Working alongside USAID, Component 3 contributed also to improving the website of the CTI Interim Regional Secretariat ([www.coraltriangleinitiative.org](http://www.coraltriangleinitiative.org)) turning it into another regional learning tool. A number of Learning and Experience Notes were produced by the Project and made available on-line as well as in print (Milestone 3.5). A study on the economics of the marine and coastal resources –Milestone 3.6-- was completed in 2013 (as “EFACT” study)..

**Output 4.** *Establishment of sustainable financing schemes*

Following the narrowing down of the technical focus of RETA 7307 (with payment-for-environmental-services chosen to represent innovative financing approaches) a number of technical documents on PES were developed (Milestone 4.1). Terms of reference for the Study of CTI Financial Architecture were developed as the initial step towards developing a strategy of financing of POAs (Milestone 4.2) and ensuring sustained financial support for the Initiative. This was accompanied by RETA-led technical guidance to NCCs on the methodology and practice of costing of national plans of action.

The Project organized a ministerial-level High Level Financial Round Table held to coincide with the 2013 ADB Annual Meeting in Manila. The Proceedings of that Financial Roundtable provide a convenient picture of the path travelled by CTI since its launch in 2009, the contributions of RETA 7307 to that process, and present a menu of projects submitted by CT6 for future support by development partners (Milestones 4.3-4.4). No separate report to donors for confirmation of their funding of follow-up projects (Milestone 4.5) was compiled but the Proceedings largely played that role.

Behind the overall effectiveness lies the landscape of a somewhat uneven quality. In some cases (e.g. majority of SCTR) time pressure (to have the reports finalized ahead of crucial SOMs or MMs), and a decision to have documents prepared largely by country teams alone with minimum inputs by international peers, clashed with the objective of quality. The hurried look of some of the documents contrasts with some of the more calmly and better supported USAID-sponsored documents such as CTMPAS (*Coral Triangle Marine Protected Areas System*) or MESOM (*Monitoring and Evaluation System Operations Manual*). All SCTR can, and no doubt will, be improved during next round of updates. The view taken here is that in spite of these weaknesses the SCTR are a sufficiently good basis (almost an invitation!) for future upgrades. There were, to be sure, also outputs of unusual lucidity (rare in a complex area such as knowledge management) and excellent quality. The Needs Assessment report (see Output 2 above), for instance, belong to that group.

Has RETA 7307 been effective and delivered value for money? Instead of engaging in tortured arguments the evaluation has relied on the results of a questionnaire distributed to a total of 38 Project stakeholders (see Annex 4 for the questionnaire design). For the most part the results (see Annex 5) address the Project's effectiveness rather than its efficiency but the comments received as part of the questionnaire provide also indirect clues about the latter aspect. The results would seem to suggest that the Project is perceived by the stakeholders to lie in the middle of the effectiveness range, a little lower than the evaluator's own rating possibly influenced by the access the evaluator had to the *complete* suite of the Project outputs.

#### **3.3.4. Efficiency (\*)**

##### **Component 1&2 Rating: =6**

Both components appear to be very cost effective and efficient. They received relatively small amounts of GEF funding (compared to most other GEF projects) but they have produced results well beyond the budget. This has been primarily the result of a large amount of co-funding (Section 3.2.4) and strategic partnerships. GOF has obtained almost \$2 million in co-financing and leveraged resources well beyond the \$900,000 GEF budget. IW:LEARN was also able to obtain considerable additional funding for IWC5 from Australian and partner sources including the private sector.

##### **Component 3 Rating: =5**

RETA 7307 offers a mixture of cost efficiency and its opposite. The former applies to regional information and consensus-building activities (workshops, meetings) . Here the Project collaborated closely with CTI development partners, co-hosting and cost-sharing various activities. This helped contain the cost, of necessity relatively high given the demanding logistics of the Project. RETA 7301 was also cost-efficient because of the

role it reserved for local (rather than international) expertise where doing so was justified technically. Still on the cost efficiency side, when in doubt the Project delivered more rather than less. This is true, for instance of the range of technical reports and knowledge dissemination in general. There were also elements of inefficiency such as missed opportunities to short-circuit the search for data in developing SCTRs (by not connecting immediately to existing platforms such as the Coral Triangle Atlas, or certain overlaps with USAID-funded activities), a measure of duplication in developing web-based tools (with some of the efforts abandoned or modified). The evaluators would also wish for greater clarity in summarizing the many diverse results and activities under some of the the Project's learning mechanisms- and communications segments. Clarity is an ally also of cost efficiency.

### **3.3.5. Country ownership**

#### **Component 1&2**

These components had a global focus and unlike many GEF IW projects did not require formal country buy in, however, both components have received a considerable amount of country support.

Component 1 focused on capacity building of country policy makers in the lead up to Rio+20, they involved country heads of state in the GOC, Paris and associated Ocean days and have had strong involvement and support from SIDS. Additionally GOF assisted a number of countries in planning and carrying out specific follow up meeting this is echoed by the following quote from a questionnaire respondent:

*GOF has graciously contributed to building the leadership capacity of ocean state governments, by providing the enabling support necessary for a succession of govts to take the lead as global convenors around priority regional & national ocean issues.*

**Component 2** like all GEF projects, focuses on country-ownership all IW projects assisted by IW:LEARN have the country GEF focal point endorsement. GEF IW:LEARN aims at supporting and improving the management of GEF international waters projects and enhancing the projects' capacity to address national priorities and plans. The IWC's have a specific focus on the inclusion of governments with of at least two high level government representatives (e.g. the level of Water Director) being invited from about 70 countries.

**Component 3:** CT6 countries "owned" RETA 7307 even if its activities were sometimes conflated with those of other CTI development partners. The National Coordination Committees were in frequent contact with the RETA consultant team and (at national and regional workshops) with ADB staff. The NCCs' readiness to take on RETA 7307's task of preparing the SCTR is an indication of local ownership. This is confirmed also by the RETA Consultant ability easily to mobilize and mainly use local expertise for Project implementation.

### **3.3.6. Mainstreaming**

**Components 1&2** focus global and as such are not concerned with individual country priorities and action plans, but as indicated in section 3.5.5 IW:LEARN does ensure country involvement. Both Components as indicated in Section 3.5.2 adhere closely to GEF:IW strategy and in fact have influenced it and added a new component (ABNJ),

strengthened others (LME and EBM), and created increased global awareness of the vulnerability of SIDS to climate change related environmental disasters. The outcomes of Rio+20 are in some countries being translated into improved policy for natural (marine) resources management. In terms of gender issues these have not been explicitly addressed, but GOF is driven by two dynamic women.

**Component 3:** Here, mainstreaming is understood to be the process of adopting Project-recommended processes or structures in routine activities of local counterpart agencies. While most of CTI's institutional structure (Regional Secretariat, NCCs, Working Groups) and approach to RPOA and NPOAs were in place by the time RETA 7307 –i.e. here was nothing to mainstream on the institutional or planning side—several results that received some Project input<sup>18</sup> were officially endorsed by CTI policy makers. This was most notably the case of the Monitoring and Evaluation System and Marine Protected Area Management System. No special consideration was given to gender questions under RETA 7307, probably the right decision in view of an already balanced participation of the two sexes in CTI activities in all CT6 countries during Project formulation.

### **3.3.7. Sustainability (\*)**

Table 7 summarises the potential for sustainability of the project results for the three components.

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<sup>18</sup>Most of the credit is due to the US CTSP

**Table 7: Ratings and Comments on Sustainability of Project Results**

Ratings	
Likely (L)	There are no risks affecting this dimension of sustainability.
Moderately Likely (ML)	There are moderate risks that affect this dimension of sustainability.
Moderately Unlikely (MU)	There are significant risks that affect this dimension of sustainability.
Unlikely (U)	There are severe risks that affect this dimension of sustainability.

Sustainability Factor	Rating	Comments
Financial Resources	L	<u>Components 1 and 2</u> Both GOF and IW:LEARN have already received additional GEF funding for continuing activities. GOF has been continuing the follow up to Rio+20 on a variety of funding sources and they are implementing a new GEF project on ABNJ. IW:LEARN has received funding for two GEF:IW projects. In addition all new GEF projects commit 1% of project funding for participation in IW:LEARN activities. However, both organisations survive on project funding, whereas there is an urgent need for long-term funding of core staff.
	ML	<u>Component 3</u> The Project is now finished and all the funds have been committed, with only small amounts remaining to be disbursed. Some the activities begun under RETA 7307 (e.g. design of the CTI financial architecture) are being continued under other related ADB technical assistance project (RETA 7813). At the same time, a major component of CTI (USAID CTI Support Program) has just been completed and the size and nature of its possible follow-up phase have not been decided. There is, nonetheless, continued interest of existing development partners in CTI and a number of bi-laterally funded regional (let alone country-level) activities are being implemented and aligned with the objectives of RPOA and NPOAs. It is likely –but not certain—that CTI will continue to be funded even if this funding may not take the form of a single neat package but be provided gradually.
Sociopolitical	L	<u>Components 1 and 2</u> GOF is widely representative of and strongly supported by global organizations, governments, researchers, and civil societies. Similarly IW:LEARN not only works with the GEF family but has increased their links to government, and are widely used by the NGO community. As shown by RIO+20 and recent IW:LEARN activities there is a continuing and increasing commitment to these follow-up activities.
	L	<u>ADB/Component 3:</u> Thanks in no small measure to the activities of Component 3, there is an even better appreciation of the importance of channelling the right sort of knowledge and lessons to decision makers and practitioners. In a region that is already well aware of the importance of its marine and coastal resources this creates a fertile environment for sustained political and popular support.

Institutional Framework and Governance	L	<p><u>Components 1 and 2.</u> The component activities have been focused on increasing global capacity to improve management and governance of IW, oceans and coasts. In the absence of a UN framework agency focused on the issues of oceans and coasts GOF and IW:LEARN have become pivotal in focusing on these issue.</p> <p>Additionally the activities have already created alliances and partnerships to address the Ocean and Coastal issues of <u>increased policy and management.</u></p>
	ML	<p><u>ADB/Component 3:</u> The creation of the initial institutional structure of CTI (the Interim Regional Secretariat, the hierarchy of regional consultations and approval processes, establishment of working groups) has enjoyed substantial donor support so far, matched by CT6's readiness to contribute own resources. However, making the initial arrangements more permanent, especially the functioning of the Regional Secretariat, remains "work in progress". Premises have been provided by Indonesian Government but not all operational and human resource aspects have been fully addressed. Neither has the funding. Providing and sustaining financial support for the institutional structure of CTI is part of the broader challenge of CTI financing</p>
Environmental	L	<p><u>Components 1 and 2</u> The activities have all been focused on increasing awareness, capacity building and addressing the multitude of environmental issues facing the oceans and coast. These have also included the major issues of ocean climate change, marine biodiversity, ABNJ, Large Marine Ecosystems (LME) and Ecosystems Based Management (EBM).</p>
	L	<p><u>ADB/Component Three:</u> Any activity conceived to follow the direction of RETA 7307 has environmental sustainability at its center.</p>

### 3.3.8. Impact

#### Rating: Component 1 =S, Component 2=M

**Component 1&2:** In terms of the results chain impacts are often the result of a number of different actions emanating from different projects and organisations and as such attribution is often difficult. Impacts are also normally not apparent until after the projects have finished. In the case of these two components many of the activities were completed in 2011 and there are some early indications of project impacts. The LFA did not include indicators for measurement of impact, so the evaluation team developed a question that was addressed to the project teams and include in the questionnaires.

Impact question: *What are the most significant outcomes in terms of increased ocean policy, increased learning & information sharing, & improved marine ecosystem management?*

Component 1 has achieved a number of impressive outcomes, assisted by a broad

coalition of partners and there are some broad hints of impact.

- *Placing the ocean issues squarely in the climate change talks within and outside UNFCCC.* Climate change and particularly ocean acidification were first discussed at the WOC, 2009 and a strategy developed to raise these issues by focusing on the UNFCCC COP meetings. Starting with Copenhagen 2009 where there was presentation by experts, at the next Ocean Day Cancun, 2010 government officials appeared to have embraced and articulated the issue. This was followed up by a global network monitoring ocean acidification and the creation of a global centre focused on ocean acidification.
- *Advancing the ABNJ agenda at regional and international level and the inclusion of these issues in GEF5 and a subsequent programme.* Prior to project initiation Ocean meetings in Singapore and Vietnam identified ABNJ as an important yet neglected ocean issue. The issue was discussed at WOC Manado and endorsed by leaders. This then assisted GEF IW in obtaining approval from the GEF council for a programme in ABNJ (\$50 million) that now consists of four projects including one being implemented by GOF.
- Perhaps one of the greatest impacts of this project is that it has supported GOF to build alliances and partnerships that keep the Ocean targets (WSSD and other targets) high on the agenda of world leaders spurring analysis, policy dialogue, and political commitment. This is best expressed by the quotes below:

*Ocean Forum has become the only organization that systematically and science-based deals with ocean, coasts and islands issues, needs, risks, vulnerabilities, lessons learnt exchanging, creative policy proposals designing, governance building and decision-making processes in a comprehensive, holistic and integrated approach.*

**Quote:** *Given the fact that The Ocean Forum involves parties from every continent and region of the world, it is considered the most important organization outside the UN to enhance States involvement in ocean agendas that actually produces good useful, qualitative and quantitative results at both international and domestic levels.*

**Component 2:** Incorporation of climate variability and change into GEF IW Projects. The objective and purpose of IWC5 was to facilitate dialogue on how the GEF IW portfolio can incorporate climate variability and change into current and future project implementation. This was successfully accomplished and led to the incorporation of Climate Change in the GEF IW Strategy for the 5th GEF Replenishment (GEF5). This has now been mainstreamed and all GEF: IW projects since IWC5 incorporate climate variability and change.

**Rating: Component 3 =NA,**

**Component 3:** This component was late starting, and the period of 48 months is too short to meaningfully evaluate RETA 7307 impact, in addition ADB practice is to measure impact two years after project completion, as a result impact was not measured.



## 4. Conclusions, Lessons, & Recommendations

### 4.1. Corrective actions for the design, implementation, monitoring and evaluation of the project

#### **Project Design:**

The project was designed with three main components implemented by three different organisations in three different locations each with a very specific mandate. The intent was to have coordination such to create synergy between the components. There was, however, no mechanism or funding allocated to assist in this process. The plus and minuses of this approach will be discussed in 4.4 but it is important that future GEF IW projects involving different organisations have a process, tools, and budgets to assist in the coordination process. (Recommendation 1).

In general the logical frameworks (LF), the SRF for UNDP and DMF for ADB were considered weak as discussed in 3.1.1. There were no or poor links between activities and outputs, not all indicators were SMART, there was a lack of indicators for outcomes, and there were substantive differences between UNDP and ADB documents for Component 3. While we accept there have been advances in the understanding and preparation of LF's since this project was prepared seven years ago we make some suggestions for a clearer and easier to follow LFA approach (Recommendation 2).

Poorly justified choice of milestones/indicators in projects' LF's can lead to uncertainty on the part of implementers about how to proceed and comply, with a tendency to deliver more than possibly required but deliver something that may not have been expected at the outset. This can affect cost effectiveness. In such circumstances, identifying several key practical/tangible elements can hugely facilitate implementation (Recommendation 3). In RETA 7307 this was the role of the State of the Coral Triangle reports that acted as methodological unifiers (besides having their technical importance).

The Prodoc lacked clarity on project management and M&E. Project management was assigned to Component 4, however, no activities were specified and most of the funds were not spent but reallocated to other components. The external reviews (MTE and TE) were not clearly indicated as activities of Component 4. The broader M&E activities were described along with an indicative budget but there was no indication in the Prodoc to which component M&E activities were to be charged. In fact the external reviews were split among the 3 components in what appears to have been a non-transparent process. The reviewers suggest all the M&E activities including the external evaluations should have been funded from Component 4. In future projects the functions of project management and M&E should be clearly articulated and budget included (Recommendation 4).

**Component's 1&2:** There were no major corrective actions directly related to these individual Components.

**Component 3:** RETA 7307 was a timely, highly relevant but ambitious undertaking. By addressing particularly demanding technical subjects of knowledge management in a multi-country setting it condemned itself to a substantial measure of complexity. This was

not helped by a partial overlap with Component 2 of the umbrella IW:LEARN/CTI project.

The seemingly adequate design and monitoring framework of RETA 7307 turned out to be implementation-unfriendly and the objectives not well synchronized with parallel activities of other development partners in the Coral Triangle. This made it necessary to make adjustments. Once the Project received a sharper focus and re-interpretation of the DMF tasks, RETA 7307 got onto a more productive path and succeeded in delivering the majority of anticipated results. Some of them departed from the letter of the DMF but rarely from its spirit.

One of the Project's major achievements is to have exposed the weakness of monitoring and evaluation in the CT region and, together with others, to have created the foundations of a genuine M&E system. This task of reinforcing M&E provisions is far from over but with emerging region-wide agreement on the choice of performance indicators and Project-driven completion of State of Coral Triangle reports; crucial initial steps have been taken.

The desire of CT6 governments to sustain or accelerate investment action in their region made rapid completion of the regional and national action plans a priority. These plans now exist and are valuable. Technical assistance projects such as RETA 7307 need to be closely aligned with these plans and serve them. However, this role should be accompanied by the readiness of CTI stakeholders periodically to revisit the plans and confirm their technical soundness in the often fast-changing socio-economic and environmental circumstances. (Recommendation 9) ADB deserves credit for quickly acting upon the possibility of injecting financial and economic analysis into CTI. Future investment action in the region demands greater appreciation by local stakeholders of the economic and financial dimension. Here, RETA 7307 was a good starting point.

## **4.2. Actions to follow up or reinforce initial benefits from the project**

**Component 1 & 2** issues around organisational sustainability are discussed in Section 4.4.

**Component 3:** Among other things, RETA 7307 raised the profile of the economic aspects of marine and coastal management through its EFACT, PES and SF activities. Some of this work would deserve to be continued under a strengthened peer input and editorial assistance. Here, RETA 7307 ran out of time and steam<sup>19</sup>. Key messages relating to the economic and financial aspects of CTI (now summarized in the EFACT study) should be periodically updated to incorporate new results and be made to fit the requirements of specific occasions (e.g. high level meetings etc.). This work would ideally be driven by FRWG. (Recommendation 10)

The Project produced interesting and relevant material on the subject of payment-for-environmental services (PES) and the potential of this mechanism in CT. Yet singling out PES as one of RETA focus areas can be questioned as it gives PES an importance

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<sup>19</sup> Some of the activities started by RETA 7307 (e.g. design of the terms of reference for undertaking a study of financial architecture for CTI and creation of a business development unit) have been continued with financing drawn from other ADB TA projects (RETA 6446 or RETA 7813)

the mechanism arguably does not deserve (within a bigger picture of different approaches to financing sustainable management). Here, the relative novelty (if not “exotic value”) of the approach may have swayed the stakeholders to give it a prominent place. It would be useful in the next round of TA activities to turn to a fuller menu of financing options including the more conventional ones. These may be “dull” but often offer substantial promise (Recommendation 12). Account should be taken of similar activities undertaken by other regional projects (e.g. the SSME Action Plans) This observation is not intended to minimize the considerable pedagogical (knowledge-generation-and-sharing, as a minimum) value of PES-related activities undertaken under RETA 7307.

### **4.3. Proposals for future directions underlining main objectives**

Issues for **Component 1&2** are given in 4.4

**Component 3:** The Project was conceived as a regional one. Its desired principal outcome was to improve cooperation among CT6 on information exchange and decision making on coastal and marine resource management. In implementing the Project a balance soon emerged between regional and country activities. The former cannot exist without the latter but in the CT world of linked ecosystems the latter is linked to the former. While appreciative of CTI regional activities country officials are under pressure to introduce better practices and share lessons learned not only with their regional counterparts but mainly with their domestic constituencies. The challenge for the future round of CTI action is to arbitrate among the three groups of claimants on financial and technical support, i.e. (a) the regional structures (the regional secretariat and policy-making upper echelons); (b) country-level institutions (NCCs with the mother organizations of its members); and (c) local and field level stakeholders ranging from local government officials to the last of the fishermen. The subject would deserve to be placed on CTI agenda, possibly appended to the Study of CTI financial architecture now underway. (Recommendation 13)

### **4.4. Lessons Learned: Best and worst practices in addressing issues relating to relevance, performance and success**

**Inter-agency & Inter-component cooperation (good & bad):** The project was designed with three components managed by three quite different organisations with different mandates, in widely geographically different places, and in the case of ADB with different planning and management systems. They were combined into one project partially for convenience (GEF:IW) and partially to increase linkages between the three. While indicating a fourth component for Project Management the Prodoc did not spell out mechanisms for cooperation either in the text or the budget, and most of the budget for this component was reallocated to Components 1 & 2. The UNDP PMU managed each component separately and did not play a strong role in forcing greater collaboration. It is clear in future where there are different agencies that a clear project coordination mechanism be outline along with a clear budget (Recommendation 1).

In Component 3 managed by ADB, a separate GEF agency, funds were provided via a

separate proposal (RETA) with additional co-funding. This delayed the approval and implementation of this component by a year putting implementation out of sync with the other components. While this may not have been decisive for the work of Component 3 given its relatively self-contained nature, it was not helpful. There were additional factors at play such as different management procedures, and different activities, outputs and indicators of the respective log frames. Some respondents suggested that interagency projects are too difficult and should not be attempted, while the ADB team remained positive about the collaboration with the other components.

In spite of the lack of overall coordination and management difficulties, each component has successfully achieved their outcomes, are achieving impact and there has been considerable informal collaboration. The reviewers were impressed with the amount of collaboration between the three components (documented in Section 3.2.3) while this was not necessarily a marriage made in heaven it has been a useful and interesting ménage à trois.

**Organisational sustainability:**

GOF is a very small but dynamic organisation working with a large number of partners and alliances. They have achieved substantial results in this project with a small amount of funding and have successfully levered greater support (cash and in-kind) to assist in the achievement of results. These results have been aided by clear strategies and an incremental approach. As respondents indicated:

*“The organization is effective; it brings people together, is inclusive and produces results.”*

*“A project such as the Ocean Forum should become permanent to ensure that the ocean agenda is not forgotten, undermined, or misrepresented at any of the international related meetings”.*

There is, however, a need to continue funding of GOF to ensure the Ocean Agenda remains in the forefront of global policy and negotiation. GOF has shown itself quite adept at obtaining a variety of project funding, however, there is a need for long term core funding for the key staff and secretariat.

IW:LEARN with a much wider and more disbursed mandate has also achieved considerable results in linking the GEF IW family. As respondents noted:

*“The twinning has been an opportunity to strengthen the existing network of colleagues and to make new contacts.*

*IW:LEARN is very useful for information exchange between various regional projects”*

IW:Learn has also received additional GEF IW funding (IW:LEARN 3/MENARID and IW:LEARN4) to continue their work of linking the GEF IW family. In addition each GEF IW project now is to use 1% of their budget for IW:LEARN activities.

Both these organisations have been successful in obtaining additional GEF and other project funding, but they face very similar problems of a very small staff coordinating a large number of activities, and ensuring funding covers staff and secretarial core functions. While core funding is difficult to obtain, these organisations could be much more effective with long term core funding and then using specific projects to accomplish

their broader goals. In the case of IW:LEARN that is a service to GEF:IW there should be long term funding for this from GEF IW. While we recognize that it is difficult to obtain this type of funding we encourage GEF:IW to explore approaches and strategies to ensure adequate long term funding for GOF and IW:LEARN (Recommendation 5 & 6).

**Financial management:** The consultants found weaknesses in the financial reporting in all components. Some important data was not available, there was a substantial overrun in Component 1 (see Section 3.2.4) that misrepresented actual spending that was due to miscoding of expenses from Component 2, and fund transfers between components appeared to be made in a non-transparent way. There is a need to improve the financial reporting for the final project financial report (Recommendation 8).

**Adaptive Management:** The project has shown considerable strength in adaptive management. Components have been changed, deleted and replaced with new ones to respond to changing circumstances, yet continued to reflect the overall project objectives. By in large these changes have been captured in the M&E systems (APR/PIM) but in some cases the changes and associated budgets have not been transparent.

Several imaginative decisions were taken by ADB and the RETA consultants in implementing the Project. Organization of a High Level Financial Roundtable (CT6) Ministerial Meeting and Marketplace on the tails of 45<sup>th</sup> ADB Annual Meeting was one of them. The idea of Marketplace where CT6 countries' project proposals would be presented at the same time was novel and deserves to be replicated in some form. (Recommendations 14)

**Knowledge Management:** All components have produced a large number of knowledge products and have used websites and social media effectively in disseminating the documentation to a wide audience. There have been substantial summaries of some of the outputs <sup>20</sup>.

In Component 3 the subject of knowledge management, RETA 7307's common thread, is complex and lacks a firm quantifiable basis. This makes it particularly dependent on efficient use of words. Where wording is loose or ambiguous, clarity is the victim and action is hampered. The problem is wider and goes well beyond "soft" subjects such as KM. It affected the Project also. Some Project-related and Project-generated documents are a pleasure to read and others are not. The subject of simplicity and clarity in communicating should not disappear from CTI approach to disseminating information and be overwhelmed by a search for purely technological solutions (Recommendation 7).

**Component 3** championed a much fuller understanding of the concept of knowledge management than was common among many stakeholders at the outset. A lot has been said and written about KM during project implementation so much so that a risk now

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<sup>20</sup> E.g. Ocean & Coastal Management special issue Oceans & Climate Change; *How Well Are We Doing on the Major Ocean Commitments from the 1992 Earth Summit and the 2002 World Summit on Sustainable Development*; *Regional State of the Coral Triangle Marine Resources: Their Status, & Economies and Management*; & *Country State of the Coral Triangle Report*.

exists that decision makers and potential users will be overwhelmed rather than helped by the quantity of this information. Some ordering and prioritization of this material is needed now that the results of RETA 7307 are known, as is a fresh attempt at confirming (or re-confirming) the continued validity of the direction outlined back in 2011. The key document (the Needs Assessment Report of 2011) retains much of its original value and should be made available to CTO stakeholders on line (Recommendation 11).

#### **4.5. Recommendations:**

We make the following recommendations:

##### **Components 1, 2 and 4:**

1. UNDP, GEF IW and ADB should ensure that when new projects are developed that involve different organisations and partners, the Project Documents indicate clear strategies, processes and tools/activities accompanied by a realistic budget to ensure coordination and cooperation among the various partners.
2. While accepting that there have been advances in preparation of the Strategic Results Framework (SRF) since this project was proposed we encourage UNDP and GEF IW to incorporate clear and easy to follow Logical Frameworks (LF) that link activities to outputs to outcomes, accompanied by SMART indicators that clearly assess achievements of all project results (outputs, outcomes and impacts), and ensure changes to activities, outputs and indicators are tracked in the project reporting (e.g. Annual Project Reviews and Project Implementation Reviews).
3. All GEF implementing agencies should be encouraged to include in their projects' logical frameworks several key tangible targets that can act as methodological unifiers. In RETA 7307 this was the role of the State of the Coral Triangle reports. As insufficiently clear identification of such key elements can lead to uncertainty on the part of implementers, with a tendency to deliver more than required but deliver something that may not have been expected at the outset.
4. UNDP and GEF IW in collaboration with UNOPS should ensure that in future projects project management activities and outputs including Monitoring and Evaluation (M&E) are clearly stated along with appropriate budgets in the Project Document.
5. UNDP and GEF IW are encouraged to explore with the Global Ocean Forum (GOF) through its Secretariat the International Coastal and Ocean Organisation strategies and approaches for sustainable core funding of the GOF Secretariat.
6. Given that IW:LEARN is a service project for the GEF IW, the GEF IW is encouraged to explore with IW: LEARN strategies and approaches for sustainable core funding of the IW: LEARN PMU.
7. GOF, IW LEARN and ADB should be encouraged to continue their efforts in knowledge management through summarising key leanings and wide dissemination

through web sites and appropriate social media. Additionally as the subject of simplicity and clarity in communicating should be foremost in the IW and CTI approach to disseminating information UNDP, GEF-IW and ADB should institute a “simple-words-for-environment” prize, possibly through IW:LEARN.

8. UNDP PMU in consultation with UNOPS should correct the discrepancies in the project expenditure for Component 1, 2 and 4 to truly reflect the spending in each of the Components.

### **Component 3**

9. It is important periodically to question the continued validity of an implementation baseline. In the case of Component 3, the baselines were the CTI regional and national action plans. RETA 7307 was rightly intended to serve the plans’ objectives. That alignment notwithstanding, CTI stakeholders, led by ADB, should periodically revisit the plans and confirm their technical soundness in the often fast-changing socio-economic and environmental circumstances. The challenge for all is not mainly to mobilize funds for a set of tasks but to ensure that the tasks themselves continue to have a sound economic justification.
10. Some of RETA 7307’s work on the economic aspects of marine and coastal management would deserve to be continued under a strengthened peer input and editorial assistance. Key messages relating to the economic and financial aspects of CTI (now summarized in the EFACT study) should be periodically updated to incorporate new results and be made to fit the requirements of specific occasions (e.g. high level meetings etc.). This work would ideally be driven by FRWG with encouragement and leadership by ADB.
11. In any follow-up project the large and diverse output relating to the subject of knowledge management, produced under RETA 7307, ought to be ordered and prioritized, and continued validity of the approach to KM adopted in 2011, re-confirmed. ADB should ensure that the key document (the Needs Assessment report of 2011) that retains much of its original value is available to CTI stakeholders on line.
12. GEF and implementation partners should question the place of PES within a broader range of approaches to financing of sustainable management of marine and coastal resources. ADB in particular should turn to a fuller menu of financing options including the more conventional ones the next round of its technical assistance activities.
13. In projects deliberately and justifiably formulated to address regional and global concerns the local dimension should not be forgotten. In the case of CTI, regional and country activities cannot exist without one another. The challenge for future rounds of CTI action is to arbitrate among three groups of claimants on financial and technical support, i.e. (a) the regional structures (the regional secretariat and policy-making upper echelons); (b) country-level institutions; and (c) local and field level

stakeholders. ADB should place the topic of this financial arbitration on CTI agenda, possibly attaching it to the Study of CTI financial architecture now underway.

- 14.** Several imaginative decisions taken by ADB and RETA consultants in mobilizing political and financial support for CTI deserve to be replicated. One example was the High Level Financial Roundtable (CT6) Ministerial Meeting and Marketplace that coincide with 45<sup>th</sup> ADB Annual Meeting. GEF should take leadership in identifying and helping organize similar occasions in consultation with CTI partners.