



The Bay of Bengal Large Marine Ecosystem Project - Monitoring and Evaluation overview

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BOBLME Project

Monitoring and Evaluation

- **Monitoring and Evaluation – DEFINITIONS**
- **Monitoring and Evaluation – PURPOSE**
- **Monitoring and Evaluation - PHILOSOPHY**
- **Monitoring and Evaluation - FAO/GEF Projects**
- **Monitoring and Evaluation - BOBLME M&E
PROCESS and PLAN.**

Monitoring

Monitoring is the continuous or periodic process *by project personnel* to collect and analyze data to measure the performance of a program, project, or activity:

- **Project Inception Report;**
- **Quarterly Progress Reports;**
- **Project Implementation Reviews;**
- **Project Terminal Report; and**
- **Technical and Field Reports**

Evaluation

Evaluations are systematic and *independent* quantitative and qualitative assessments of ongoing or completed projects or programs, along with their design, implementation, and results.

- Mid-Term Evaluation;
- Final Evaluation; and
- Periodic Evaluations.

BOBLME Monitoring and Evaluation *Purpose*

The Purpose of BOBLME M&E should be to:

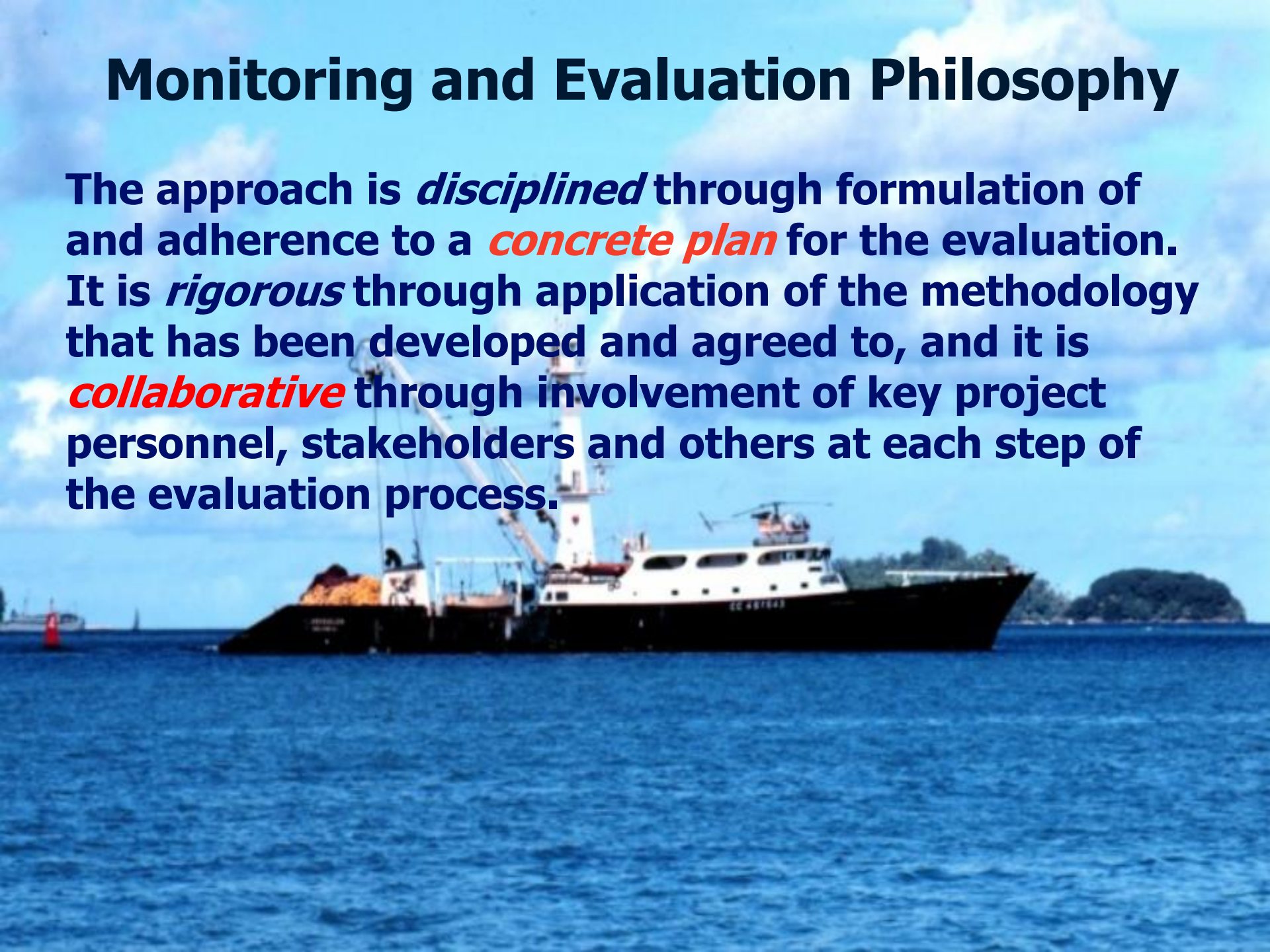
- **Enable “course corrections” as the project moves through implementation;**
- **Provide *timely* and *actionable* advice to project personnel;**
- **Satisfy FAO, GEF, and donor requirements; and**
- **Provide a useful base of information for the conduct of the mid-term and final evaluations.**

Monitoring and Evaluation Philosophy

Evaluations are *a disciplined, rigorous, and collaborative process* of gathering and analyzing information to identify and apply lessons learned in a way that makes individuals more effective, and projects and programmes more successful.

Monitoring and Evaluation Philosophy

The approach is *disciplined* through formulation of and adherence to a **concrete plan** for the evaluation. It is *rigorous* through application of the methodology that has been developed and agreed to, and it is **collaborative** through involvement of key project personnel, stakeholders and others at each step of the evaluation process.



Monitoring and Evaluation

Application to BOBLME Project

BOBLME Monitoring and Evaluation will include, depend upon, or make reference to, among other things:

- A range of FAO and GEF mandated reporting requirements;
- Basic project documents: Project preparation documents, Project Document, logframe;
- Interviews, meeting minutes, workshop reports, PSC discussions and decisions; and
- Annual National Workplans and Annual Regional Workplans.

Monitoring and Evaluation - FAO/GEF Reporting Requirements (1)

Project Inception Report (1st Annual RWP)

Quarterly Project Progress Reports (QPPRs)

***Project Implementation Reviews (PIRs)
(Annual/GEF mandated)***

Periodic Evaluations

Monitoring and Evaluation - FAO/GEF Reporting Requirements (2)

***Technical and Field Reports
(Discretionary)***

Mid-term Evaluation (Independent)

Project Terminal Report

Final Evaluation (Independent)

Three Major Pillars of BOBLME M&E

- 1. Logical Framework Analysis (Logframe)**
- 2. Annual National Workplans (ANWPs)**
- 3. Annual Regional Workplans (ARWPs)**



Logical Framework Analysis (Logframe)

- What is it? A tool for planning and managing development projects through identification of: *Outcomes, Indicators of Success, Baseline Conditions, Targets, Sources of Verification, Risks and Assumptions*

- What are its more specific uses?

Mandatory for Project consideration; Helps Refine Project Design (Content); Creates an Effective Way to Track Progress (critical to M&E) and thus make “Course Corrections” easier; and is an invaluable tool for Evaluators (M&E Processes)

OUTCOME	INDICATOR	BASELINE	UPDATED TARGETS	SOURCES OF VERIFICATION	RISKS AND ASSUMPTIONS
Information management and handling tools and procedures developed and adopted	National data handling and management plans developed, adopted and functioning	Poor cooperation among the various national level ministries responsible for gathering and assessing LME based management plans Some regional focus for development of tools previously created by ACEP and WIO-LaB	<p>Targets (Year 1):</p> <p>9 country level, country developed D&I plans 2 D&I Working Group meetings (PI)</p> <p>2 Reports of D&I Working Group Meetings (PI)</p> <p>Short letters of Agreement describing data exchange among countries (PI)</p> <p>Short letter of Agreement among scientists, countries and the ASCLME Project describing data use and publishing (PI)</p>	<p>Documents related to the tools and procedures developed by the project</p> <p>Review of the country level plans</p> <p>Copies of SC, PCU, and workgroup meetings, workshops and reports related to this Activity</p> <p>Interviews with project personnel, sister projects, and country and regional organizations focused on development of national level information and data handling tools and procedures</p> <p>Review of the D&I Working Group reports and minutes</p> <p>Review of the letter of agreement among the scientists, countries and ASCLME Project</p>	Risk that countries will not find it possible to commit resources to this activity given other pressing economic and social needs

Logframe

Pre-project Logframes – Often created years before implementation begins, thus can be outdated before the project is underway, but.....

Can and has been updated during project (post) Implementation

Pre-project Logframe

BOBLME Project

Examples of Limitations when using Best Available Information at time of preparation:

- ***Post-tsunami assessment;***
- ***TDA refinement; and, in general....***
- ***Inevitable changes and shifts given the 5 years since logframe development.***
- ***Pre-project logframes are in many ways, and necessarily, a "best guess" exercise.***

Logframe Update:

Post Implementation Update Example (BCLME)

- **Project Goal, Outcomes and Baseline remained largely unchanged; but**
- **Targets (deadlines), Sources of Verification, and Risks and Assumptions were refined and expanded.**
- **Update benefits included: Improved activity definition; improved budgeting; improved logframe and M&E interface; improved co-finance; more synergistic partnerships; overall improved focus and efficiency.**

Logframe: “Rolling” Approach (1)

As was true with the BCLME post implementation Logframe update, a BOBLME update would be one where the.....

- Project Global Development Objective, Outcomes, and Baseline would remain largely unchanged, however.....
- Targets, Sources of Verification and Risks and Assumptions will be added and could become increasingly refined as time horizons become ever tighter.

Logframe: Rolling Approach (2)

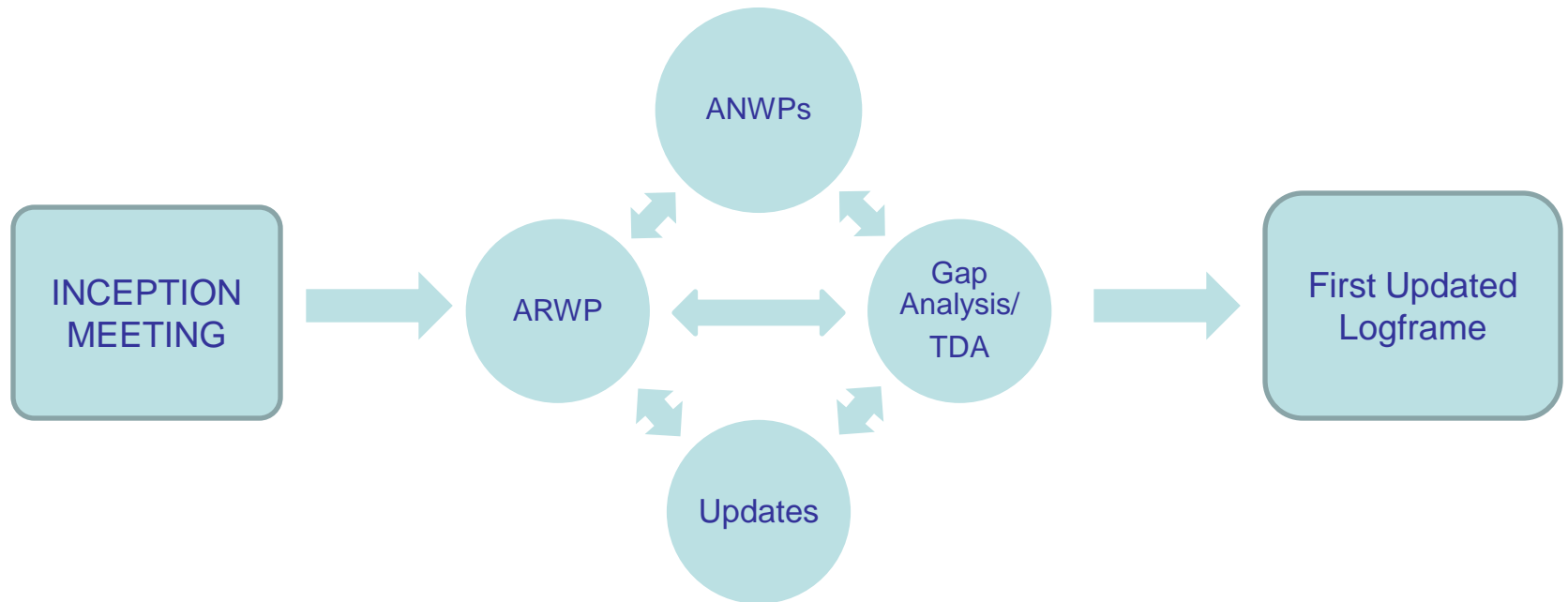
- The Project would adopt a “rolling” approach through yearly logframe updates, meaning it would be initially, and continuously updated consistent with:**
- TDA – Gap analysis results and further work;**
- Assessments of changes/events of past 5 years;**
- Yearly updated progress report in meeting defined targets; all through...**
- Ongoing consultation with RCU, PSC approval, and selected stakeholders.**

PROJECT STRATEGY	OBJECTIVELY VERIFIABLE INDICATORS AND CONDITIONAL FACTORS				
GOAL/Global Development Objective:	To ensure the long-term sustainability of the living resources of the Agulhas and Somali LMEs (ASCLMEs) through an ecosystem based approach to management of the ASCLMEs.				
	INDICATOR	BASELINE	YEARLY TARGET	SOURCES OF VERIFICATION	RISKS AND ASSUMPTIONS
Undertake an environmental baseline assessment of the Agulhas and Somali Current Large Marine Ecosystems to fill information gaps needed to improve management decision-making; and to ascertain the role of external forcing functions (such as the Mascarene Plateau and the Southern Equatorial Current). This information will be used to develop a TDA and SAP for the Agulhas Current LME, and a TDA for the southern portion of the Somali Current LME					

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Logframe Update Flowchart



Annual National Work Plans (1)

(ANWPs)

Prepared by each country and submitted to RCU as tool for preparation of the ARWP. It provides:

- A review of the past year's activities;**
- Plans for the coming year;**
- Discussion of technical activities;**
- A provisional financial report; and**
- Reports on communications/dissemination, monitoring and IT.**

Annual National Work Plans (2)

As the ANWPs are critical to forming the ARWPs, and both are essential to the M&E process:

The Monitoring and Evaluation Specialist will assist countries in preparation of a format for preparation of the ANWPs as necessary, as well as assisting in development of country monitoring and evaluation plans.

Annual Regional Work Plans (1)

(ARWPs)

Prepared by the RCU and submitted to the PSC for their endorsement within 45 days of January 1: As with the ANWP they provide:

- A review of the past year's activities;
- Plans for the coming year;
- Discussion of technical activities;
- A provisional financial report; and
- Reports on communications/dissemination, monitoring and IT.

Annual Regional Work Plans (2) (ARWPs)

The ARWPs are a central ingredient needed to measure project progress. They will:

- **Overall, be a key resource that allows the PSC to track progress and inform its decision-making;**
- **Help form, and be informed by, the ANWPs;**
- **Be a key resource for Project Progress Reports; Periodic Evaluations; the Mid-Term Evaluation; QPPRs; and the Final Evaluation.**

Quarterly Project Progress Reports (QPPRs)

The Regional Coordinator must prepare Quarterly Progress Reports (QPPRs) which contain, among other things:

- An account of actual implementation of project activities compared to the ARWP;***
- Identification of problems and constraints;***
- Clear recommendations for corrective actions;***
- Lessons learned; and***
- A detailed workplan for the next reporting period.***

Intensive Periodic Evaluations (1)

Two intensive, *independent* Periodic Evaluations could be added to the M&E process, and they would include:

- Interviews with key personnel responsible for implementation of activities related to achievement of project outputs.
- Interviews with policy level country representatives in the participating countries of the project.
- Interviews with other selected stakeholders.

Intensive Periodic Evaluations (2)


- A description of the overall progress observed towards successful project implementation, noting the extent to which project specific milestones have been achieved and which have not.
- Where progress has been demonstrated, identify best practices and describe lessons learned;
- Where progress has lagged, describe the relevant causes, both internal and external to project implementation activities; and
- Provide timely recommendations to the Project for revisions that may be necessary to achieve greater success.

Project Periodic Evaluations (3)

- **The first periodic evaluation would begin at the time of the second Steering Committee meeting in 2011, and would help inform the Project Mid-Term Review.**
- **The first periodic evaluation would utilize the first ARWP, the initial ANWPs, project documents and reports, and interviews with key project personnel and selected stakeholders.**
- **The second periodic evaluation would utilize subsequent ARWPs and ANWPs and also project documents and field-based interviews.**

Annual Project Implementation Reviews (PIRs/GEF Mandated)

The GEF, through PIRs for its IW projects, uses three categories of Indicators of Project progress:

- 1. Process Indicators;**
 - 2. Stress Reduction Indicators; and**
 - 3. Environmental Status Indicators**
- 

Process Indicators

GEF Process Indicators are actual, on-the-ground *evidence* of institutional and political progress. Examples include the creation and functioning of:

- **The Project Steering Committee**
- **National Project Advisory Groups**
- **Interministerial Committees**
- **National and Regional level TDA/SAP working groups**

Stress Reduction Indicators

Stress Reduction indicators refer to on the ground or on/in the water measures *implemented* by the participating countries at national or regional level. Examples include:

- **Point and non-point source pollution control measures.**
- **Amount of underwater or wetland areas placed into protection in the form of no-take zones or marine protected areas.**
- **Percentage of fishing capacity decreased and replaced by alternative livelihoods.**

Environmental Status Indicators

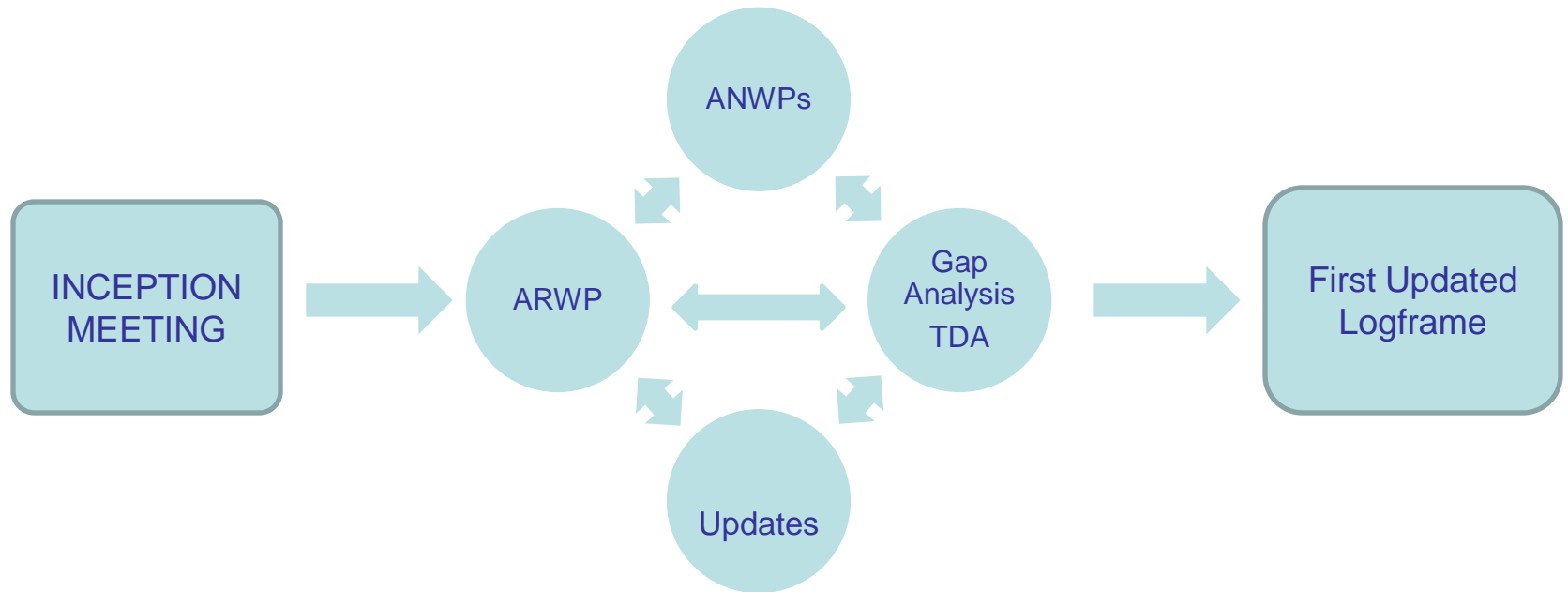
Environmental Status indicators are measures of actual performance or success in restoring and protecting the targeted water body. Examples include:

- Improved recruitment classes of targeted fish species, diversity, or keystone species.**
- Demonstrable reduction of persistent organic pollutants in the food chain.**
- Quantified extent of coral reef restoration as a result of enforced effluent standards.**

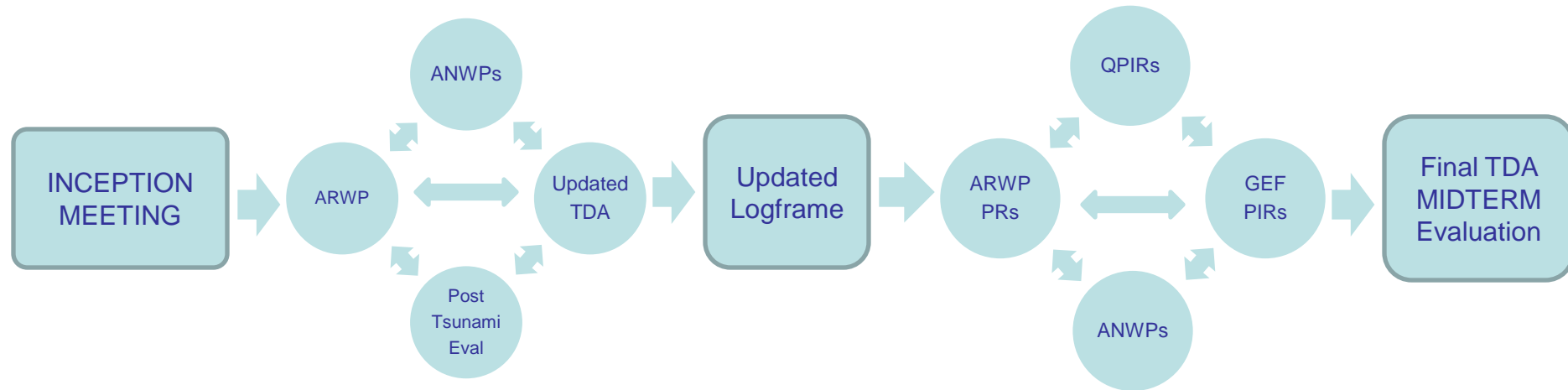
OUTCOME	INDICATOR	BASELINE	TARGET	SOURCES OF VERIFICATION	RISKS AND ASSUMPTIONS
Information management and handling tools and procedures developed and adopted	National data handling and management plans developed, adopted and functioning	<p>Poor to non-existent tools and procedures at both national and regional levels</p> <p>Poor cooperation among the various national level ministries responsible for gathering and assessing LME based management plans</p> <p>Some regional focus for development of tools previously created by ACEP and WIO-LaB</p>	<p>Targets (Year 1):</p> <p>9 country level, country developed D&I plans</p> <p>2 D&I Working Group meetings (PI)</p> <p>2 Reports of D&I Working Group Meetings (PI)</p> <p>Short letters of Agreement describing data exchange among countries (PI)</p> <p>Short letter of Agreement among scientists, countries and the ASCLME Project describing data use and publishing (PI)</p>	<p>Documents related to the tools and procedures developed by the project</p> <p>Review of the country level plans</p> <p>Copies of SC, PCU, and workgroup meetings, workshops and reports related to this Activity</p> <p>Interviews with project personnel, sister projects, and country and regional organizations focused on development of national level information and data handling tools and procedures</p> <p>Review of the D&I Working Group reports and minutes</p> <p>Review of the letter of agreement among the scientists, countries and ASCLME Project</p>	Risk that countries will not find it possible to commit resources to this activity given other pressing economic and social needs

PROJECT STRATEGY	OBJECTIVELY VERIFIABLE INDICATORS AND CONDITIONAL FACTORS				
GOAL/Obhective	To formulate an agreed upon Strategic Action Programme (SAP) whose implementation over time will lead to an environmentally healthy Bay of Bengal Large Marine Ecosystem.				
	INDICATOR	BASELINE	TARGET	SOURCES OF VERIFICATION	RISKS AND ASSUMPTIONS
Objective of the Project: To support a series of strategic interventions that will provide critical inputs into the SAP whose implementation will lead to enhanced food security and reduced poverty for coastal communities.	<p>An effective regional and national capacity established and sustainable that will lead to cooperative, transboundary management of the BOBLME through adoption and implementation of a SAP.</p> <p>Application of GEF Process, Stress Reduction, and Ecosystem Status Indicators.</p>	<p>Transboundary issues have yet to be fully identified by the participating countries, and countries have not engaged in a joint SAP development exercise.</p> <p>Preliminary institutional analysis not yet conducted and formal structures and binding agreements have yet to be established and adopted.</p> <p>National realignment in policy, legislation and management practices, essential in order to embrace a truly transboundary ecosystem approach, not yet undertaken.</p>	<p>Key data generated, analyzed and information gaps filled (PI)</p> <p>Artisanal fisheries assessments and socio-economic analyses, using existing information, filled and used to inform the TDA process (PI)</p> <p>Completion of TDA and successful negotiation of a regional level SAP with specific targeted measures identified and endorsed at multiple Ministerial levels (PI)</p> <p>Formal mechanisms in place, including M&E mechanisms, to ensure sustainability of all processes beyond the life of the Project (SRI)</p>	<p>Minutes and other documentation of SC/PCU meetings, work groups, and other entities related to project implementation.</p> <p>Cooperative, collaborative and ongoing monitoring and assessment to advise policy and governance decisions.</p> <p>Formal partnerships at regional level established in support of training and capacity building.</p> <p>Effective, documented stakeholder participation in ongoing SAP implementation activities.</p>	<p>Risk that pressing domestic economic social issues will prevent senior national political figures to grasp the long-term importance of the need to sustainably manage the living marine resources within the LME. A lack of political will.</p> <p>Risk that national level political leaders will not see the benefits and thus conclude importance of regional coordination of efforts to sustainably manage the LME.</p> <p>Overall assumption that the resulting regional and national structures can be made politically and economically sustainable.</p>

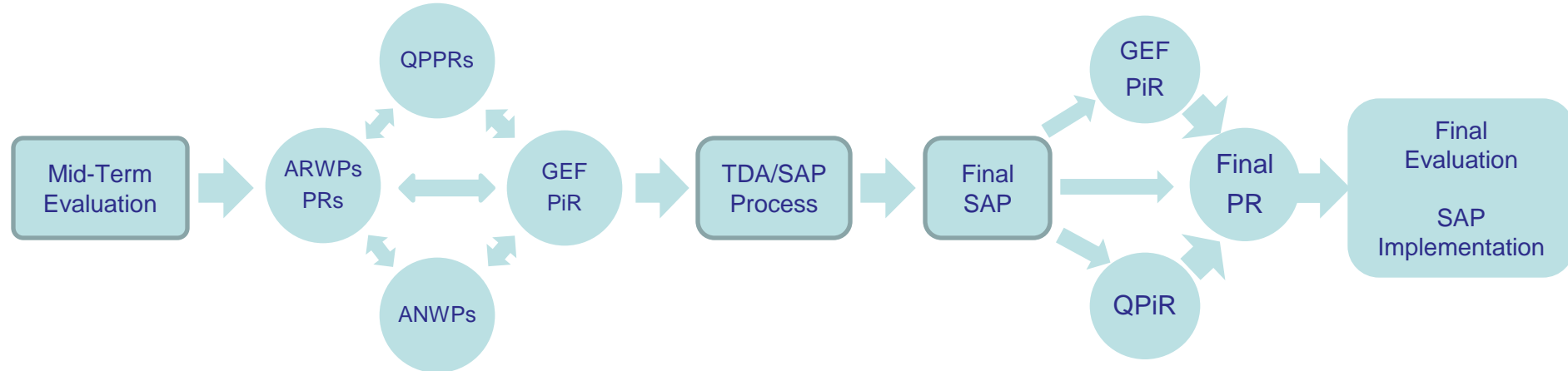
Logframe Update Flowchart



M&E: Inception Meeting to Mid-Term Evaluation



M&E: Mid-Term to Final Evaluation



Bay of Bengal Large Marine Ecosystem Project

Key Monitoring and Evaluation Activities and Timelines

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Let the voyage begin

