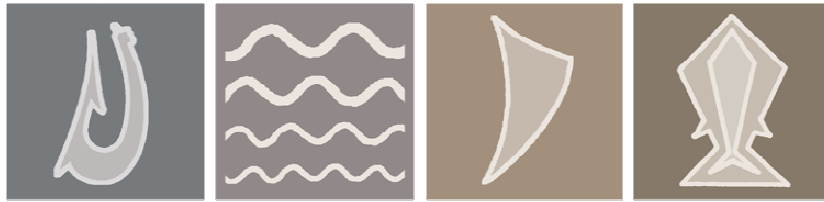


# PACIFIC ISLANDS



## OCEANIC FISHERIES MANAGEMENT

**FINAL REPORT  
ANNUAL REVIEW 2007  
PACIFIC ISLANDS OCEANIC FISHERIES  
MANAGEMENT PROJECT (OFMP)**

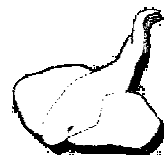
**A Report Prepared for the Pacific Islands Forum  
Fisheries Agency (FFA)**

**By  
Les Clark,  
Ray Research**

**March 2007**



**FFA**



# FINAL REPORT OFMP ANNUAL REVIEW 2007

## RECOMMENDATIONS

The key recommendation of this Review is that the FFA Secretariat should implement a programme of targeted support to some, generally smaller FFA Members, using both the resources of the OFMP and other FFA staff resources to strengthen, improve and speed up implementation of the in-country activities under the law/policy/institutional reform/compliance component. This work should be targeted at Pacific SIDS that are struggling to participate in the WCPFC and to meet their WCPFC obligations, especially the reporting obligations, and might involve support to establish or strengthen national consultative processes for OFMP activities and oceanic fisheries management where this is appropriate. It should draw on a broad range of FFA resources including the availability of FFA technical staff in-country, attachments and FFA workshops, especially those associated with MCS and the WCPFC TCC.

The other recommendations are:

- the IUCN contribution to the OFMP should be speedily re-designed and committed, to include activities that are appropriate, high quality, and can be effectively implemented within the remaining Project life;
- the OFMP should seek to create opportunities for improved linkages with Indonesia and the Philippines
- there should be more engagement with SPREP and GEF focal points
- the opportunity provided by the quality of the Knowledge Management Strategy Consultancy Report should be taken to seriously consider the role and shape of information/ understanding/awareness/communication in oceanic fisheries management generally, as well as within the OFMP specifically
- OFMP-supported meetings should be planned to reduce the impact/burden of the regional meetings schedule
- a Baseline Study should be prepared
- revisions to OFMP budgets needed to manage the impact of exchange rate movements and associated cost movements should ensure that the planned level of commitment to in-country activities is maintained
- consideration should be given to the preparation of a simple analysis of co-financing to assist the Mid-Term Review team.
- The Project should support the preparation of a simple summary of the achievements and shortfalls of WCPFC commitments by SIDS, based on the information in the Annual Part II Reports.

# 1 THE PROJECT

## 1.1 Background

The Global Environment Facility (GEF) International Waters (IW) Programme is supporting the Pacific Islands Oceanic Fisheries Management Project (OFMP) as the second phase of GEF/IW support for Pacific Small Island developing States (Pacific SIDS) efforts to enhance the management of the oceanic resources and protect the environment of the Western Tropical Pacific Large Marine Ecosystem.

In the initial pilot phase, the GEF IW South Pacific Strategic Action Programme (SAP) Project supported from 2000 the implementation of an IW Pacific Islands SAP, including a pilot phase of support for three years for the Oceanic Fisheries Management (OFM) Component, which underpinned successful efforts to conclude and bring into force the Western & Central Pacific Fisheries Convention.

In the OFMP second phase, GEF/IW is supporting Pacific SIDS (WCPF) efforts as they participate in the setting up and initial period of operation of the new Commission that is at the centre of the WCPF Convention, and as they reform, realign, restructure and strengthen their national fisheries laws, policies, institutions and programmes to take up the new opportunities which the WCPF Convention creates and discharge the new responsibilities which the Convention requires.

## 1.2 Logic

The logic of the OFMP flows from the structure of the IW Pacific Islands SAP<sup>1</sup>.

It has two goals, targeting:

- global environmental benefits by enhanced conservation and management of transboundary oceanic fishery resources in the Pacific Islands region and the protection of the biodiversity of the Western Tropical Pacific Warm Pool Large Marine Ecosystem; and
- enhanced contributions to Pacific SIDS sustainable development from improved management of transboundary oceanic fishery resources and from the conservation of oceanic marine biodiversity generally

It has two objectives, addressing the two major deficiencies in management that were identified by the IW Pacific Islands SAP as the ultimate root cause underlying the concerns about, and threats to, International Waters in the region. They are:

- The **Information and Knowledge** objective:  
**to improve understanding of the transboundary oceanic fish resources and related features of the Western and Central Pacific Warm Pool Large Marine Ecosystem.**; and
- The **Governance** objective:

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<sup>1</sup> The key elements of the IW SAP relating to oceanic fisheries are set out in Attachment A

***to create new regional institutional arrangements and reform, realign and strengthen national arrangements for conservation and management of transboundary oceanic fishery resources.***

It has two major technical components associated with the two objectives:

1. the Scientific Assessment and Monitoring Enhancement Component; aimed at providing improved scientific information and knowledge on the oceanic transboundary fish stocks and related ecosystem aspects of the Western Tropical Pacific Warm Pool Large Marine Ecosystem (WTP LME) and at strengthening the national capacities of Pacific SIDS in these areas.
2. the Law, Policy and Institutional Reform, Realignment and Strengthening Component; aimed at assisting Pacific SIDS as they participate in the earliest stages of the work of the new WCPF Commission and at the same time reform, realign and strengthen their national laws, policies, institutions and programmes relating to management of transboundary oceanic fisheries and protection of marine biodiversity.

And a third project support component:

3. the Coordination, Participation and Information Services Component; aimed at effective project management, complemented by mechanisms to increase participation and raise awareness of the conservation and management of oceanic resources and the oceanic environment.

### **1.3 Implementation**

Key features of the implementation of the Project for the purpose of this review include:

<b>Implementing Agency:</b>	United Nations Development Programme (UNDP)
<b>Executing Agency:</b>	Pacific Islands Forum Fisheries Agency (FFA), supported by the Secretariat of the Pacific Community (SPC), the World Conservation Unit (IUCN), the World Wildlife Fund (WWF) and the Pacific Islands Tuna Industry Association (PITIA)
<b>Participating Pacific SIDS:</b>	Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tokelau, Tuvalu and Vanuatu.
<b>Project Duration:</b>	5 years
<b>GEF Financing:</b>	US\$10,946,220
<b>GEF Approval (by the CEO):</b>	May 2005
<b>Implementation Start:</b>	October 2005

## 2 THE REVIEW

### 2.1 Project Monitoring & Evaluation

This annual review is one part of a Project monitoring & evaluation framework<sup>2</sup> that also includes:

- quarterly narrative & financial reporting
- annual reporting combining the Annual Performance review of the GEF and the Performance Implementation Review of UNDP (the APR/PIR)
- annual Regional Steering Committee meetings to consider the APR/PIR
- annual GEF Performance Results framework
- annual reviews
- mid-term review
- terminal report
- terminal evaluation
- post-project evaluation

The annual reviews are scheduled to be undertaken in the 2<sup>nd</sup>, 3<sup>rd</sup> & 4<sup>th</sup> years as short informal reviews to identify risks to project performance and propose adjustments to address those risks. The reviews are relatively small pieces of work, budgeted at US\$10,000 each compared to the US\$50,000 budgeted for the mid-term review, and so are designed to address specific elements of the Project rather than provide the kind of comprehensive assessment to be undertaken by the mid-term review. This is the first annual review, undertaken around the end of the 2<sup>nd</sup> year of the Project life, with less than half the Project budget spent, and this timing provides opportunities to identify adjustments that can still be made. Because it was undertaken early in the project life, it focuses on aspects related to inputs, since in most cases it is too early to comprehensively and realistically measure achievement of outputs and outcomes.

By comparison, the mid-term review is unlikely to be completed and reviewed until well into the 3<sup>rd</sup> year of the Project life, when most of the budget will have been spent and much of the balance committed, so that there will be a stronger element of identifying lessons learned, looking for opportunities to add value to activities already substantially under way and looking at needs for sustainability of impacts beyond the Project life.

### 2.2 Review Objectives

The objectives of this review as set out in the terms of reference are:

- to identify specific issues, difficulties or problems in the implementation and performance of the Project that involve risks to the achievement of Project objectives, particularly any such aspects that might not have been identified in the Project reporting and review processes to date; and*
- to make recommendations for necessary amendments and improvements for the implementation of the project associated with the risks identified.*

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<sup>2</sup> See Section J of the Project Document

In addition the terms of reference drew attention to some specific issues that had been identified require the review to:

*review and highlight the issues, difficulties and problems faced, lessons learned and successes achieved, paying particular attention to, among other things:*

- *The level of project awareness by stakeholders;*
- *Impacts of negative financial events (salary increases, exchange rate losses etc) on the overall project budget;*
- *The value and delivery of the project and overall progress by countries in meeting their Commission commitments;*
- *Identification of activities and outputs not on target and recommend ways in which to address matters (briefly);*
- *Impact of schedule of regional fisheries meetings on benefits that Pacific SIDS should incur from the project; and*
- *Level of communication across line ministries at national levels on matters relating to the Commission and country obligations.*

### **2.3 Approach**

The process of this review included:

- i) A preliminary review of project documentation including the Project Document, and documentation from the Regional Steering Committee meetings, including the national reports
- ii) Interviews in the margins of the fourth session of the WCPF Commission with representatives of 7 of the 15 Pacific SIDS participating in the Project and more general discussions with several others, and an interview with an SPC/OFP programme manager. The interviews focused on the effectiveness of Project inputs and outputs as well as the specific issues highlighted in the TOR noted in section 2 above. The interviews were informal, for the purpose of this review, taken as not representing official government views nor cleared with governments. The results of the interviews with the national officials are summarised in Attachment B.
- iii) Meetings with FFA staff, particularly the Project Coordinator in Honiara, and review of various project documents held by the Project Coordinating Unit
- iv) Preparation of a draft report
- v) Review of the draft report by the Project Coordinator, and FFA and SPC

Within the limited budget and scope of the Review, it was not possible to meet with UNDP, IUCN, WWF or PITIA representatives.

The Draft Report of the Review was completed in March 2007.

## **3 FINDINGS**

### **3.1 Project Design**

#### **3.1.1 Project Document**

The Project Document is regarded by FFA and SPC as very good project documentation. The Project Coordinator reports following the Project Document “religiously” as an accurate guide for project implementation. In part, this positive assessment may reflect the close involvement by those agencies in its preparation. Country representatives also seem to have no significant problems with the Document. There are indications that UNDP may have found the Document harder to work with, but as noted below, there was no direct contact with UNDP as part of this review process. Lack of involvement by UNDP Suva with the project preparation work may contribute to any difficulties experienced by UNDP – at around 250 pages in total including compulsory and optional annexes, the Document is not going to be easy for anyone to work with that was not involved in the original design work. However, the length and associated complexity seem to result directly from the GEF and UNDP requirements.

The quality of the Project Document seems at least to reflect lessons learned from this aspect of Phase I, and therefore to be a major improvement on the Phase I Project Document, which was described in the Phase I Terminal Evaluation Report in this way:

*“.....the ProDoc fell short of expectations. It did not provide adequate guidance to those implementing the OFM project; it did not build on past achievements and learn from past experiences; project design did not seem to identify problem situations adequately and their root causes; it was weak in terms of strategic planning, preparatory work and implementation strategies; having identified some risks it provided no risk management strategies; it failed to unify the two components and no synergies were planned.”*

Overall, the Project Document seems to be serving well to guide OFMP implementation, and no significant issues were addressed in the review with the Project Document.

#### **3.1.2 Project Financing**

Project activities are financed by a mix of GEF grant funds in US dollars and a substantial volume of co-financing from a range of sources. The decline in the US dollar has created some difficulty, but this has been addressed by increased co-financing from other sources so that there have been no apparent problems with the level of financing for the Project in its first two years. The adequacy of the the level of financing for the remaining three years of the Project will depend on exchange rate movements and the ability of FFA and SPC to continue to access additional co-financing to compensate for any losses in the real value of the Project’s financial resources due to foreign exchange movements and other cost increases. This and other issues associated with the project finances are covered in Section 3.3.

#### **3.1.3 Risk Analysis & Management**

One of the two objectives of this Review is:

*to identify specific issues, difficulties or problems in the implementation and performance of the Project that involve risks to the achievement of Project objectives*

On the surface, the OFMP has “*relatively high risks*” as one member of the GEF Council noted when the Project was submitted for approval, because it involves a relatively small volume of assistance to be delivered to a large number of small administrations spread over a wide area, highly leveraged against co-financing, and targeting institutional establishment and strengthening in the management of oceanic fisheries where the record in other regions globally is not good.

Two factors reduce these risks and are therefore important to Project risk management:

- a) the Project buys in to the established administration, programmes, networks and governance processes of two agencies with a good record of delivery in oceanic fisheries management in FFA and SPC. However, it also involves delivery by WWF, PITIA and IUCN which do not have the same background of delivery of this kind of assistance with attendant higher risks; and
- b) most of the oceanic fisheries in the region take place in the waters of coastal states, particularly Pacific SIDS and Philippines, making them more accessible in some ways to management processes than the largely high seas oceanic fisheries in other regions. However, this accentuates the importance of the quality of national management in these coastal states.

Against this background, the Logframe in the Project Document includes a comprehensive set of assumptions and risks. A more summarised and updated set of risks is identified in the UNDP Atlas Project Management system.

Attachment D includes an informal assessment of the extent of the risks included in the Logframe based on information available for this Review.

The analysis identifies a small number of risks at the input/implementation level. The following notes address the implications of these risks. Responses to these risks are included in the later sections of the report. The major risks identified include:

- i) **failure to make progress on the IUCN activities:** this failure puts at risk some of the seamount-related outcomes, but the consequences are not very serious for the Project. The IUCN activities, and the seamount elements more generally were rather “tacked on” to the OFMP at a late stage in the Project design to take advantage of a planned visit to the region by a deep-sea research vessel to increase awareness of issues associated with deep sea fisheries management. Other elements of the seamount-related work have been carried forward effectively by SPC/OFP. The research voyage was cancelled because of reasons beyond IUCN control. The failure of this component represents a lost opportunity, but should have little risk to wider Project outcomes. In fact, there might be opportunities in the current setting to redirect the resources and IUCN’s contribution to even more effective activities than those originally planned;
- ii) **The struggle of some Pacific SIDS, especially some of those with smaller fisheries administrations to participate effectively in the WCPFC,** including



meeting their Commission obligations, and to implement the necessary national reforms and strengthening; this risk is important because it goes to the core of the Project. The risk associated with WCPFC participation is not widespread, with Pacific SIDS generally perceived, and perceiving themselves, as participating effectively, but there are some Pacific SIDS “just scraping through” as one put it. In terms of meeting WCPFC obligations, the risk is greater. There are too many Pacific SIDS at this stage who are not meeting their basic annual reporting obligation, which is not in itself major, but may be an indicator of deeper difficulties with meeting obligations, and needs to be addressed

- iii) **Lack of commitment to National Coordinating Committees (NCCs):** the interviews and the RSC3 annual reports indicate a range of experience and performance with respect to the establishment and operation of NCCs. The NCCs were an important feature of the OFMP design as a response to the need for coordination of OFMP activities and improved inter-agency coordination in oceanic fisheries management. The mixed performance of the Project in this respect requires both some consideration in greater depth than is possible in this Review, and a response, particularly in Pacific SIDS where poor national coordination is identified as a risk to successful implementation of OFMP activities and enhanced oceanic fisheries management.
- iv) **Weak OFMP knowledge management processes:** as discussed more specifically in Section 3.2.4, these processes are weak in the OFMP. The strength of consequences of this risk is not clear. The consequences are probably less than they would be in many other project settings because there is a great deal of sharing of experience and learning from the experience of others between Pacific SIDS through the huge volume of regional oceanic fisheries management activities, especially the various workshops and meetings. There is also a significant effort being made through an ENGO and an INGO to promote broader participation and communication of the Project values. However, given the importance of information, understanding and awareness in the Project, this aspect needs attention.

For the other areas of significant risk identified in the risk analysis at the output or outcomes level, it is generally either too early to assess the level of risk or the risks relate to broader issues beyond the Project implementation. These include:

- i) whether surveillance and compliance operations can be sufficiently effective in the long term to avoid widespread IUU fishing damaging stocks
- ii) whether Pacific SIDS will have the level of commitment and understanding to make available the resources necessary for effective management and take the hard decisions necessary to conserve stocks
- iii) whether Commission Members more generally will be prepared to accept scientific advice and adopt and implement effective conservation and management measures, especially in the high seas

An additional risk that is not directly addressed within the OFMP, but could be, is that of linkages with Indonesia and the Philippines. The risk arises because around 25% of the total WCPO catch is taken in their waters, and the quality of data and level of research undertaken on those fisheries is significantly lower than that available for other WCPO

oceanic fisheries. The problems with data in particular are a major source of uncertainty in the assessments of WCPO tuna stock status.

### 3.1.4 Linkages

Project activities are very closely linked with the major relevant initiatives in oceanic fisheries management in the region because they are integrated into the work programmes of FFA and SPC/OFP. This is a source at the same time of one of the Project's major strengths, and one of its major weaknesses. The Phase I Project had the same feature which was nicely characterised by the Terminal Evaluation Team in this way:

*By "investing" its resources in an organization like SPC whose OFP had on-going research activities directly related to the aims and objectives of the OFM Project; and in the FFA whose fisheries management activities mirrored and extended those proposed under the OFM Project, GEF has benefited from a broader input of expertise and resources which would not have been available otherwise. It has therefore obtained an incremental result, broader than it would have been able to achieve on its own with its available resources, **even though this result is somewhat more difficult to extract and quantify on its own.**(emphasis added)*

At Phase II, the strengths of the approach of integrating the OFMP within the FFA and SPC/OFP programmes have if anything been greater than in Phase I. This time, perhaps because the two agencies and the FFA Member fisheries personnel were deeply involved in the design of the Project and the timeframe is longer (5 years compared to 3 for the pilot Phase I), the OFMP funded activities are generally more central elements of the FFA and SPC/OFP work programmes, and have led to greater leverage of ideas and additional resources than in Phase I.

At the same time, the weaknesses of the approach of integrating the OFMP with the FFA and SPC/OFP are also still apparent. National fisheries personnel that participate in the governing councils of the FFA and SPC/OFP programmes are typically aware of what the OFMP does and does not do. Other national fisheries personnel involved in oceanic fisheries personnel will usually be aware of particular OFMP funded activities within the FFA and OFMP programmes from the "branding" on workshops etc. Nevertheless, it is also sometimes difficult for national fisheries personnel to be able to coherently identify OFMP-funded activities within the FFA and SPC/OFP programmes.

Two other broader linkages merit consideration:

a) with SPREP, the GEF and national GEF focal points; SPREP attend meetings of the Commission and the Forum Fisheries Committee, the governing council of the FFA, and make valuable contributions in both gatherings, but have little involvement in other oceanic fisheries activities. The OFMP Project Document identifies SPREP as a potential member of the RSC, but it is apparently not a Member. FFA and SPREP might wish to review whether SPREP participation in the RSC would add value to the Project and to oceanic fisheries activities generally, or whether these purposes are already adequately served by SPREP participation at the Commission and WCPFC.

In terms of contact with GEF, the OFMP probably does not have the same richness of participation and involvement in GEF activities as some other GEF Projects – a lean

PCU, no significant budget for participation in GEF activities, remoteness from most GEF gathering venues, the existing travel load on key Pacific SIDS project participants, and the project design focus on technical activities rather than knowledge management related functions all apparently contribute to this outcome – one Pacific SIDS interviewee who had attended a GEF IW Conference noted with some ambivalence that other GEF project budgets included large elements for “getting together”. One question worth further consideration and beyond this Review is whether it would have been more beneficial to give greater priority in the budget to providing resources for OFMP participation in a wider range of GEF, especially GEF IW, activities.

The Project Coordinator maintains contact with GEF national focal points, visiting them when in-country and emailing information about in-country activities. This is unlikely to be sufficient to keep the national GEF focal points very well informed about the OFMP, especially as many of the GEF focal points are themselves carrying a large range of responsibilities, especially in the smaller countries. The PCU is unlikely to be able to do much more in this direction within its limits, but it seems useful to provide guidance encouraging those involved in organising any form of OFMP in-country technical activity to ensure that GEF national focal points are informed and where appropriate, invited to participate. This could be included in the Communications and Information guide/handbook for OFM activities.

b) with Indonesia and Philippines: the case for a linkage with Indonesia and the Philippines is made above. As background, the inclusion of Indonesia and Philippines in the OFMP was considered during the project design but put aside because of the institutional and legal difficulties. Subsequently, fisheries data has strengthened the case for a similar approach to enhancing oceanic fisheries management in Indonesia and the Philippines, and the WCPFC is sponsoring design of a GEF-funded project in this direction. In the meantime, while Indonesia and the Philippines are not beneficiaries of the OFMP and so Project funds can not be used to support their participation in Project activities, FFA in particular should consider options for Indonesia and especially Philippines to participate in appropriate OFMP activities, especially workshops, in the manner that SPC/OFP supports Philippine participation in the OFMP funded stock assessment workshops and the recent Tuna Data Workshop.

#### **3.1.4 Design Issues to be Addressed**

Two key related design issues emerge from the analysis above as needing to be addressed. These could be feasibly addressed at this early point in a way that would contribute to achievement of Project outcomes. They are under-resourcing of the PCU; weakness at national level in establishing Project coordinating structures and formulating and implementing national activities, particularly under the law/policy/institutional /compliance component.

The PCU is lightly resourced for a project of this magnitude and complexity, with a budget of around 12% of the total budget<sup>3</sup>. In particular, there are no resources specifically directed towards coordination with participating Pacific SIDS and formulation and implementation of national activities. The PCU has only one professional staff member, the Project coordinator. The assumption underlying this feature of the Project Design was that Pacific SIDS would be able to formulate and implement activities with

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<sup>3</sup> Based on the Component 3 budget excluding M&E and NGO funding

resources made available from the OFMP without substantial support. The basis of this assumption was:

- a) Pacific SIDS had been closely involved with the design of the Project and had stressed the need for the Project to deliver more benefits at national level, including identifying needs in each country that the Project could address
- b) Pacific SIDS had the capacity to establish internal coordination mechanisms and formulate and implement OFMP-supported activities with relatively little support
- c) With the activities embedded in the FFA and SPC/OFP programmes, OFMP national activities would be supported through broader interaction between Pacific SIDS and the two agencies.

As a result of the low level of resources in the PCU and weaknesses in the pattern of establishment and operation of national consultative committees, the progress in formulating and implementing national activities has been mixed as can be seen from the pattern of responses in the interviews to the question relating to the effectiveness of OFMP inputs at national level, especially from the law/policy/institutional component. Some countries, such as Cook Islands have been able to approach the Project as the design anticipated with a good understanding of what they needed and how to get support from the OFMP. Others have not been able to proceed in this way, relying on prompting and support from the Project Coordinator – and with the Project Coordinator being also responsible for all the project management activities, her capacity to visit countries and follow up with support for formulation and implementation has been limited especially in the first 18 months of the Project, with the result that delivery of assistance to some Pacific SIDS has been slow to start up. It is noticeable that some of the countries in which OFMP national activities have been slow to develop are also some of the countries in which the participation analysis in Attachment C suggests there has been less effective engagement with the WCPFC processes, and where greater OFMP support might be most needed and most valuable. Notwithstanding these comments, some of the streams of in-country assistance in the law/policy/institutional component such as the Institutional Strengthening Project (ISP) design activities, dockside inspection training programmes and legal reviews are now developing effectively.

***The slowness in start-up of delivery of national assistance in some Pacific SIDS from FFA in some elements of the law/policy/institutional component is the greatest single weakness in Project design and delivery identified in this Review.***

Taken together with the lower level of engagement by some Pacific SIDS in the WCPFC identified in section 3.2.3 of this report, this weakness requires a specific response from FFA. This response should involve a programme of targeted support to some, generally smaller FFA Members (perhaps including without being exclusive Kiribati, Niue, Tokelau, Tonga, Tuvalu) using both the resources of the OFMP and other FFA staff resources to assist such countries to formulate and implement OFMP activities, as part of a broader programme of assistance for preparing for, and participating in WCPFC activities. This issue is taken up further in relevant later sections of this report and features in the Recommendations.

Other design aspects that merit attention based on the analysis above are:

- the need for speedy re-design and commitment to IUCN-implemented activities
- creating opportunities for improved linkages with Indonesia and the Philippines
- more engagement with SPREP and GEF focal points

## **3.2 Project Delivery**

### *3.2.1 Volume & Quality of Inputs*

No apparent problems, risks or substantial issues with the volume and quality of inputs for the OFMP core activities implemented by FFA and SPC/OFP have been identified in the Review. There is a completely highly positive response from Pacific SIDS to the quality of inputs from national representatives, including the FFA and SPC/OFP staff appointed, in-country and external consultants and capacity-building activities presented.

Overall, the quality of participants in training activities is regarded as good, although it is recognised in some countries it can be challenging to find appropriately qualified personnel for participation in scientific workshops. One issue raised is that it would be helpful to have papers for workshops in the law/policy/institutional component made available earlier.

The capacity building activities are particularly highly regarded, including the stock assessment workshops, assistance from SPC/OFP for Part I report preparation, monitoring support, TUFMAN database development, National Tuna Fisheries Reports, WCPFC meeting briefs, management options workshops, MCS working group, legal analyses and compliance staff training are all noted in the interviews in highly favourable terms. Some of these core activities of the Project, such as the stock assessment workshops are being delivered at higher levels than planned with co-financing support. Examples are the annual rather than two-yearly stock assessment workshops and the management options workshops now being delivered in three sub-regions as well as the overall annual regional workshop, which are regarded as having a substantial contribution not just to the capacities of SIDS and the effectiveness of their participation in the Commission, but also to the quality of measures being adopted by the Commission.

It is early to judge the quality of the NGO implemented inputs, but the early contribution from WWF is regarded very highly.

The IUCN delivery failure is a problem but there is time to correct this and there is an opportunity for redirecting resources committed to those activities positively.

In terms of input volumes, the Project overall seems to be on track apart from the IUCN component and the issues noted above with the slowness of start-up of delivery of in-country activities in some Pacific SIDS. This is confirmed by the pattern of disbursements as discussed in Section 3.3.2.

### *3.2.2 Management, Coordination And Operational Issues*

A substantial part of the design of the Project and its apparent initial operational success, is based on the long-established working relationship between FFA and SPC/OFP. This may not always be completely smooth – the recent initiative to fold FFA into SPC for example didn't help – but it is very effective, and the two organisations clearly work together well.

The relationship with UNDP Suva is newer. The pilot phase was implemented through UNDP Apia, which is closely involved with SPREP, but the phase II implementation was

transferred at a late stage in the project design to UNDP Suva. It seems the implementation may have been initially challenging to UNDP since it is a large and complex project in which they had very little involvement in the design activities, but FFA and SPC/OFP indicate that the relationship with UNDP Suva is working well.

The relationship between FFA and WWF is excellent, assisted by the involvement of a WWF staff member in the project design, and the working relationship with the Pacific Islands Tuna Industry Association is developing well.

At a broader operational level, there has to be some underlying concern about the risks to project operations from political instability in Fiji and Solomon Islands, but the FFA Headquarters in Honiara and the UNDP Suva Office have shown resilience in relatively difficult conditions in the past and can be expected to have the necessary backup plans in place if conditions worsen and threaten OFMP operations.

### *NCC Weakness*

One clear weakness in coordination is the mixed performance of the establishment and operation of National Consultative Committees (NCC). In the Project Document, the NCCs are designed to serve the dual purposes of national coordination of OFMP activities and enhancing national coordination of oceanic fisheries management.

The NCCs were an important design feature for the GEF. The apparent rationale is to secure broader stakeholder participation in Project activities. That is understandable. A decade ago, donors might have been prepared to grant funds to FFA and SPC more or less to go forth and do good work in association with the national fisheries agencies. But now there is a much greater emphasis on stakeholder involvement to ensure the appropriateness and effectiveness of development activities, and donors want to see coordination structures that ensure stakeholder involvement, and this was a particularly weak aspect of the Phase I project.

However, there are wide differences between Pacific SIDS in their sizes and approaches to Government. Five of the 15 Pacific SIDS have populations of less than 20,000 – 4 have less than 10,000 – all of these with a Cabinet of 6 Ministers or less holding multiple portfolios, and very small fisheries administrations, and a large external aid programme. The administrations of these countries generally have a very limited number of formal inter-agency structures with most of the key functions relevant to fisheries included in a small number of agencies with very broad functions or falling under one or two Ministers and largely coordinated at that level. For some of the smaller countries, who most need the assistance of the OFMP, donor coordination arrangements are a fatiguing burden, to nobody more so than the Environment Service, usually a single officer or two, and seen as an essential member of every donor's national coordination arrangements. For projects where there is a large in-country programme or activity, nationally executed, with substantial involvement of the national stakeholders in shaping the activities, national consultative structures are essential and welcome. But the OFMP is regionally executed; much of its in-country activity is provided in terms of standardised training and advisory modules that have been designed and are reviewed at regional level, especially in the monitoring and science component; the level of funding of individual in-country activities is relatively small and there may not be separate in-country activities in every participating country every year; and establishing a separate OFMP national

coordination mechanism, as one senior interviewee from a smaller country noted, is simply “not worth it”.

On the other hand, the Papua New Guinea fisheries administration is structured as an Authority, run by a Board including representatives of key agencies and the private sector, with at least sporadic consultations with broader stakeholders including NGOs that have all the necessary elements to serve as an NCC.

The result has been difficulties in establishing NCCs in some countries. This doesn't mean that an NCC is not useful, or even necessary in some Pacific SIDS, or that improved national coordination is not required – it definitely is in many Pacific SIDS, but maybe one size doesn't fit all. This is an issue that also deserves closer attention by the mid-term review. In the meantime, however, there is a need to look at ways to improve OFMP activity coordination and coordination of oceanic fisheries management in countries where in-country OFMP activities are lagging and where lack of national coordination is contributing to difficulties that a Pacific SIDS may be having in participating effectively in the WCPFC and meeting WCPFC obligations.

#### *Effect of the Regional Meeting Schedule*

One operational issue that has emerged as particularly significant in the operation of the OFMP is that of the impact of the regional meeting schedule. The record of the RSC3 includes the following:

*“The Committee noted the numerous fisheries meetings and the impact this agenda on effective participation. It was suggested that the FFA plan and prioritize the meetings to minimize the undertaking of too many meetings.”*

This issue also features in some of the annual OFMP reports. In the interviews, there was a systematic difference between some Pacific SIDS that acknowledged there were a lot of meetings but considered they were important and needed to be worked around, including through better scheduling, and others, typically smaller countries to whom coastal fisheries and other priorities were relatively important, who were more concerned about the impact of the heavy meeting schedule.

This is a perennial and perhaps intractable issue. After a mission where key contacts in some countries were not available because they were away at regional and international meetings, an FFA legal consultancy report<sup>4</sup> in 2003 identified as one of the constraints on implementation of UNCLOS

*an increasingly high, even excessive, level of demand for participation placed on key national level personnel by the international and regional level law and policy making system - the relative lack of integration of the international and regional agencies has significant impact at a national level;*

Since then, the position has got a lot worse with additional WCPFC, and WCPFC-related, meetings.

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<sup>4</sup> Constraints Affecting the Implementation of the 1982 United Nations Convention on the Law of the Sea in the Pacific Island States: A Report to the Forum Fisheries Agency and other Pacific Regional Agencies

The meeting schedule clearly has an impact on some OFMP activities. There were occasions when the Project Coordinator had to defer country visits because key personnel were off-island; participation in some meetings and workshops is not complete or includes less appropriate personnel because of the travel load; and the RSC is clearly shorter than some would like and scheduled to fit in with other meetings, which also affects who comes to it. One activity that seems to have been particularly affected is the attachment programmes in the two technical components, where heavy travel loads have made it difficult to synchronise availability of the national attachment participants and the relevant regional experts.

In practice, the regional meeting and travel load has become a limiting factor on regional and national fisheries activities generally, perhaps less marked on oceanic fisheries/OFMP activities than some others, because of the higher priority attached to WCPFC-related activities than to others.

The situation is not likely to change. As reflected in the prominence given to fisheries, especially oceanic fisheries, at the Forum in 2007, fisheries is if anything, becoming even more prominent regionally. The international and regional setting for oceanic fisheries management is also becoming more prominent and more complex as fishing presses up more closely against biological limits. Within the WCPFC, there are some elements that will want increased meetings, precisely because of the difficulties that Pacific SIDS face in participating in them. There are likely to be few, if any, options for managing the meeting and travel load to reduce its impact. The organisations involved already make a substantial effort to prioritise and programme meetings. Possibilities include:

- a) replacing regional meetings with more nationally focused activities. The scope for this is likely to be limited, since there are between 14 and 20+ Pacific SIDS involved in regional fisheries activities, and few activities are large enough to sustain that number of separate in-country activities as alternatives to regional activities, such as in-country courses or workshops. Even if they are, very few can put on workshops or courses in every country in the same year. Most can only manage to deliver 3-5 national workshops or courses each year, which means it takes several years to deliver a programme to all SIDS. Steps in this direction include:
  - i) sub-regional activities: the FFA sub-regional Management Options Workshops were highly regarded in the interviews, particularly because they allow more depth of participation. They also reduce travel time since the venues are closer and allow three countries to host the meetings each year.
  - ii) Transferring functions to national institutions, particularly training activities
- b) Improved planning; in the last two years, some regional meetings have been organised on short notice, as the organisations come to terms with the WCPFC schedule, disrupting national planning. This year the FFA activities are better planned, and the FFA website calendar includes most regional fisheries meetings which is helpful, but some are still missing.
- c) Choice of venue: geography now plays a bigger role. Fiji has usually been the centre of gravity for regional meetings. With the establishment of the WCPFC



Headquarters in Pohnpei, there are now more meetings in northern areas (in 2007, the three major WCPFC meetings were in Guam, Honolulu and Pohnpei, in 2008 they will be in Pohnpei, Port Moresby and Korea) which are harder, longer and more expensive for countries such as Cook Islands, Niue, Samoa, Tokelau and Tonga. A conscious effort to hold OFMP and other non-WCPFC meetings in a venue such as Fiji might partially redress some of this change in geography.

### 3.2.3 *Participation*

Two participation-related issues were important in the design phase of the Project and remain key issues, both needing attention. They are effective participation of Pacific SIDS in the Commission; and participation by Pacific SIDS in OFMP activities

Throughout the MHLC and Prep Con processes leading up to the establishment of the Commission, Pacific SIDS emphasised the importance of their effective participation in the Commission – they saw themselves as dependent on the region’s tuna resources; these resources could not be effectively managed without their full participation; and they did not want to be, and could not afford to be, bystanders in the process. The importance of this issue was heightened by a series of GEF-funded study tours to attend meetings of tuna commissions in other regions where large fishing states, including the EU, Japan and the US were seen brutally over-riding the interests of developing coastal states, especially smaller developing coastal states, by being able to dominate the processes of those commissions, especially technical meetings. In response, Pacific SIDS put specific provisions into the WCPFC Rules of Procedure and Financial Regulations to fund Pacific SIDS participation and limit the numbers of sessions of WCPFC meetings.

Attachment C provides some measures of participation by Pacific SIDS in the Commission and by comparison, in OFMP activities.

The first seven columns in Attachment C list the numbers of Pacific SIDS participants in the WCPFC Scientific Committee (SC), Technical & Compliance Committee (TCC) and the Commission itself. Broadly, the data indicates a healthy level of participation. The only cases where Pacific SIDS did not attend WCPFC meetings were apparently due to visa difficulties, and there have been an average of around 50 Pacific SIDS participants at each WCPFC meeting, more at the Commission sessions, less at the Committee meetings. Within this data, there are however large differences. Countries such as Papua New Guinea and Marshall Islands consistently send delegations of three or more, helped by industry participation. On the other hand, countries such as Niue, Kiribati, Tokelau and Tonga typically send a single representative using the WCPFC funding. At these meetings, it is difficult for a single person to be effective, especially when it is not the same person attending all the meetings, because of the volume of material, the complexity of discussions, the amount of informal work that is done on the side and the importance of continuity in the discussions. Some measure of the difficulty that small administrations face in participating in the WCPFC processes is given by the estimates in the table of the amount of time scheduled for WCPFC-related meetings in 2007. Overall, this is estimated to have required around 79 days, or over 11 weeks, of time to participate in the Commission meetings and key FFA Workshops. Some officials from Pacific SIDS administrations attend all of these meetings, and the list does not include the various technical workshops and SPC and FFA governance meetings (FFC and

Heads of Fisheries). Over time, despite Pacific SIDS opposition, the number of WCPFC meetings is increasing because of pressure for the WCPFC to make progress and large fishing state preference to work through technical working groups rather than have work undertaken by the WCPFC Secretariat. The WCPFC load is on top of, not instead of, most of the fisheries meetings that were held previously.

This data is supported by the information from interviews and national reports that indicate that Pacific SIDS consider that they are participating effectively in the WCPFC, but that it is a strain. Comments note Pacific SIDS inexperience in this setting, and that Pacific SIDS participation is noticeably still dependent on a small number of experienced participants. This participation is also strongly supported by, and dependent on OFMP-funded and other support from FFA and SPC/OFP. Overall, the effectiveness of Pacific SIDS participation, despite the difficulties listed is one of the major positive features of the early period of the WCPFC, and a major success of the Project. However, performance is uneven, and some additional targeted effort is appropriate to support Pacific SIDS having particular difficulty in participating.

The 8<sup>th</sup> and 9<sup>th</sup> columns list the submission of WCPFC reports – the Part I report (fishery overview and science) and the Part II reports (compliance). This data provides a less satisfactory picture of Pacific SIDS involvement in the WCPFC. Four of 15 Pacific SIDS apparently did not submit Part I reports for 2007 by December 2007, and six apparently did not submit Part II reports. Provision of the annual reports is the most basic obligation of Commission members. Continuing failure to provide reports at this level would undermine the effectiveness of Pacific SIDS participation and Commission programmes and measures; and represent a significant risk to the achievement of planned outcomes of the OFMP. SPC/OFP provides support to Pacific SIDS to prepare Part I reports, and this was noted in interviews as a valuable output of the OFMP. FFA does not apparently provide similar support, at least in any systematic way, for the preparation of Part II reports. A systematic effort needs to be made to correct the non-reporting. Opportunities for this include directed efforts by FFA and SPC/OFP through attachments and country visits, and inclusion of work on WCPFC Annual reports within the work undertaken in workshops such as the sub-Regional Management Options Workshops and the Stock Assessment or Monitoring Workshops.

#### 3.2.4 Knowledge Management

Knowledge management is a relatively new concept to participants in the OFMP. A recent OFMP report<sup>5</sup> describes it this way:

*“managing knowledge can be thought of as a process maximizing best use of what is known. The sharing of knowledge transforms it into information; the act of that sharing being communication. Whatever the wording chosen or level of language used, the ultimate aim is usually the same: managing knowledge allows an organization or project to store, access, transform and disseminate information to support the goal of effective communication”*

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<sup>5</sup> Knowledge Management Strategy: OFMP draft report by Lisa Williams-Lahari

Knowledge management has become an important instrument to development agencies especially in connection with environmental programmes as a means of increasing programme impacts. To UNDP-GEF, the objective of its knowledge management efforts is to “leverage lessons learned from projects, and to replicate successes”. Typically, there is an element of advocacy in knowledge management efforts – of “getting the message out”.

Knowledge management efforts are treated in a fairly cursory manner in the Project Document. There is no discussion of it in the text, but the structure of the Project does include an Output 3.1.2: *Knowledge management process identifying innovative, best practice and replicable ideas within the Project and relevant to the Project and active involvement with IW:LEARN and including Knowledge Management Components for Website/page, newsletters, and progress reports.*

In the event, relatively little has been done in this direction. There is a Project logo and website, and OFMP activities are more clearly identified with the Project than in Phase I, but there are no Project newsletters as such, though newsletters are produced within some of the Project’s components, the structure and language of progress reports in the UNDP & GEF system makes them relatively limited in value to a broader audience, and the OFMP webpage is dry. Against this background, the OFMP Knowledge Management Strategy report prepared by Ms Williams-Lahari provides an excellent rationale and proposal for a comprehensive knowledge management strategy for the Project, recommending the following ten elements:

1. Analysis of information and knowledge needs of National Focal points
2. Electronic Reference Group
3. Communications and Information guide/handbook for all OFM project meetings and activities
4. Media, information and Knowledge management roundtable or workshop for national focal points and partners and stakeholders
5. Training for key stakeholders in IW: LEARN and the global GEF Project Information Management System (PIMS) and other relevant database systems.
6. Development of a Pacific GEF database for the FFA website to ensure ownership and broader access to IW: LEARN or the UNDP/GEF PIMS
7. Development of a directory/database of Pacific KM facilitators
8. Pacific media internships to drive mainstream understanding, reportage, and support information outputs
9. Regional workshop for Fisheries/Marine/Environment information officers on linking their work plans to OFM Information Strategy
10. Launch of two key electronic discussion and information lists on OFM issues – one open and the other restricted

Some context might be useful in considering these proposals. The Phase I project was criticised by the Terminal Evaluation Team for failing to address public participation in the Project’s activities. In response, the project design includes provision and funding for an environmental NGO and an industry NGO to be enrolled into Project implementation in order to promote non-governmental stakeholder and public awareness of oceanic fisheries management issues and strengthen NGO participation in oceanic fisheries management. This was in itself an innovative step which introduced a communication/advocacy element, but kept it at some distance from the key agencies in the Project. The latest proposals would involve the FFA in particular in media,

information and communications-related areas far beyond its current involvement. In part, the limited current involvement of FFA and SPC/OFP in these areas reflects attitudes from the Member governments that do not encourage the secretariats of the organisations to present views separately from the members. Releases for the public media tend to be brief statements covering particular meetings, often tightly negotiated in clearance processes between members. The websites of the FFA and SPC/OFP provide relatively little information suitable for non-technical readers such as students or media personnel researching a story (compared to say the SPREP website), and neither appears to be very actively involved currently in generating material for distribution beyond their designated technical audiences. However, the current programme of invited visits by Pacific Island Heads of Government to FFA Headquarters in Honiara provides an example of the value of increased media coverage of oceanic fisheries management issues.

The position of the WCPFC Secretariat is probably even more limited – three months after the 4<sup>th</sup> session, there is not even a record of the meeting available because the Commission Members have apparently not even been able to agree on a record of what they said.

A measure of the interest or support (or difficulty?) of this issue for FFA Members may be the failure of even a single FFA Member to respond to an email questionnaire sent out to gather information for the Knowledge Management Strategy Report. Nevertheless, Ms Williams Knowledge Strategy Report provides a good basis for discussion on strengthening the knowledge/information/circulation/advocacy package of activities related to oceanic fisheries information and deserves the close attention of the FFA and SPC/OFP Secretariats and Pacific SIDS. Full implementation of the recommendations is not likely to be possible even if they were accepted because of funding implications, but some could be, and others deserve attention in a longer term, broader perspective within the organisations involved, especially the FFA. The recommendation for a Communications and Information Guide/Handbook for all OFM project meetings and activities seems a particularly useful way to make more effective use of OFMP resources for increasing awareness and promoting understanding given the limits in PCU capacity in this direction. Among other options, those involved in OFMP project activities could be guided to involve national GEF focal points and to actively pursue opportunities for media exposure of the Project's activities.

### 3.2.5 *Monitoring and evaluation*

The GEF Monitoring and Evaluation Policy sets the objectives for monitoring and evaluation of GEGF projects as:

*a) promote accountability for the achievement of GEF objectives through the assessment of results, effectiveness, processes and performance of the partners involved in GEF activities.; and*

*b. promote learning, feedback and knowledge sharing on results and lessons learned among the GEF and its partners, as basis for decision-making on policies, strategies, program management, and projects and to improve knowledge and performance.*

Effective monitoring and evaluation of Pacific Island regional activities and programmes is difficult. The reporting processes are very heavily oriented towards reporting up to the funding agencies, in this case the GEF and UNDP. The technical capacities of these agencies are limited and remote, and there is typically very little feedback on technical elements. UNDP Suva is best placed to play an active external role because it is closely involved in monitoring the Project through the level and pattern of disbursements, and can pick up in particular whether some activities are failing to be implemented, and is able to attend the RSC meetings and meet with Pacific SIDS personnel independently in the process of its work in the region.

External evaluations by consulting teams are also difficult. They can usually only visit a limited number of countries as well as the Executing and Implementing Agency Head Offices, and also usually are scheduled to meet with Pacific SIDS representatives on some other occasion where the representation might or might not be appropriate.

RSC meetings are difficult to organise within the tight regional fisheries meeting schedule. They almost always have to be piggybacked on another meeting, which means the pattern of participants is heavily influenced by the content of the associated meeting, the RSC meetings have to be brief, and the content may be overshadowed by the other meeting(s). National focal points are appointed at a range of levels. Initially, they tended to be senior officers but in some cases that responsibility is passed on to other personnel with a lesser work and travel load. The result is some national focal points who would like the chance to become more involved in the Project with a longer RSC meeting and additional sessions, and others who can't afford more than the one day currently programmed.

However, two additional elements add in a very positive way to the monitoring & evaluation framework of the OFMP. They are:

- a) the written national reports presented to the RSC, which reflect a substantial effort and provide a very good review of the key aspects of the Project at both the input, output and outcome levels
- b) the fact that the Project activities are subject to additional review when the work programmes of FFA and SPC/OFP are presented to the governing councils of those agencies

The Terminal Evaluation of the phase I OFM Component was very influential in shaping the OFMP and in securing GEF and UNDP support for it. Timing points to the Mid Term Review being the most important external review of the OFMP, and preparation for it is, and should continue to be, a high priority.

Overall, within the limits noted above, the monitoring and evaluation process seems to be working effectively, and there are no clear alternatives for enhancing it at this point.

One element that is missing however, is a Baseline Study. In the pilot phase I, a Baseline Study and a Progress Report were prepared. The Terminal Evaluation Report described the Baseline study as excellent, and the two reports as *"of great help to the Evaluation Team."* It is not clear that these reports which involved a substantial effort were used in any other way, but they provide a valuable basis for carrying monitoring forward. A Baseline Study now needs to be undertaken for the OFMP, documenting the

status of ocean fisheries management in 2005 or 2006, and using the GEF IW Indicator structure.

### *3.2.6 Delivery Issues to be Addressed*

The key delivery issue is the need for FFA to strengthen, improve and speed up implementation of the in-country activities under the law/policy/institutional reform/compliance component. This work should be targeted at Pacific SIDS that are struggling to participate effectively in the WCPFC and to meet their WCPFC obligations, especially the reporting obligations, and might involve support to establish national consultative processes for OFMP activities and oceanic fisheries management where this is appropriate.

Other delivery issues identified in the review include:

- the need to ensure that alternative IUCN-implemented activities are appropriate, high quality, and can be effectively implemented within the remaining Project life;
- the opportunity provided by the quality of the Knowledge Management Strategy Consultancy Report to seriously consider the role and shape of information/understanding/awareness/communication in oceanic fisheries management generally, as well as within the OFMP specifically
- planning to reduce the impact of the regional meetings schedule
- preparation of a Baseline Study

### 3.3 Finances

#### 3.3.1 The Budget

A budget summary is given in the table below. 47% of the budget is committed to the science & monitoring component; 35% to the law/policy/institutional/compliance component, and the balance to coordination, participation & information services.

<b>1. Scientific Assessment and Monitoring Component</b>	(US\$)
1.1 Fishery Monitoring	1,260,000
1.2 Stock assessment	880,000
1.3 Ecosystem Analysis	2,551,000
Data processing/management	150,000
SPC Project Support	306,250
	<b>5,147,250</b>
<b>2 Law, Policy and Compliance Component</b>	
2.1 Legal Reform	679,000
2.2 Policy Reform	1,849,000
2.3 Institutional Reform	392,000
2.4 Compliance Strengthening	729,000
FFA Project Support	234,850
	<b>3,883,850</b>
<b>3. Coordination, Participation and Information Services Component</b>	
3.1 Information Strategy	35,000
3.2 Monitoring and Evaluation	222,000
3.3 Stakeholder Participation & Awareness Raising	400,000
3.4 Project Management & Coordination	1,159,000
FFA Project Support	99,120
	<b>1,915,120</b>
<b>TOTAL</b>	<b>10,946,220</b>

The budget is well understood by the Implementing Agencies who use a more disaggregated working budget that was developed during the project design.

The main issue with the budget has been the loss in the value of the Project budget from the related factors of the weakening of the US dollar, and increasing staff costs in a budget which did not build in any cost increases. Staff costs are currently running at 30-40% above the budgeted values. This particularly affects the science & monitoring component. The loss in the value of the budget has largely been managed by sourcing increased co-financing, especially for consultancies. The situation appears to have been transparently dealt with at Regional Steering Committee meetings with budget revisions, and does not generally seem likely to put at risk Project outcomes.

As noted above, one of the issues with the budget is that the aggregated budget at the level of reporting to UNDP and Pacific SIDS does not separately identify budgets for regional and national in-country activities, especially in the law/policy/institutional/compliance component. More detail at this level is available in the working budgets used by FFA and SPC/OFP. One concern should be to ensure that the budget

adjustments to maintain the salary components do not result in any reduction of in-country activities, by replacing national in-country consultancy and other budgets with budgets for consultancies for regional activities.

### 3.3.2 Disbursements

The table below outlines the patterns of disbursements and expenditures by comparison with the initial Project budget. By December 31 2007, 45% of the way through the life of the Project, UNDP had disbursed 48% of the Project budget, and 46% of the Project budget had been spent. This is below the delivery rate provided for in the initial approved budget which provided for 56% of the budget to be spent by December 2007, but of the shortfall of around \$900,000, \$610,000 is due to the failure of the planned IUCN activities which are now being reprogrammed, and the balance seems largely attributable to the slow start-up of some of the law/policy/institutional/component. On balance, the rate of delivery is consistent with full implementation of the Project within its planned 5 year life, provided the IUCN activities can be speedily programmed and implemented. If they cannot, these resources should be diverted to other areas of the Project.

	Initial Approved Budget (US\$)	Received from UNDP (US\$)	Cumulative % of Total Budget	Spent (US\$)	Cumulative % of Total Budget	Cumulative % of Project Life
2005	668,675	628,676	5.7%	208,139	1.9%	5.0%
2006	2,751,365	1,834,068	22.5%	2,092,871	19.1%	25.0%
2007	2,737,105	2,775,661	47.9%	2,745,510	46.1%	45.0%
2008	2,058,330					
2009	1,622,445					
2010	1,108,300					
	<u>10,946,220</u>					

From discussion with the PCU and SPC/OFP, the process of disbursement seems to have gone generally smoothly, after some initial concerns from UNDP about the size of the advances, and some resulting difficulties with cashflow for the Implementing Agencies.

### 3.3.3 Financial Management

This Review has not included any detailed analysis of the Project's financial management. The Auditor's Reports are satisfactory; reporting between FFA, SPC/OFP, UNDP and RSC Members seems comprehensive, if a little cumbersome; and the Project Finance & Administration Officer is widely regarded as highly competent and diligent. At this level, the financial management of the Project seems exemplary.

It should be noted that all disbursements for national activities are being made by the Implementing Agencies, even for local purchases. The Project Document is silent on how disbursements for national activities should be made, and there is a case to be made for encouraging national disbursement as a way of securing greater participation and buy-in to national activities. However, national fisheries administrations generally



prefer to have disbursements made through FFA or SPC even for local consultancies or equipment purchases rather than having the payments made to their national treasuries. This, taken with the very strong financial management capabilities of FFA and SPC, and the potential difficulties with managing disbursements through such a large number of small administrations, supports the present approach.

#### *3.3.4 Co-Financing*

The large volume and complex pattern of co-financing is an important feature of the OFMP. There is no specific arrangement within the UNDP/GEF processes for accounting of co-financing, which seems a weakness for programmes where co-financing is a relatively important element of the Project design and approval process. There is therefore no systematic documentation of the volume and pattern of co-financing for Project activities. However, the obvious strength of support from other donors and Pacific SIFDS for Project-related activities suggests that the level of co-financing meets the commitments and projections in the Project document and may well exceed them substantially.

This area might be covered by the Mid-Term Review (MTR), but in practice, given the range of other elements of the Project that the MTR is required to address, it is difficult for the Review team to be able to assess co-financing from scratch. In this situation, there would be value in the Project preparing a simple assessment of estimated co-financing that could be made available for the MTR.

#### *3.3.5 Finance Issues to be Addressed*

This Review has not identified any financial issues that need to be addressed beyond the current approaches.

Managing the impact of exchange rate movements and associated cost movements will be important to maintain the planned level of commitment to in-country activities within the budget revisions necessary to respond to cost increases.

There would be value in having a simple analysis of co-financing prepared to assist the Mid-Term Review team.

### 3.4 Results

#### 3.4.1 Outcomes

After only two years, it is early to make firm assessments of output gains from the capacity building and institutional development that are the core of the Project. The following table summarises the responses from the interviews related to some of the key outcomes targeted by the Project.

<b>Is your delegation better prepared for WCPFC4 than WCPFC2 (2005) or not?</b>	All answered yes, some emphatically, and identified OFMP contributions to these gains from both components - two with reservations related to national positions not yet being fully developed and lack of continuity in delegates
<b>Are your national oceanic fisheries management arrangements better than in 2005 or not?</b>	Four answered yes, two others said not yet but expected gains from OFMP inputs, one wasn't sure - all identified OFMP inputs from both components that had contributed to these gains or potential gains
<b>What progress has your country made in meeting its WCPFC commitments?</b>	Three felt that progress was satisfactory and the meeting of commitments was fairly complete, and the other four reported only partially meeting commitments for reporting and application of measures. All reported OFMP contributions to this progress, especially from the monitoring and science component, with several indicating the need for additional legal support.
<b>Is the Commission being effectively established (in terms of staffing, headquarters, budget, research etc ?</b>	All considered the Commission was being effectively established, with two noting problems with staffing and the HQ office. All considered OFMP inputs had contributed substantially, noting the dependence on the Commission's data and science programmes on SPC input, and the importance of FFA standards and CROP administrative structures
<b>Is the Commission functioning effectively?</b>	Opinions varied, six responded – three were positive; three were negative. All noted substantial OFMP inputs to the effectiveness of the Commission, and the Commission's heavy dependence on inputs from FFA Members and SPC/OFP
<b>Are FFA Pacific Island Countries participating effectively in the work of the Commission?</b>	All considered that FFA Pacific Island countries are participating effectively, some noting more could be done and capacity limits. All noted important OFMP contributions, especially from the Briefs, preparatory meetings and Stock Assessment and Management Options Workshops

In summary:

- all felt their delegations were better prepared for the Commission meeting in 2007 than two years earlier, and that Pacific SIDS are participating effectively in the Commission
- most reported improvement in their oceanic fisheries management arrangements and others were optimistic about future improvement
- progress on meeting WCPFC commitments was mixed
- the Commission is regarded as being generally effectively established in terms of staffing budget etc but opinions vary about whether it is functioning effectively

OFMP inputs are reported as important to the overall pattern of progress being made.

This measure of perceived achievements of outcomes is satisfactory at this stage. Two particular uncertainties about achievement of outcomes arising from the above analysis are worth noting:

a) the first is the uncertainty attached to the effectiveness of the functioning of the Commission. This depends substantially on cooperation from other Commission Members, especially fishing states; and

b) the second is the apparent unevenness in SIDS progress in meeting their WCPFC commitments. This supports the proposal discussed above that increased OFMP effort should be directed at supporting Pacific SIDS in meeting their WCPFC commitments. This initiative would be helped by having a clearer picture than is currently available of the pattern of achievements and shortfalls with respect to SIDS WCPFC commitments. The information is included in the Annual Part II Reports. Preparing a simple summary of this information would assist the directing of Project resources in this work.

The other reported limits and uncertainties should be noted in Project planning.

### 3.4.2 Sustainability and Follow-Up

Project Activities: an immediate issue relating to sustainability is that of the sustainability of project activities – specifically, will the kinds of programmes being carried out by FFA and SPC/OFP and national activities that are being supported be able to continue, where necessary, when GEF support stops, and in particular, are there actions that could or should be taken within the Project now to ensure that necessary programmes do continue?

With respect to the regional activities, there is a difference between the activities under the two technical components of the Project. The budget of the Law, Policy and Institutional Reform, Realignment and Strengthening Component is largely committed to consultancies, workshops and attachments directed towards specific capacity building activities with relatively little at stake in terms of sustainability. The budget of the Scientific Assessment and Monitoring Enhancement Component on the other hand is largely committed to funding four posts at SPC/OFP, about which there must be more concern in terms of sustainability. A major achievement of Pacific SIDS and SPC/OFP has been to have funding of the stock assessment posts that were GEF-funded in the first pilot phase taken up within the WCPFC budget, ensuring the sustainability of this core scientific function. The four posts funded now are for coordination of monitoring, national scientific support and two scientists working on ecosystem analysis. Within these efforts, the area that will likely draw attention as the Project progresses is the ongoing training of observers and port samplers. Taking these training activities along with the training of inspectors under the Compliance sub-component, there is likely to be a need to shift the focus of this training from the regional organisations to training service providers with sustainable cost recovery-based funding. This issue was noted by the SPC/OFP Programme Manager at RSC3, and some strategic thinking on this issue should be promoted by the Project.

The pattern at country level is more mixed. There are indications that in many Pacific SIDS there are growing benefits from oceanic fisheries, there is enhanced awareness of the need for improved oceanic fisheries management, and increased resources are being made available to support national oceanic fisheries programmes, especially in areas such as monitoring, compliance, policy analysis and participation in regional fisheries affairs. That isn't surprising. It is just as true for example in Australia and New Zealand, where increased concerns about the quality of marine resource conservation, management and protection have seen increased resources made available for fisheries

management generally, reflecting global trends. However, in Pacific SIDS where the role of the fisheries sector is relatively small, it has been harder for fisheries administrators to make the same case for increasing resources available for programmes such as port sampling, observers, MCS, and meeting participation, and there will be particular challenges in sustaining national programmes. In large part, the outcome will depend on the perceived economic value of the increased oceanic fisheries management efforts that Pacific SIDS are now making and the effectiveness of awareness raising related to oceanic fisheries management.

The two major issues related to sustainability of Commission-related activities are:

- Funding of the Commission itself, largely from Member contributions, but in future perhaps from cost recovery charges should not be a major issue because of the relatively small budget in relation to the value of the fisheries – funding issues are more likely to be political efforts to obstruct Commission activities by tightening budgets rather than a failure to meet financial commitments.
- Pacific SIDS participation: seems likely to be much less of a problem than it could be because of the unique provision in the WCPFC financial regulations providing funding for a participant from each Pacific SIDS member to all WCPFC meetings, including meetings of working groups and other subsidiary bodies

Follow Up: while it is relatively early in the OFMP execution period, it is important that planning for any further GEF involvement should begin early enough for a further phase to be taken into account in planning at the GEF, and within the work programmes of FFA, SPC and other organisations involved in executing project activities. Any follow up should also follow logically from what has been a decade long stream of work both on the WCPFC Convention beginning in earnest with the Majuro meeting of 1997 and the preparation of the Pacific Islands IW SAP which was also initiated in 1997.

A perspective that might be useful in developing ideas for any follow-up project is this:

- The first pilot phase of GEF assistance focused on the preparation of an international legal instrument, supporting Pacific SIDS' efforts to "*conclude and bring into force the WCPF Convention*".
- The second phase of GEF assistance is being used to support Pacific SIDS efforts in institutional development and strengthening, as they "*participate in the setting up and initial period of operation of the new Commission that is at the centre of the WCPF Convention, and as they reform, realign, restructure and strengthen their national fisheries laws, policies, institutions and programmes to take up the new opportunities which the WCPF Convention creates and discharge the new responsibilities which the Convention requires*"
- Within this second phase, significant progress is likely to be made in adopting conservation and measures and closing the black hole of unregulated high seas fishing, but the conservation and measures are very much stopgap, aimed at holding the line and capping fishing effort at recent levels, rather than representing a long-term strategic approach towards optimal utilisation of the resources and protection of the WTP LME. For that, there will need to be a more strategic approach, reshaping the way resources are harvested and cutting back on some forms of use

Against this background a further phase of GEF assistance might move on from institution building to focus on the implementation of measures, including streams of work on:

- Strategies and Measures for the sustainable use of target stocks
- Strategies and Measures for the protection of non-target species affected by fishing, and for protection of the marine environment
- Ecosystem analysis and protection, including work on climate change
- Compliance with measures, possibly based on implementation of the FFA Regional MCS Strategy by Pacific SIDS

#### 4 **RECOMMENDATIONS**

The key recommendation of this Review is that the FFA Secretariat should implement a programme of targeted support to some, generally smaller FFA Members, using both the resources of the OFMP and other FFA staff resources to strengthen, improve and speed up implementation of the in-country activities under the law/policy/institutional reform/compliance component. This work should be targeted at Pacific SIDS that are struggling to participate in the WCPFC and to meet their WCPFC obligations, especially the reporting obligations, and might involve support to establish or strengthen national consultative processes for OFMP activities and oceanic fisheries management where this is appropriate. It should draw on a broad range of FFA resources including the availability of FFA technical staff in-country, attachments and FFA workshops, especially those associated with MCS and the WCPFC TCC.

The other recommendations are as follows:

- the IUCN contribution to the OFMP should be speedily re-designed and committed, to include activities are appropriate, high quality, and can be effectively implemented within the remaining Project life;
- the OFMP should seek to create opportunities for improved linkages with Indonesia and the Philippines
- there should be more engagement with SPREP and GEF focal points
- the opportunity provided by the quality of the Knowledge Management Strategy Consultancy Report should be taken to seriously consider the role and shape of information/ understanding/awareness/communication in oceanic fisheries management generally, as well as within the OFMP specifically
- OFMP-supported meetings should be planned to reduce the impact/burden of the regional meetings schedule
- a Baseline Study should be prepared

- revisions to OFMP budgets needed to manage the impact of exchange rate movements and associated cost movements should ensure that the planned level of commitment to in-country activities is maintained
- consideration should be given to the preparation of a simple analysis of co-financing to assist the Mid-Term Review team.
- The Project should support the preparation of a simple summary of the achievements and shortfalls of WCPFC commitments by SIDS, based on the information in the Annual Part II Reports.



## **ATTACHMENTS**

- A.** IW SAP
- B.** Summary of Interviews
- C.** Participation Analysis
- D.** Risk Analysis
- E.** Project Budget
- F.** Terms of Reference



**SUMMARY OF THE OCEANIC FISHERIES RELATED ELEMENTS OF THE STRATEGIC ACTION PROGRAMME FOR INTERNATIONAL WATERS OF PACIFIC ISLANDS**

**Goal** Integrated sustainable development and management of International Waters

**Priority Concerns:** Unsustainable use of resources

**Imminent Threats** Unsustainable exploitation of resources

**Ultimate Root Causes:** Management deficiencies

a) governance

b) understanding

**Solutions:** Oceanic Fisheries Management Programme

**OFM Activity Areas:** - sustainable ocean fisheries

- improved national and regional management capability

- stock and by-catch monitoring and research

- enhanced national and regional management links

## ANALYSIS OF INTERVIEWS

	Country 1	Country 2	Country 3	Country 4
<p><b>Is your delegation better prepared for WCPFC4 than WCPFC2 (2005) or not?</b> What is the Project contribution? - from</p> <p>a) the science/monitoring component b) the law, policy/institutional component</p>	<p>Yes, better understanding, knowing the issues, more continuity</p> <p>Better informed, analysis, understanding, national reporting Sub-regional MOWs outstanding, the regional MOW, legal gaps analysis</p>	<p>Yes</p> <p>High quality scientific inputs, involvement in EAFM, NTFSR MCS proposals, MOWs, briefing papers, FAD mgmt plan</p>	<p>Yes, better understanding, but national positions not fully developed yet</p> <p>From the SA workshops</p> <p>From the MO workshops, options analyses &amp; briefings</p>	<p>Yes</p> <p>SA workshops outstanding</p> <p>Huge - briefs, SR MOWs, draft measures</p>
<p><b>Are your national oceanic fisheries management arrangements better than in 2005 or not?</b> What is the Project contribution to this position? - from</p> <p>a) the science/monitoring component b) the law, policy/institutional component</p>	<p>Yes, plans in place, database developed, more personnel</p> <p>SA workshop, NTFSR</p> <p>Legal advice, WCPO awareness workshop, dockside inspection training, NPOA-IUU, seabirds, high seas mgmt</p>	<p>Yes</p> <p>Same no. of staff but improved capacity, in-country training</p> <p>Same, port state workshop</p>	<p>Not really, but the EAFM &amp; ISP work are expected to improve it</p> <p>The NTFSR &amp; EAFM inputs will contribute</p> <p>The ISP contribution is potentially huge, EAFM work is important, &amp; VMS is working following the visit of the Coordinator</p>	<p>Yes, more industry engagement, greater openness</p> <p>Nat. coordinator, new appointment, data now flowing Legal, VMS following PC visit</p>
<p><b>What progress has your country made in meeting its WCPFC commitments?</b> What is the Project contribution to this position? - from</p> <p>a) the science/monitoring component b) the law, policy/institutional component</p>	<p>Yes</p> <p>Basis of all reporting</p> <p>Framing of measures not to be burdensome, advice on reporting, nature of commitments, legal advice</p>	<p>Highly effective, data, reporting &amp; CMM implementation</p> <p>Moderately effective</p> <p>Data requirements</p> <p>Legislation</p>	<p>OK – data is OK, Pt I reporting OK, not Pt II</p> <p>SPC on Pt I</p> <p>Need help on Pt II, and legal analysis is lacking, expected from ISP</p>	<p>Data very good, applying all the measures, (authorisation, marking etc) reporting on time</p> <p>Large SPC input</p> <p>Legal support, but no national training</p>

<p><b>Is the Commission being effectively established (in terms of staffing, headquarters, budget, research etc ?</b></p> <p>What is the Project contribution to this position? - from</p> <p>a) the science/monitoring component</p> <p>b) the law, policy/institutional component</p>	<p>OK</p> <p>Significant</p> <p>Largely FFC-driven</p>	<p>Yes, but it needs more staff</p> <p>Quality of data and scientific inputs</p> <p>FFA Members have made major contributions to getting the commission started,</p>	<p>Yes, average</p> <p>Dependent on SPC structures</p> <p>Admin structures use CROP standards</p>	<p>Yes, but some minor problems in the HQ</p> <p>A lot</p> <p>Regional standards</p>
<p><b>Is the Commission functioning effectively?</b></p> <p>What is the Project contribution? - from</p> <p>a) the science/monitoring component</p> <p>b) the law, policy/institutional component</p>	<p>On its way, relatively miles ahead</p> <p>Major inputs</p> <p>Major inputs</p>	<p>Yes</p> <p>SPC inputs underpin WCPFC scientific work</p> <p>Commission outcomes largely driven by FFA ideas, policies and proposals for measures</p>	<p>Not really</p> <p>Very large contribution to data and science functions</p> <p>Major contributions to MCS, (ROP &amp; VMS esp) measures</p>	<p>Don't think so</p> <p>Helpful</p> <p>Very helpful</p>
<p><b>Are FFA Pacific Island Countries participating effectively in the work of the Commission?</b></p> <p>What is the Project contribution to this position? - from</p> <p>a) the science/monitoring component</p> <p>b) the law, policy/institutional component</p>	<p>Yes, but they can do more, they still lack experience, and it is a new cultural setting</p> <p>Training, knowledge</p> <p>MOWs extremely effective</p>	<p>Becoming more effective over time</p> <p>See above</p> <p>See above</p>	<p>Yes</p> <p>SA workshops, scientific analyses of options</p> <p>Huge contribution – briefs, workshops</p>	<p>Not as much as would like, capacity limits, limits on caucusng</p> <p>SPC presentations in internal meetings increases understanding</p> <p>Very helpful, esp. preparatory meeting briefs</p>
<p><b>B. INPUTS</b></p>				
<p><b>Have the technical inputs from the Project met your expectations/needs:</b></p> <p>a) at national level, from</p> <p>i) science/monitoring component;</p> <p>ii) the law, policy/institutional component</p> <p>a) at regional level</p> <p>i) science/monitoring component;</p> <p>ii) the law, policy/institutional component</p>	<p>Really good, there when needed</p> <p>Same</p> <p>No shortfall</p> <p>No shortfall</p>	<p>Happy, especially the science</p> <p>Happy</p> <p>High quality</p> <p>High quality</p>	<p>Yes</p> <p>Yes</p> <p>Yes</p> <p>Very much so</p>	<p>OK</p> <p>OK</p> <p>OK</p> <p>OK</p>

<p><b>Are there any shortfalls in technical inputs from the Project that need to be addressed.</b></p> <p>a) at national level, from</p> <p>i) the science/monitoring component;</p> <p>ii) the law, policy/institutional component</p> <p>b) at regional level</p> <p>i) the science/monitoring component;</p> <p>ii) the law, policy/institutional component</p>	<p>No</p> <p>No</p> <p>NO</p> <p>No</p>	<p>No</p> <p>Maybe</p> <p>Its good</p> <p>Its good</p>	<p>No, its OK</p> <p>No, its working</p> <p>No, OK</p> <p>No, very good</p>	<p>National awareness and priorities Same</p> <p>OK</p> <p>OK</p>
<p><b>C. PROJECT MANAGEMENT &amp; COORDINATION</b></p> <p><b>How effective has national project management &amp; coordination been (is there an NCC)? Why?</b></p>	<p>No NCC, but there is an active national focal point. National coordination is limited because it is not worth it, and the Env Service can't decide</p>	<p>Not very effective, using the Board, state-based government processes</p>	<p>NCC just set up after Coordinator visit</p>	<p>Need to have one, GEF focal point under another agency, not much contact</p>
<p><b>How effective has regional project management been in terms of:</b></p> <p>a) the Project Coordinating Unit?</p> <p>b) The Regional Steering Committee?</p>	<p>No problem, regular contact, updates</p> <p>Needs 2 days</p>	<p>Needs more staff, more public awareness, but small overhead, high delivery</p> <p>OK</p>	<p>Good</p> <p>OK</p>	<p>Doing good job, contact, been visited</p> <p>OK</p>
<p><b>D. OTHER ISSUES/OVERALL IMPRESSIONS</b></p> <p>1. What is the level of awareness of the Project among stakeholders;</p> <p>2. What is the impact of the schedule of regional fisheries meetings on national benefits from the project?</p> <p>3. What is the level of communication across line ministries on matters relating to the Commission and country obligations?</p> <p>4. Other issues/Impressions</p>	<p>Weak, GEF awareness issues handled by another Project</p> <p>Reduces time for the RSC, too many meetings, better scheduling is needed</p> <p>Excellent with Police (Maritime Affairs), Foreign Affairs, as required with others</p> <p>Running well</p>	<p>It's a problem</p> <p>Its a burden, but the meetings are important</p> <p>Not good</p> <p>Very happy</p>	<p>Low</p> <p>Nothing major, its easier when they are back-to-back</p> <p>OK through the Board and at higher level</p> <p>Very helpful</p>	<p>Good at MIMRA</p> <p>No real impact</p> <p>Very high</p> <p>Very positive</p>

Country:	Country 5	Country 6	Country 7
<p><b>Is your delegation better prepared for WCPFC4 than WCPFC2 (2005) or not?</b></p> <p>What is the Project contribution? - from</p> <p>a) the science/monitoring component</p> <p>b) the law, policy/institutional component</p>	<p>Yes, but ..., internal constraints, problem with continuity</p> <p>SA workshops MOW, pre-WCPFC FFCs, MCS WG</p>	<p>Obviously yes – more vocal, awareness of issues, where we should have been 2 years ago</p> <p>Capacity building, new staff, Very effective – brief &amp; workshops</p>	<p>Yes, know the issues and national positions</p> <p>NTFSR Policy advice, workshops</p>
<p><b>Are your national oceanic fisheries management arrangements better than in 2005 or not?</b></p> <p>What is the Project contribution to this position? - from</p> <p>a) the science/monitoring component</p> <p>b) the law, policy/institutional component</p>	<p>Yes, more staff, revised data collection protocols</p> <p>NTFSR in the pipeline, observer strengthening, SA workshop None, because of constraints in capacity to formulate requests</p>	<p>Difficult to say, staff limitations, resources are stretched</p> <p>Improved data collection, little bit of data analysis Identifying legal gaps &amp; amendments needed, raised stakeholder awareness</p>	<p>Not yet, restructuring work with ISP, whole-of-govt problems</p> <p>Improving</p> <p>Legal gaps analysis, constrained by availability of senior personnel &amp; FFA staff</p>
<p><b>What progress has your country made in meeting its WCPFC commitments?</b></p> <p>What is the Project contribution to this position? - from</p> <p>a) the science/monitoring component</p> <p>b) the law, policy/institutional component</p>	<p>Scraping through</p> <p>Strong on data, setting up systems, analysing &amp; compiling data</p> <p>Reporting backup, awareness, legal gaps analysis</p>	<p>Not all CMMs are implemented</p> <p>Data obligations met, SPC help with Pt I</p> <p>Not great, need legislative project</p>	<p>Constraints in the legal framework, being done by the ISP</p> <p>Data commitments met with support to the statistics person, project funded recruit Yes, see above</p>
<p><b>Is the Commission being effectively established (in terms of staffing, headquarters, budget, research etc ?</b></p> <p>What is the Project contribution to this position? - from</p> <p>a) the science/monitoring component</p> <p>b) the law, policy/institutional component</p>	<p>Not completed</p>	<p>Yes</p> <p>SPC support Yes, FFA Member proposals from briefs</p>	<p>Yes</p> <p>Not known Regional standards being applied in admin &amp; MCS, briefings</p>
<p><b>Is the Commission functioning effectively?</b></p> <p>What is the Project contribution? - from</p> <p>a) the science/monitoring component</p> <p>b) the law, policy/institutional component</p>	<p>Not completed</p>	<p>No, not in terms of access to info</p> <p>Provisions of advice +ve contribution</p>	<p>Yes</p> <p>Almost totally dependent on SPC, including GEF components Heavily dependent on inputs from FFA Members</p>

<p><b>Are FFA Pacific Island Countries participating effectively in the work of the Commission?</b>  What is the Project contribution to this position? – from  a) the science/monitoring component  b) the law, policy/institutional component</p>	<p>Yes</p>	<p>Yes</p> <p>Minor not yet, but SA workshops contribute  A lot, from the briefs &amp; workshops</p>	<p>Yes</p> <p>Info, assessment work  Yes, pre-WCPFC session collective work – otherwise we would be lost</p>
<p><b>B. INPUTS</b></p>			
<p><b>Have the technical inputs from the Project met your expectations/needs:</b>  a) at national level, from  i) the science/monitoring component;  ii) the law, policy/institutional component  b) at regional level, from  i) the science/monitoring component;  ii) the law, policy/institutional component</p>	<p>No, because of internal constraints in formulating requests</p> <p>See above  See above</p> <p>Yes  Yes</p>	<p>Yes  A little bit</p> <p>OK  Very good</p>	<p>Yes</p> <p>Yes  Yes</p> <p>Definitely yes  Definitely yes</p>
<p><b>Are there any shortfalls in technical inputs from the Project that need to be addressed.</b>  a) at national level, from  i) the science/monitoring component;  ii) the law, policy/institutional component  b) at regional level  i) the science/monitoring component;  ii) the law, policy/institutional component</p>	<p>Yes</p> <p>Need NTFSR</p> <p>Complete the management plan, infrastructural, association support</p> <p>No  No</p>	<p>No</p> <p>Yes, could do more</p> <p>No  No</p>	<p>No, substantial support is available from an ISP  Same as above</p> <p>No, the support is good as it is  No, same as above, but the papers could be made available earlier</p>
<p><b>C. PROJECT MANAGEMENT &amp; COORDINATION</b></p>			
<p><b>How effective has national project management &amp; coordination been (is there an NCC)? Why?</b></p>	<p>No, no NCC, little coordination, largely because of internal circumstances, change in focal point, less buy-in</p>	<p>NCC &amp; tuna management body</p>	<p>Not established</p>
<p><b>How effective has regional project management been in terms of:</b>  a) the PCU?  b) the RSC?</p>	<p>Hard to say, nationally weak, regionally strong  ?</p>	<p>Little</p> <p>Yes, effective</p>	<p>The information is getting out effectively</p> <p>Yes, pleased with it</p>

<p><b>D. OTHER ISSUES/OVERALL IMPRESSIONS</b></p>			
<p>1. What is the level of awareness of the Project among stakeholders;</p>	<p>Low</p>	<p>Low</p>	<p>Little</p>
<p>2. What is the impact of the schedule of regional fisheries meetings on national benefits from the project?</p>	<p>To some degree</p>	<p>High</p>	<p>Could not schedule a national WCPO legal consultation</p>
<p>3. What is the level of communication across line ministries on matters relating to the Commission and country obligations?</p>	<p>Not much</p>	<p>Good</p>	<p>Poor, also internally within the Ministry, but quite close at higher levels</p>
<p>4. Other issues/Impressions</p>	<p>Regionally strong, Niue could make better use of opportunities at national level</p>	<p>Generally very good</p>	<p>Appreciate the Project</p>

	WCPFC Meeting Participation (no. of delegates)							WCPFC Reporting 2007		OFMP 2007	Activities
	SC2	TCC2	WCPFC3	SC3	TCC3	WCPFC4	Total	Pt Report	Pt Report II	RSC3	OFMP Report
Cook Islands	2	3	4	2	0	3	14	✓	✓	✓	✓
FSM	2	2	4	2	7	9	26	✓	✓	✓	✓
Fiji	3	2	1	2	2	6	16	✓	✓	✓	X
Kiribati	1	2	1	1	2	1	8	X	X	✓	X
Marshall Islands	2	4	4	4	5	17	36	✓	✓	X	✓
Nauru	1	3	5	1	1	3	14	✓	X	✓	✓
Niue	1	1	3	1	1	2	9	✓	✓	X	X
Palau	1	1	3	1	2	9	17	✓	✓	✓	✓
Papua New Guinea	8	13	20	16	6	14	77	✓	X	✓	✓
Samoa	1	2	14	3	2	3	25	✓	X	✓	✓
Solomon Is	1	3	5	0	4	4	17	X	X	✓	✓
Tokelau	0	1	1	1	1	1	5	✓	✓	X	X
Tonga	2	3	1	1	2	1	10	X	✓	✓	✓
Tuvalu	1	2	3	1	1	3	11	X	X	✓	✓
Vanuatu	3	5	4	1	1	6	20	✓	✓	✓	✓
Total FFA	29	47	73	37	37	82	305	11	9	12	11
Japan	11	16	21	14	16	36	114				
Time (meeting days)				15	13	12	40				
Travel (days)				6	6	6	18				
Other	Sub-Regional	Mgmt Options									
Time	Mgmt Options	Workshop					9				
Travel	5	4									
	6	6					12				
Total				Total 2007 Meeting days, with travel			79				



## ANALYSIS OF RISKS IN THE PROJECT LOGFRAME

### OVERALL PROJECT OBJECTIVES

OBJECTIVELY VERIFIABLE INDICATORS	CRITICAL ASSUMPTIONS AND RISKS	Assessment at December 2007
<p>WCPF Commission has adopted measures to regulate fishing in the high seas, and has formulated and assessed proposals for the conservation and management of fishing for globally important transboundary oceanic stocks throughout their range. These proposals include measures to address the impacts on other species in the globally important WTP LME. PacSIDS have undertaken reforms to implement the WCPF Convention and related multilateral environmental agreements (MEAs) and have strengthened the management of fishing for transboundary oceanic fish in their waters.</p>	<p>Commission Members make good faith efforts to implement the WCPF Convention and other relevant MEAs. PacSIDS have the capacity to effectively participate in the Commission, and to support the development and operation of the Commission in a way that fulfils the WCPF Convention. PacSIDS governments and civil societies have the necessary awareness and commitment to take the hard decisions involved in limiting fishing in their waters.</p>	<p>Too early to judge effectiveness of overall implementation.</p> <p>PacSIDS participation is variable but generally effective, but some countries are having trouble participating effectively</p> <p>Too early to be definitive, but most PacSIDS are moving to implement limits to fishing in their waters</p>
<p>Improved information on the biology and ecology of target fish stocks, including their exploitation characteristics and fishery impacts, the fishery impacts on non-target, dependent and associated species and on the pelagic ecosystem as a whole. Substantially improved understanding of Seamount ecosystems, especially their relation to migratory pelagic fisheries.</p>	<p>Commission Members can establish, resource and manage effective data and research programmes. Project mechanisms contribute effectively to raising awareness and improving understanding within PacSIDS about oceanic fisheries management.</p>	<p>No obvious problems with resourcing of data and research programmes, except for Indonesia &amp; Philippines</p> <p>Too early to assess effectiveness of raising of awareness and improving understanding, but remains a risk</p>
<p>The WCPF Commission established and functioning. PacSIDS amend their domestic laws and policies and strengthen their national fisheries institutions and programmes, especially in the areas of monitoring and compliance, to implement the WCPF Convention and apply the principles of responsible and sustainable fisheries management more generally.</p>	<p>The WCPF Convention is ratified by sufficient states to make the Commission effective. PacSIDS are able to secure financing and sufficient political commitment to make necessary legal, institutional and policy changes.</p>	<p>No risk, Ratification comprehensive (excl. Indonesia)</p> <p>Slight risk, most PacSIDS seem to be securing necessary financing and commitment, but a few are not</p>

## COMPONENT ONE - SCIENTIFIC ASSESSMENT AND MONITORING ENHANCEMENT

OBJECTIVELY VERIFIABLE INDICATORS	CRITICAL ASSUMPTIONS AND RISKS	RISK ASSESSMENT
Substantial, relevant and reliable information collected and shared between stakeholders with respect to transboundary oceanic fish stocks and related ecosystem aspects, (particularly for seamounts). The Commission using this information as the basis for its discussions and policy decisions on WCPF management. National technical capacity and knowledge greatly improved	Commission membership prepared to accept scientific findings and statistical evidence in formulating what may be difficult policy decisions on management of the fisheries, and difficult management proposals for the ecosystems. Sufficient sustainability available or identified through project to support national capacity improvements in technical and scientific functions as well as to support continued regional data coordination and analyses.	Too early to assess.
Database and associated software developed. Reporting modules available for Commission data.		In place, no risk
National monitoring systems, including port sampling and observer programmes in place. All PacSIDS reporting regularly to Commission.	National commitment sufficiently strong to ensure allocation of staff	Good performance overall, one or two countries struggling to make appointments, no significant risk
Common data formats made available to PacSIDS, and adopted by each country to provide comparable data. Information on fishery monitoring including best practice examples, being shared between stakeholders through newsletters, website and regional workshops.	All countries can agree on data reporting formats (some may have to change existing formats). Staff available to maintain website. Countries willing to network with Commission on a regular basis, and each country agrees on a focal point for this networking.	No significant risk, generally good progress on data formats and reporting
In-country Courses and training activities conducted. Two regional workshops undertaken. National monitoring personnel attached to SPC/OFP	Countries can afford to release staff for training and attachments.	Some PacSIDS finding it difficult to send appropriate participants to workshops
Collaborative work undertaken on National Tuna Fishery Status in 6 countries annually, including presentations at in-country national workshops.	Countries have scientific and technical staff available and willing to undertake national fishery status reports and workshops (with GEF funding assistance)	CHECK WITH JOHN

OBJECTIVELY VERIFIABLE INDICATORS	CRITICAL ASSUMPTIONS AND RISKS	RISK ASSESSMENT
Advice on scientific issues provided in briefing papers to PacSIDS before each meeting of the Scientific Committee and the Commission, and presented to PacSIDS preparatory meetings.	PacSIDS able to find the financial human resources to participate effectively in the scientific processes of the Commission	Assisted by WCPFC financial rules requiring funding for PacSIDS participation, PacSIDS are participating effectively overall, but some are struggling and the PacSIDS effort is dependent on a few experienced individuals
Regional Workshops carried out. National technical and scientific staff trained through attachments and in-country counterpart training.  Technical and scientific counterparts producing independent technical and scientific analyses by the end of the Project.	PacSIDS can afford to release staff for training and attachments (national human resource limitations)	JOHN, HOW SIGNIFICANT IS THE RISK
Observer-based data collections and lab analyses undertaken in accordance with a workplan for the ecosystem analysis component established in year 1.	National and regional observer programmes, including a Commission programme, are running and providing data for ecosystem analysis. Sufficient observers available.	ASK JOHN
Seamount planning and review workshops carried out. Seamounts described, historical fishing patterns around seamounts analysed, and seamounts selected as sites for field work. Field data collected at selected seamounts, including tagging, trophic sampling and analysis - 2 cruises per year in years 2, 3, plus 1 cruise to research benthic biodiversity. Participation by national scientists in field work supported (2 participants per cruise). Reports on seamount-associated field data prepared.	Sufficient sea-time available to be able to undertake surveys and complete reports effectively and on-time. National scientists available to take part (human resource limitation issues)	Seamount-related work at risk due to lack of progress by IUCN
Data incorporated into ecosystem models. Models enhanced and used to assess management options, including options related to fishing around seamounts.	Agreement can be reached on realistic options for management to be assessed. Effective models available and sufficient data collected to drive models and reach a scientifically justifiable conclusion	Too early to assess the risk

**COMPONENT TWO - LAW, POLICY AND INSTITUTIONAL REFORM,  
REALIGNMENT AND STRENGTHENING**

<b>OBJECTIVELY VERIFIABLE INDICATORS</b>	<b>CRITICAL ASSUMPTIONS AND RISKS</b>	
<p>WCPF Commission operating with a formally adopted framework of rules and regulations. Commission Secretariat has been established and the core science and compliance programmes and Committee structures are operational. PacSIDS are participating effectively in provision of information and in decision-making and policy adoption process for WCPF fisheries management. National institutions and supportive laws and policies have been reformed effectively to support national roles in Commission and to meet national commitments both to WCPF Convention, and to other relevant MEAs, and global treaties and conventions.</p>	<p>Commission remains effective throughout project lifetime and beyond. Countries continue to meet financial commitments to Commission to ensure its sustainability. Enormous Convention area and project system boundary can be effectively monitored to ensure compliance. Programmes of information collection and data analyses can be sustained throughout and beyond project lifetime. PacSIDS able to participate in the Commission effectively.</p>	<p>Too early to assess the risk. Early indications are mixed. Commission is regarded as being effectively established, but there are doubts about its likely effectiveness</p>
<p>Legal and technical reviews (regional and national) undertaken and results available to regional Legal Consultation. Consultation carried out.</p>	<p>Appropriate legal consultants available within timescale.</p>	<p>No risk, high quality legal consultants are available and being used</p>
<p>Templates for legal provisions necessary to implement Convention provided to PacSIDS. Legal reviews undertaken in PacSIDS which have not already updated their legislation.</p>	<p>Country commitment to legal reviews (consultants cannot be effective without national support and transparency)</p>	<p>No significant risk, strong national interest and support for legal reviews</p>
<p>Legal reviews and studies on Commission and Convention issues undertaken and legal briefs for discussion in Commission and related bodies prepared and lodged with countries. Briefs discussed in PacSIDS consultations (see 2.1.1)</p>	<p>Countries willing to share national legal position and information with Commission. PacSIDS prepared to make submissions to Commission on legal policy issues following this consultative process</p>	<p>No significant risk, good flow of info the Commission on legal issues. PacSIDS active in making submissions on legal issues</p>
<p>National and Regional legal training workshops carried out and assessed. Legal staff attached to relevant institutions and participating in analyses.</p>	<p>Countries willing to host and participate in workshops. Appropriate national personnel permitted to attend. National specialists available to take part (human resource limitation issues)</p>	<p>No significant risk,</p>

OBJECTIVELY VERIFIABLE INDICATORS	CRITICAL ASSUMPTIONS AND RISKS	
Plan/policy/strategy documents prepared, implemented and reviewed based on feedback and lessons	Fisheries Management Adviser appointed to oversee the Policy Reform sub-Component. National policy-makers accept and adopt strategies and prepared to make necessary reforms to implement.	No risk, appointment made
Briefing papers provided to PacSIDS on establishment of the commission and on regional conservation and management measures. Regional consultations and workshops on Fisheries Management undertaken annually.	Appropriate national personnel permitted to attend. National specialists available to take part (human resource limitation issues)	No significant risk overall, but some PacSIDS are having difficulty
Technical studies on management of oceanic fisheries related to seamounts undertaken completed and circulated to stakeholders. Workshops undertaken for stakeholders on seamount management issues. Proposals based on outcomes of seamount policy and technical analyses considered by PacSIDS, and if appropriate, the Commission.	Technical capacity available to undertake studies within timeframe. Commission continues to operate effectively. Pac SIDS Stakeholders can agree on management measures in order to make proposals.	Seamount-related work at risk due to lack of progress by IUCN
Regional Policy Consultation workshops carried out. TSC/USP training course developed and on offer. National Fisheries Management Seminars available and workshops carried out. Fisheries Management personnel on attachment to FFA. Study tours arranged to other Fisheries Commissions. Support given to relevant Ministerial meetings.	Countries willing to host and participate in workshops. Appropriate national personnel permitted to attend. National specialists available to take part (human resource limitation issues)	No significant risk overall. PacSIDS express strong support and appreciation for regional workshops. A few PacSIDS having difficulty with appropriate levels of participation in workshops, courses & Ministerial meetings
Review the lessons and best practices in institutional reform carried out. Reviews of national fisheries management institutions carried out. National institutional reform workshops prepared and undertaken.	Conditions in PacSIDS are sufficiently common for national best practices to be replicable.	No significant risk, strong interest and support for Institutional strengthening programmes (ISPs)
National consultative process carried out between stakeholders. National ENGOs and INGOs given support to empower their participation in oceanic fisheries management	PacSIDS govts prepared to continue to improve transparency. National ENGOs & INGOs exist & have the capacity to participate. Consultation fatigue does not unduly constrain their participation	Too early to assess risk

OBJECTIVELY VERIFIABLE INDICATORS	CRITICAL ASSUMPTIONS AND RISKS	
Review the national compliance implications inherent in the Convention, and identify strengthening requirements for national compliance to meet these implications	PacSIDS willing to provide transparent information on compliance procedures and data.	No significant risk, growing willingness to share info on compliance procedures and compliance data
Regional consultations to coordinate patrols (air and sea). Advice given on MCS coordination between PacSIDS and other stakeholder countries. Niue Treaty subsidiary arrangements prepared	Sufficient regional capacity and willingness to undertake an effective level of air and sea patrols	Good progress in enhancing surveillance capacity, esp with Australian, also support and coordination with US, France, NZ - but long term effectiveness of surveillance remains a risk
Technical studies undertaken on compliance issues relevant to Convention. Meetings of PacSIDS MCS Working Group held. Reports on regional compliance issues prepared and presented to PacSIDS. PacSIDS follow up those reports with proposals in the Commission & its Technical & Compliance Committee.	Commission Members can find basis for agreement on compliance measures to regulate fishing in the high seas	Extent of risk not clear. Some good early progress on agreement on high seas B&I, observers, VMS despite obstruction from fishing states.
National courses and training on inspection, VMS and other MCS issues undertaken. National compliance staff attached to FFA and/or other established PacSIDS compliance and monitoring agencies.	Appropriate national personnel available for attachments and permitted to attend. National specialists available to take part (human resource limitation issues)	No significant risk, strong support for, and participation in, MCS training activities

### COMPONENT THREE - COORDINATION, PARTICIPATION AND INFORMATION SERVICES

OBJECTIVELY VERIFIABLE INDICATORS	CRITICAL ASSUMPTIONS AND RISKS	
Project achieving its objectives. Project implementation and management is fully participatory with appropriate involvement of stakeholders at all levels. Information access is transparent and simple. Information available is relevant and significant. Public awareness raising at national and regional policy level is effective. High project evaluation ratings.	National commitment needs to be high to ensure fully participatory involvement in project over lifetime. Stakeholder commitment also needs to be high to ensure continued contributions, sometimes at own cost. Policy-makers are receptive to awareness-raising information and presentations.	Too early to assess
Project branding, webpage and document catalogue system developed. Webpage operational and updated. Project information materials available.	Staff available to operate and update website, Sufficient interest among stakeholders to make website effective means of communication and information dissemination	Website poor, needs attention, some associated risk to Project outcomes
Knowledge management strategy prepared and adopted.	Sufficient information and examples of best practices to drive a knowledge management strategy, or resources available to develop them.	Strategy prepared, and some elements may be adopted. Some risk to Project outcomes
Regular assessment and evaluations of performance and delivery as per UNDP and GEF requirements	PCU adheres to reporting and evaluation requirements (responsibility of IA)	No apparent risk, PCU reporting & evaluation performance seems good.
Process, Stress Reduction and Environmental Status indicators adopted. National review and assessment mechanisms in place by end of year 1.	IW indicators developed for project are effective and comprehensive. Sufficient national and regional capacity to collect information on status of IW indicators. Effective support from project.	Indicators identified, but not closely integrated into the Project. No apparent risk
Co-financing agreements in place with Pacific ENGO. An ENGO participating in Commission. Information packages circulated to ENGOs (including access to website). National and regional ENGO workshops carried out. Public Awareness materials developed and distributed. National fora for civil society participation organised.	Commission members agree to ENGO participation. ENGO identified that is appropriate willing to participate. Civil society has sufficient interest in oceanic fisheries to participate.	Risk & assumption statement not well framed. No significant risk. WWF co-financing agreement concluded. 5 ENGOs attended WCPFC4.

## Attachment D

OBJECTIVELY VERIFIABLE INDICATORS	CRITICAL ASSUMPTIONS AND RISKS	
Co-financing agreements in place with Pacific Industry NGO. An INGO participating in Commission. Information packages circulated to INGOs (including access to website) and national/regional INGO workshops carried out as appropriate.	Commission members agree to INGO participation. INGO identified that is appropriate willing to participate.	Risk & assumption statement not well framed. No significant risk. PITIA participating in the project and as observer to the WCPFC
Project Coordinator and other PCU staff appointed. Necessary PCU support equipment procured.	Effective and acceptable Project Coordinator identified within timeframe Project staff hired at appropriate time to suit workplan (and not too late to be of use). Realistic equipment procurement plan developed and adopted by PCU at earliest opportunity. IA and EA efficient in authorising expenditure of funds for procurement.	No risk, PCU operational and effective, good IA & EA performance
Initial EA/IA consultations carried out. Necessary LoA finalised between EAs and IA. On-going consultations between EAs and IA throughout project lifetime	Appropriate EAs and IAs in project. Clear understanding of importance of on-going consultative process	No risk, EAs & IAs are appropriate
Inception workshop carried out to begin project. Regular Steering Committees thereafter	All attendees committed to attending Inception Workshop. Appropriate presentations to ensure good understanding of project process.	No risk, 14 of 15 PICs attended RSC1,
National Focal Points nominated and approved. National Consultative Committees active	Appropriate NFPs adopted by countries. Country commitment to NCCs. Appropriate level of membership on NCCs.	Significant risk, lack of commitment to NCCs
Regular reporting as required by GEF, IAs and Steering Committee	PCU fully aware of reporting requirements (assisted and advised effectively by IA)	No risk, reporting requirements appear well understood by PCU



**OFMP PROJECT WORKING BUDGET (IUCN BUDGET NOT ALLOCATED BY YEAR)**

<b>COMPONENT 1</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>	<b>Year 5</b>	<b>Year 8</b>	<b>Total</b>
<b>1.1 Fishery Monitoring</b>							
Monitoring Specialist	100,000	100,000	100,000	100,000	100,000		500,000
Monitoring Consultants	20,000	30,000	30,000	30,000	20,000		130,000
Travel	18,000	21,000	21,000	21,000	19,000		100,000
Regional Fishery Monitoring Consultations/Workshops		42,000		42,000			84,000
Monitoring Attachments	9,000	15,000	15,000	12,000	9,000		60,000
National Coordinators	60,000	80,000	80,000	80,000	80,000		380,000
Computer equipment/support	3,000			3,000			6,000
<b>Sub-total Fishery Monitoring</b>	<b>210,000</b>	<b>288,000</b>	<b>246,000</b>	<b>288,000</b>	<b>228,000</b>		<b>1,260,000</b>
<b>1.2 Stock Assessment</b>							
Stock Assessment Specialist	100,000	100,000	100,000	100,000	100,000		500,000
Stock Assessment Consultants	20,000	30,000	30,000	30,000	20,000		130,000
Travel	18,000	21,000	21,000	21,000	19,000		100,000
Regional Stock Assessment Workshops		42,000		42,000			84,000
Stock Assessment Attachments	9,000	15,000	15,000	12,000	9,000		60,000
Computer equipment/support	3,000			3,000			6,000
<b>Sub-total Stock Assessment</b>	<b>150,000</b>	<b>208,000</b>	<b>166,000</b>	<b>208,000</b>	<b>148,000</b>		<b>880,000</b>
<b>1.3 Ecosystem Analysis</b>							
<b>SPC</b>							
Ecosystem Analyst	50,000	100,000	100,000	100,000	100,000		450,000
Ecosystem Monitoring Specialist	100,000	100,000	100,000	50,000			350,000
Travel	33,000	33,000	33,000	33,000	10,000		142,000
Consultant services - tissue sample analysis	15,000	15,000	15,000	15,000			60,000
Consultant services - seamount mapping	50,000						50,000

*Field Operations*

Vessel charter and associated costs		315,000	315,000			630,000
Equipment	100,000	50,000	50,000			200,000
Field assistance		60,000	60,000			120,000
Travel		16,000	16,000			32,000
National involvement in field operations		7,500	7,500			15,000
Observer sampling support	25,000	25,000	25,000	25,000		100,000
Computer equipment	8,000		4,000			12,000
Planning Workshop	20,000					20,000
Attachments		3,000	3,000	3,000	3,000	12,000
Review workshop					42,000	42,000
<b>Sub-total SPC</b>	<b>401,000</b>	<b>724,500</b>	<b>728,500</b>	<b>226,000</b>	<b>155,000</b>	<b>2,235,000</b>

**IUCN**

Short-term Consultants						96,000
Cruise participation costs						50,000
Equipment for cruises						50,000
Activity coordinator						60,000
Communications/awareness materials						20,000
Coordination/Quality Assurance						40,000
<b>Sub-total IUCN</b>						<b>316,000</b>

**Sub-Total Ecosystem Analysis****2,551,000**

SPC Data processing/management	30,000	30,000	30,000	30,000	30,000	150,000
SPC Project Support	53,270	85,435	79,835	50,540	37,170	306,250
<b>COMPONENT TOTAL</b>	<b>844,270</b>	<b>1,335,935</b>	<b>1,250,335</b>	<b>802,540</b>	<b>598,170</b>	<b>5,147,250</b>

**COMPONENT 2****2.1 Legal Reform**

Legal Consultants	72,000	72,000	72,000	72,000	72,000	360,000
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Regional Legal Workshops	60,000		60,000		60,000	180,000
National Law/Prosecution Workshops	20,000	20,000	20,000	20,000	20,000	100,000
Legal Attachments	6,000	9,000	9,000	9,000	6,000	39,000
<b>Sub-Total Legal Reform</b>	<b>158,000</b>	<b>101,000</b>	<b>161,000</b>	<b>101,000</b>	<b>158,000</b>	<b>679,000</b>

## 2.2 Policy Reform

### FFA

Fisheries Management Adviser	100,000	100,000	100,000	100,000	100,000	500,000
Travel	20,000	30,000	30,000	30,000	20,000	130,000
Computer	5,000					5,000
Fisheries Management Consultants	100,000	100,000	100,000	100,000	100,000	500,000
Regional Policy Consultations/Workshops	0	0	0	0	0	0
Policy Training Course	0	70,000	0	0	0	70,000
National Fisheries Management Workshops	30,000	30,000	30,000	30,000	20,000	140,000
High Level Meetings	20,000	10,000	20,000	10,000	10,000	70,000
Equipment	5,000	5,000	5,000	5,000	5,000	25,000
Office Improvements	10,000	10,000	10,000	10,000	10,000	50,000
Policy Attachments/Study Tours	10,000	15,000	15,000	15,000	10,000	65,000
<b>Sub-Total FFA</b>	<b>300,000</b>	<b>370,000</b>	<b>310,000</b>	<b>300,000</b>	<b>275,000</b>	<b>1,555,000</b>

### IUCN

Short-term Consultants						144,000
Travel						40,000
Workshops						60,000
Communications						10,000
Coordination & Quality Assurance						40,000
<b>Sub-Total IUCN</b>						<b>294,000</b>

**Sub-Total Policy Reform** **1,849,000**

## 2.3 Institutional Reform

Institutional Reform Consultants	48,000	72,000	72,000	72,000	48,000		312,000
National Institutional Reform Workshops	10,000	20,000	20,000	20,000	10,000		80,000
<b>Sub-Total Institutional Reform</b>	<b>58,000</b>	<b>92,000</b>	<b>92,000</b>	<b>92,000</b>	<b>58,000</b>		<b>392,000</b>

#### 2.4 Compliance Strengthening

Compliance Consultants	40,000	60,000	60,000	60,000	40,000		260,000
Regional MCS Consultations/ Working Groups	60,000	60,000	60,000	60,000	60,000		300,000
National MCS Courses/Workshops	20,000	30,000	30,000	30,000	20,000		130,000
MCS Attachments/Study Tours	6,000	9,000	9,000	9,000	6,000		39,000
<b>Sub-Total Compliance Strengthening</b>	<b>126,000</b>	<b>159,000</b>	<b>159,000</b>	<b>159,000</b>	<b>126,000</b>		<b>729,000</b>

FFA Project Support	44,940	50,540	50,540	45,640	43,190		234,850
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<b>COMPONENT TOTAL</b>	<b>686,940</b>	<b>772,540</b>	<b>772,540</b>	<b>697,640</b>	<b>660,190</b>		<b>3,883,850</b>
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### COMPONENT 3

#### 3.1 Project Information System

Communications Consultants	3,000	3,000	3,000	3,000	3,000		15,000
Printing/Materials etc	4,000	4,000	4,000	4,000	4,000		20,000
<b>Sub total Project Information System</b>	<b>7,000</b>	<b>7,000</b>	<b>7,000</b>	<b>7,000</b>	<b>7,000</b>		<b>35,000</b>

#### 3.2 Monitoring & Evaluation

Inception Workshop	60,000						60,000
Baseline Study	15,000						15,000
Evaluations	0	0	50,000	0	50,000	50,000	150,000
Annual reviews	10,000	10,000	10,000	10,000			40,000
Auditing	3,000	3,000	3,000	3,000	3,000		15,000
<b>M&amp;E Total</b>	<b>88,000</b>	<b>13,000</b>	<b>63,000</b>	<b>13,000</b>	<b>53,000</b>	<b>50,000</b>	<b>280,000</b>

### 3.3 Stakeholder Participation & Awareness Raising

Environmental NGO Participation & Awareness Raising	40,000	40,000	40,000	40,000	40,000		200,000
Private Sector Participation & Awareness Raising	40,000	40,000	40,000	40,000	40,000		200,000
<b>Stakeholder Total</b>	<b>80,000</b>	<b>80,000</b>	<b>80,000</b>	<b>80,000</b>	<b>80,000</b>		<b>400,000</b>

### 3.4 Project Management & Coordination

Coordinator	100,000	100,000	100,000	100,000	100,000		500,000
Travel	30,000	30,000	30,000	30,000	30,000		150,000
Accountant	15,000	20,000	20,000	20,000	20,000		95,000
Training	5,000	2,500	2,500	2,500	0		12,500
Consultancies	20,000	20,000	20,000	20,000	20,000		100,000
Sundries	2,500	5,000	5,000	5,000	2,500		20,000
Office Eqpt etc	5,000	2,500	2,500	0	0		10,000
Reg. Steering Committee	0	20,000	50,000	20,000	20,000		110,000
National Consultative Committees	7,500	7,500	7,500	7,500	7,500		37,500
<b>PCU Total</b>	<b>185,000</b>	<b>207,500</b>	<b>237,500</b>	<b>205,000</b>	<b>200,000</b>		<b>1,035,000</b>
<b>FFA Overhead (10%)</b>	<b>27,900</b>	<b>22,650</b>	<b>30,650</b>	<b>22,400</b>	<b>25,900</b>	<b>5,000</b>	<b>134,500</b>
<b>TOTAL</b>	<b>386,900</b>	<b>329,150</b>	<b>417,150</b>	<b>326,400</b>	<b>364,900</b>	<b>55,000</b>	<b>1,879,500</b>
<b>PROJECT TOTAL</b>	<b>1,926,860</b>	<b>2,448,485</b>	<b>2,448,485</b>	<b>1,836,980</b>	<b>1,621,910</b>	<b>53,500</b>	<b>10,946,220</b>

## Terms of reference

### Annual Review of the Pacific Islands Oceanic Fisheries Management Project (PIM 2992)

#### Background

The Pacific Islands Oceanic Fisheries Management Project (OFM Project) commenced in late 2005 and seeks to assist Pacific SIDS improve sustainable development through the conservation and management of transboundary oceanic fisheries.

Project monitoring and evaluation requirements for the project include the need to conduct annual evaluations in the second, third and four years of the project. The project has been operational for two years. Further a mid-term evaluation is expected to be completed by late 2008 and it is anticipated that the outcomes of the first of the three project annual reviews will contribute to the analysis performed by the independent mid-term evaluation consultancy.

The annual review will take the opportunity to identify, comment and provide recommendations for issues that have arisen over the course of project implementation to date. It will in the first instance address the critical assumptions and risks identified during the design of the project to analyse those events and their impacts on project implementation and outcomes.

#### Objective

The objectives of the annual evaluation are:

- iii) to identify specific issues, difficulties or problems in the implementation and performance of the Project that involve risks to the achievement of Project objectives, particularly any such aspects that might not have been identified in the Project reporting and review processes to date; and
- iv) to make recommendations for necessary amendments and improvements for the implementation of the project associated with the risks identified.

#### Responsibilities (Scope)

The scope of the work to be undertaken will include; but not be limited to:

- i) Assessing the efficiency, effectiveness and impact of the project and the sustainability of outcomes to date;
- ii) review and highlight the issues, difficulties and problems faced, lessons learned and successes achieved, paying particular attention to, among other things:
  - The level of project awareness by stakeholders;
  - Impacts of negative financial events (salary increases, exchange rate losses etc) on the overall project budget;

- The value and delivery of the project and overall progress by countries in meeting their Commission commitments;
- Identification of activities and outputs not on target and recommend ways in which to address matters (briefly);
- Impact of schedule of regional fisheries meetings on benefits that Pacific SIDS should incur from the project; and
- Level of communication across line ministries at national levels on matters relating to the Commission and country obligations.

### **Review Requirements**

Services rendered between the beginning of the review and the acceptance of the final report should span no more than two calendar months from November 2007 to February 2008. The review should commence late November 2007.

The review phases will include:

- Interviews with Pacific SIDS, SPC, WWF, Industry and other relevant stakeholders in the margins of the Commission meetings to be held at Guam between 26 November – 7 December 2007;
- Briefing meeting with the PCU at Honiara, Solomon Islands 17 - 21 December 2007;
- Draft review report and submission to PCU; and
- Submit final report.

### **Expected Outcomes**

The outcomes of the review will include:

- The interviewing of relevant project stakeholders and records of the interviews;
- Advice to the PCU in a preliminary report identifying issues, difficulties or problems that are impacting the project implementation and recommendations with which to address the issues;
- A professional review report.