

## TERMS OF REFERENCE

### **Mid-term Review of the three Projects: Phoenix Islands Protected Area (PIPA); Pacific Invasive Alien Species (PIAS) and Integrated Island Biodiversity (IIB) – implementing the Biodiversity Programme of Work (GEF Pacific Alliance for Sustainability programme)**

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#### **Background and Overview**

The GEF PAS programme was originally planned so that all projects in it would be coordinated by a single “secretariat”. However, the GEF 4 trenchant of funding did not provide for this as it turned out. Notwithstanding this UNEP has attempted to build in some integration between its GEF PAS Biodiversity projects including the three which are the subject of this Mid Term Review and the Micronesia Challenge (being reviewed separately because it started significantly earlier than the others). Practical steps to achieve this include using the same Executing Agency for two projects (Secretariat for the Pacific Regional Environment Programme) and benefitting from its allied networks and projects/staff. In turn the UNEP office for the Pacific is located in SPREP in Apia, Samoa with obvious benefits. The PIPA and Kiribati also has close connections with SPREP and the IAS project which is also supported by the SPREP IAS Advisor and his programme. Similarly, the IIB project receives significant support by SPREP’s Terrestrial Ecosystems Manager officer and his programme. Others in SPREP support the projects with capacity development and out-reach activities. Hence to some extent the integration originally conceived in the GEF PAS in 2006 when initial discussions were held have been retained in the delivery of these projects to the Pacific. This rationale has also driven the idea of conducting the MTR’s in a single exercise lead by one consultant so that the integration components of the project may be identified and included in the review process. It is anticipated that the MTR will provide an evaluation of each project separately and advice on improving their performance as well as how better to achieve more integration.

In the interests of keeping the document to a manageable size detailed descriptions of the three projects are not provided as usually is the case. Instead summaries have been added but the reader is recommended to consult the relevant project documents which are available from the GEF website ([www.thegef.org](http://www.thegef.org)) or Greg Sherley ([greg.sherley@undp.org](mailto:greg.sherley@undp.org) in preference or [greg.sherley@unep.org](mailto:greg.sherley@unep.org)).

## TERMS OF REFERENCE FOR THE EVALUATIONS

### A. Objective and Scope of the Evaluation

1. In line with the UNEP Evaluation Policy<sup>1</sup> and the UNEP Evaluation Manual<sup>2</sup> Mid-term Review (MTR) of the three Projects “*Phoenix Islands Protected Area, Pacific Invasive Alien Species and Integrated Island Biodiversity Conservation – implementing the Biodiversity Programme of Work*” is undertaken approximately half way through project implementation to analyze whether the project is on-track, what problems or challenges the project is encountering, and what corrective actions are required. The MTR will assess project performance to date (in terms of relevance, effectiveness and efficiency), and determine the likelihood of the project achieving its intended outcomes and impacts, including their sustainability.
2. The MTR has two primary purposes: (i) to provide evidence of results to date and of the likelihood of outcomes and impact in the future, to meet accountability requirements, and (ii) to identify the challenges and risks to achievement of the project objectives and to derive corrective actions needed for the project to achieve maximum impact and sustainability. In addition, the MTR is expected to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, the GEF and the project partners. It will focus on the following sets of **key questions**, which may be expanded by the consultants as deemed appropriate:
  - (a) Is the project on track to realistically achieve its intended outputs and objectives within the time and budget remaining?
  - (b) Are the three sustainable finance mechanisms which make up the MC Endowment Trust Fund likely to deliver as expected?
  - (c) Is the project on track to deliver as described in the Pro Doc?

### B. Overall Approach and Methods

3. The MTR of the three Projects will be conducted by an independent consultant under the overall responsibility and management of the UNEP DEPI Task Manager (Apia, Samoa) in consultation with the UNEP Evaluation Office (Nairobi) and the GEF Coordination Office (Nairobi). The Reviewer will liaise with the UNEP Project Task Manager on any logistic and/or methodological issues to properly conduct the review in as independent a way as possible, given the circumstances and resources offered.
4. The MTR will be an in-depth review using a participatory approach whereby key stakeholders are kept informed and consulted throughout the MTR process. Both quantitative and qualitative evaluation methods will be used to determine project achievements against the expected outputs, outcomes and impacts.
5. The findings of the review will be based on the following:
  - 5.1. A **desk review** of project documents<sup>3</sup> including, but not limited to:
    - Relevant background documentation, *inter alia* UNEP and GEF policies, strategies and programmes pertaining to BD conservation.

<sup>1</sup> <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

<sup>2</sup> <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationManual/tabid/2314/language/en-US/Default.aspx>

<sup>3</sup> Documents to be provided by the UNEP and the Executing Agencies are **listed in Annex 5**.

- Project design documents and subsequent updates including Annual Work Plans and Budgets or equivalent, revisions to the logical framework and project financing;
- Project reports such as progress and financial reports from MCT to UNEP; Project Management Group meeting minutes; annual Project Implementation Reviews and relevant correspondence;
- Reviewer/Review Team to develop a standard checklist to keep review consistent across countries.
- The Reviewer/Review team/Review team shall determine whether to seek additional information and opinions from representatives of donor agencies and other organisations. As appropriate, these interviews could be combined with an email questionnaire.

5.2. **Interviews<sup>4</sup>** with:

- PIPA: Tarawa Kiribati - Mr Tukabu Teroroko, Mr Tata Teitiaua, Mr Betarim Rimon, Mr Manikaoti Timeon, Dr Teuea Tuatu (PIPA Trust Office, Tarawa); Boston Massachusetts (New England Aquarium) – Ms Regen Jamieson; Auckland New Zealand (Conservation International) – Ms Sue Taei; Samoa – Mr Schannel van Dijken (Conservation International) and Dr Greg Sherley (UNEP); Invasive Alien Species sub-project Mr Keebwa (MELAD)
- PIAS: Samoa –Ms Easter Galuvao, Mr David Moverly, Dr Gianluca Serra (SPREP), Dr Greg Sherley (UNEP); country project managers (to be advised)
- IIB: Samoa – as above for the IAS project (colleagues in Ministry of Environment and Natural Resources, especially Mr Albert Peters)

5.3. **Country visits. Two missions are envisaged (noting that, given the large distances involved and potentially large number of countries and people to see, some variation may have to be negotiated with the TM). There may be some budget constraints which could limit the missions described below. However, there will be some cost cutting measures possible which can be negotiated (routes, timing, etc).**

5.4. **Mission 1:** To be carried out as soon as possible at the beginning of the contract period. One project country visit is anticipated which is to Tarawa Kiribati to meet and discuss the PIPA project with project management staff based there (see 5.2 above). The consultant will also visit Samoa to interview SPREP, Conservation International and UNEP staff. The Kiribati visit may also be arranged via Samoa and Fiji so it is expected that these visits will form parts of the same mission. Note – since Samoa is one of the ten countries in the IAS project – this country manager may also be interviewed in Samoa if required. Some field visits to projects may also be possible in Samoa (IAS project). Exact details of this and the second mission to be negotiated with the TM.

5.5. **Mission 2:** To be carried out about two thirds during the period of the contract. Second project country visit to Tonga via Samoa (probably routed through Honolulu) and Auckland New Zealand, returning to the USA from Auckland. Including a stopover in Samoa and Auckland to interview again (Samoa) colleagues (as above) and in the case of Auckland the Director of Conservation International’s Pacific Programme if available (the Director, Ms Sue Taei is based in Auckland).

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<sup>4</sup> Face-to-face or through any other appropriate means of communication

### C. Key Evaluation principles

6. Review findings and judgements should be based on **sound evidence and analysis**, clearly documented in the MTR report separately for the three projects. Information will be triangulated (i.e. verified from different sources) to the extent possible, and when verification was not possible, the single source will be mentioned<sup>5</sup>. Analysis leading to evaluative judgements should always be clearly spelled out.
7. The review will assess the project with respect to **a minimum set of review criteria** grouped in four categories: (1) Attainment of objectives and planned results, which comprises the assessment of outputs achieved, relevance, effectiveness and efficiency and the review of outcomes towards impacts; (2) Sustainability and catalytic role, which focuses on financial, socio-political, institutional and ecological factors conditioning sustainability of project outcomes, and also assesses efforts and achievements in terms of replication and up-scaling of project lessons and good practices; (3) Processes affecting attainment of project results, which covers project preparation and readiness, implementation approach and management, stakeholder participation and public awareness, country ownership/driven-ness, project finance, UNEP supervision and backstopping, and project monitoring and evaluation systems; and (4) Complementarity with UNEP strategies and programmes. The lead consultant can propose other review criteria as deemed appropriate.
8. **Ratings**. All review criteria will be rated on a six-point scale. However, complementarity of the project with UNEP strategies and programmes is not rated. Annex 2 provides detailed guidance on how the different criteria should be rated and how ratings should be aggregated for the different review criterion categories.
9. In attempting to attribute any outcomes and impacts to the project, the evaluators should consider the difference between **what has happened with** and **what would have happened without** the project. This implies that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. This also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.
10. Particular attention should be given to identifying implementation challenges and risks to achieving the expected project objectives and sustainability. Therefore, when reviewing progress to date, the **“why?” question** should be at front of the consultants’ minds all through the review exercise. This means that the consultants need to go beyond the assessment of “what” the project performance is to date, and make a serious effort to provide a deeper understanding of “why” the performance is as it is, i.e. of processes affecting attainment of project results (criteria under category 3 presented below). This should provide the basis for the corrective actions recommended by the MTR and the lessons that can be drawn from the project. In fact, the usefulness of the review will be determined to a large extent by the capacity of the consultants to explain “why things happened” as they happened and are likely to evolve in this or that direction, which goes well beyond the mere assessment of “where things stand” today.

#### 11. Scope of the review

##### **40.1 Assessment of project assumptions, objectives and design**

The review will examine the following:

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<sup>5</sup> Individuals should not be mentioned by name if anonymity needs to be preserved.

### **Project theory**

Assessment of the assumptions and of the theory of change (causal pathways) underpinning the project idea and design, including its coherence, internal and external validity.

### **Project objectives and Logical Framework**

Analysis of the project Logical Framework and variations over time if any, including:

- the links and causal relationships between inputs, activities, outputs, outcomes and impact (specific and development objectives);
- relevance and appropriateness of indicators;
- validity of assumptions and risks
- existence of formal approvals to any modifications of the logical framework

### **Project design**

Analysis of the project strategy and structure including:

- approach and methodology;
- time frame and resources;
- institutional set-up;
- management arrangements;
- stakeholders and beneficiaries identification.

## **40.2 Project Performance with respect to GEF Review Parameters**

### **A. Attainment of objectives and planned results (progress to date):**

The assessment of project results seeks to determine the extent to which the project objectives have been, or are expected to be achieved, and assess whether the project has led to any other positive or negative consequences. While assessing a project's progress towards the intended outcomes / objectives as stated in the project document (PD), the review will also indicate if there were any changes to the outputs and performance indicators in the PD and whether those changes were approved. If the project did not establish a baseline (initial conditions), the Reviewer/Review team should seek to estimate the baseline condition so that achievements and results can be properly established (or simplifying assumptions used). Outcomes are the likely or achieved short-term and medium-term effects of an intervention's outputs. Examples of outcomes could include but are not restricted to stronger institutional capacities, higher public awareness (when leading to changes of behaviour), and transformed policy frameworks.

- *Effectiveness*: Evaluate how, and to what extent, the stated project objectives will be met, taking into account the "achievement indicators" specified in the project document and logical framework.
- *Relevance*: How and to what extent, will the stated project's actual or intended outcomes consistent with the focal areas/operational program strategies and country priorities? Ascertain the nature and significance of the contribution of the project outcomes to the wider GEF Biodiversity portfolio.
- *Efficiency*: How and to what extent is the project cost-effective, is the cost-time versus outcomes comparable to similar projects, and is the project implementation on schedule or delayed? Includes an assessment of

*outcomes* achieved to date in relation to inputs, costs, and implementation times based on the following questions: Is the project cost-effective? How does the cost-time vs. outcomes compare to other similar projects? Has the project implementation been delayed? Is it on track?

## **B. Assessment of Sustainability of project outcomes:**

Sustainability is understood as the probability of continued long-term project-derived outcomes and impacts after the GEF project funding ends. The review will identify and assess the key conditions or factors that are likely to contribute or undermine the persistence of benefits after the project ends. ***At mid-term, identification of any likely barriers to sustaining the intended outcomes of the project is especially important.*** Some of these factors might be outcomes of the project, e.g. stronger institutional capacities or better informed decision-making, legal frameworks, socio-economics incentives or public awareness.

Other factors will include contextual circumstances or developments that are not outcomes of the project but that are relevant to the sustainability of outcomes. The review should ascertain to what extent follow-up work has been initiated and how project outcomes will be sustained and enhanced over time. In this case, sustainability will be linked to the likelihood of continued use and influence of best practices promoted by the project to plan and manage aquatic resources and ecosystems on a sustainable basis.

Four aspects of sustainability should be addressed: financial, socio-political, institutional frameworks and governance, and environmental. The following questions provide guidance on the assessment of these aspects:

- *Financial resources.* To what extent are the outcomes of the project dependent on continued financial support? What is the likelihood that any required financial resources will be available to sustain the project outcomes/benefits once the GEF assistance ends (resources can be from multiple sources, such as the public and private sectors, income generating activities, and market trends that support the project's objectives)?
- *Socio-political.* To what extent are the outcomes of the project dependent on socio-political factors? What is the likelihood that the level of stakeholder ownership will allow for the project outcomes/benefits to be sustained? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project?
- *Institutional framework and governance.* To what extent are the outcomes of the project dependent on issues relating to institutional frameworks and governance? What is the likelihood that institutional and technical achievements, legal frameworks, policies and governance structures and processes will allow for, the project outcomes/benefits to be sustained? While responding to these questions consider if the required systems for accountability and transparency and the required technical know-how are in place.
- *Environmental.* Are there any environmental risks that can undermine the future flow of project environmental benefits?

### C. Achievement of outputs and activities:

- Delivered outputs: Assessment of the project's success in producing each of the programmed outputs to date, both in quantity and quality as well as usefulness and timeliness.
- Assess the soundness and effectiveness of the methodologies used for developing the technical documents and related management options in the participating countries.
- Assess to what extent the designed demonstrations have the weight of scientific authority / credibility, necessary to influence policy and decision-makers, particularly at the national level and suggest any possible improvements.

### D. Catalytic Role and Replication

The mid-term review will also describe any catalytic or replication effect of the project. What examples are there of replication and catalytic outcomes which suggest increased likelihood of sustainability? Replication approach, in the context of GEF projects, is defined as lessons and experiences coming out of the project that are replicated or scaled up in the design and implementation of other projects. Replication can have two aspects, replication proper (lessons and experiences are replicated in different geographic area) or scaling up (lessons and experiences are replicated within the same geographic area but funded by other sources).

If no effects are identified, the review will describe the catalytic or replication actions that the project carried out, or possible strategies for this purpose.

### E. Assessment of Monitoring and Evaluation Systems:

- **M&E design.** Does the project have a sound M&E plan to monitor results and track progress towards achieving project objectives? The Mid-term Review will assess whether the project met the minimum requirements for project design of M&E and the application of the Project M&E plan (Minimum requirements are specified in Annex 2). The review shall include an assessment of the quality, application and effectiveness of project monitoring and review plans and tools, including an assessment of risk management based on the assumptions and risks identified in the project document. The M&E plan should include a baseline (including data, methodology, etc.), SMART (see Annex 2) indicators and data analysis systems, and review studies at specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified based on results based management principles.
- **M&E plan implementation.** Is an M&E system in place and does it facilitate tracking of results and progress towards projects objectives throughout the project implementation period. Are Annual project reports complete, accurate and with well justified ratings? Is the information provided by the M&E system used to improve project performance and to adapt to changing needs? Does the project have an M&E system in place with proper training for parties responsible for M&E activities to ensure data will continue to be collected and used after project closure?
- **Budgeting and Funding for M&E activities.** Were adequate budget provisions for M&E made and are such resources made available in a timely fashion during implementation?
- **Long-term Monitoring.** Is long-term monitoring envisaged as an outcome of the project? If so, comment specifically on the relevance of such monitoring systems to sustaining project outcomes and how the monitoring effort will be sustained.

### F. Preparation and Readiness

**G.** Are the project's objectives and components clear, practicable and feasible within its timeframe? Were the capacities of executing institution and counterparts properly considered when the project was designed? Were lessons from other relevant projects properly incorporated in the project design? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation? Did the long gestation phase for the project's preparation affect those involved in this timeline, particularly turnover in staff? Were counterpart resources (funding, staff, and facilities), enabling legislation, and adequate project management arrangements in place?**Country ownership / drivenness:**

This is the relevance of the project to national development and environmental agendas, recipient country commitment, and regional and international agreements. Examples of possible evaluative questions include: Was the project design in-line with the national sectoral and development priorities and plans? Are project outcomes contributing to national development priorities and plans? Were the relevant country representatives, from government and civil society, involved in the project design? Are the relevant country representatives, from government and civil society, involved in the project implementation? Is the recipient government maintaining its financial commitment to the project? How are the interests of five countries managed at the regional level? How are change and evolution of national priorities managed?

**H. Stakeholder participation / public awareness:**

Does the project involve the relevant stakeholders through information sharing, consultation and by seeking their participation in project's design, implementation, and monitoring and evaluation? For example, does the project implement appropriate outreach and public awareness campaigns? Does the project consult and make use of the skills, experience and knowledge of the appropriate government entities, NGOs, community groups, private sector, local governments and academic institutions in the design, implementation and evaluation of project activities? Are perspectives of those that would be affected by decisions, those that could affect the outcomes and those that could contribute information or other resources to the process taken into account while taking decisions? Are the relevant vulnerable groups, the supporters and the opponents, of the processes properly involved? Specifically the review will:

- Assess the mechanisms put in place by the project for identification and engagement of stakeholders in each participating country and establish, in consultation with the stakeholders, whether this mechanism was successful, and identify its strengths and weaknesses.
- Assess the degree and effectiveness of collaboration/interactions between the various project partners and institutions during the course of implementation of the project.
- Assess the degree and effectiveness of any various public awareness activities that have been undertaken during the course of implementation of the project thus far.

**40.3 Financial Planning**

Does the project have the appropriate financial controls, including reporting and planning, that allowed management to make informed decisions regarding the budget and allow for timely flow of funds. Specifically, the review should:

- Assess the strength and utility of financial controls, including reporting, and planning to allow the project management to make informed decisions regarding the budget

and allow for a proper and timely flow of funds for the payment of satisfactory project deliverables throughout the project's lifetime.

- Present the major findings from the financial audit if one has been conducted.
- Did promised co-financing materialize thus far? Identify and verify the sources of co-financing as well as leveraged and associated financing (in co-operation with the IA and EA).
- Assess whether the project has applied appropriate standards of due diligence in the management of funds and financial audits.

The review should also include a breakdown of actual expenditures of GEF and co-financing for the project to date prepared in consultation with the relevant UNEP Fund Management Officer (**table attached in Annex 3**)

#### **41 Implementation approach:**

This includes an analysis of the project's management framework, adaptation to changing conditions (adaptive management), partnerships in implementation arrangements, changes in project design, and overall project management. The review will:

- Ascertain to what extent the project implementation mechanisms outlined in the project document have been closely followed. In particular, assess the role of the various committees established and whether the project document was clear and realistic to enable effective and efficient implementation, whether the project was executed according to the plan and how well the management was able to adapt to changes during the life of the project to enable the implementation of the project.
- Evaluate the effectiveness and efficiency and adaptability of project management and the supervision of project activities / project execution arrangements at all levels.
- Assess whether the logical framework was used during implementation as a management tool and whether feedback from M&E activities more broadly was used for adaptive management.

#### **42 UNEP Supervision and Backstopping**

- Assess the effectiveness of supervision and administrative and financial support provided by UNEP. Did they identify problems in a timely fashion and accurately estimate the seriousness? Did they provide quality support and advice to the project, approve modifications in time and restructure the project when needed? Did they provide the right staffing levels, continuity, skill mix, frequency
- Identify administrative, operational and/or technical problems and constraints that influenced the effective implementation of the project.

The *ratings will be presented in the form of a table*. Each of the eleven categories should be rated separately with **brief justifications** based on the findings of the main analysis. An overall rating for the project should also be given. The following rating system is to be applied:

HS	= Highly Satisfactory
S	= Satisfactory
MS	= Moderately Satisfactory
MU	= Moderately Unsatisfactory

U = Unsatisfactory  
HU = Highly Unsatisfactory

Wherever possible, the Reviewer/Review team will provide recommendations for improvement of project performance in each of the eleven categories above, so that the project could incorporate them into the implementation of the remaining duration of the project

In addition, the Reviewer/Review team should prepare a draft 'performance table' for the project. This table should specify, for each of the main objectives and outcomes in the project logical framework, levels of performance (and their means of assessment) using the six performance categories above (HS to HU). This performance table will be discussed and finalised during the next Project Steering Committee Meeting and will be used as a rubric for assessing project performance in the Terminal Evaluation of the project. An example is shown in **Annex 4**.

#### **43 Review report format and review procedures**

The report should be brief, to the point and easy to understand. It must explain the purpose of the review, exactly what was evaluated and the methods used. The report must highlight any methodological limitations, identify key concerns and present evidence-based findings, consequent conclusions, recommendations and lessons. The report should provide information on when the review took place, the places visited, who was involved and be presented in a way that makes the information accessible and comprehensible. The report should include an executive summary that encapsulates the essence of the information contained in the report to facilitate clear managerial responses.

**The review will rate the overall implementation success of the project and provide individual ratings of the eleven implementation aspects as per Annex 5. The ratings will be presented in the format of a table with brief justifications based on the findings of the main analysis.**

Evidence, findings, conclusions and recommendations should be presented in a complete and balanced manner. Any dissident views in response to review findings will be appended in an annex. The review report shall be written in English, be of no more than 50 pages per project (hence no more than 150 pages excluding annexes), use numbered paragraphs and include:

- i) An **executive summary** (no more than 3 pages) providing a brief overview of the main conclusions and recommendations of the review;
- ii) **Introduction and background** giving a brief overview of the evaluated project, for example, the objective and status of activities, its relevance and project theory / intervention logic;
- iii) **Scope, objective and methods** presenting the review's purpose, the review criteria used and questions to be addressed;
- iv) **Project Performance and Impact** providing factual evidence relevant to the questions asked by the Reviewer/Review team and interpretations of such

- evidence. This is the main substantive section of the report and should provide a commentary on all review aspects (A – K above).
- v) **Conclusions and rating** of project implementation success giving the Reviewer/Review team's concluding assessments and ratings of the project against given review criteria and standards of performance. The conclusions should provide answers to questions about whether the project is considered good or bad, and whether the results are considered positive or negative;
  - vi) **Lessons learned** presenting general conclusions from the standpoint of the design and implementation of the project, based on good practices and successes or problems and mistakes. Lessons should have the potential for wider application and use. All lessons should 'stand alone' and should:
    - Specify the context from which they are derived
    - State or imply some prescriptive action;
    - Specify the contexts in which they may be applied (if possible who when and where)
  - vii) **Recommendations.** High quality recommendations should be *actionable* proposals that are:
    - Implementable within the timeframe and resources available
    - Commensurate with the available capacities of project team and partners
    - Specific in terms of who would do what and when
    - Contain results-based language (i.e. a measurable performance target)
    - 2-3 suggestions regarding actions to support expansion to the other Caribbean countries and territories Include a trade off analysis, when its implementation may require utilizing significant resources that would have otherwise been used for other project purposes.
  - viii) **Annexes** include Terms of Reference, list of interviewees, documents reviewed, brief summary of the expertise of the Reviewer/Review team, a summary of co-finance information etc. Dissident views or management responses to the review findings may later be appended in an annex.

Examples of UNEP GEF Mid-term Evaluation Reports are available at [www.unep.org/eou](http://www.unep.org/eou)

#### **44 Review of the Draft Mid-Term Review Report**

The Draft report shall be submitted to UNEP, Executing Agency staff and all other stakeholders can comment on the draft review report. They may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. The consultation also seeks agreement on the findings and recommendations. The UNEP Project Task Manager will collate the review comments and provide them to the Reviewer/Review team for consideration in preparing the final version of the report. A reasonable time-frame will be assigned by the TM on the above past which the comment phase will be complete and the report returned to the consultant for any changes warranted.

#### **Submission of Report.**

The final report shall be written in English and submitted in electronic form in MS Word format and should be sent directly to:

Maryam Niamir-Fuller  
Director

UNEP GEF Coordination Office  
P.O. Box 30552-00100  
Nairobi, Kenya  
Tel: + 254-20-7624686  
**Email:** [marvam.niamir-fuller@unep.org](mailto:marvam.niamir-fuller@unep.org)

Mohamed Sessay

**Email :** [mohamed.sessay@unep.org](mailto:mohamed.sessay@unep.org)

Greg Sherley  
Regional Focal Point and Task Manager  
UNEP  
Private Mail Bag  
Apia  
Samoa  
Tel: +685-7505346; +685 21929  
**Email:**[greg.sherley@undp.org](mailto:greg.sherley@undp.org)

The final Mid-Term Review report will be considered as an ‘internal document’ with the circulation of the report to be determined by UNEP management.

#### **45 Resources and schedule of the review**

These Mid-Term Reviews will be undertaken by an international Reviewer contracted by the UNEP. The contract for the Reviewer will begin on January 6th 2014 and end at least by 31 May 2014 (90 working days) spread over 5 months. The Reviewer will submit a draft report no later than 14 April 2014 to UNEP. Any comments or responses to the draft report will be sent to UNEP for collation and the Reviewer will be advised of any necessary revisions. Comments to the final draft report will be sent to the Reviewer by 7 May 2014 after which, the Reviewer team will submit the final report no later than 31 May 2014. Note – early deadlines than these are welcomed if possible.

The Reviewer will have an initial Skype briefing with UNEP, then proceed with other interviews.

The Reviewer should be an international expert in environmental science with expertise in the field of sustainable funding for biodiversity and ecosystem conservation. Fluency in oral and written English is essential. The Reviewer will work under the overall supervision of the Task Manager, UNEP.

#### **46. Schedule Of Payment**

46.1 The consultant will be hired under an individual Special Service Agreement (SSA). The fee will be estimated as a lumpsum, inclusive of all expenses such as travel, accommodation and incidental expenses.

46.2 The Consultant will receive an initial payment of 40% upon signature of the contract.

- 46.3 The Consultant will receive 40% of the honorarium portion of his/her fee upon acceptance of a draft report deemed complete and of acceptable quality by the TM and EO. The remainder will be paid upon satisfactory completion of the work.
- 46.4 In case the consultant is not able to provide the deliverables in accordance with these TORs, in line with the expected quality standards by the UNEP, payment may be withheld by UNEP at the discretion of the UNEP Task Manager until the consultant has improved the deliverables to meet UNEP's quality standards.
- 46.5 If the consultant fails to submit a satisfactory final product to UNEP in a timely manner, i.e. within one month after the end date of their contract, the UNEP Task Manager reserves the right to employ additional human resources to finalize the report, and to reduce the consultants' fees by an amount equal to the additional costs borne by UNEP to bring the report up to standard.

## ANNEX 1: MTR REPORT FORMAT AND CONTENT OUTLINE.

<b>Project Identification Table</b>	An updated version of the table in I.A. of these TORs
<b>Executive Summary</b>	Overview of the main findings, conclusions and recommendations of the evaluation. It should encapsulate the essence of the information contained in the report to facilitate dissemination and distillation of lessons. The main points for each evaluation parameter should be presented here (with a summary ratings table), as well as the most important lessons and recommendations. Maximum 4 pages.
<b>I. Evaluation Background</b>	
A. Context	A. Overview of the broader institutional and country context, in relation to the project's objectives.
B. The Project	B. Presentation of the project: rationale, objectives, components, intervention areas and target groups, milestones in design, implementation and completion, implementation arrangements and main partners, financing (amounts and sources), modifications to design before or during implementation.
C. Evaluation objectives, scope and methodology	C. Presentation of the evaluation's purpose, evaluation criteria and key questions, evaluation timeframe, data collection and analysis instruments used, places visited, types of stakeholders interviewed, and limitations of the evaluation.
<b>II. Project Performance and Impact</b>	
A. Attainment of objectives and planned results B. Sustainability and catalytic role C. Processes affecting attainment of project results D. Complementarity with UNEP, UNDP and UNIDO programmes and strategies	This section is organized according to the 4 categories of evaluation criteria (see section D of these TORs) and provides factual evidence relevant to the questions asked and sound analysis and interpretations of such evidence. This is the main substantive section of the report. Ratings are provided at the end of the assessment of each evaluation criterion.
<b>III. Conclusions and Recommendations</b>	
A. Conclusions	This section should summarize the main findings of the evaluation, told in a logical sequence from cause to effect. It is suggested to start with the positive achievements and a short explanation why these could be achieved, and, then, to present the less successful aspects of the project with a short explanation why. The conclusions section should end with the overall assessment of the project. Findings should be cross-referenced to the main text of the report (using the paragraph numbering). The overall ratings table should be inserted here (see Annex 2).

B. Lessons Learned	Lessons learned should be anchored in the main findings of the evaluation. In fact, no lessons should appear which are not based upon a conclusion of the evaluation. The number of lessons learned should be limited. Lessons learned are rooted in real project experiences, i.e. based on good practices and successes which could be replicated or derived from problems encountered and mistakes made which should be avoided in the future. Lessons learned must have the potential for wider application and use. Lessons should briefly describe the context from which they are derived and specify the contexts in which they may be useful.
C. Recommendations	As for the lessons learned, all recommendations should be anchored in the conclusions of the report, with proper cross-referencing, and their number should be limited to 5 or 6. Recommendations are actionable proposals on how to resolve concrete problems affecting the project or the sustainability of its results. They should be feasible to implement within the timeframe and resources available (including local capacities), specific in terms of who would do what and when, and set a measurable performance target. In some cases, it might be useful to propose options, and briefly analyze the pros and cons of each option.
<b>Annexes</b>	<p>These may include additional material deemed relevant by the evaluator but must include:</p> <ol style="list-style-type: none"> <li>1. Evaluation TORs</li> <li>2. Evaluation program, containing the names of locations visited and the names (or functions) of people met</li> <li>3. Bibliography</li> <li>4. Summary co-finance information and a statement of project expenditure by activity (See annex of these TORs)</li> <li>5. Details of the project's 'impact pathways' and the 'ROtI' analysis</li> <li>6. Technical working paper</li> <li>7. Brief CVs of the consultants</li> </ol> <p>TE reports will also include any formal response/ comments from the project management team and/ or the country focal point regarding the evaluation findings or conclusions as an annex to the report, however, such will be appended to the report by UNEP Evaluation Office.</p>

## ANNEX 2. EVALUATION RATINGS

The evaluation will provide individual ratings for the evaluation criteria described in section II.D. of these TORs. Some criteria contain sub-criteria which require separate ratings (i.e. sustainability and M&E). Furthermore, an aggregated rating will be provided for Relevance, effectiveness and efficiency under the category “Attainment of project objectives and results”.

Most criteria will be rated on a six-point scale as follows: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability is rated from Highly Likely (HL) down to Highly Unlikely (HU).

In the conclusions section of the report, ratings will be presented together in a table, with a brief justification cross-referenced to the findings in the main body of the report. Please note that the order of the evaluation criteria in the table will be slightly different from the order these are treated in the main report; this is to facilitate comparison and aggregation of ratings across GEF project evaluation reports.

Criterion	Summary Assessment	Rating
<b>A. Attainment of project objectives and results</b>		HS → HU
1. Effectiveness		HS → HU
2. Relevance		HS → HU
3. Efficiency		HS → HU
<b>B. Sustainability of project outcomes</b>		HL → HU
1. Financial		HL → HU
2. Socio-political		HL → HU
3. Institutional framework		HL → HU
4. Environmental		HL → HU
<b>C. Catalytic role</b>		HS → HU
<b>D. Stakeholders involvement</b>		HS → HU
<b>E. Country ownership / driven-ness</b>		HS → HU
<b>F. Achievement of outputs and activities</b>		HS → HU
<b>G. Preparation and readiness</b>		HS → HU
<b>H. Implementation approach</b>		HS → HU
<b>I. Financial planning and management</b>		HS → HU
<b>J. Monitoring and Evaluation</b>		HS → HU
1. M&E Design		HS → HU
2. M&E Plan Implementation		HS → HU
3. Budgeting and funding for M&E activities		HS → HU
<b>K. UNEP and UNDP Supervision and backstopping</b>		HS → HU
1. UNEP		HS → HU
2. UNDP		HS → HU

**Rating of Attainment of project objectives and results.** A compound rating is given to the category based on the assessment of relevance, effectiveness and efficiency. This aggregated rating is not a simple average of the separate ratings given to the evaluation criteria, but an overall judgement by the consultants. Relevance and effectiveness, however, will be considered as critical criteria. This means that the aggregated rating for Attainment of objectives and results may not be higher than the lowest rating on either of these two criteria.

**Ratings on sustainability.** According to the GEF Office of Evaluation, all the dimensions of sustainability are deemed critical. Therefore, the overall rating for sustainability will not be higher than the lowest rating on the separate dimensions.

**Ratings of monitoring and evaluation.** The M&E system will be rated on M&E design, M&E plan implementation, and budgeting and funding for M&E activities (the latter sub-criterion is covered in the main report under M&E design) as follows:

Highly Satisfactory (HS): There were no shortcomings in the project M&E system.

Satisfactory(S): There were minor shortcomings in the project M&E system.

Moderately Satisfactory (MS): There were moderate shortcomings in the project M&E system.

Moderately Unsatisfactory (MU): There were significant shortcomings in the project M&E system.

Unsatisfactory (U): There were major shortcomings in the project M&E system.

Highly Unsatisfactory (HU): The Project had no M&E system.

M&E plan implementation will be considered critical for the overall assessment of the M&E system. Thus, the overall rating for M&E will not be higher than the rating on M&E plan implementation.

### ANNEX 3. PROJECT COSTS AND CO-FINANCING TABLES

#### Project Costs

Component/sub-component	Estimated cost at design	Actual Cost	Expenditure ratio (actual/planned)

#### Co-financing

Co financing (Type/Source)	IA own Financing (mill US\$)		Government (mill US\$)		Other* (mill US\$)		Total (mill US\$)		Total Disbursed (mill US\$)
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	
- Grants									
- Loans									
- Credits									
- Equity investments									
- In-kind support									
- Other (*)									
-									
-									
<b>Totals</b>									

\* This refers to contributions mobilized for the project from other multilateral agencies, bilateral development cooperation agencies, NGOs, the private sector and beneficiaries.

## ANNEX 4. QUALITY ASSESSMENT OF THE EVALUATION REPORT

All UNEP evaluation reports are subject to a quality assessment by the Evaluation Office. The quality assessment is used as a tool for providing structured feedback to the evaluation consultants. The quality of the draft evaluation report is assessed and rated against the following criteria:

GEF Report Quality Criteria	UNEP EO Assessment	Rating
A. Did the report present an assessment of relevant outcomes and achievement of project objectives in the context of the focal area program indicators if applicable?		
B. Was the report consistent and the evidence complete and convincing and were the ratings substantiated when used?		
C. Did the report present a sound assessment of sustainability of outcomes?		
D. Were the lessons and recommendations supported by the evidence presented?		
E. Did the report include the actual project costs (total and per activity) and actual co-financing used?		
F. Did the report include an assessment of the quality of the project M&E system and its use for project management?		
<b>UNEP additional Report Quality Criteria</b>		
G. Quality of the lessons: Were lessons readily applicable in other contexts? Did they suggest prescriptive action?		
H. Quality of the recommendations: Did recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can they be implemented? Did the recommendations specify a goal and an associated performance indicator?		
I. Was the report well written? (clear English language and grammar)		
J. Did the report structure follow EOU guidelines, were all requested Annexes included?		
K. Were all evaluation aspects specified in the TORs adequately addressed?		
L. Was the report delivered in a timely manner		

$$\text{Quality} = (2*(0.3*(A + B) + 0.1*(C+D+E+F)) + 0.3*(G + H) + 0.1*(I+J+K+L))/3$$

The Totals are rounded and converted to the scale of HS to HU

Rating system for quality of Evaluation reports: A number rating between 1 and 6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1.

ANNEX 5. DOCUMENTATION LIST FOR THE EVALUATION (to be provided by the unep task manager and sprep and pipa [MELAD] project managers)

- Project design documents
- Relevant Correspondence related to project
- Supervision mission reports
- Steering Committee meeting documents, including agendas, meeting minutes, and any summary reports
- Project progress reports, including financial reports submitted and annexes (including any project technical outputs and supporting documentation)
- Cash advance requests documenting disbursements
- Annual Project Implementation Reports (PIRs)

## ANNEX 6. INTRODUCTION TO THEORY OF CHANGE / IMPACT PATHWAYS, THE ROTI METHOD AND THE ROTI RESULTS SCORE SHEET

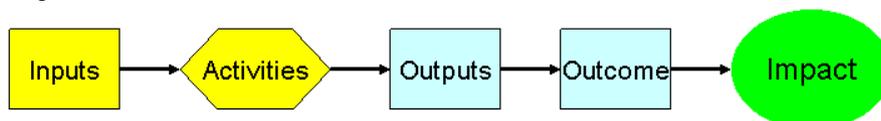
Terminal evaluations of projects are conducted at, or shortly after, project completion. At this stage it is normally possible to assess the achievement of the project's outputs. However, the possibilities for evaluation of the project's outcomes are often more limited and the feasibility of assessing project **impacts** at this time is usually severely constrained. Full impacts often accrue only after considerable time-lags, and it is common for there to be a lack of long-term baseline and monitoring information to aid their evaluation. Consequently, substantial resources are often needed to support the extensive primary field data collection required for assessing impact and there are concomitant practical difficulties because project resources are seldom available to support the assessment of such impacts when they have accrued – often several years after completion of activities and closure of the project.

Despite these difficulties, it is possible to enhance the scope and depth of information available from Terminal Evaluations on the achievement of results **through rigorous review of project progress along the pathways from outcome to impact**. Such reviews identify the sequence of conditions and factors deemed necessary for project outcomes to yield impact and assess the current status of and future prospects for results. In evaluation literature these relationships can be variously described as 'Theories of Change', Impact 'Pathways', 'Results Chains', 'Intervention logic', and 'Causal Pathways' (to name only some!).

### Theory of Change (ToC) / impact pathways

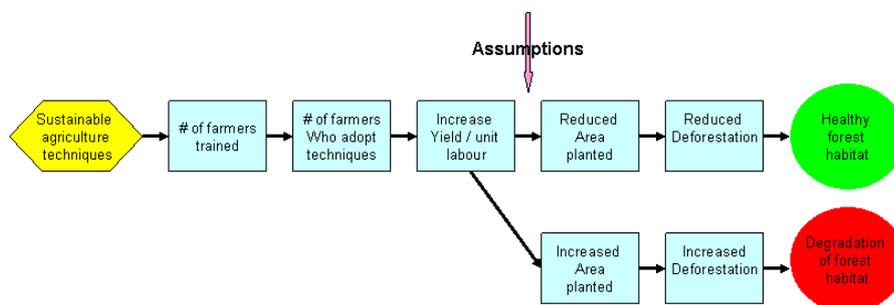
Figure 1 shows a generic impact pathway which links the standard elements of project logical frameworks in a graphical representation of causal linkages. When specified with more detail, for example including the key users of outputs, the processes (the arrows) that lead to outcomes and with details of performance indicators, analysis of impact pathways can be invaluable as a tool for both project planning and evaluation.

Figure 1. A generic results chain, which can also be termed an 'Impact Pathway' or Theory of Change.



The pathways summarise casual relationships and help identify or clarify the assumptions in the intervention logic of the project. For example, in the Figure 2 below the eventual impact depends upon the behaviour of the farmers in using the new agricultural techniques they have learnt from the training. The project design for the intervention might be based on the upper pathway assuming that the farmers can now meet their needs from more efficient management of a given area therefore reducing the need for an expansion of cultivated area and ultimately reducing pressure on nearby forest habitat, whereas the evidence gathered in the evaluation may in some locations follow the lower of the two pathways; the improved faming methods offer the possibility for increased profits and create an incentive for farmers to cultivate more land resulting in clearance or degradation of the nearby forest habitat.

Figure 2. An impact pathway / TOC for a training intervention intended to aid forest conservation.



The GEF Evaluation Office has recently developed an approach that builds on the concepts of theory of change / causal chains / impact pathways. The method is known as Review of Outcomes to Impacts (ROtI)<sup>6</sup> and has three distinct stages:

- a. Identifying the project's intended impacts
- b. Review of the project's logical framework
- c. Analysis and modelling of the project's outcomes-impact pathways

The **identification of the projects intended impacts** should be possible from the 'objectives' statements specified in the official project document. The next stage is to **review the project's logical framework** to assess whether the design of the project is consistent with, and appropriate for, the delivery of the intended impact. The method requires verification of the causal logic between the different hierarchical levels of the logical framework moving 'backwards' from impacts through outcomes to the outputs; the activities level is not formally considered in the ROtI method<sup>7</sup>. The aim of this stage is to develop an understanding of the causal logic of the project intervention and to identify the key 'impact pathways'. In reality such process are often complex; they often involve multiple actors and decision-processes and are subject to time-lags, meaning that project impact often accrue long after the completion of project activities.

The third stage involves analysis of the 'impact pathways' that link project outcomes to impacts. The pathways are analysed in terms of the '**assumptions**' and '**impact drivers**' that underpin the processes involved in the transformation of outcomes to impacts via **intermediate states** (see Figure 3). Project outcomes are the direct intended results stemming from the outputs, and they are likely to occur either towards the end of the project or in the short term following project completion. **Intermediate states** are the transitional conditions between the project's immediate outcomes and the intended impact. They are necessary conditions for the achievement of the intended impacts and there may be more than one intermediate state between the immediate project outcome and the eventual impact.

**Impact drivers** are defined as the significant factors that if present are expected to contribute to the realization of the intended impacts and **can be influenced** by the project / project partners & stakeholders. **Assumptions** are the significant factors that if present are expected to contribute to the realization of the intended impacts but are largely **beyond the control of the project** / project

<sup>6</sup> GEF Evaluation Office (2009). ROtI: Review of Outcomes to Impacts Practitioners Handbook. [http://www.gefweb.org/uploadedFiles/Evaluation\\_Office/OPS4/Roti%20Practitioners%20Handbook%2015%20June%202009.pdf](http://www.gefweb.org/uploadedFiles/Evaluation_Office/OPS4/Roti%20Practitioners%20Handbook%2015%20June%202009.pdf)

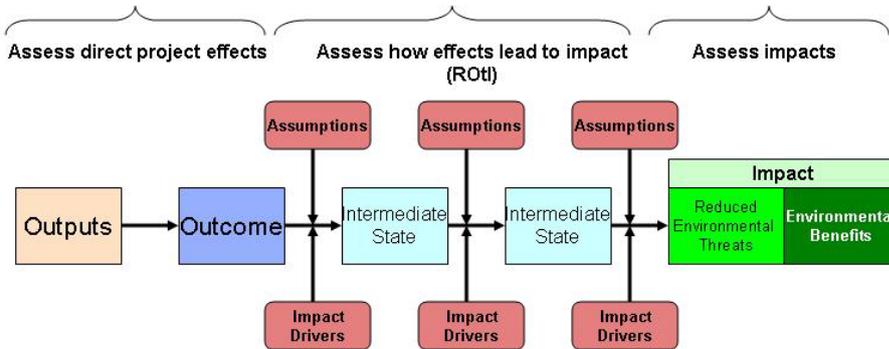
<sup>7</sup>Evaluation of the efficiency and effectiveness in the use of resources to generate outputs is already a major focus within UNEP Terminal Evaluations.

partners & stakeholders. The impact drivers and assumptions are ordinarily considered in Terminal Evaluations when assessing the sustainability of the project.

Since project logical frameworks do not often provide comprehensive information on the processes by which project outputs yield outcomes and eventually lead, via 'intermediate states' to impacts, the impact pathways need to be carefully examined and the following questions addressed:

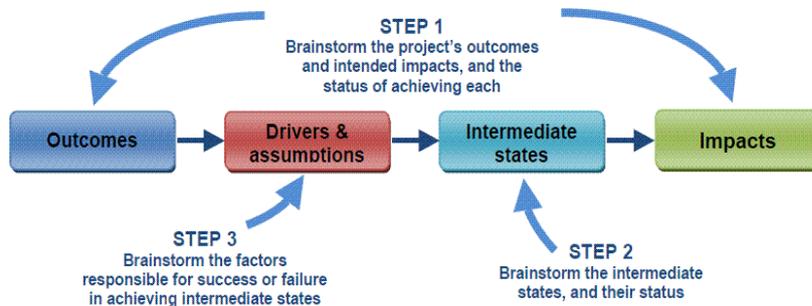
- Are there other causal pathways that would stem from the use of project outputs by other potential user groups?
- Is (each) impact pathway complete? Are there any missing intermediate states between project outcomes and impacts?
- Have the key impact drivers and assumptions been identified for each 'step' in the impact pathway.

Figure 3. A schematic 'impact pathway' showing intermediate states, assumptions and impact drivers (adapted from GEF EO 2009).



The process of identifying the impact pathways and specifying the impact drivers and assumptions can be done as a desk exercise by the evaluator or, preferably, as a group exercise, led by the evaluator with a cross-section of project stakeholders as part of an evaluation field mission or both. Ideally, the evaluator would have done a desk-based assessment of the project's theory of change and then use this understanding to facilitate a group exercise. The group exercise is best done through collective discussions to develop a visual model of the impact pathways using a card exercise. The component elements (outputs, outcomes, impact drivers, assumptions intended impacts etc.) of the impact pathways are written on individual cards and arranged and discussed as a group activity. Figure 4 below shows the suggested sequence of the group discussions needed to develop the ToC for the project.

Figure 4. Suggested sequencing of group discussions (from GEF EO 2009)



Once the theory of change model for the project is complete the evaluator can assess the design of the project intervention and collate evidence that will inform judgments on the extent and effectiveness of implementation, through the evaluation process. Performance judgments are made always noting that project contexts can change and that adaptive management is required during project implementation.

The ROTI method requires ratings for outcomes achieved by the project and the progress made towards the 'intermediate states' at the time of the evaluation. According to the GEF guidance on the method; "The rating system is intended to recognize project preparation and conceptualization that considers its own assumptions, and that seeks to remove barriers to future scaling up and out. Projects that are a part of a long-term process need not at all be "penalized" for not achieving impacts in the lifetime of the project: the system recognizes projects' forward thinking to eventual impacts, even if those impacts are eventually achieved by other partners and stakeholders, albeit with achievements based on present day, present project building blocks." For example, a project receiving an "AA" rating appears likely to deliver impacts, while for a project receiving a "DD" this would seem unlikely, due to low achievement in outcomes and the limited likelihood of achieving the intermediate states needed for eventual impact (see Table 1).

Table 1. Rating scale for outcomes and progress towards 'intermediate states'

Outcome Rating	Rating on progress toward Intermediate States
D: The project's intended outcomes were not delivered	D: No measures taken to move towards intermediate states.
C: The project's intended outcomes were delivered, but were not designed to feed into a continuing process after project funding	C: The measures designed to move towards intermediate states have started, but have not produced results.
B: The project's intended outcomes were delivered, and were designed to feed into a continuing process, but with no prior allocation of responsibilities after project funding	B: The measures designed to move towards intermediate states have started and have produced results, which give no indication that they can progress towards the intended long term impact.
A: The project's intended outcomes were delivered, and were designed to feed into a continuing process, with specific allocation of responsibilities after project funding.	A: The measures designed to move towards intermediate states have started and have produced results, which clearly indicate that they can progress towards the intended long term impact.

Thus a project will end up with a two letter rating e.g. AB, CD, BB etc. In addition the rating is given a '+' notation if there is evidence of impacts accruing within the life of the project. The possible rating permutations are then translated onto the usual six point rating scale used in all UNEP project evaluations in the following way.

Table 2. Shows how the ratings for 'achievement of outcomes' and 'progress towards intermediate states translate to ratings for the 'Overall likelihood of impact achievement' on a six point scale.

Highly Likely	Likely	Moderately Likely	Moderately Unlikely	Unlikely	Highly Unlikely
AA AB BA CA BB+ CB+ DA+ DB+	BB CB DA DB AC+ BC+	AC BC CC+ DC+	CC DC AD+ BD+	AD BD CD+ DD+	CD DD

In addition, projects that achieve documented changes in environmental status during the project's lifetime receive a positive impact rating, indicated by a "+". The overall likelihood of achieving impacts is shown in Table 11 below (a + score above moves the double letter rating up one space in the 6-point scale).

The ROTI method provides a basis for comparisons across projects through application of a rating system that can indicate the expected impact. However it should be noted that whilst this will provide a relative scoring for all projects assessed, it does not imply that the results from projects can necessarily be aggregated. Nevertheless, since the approach yields greater clarity in the 'results metrics' for a project, opportunities where aggregation of project results might be possible can more readily be identified.

Results rating of project entitled:							
Outputs	Outcomes	Rating (D - A)	Intermediary	Rating (D - A)	Impact (GEBs)	Rating (+)	Overall
1.	1.		1.		1.		
2.	2.		2.		2.		
3.	3.		3.		3.		
	<b>Rating justification:</b>		<b>Rating justification:</b>		<b>Rating justification:</b>		

### Scoring Guidelines

The achievement of **Outputs** is largely assumed. Outputs are such concrete things as training courses held, numbers of persons trained, studies conducted, networks established, websites developed, and many others. Outputs reflect where and for what project funds were used. These were not rated: projects generally succeed in spending their funding.

**Outcomes**, on the other hand, are the first level of intended results stemming from the outputs. Not so much the number of persons trained; but how many persons who then demonstrated that they have gained the intended knowledge or skills. Not a study conducted; but one that could change the evolution or development of the project. Not so much a network of NGOs established; but that the network showed potential for functioning as intended. A sound outcome might be genuinely improved strategic planning in SLM stemming from workshops, training courses, and networking.

### Examples

*Funds were spent, outputs were produced, but nothing in terms of outcomes was achieved.* People attended training courses but there is no evidence of increased capacity. A website was developed, but no one used it. (Score - D)

***Outcomes achieved but are dead ends; no forward linkages to intermediary stages in the future.*** People attended training courses, increased their capacities, but all left for other jobs shortly after; or were not given opportunities to apply their new skills. A website was developed and was used, but achieved little or nothing of what was intended because users had no resources or incentives to apply the tools and methods proposed on the website in their job. (Score – C)

***Outcomes plus implicit linkages forward.*** Outcomes achieved and have *implicit forward linkages* to intermediary stages and impacts. Collaboration as evidenced by meetings and decisions made among a loose network is documented that should lead to better planning. Improved capacity is in place and should lead to desired intermediate outcomes. Providing implicit linkages to intermediary stages is probably the most common case when outcomes have been achieved. (Score - B)

***Outcomes plus explicit linkages forward.*** Outcomes have *definite and explicit forward linkages* to intermediary stages and impacts. An alternative energy project may result in solar panels installed that reduced reliance on local wood fuels, with the outcome quantified in terms of reduced C emissions. Explicit forward linkages are easy to recognize in being concrete, but are relatively uncommon. (Score A)

#### **Intermediary stages:**

The **intermediate stage** indicates achievements that lead to Global Environmental Benefits, especially if the potential for scaling up is established.

***“Outcomes” scored C or D.*** If the outcomes above scored C or D, there is no need to continue forward to score intermediate stages given that achievement of such is then not possible.

***In spite of outcomes and implicit linkages, and follow-up actions, the project dead-ends.*** Although outcomes achieved have *implicit forward linkages* to intermediary stages and impacts, the project dead-ends. Outcomes turn out to be insufficient to move the project towards intermediate stages and to the eventual achievement of GEBs. Collaboration as evidenced by meetings and among participants in a network never progresses further. The implicit linkage based on follow-up never materializes. Although outcomes involve, for example, further participation and discussion, such actions do not take the project forward towards intended intermediate impacts. People have fun getting together and talking more, but nothing, based on the implicit forwards linkages, actually eventuates. **(Score = D)**

***The measures designed to move towards intermediate states have started, but have not produced result, barriers and/or unmet assumptions may still exist.*** In spite of sound outputs and in spite of explicit forward linkages, there is limited possibility of intermediary stage achievement due to barriers not removed or unmet assumptions. This may be the fate of several policy related, capacity building, and networking projects: people work together, but fail to develop a way forward towards concrete results, or fail to successfully address inherent barriers. The project may increase ground cover and or carbon stocks, may reduce grazing or GHG emissions; and may have project level recommendations regarding scaling up; but barrier removal or the addressing of fatal assumptions means that scaling up remains limited and unlikely to be achieved at larger scales. Barriers can be policy and institutional limitations; (mis-) assumptions may have to do with markets or public – private sector relationships. **(Score = C)**

***Barriers and assumptions are successfully addressed.*** Intermediary stage(s) planned or conceived have feasible direct and explicit forward linkages to impact achievement; barriers and assumptions are successfully addressed. The project achieves measurable intermediate

impacts, and works to scale up and out, but falls well short of scaling up to global levels such that achievement of GEBs still lies in doubt. **(Score = B)**

*Scaling up and out over time is possible.* Measurable intermediary stage impacts achieved, scaling up to global levels and the achievement of GEBs appears to be well in reach over time. **(Score = A)**

**Impact:** Actual changes in environmental status

**“Intermediary stages” scored B to A.**

**Measurable impacts achieved at a globally significant level within the project life-span. .**

**(Score = ‘+’)**

Annex 7: PIPA project summary

**1. PROJECT GENERAL INFORMATION**

<b>Project Title:</b>	Phoenix Islands Protected Area (PIPA)
<b>Executing Agency:</b>	Ministry of Environment, Lands and Agricultural Development
<b>Project partners:</b>	Conservation International; New England Aquarium
<b>Geographical Scope:</b>	Republic of Kiribati
<b>Participating Countries:</b>	Kiribati

<b>GEF project ID:</b>	3897	<b>IMIS number*<sup>8</sup>:</b>	GFL-2328-2712-4C29
<b>Focal Area(s):</b>	Biodiversity	<b>GEF OP #:</b>	
<b>GEF Strategic Priority/Objective:</b>	Ecosystem Management	<b>GEF approval date*:</b>	September 12, 2011
<b>UNEP approval date:</b>	December 23, 2011	<b>First Disbursement*:</b>	December 25, 2011
<b>Actual start date<sup>9</sup>:</b>	December 25, 2011	<b>Planned duration:</b>	36 months
<b>Intended completion date*:</b>	November 30, 2014	<b>Actual or Expected completion date:</b>	November 30, 2014
<b>Project Type:</b>	MPS	<b>GEF Allocation*:</b>	\$870,200
<b>PDF GEF cost*:</b>	\$13,829.80	<b>PDF co-financing*:</b>	\$43,611.00
<b>Expected MSP/FSP Co-financing*:</b>	\$1,793,100.00	<b>Total Cost*:</b>	\$2,720,740.80
<b>Mid-term review/eval. (planned date):</b>	June, 2014	<b>Terminal Evaluation (actual date):</b>	N/A
<b>Mid-term review/eval. (actual date):</b>	N/A	<b>No. of revisions*:</b>	No
<b>Date of last Steering Committee meeting:</b>	May, 2013	<b>Date of last Revision*:</b>	N/A
<b>Disbursement as of 30 June yyyy*:</b>	\$441,384.83	<b>Date of financial closure*:</b>	N/A
<b>Date of Completion<sup>10</sup>*:</b>	N/A	<b>Actual expenditures reported as of 30 June, 2013<sup>11</sup>:</b>	\$287,675.49
<b>Total co-financing realized as of 30 June yyyy<sup>12</sup>:</b>		<b>Actual expenditures entered in IMIS as of 30 June yyyy*:</b>	\$0.00
<b>Leveraged financing<sup>13</sup>:</b>			

<sup>8</sup> Fields with an \* sign (in yellow) should be filled by the Fund Management Officer

<sup>9</sup> Only if different from first disbursement date, e.g., in cases where a long time elapsed between first disbursement and recruitment of project manager.

<sup>10</sup> If there was a "Completion Revision" please use the date of the revision.

<sup>11</sup> Information to be provided by Executing Agency/Project Manager

<sup>12</sup> Projects which completed mid-term reviews/evaluations or terminal evaluations should attach the completed co-financing table as per GEF format.

<sup>13</sup> See above note on co-financing and Glossary (Annex 1)

<p><b>Project summary</b><sup>14</sup></p>	<p>1. Protected Area development in the Pacific Islands region and globally faces a fundamental set of issues to demonstrate effectiveness and success. These include the need to: (1) promote investment at a scale or size to achieve necessary national, regional and global benefits, (2) successfully demonstrate marine protected areas (MPAs) as a useful tool for fisheries management, including pelagic fisheries (e.g. tuna), (3) demonstrate MPA utility in managing a state's Exclusive Economic Zone (EEZ) as part of effective marine spatial planning and inclusive of coastal, offshore, deep-sea/seamount and open ocean habitats and the connectivity between them, (4) address critical urgent invasive species management on vulnerable islands, (5) effectively conserve at an appropriate scale for globally important and threatened species (e.g. seabirds and turtles), and (6) ensure sustainable financing to achieve success in such protected area objectives.</p> <p>2. The Phoenix Islands Protected Area (PIPA) offers an unparalleled opportunity to demonstrate effective solutions to these issues by using new innovations (e.g. 'reverse fishing license'), a new scale of site investment, support by public-private partnerships and up-scaling to effect a new level of conservation achievement in developing states. At 408,250sq km and inclusive of all habitat types (atoll terrestrial, coastal coral reef and lagoons, offshore, deep-sea and open ocean habitats), <b>PIPA is one of the world's largest marine protected areas (MPA), the second largest in the Pacific Ocean, and the largest committed to by a developing country.</b> At project inception the PIPA contributed an estimated 9.8 % by area of global MPA effort and is the largest yet attempted by any developing nation and the largest in the Pacific Islands region. PIPA is an integrated approach to conservation and sustainable use with key elements of sustainable financing, atoll restoration, coastal coral reef and lagoon/offshore/open-ocean/deep-sea fisheries conservation management, conservation of threatened and globally important species, market for biodiversity goods and services, and adaptation to climate change.</p> <p>3. The Project will focus on supporting the implementation of PIPA's first Management Plan (2010 -2014) during the period 2011-2014 (June). This will be achieved through a twin focus on: (i) Core Operational (capacity, infrastructure, zonation, surveillance and enforcement, monitoring, evaluation) and Strategic Outcomes (atoll restoration, reverse fishing license, World Heritage site management, tourism, climate change adaptation), and (ii) the design and operation of PIPA's Sustainable Financing System.</p>
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<p><b>Project status FY</b><sup>15</sup></p>	<p>1.1 PIPA Core Operations &amp; Strategic Outcomes</p> <ul style="list-style-type: none"> <li>• C1.1.1.1 PIPA Office in Tarawa has been operational since the very start of the project in 2011,</li> <li>• C1.1.1.2 PIPA Staff, PIPA Director was on board at the very start of the project whilst the PIPA Education and</li> </ul>
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<sup>14</sup> As in project document

<sup>15</sup> Please include additional lines to keep prior year implementation status (if any)

	<p>Media Officer and the Finance Officer came on board in June, 2012</p> <ul style="list-style-type: none"> <li>• C1.1.2.1 PIPA Office in Kanton – The engineers from the Ministry of Public Works and Utilities are currently working on the design of the PIPA Office to be established on Kanton which is to be based on the outcome of the Kanton Mission conducted in May, 2013. Improving the existing houses on Kanton has been suggested.</li> <li>• C1.1.2.2 PIPA Staff in Kanton – two PIPA staff will be recruited only when their houses and Office has been built.</li> <li>• C.1.1.3 PIPA MP’s SAP 1.9 PIPA Information Management, Education and Outreach - publication of PIPA Newsletter, improvement to the website, PIPA National Quiz involving the senior secondary schools, intermediate and junior levels are PIPA on-going programmes including the supply of PIPA resources to the schools and others. PIPA has been included in the national curriculum to be used by primary schools.</li> <li>• C.1.1.4 PIPA MP’s SAP 1.6 PIPA Surveillance and Enforcement – recent surveillance voyage of the Patrol Boat by the Kiribati Police Maritime Unit to PIPA was conducted in May, 2013 whilst the monitoring of the distant water fishing nations is on-going by the Fisheries Law Enforcement Unit of the Ministry of Fisheries and Marine Resources Development. Both representatives of the KPMU and FLEU on the PIPA Management Committee normally report to the PIPA MC as regards to status on surveillance activities in PIPA.</li> <li>• C.1.1.5 PIPA MP’s SAP 1.11 PIPA Tourism Development – The outcome of the Kanton Mission conducting the infrastructure assessment including mapping of potential tourist sites on the island is currently being prepared for submission to the PIPA Management Committee, the PMG and finally Cabinet for endorsement. Now that the infrastructure on Kanton has been assessed, the PIPA Tourism Plan will soon be finalized. The visitation of PIPA by a Dive Operator bringing tourist divers under a permit is still ongoing. The search for the lost Amelia’ a lost plane in Nikumaroro is also an ongoing activity by the TIGHAR (The International Group on Historic Aircraft Recovery).</li> <li>• C.1.1.6 Kanton Resource Use Assessment: The recent monitoring program on PIPA marine resources was conducted in June, 2012. Following the 10-year PIPA research vision, key research activities carried out include: i) checking on the current health of the corals as compared to the last survey which involves the collection of coral reef samples, retrieving of temperature loggers and recording, fish abundance; ii) connectivity – to determine the movement of species within and between PIPA islands and beyond. The</li> </ul>
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	<p>manta rays were tagged during the last trip; iii) exploration – conducting surveys on new sites, checking on water chemistry; iv) resistance and reef recovery – corals – collection of 4 inch cores from Porites corals to record growth of corals and temperature.</p> <ul style="list-style-type: none"> <li>• C1.1.6/ SAP 1.12 Kanton Sustainable Resource Use Plan: Preliminary work on zoning of Kanton is under preparation resulting from the recent work of the Kanton Mission. Designated areas include tourism dive &amp; birds sites, sustainable fishing areas for the local community, settlements, etc.</li> <li>• C1.2.1 PIPA MP's SAP 2.1: PIPA Atoll &amp; Reef Islands Restoration &amp; Biosecurity – Prior the Project, pest eradication has been conducted on 4 PIPA islands, namely Rawaki (rabbits), McKean (rats), Enderbury and Birnie (rats). With GEF funds, a survey to check on the status of the rats on Enderbury and Birnie was made possible. Three of the four islands have been declared successful for eradications of their invasive alien mammal species. The other, Enderbury, was not deemed successful because rats remained after the eradication.</li> <li>• C1.2.2 PIPA MP's SAP 2.4 PIPA Offshore Fisheries- The current closure is still around 12nm around Kanton islands. Recording of tuna catch in PIPA by the Fisheries, Licensing and Enforcement Unit is still ongoing. There are current plans to fully close the whole of the PIPA area.</li> <li>• C1.2.3 PIPA MP's SAP 2.7 PIPA Climate Change – A report on the status on the health of the corals in PIPA based on the June 2012 monitoring program will be made available once completed.</li> </ul> <p>1.2 PIPA's Sustainable Financing</p> <ul style="list-style-type: none"> <li>• A total of AU\$26,342 has been transferred to the PIPA Trust in August 2012 to support the initial establishment of the Trust Office and operation.</li> <li>• The PIPA Trust is currently looked after by the Chief Executive Officer, Dr. Teuea Toatu and its Board comprising of Dr. Greg Stone of Conversation International currently chairman of the Board, Hon. Tiarite Kwong of the Kiribati Ministry of Environment, Lands and Agricultural Development acting as Vice Chair, and Mr. Bud Ris acting as Treasurer. The Board normally meets annually</li> <li>• The fund raising strategic plan has been prepared by the Trust CEO and that there are plans to recruit a new Investment Manager.</li> <li>• Capitalisation of the PIPA Trust Fund has started with it receiving \$US5m. Income generated from interest</li> </ul>
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	<p>should start to cover core PIPA Trust expenses and PIPA management costs assuming interest at 5% per annum.</p> <p>1.3 Project Evaluation &amp; Monitoring</p> <ul style="list-style-type: none"> <li>• Prior to the implementation of the Project, an Inception Workshop was conducted in Tarawa in November 2011.</li> <li>• First payment of GEF funds in the amount of US\$100,000 to the Kiribati Ministry of Finance was done beginning 2012 and then warranted to PIPA via MELAD in February 2012.</li> <li>• The first, second, third and fourth quarterly financial reports for 2012 have all been submitted to UNEP.</li> <li>• Coaching of the PIPA staff on the aspects of GEF reporting was done earlier this year by Dr.Greg Sherley. This is really very useful.</li> <li>• The first and second quarterly financial reports for 2013 had been submitted to UNEP but there are comments from UNEP so both reports will be resubmitted.</li> </ul> <p>1.4 Project Management</p> <ul style="list-style-type: none"> <li>• Since the start of the Project, the PMG had played a role in overseeing the implementation of the Project activities. They would normally do this via skype conference.</li> <li>• A visit to Tarawa by Dr.Greg Sherley in February this year 2012 enlightening PIPA staff on aspects of the GEF project reporting has been very useful.</li> <li>• The project will be reviewed early in 2014 by an independent reviewer.</li> </ul>
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<b>Project status FY<sup>16</sup></b>	<p>Since its inception the Project has generated outputs and started activities as planned in the Project Document albeit well behind schedule. The project has experienced serious management issues centered on reporting and establishing processes which have had a knock-on effect on receiving funds, recruiting etc. These problems have received attention with capacity development efforts by the partner agencies and the PIPA project management team. Significant improvement is expected throughout the remaining period of the project.</p>
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<b>Planned contribution to strategic priorities/targets<sup>17</sup></b>	<table> <tr> <td>Cost to the GEF Trust Fund</td> <td>870,000</td> <td>32.7%</td> </tr> <tr> <td>Co-financing</td> <td></td> <td></td> </tr> <tr> <td>Cash</td> <td></td> <td></td> </tr> </table>	Cost to the GEF Trust Fund	870,000	32.7%	Co-financing			Cash		
Cost to the GEF Trust Fund	870,000	32.7%								
Co-financing										
Cash										

<sup>16</sup> Progress made during current reporting period (one paragraph stating key changes since previous reporting period)

<sup>17</sup> For Full Size Projects this information is found in the front page of the project Executive Summary; for Medium-Sized Projects the information appears in the MSP brief cover page.

	CI/NEAq*	1,019,600	38.3%
	Sub-total	1,889,600	71%
	In-kind		
	Kiribati Government	357,500	13.4%
	CI/NEAq	360,000	13.5%
	NZAID	56,000	2.1%
	Sub Total	773,500	29.0%
	TOTAL	2,663,100	100%

Annex 8: Pacific Invasive Alien Species project summary

**PROJECT GENERAL INFORMATION**

<b>Project Title:</b>	Prevention, control and management of invasive alien species in the Pacific Islands.  [known as Invasive Alien Species (IAS) project]
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<b>Executing Agency:</b>	SPREP
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<b>Project partners:</b>	Pacific Invasive Partnership Members (Invasive Species Specialist Group (IUCN), Pacific Invasive Initiative, Birdlife International, Conservation International, Global Invasive Species Network, Global Invasive Species Programme, Landcare Research, MAF Biosecurity NZ, Pacific Invasive Learning Network, Secretariat of the Pacific Community, The Nature Conservancy, University of the South Pacific, US Forest Service)
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**Comment [G1]:** Are there partners in the project such as NGO's?? Check the pro doc - I think there were some like the PIP??

<b>Geographical Scope:</b>	Regional
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<b>Participating Countries:</b>	Cook Islands, Federated States of Micronesia, Kiribati, Marshall Islands, Niue, Palau, Papua New Guinea, Samoa, Tonga and Vanuatu
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<b>GEF project ID:</b>	GFL 3664	<b>IMIS number*<sup>18</sup>:</b>	GFL-2328-2712-4C16
<b>Focal Area(s):</b>	BD	<b>GEF OP #:</b>	Unknown GFL/3664
<b>GEF Strategic Priority/Objective:</b>	BD1, 3 and 4	<b>GEF approval date*:</b>	November 2010
<b>UNEP approval date:</b>	November 2010	<b>Date of first disbursement*:</b>	12 September 2011
<b>Actual start date<sup>19</sup>:</b>	April 2012	<b>Planned duration:</b>	48 months
<b>Intended completion date*:</b>	28 February 2015	<b>Actual or Expected completion date:</b>	30 September 2016 -
<b>Project Type:</b>	FSP	<b>GEF Allocation*:</b>	US\$ 3,031,818
<b>PPG GEF cost*:</b>		<b>PPG co-financing*:</b>	
<b>Expected MSP/FSP Co-financing*:</b>	US\$ 2,889,072	<b>Total Cost*:</b>	US\$ 7,010,890
<b>Mid-term review/eval. (planned date):</b>	Dec 2013 / Jan 2014	<b>Terminal Evaluation (actual date):</b>	September 2016
<b>Mid-term review/eval. (actual date):</b>	February 2014	<b>No. of revisions*:</b>	1
<b>Date of last Steering Committee meeting:</b>	14 May 2013	<b>Date of last Revision*:</b>	June 2013
<b>Disbursement as of 30 June 2013*:</b>	US\$ 814,873.58	<b>Date of financial closure*:</b>	n/a
<b>Date of Completion<sup>20*</sup>:</b>	n/a	<b>Actual expenditures reported as of 30 June 2012<sup>21</sup>:</b>	US\$ 448,650.51 to be updated
<b>Total co-financing realized as of 30</b>	US\$95,032 (Cook Islands 42.5k, Niue	<b>Actual expenditures entered in IMIS as of</b>	Total money spent

**Comment [G2]:** Check documentation - number is the GEF project number

**Comment [G3]:** original date in pro doc

**Comment [d4]:** The Prodoc states the terminal evaluation date is the end of implementation. Under the proposed amendment this date would be the 30 September 2016. Not taking the amendment into account the date would be 28 February 2015

<sup>18</sup> Fields with an \* sign (in yellow) should be filled by the Fund Management Officer

<sup>19</sup> Only if different from first disbursement date, e.g., in cases where a long time elapsed between first disbursement and recruitment of project manager.

<sup>20</sup> If there was a "Completion Revision" please use the date of the revision.

<sup>21</sup> Information to be provided by Executing Agency/Project Manager

June 2012 <sup>22</sup> :	11.04k, Palau 4.4k, Tonga 37.1k)	30 June 2012*:	
Leveraged financing: <sup>23</sup>	NA		

<b>Project summary</b> <sup>24</sup>	<p>1. Invasive Alien Species (IAS) are a major threat to marine, freshwater and terrestrial biodiversity of the Pacific islands and to the people there that depend on biodiversity for their livelihoods. Invasive species are implicated in the decline of hundreds of species in the region. Participating Pacific states and the executing agency SPREP (Secretariat of the Pacific Regional Environment Programme) recognised the need to implement the regional IAS strategy, "Guidelines for Invasive Species Management in the Pacific. A Pacific strategy for managing pests, weeds and other invasive species" (hereafter, the Guidelines) and develop and implement national IAS plans and strategies. The Guidelines were originally identified as a product under this project, but were completed in 2009 prior to writing this proposal. As envisaged during the PIF process the proposed project contributes to the implementation of the Guidelines, each country's National Biodiversity Strategy and Action Plan and helps each to meet its responsibilities under Article 8 (h) of the CBD and several other international agreements addressing IAS. The three main components (not including components related to project management) of the proposed project are designed to capture outcomes and outputs described in the Project Identification Form but they have been reorganized to follow the structure of the Guidelines, and are summarized as follows:</p> <p>2. Component 1 Foundations: Generating Support — Raising awareness of the impacts of invasive species on biodiversity, the economy, human health and socio-cultural values, and generating support for action to manage and reduce them (mainstreaming). Building Capacity — Developing the institutions, skills, infrastructure, technical support, information management, linkages, networks and exchanges required to manage invasive species effectively. Legislation, Policy and Protocols — Ensuring that appropriate legislation, protocols, policies and procedures are in place and operating, to underpin the effective management of invasive species.</p> <p>3. Component 2 Problem Definition, Prioritization and Decision-making: Baseline &amp; Monitoring — Establishing a baseline of information on the status and distribution of invasive species and a programme for detecting change, including range changes and emerging impacts. Prioritization — Establishing effective systems for assessing risk and prioritising invasive species for management. Research on priorities — Understanding priority invasives, including species biology and impacts, and developing effective management techniques.</p> <p>4. Component 3 Management Action (Pilot projects): Biosecurity — Preventing the spread of invasive species across international or internal borders. Management of established invasives — Reducing or eliminating the impacts of established invasive species, by eradication, containment, exclusion, or population reduction by physical, chemical or biological control. Restoration — Restoring native biodiversity or</p>
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<sup>22</sup> Projects which completed mid-term reviews/evaluations or terminal evaluations during FY12 should attach the completed co-financing table as per GEF format. See Annex 1

<sup>23</sup> See above note on co-financing

<sup>24</sup> As in project document

	<p>ensuring recovery of other values, after invasive species management.</p> <p>5. Component 4 Project Management: SPREP will be carrying out the necessary actions to ensure effective project management and coordination; monitoring and evaluation (M&amp;E) systems in place for this GEF PAS project. This includes the work of the Project Manager (Invasive Species Officer – an existing position), a Project Facilitator and half time Financial Officer to be hired (see Appendix 10 and 11).</p> <p>6. Component 5 Monitoring and Evaluation: Inception workshop to be run by the Project Facilitator, monitoring and evaluation of project outcomes and outputs carried out by independent evaluators determined by UNEP according to the standard guidelines (Appendix 9).</p> <p>SPREP's role as executing agency will be to foster national and Pacific-wide strategies consistent with international best practices; this is consistent with their mandate. SPREP will engage the member organisations of the umbrella coordinating body the Pacific Invasives Partnership, to further the goals of the project, through provision of advice and their own IAS management and capacity building interventions. The proposed activities will strengthen capacity by improving IAS outreach, policies, laws, prevention and management. The project should help participating countries and others in the Pacific region to address existing and future biological invasions.</p>
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<b>Project status FY<sup>25</sup></b>	Under Implementation
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<b>Project status FY<sup>26</sup></b>	Under Implementation
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<b>Planned contribution to strategic priorities/targets<sup>27</sup></b>	<p>GEF strategic long-term objective: BD1</p> <p>Strategic programme for GEF IV: BD-SP3 supported by SP2, 4, 7 and 8</p>
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## 2. PROJECT OBJECTIVE

*State the global environmental objective(s) of the project<sup>28</sup>*

To reduce the environmental, economic, and human health impacts of invasive alien species in both terrestrial and marine habitats in the Pacific region.
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<sup>25</sup> Please add additional lines to keep prior year implementation status (if any)

<sup>26</sup> Progress made during current reporting period (one paragraph stating key changes since previous reporting period)

<sup>27</sup> For Full Size Projects this information is found in the front page of the project Executive Summary; for Medium-Sized Projects the information appears in the MSP brief cover page.

<sup>28</sup> Or immediate project objective

Please provide a narrative of progress made towards meeting the project objective(s). **Describe any significant environmental or other changes (results) attributable to project implementation.** Also, please discuss any major challenges to meet the **objectives** or specific project **outcomes** (not more than 300 words)

*Progress outlined by component*

**COMPONENT 1: FOUNDATIONS**

- National project coordinators were appointed in Cook Islands, Kiribati, Marshall Islands, Niue, Palau, Samoa, Tonga and Vanuatu by June 2013;
- Niue has undertaken a biosecurity training in November 2012 carried out by Secretariat of the Pacific Commission (SPC);
- Tonga has successfully completed a desktop IAS review and started the process of negotiating and establishing a IAS national strategy and action plan;
- Vanuatu has completed the tendering process to implement a desktop IAS review while Niue is set to contract a key and internationally authoritative expert directly for the same purpose.

**COMPONENT 2: PROBLEM DEFINITION, PRIORITISATION AND DECISION MAKING**

- Cook Islands, Marshall Islands, Niue, Palau and Tonga have begun planning and organizing the implementing of the first activities of the agreed work plan within Component 2.

**COMPONENT 3: MANAGEMENT ACTION**

- Until the end of June 2013 no management action has occurred, consistently with national workplans.

**COMPONENT 4: PROJECT MANAGEMENT AND COORDINATION**

- The project officially started on 12 September 2011 with the first transfer of 250,000 USD from UNEP to SPREP;
- GEF Facilitator, Gianluca Serra started on duty in 26 March 2012;
- Project Manager Alan Tye resigned from his position in May 2012;
- The Project Manager position was filled on the 14<sup>th</sup> October 2012 by David Moverley;
- Project Management Agreements were signed by Cook Islands, Kiribati, Marshall Islands, Niue, Palau, Samoa, Tonga and Vanuatu by June 2013. Still awaiting signing are the Federated States of Micronesia and Papua New Guinea.
- At least one instalment was transferred by June 2013, to Cook Islands, Marshall Islands, Niue, Palau, Samoa, Tonga and Vanuatu.
- Quarterly Expenditure Reports (QERs) were prepared and submitted by the national coordinators to reflect the following quarters: Jul-Sept 2012, Oct-Dec 2012, Jan-Mar 2013 (Apr-Jun 2013 will be submitted soon). QERs for the same three quarters were submitted by SPREP to UNEP (the one relative to the 2nd quarter 2013 will be submitted shortly, by the deadline of 31 July 2013).

**COMPONENT 5: MONITORING AND EVALUATION**

- The last inception workshop was completed in Kiribati in August 2012.

*General overview on challenges*

There was a significant under-spend in relation to BL 2100 of the project budget as per the project document (Subcontracts for cooperating agencies) largely due to the phasing of the project. The official project start date is when SPREP received the first advance from UNEP (12 September 2011). The inception workshops were not all completed until August 2012 which resulted in the project phasing being 11 months behind schedule and effectively causing a lag phase in the project where there was much inactivity. Where possible we have revised work plans to accommodate the shorter implementation period, however for the management action component it will be difficult to increase the action required within the current timeframe.

To compound this lag phase, the FSM and PNG are still yet to sign their Project Management Agreements. SPREP and FSM National lawyers have agreed on the terminology of the agreement and a signed copy was sent to FSM on 9 May 2013, we are awaiting the returned agreement. Following an extended period of strained communications, PNG is now only just beginning to focus on getting this project underway. Initial discussions have begun on what can realistically be achieved with the remaining time frame. In effect the project implementation and the provision of funds has stalled for FSM and PNG until the agreements have been signed.

The next "bottle-neck" in the implementation of activities occurs with the appointment of National Coordinators. Without these integral people the activities cannot take place so no funds can be provided. Kiribati has appointed a national coordinator only in May 2013 (the position is not formalized yet). In Samoa, the recruitment of the national coordinator was delayed due to Public Service requirements of MNRE in relation to the salary level of the national coordinator. This was followed by the withdrawal of the first selected coordinator in March 2013. A new coordinator has now been recruited. Niue selected a national coordinator as early as June 2012, but this position has not been formalized yet due to lengthy negotiations with the public service. We are liaising with these three countries to assist in accelerating this process.

Due to the three factors that have affected the start up process as discussed above, spending on this project is behind schedule by at least 12 months. We anticipate that once these few bottlenecks are passed the project and expenditure will increase dramatically.

A 1-year re-phasing of the project budget has been just submitted to UNEP in mid June 2013 which proposes a new official date of termination for the project of August 2016.

*Please provide a narrative of progress towards the stated GEF Strategic Priorities and Targets if identified in project document <sup>29</sup>(not more than 200 words)*

To date the project has focused largely on building foundations. This has contributed towards an understanding and awareness of the targets BD1, BD3, BD4 and SP7, and is setting a platform from which these targets can be addressed through the following stages of the project.

Common advances for countries who are preparing National Invasive Species Strategies and Action Plans (NISSAP's) within the project are the use of global databases for baseline information sharing and a much closer alignment to the "Guidelines for Invasive Species Management in the Pacific.

We anticipate that with good foundations laid, that progress towards the targets will accelerate through the rest of the project.

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<sup>29</sup> Projects that did not include these in original design are encouraged to the extent possible to retrofit specific targets.

### 1. PROJECT GENERAL INFORMATION

<b>Project Title:</b>	Implementing the Island Biodiversity Programme of Work by integrating the conservation management of island biodiversity [known as Integrated Island Biodiversity (IIB) project]		
<b>Executing Agency:</b>	SPREP		
<b>Project partners:</b>			
<b>Geographical Scope:</b>	Regional		
<b>Participating Countries:</b>	Cook Islands, Nauru, Tonga, Tuvalu		
<b>GEF project ID:</b>	4023	<b>IMIS number*<sup>30</sup>:</b>	GFL-2328-2740-4B50
<b>Focal Area(s):</b>	BD	<b>GEF OP #:</b>	Unknown
<b>GEF Strategic Priority/Objective:</b>	BD1	<b>GEF approval date*:</b>	19 December 2011
<b>UNEP approval date:</b>	2nd March 2012	<b>Date of first disbursement*:</b>	20 March 2012
<b>Actual start date<sup>31</sup>:</b>	20 March 2012	<b>Planned duration:</b>	36 months
<b>Intended completion date*:</b>	20 February 2015	<b>Actual or Expected completion date:</b>	December 2015
<b>Project Type:</b>	FSP	<b>GEF Allocation*:</b>	US\$1,740,600
<b>PPG GEF cost*:</b>	US\$77,000.00	<b>PPG co-financing*:</b>	US\$ 94,330.00
<b>Expected FSP Co-financing*:</b>	US\$802,663	<b>Total Cost*:</b>	US\$ 4,473,982
<b>Mid-term review/eval. (planned date):</b>	Dec 2013	<b>Terminal Evaluation (actual date):</b>	n/a
<b>Mid-term review/eval. (actual date):</b>	n/a	<b>No. of revisions*:</b>	No
<b>Date of last Steering Committee meeting:</b>	14 May 2013	<b>Date of last Revision*:</b>	n/a
<b>Disbursement as of 30 June 2013*:</b>	US\$ 406,397.68	<b>Date of financial closure*:</b>	n/a
<b>Date of Completion<sup>32*</sup>:</b>	n/a	<b>Actual expenditures reported as of 30 June 2013<sup>33</sup>:</b>	US\$ 343,284.83
<b>Total co-financing realized as of 30 June 2013<sup>34</sup>:</b>	US\$57,985	<b>Actual expenditures entered in IMIS as of 30 June 2013*:</b>	US\$212,897.68
<b>Leveraged financing<sup>35</sup>:</b>	N.A.		

<sup>30</sup> Fields with an \* sign (in yellow) should be filled by the Fund Management Officer

<sup>31</sup> Only if different from first disbursement date, e.g., in cases where a long time elapsed between first disbursement and recruitment of project manager.

<sup>32</sup> If there was a "Completion Revision" please use the date of the revision.

<sup>33</sup> Information to be provided by Executing Agency/Project Manager

<sup>34</sup> Projects which completed mid-term reviews/evaluations or terminal evaluations during FY12 should attach the completed co-financing table as per GEF format. See Annex 1

<p><b>Project summary</b><sup>36</sup></p>	<p>1. The unique challenges of biodiversity conservation on islands were recognised in the decision of the 8th Conference of the Parties (COP) to the Convention on Biological Diversity (CBD) to adopt the Programme of Work on Island Biodiversity (IBPOW). That decision (VIII/I) requested the GEF to recognise the programme and its relevance to developing countries, particularly least developed countries and Small Island Developing States (SIDS) and to provide support to its implementation. This project is a manifestation of that support and focuses on SIDS: Cook Islands, Nauru, Tonga and Tuvalu who have previously received relatively little support for biodiversity conservation.</p> <p>2. The decision also encouraged Parties to take into account the Ecosystem Approach in implementing biodiversity conservation. Ecosystem-based management has been characterised (Clarke &amp; Jupiter 2010) as:</p> <ol style="list-style-type: none"> <li>1. Emphasising connectivity within and between systems such as between land and sea</li> <li>2. Focusing on the consequences of human actions within a specific ecosystem</li> <li>3. Emphasising the protection and restoration of ecosystem structure, function and key processes</li> <li>4. Integrating biological, socioeconomic and governance perspectives.</li> </ol> <p>3. There are currently few examples and limited capacity for the application of the Ecosystem Approach in the Pacific. This project will assist the participating countries to develop that capacity and build a foundation for their future biodiversity conservation work.</p> <p>4. Distinguishing between the two main components of the proposed project (not including components related to training, monitoring &amp; evaluation and project management by the Executing Agency) is somewhat arbitrary because they are so closely linked. The first focuses on management actions for threatened species and ecosystems, particularly conservation area development. The second is headed sustainable use and has some specific activities related to this, but it is also a key part of the community-based conservation areas anticipated in component one. Most of component two activities address improving systems and processes for biodiversity conservation and applying the ecosystem approach approach. The two are summarized as follows:</p> <p>5. Component 1: Conservation and restoration of priority species and ecosystems at risk in each of the countries' archipelagos, as identified in the Island Biodiversity Programme of Work. The expected outcomes within Component 1 are:</p> <ul style="list-style-type: none"> <li>- Improved conservation status of priority threatened species, consistent with selected outcomes set out in the Island Biodiversity Programme of Work (IBPOW).</li> <li>- Improved conservation status of priority threatened terrestrial ecosystems, consistent with selected outcomes set out in the Island Biodiversity Programme of Work (IBPOW).</li> <li>- Improved conservation status of priority threatened marine ecosystems, consistent with selected outcomes set out in the Island</li> </ul>
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<sup>35</sup> See above note on co-financing

<sup>36</sup> As in project document

	<p>Biodiversity Programme of Work (IBPOW). Component 2: Sustainable Use of island biodiversity through improved systems and processes including resource assessment and monitoring, legislation, information management, capacity and awareness building. Two outcomes are identified:</p> <ul style="list-style-type: none"> <li>- Plans for the sustainable use of native species are developed with full stakeholder participation.</li> <li>- Improved systems, processes and information management are planned or in place in relevant agencies, to support implementation of the IBPOW</li> </ul> <p>6. Three further components cover supporting activities required to deliver the project and to monitor and evaluate it:</p> <p>7. Component 3: Technical support and training by the Executing Agency. SPREP will utilize a range of its technical staff to provide support and training across marine &amp; terrestrial biodiversity conservation, public awareness and information services. This component includes an inception process that will involve a multi-country workshop including training of project coordinators from the four countries in management and UNEP reporting procedures followed by four in-country workshops.</p> <p>8. Component 4: Monitoring and evaluation. This includes the work to monitor and report on the project together with mid-term and terminal evaluation of project outcomes and outputs carried out by independent evaluators determined by UNEP according to the standard guidelines (Appendix 9).</p> <p>9. Component 5: Project management by Executing Agency. SPREP will manage the project through its Terrestrial Ecosystems Management Officer (TEMO) with assistance from administration and financial staff.</p> <p>10. SPREP's role as executing agency will be to foster national implementation and to work through its biodiversity contacts with all the countries of the Pacific to deliver wider benefits across the region.</p>
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<b>Project status FY<sup>37</sup></b>	Under Implementation
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<b>Project status FY<sup>38</sup></b>	Under Implementation
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<b>Planned contribution to strategic priorities/targets<sup>39</sup></b>	<p>GEF strategic long-term objective: BD1</p> <p>Strategic programme for GEF IV: BD-SP3 supported by SP2, 4, 7 and 8</p>
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## 2. PROJECT OBJECTIVE

<sup>37</sup> Please add additional lines to keep prior year implementation status (if any)

<sup>38</sup> Progress made during current reporting period (one paragraph stating key changes since previous reporting period)

<sup>39</sup> For Full Size Projects this information is found in the front page of the project Executive Summary; for Medium-Sized Projects the information appears in the MSP brief cover page.

State the global environmental objective(s) of the project<sup>40</sup>

Contribute to the implementation of the Convention on Biological Diversity's Island Biodiversity Programme of Work by supporting an integrated ecosystem approach to biodiversity conservation management at local level in four Pacific countries.

Please provide a narrative of progress made towards meeting the project objective(s). **Describe any significant environmental or other changes (results) attributable to project implementation.** Also, please discuss any major challenges to meet the **objectives** or specific project **outcomes** (not more than 300 words)

In the first 12 months of the GEF-PAS IIB project, implementation started in three of the four participating countries, namely in the Cook Islands, Nauru and Tonga, following as much as possible the CBD's ecosystem approach. Implementation started in components 1 and 2 of the project (Priority Species & Ecosystems and Sustainable Use of Island Biodiversity, respectively), that are well aligned with points i, ii, iii, iv and vi of IBPOW.

- Surveys conducted on targeted species:

Preliminary data was collected on collection of megapode eggs on the outer island of Niua (Tonga) in September 2012. A second but more detailed survey of the megapode will take place in September 2013 on the island of Late in Tonga. Data collected will be analyzed to assess the impacts of traditional activities on the sustainability of the megapode; with recommendations to ensure guidelines for long term sustainable use are established and followed. This survey will also include a preliminary assessments of invasive species that may be present on the island of Late.

- Surveys and assessments to identify potential conservation sites

A scoping exercise was conducted utilizing an integrated approach to identify potential sites for terrestrial and marine protected areas on Vavau Island in Tonga. A positive outcome was realized in terms of support from the Governor of Vavau who was receptive to a concept which was prepared by SPREP to establish a terrestrial and marine park in the Vava'u group. This concept was discussed and compiled with input from key stakeholders in Vavau and was subsequently submitted for approval by local and central authorities.

A major biodiversity survey was undertaken in Nauru in June 2013, which looked at the status of the endemic reed warbler, noddies, and key terrestrial and marine biodiversity and ecosystems. Outcomes of this survey in Nauru will provide useful information to guide options for establishing marine protected area sites as well as immediate to long term options to improve status of the reed warbler, noddies and terrestrial biodiversity of Nauru.

Similar survey activities are under preparation for the cloud forests of the Cook Islands.

Information systems and knowledge management

A desktop review of available biodiversity and protected areas information for Tonga was undertaken which provided useful information on status of biodiversity of Tonga. An internet server of the Cook Islands' National Environmental Service, hosting the biodiversity database and related information, was upgraded and renewed at the end of 2012.

Please provide a narrative of progress towards the stated GEF Strategic Priorities and Targets if identified in project document <sup>41</sup>(not more than 200 words)

Progress has been made under SP 2 and 3 as demonstrated through work already undertaken in Tonga and Nauru to establish systems for protected areas. Activities under SP 4, 7 and 8 will very much base on outcomes of SP2 and 3 activities and these will mostly be implemented in Year 3 of

<sup>40</sup> Or immediate project objective

<sup>41</sup> Projects that did not include these in original design are encouraged to the extent possible to retrofit specific targets.

the project.

*Legend*

GEF strategic long term objectives:

**BD1: To catalyze sustainability of protected area (PA) systems**

Strategic Programs for GEF-4:

SP 2: Increasing representation of effectively managed marine PA areas in PA systems

SP3: Strengthening terrestrial PA networks

SP4: Strengthening the policy and regulatory framework for mainstreaming biodiversity

SP7: Prevention, control and management of invasive alien species

SP8: Building capacity on access and benefit sharing