Agulhas & Somali Current Large Marine Ecosystems Project

(ASCLME)

ATLAS ID 47255 PIMS-2205

Source: ASCLME Poster on MEDA, 2009

Mid-Term Evaluation

Report

Acknowledgements

The Mid-term Evaluation Consultant would like to thank all people connected with the Agulhas & Somali Current Large Marine Ecosystems Project, who gave freely their time and ideas to make the MTE process a success. There are far too many to mention by name but everyone who personally contributed during interviews held is included in the list of names annexed to this report – but special mention must be made of the countries' and international organisations' representatives who gave unstintingly their time and tried to answer every question asked and discuss the points taken at every opportunity. The Evaluator highly appreciates inputs of professionals from a number of UN Agencies, particularly, from UNDP as the Implementing Agency and UNOPS as the Executing Agency of this GEF Project. Special thanks are herein expressed to the Project Director, Dr. David Vousden, who worked extensively with the Evaluator during the whole MTE process as he also did with his staff, national and other stakeholders to persuade them to provide access of the MTE to all documents required, as well as to openly express their concerns and ideas. All this has eventually been so important for an objective evaluation not only of the ASCLME Project as such but also of the whole development processes in the West Indian Ocean region. The author would also like to thank all members of the PCU and its extended team for their excellent logistical skills and warm hospitality. The whole Evaluation process ran like clockwork, and this was clearly due to the extraordinary skills and professionalism of Mrs. Helen MacKenzie. All three missions organised to support the current MTE exercise provided a unique chance to meet in person and talk with so many vital Project's stakeholders.

And finally, one of the delights of this sort of work remains coming to the welcoming countries and going home again having made new friends, seen new things, and witnessed with great admiration the dedication and enthusiasm that so many people bring together to jointly manage in a sustainable manner vast resources of the Indian Ocean's Large Marine Ecosystems. The Mid-term Evaluator would like to wish them thanks and every success.

Dr. Yegor S. Volovik,

Mid-Term Evaluator

January 2010

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Acronyms

Acronym	Definition
ABNJ	Areas Beyond National Jurisdiction
ACEP	African Coelacanth Ecosystem Programme
AMESD	African Monitoring of the Environment for Sustainable Development
APR/PIR	Annual Performance Report (APR)/Project Implementation Review (PIR)
ARC	Agulhas Return Current
ASAP	As Soon As Possible
ASCLME	Agulhas and Somali Current Large Marine Ecosystems
ATLAS	Autonomous Temperature Line Acquisition System
AU	African Union
BCLME	Benguela Current Large Marine Ecosystem
CB&T	Capacity Building and Training
CBA	Cost Benefit Analysis
CCG	Cruise Coordination Group
CEMAC	Economic and Monetary Community of Central Africa
CLA	Coastal Livelihood Assessment
CLIVAR	Climate Variability and Predictability
CO	Country Office
COG	Coordination Group
CORDIO	Regional Ocean Network for Science, Management, Policy and Conservation
D&I	Data and Information
DLIST	Distance Learning and Information Sharing Tool
DoA	Delegation Of Authority
EA	Executing Agency
EBM	Ecosystem Based Management
EC	European Commission
ECOWAS	Economic Community Of West African States
EU	European Union
EU-JRC	EU Joint Research Centre
FA	Financial Administrator
FAO	UN Food and Agriculture Organisation
FP	Focal Point
FTP	File Transfer Protocol
GEF	Global Environment Facility
GEFSEC	GEF Secretariat
GIS	Geo-Information System
HQ	Headquarters
HS	Highly Satisfactory
HU	Highly Unsatisfactory
IA	Implementing Agency
ICA	International Consultancy Agreement
ICZM	Integrated Coastal Zone Management
IGAD	Intergovernmental Authority of Development
IMC	Inter-Ministerial Coordination
IMO	International Maritime Organisation
IOC	Intergovernmental Oceanographic Commission

Acronym	Definition
IOTC	Indian Ocean Tuna Commission
IUCN	International Union for Conservation of Nature
IW	International Waters
IW:LEARN	International Waters: Learning Exchange And Resources Network
IWC	International Waters Conference
KE	Kenya
LBA	Land-Based Activities
LF	LogFrame
LME(s)	Large Marine Ecosystem(s)
LOCO	Long-Term Ocean and Climate Observation
LPG	Liquid Petroleum Gas
M&E	Monitoring and Evaluation
MARG	WIOMSA - Marine Research Programmes
MARPOL	International Convention for the Prevention of Pollution at Sea
MASMA	WIOMSA - Marine Sciences for Management
MEDA	Marine Ecosystem Diagnostic Analysis
MPA	Marine Protected Area
MS	Marginally Satisfactory
MTE	Mid-Term Evaluation
MU	Marginally Unsatisfactory
NC	Nairobi Convention
NEPAD	New Partnership for Africa's Development
NFP(s)	National Focal Point(s)
NGO(s)	Non-Governmental Organisation(s)
NOAA	US National Oceanic and Atmospheric Administration
NRL	US Navy Research Laboratory
ODINAfrica	Ocean Data and Information Network
P&G	Policy and Governance
PA	Procurement Authority
PAC	Policy Advisory Committee
PCU	Project Coordination Unit
PD	Project Director
PDF	Project Development Facility
PDF-A	Project Development Facility, Stage A
PDF-B	Project Development Facility, Stage B
PI	Process Indicators
PIF	Project Identification Form
PO	Purchase Order
PPC	Programme Policy Committee
PSC	Project Steering Committee
QA	Quality Assurance
R/V	Research Vessel
RAC	Regional Advisory Committee
RAMA	Research Array for Monsoon Analysis and Prediction
RECOMAP	Regional Coastal Management Programme of the Indian Ocean Countries
RISDP	Regional Indicative Strategic Development Plan
RR	Resident Representative

Acronym	Definition
RS	Remote Sensing
RTA	Regional Technical Advisor
SA	South Africa
SADC	Southern African Development Community
SAIAB	South African Institute For Aquatic Biodiversity
SAP	Strategic Action Programme
SC	Seychelles
SCLME	Somali Current Large Marine Ecosystem
SPFIF	World Bank-GEF Strategic Partnership for Fisheries Investment Fund
STM	Stock Taking Meeting
SWIO	South West Indian Ocean
SWIOFC	Southwest Indian Ocean Fisheries Commission
SWIOFP	GEF-WB Southwest Indian Ocean Fisheries Project
SWOT	Strength-Weakness-Opportunities-Threats
TDA	Transboundary Diagnostic Analysis
TE	Terminal Evaluation
TOR	Terms Of Reference
TPR	Tripartite Review
TWAP	Transboundary Waters Assessment Programme
UBC	University of British Columbia
UCT	University of Cape Town
UK	United Kingdom
UN	United Nations
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNESCO	United Nations Educational, Scientific and Cultural Organisation
UNOPS	United National Office For Project Project Services
US	United States (of America)
USA	United States of America
USGS	United States Geological Survey
USSR	Union of Soviet Socialist Republics
WB	World Bank
WG	Working Group
WIO	West Indian Ocean
WIOMSA	Western Indian Ocean Marine Science Association
WIO-SEA	West Indian Ocean Sustainable Ecosystem Alliance
WSSD	World Summit on Sustainable Development
WWF	World Wildlife Fund

Executive Summary

Key Evaluation Points

- Project overall evaluated as **Satisfactory**.
- Evaluation of individual aspects of the Project as per MTE ToR is as follows:

Evaluation Issue	Rating
Achievement of objectives and planned results	Satisfactory
Attainment of outputs and activities	Highly Satisfactory
Cost-effectiveness	Highly Satisfactory
Impact	Satisfactory
Sustainability of the Project	Marginally Satisfactory
Stakeholder participation	Satisfactory
Country ownership	Satisfactory
Implementation on the ground and implementation approach	Highly Satisfactory
Financial Management and Planning	Satisfactory
Replicability	Satisfactory
Monitoring and evaluation	Highly Satisfactory

Key successes

- The high quality of technical tasks and attempts of the PCU to quality assure all products significantly contributes to the positive image of the Project in the region and ensures application of the 'cutting edge' know-how and techniques. Particularly, this relates to scientific/research activities designed to fill identified gaps in knowledge of the processes in WIO LMEs. As regards to the ASCLME Project the studies implemented during the first three years have brought to light new unknowns. This, in turn, is stimulating research efforts beyond the scope of the current Project. A Capacity Building and Training Programme being one of cross-cutting components of the Project has been designed accordingly and supports research throughout the region.

- The institutional structures established by the Project are not exactly the ones laid out in the ProDoc, but in practice they effectively support the Project in achieving its main objectives and in fact demonstrate the application of the Adaptive Management approach by the Project. The structures play vital roles in steering activities carried out and promotion of the results achieved. For instance, the current cooperation with the PSC, which actively guides the Project towards achieving the overall goal, is a very good example with high potential for dissemination. The effective feedback mechanisms established has favourable implications for all parties involved, namely: the Project, participating countries, and various stakeholders.

- A strong Project team affiliated by the Regional Coordinators of corresponding thematic Working Groups is a pre-requisite for successful implementation of similar to the ASCLME multi-disciplinary regional projects.

- The Project has built a strong international and regional image and is catalysing cooperation in the whole WIO region. Everyone wants to be a part of 'success', more and more partners join in. Such situation eventually helps to build a sustainable partnership setup which is likely to exist and effectively function after completion of the Project. The current high-level support from the GEF to the Project is a key for the Project to be recognised at the highest political level in the countries. To this end, the 1st GEF STM's results leading the way to the establishment of a WIO Sustainable Ecosystem Alliance can not be overestimated and have already had immediate effects on the regional developments.

- The first three years of the ASCLME Project posed serious challenges for the team and participating countries in terms of how the adaptive management approach could be applied and how to keep the original targets in constantly changing environment whilst new threats emerge. It is considered a success that the Project succeeded not only to keep its original focus but continued moving fast towards achieving the ultimate goal - the establishment of a sound ecosystem-based management system in WIO. In order to be able to deliver the key outputs, the regional TDA and SAP, the Project has re-designed a number of research activities cancelled due to the piracy threat, introduced a series of additional steps into the classic GEF TDA/SAP approach, extended the level of involvement of science and communities at the national level, etc. This process is still not over. Unsynchronised implementation of the sister projects within the ASCLME Programme continue to constitute new challenges for the whole ASCLME Programme.

- The Data/Informational platform developed by the Project has very high potential for the regional use. Mechanisms and tools developed and installed by the Project have been widely recognised and are used by the countries.

- When it became clear that a number of research offshore activities could not be implemented, the Project on request of the countries and with full support from the PSC developed and is implementing a series of inshore activities. For example, increasing number of DLIST Demonstration sites from 3 to 9 resulted in a better visibility at the local level. Besides, it is recognised as a good path for disseminating information about the Project and raising awareness at the local level in the countries. There was no additional budget provided for such activities to the Project. Ideally, certain level of contingency should have been given at the ProDoc development stage when additional activities were included in the Project without supplementary funding (i.e. DLIST). In case of the ASCLME, flexibility of concrete solutions leading to achieving the targets is a very good lesson to learn from. In addition, the Project considered a more extended use of alternative data gathering techniques, remote sensing, modelling, and GIS, to compensate for the cancelled offshore activities.

Key challenges

- Synchronisation within the ASCLME Programme, i.e. implementation of the GEF Programmatic Approach, continues to represent a major challenge for the Project. Coordination of a number of critical activities and deliverables by sister projects is difficult and sometimes has negative implications for all projects under the Programme. Nonetheless, the current level of cooperation inspires all parties for further coming closer. For instance, joint events (e.g. PSC meetings) and closely coordinated activities (e.g. Policy & Governance) represent a good example of cost-effective arrangements, a win-win cooperation.

- The regional TDA/SAP required substantial additional effort leading to a risk of not achieving the main target of the Project on time. The ASCLME Project provides coordination mechanisms for the countries and international organisations in WIO. Since there is no single institution or constituency available in the region to take over the future responsibility for SAP implementation, such an institutional platform has still to be established. One of key decisions of the 1st GEF STM (Kenya, March 2010) was to adopt an announced at the meeting concept of the WIOSEA, which would in the long run be able to play the needed role of a regional coordinator. However, the WIOSEA is still more of a concept, and the ASCLME Project encounters, as a recognised regional player, the necessity to set up an effective consultation platform for wider group discussions. Such process will certainly take time and requires efforts not envisioned by the current project framework. This is why, one of vital activities for the near future (within the re-aligned ASCLME Project) will be the promotion of the WIOSEA at the regional and international level and the development of corresponding provisions to make it happen.

- One of MTE's concerns relates to the uncertainty of timely launching of the ASCLME Project's Phase II. The current momentum is so strong, as well as the regional image of the ASCLME Project as a regional champion and promoter of the ecosystem-based approach to LME management, that this image is transposed onto the GEF and its IW Programme. Failure to move the current project into the SAP implementation phase is considered by the MTE counterproductive not only for the ASCLME Project but for the GEF and its Agencies as well. As discussed further in this report, the most feasible option is to re-align the current Phase I and to ensure a smooth transition into Phase II. It is also recommended to keep the current technical team, who have proved to be competent, devoted and effective.

➢ The Project design has been changed a number of times resulting adaptive decisions of the management team and PSC to account for emerging challenges and requests of the participating countries. These adjustments have shaped up the Project to fit the current situation in the region. However, the Logframe and the key set of indicators the Project is reporting and hence evaluated against annually have not reflected such changes. There have been a number of attempts to do so, however, until now this has not yet happened. It is considered by MTE as a drawback and recommended to be addressed by the PCU as a matter of urgency. The next APR/PIR reporting needs to be made against a new revision of the Logframe.

➢ Administration and financing aspects of implementing project activities are very important for smooth operation and good image of projects. For the ASCLME Project this aspect became a stumbling block for effective operation of the office and administering of contracts in 2009-2010. Such situation resulted a change in staff of the PCU, residual effects of which were observed for an extended period of time. At the moment everything needed seems to be in place, however, significant efforts of the PCU and UNOPS as the Executing Agency are still required to remedy the situation completely.

➢ The Project needs to continue emphasising the importance of contingency planning and giving consideration to regularised adaptive and contingency planning discussions. The project, also through the decision of the Project Director to substantially increase the number of Nansen cruise days during year 1 of implementation, showed the capacity of the Project management team for contingency planning and moving quickly and opportunistically. Political uncertainties in the region, most particularly exemplified by the rise of piracy in the northern reaches of the project, will require a continuing attention to effective adaptive and contingency planning.

A Summary Evaluation of Achievements of Outcomes

Outcome		Evaluation					
		HS	S	MS	MU	U	HU
Outcome 1	Information Captured for Development of the Transboundary Diagnostic Analysis		▨				
Outcome 2	Long-Term LME Data Collection, Management and Distribution Mechanisms Established	▨					
Outcome 3	TDAs and Strategic Action Programmes and Associated Sustainability Mechanisms in Support of an LME Approach are Adopted		▨				
Outcome 4	LME Coordination, Communication, and Participation Mechanisms Established		▨				
Outcome 5	Project Financing effectively delivered to support all Project Outcomes	▨					

A Summary Evaluation of Project's Outputs

Outputs		Rating
Output 1.1	Offshore data review and collection	Highly Satisfactory
	Output has delivered well despite the piracy threat persists in the northern area of the Project Boundary. Some offshore activities were replaced by a series of actions in inshore areas including monitoring, desk studies, capacity building, etc. A number of partnerships have been established at international and regional levels.	
Output 1.2:	Nearshore fisheries and ecosystem data collection	Satisfactory
	Nearshore ecosystem data collection and capacity building, including the acquisition of nearshore sampling equipment and training in using that equipment. Shore-based fisheries surveys for genetic studies are planned for 2011.	
Output 1.3:	Critical habitats data collection (e.g. nursery areas, spawning grounds, threatened/endangered species habitats)	Satisfactory
	Desk-top analysis has been completed already and much of the validation of RS images along with habitat mapping are well underway. The ASCLME Landsat image server is complete and on-line.	

Outputs		Rating
Output 1.4:	Invasive species and marine pollution data collection	Satisfactory
	Assessment of invasive species problems in WIO (e.g. from ballast water, hull fouling), threats from marine-based pollutants (ship discharges, oil and chemical spills, gas/oil exploration, etc). In partnership with IMO.	
Output 1.5:	Persistent organic pollutants (POPs) baseline data collection	Marginally Satisfactory
	Implemented in partnership with French IRD. An ongoing activity. Slightly delayed against the work-plan. It is expected that final result will be delivered by mid-2011 enough in advance for input into the TDA/SAP process.	
Output 1.6:	Coastal livelihoods data collection	Satisfactory
	A desk study to review major coastal livelihood activities (in addition to the bigger sectors such as fisheries and tourism). These were considered by PSC to be critical to inform the MEDA/TDA/SAP process, so this activity was initiated as an additional component to the overall ASCLME programme after the 2nd PSC meeting in 2009. Expected completion - December 2010.	
Output 1.7:	Ecosystems approach cost-benefit analysis	Satisfactory
	An ongoing valuation of ecosystem services (Cost-Benefit) study (advised by University of British Columbia, USA). Emphasis has been put on issues related to fisheries, tourism, and mariculture.	
Output 1.8:	National and Regional level policy and governance assessment for ecosystem based management	Satisfactory
	P&G assessment team deployed by the Project develops a detailed overview and an analysis of various options of appropriate governance mechanisms for WIO's LMEs. Results of this output is critical for successful establishment of a sustainable institutional platform for future regional SAP.	
Output 2.1:	National data handling and management	Highly Satisfactory
	Support to each national data handling institution continues and data processing from the research cruises and the coastal work has also been initiated and progresses. Country counterparts/coordinators submit annual reports to the MEDA-TDA.	
Output 2.2:	Regional data handling and management	Satisfactory
	All data generated by research activities are lodged on a shared FTP server. Programme-level coordination of data management activities: ASCLME, SWIOFP, WWF, UNEP, ODINAFRICA and CORDIO.	
Output 2.3:	GIS and predictive modelling	Satisfactory
	Addresses the synthesis of baseline spatial and synoptic data into data products of a spatial and temporal scale appropriate for LME management and governance.	
Output 2.4:	Remote sensing and multi-dimensional mapping	Satisfactory
	Remote sensing of marine and coastal features and processes complements the in-situ, ship-based and shore-based field work of the project.	
Output 2.5:	Adoption of indicators and monitoring practices for an ecosystem approach	Satisfactory
	A monitoring and indicators programme is planned to measure the effectiveness of the implementation of the SAP.	
Output 2.6:	Adoption of common fisheries policies and practices for nearshore and artisanal sector	Satisfactory
	Implemented through a partnership with NOAA and AU-WB SPFIF Project. ASCLME acts as a broker to support countries in developing Concept Papers and Full Submissions to SPFIF.	
Output 3.1:	National Marine Ecosystem Diagnostic Analyses (MEDA) production	Satisfactory
	Draft MEDAs are available for each of the participating countries and being reviewed. They vary a great deal in terms of information they are based on and a level of detail.	
Output 3.2:	Regional Transboundary Diagnostic Analysis (TDA) production and adoption	Not Rated (see Section 5.3.6.16 on page 78)
	WIO-Lab Project was completed in 2010 providing required inputs for regional TDA and SAP. However, due to belated start of SWIOFP and its subsequent no-cost extension the corresponding inputs from this project can not be expected timely for the production of the regional TDA and SAP by the ASCLME Project. Re-alignment is being discussed with UNDP and GEFSEC.	
Output 3.3	Regional Strategic Action Programme (SAP) production and adoption	Not Rated (see Section 5.3.6.16 on page 78)
	idem	

Outputs		Rating
Output 3.4	Financial stability and partnerships	Highly Satisfactory
	The ASCLME Project has been and is very (pro)active in establishing partnerships.	
Output 3.5	Capacity building and training for scientific and managerial sustainability	Satisfactory
	Voluminous CB&T Programme cuts across a number of Outputs. Delivered effectively with high impacts.	
Output 3.6:	Political ownership and sustainability	Satisfactory
	Includes STM, Science-to-Governance. Activities are focused on the development of skill set to bridge the gaps between science and decision-making process, links to IMC activities under Output 3.4.	
Output 4.1	Community level communications and management (DLIST)	Satisfactory
	Included as a separate activity at the stage of ProDoc. Concentrates on the local level activities - 9 demonstration sites (originally envisioned 3 sites), training courses. Effective online discussion platform on local-level issues.	
Output 4.2	Stakeholder participation	Satisfactory
	Has been under focus of the project management team since the project inception. The Project effectively engages international, regional and national stakeholders. Involvement of local level stakeholders and private sector is somehow weaker.	
Output 4.3:	Media outreach	Satisfactory
	Two movies produced, as well as a number of media articles and promotional materials.	
Output 4.4:	Communications, education and private sector outreach and engagement	Satisfactory
	Progresses well except some education and private sector involvement activities. The latter will start in early 2011.	
Output 4.5:	ASCLME website, newsletters and publications	Satisfactory
	The website was set up early in implementation phase. Online. Used extensively by stakeholders and participants. Two newsletters have been published jointly with the sister projects. A series of peer-reviewed publications are being prepared.	
Output 4.6:	Coordination with ASCLME sister projects and other partners and programmes	Marginally Satisfactory
	Coordination between sister projects is good and a number of links at operational level provide effective communications within the overall ASCLME Programme. However, due to the failure of the SWIOFP to timely provide inputs for production of regional TDA and SAP by the ASCLME Project, a re-alignment of the ASCLME Project in term of main results is being discussed with UNDP and GEFSEC.	

Recommendations and Lessons Learned

Recommendations:

➢ The regional nature of outputs to be delivered by the ASCLME Project has adversely effected the key Project's results, namely: the regional TDA and SAP. The MTE strongly supports the option of the Project re-alignment in terms of the final delivery and, what is considered more important, endorsement of these regional documents by the countries.

➢ One of key results of the 1st GEF STM (Kenya, March 2010) was a concept of setting up the WIOSEA, which would in the long run be able to play the needed role of a regional facilitation and coordination mechanism for the SAP implementation process. Since the ASCLME Project is positioned best to take the role of such regional coordinator, additional time and resources have to be provided for establishing of such a forum. The WIOSEA is sought to be the key implementing constituency for the SAP implementation in WIO in future.

➢ The current role of the regional champion played by the ASCLME Project needs to continue. Collaboration with current and attracting new partners, as well as wider engagement of the donor community, will still be required to successfully achieve the Project's main development objective.

➢ One of the strongest features of the ASCLME Project is that it bridges differences across the region. CB&T activities, as well as a number of other components, provide for (i) using expertise from within the region and (ii) building the required capacity in participating countries in a harmonised

manner. It has been mentioned by a number of interviewees that the countries appreciate being a part of the 'family'. This attitude and the corresponding efforts should continue.

- DLIST component though embedded into the ASCLME at the project development stage, at the time when the issues to be addressed by the TDA/SAP were not yet known, proves to be a useful tool for reaching out into the countries at the local level and providing required platforms for discussions on local-level issues. It has also been recognised by several country representatives as a success and the main tool for ensuring visibility of the Project at the community level. One can be overcritical that DLIST does not fit the main framework of the Project though the MTE is supportive to the current set of activities and quality of service DLIST provides. For Phase II it is still recommended to tailor the future activities better to a suite of issues which will have been identified by the MEDAs/TDA/SAP. In addition, effective scaling/replication mechanisms for successful experiences have to be developed and realised.

- The project experienced significant difficulties in management area caused by inadequate performance of the F&A Officer of the PCU in 2008-2009, who had then to be replaced. However, this process took significant time and resulted in a series of management weaknesses (e.g. long time for processing of contracts, delayed payments, etc.). The Evaluator has witnessed certain misunderstanding and miscommunication between the PCU and UNOPS on a series of management issues. Intensive cooperation efforts have been instated by both PCU and UNOPS to address these issues including joint action plans and training initiatives, however, a few pending issues remain to be addressed before the 'backlog' is completely cleared.

- MTE recommends to the ASCLME Project to develop additional mechanisms for a closer involvement of NFPs into the process of national coordination of activities. Similarly, it is proposed to provide additional discussion/reporting platforms in the format of PSC meetings.

- Sustainability is to be incorporated by the Project into any developments. The current level of sustainability of project impacts is found insufficiently high. The PCU led by the Project Director understands very clearly the importance of this, however, time and resources required for achieving this goal go far beyond those at disposal of the ASCLME Project. It is hoped that the partnership spirit currently in place will help to overcome the current challenges. The whole concept of the WIOSEA development and the proposed Project re-alignment are the attempts to operationalise the required sustainability mechanisms and integrate them into the key Project's outcomes.

Lessons Learned:

- Synchronisation within the ASCLME Programme, i.e. implementation of the GEF Programmatic Approach, continues to represent a major challenge for the parties involved. The current level of cooperation inspires all parties for further coming closer, e.g. Joint events (e.g. PSC meetings) and activities (e.g. P&G), have so far had a strong coordination effect but also represented a good way of cost-effective arrangements, a win-win kind of cooperation.

- In case of LME projects all levels in the participating countries are to be engaged in the project's activities, so both 'Top − Down' and 'Bottom − Up' approaches are to be used. In order to do so, LME-related projects should continue having a community engagement components like a Small Grants Programme, a set of pilot projects or demonstration sites. As for private sector involvement it is better to concentrate efforts onto the local level where it is easier to establish any collaborative modalities and results of such cooperation are seen much quicker.

- Adaptive management is not just a theoretical concept. Big LME Project's managers are to have clear vision of the whole process and to be prepared to not just fulfil tasks as laid out in the Project Document but effectively lead the Project team and participating countries towards achieving the main goal - the sustainable ecosystem-based management of the corresponding LMEs. On the other hand, the Projects should not be left alone doing so. Support and guidance from the GEF/GEFSEC, IA and other international organisation is critical for the overall success.

- A periodic internal evaluation carried out by the Project has had a significant effect and gave a chance to look at the Project in more detail in between the official Mid-term and Final evaluations. The evaluation also provided an opportunity to talk and discuss successes and challenges with all stakeholders concerned.

- The Governance module of the LME 5-modular approach is the most challenging to be addressed in a sound and sustainable manner. Having realised this early enough the Project initiated wider discussions and launched the Science-to-Governance component. The current approach to translating scientific knowledge gained during the last three years includes a discussion forum (think-tank) for scientists and decision- and policy-makers. This will raise the profile and importance of science generally in the policy-making and management process and encourage more support and funding to arrive at more reliable results on the science front. On the policy and sustainability side, it will provide the needed guidance for scientific community on which areas of research are likely to attract funding. As MTE found out, a number of current politicians in WIO region actively participating in the ASCLME Project have scientific background. This is hoped to be one of the factors to streamline the process of bridging science and governance together.

- Continuity is a typical problem for ASCLME-type projects. A big time gap between the finalisation and signing of the ProDoc and actual start of the Project negatively affected the ASCLME Project as well.

- For TDA/SAP process it is vital that initial knowledge is available. If such knowledge on ecosystems is not there, additional steps will be required (e.g. MEDAs), which means allocation by projects of additional effort, budget and time. In such cases setting a TDA as a delivery target after 2-3 year is not realistic for such large systems like WIO.

- The WIO TDA/SAP implementation process will need a corresponding monitoring system to provide regular quality assured data and information. The current data collection effort (i.e. research component of the Project, as well as a number of additional inshore studies) provides baseline of and required knowledge of the current state of the LMEs, however, these are just 'snap shots'. A long-term monitoring plan is to be put together to continue collection of TDA/SAP-related data and information. A regional monitoring system being developed needs to be based on national segments. This is why, the move of the Project towards the establishment of national monitoring systems and building the corresponding capacity (including procurement) is an important step towards setting up a regional monitoring programme/network.

- The regional TDA/SAP process required substantial additional coordination and technical efforts leading to the risk of not achieving the main target of the Project on time. Both documents are to be based on developments within different projects under the ASCLME Programme which are unsynchronised in time of implementation and hence delivery of their inputs into this process. There are two main ways to follow. The first one is the delivery by the ASCLME Project of a 'best possible' product void of important regional issues (like commercial fisheries in case of the WIO SAP). From the Project perspective this pragmatic approach is much easier than trying to deliver sound sustainable in future outcomes and to meet the targets with higher costs and a risk for the Project to be considered a failure. This is the second way. In case of the ASCLME the latter implies the need to re-align the MAIN outputs of the current phase of the Project.

- The Logframe is an important management tool for monitoring of progress and achievements of a project. If individual outputs of projects are changing or being re-focused resulting emerging needs or requests of the PSC, and the corresponding adjustments are not incorporated into the Logframe, a mismatch between the eventual suite of activities and the criteria the projects are monitored against negatively effects the whole process of M&E, as well as the adequacy of the M&E findings. This is why, if such changes in the project outlook are made, the Project management team should make sure that the Logframe is adjusted accordingly and approved in accordance with the existing procedures.

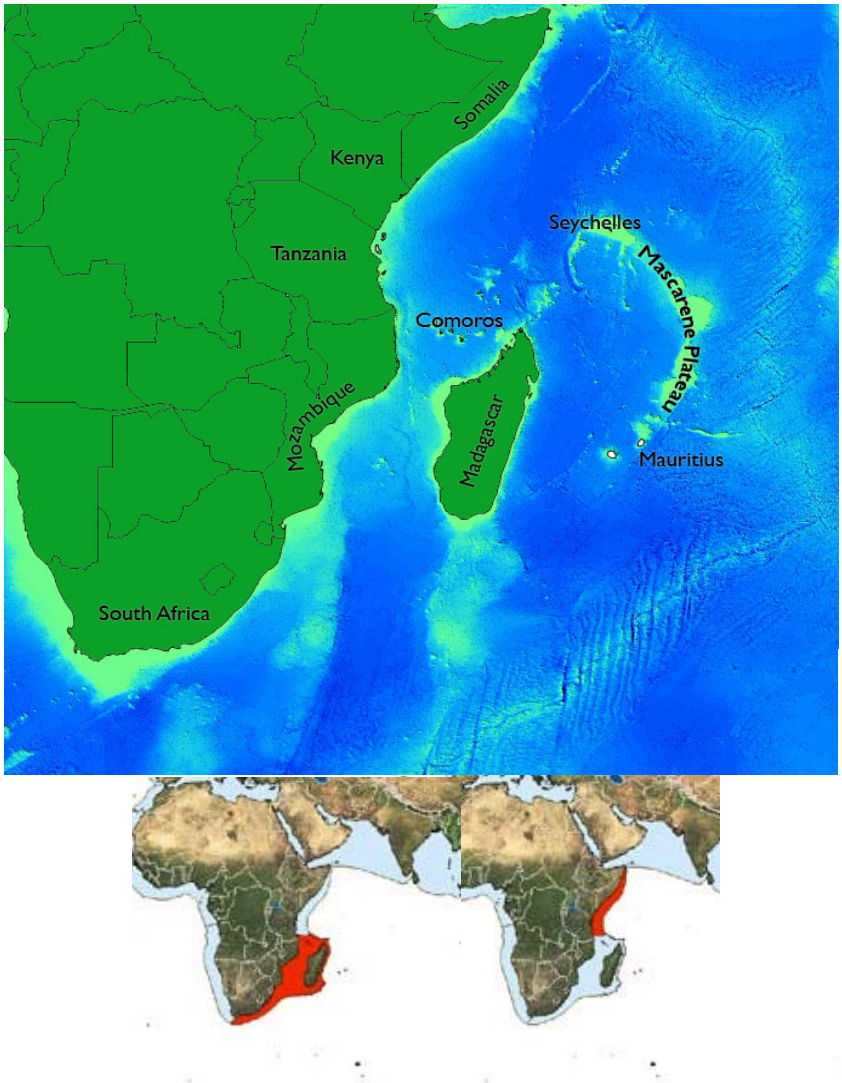
- Aggravating threat of piracy conditioned a need to significantly change the set of envisioned activities. Contingency planning had to be carried out at the ProDoc development stage while discussing risks affecting project implementation. Such risks are to be monitored and managed (if at all possible) during the whole process of implementation.

1. Introduction

1.1. Background

1. The ASCLME Project is one of three projects captured in a multi-agency, Global Environment Facility (GEF) supported Programme, the Programme for the Agulhas and Somali Current Large Marine Ecosystems (The Programme). The Programme includes, in addition to the ASCLME project, two parallel efforts - WIO-LaB (UNEP) and SWIOFP (WB) projects (Section 4.2.1). Implementation Agency of the ASCLME Project is the United Nations Development Programme (UNDP), and execution is the responsibility of the United Nations Office of Project Services (UNOPS), through its International Waters Cluster (IWC). UNOPS is accountable to UNDP for the managerial side of achieving agreed outputs as per approved project work plans, for financial management, and for ensuring the cost-effectiveness. Substantive responsibilities on the technical side of project implementation are with UNDP. UNDP reports to the GEF/GEFSEC. A more detailed description of project operation and management setup is presented in Section 4.1. A phased approach was planned to progressively build the knowledge base and strengthen technical and management capabilities at the regional scale to address transboundary environmental concerns within the West Indian Ocean (WIO) LMEs. A further objective of the Programme was to build the political will necessary to support abatement activities and leverage sufficient financial and human resources to support ecosystem level management needs.

Figure 1 ASCLME Project Area



2. Approach and Methodology

2.1. Introduction

2. The *GEF Monitoring and Evaluation Policy* [1] at the project level has two overarching objectives, namely: to promote accountability for the achievement of GEF objectives through the assessment of results, effectiveness, processes and performance of the partners involved in GEF activities; and to promote learning, feedback and knowledge sharing of results and lessons learned among the GEF and its partners, as basis for decision-making on policies, strategies, programme management, and projects and to improve knowledge and performance. With this in mind, this independent Mid-Term Evaluation (MTE) was initiated by UNDP as the GEF Implementation Agency and UNOPS as the GEF Executing Agency for the Agulhas & Somali Current Large Marine Ecosystems Project (ASCLME Project or Project) to measure the effectiveness and efficiency of Project activities so far in relation to the stated objective, to produce recommendations to all parties involved in the Project on how to better focus the implementation process until its completion in August 2012 and also to develop some guidance for the formulation of Phase II Project.

3. The MTE was conducted over a period of 4 months between August and December 2010 by an international consultant. It was slightly delayed on schedule as per Project programme but this was a deliberate decision proposed by the PCU to UNDP/UNOPS in order for the Evaluator's work to overlap with at least two important regional meetings (COGs and PSC). Personal attendance by the Evaluator of theses meetings facilitated the whole process of MTE. The MTE approach was determined by the Terms of Reference (Annex A) which were closely followed, via the itinerary detailed in Annex B. The purpose of MTE was to examine the performance of the Project since the beginning of its implementation. MTE included an evaluation of both progress in Project implementation, measured against planned outcomes outlined in ProDoc, in accordance with actual budget allocation and an assessment of features related to the processes initiated for achieving these outcomes, and the progress towards the main project objective. In other words - the early impacts of the Project achieved so far and assessing potential outcomes in a longer perspective. The Evaluator also tried to identify underlying causes and issues which need to be addressed to successfully achieve the Project's targets. A list of people interviewed is given in Annex C.

4. In addition to the above, the evaluation has concentrated on assessing the concept and design of the Project, its implementation in terms of quality and timeliness of inputs, efficiency and effectiveness of activities carried out, and how likely the project results will be sustainable after completion of the intervention.

5. Wherever possible the MTE has tried to evaluate issues according to the criteria listed in the GEF Monitoring and Evaluation Policy [2], namely:

- Relevance – the extent to which the activity is suited to local and national development priorities and organisational policies, including changes over time.
- Effectiveness – the extent to which an objective has been achieved or how likely it is to be achieved.
- Efficiency – the extent to which results have been delivered with the least costly resources possible.
- Results – the positive and negative, and foreseen and unforeseen, changes to and effects produced by a development intervention. In GEF terms, results include direct project outputs, short-to medium term outcomes, and longer-term impact including global environmental benefits, replication effects and other, local effects.

- Sustainability – the likely ability of an intervention to continue to deliver benefits for an extended period of time after completion. Projects need to be environmentally as well as financially and socially sustainable.

6. Besides, in accordance with the MTE ToR four additional criteria have been added to evaluation of the Project's Outcomes, notably: impact, stakeholder participation, country ownership, and replicability.

7. The MTE has evaluated the Project's performance according to the current six-point evaluation criteria provided to it by the GEF. This is reproduced in Table 1 below for clarity.

Table 1 Criteria Used to Evaluate the ASCLME Project by the Mid-Term Evaluation

Rating	Description
Highly Satisfactory (HS)	Project is expected to **achieve or exceed all** its major global environmental objectives, and yield substantial global environmental benefits, without major shortcomings. The project can be presented as "good practice".
Satisfactory (S)	Project is expected to achieve **most** of its major global environmental objectives, and yield satisfactory global environmental benefits, with only minor shortcomings.
Marginally Satisfactory (MS)	Project is expected to achieve **most** of its major relevant objectives but with either significant shortcomings or modest overall relevance. Project is expected not to achieve **some** of its major global environmental objectives or yield some of the expected global environment benefits.
Marginally Unsatisfactory (MU)	Project is expected to achieve **some** of its major global environmental objectives with major shortcomings or is expected to achieve only **some** of its major global environmental objectives.
Unsatisfactory (U)	Project is expected **not to achieve most** of its major global environment objectives or to **yield any satisfactory** global environmental benefits.
Highly Unsatisfactory (HU)	The project has failed to achieve, and is not expected to achieve, **any** of its major global environment objectives with no worthwhile benefits.

2.2. Document review

8. A list of key documents for review was included in the Evaluation Methodology by the MTE ToR (Annex D). Besides, a series of technical reports, datasets, management and action plans, publications and other relevant documents were provided by the Project team to the Evaluator. Since the ASCLME website can also be viewed as a document this was assessed to the extent possible within the available time.

2.3. Field visits

9. Three missions have been undertaken to the region within this assignment:

10. To Nairobi, Kenya, Aug 29-Sept 1, 2010 - participation in a regional meeting of the Data and Information (D&I) Coordinators. The meeting was organised by the PCU to take stock of a number of information-related activities, first of all, the Marine Ecosystem Diagnostic Analyses (MEDAs).

11. To Tanzania, Sept 11-21, 2010 - participation in the 3rd PSC meeting. This mission was very important to meet in person with the majority of ASCLME's stakeholders, as well as representatives of the sister projects: SWIOFP and the former Project Manager of the WIO-LaB Project. In addition, a wide range of regional institutions were represented at this meeting. This fact granted a unique chance to cost-effectively cover by interviews a wide stakeholder audience (Table 2, Annex C).

12. The third mission was made to the project office in Grahamstown, South Africa, in the period of October 9-19, 2010. This mission was used by the Evaluator to carry out detailed interviews with the Project staff and local project stakeholders, first of all, the African Coelacanth Ecosystem Programme (ACEP) and the South African Institute for Aquatic Biodiversity (SAIAB).

2.4. Interviews

13. All interviews were guided by a questionnaire, an interview structure (Annex D), designed for this purpose by the Evaluator. The questionnaire distinguished roles respondents play in the Project and was made to fit one of the corresponding major stakeholder groups:

- Category 1: Direct project beneficiaries representing government agencies in participating countries
- Category 2: Direct project beneficiaries representing non-governmental sector, NGOs, wider public at local level
- Category 3: UN Agencies (excluding IA&EA), other international organisations, international NGOs involved in project implementation, representatives of sister projects/programmes
- Category 4: International/Local consultants/experts including scientific team involved in the implementation of the Project
- Category 5: Project Management team and representatives of the GEF Implementing (UNDP) and Executing (UNOPS) Agencies directly involved in the project.

During MTE all categories have been covered except Category 2, despite a number of attempts made to include this important category of Project stakeholders as well. Representation of other groups were kept quite even as shown in Table 2.

Table 2 ASCLME Project's Stakeholders Covered by MTE Interviews

Stakeholder Category	Stakeholder Category	#	%
National Government representatives	1	9	27.3%
NGOs, public, private sector at national and local level	2	0	0.0%
UN Agencies, other partners	3	7	21.2%
Local and International consultants	4	8	24.2%
Project Management Team & EA/IA representatives	5	9	27.3%
TOTAL		**33**	**100%**

2.5. Stakeholder Survey

14. Since the Project's geographical scope covers vast area, and the number of individual key stakeholders is unprecedentedly large, in order to cover by MTE a maximum audience, in addition to the standard forms of interview (in person, phone, Skype), three other options were developed by the Evaluator and proposed to the stakeholders to chose from: a database-driven standalone application (MS Windows), an online and an email survey. All stakeholders were provided with links at the Evaluator's web-site to download a corresponding tool. The survey was based on the aforementioned questionnaire (Annex E) prepared at start-up of the assignment. Information on categories covered and feedback received is presented below in Table 4.

Table 3 ASCLME's Stakeholders Covered by MTE Interviews and Received Feedback

Stakeholder Category	Stakeholder Category	Sent	Received	% Returned per Category	% of Total
National Government reps.	1	15	8	53.3%	19.0%
NGOs, public, private sector	2	18	5	27.8%	11.9%
UN Agencies, other partners	3	27	9	33.3%	21.4%
Local and Int'l consultants	4	48	20	41.7%	47.6%
	TOTAL	**108**	**42**	**38.9%**	**100%**

3. Project Concept and Design

15. Preparation of the ASCLME Project began in mid 2002 with the submission to the GEF, by the UNDP, of a first stage Project Development Facility grant request (PDF-A) of US$ 25,000. The principal activity under the PDF-A was the convening of a regionally-based workshop that included participation of the three GEF IAs and a representative array of regional stakeholders. The workshop was held in Maputo, Mozambique, and resulted in initial definition of the goal and objectives of the UNDP ASCLME and WB SWIOFP projects. This workshop was followed by a developed by UNDP Project Concept paper which was submitted to (and accepted by) the GEF, triggering development and approval of the second stage of PDF funding, the so-called GEF PDF-B, which received GEF funding of US$ 698,000 [4].

16. As described in the Project Document[1], the project goal is:

> *To ensure the long-term sustainability of the living resources of the ASCLMEs through an ecosystem-based approach to management.*

17. The overall project objective is: *To undertake an environmental baseline assessment of the Agulhas and Somali Current Large Marine Ecosystems to fill information gaps needed to improve management decision-making, and to ascertain the role of external forcing functions (such as the Mascarene Plateau and the Southern Equatorial Current).*

18. Consistent with the Project objective, the two major deliverables included:

1. *Acquisition of data needed to support an ecosystem-based approach to management of the two LMEs as well as a better understanding of the external forcing functions and linkages to adjacent areas of the Western Indian Ocean region; and*

2. *Full TDAs and SAPs for the Agulhas Current LME and the southern portion of the SCLME (Kenya and Tanzania) adopted at high levels, and a full TDA and SAP for the SCLME to be developed with the inclusion of Somalia when conditions allow.*

19. It should be noted that in relation to TDA and SAP development the parallel UNEP (WIO-LaB) and World Bank (SWIOFP) projects were intended to feed pertinent information into the TDAs/SAPs formulation process, and identify policy, legal and institutional reforms and needed investments to address transboundary priorities corresponding to each project.

20. As mentioned by some of the National Focal Points (NFPs) during interviews, the project concept was supported regionally from the very beginning, particularly, its research component. The most recent at that time cruises in the Project's region dated back mid-1970s had been undertaken by the USSR's research vessels. Data and information from those cruises were not available. In addition, there was a long discussion between the parties involved on whether to include the Mascarene Plateau or not, which eventually was resolved, strongly supported by the Seychelles and Mauritius, by inclusion of this area into the Project's boundary.

21. At a more detailed level, the Project, as described in the finally approved ProDoc and included in the revised logframe, was designed to achieve the following Outcomes:

Outcome	Description
Outcome 1:	Information Captured for Development of the Transboundary Diagnostic Analysis[2]

[1] The Project Steering Committee, based on changed circumstances in the region, has made a number of alterations to the original Project Document. These are discussed in detail further in this report.

Outcome	Description
Outcome 2:	Long-Term LME Data Collection, Management and Distribution Mechanisms Established
Outcome 3:	TDAs and Strategic Action Programmes and Associated Sustainability Mechanisms in Support of an LME Approach are Adopted
Outcome 4:	LME Coordination, Communication, and Participation Mechanisms Established
Outcome 5:	Project Financing effectively delivered to support all Project Outcomes

22. The original Logframe was developed in 2004 and, as is the case of majority of GEF projects, was one of the requirements for submission to the GEF Council for review and approval. The Logframe constituted the best possible effort at that time. As the project did not move into full implementation until September 2007, over three years had passed, and it became clear that for the ASCLME Project, and indeed for the overall Programme, several issues have underscored the need, in the judgment of MTE, to re-visit the Logframe. These changes were to allow for, among others [4]:

- *A substantial revision of the ACEP programme objectives and funding.* During project preparation ACEP personnel were assuming a much broader regional focus and budgets, and thus ASCLME project co-finance, in much larger than was realised as the ASCLME Project moved into implementation. The ProDoc, based on estimates provided to the development team by the ACEP, originally assumed ACEP to provide co-finance of over US$ 12M. Despite the fact that originally envisioned level of financing for the ACEP remained, its Phase II activities were restricted to the South African waters only and thereby formed the South African contribution to the ASCLME. For the ASCLME Project this meant a drastic decrease in cash co-funding, which was brought down to a level of 25% of the originally anticipated amount. To be fair, it is recognised by the MTE that the ACEP still plays critical supportive roles in a number of activities and provides significant in-kind contribution to the ASCLME Project (Section 4.7).

- *The attraction of significant additional co-finance to the Project.* Balancing the loss of ACEP co-finance has been the attraction of other co-financers to the project, and also increased levels of co-finance from existing sources (Section 5.3.5). These additions/increased levels have already altered and will likely continue to alter project activities and allocated budgets respectively. This does, however, put extra strain on the Project as outside co-financers of new activities as required by the PSC still expect ASCLME to make substantial contributions to these activities, even though the project budget has remained unchanged.

- *Post-preparation recognition of the central importance of governance issues within the region*. The Project Director recognised early during implementation that there was the paramount need to place special emphasis on establishing early and effective coordination at the governmental and policy level. The Project Director, who has broad and in-depth experience with global GEF International Waters (IW) projects, recognised that the governance module of the LME approach, while critical to country buy-in and long-term project sustainability, was often the most difficult to develop. He concluded that the scope of the ASCLME Project, cutting across two (and arguably three[3]) LMEs, would make the governance module for this Project especially difficult to address. Accordingly, he recommended to the PSC, and the PSC approved, a substantial upgrading of efforts to engage governance and policy issues of the Project and Programme through hiring of a full-time Policy and Governance (P&G) coordinator with consequent additional activities and budget.

- *The threat of and danger posed by piracy continue to drive changes in planned oceanographic cruises.* A significant amount of project resources was committed to the collection of data and information as a result of the cruises in offshore areas. It then appeared that piracy extending out from Somalia would limit the originally planned geographic scope of the project's offshore activities, and thus the overall ship-based effort to be undertaken over the life-time of the project. This caused the

[2] Titles of Outcomes were revisited during project inception, revised at the Inception Meeting, and approved by the project Steering Committee (January 2008 – Durban, South Africa).
[3] The Mascarene Plateau.

shifting of resources from originally planned cruises in offshore waters to inshore areas and the development of a series of additional project activities/Outputs (the Coastal Livelihood Assessment (CLA), Cost-Benefit Analysis (CBA), etc.).

23. The original set of Outputs included 12 major activities distributed among the 4 project Outcomes (2+3+5+2 accordingly) (Table 4, 2nd column). However, the titles of activities have been changed and the activities themselves have been substantially increased in number during the first three years of implementation. As seen by the Evaluator, this change is fairly justified and represent the dynamics of situation in the region and the intervention itself.

24. Continuity is often a problem within the GEF Project Cycle. Within the context of the ASCLME Project there was a delay of more than 3 years between the initial project design and actual start-up, therefore, an adjustment was required to account for new realities at that time. The first round of changes was introduced during the Inception phase. These changes were adopted by the PSC Meeting in Jan 2008. Reporting against this set of Outputs and indicators were carried out on a regular basis until 2nd PSC (Seychelles, 2009) and after, during the first periodic Project self-evaluation [4] (See Section 4.8.1).

25. In the period after 2nd PSC a number of activities (predominantly related to the research cruises) were re-focused accounting for an aggravating threat of piracy. In project terms this resulted in re-designing a number of research activities from offshore to inshore areas, additional Capacity Building and Training (CB&T) activities, strengthening of governance and economic assessments, and the initiation of additional activities related to the development of institutional platform for future consultations on SAP to be developed by the Project. All this led to the third iteration to tailoring the Project activities to the real circumstances and needs of the countries (Table 4, 3rd column).

26. It should be mentioned that the Logframe of the Project, despite drastic changes in the suite of outputs, has not been changed in terms of indicators of performance/success. As a result, the set of indicators included and reported against in the annual project reports (i.e. APR/PIR 2008, 2009, 2010) did not match the actual set of activities and, therefore, monitored impacts of the Project.

27. The changes introduced in the structure of project outputs/activities by the Project team and approved by PSC in general are supported by MTE and considered as legitimate improvements of the Project outlook. However, not supplementing the change with a corresponding update of the set of outcome-based indicators is considered by MTE as a drawback. Despite some attempts to revise the existing indicators had been announced by the PCU several times, such work was not completed until the time of MTE. As agreed between the Project Director and Evaluator some independent guidance on the revision will be included in this report as a part of recommendations.

28. The project concept as it stand now is appropriate, and builds upon the previous GEF support and recent developments in the WIO region. The eventual design of the ASCLME project has enabled it to play a leading role in the establishment of regional cooperation and the introduction of a ecosystem-based approach to LME management in WIO. The current project's emphasis on the development of science-based management modalities allowed it to play a visible champion role in the region and also within the family of GEF IW projects.

The MTE recommends that the current set of indicators is revised in accordance with the approved structure of the project Outcomes/Outputs. The key impact-based indicators are to be developed/selected. Since the piracy threat has been an increasingly limiting factor for the project implementation, a risk management section has also to be re-addressed.			
Responsibility	***Task***	***Time frame***	***Deliverable***
PCU	Develop/select a set of outcome-based indicators, which would match the revised suite of Outputs/activities.	ASAP	A revised Project logframe to be submitted to and approved by PSC members

Table 4 Summary of Project Outcomes/Outputs Adjustments in the Course of the Project

Outcomes	Title in ProDoc	Revised Title (Inception Report)	Current Title/ Set of Activities (Project Report to 3rd PSC Meeting)	Comment by Evaluator
Outcome 1:	***Key ecosystem assessment and management gaps are filled as necessary to install an ecosystem approach to LME management***	***Information Captured for Development of the Transboundary Diagnostic Analysis***	***Information Captured for Development of the Transboundary Diagnostic Analysis***	
	Output 1.1: Prioritised ecosystem assessment and management gaps in ecosystemic processes in key geographic areas of the ASCLMEs addressed	Output 1.1: Review existing data in region pertinent to ASCLME TDA and SAP development (including the collection, repatriation, synthesis and storage of country and regional data, and the repatriation of extra-regional data and information)	Output 1.1: Offshore data review and collection	Mainly relates to ship-based cruise activities (in partnership with a number of projects and organisations)
	Output 1.2: Baseline information obtained on persistent organic pollutants (POPs) within the LMEs through the use of key indicator species	Output 1.2: Identification of gaps and further/new data needs and data capture mechanisms to populate the 2 TDAs	Output 1.2: Nearshore fisheries and ecosystem data collection	Mainly desk studies looking into information stored in hard copies in the countries
	Not foreseen in ProDoc	Output 1.2A: Identify and prioritise ecosystem assessment and ecosystemic process information gaps in key oceanographic areas of the ASCLMEs along with work-plans, cruise schedules, budgets and responsibilities	Output 1.3: Critical habitat data collection (nursery grounds, spawning grounds, threatened/endangered species habitats)	Desk-top analysis, validation of RS images, habitat mapping. Implemented in partnership with French IRD.
	Not foreseen in ProDoc	Output 1.2B: Key knowledge gaps in near-shore (artisanal/subsistence) fisheries updated, nursery areas and other rich biological habitat mapped or otherwise identified using existing information	Output 1.4: Invasive species and marine pollutants data collection	Assessment of invasive species problems in WIO (e.g. from ballast water, hull fouling), threats from marine-based pollutants (ship discharges, oil and chemical spills, gas/oil exploration, etc). In partnership with IMO.
	Not foreseen in ProDoc	Output 1.2C: Management and Policy gaps/needs identified as part of root cause requirements for TDAs development (national and regional)	Output 1.5: Persistent organic pollutants baseline data collection	Implemented in partnership with French IRD

Outcomes	Title in ProDoc	Revised Title (Inception Report)	Current Title/ Set of Activities (Project Report to 3rd PSC Meeting)	Comment by Evaluator
	Not foreseen in ProDoc	Output 1.3: Active offshore and coastal oceanographic data collection to fill gaps in ecosystem assessment and status as necessary for development of TDAs and SAPs.	Output 1.6: Coastal livelihoods data collection	A desk study - One of the activities initiated by the Project on request of the PSC to compensate for cancelling offshore research.
	Not foreseen in ProDoc	Output 1.4:Baseline information obtained on persistent organic pollutants (POPs) within the LMEs through use of key indicator species	Output 1.7: Ecosystem approach cost-benefit analysis	*idem*
	Not foreseen in ProDoc	Not foreseen in the Inception Report	Output 1.8: National and regional level policy and governance assessment for ecosystem based management	Results of this Output is critical for successful establishment of a sustainable institutional platform for the future regional SAP.
Outcome 2	***Decision-making tools are in place, to facilitate the synthesis and application of data for LME management***	***Long-Term LME Data Collection, Management and Distribution Mechanisms Established***	***Long-Term LME Data Collection, Management and Distribution Mechanisms Established***	
	Output 2.1: Facilitate establishment of a data management facility for the continuing collection, synthesis and storage of country and regional data, and the repatriation of extra-regional data and information	Output 2.1: LME based indicators linked to national and regional M&E mechanisms are developed and captured within institutional work programmes and budgets	Output 2.1: National data handling and management	Support to each national data handling institution continues and data processing from research cruises and coastal work has also been initiated and progresses. Country counterparts/ coordinators submit annual reports to the MEDA-TDA.
	Output 2.2: Establish a coordinated plan for assembling and reporting on agreed indicators for monitoring and evaluation of the status of the Agulhas and Somali LMEs	Output 2.2: A region wide socio-economic valuation of near-shore marine goods and services is undertaken to gain greater understanding of the social and economic importance of these areas	Output 2.2: Regional data handling and management	All data generated by research activities are lodged on a shared FTP server. Programme-level coordination of data management activities: ASCLME, SWIOFP, WWF, UNEP, ODINAFRICA and CORDIO.
	Output 2.3: Increased systems knowledge through use of GIS and predictive models	Output 2.3: National and regional data handling, storage and synthesis focal centres are established	Output 2.3: GIS and predictive modelling	GIS development and RS sensing of marine and coastal features and processes complements the in-situ, ship-based and shore-based field work of the project.

Outcomes	Title in ProDoc	Revised Title (Inception Report)	Current Title/ Set of Activities (Project Report to 3rd PSC Meeting)	Comment by Evaluator
	Not foreseen in ProDoc	Output 2.4: Use of GIS and predictive models expanded to increase systems knowledge (ProDoc - Output 2.3)	Output 2.4: Remote sensing and multi-dimensional mapping	
	Not foreseen in ProDoc	Not foreseen in the Inception Report	Output 2.5: Adoption of indicators and monitoring practices for an ecosystem approach	
	Not foreseen in ProDoc	Not foreseen in the Inception Report	Output 2.6: Adoption of common fisheries policies and practices for nearshore and artisanal sector	Implemented through partnership with NOAA and AU-WB SPFIF Project. ASCLME acts as a broker to support countries in developing Concept Papers and Full Submissions to SPFIF.
Outcome 3	***Regional agreement is reached on transboundary priorities and their root causes and a suite of governance reforms and investments needed to institute a shared ecosystem-based approach to managing the LMEs in support of WSSD targets, and foundational capacities are in place for implementation***	***TDAs and Strategic Action Programmes and Associated Sustainability Mechanisms in Support of an LME Approach are Adopted***	***TDAs and Strategic Action Programmes and Associated Sustainability Mechanisms in Support of an LME Approach are Adopted***	
	Output 3.1: Financial resources brokered to ensure the financial sustainability of information systems	Output 3.1: TDAs are negotiated and approved by technical stakeholders	Output 3.1: National Marine Ecosystem Diagnostic Analyses (MEDA) production	Not foreseen in ProDoc. Draft MEDAs are available for each of the participating countries. They vary a great deal in terms of information they are based on and a level of detail.
	Output 3.2: Institutional, Programme and human capacity building requirements are identified and addressed through training initiatives	Output 3.2: SAPs are negotiated and adopted by policy level stakeholders	Output 3.2: Regional Transboundary Diagnostic Analysis (TDA) production and adoption	There is a risk of the Project to fail delivering regional TDA and SAP. Project re-alignment is being sought.
	Output 3.3: Close and regularized communication established among the IAs, the various Projects under the Programme, and other related projects and institutions in the region (moved to Output 4.1)	Output 3.3: Financial resources are brokered to ensure financial sustainability of monitoring, evaluation and information systems to support the LME approach (augmented Outcome 3.1 in ProDoc)	Output 3.3: Regional Strategic Action Programme production and adoption	There is a risk of the Project to fail delivering regional TDA and SAP. Project re-alignment is being sought.

Outcomes	Title in ProDoc	Revised Title (Inception Report)	Current Title/ Set of Activities (Project Report to 3rd PSC Meeting)	Comment by Evaluator
	Output 3.4: Linkages with other GEF supported LME projects in Sub-Saharan Africa and globally are established	Output 3.4: Institutional, programme and human capacity building requirements are identified and addressed through training initiatives (Outcome 3.2 in ProDoc)	Output 3.4: Financial stability and partnerships	The ASCLME Project has been and is very (pro)active in establishing partnerships.
	Output 3.5: TDA and SAP finalized	Not foreseen. Separated out into TDA- and SAP-related Outputs - Output 3.1 and Output 3.2	Output 3.5: Capacity building and training for scientific and managerial sustainability	Voluminous CB&T Programme cuts across a number of Outputs and is delivered effectively with high impacts.
	Not foreseen in ProDoc	Not foreseen in the Inception Report	Output 3.6: Political ownership and sustainability	Includes STM, Science-to-Governance. Activities are focused on the development of skill set to bridge the gap between the science and decision-making process, feeds into IMC activities under Output 3.4.
Outcome 4	***A Comprehensive Public Participation Initiative Enables Stakeholders to Engage in Programme activities***	***LME Coordination, Communication, and Participation Mechanisms Established***	***LME Coordination, Communication & Participation Mechanisms***	
	Output 4.1: A Distance Learning and Information Sharing Tool (DLIST) is developed and implemented	Output 4.1: Effective and frequent communication and coordination established among the IAs, the various projects under the programme and other related initiatives and institutions in the region, including linkages with other GEF supported projects in Sub-Saharan Africa and globally (Superposed 2 Outputs in ProDoc - Output 3.3 and Output 4.1)	Output 4.1: Community level communications and management (DLIST)	Included as a separate activity at the stage of ProDoc. Concentrates on the local level activities - 9 demonstrational sites (originally envisioned 3 sites), training courses. Effective online discussion platform on a number of local-level issues.
	Output 4.2: A set of public involvement, participation, and environmental education initiatives are developed and implemented in the region	Output 4.2: Key policy stakeholders sensitized and engaged in LME process through appropriate packaging and presentation of LME information and concepts	Output 4.2: Stakeholder participation	Has been under focus of the project management team since the project inception. The Project effectively engages international, regional and national stakeholders. Involvement of local level stakeholders and private sector is somehow weaker.

Outcomes	Title in ProDoc	Revised Title (Inception Report)	Current Title/ Set of Activities (Project Report to 3rd PSC Meeting)	Comment by Evaluator
	Not foreseen in ProDoc	Output 4.3: Stakeholder engagement, public involvement, participation, and environmental education initiatives are developed and implemented in the region (re-phrased Output 4.2)	Output 4.3: Media outreach	Two movies produced, a number of media articles and promotional materials.
			Output 4.4: Communications, education and private sector outreach and engagement	
	Not foreseen in ProDoc	Not foreseen in the Inception Report	Output 4.5: ASCLME web site, newsletters and publications	Was set up early in implementation phase. Online. Used extensively by stakeholders and participants. Two newsletters published jointly with sister projects. A series of peer-reviewed publications.
	Not foreseen in ProDoc	Not foreseen in the Inception Report	Output 4.6: Coordination with ASCLME sister projects and other partners/programmes	Coordination between sister projects is good. However, due to the failure of SWIOFP to provide its inputs timely for the production of TDA and SAP by ASCLME Project, a re-alignment of the ASCLME Project in term of main results is being discussed with UNDP and GEFSEC.

4. Project Implementation

29. The implementation approach as formulated, further tailored and being undertaken by the Project is evaluated **Highly Satisfactory**. The ASCLME provides technical, material and financial assistance to the participating countries. The project does not include large-scale investments but introduction of the ecosystem-based approach to LME management, nor its recommendations are binding. The ASCLME instead provides a support mechanism for the countries to cooperate more closely on the development and future implementation of a regional Strategic Action Programme (SAP), which is built upon a series of interventions in WIO including the current Project.

30. Unlike a series of GEF projects, the ASCLME Project due to the constant effort of the Project management team did not take significant time to build up momentum, especially in the context of an extensive research and capacity building/training programmes. It took exceptionally short time to set up contacts and develop the requisite coordination between all parties involved. Having started in a time-efficient way, the project continued to deliver timely and effectively. There are numerous examples of adaptive management approach taken while achieving the Project targets. They are discussed in corresponding sections of the report.

31. At inception of the Project the countries requested guidance on practicalities of initiating and implementing the Project activities in each country. As a response, the PCU put together clear national work-plans and resource requirements. This included information on appropriate level of PSC representation and requirements for National Coordinators, Inter-Ministerial Committees, required Working Groups for MEDA/TDA and SAP development, Cruise Coordination, Capacity Building and Training, etc. A level of financial support for each country was also identified and agreed upon.

32. Stakeholders interviewed generally expressed good support to the Project and confidence that the Project would achieve a significant level of success, especially with regard to understanding the ecosystem-based approach to management and realisation of scientific and partnership needs. Particularly this relates to technical tasks included in the Project's work programme. One of Project features identified during stakeholder interviews is the very high quality of deliverables whether being technical findings/reports or training activities. A number of interviewees pointed out that due to the involvement in Project activities their country representatives had a chance to access the state-of-the-art techniques and tools. Participation in joint publications is also being recognised as a good means for cooperation. However, some interviewees indicated their concern of further use of the knowledge gained since a number of tools and equipment was hardly available in the countries and utilisation of the capacity built was heavily depended on international activities in the region.

33. Based on the interviews, the Evaluator can state that nearly all stakeholders are currently confident that there is a very strong momentum, and the Project is ready to move forward into operationalising the knowledge and information obtained through appropriate management strategies. Particularly, this will be required for the future SAP. The stakeholders interviewed are also in agreement that the next step is the development of a regional strategy WITHOUT (an) overarching commission(s) to direct policy development in WIO. The overall consensus is that it would be damaging to the countries and to the ASCLME Project as a globally significant entity if the Project were to lose the momentum it has now achieved. There are currently many regional and global players in WIO and it is a common opinion that the development of and, even more, implementation of the future SAP will be a considerable challenge for all parties including the regional constituencies, the GEF and its IAs, and the countries themselves. Nevertheless, a clear effort of the Project is seen to properly address this challenge. A good example is the team of international, regional, national consultants and country representatives (also within inter-ministerial coordination mechanisms already existing in some countries - The Seychelles, Madagascar, Mauritius, others) recently set up to develop governance mechanisms for the SAP implementation.

34. As personally experienced by the Evaluator, there is a common opinion that the Project will meet or exceed the detailed targets set within the Logframe related to technical aspects of the project,

whereas much less confidence is seen in relation to management structures/constituencies for the governance-related aspects of LMEs management. Thus, there is a lot of support in the region from both participating countries and international organisations to the Governance and Policy component of the Project, which has recently started. A regional P&G team of experts is lead by an experienced international consultant and the Regional Governance Coordinator from PCU.

4.1. Participating Agencies (UNDP and UNOPS)

35. As mentioned above, the current GEF project is implemented by UNDP and executed by UNOPS.

36. There is considerable advantage to having UNDP as the GEF Implementing Agency. As a global organisation, UNDP brings no geo-political baggage that might limit the participation of certain countries. And the aid is not tied or otherwise encumbered by expectations to use specific country consultants. The management flexibility provided through UNDP is also an advantage, as it enables the project team to adjust to changing circumstances, time-frames and beneficiary needs. UNDP is furthermore well considered for its leadership in the GEF International Waters OP, so its imprimatur adds additional stature to ASCLME Project efforts. As reported during interviews there is a good level of cooperation and support between the PCU and UNDP-GEF Regional Technical Advisor in Pretoria. In addition, the lead UNDP country office for ASCLME Project, UNDP CO Mauritius, provides required level of participation and support. There was a recent change of the RR in UNDP Mauritius in February 2010. Both the former RR and the new RR actively participate(d/s) in the project key activities and events. In her opening speech at the 3rd PSC meeting in Tanzania (Sept 2010), the new UNDP RR for Mauritius and Seychelles re-confirmed the solid UNDP commitment at both regional and countries level to continue supporting efforts and activities of the ASCLME project being a flagship UNDP GEF project in the area.

37. Executing agency of the project is UNOPS through its IWC. UNOPS is accountable to UNDP for the delivery of agreed outputs as per approved work-plans, for financial management, and for ensuring the cost-effectiveness. UNOPS office is based in Copenhagen. Within the course of the Project there was a replacement of the responsible Portfolio Manager. The new Portfolio Manager effectively took over as of February 2010. The change of Portfolio Manager went rather smoothly for both UNOPS and the Project.

38. The project has experienced significant difficulties in the management area caused by inadequate performance and further drop out of the F&A Officer in 2008-2009. This process took significant time and resulted in a series of management weaknesses (e.g. long time for processing of contracts, delayed payments, etc.). The Evaluator has witnessed residual effects of unprecedented misunderstanding and miscommunication between the PCU and UNOPS on a series of management issues. The long and 'painful' process of replacing the F&A Officer, who had been suspended by the Project Director after several warnings of misconduct, also affected project operation and financial administration. Before the decision was agreed by UNOPS and the former FA person was dismissed, counter-allegations had been brought against the Project of misappropriation and mismanagement, on basis of which UNOPS launched an investigation. The overall process of FA replacement took over 12 months and led to a significant backlog in terms of administrative work and belated payments. There was no required personnel at the PCU trained in finances and administration and, hence, performing with needed quality. The FA substitute available was not able to be effectively sorting out the constantly growing workload. This caused, in turn, UNOPS to start identifying wrong practices and go through lengthy communications with ASCLME management on pending and outstanding issues. According to UNOPS such situation made them to adopt a strengthened approach to improve Project's accountability. Without the required capacity available it was difficult for the PCU to digest this at the time. According to PCU's perception this was an increased complexity in terms of financial and administrative issues being decentralised out by UNOPS HQ to the PCUs, along with increasing demands on Project Managers (see paragraphs 41 and 75), and the accountability and potential for official criticism/reprimand. In view of this, it is felt by the Project Director unfair to expect the PCU to follow all formalities required by UNOPS without a thorough training and grounding in UNOPS

procedures and requirements. Today appropriate capacity seems to be in place, joint management approaches between UNOPS and ASCLME are established and regularisation almost finished. Strong capacity building efforts have been made, i.e. training in CPH, monitoring cum training mission from UNOPS (consultancy), regular on-the-job training. As emphasised by the current Portfolio Manager at UNOPS, IWC has *'dedicated itself to ASCLME to solve outstanding issues'*.

39. During the time of and also after the investigation all administrative and financial operation of the Project was implemented through UNOPS office in Copenhagen. At the Project front, regardless of the origin of administrative delays/flaws, this resulted in a number of complaints from stakeholders during interviews about the efficiency of contract processing and payments. In addition to the above, there was no Project's bank account available at disposal of the Project Director to execute any (even small office operation related or travel costs) local payments[4]. Similarly, the Project experiences serious issues with a number of local suppliers and vendors. According to UNOPS this situation is often caused by the lack of required electronic banking facilities locally and being addressed as a priority.

40. A number of further steps are being planned by UNOPS and PCU. These include issuing a new DoA to the Project Director with the ceiling of US$ 50K and re-distribution of responsibilities between PCU and UNOPS in terms of payments. For instance, the Purchase Orders and Vouchers will be created in ATLAS by the PCU but the payments themselves will be made through UNOPS in Copenhagen in an automated manner. Such an approach should work quite efficiently for hard currency payments, however, it is not quite clear to MTE how effective payments in local regional currencies will be. The current plan of using UNDP COs usually cause considerable delays and additional handling charges for a project. Taking into account the big number of contracts and other procurement made by the Project locally, the amount of cumulative additional financial burden for the project could be substantial.

41. In addition, starting Q2 2010 UNOPS has introduced a new management tool - a self-audit checklist (142 questions split into 15 categories). Detailed description of this report is presented in Section 4.8.1.1. The check-list as is very comprehensive and covers with questions nearly every aspect of Project implementation. The report is an obvious attempt of UNOPS to streamline all reporting and self-audit and to incorporate all project operation issues into a single paper. However, according to PCU the report as it stands now is very sophisticated and requires additional training/ guidelines/manuals, and the preparation of this report would require considerable time and effort of a number of PCU officers. It is believed by the Evaluator that both parties need to come to a common denominator as soon as possible and to agree on support required from UNOPS to prepare such reports, on the one hand, and efforts from the PCU staff members concerned to regularly develop such reports, on the other hand. Effectiveness of such reporting is recommended to be closely monitored/assessed and, possibly, intervals of these reports could be increased.

The MTE recommends:

1. To re-assess realistically the promoted option to make payments in local currencies through UNDP COs and re-consider a possibility of providing/establishing additional bank account(s) for the Project for such operations.

2. Efficiency and time needed to prepare all reports required (from Project side) and time/resources required to process those (from UNOPS side) are recommended to be carefully assessed by the PCU and UNOPS in the coming period. If time and resources to put together such reports is so significant that it affects the fulfilment of duties of the staff related to technical implementation of other projects

[4] A representative example is the regular telephone cut-offs in the Project office. Every month Telkom (which is the ONLY provider of fixed landlines in Grahamstown) cuts Project's telephone connections for non-payment. This is because Telkom send to the Project a bill, it goes to UNOPS Copenhagen for processing, then it gets sent to UNDP South Africa as a request for payment. Then someone from UNDP South Africa in Pretoria has to physically go to a Telkom office to pay the bill. If something in this chain gets delayed, the telephone/fax connections are cut off. As reported by the PCU, such situation causes huge headaches as Project's vendors and clients cannot contact the office, and numerous partners (NOAA, IUCN, etc.) are complaining that they cannot get through, and the Project sometimes cancels teleconference calls or uses expensive mobile networks.

activities, its frequency could be decreased, e.g. twice a year to coincide with the proposed by MTE frequency of reporting to PSC (see Section 4.5.4).			
Responsibility	***Task***	***Time frame***	***Deliverable***
UNOPS, PCU	Discuss and re-assess effectiveness of payments through UNDP COs.	Until 2011	Agreed by UNOPS and PCU mechanism and monitoring provisions.
UNOPS, PCU	Closely monitor efficiency of the newly established reporting and self-audit mechanisms until the end of 2010. If such reporting is found redundant on such basis, a less frequent reporting should be applied in 2011.	Until 2011	PCU - An estimate of time and resources required to prepare such reports; UNOPS - An estimate of time and resources required to process reports.
UNOPS	Provide access of the PCU staff to guiding materials/manuals and/or a help-desk to support the development of such reports .	2010	Access to guiding materials and assistance

4.2. Regional Arrangements and Partnerships

42. The ASCLME Project is recognised as a 'heavyweight' regional player not only by the GEF Agencies but also by a number of environmental and scientific institutions in WIO and worldwide. The PCU and Project Director have been very proactive in establishing partnerships with focus on the project-related issues despite the fact that the Project encountered serious challenges with realisation of co-funding very early in the implementation phase. As one of interviewees wrote: "… *ASCLME coordinator* (N.B. - Project Director)*, is a visionary leader who understands the importance of the science, the value of international cooperation, and the need to effectively address problems that inevitably develop when trying to implement program*(me)*s of such scope and complexity*.". Considerable co-funding has been leveraged by the project (Table 5).

43. There are a number of additional benefits to the countries along with the leveraged co-funding presented in Table 5. These include:

- A significantly raised profile globally of marine scientists and institutes in the ASCLME countries
- Evolving and lucrative partnerships between regional scientists, managers and institutes and high-profile international bodies (NOAA, US Naval Research, French IRD, Dutch NOIZ, IUCN, Univ. of Southampton, Scripps and Woods Hole Institutes, etc.)
- A substantial increase in regional scientific publications (e.g. as presented at WIOMSA in August 2009, and through the Journal of Deep Sea Research in 2011-2012 – over 45 peer-reviewed publications and abstracts are in preparation to date)
- The regional leadership in the ecosystem-based approach to management of the resources of the Western and Southern Indian Ocean.

44. The Project could not send people to work in Somalia or schedule research vessels into Somalian waters, but it still supports participation through payments to Somalian experts for provision of data and information (particularly existing data and the development and capture of remote sensing and modelling data), and for attendance workshops and PSC meetings. ASCLME also invested in the capacity building and training of Somalian scientists by sending them to CB&T courses in Cape Town. The PSC agreed to create a specific membership category for Somalia as Country Observer on the Steering Committee and also agreed that the Project should fund the attendance of appropriate representatives.

Table 5 Partnership Established by ASCLME Project and Additional Funding Leveraged

Entity	Description	Lead project or activity	Activities	Relationship with UNDP ASCLME	Formality	Related Project Outcome	Co-Funding, US$
UNDP	UN Agency	ASCLME	Filling coastal and offshore data information gaps for more effective monitoring; National MEDAs; Regional TDA; SAP; Coordination of LME activities, monitoring and governance within WIO	No Applicable	Not Applicable	Outcome 1	
UNEP	UN Agency	WIO-LAB	Improved water quality and sediment reduction from LBA; Strengthen legal basis for reduction of LBA pollution; Build regional capacity for low-pollution development	Sister' GEF Project to provide delivery and input to WIO LME TDA and SAP. Share PSC Meetings	Partnership defined in ProDoc	Outcome 3	
World Bank	UN Agency	SWIOFP	Offshore Commercial fishery data gap analysis and data archiving; Assessment and sustainable utilization plans for commercial fisheries; strengthening regional and national fisheries management plans	Sister' GEF Project to provide delivery and input to WIO LME TDA and SAP. Share PSC Meetings	Partnership defined in ProDoc	Outcome 2	≈6,000 K
		Marine Highway	Electronic navigation highway in WIO; Search-and rescue capacity; prevention and monitoring of coastal and marine contaminants; oil spill contingency planning and capacity building; port state control; fisheries monitoring	Agreement for Cooperation	Captured in Minutes of PSC and Regional Project Coordination Forum	Outcome 3	20 K
IMO	UN Agency	Globallast	Monitoring and control of invasive species from ballast water through training, capacity building, management and governance; Global ratification of GloBallast Convention	Agreement for Cooperation	Captured in Minutes of PSC - Formal MoU under Preparation	Outcome 3	50 K
		MARPOL	Monitoring and control of pollution and impacts from marine shipping through training, capacity building, management and governance; Global ratification of MARPOL Convention and its Protocols	Agreement for Cooperation	Captured in Minutes of PSC - Formal MoU under Preparation		
FAO	UN Agency	EAF Nansen Project	Strengthening regional and country specific efforts in poverty reduction and food security through sustainable fisheries management through the application of the ecosystem approach (including capacity-building, data collection and monitoring, supporting policy development and management, and contributing to an expanded knowledge base)	Written Agreement for Cooperation - Sit on each other's Steering Committees	Direct Bilateral MoU for Cooperation Signed	Outcome 1	

Entity	Description	Lead project or activity	Activities	Relationship with UNDP ASCLME	Formality	Related Project Outcome	Co-Funding, US$
IOC-UNESCO	UN Agency	ODINAfrica	Ocean data and information networking throughout WIO (and other) institutions: Development of high quality tools and products to support decision-making, management and governance of the marine and coastal environment 9(Forecasts, predictions, models, atlases, etc)	Agreement for Cooperation	Captured in Minutes of PSC and Regional Project Coordination Forum	Outcome 2	100 K
IUCN	Global Govt/NGO Network	Seamounts Project	Improving scientific knowledge and database for southern Indian Ocean seamounts; developing a comprehensive governance framework for marine biodiversity; developing an effective management strategy for offshore fish-stocks around seamounts as areas beyond national jurisdiction	Formal Partners in Seamounts Project - sit on each other's Steering Committees	Signed partnership in UNDP IUCN Seamounts Project Document	Outcome 1	750K
		Other expanded partnership opportunities	Development of assistance projects and activities to WIO islands on continental shelf management; Science-to-Governance capacity building and promotional workshops; WIO Alliances and Partnerships	Verbal Agreement on Partnership - MoU to be finalised	Bilateral MoU Under Negotiation	Outcome 1	40K
WWF	Global NGO	WIOMER & Tuna Projects primarily	Maintenance of the biodiversity and marine and coastal resources of WIO Marine Ecoregion through a coherent regional network of effectively managed MPAs. This includes the development of a regional strategy for biodiversity and marine resources management through an ecoregional approach; the support of existing and newly created MPAs; the development of a Regional Forum of MPA managers and an awareness and communication programme related to the importance of MPA. To contribute to sustainable tuna management in the Indian Ocean	Data set networking; Collaboration in publications; collaboration in development of MPA network project of IOC: Collaboration in ASCLME Strategic Action Programme for WIO	Formal bilateral MoU signed	Outcome 1	50 K
EU	Econ/Dev Commission	ReCoMaP	Enhancing monitoring, conservation and sustainable management of coastal and marine biodiversity and natural resources; capacity building; awareness building in various sectors and at various levels; development of regional policy consensus	Data capture for MEDA-TDA on Fisheries monitoring systems, needs and databases; Mariculture planning and monitoring; Artisanal Fisheries Data Surveys and Fisher Migration; Marine & Coastal Environmental Management Project; District-level ICZM planning & support; General data needs assessment as part of ODINAfrica regional review	Captured in Minutes of PSC and Regional Project Coordination Forum	Outcome 3	

Entity	Description	Lead project or activity	Activities	Relationship with UNDP ASCLME	Formality	Related Project Outcome	Co-Funding, US$
SWIOFC	Fisheries Commission	SWIOFP	To promote the sustainable utilization of the living marine resources of the South West Indian Ocean region, by the proper management and development of the living marine resources, without prejudice to the sovereign rights of coastal States and to address common problems of fisheries management and development faced by the Members of the Commission.	SWIOF Commission acts as the Steering Committee for the SWIOF Project. As such ASCLME directly engages with both entities. The Scientific Committee of SWIOFC will act as the Peer Review group for the artisanal/subsistence and community-based fisheries components of the ASCLME project	Joint PSCs and formal Coordination through ProDocs	Outcome 1	
SIODFA	Private Sector	Seamounts	Southern Indian Ocean Deepwater Fishers Association; Working with UNDP/IUCN on management strategies for seamounts;	Partners on Steering Committees (ASCLME, Seamounts)	Captured in Minutes of PSC	Outcome 3	
IOTC	Fisheries Commission	Various	The IOTC is an intergovernmental organization mandated to manage tuna and tuna-like species in the Indian Ocean and adjacent seas. Its objective is to promote cooperation among its Members with a view to ensuring, through appropriate management, the conservation and optimum utilisation of stocks and encouraging sustainable development of fisheries based on such stocks.	Verbal communications on fisheries issues, especially in Areas Beyond National Jurisdiction. Implicit agreement to cooperate	Verbal agreements on cooperation and data sharing. More formal MoU would need to be negotiated with and through SWIOFC	Outcome 3	
Nairobi Convention	Reg. Conv Secretariat	Various	Marine Environmental Regional Agreements (Not fisheries); Management policies for coastal and marine resources; Data Coordination	Formal member of ASCLME Steering Committee	Partnership defined in ProDoc	Outcome 3	
African Union	Intergov. Organisation	NEPAD	The New Partnership for Africa's Development is an economic development program of the African Union. NEPAD aims to provide an overarching vision and policy framework for accelerating economic co-operation and integration among African countries. NEPAD's four primary objectives are: to eradicate poverty, promote sustainable growth and development, integrate Africa in the world economy, and accelerate the empowerment of women	Formal member of ASCLME PSC	Partnership defined in ProDoc	Outcome 3	
African Union	Intergov. Organisation	AMESD	Space technology for fisheries management; monitoring of fisheries resources; Observational data for ocean, weather and marine safety	Verbal communications and cooperation but no formal partnership as yet	No formal partnership	Outcome 3	

Entity	Description	Lead project or activity	Activities	Relationship with UNDP ASCLME	Formality	Related Project Outcome	Co-Funding, US$
SADC	Econ/Dev Commission	N/A	The SADC Mission is to promote sustainable and equitable economic growth and socio-economic development through efficient productive systems, deeper co-operation and integration, good governance, and durable peace and security, so that the region emerges as a competitive and effective player in international relations and the world economy.	Within SADC's RISDP the region has identified such areas as food and water and human resources development which overlap with the aims and objectives of an LME approach, ecosystem-based management and the ASCLME project	Verbal partnership agreement and Observer status on ASCLME PSC	Outcome 3	
WIOMSA	WIO Science Consortium	Various	A regional, professional membership organisation; promoting educational, scientific and technological development of all aspects of marine sciences throughout WIO. Awards grants under Marine Sciences for Management (MASMA) and Marine Research (MARG) programmes	ASCLME and WIOMSA cooperate on many fronts. WIOMSA is providing the peer-review capacity for ASCLME's MEDA-TDA process and the two bodies will be working closely together on developing a Science-to-Governance strategy for WIO region	Observer on ASCLME PSC	Outcome 1	
NOAA	US Govt	ATLAS/RAMA Ocean Atmosphere and monsoon early warning network. General capacity building	The National Oceanic and Atmospheric Administration is a scientific agency within the United States Department of Commerce focused on the conditions of the oceans and the atmosphere. NOAA warns of dangerous weather, charts seas and skies, guides the use and protection of ocean and coastal resources, and conducts research to improve understanding and stewardship of the environment.	NOAA and ASCLME have a strong and growing partnership in WIO. ASCLME provides a platform (vessel) for deployment and maintenance of equipment for climate change and ecosystem variability measurements along with scientists while NOAA provides equipment and technicians. This has now been expanded and captured under a new Comprehensive Agreement which focuses on Ecosystem Assessment and Monitoring; Ecosystem-Based Management of Fisheries; Translation of Data Products, Modelling; and Best Lessons and Guidance on Adaptive Management and Policies	Formal MoU signed between NOAA and UNDP for mutual support and assistance within WIO LMEs	Outcome 1	3,100K
CLIVAR	UN Agency Consortium (WMO/IOC/ UNESCO)	IndOOS	Climate variability and prediction; Climate research and forecasting in Indian Ocean; Research Array for Monsoon Analysis and Prediction (RAMA); Moorings, floats, drifters and tide-gauge network	ASCLME is partner in the Clivar Indian Ocean Panel and responsible for deployment of RAMA moorings and other equipment	Through the UNDP-NOAA MoU and membership on Steering Committee	Outcome 1	

Entity	Description	Lead project or activity	Activities	Relationship with UNDP ASCLME	Formality	Related Project Outcome	Co-Funding, US$
NIOZ	Dutch Govt	LOCO	Long-term Ocean Climate Observation; studies of variability of Indian Ocean climate modes and variability: heat transport, effects on global climate and weather systems	NIOZ and ASCLME have an agreement to cooperate in the deployment and maintenance of LOCO moorings in WIO region, and to share related data	Verbal agreement. MoU under development	Outcome 1	500 K
IRD	French Public Research Institute	MESOP/MESOBIO/CORIUS	Influence of mesoscale dynamics (eddies) on biological productivity of the seas; primarily working in Mozambique Channel; Mapping/GIS activities in WIO; Monitoring of exploited marine ecosystems	IRD and ASCLME are direct partners in a number of activities related to measurement and monitoring of productivity in WIO as well as mapping of critical habitats and overall monitoring of the LMEs	Formal MoU signed between IRD and UNDP	Outcome 1	120 K
USNRL	US Govt	Quantifying Mixing Mechanisms in Strong Frontal Regions	NRL is the corporate research laboratory for the Navy and Marine Corps and conducts a broad program of scientific research, technology and advanced development.	The mutual goals are to quantify physical processes of diapycnal mixing across a major ocean front with a focus on mesoscale eddy stirring and cross-frontal water mass exchange by making use of new seismic oceanography methodology that provides high lateral resolution (order of 10 meters), full water column sections of isothermal fine-structure	Verbal Agreement and research cruise planned for late 2010. Formal MoU to be adopted	Outcome 1	450 K
SAIAB/SAEON	SA Govt	African Coelacanth Ecosystem Programme	Oceanographic and marine ecological sampling and monitoring on continental shelves of east coast of southern Africa; Pre-cursor of ASCLME	ACEP effectively provides the South African scientific arm of ASCLME. Through ACEP, ASCLME has access to SA Research Vessels, ROVs, Inshore training equipment, etc. ACEP also funds and provides the ASCLME Cruise Coordinator	Defined in ASCLME Project Document. Long-Term MoU under development as part of ACEP III	Outcome 1	970K[5]/ 6,050K
Univ. of Cape Town	University	Oceanography and Capacity Building	Primarily in the field of Oceanography in terms of Agulhas Current. Also active in Capacity building and training	Senior Staff member of UCT Oceanography Department is Principal Oceanographic Advisor to ASCLME. UCT also provides a 3-week intensive Ecosystem Assessment training course for the ASCLME participating countries, including field training on research ships	By Direct Contract	Outcome 1	
Univ. of Brit.	University	Cost Benefit Analysis	Primary overlap is in area of fisheries resource valuation and cost benefit analysis	Senior UBC staff member working directly for ASCLME to lead a WIO Marine	By Direct Contract	Outcome 1	30 K

[5] This estimate was provided by the PCU, however, according to a more precise estimate of ACEP representatives (Section 4.7 on page 37), the actual in-kind contribution is at the level of US$ 6.05M.

Entity	Description	Lead project or activity	Activities	Relationship with UNDP ASCLME	Formality	Related Project Outcome	Co-Funding, US$
Columbia				Ecosystem Cost Benefit Analysis			
Univ. Royal Holloway	University	Fisheries Population Genetics	Have an active group working on phylogenetics and geographical population distributions in the marine environment	Assisting ASCLME participating countries in genetic population studies of critical marine resources throughout the western Indian Ocean with a view to improve management of coastal fish stocks in the region	Formal adoption of partnership at 2010 Steering Committee. MoU under development	Outcome 3	
Rhodes University	University	Capacity Building and Training in International Waters and LMEs	Have a well-know Department of Ichthyology and Fisheries Science and do a lot of biological work in the Southern Oceans. Currently developing a Type 1 UNESCO University on campus for Water Resource Management	Rhodes is currently finalising an MoU with IW:LEARN to act as the regional Hub for sub-Saharan Africa IW projects (including LMEs). Rhodes already provides strong support to ASCLME through Capacity Building and Training	MoU with ASCLME and GEF IW:LEARN about to be signed	Outcome 3	
The conservative assessment of new co-funding leveraged through newly-adopted partnerships, US$						12,180 K/**17,260K**	
GEF Funding for the ASCLME Project, US$						**12,220 K**	
TOTAL, US$						24,400K/**29,480K**	

4.2.1. The First Western Indian Ocean LMEs Stocktaking Meeting

45. The First GEF Regional Stocktaking Meeting (STM) was held in Nairobi, Kenya, on March 29 2010, back-to-back with a Conference of Parties to the Nairobi Convention. The purpose of the STM was to (i) to discuss the objectives and benefits of an Ecosystem-Based Management (EBM) approach for the LMEs based on the TDA/SAP approach; (ii) to review the current status of development of such approach; and (iii) to reach consensus on the roadmap for WIO EBM Programme, at the highest policy maker's level.

46. The key strategic outcomes of this meeting were related to the need for:

- Strengthening regional and national ocean governance. The comprehensive policy and governance assessment being carried out by the ASCLME Project should proceed and inform national governments and regional agencies specifically the NC, SWIOFC and others.
- Developing and establishing a Western Indian Ocean Sustainable Ecosystem Alliance (WIOSEA) based on the principles of ecosystem-based management, which will ensure that the efforts and inputs of all stakeholders are captured and evolved into an effective regional management and governance system for WIO LMEs.
- Immediate implementation of the WIO-LaB SAP, while the wider LME-based SAP is being developed by the ASCLME (leading) and SWIOFP (Commercial Fisheries related issues).
- A follow-up on stocktaking meeting decisions by convening meetings of/with high level government representatives, regional bodies and other stakeholders such as NGO and the private sector to advise on policy and governance, TDA, and SAP.

47. Decisions of the 1st STM, in particular those related to the establishment of the WIOSEA, are recognised by the Evaluator to be critical for further implementation of the ASCLME Project. Since the Project plays a coordinating role, the final integrated TDA and SAP can not be effectively finalised until inputs from all three projects are provided. Thus, timing of delivery of the key results by each of the three projects is the key limiting factor for the whole process (see Section 5.3.3 for details).

4.3. Coordination within ASCLME Programme (ASCLME, WIO-LaB, SWIOFP)

48. As introduced above, the ASCLME Project is one of three projects integrated within an umbrella Programme, the Programme for the Agulhas and Somali Current Large Marine Ecosystems, or the ASCLME Programme[6].

49. The Programme was designed to include, in addition to the ASCLME Project, two parallel projects; one that addresses land-based sources of pollution, implemented by the United Nations Environment Programme (UNEP), the West Indian Ocean Land Based Sources of Pollution Project (WIO-LaB); and another one that builds knowledge for the purposes of managing industrial/commercial fisheries, the Southwest Indian Ocean Fisheries Project (SWIOFP) implemented by the World Bank (WB). The overall goal of the Programme has been institutionalisation of cooperative and adaptive management of the two LMEs. A phased approach was planned to progressively build the knowledge base and strengthen technical and management capabilities at regional scale to address transboundary environmental concerns within the LMEs. A further objective of the Programme was to build the political will necessary to support abatement activities and leverage sufficient financial and human resources to support ecosystem level management needs.

50. Interaction established between the three projects varies in terms of level and topics of cooperation. There is a lot of synergy between the ASCLME and SWIOFP project, particularly, within the TDA development process. Despite the fact that all three projects (implemented by three different GEF IAs) according to Project Documents are expected to develop a TDA and a SAP, there is common understanding by the projects and countries that those are to be eventually integrated into a single document. Moreover, as it is currently recognised by all international and local stakeholders and

[6] A number of interviewees were unhappy that both the Programme and Project have same title - ASCLME. This causes misperception of both Programme and Project issues.

participating countries, the final responsibility of developing regional TDA and SAP lies with the ASCLME Project. This has been officially confirmed at the last STM in Kenya. However, the decision to develop both regional documents by the ASCLME Project has implications in terms of timely delivery of the TDA and SAP (see Section 5.3.3). For instance, a good example of the complementarity of sister projects would be the need to address fisheries issues within the future SAP. The SWIOFP mainly deals with offshore and inshore commercial fisheries, whereas the ASCLME project is addressing inshore fisheries and artisanal sector through its coastal livelihood assessment component. This means that if the future SAP is void of either of the two - the overall document will be deficient.

51. Close cooperation was established by the Project with the WIO-LaB Project as well. The 2nd PSC meeting was held back-to-back with those of the WIO-LaB Project and SWIOFP. However, the WIO-LaB Project's Phase I was completed in 2010, the project had delivered a TDA and SAP for land-based activities. A new phase has not been started. Representatives of the Nairobi Convention, as the primary beneficiary of the WIO-LaB Project, are regularly contacted by the ASCLME Project and take part in PSC meetings. Inputs provided by the WIO-LaB's TDA and SAP are integral parts of the future regional SAP which falls under responsibility of the ASCLME Project. Another example of projects' inter-dependence would be issues related to coastal activities. ICZM, coastal land-based issues are not directly addressed by the ASCLME[7], though are life-defining issues for the local communities (tourism, fisheries and mariculture, agricultural practices, etc.). Another example would be establishing cooperation mechanisms with private sector (e.g. PPPs). The WIO-LaB had some successes in private sector involvement in Pemba, South Africa, and Madagascar. There is no appropriate regional platforms for PPPs but future opportunities for private sector participation in SAP implementation activities (developed within WIO-LaB) could include wastewater collection and treatment and sustainable coastal tourism. The ASCLME Project, in turn, does not directly address these issues.

52. According to the Evaluator's personal observation confirmed during interviews held at and after the PSC meeting in Tanzania, the three sister projects complement each other quite well from thematic and scale points of view. A strength of the ASCLME project as a recognised regional 'heavy-weight' does not exclude the current low awareness of this very project at the local community level (except a limited number of demonstration sites within the DLIST component). On the other hand, the SWIOFP project is well recognised at and focuses extensively on the local level in the countries but has much less role played at the global or regional level. Similarly, as mentioned in the paragraphs above, the ASCLME project has not yet involved to a needed extent the private sector, which had been done by the WIO-LaB project before it was completed. According to decisions of the 3rd PSC special activity of the ASCLME Project will be also addressing private sector engagement issues.

4.4. National Level Arrangements

53. Project operates at the national level through the National Focal Points (NFPs), the officially nominated country representatives. All nine countries including Somalia have NFPs appointed and actively workinng. All NFPs (or their substitutes) have been interviewed by the Evaluator during MTE (See Annex C).

54. During interviews NFPs expressed concerns that communications between PCU and national coordinators (D&I, Cruise Coordinators, CB&T coordinators, etc.), as well as with deployed national consultants/experts sometimes leave out the NFPs. This results in insufficient awareness of the progress of individual activities and lack of country buy-in at the level of NFPs.

The MTE recommends that a mechanism is developed how to keep the NFPs involved more closely in the period between PSC meetings. Since PSC meetings are held quite rare (once in 14-15 months!), the meetings only can not ensure proper informing and involving of national representatives in project activities. Such an involvement is critical for the Project in the last two years of Phase I, when negotiations within the SAP development take place.

[7] Only some demonstration sites of the D-LIST component of the project addresses those.

Responsibility	*Task*	*Time frame*	*Deliverable*
PCU and NFP	Develop and agree on additional cooperation mechanisms and support to NFPs in implementing their duties as national country representatives.	Jan 2011	A positioning paper
PCU	Ensure proper informing and reporting to NFP on progress of major activities frequently enough to keep them involved. This should take place in the period between PSC meetings.	Jan 2011 - end of project	Project/national reports to NFPs

4.5. Project Management

55. Based on interviews held, the MTE testifies good level of support and trust to the Project Coordination Unit (PCU) as a whole and each of its staff individually by all stakeholder groups' representatives. The countries appreciate technical support provided by the PCU officers with no exception. A number of stakeholders commented on the high speed with which the management structure was put in place and the efficiency with which it operates, particularly in handling day-to-day administrative and political issues. This has encouraged early buy-in from various ASCLME-related organisations and stakeholders. This should also been seen in context of the fact that a number of stakeholders were concerned that the PCU had been under-staffed and trying to undertake too many activities with too few resources. However, serious concerns were expressed about an often slow processing of certain administrative issues like contracts, payments, etc. This was, as far as the Evaluator found out during interviews, caused by inadequate performance of FA of the project followed by her leaving the project and quite long procedure of finding a proper candidate for replacing this position. This situation is discussed in Section 4.6 on page 36. There is a strong confidence of the Evaluator that this situation is being currently addressed as a mater of the highest priority by both UNOPS as the EA and the newly appointed FA of the PCU.

4.5.1. Established Institutional Structure

56. The 1st PSC meeting adopted a new organisational structure proposed by the PCU. Further, at the 1st STM in Nairobi (March 2010) some adjustments have been proposed. The final institutional structure of Project management bodies includes (Figure 2) the following:

1. Policy Advisory Committee[8](PAC) which has evolved from the 1ST STM in Nairobi
2. Coordination Group (COG)[9] - 3 coordinators in each country with an overall Regional Coordinator based at PCU (addressing Cruise, Data & Information; and CB&T Coordination).
3. Project Steering Committee (PSC)
4. Inter-Ministerial Committees (building on existing IMCs in each country as per the WIO-LaB project)
5. Project Coordination Unit (PCU) – Hosted by the South African Government and based in Grahamstown
6. A Cruise Coordination Group (CCG): This group ensures the most efficient use of ship's time amongst the Projects within the Programme. It also coordinates the inputs from individual national cruise coordinators.
7. A number of regional Working Groups (MEDA/TDA/SAP, CLA, CBA, CB&T).

4.5.2. Programme Policy Committee (PPC)

57. PAC is a higher level committee to play a regional coordination role. The format of the PAC is similar to the proposed WIOSEA (Section 6.1.4). The PAC is to advise and provide guidance at the policy level towards the development of effective regional TDA and SAP and further implementation of the measures included in the SAP. The level of representation in this PAC is at the DDG or PS level

[8] PAC was introduced at the 1st STM (2010). PAC has replaced the Programme Policy Committee (PPC) as per Project Document.
[9] COG replaced the Programme Technical Advisory Committee (PTAC) as per Project Document.

or above. All key regional and global players like Conventions, WWF, IUCN, private sector are also represented.

4.5.3. Coordination Group (COG)

58. COG is a technical COordination Group comprising the three regional Coordinators for CB&T, Data and Information, and Cruises. Besides, the three national coordinators for the same activities in each country are also members. ReCoMap, SWIOFP, and WIO-LAB (now represented by Nairobi Convention) are also usually invited to participate in COG meetings.

4.5.4. Project Steering Committee (PSC)

59. Project Steering Committee (PSC) is the key management body of the ASCLME project at the executive level, whereas Project Coordination Unit - at the implementation/operational level. PSC meets on an annual basis.

60. PSC consists of:

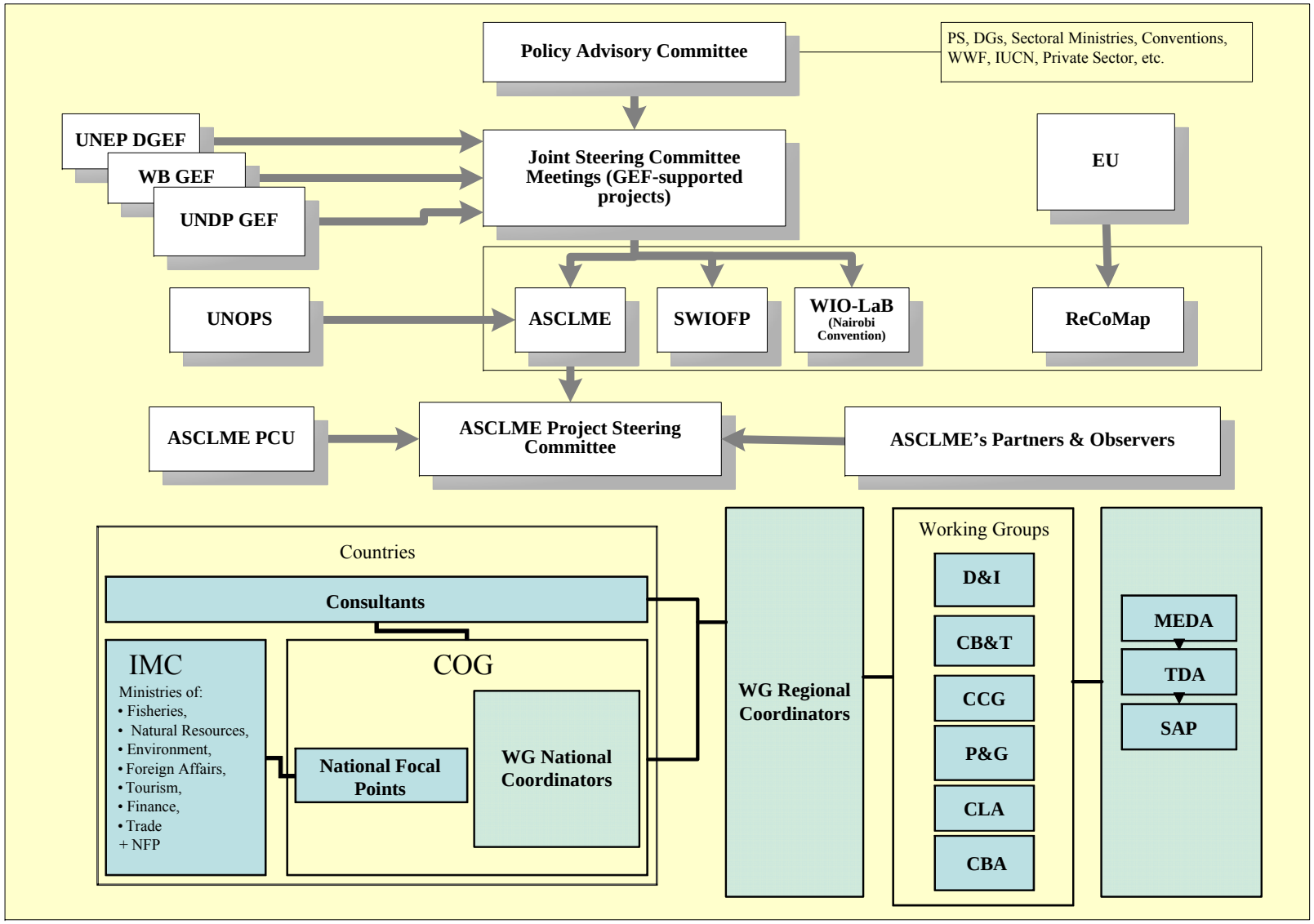
- A core membership - one representative from each GEF eligible Country, one representative from ACEP, UNDP, NEPAD, GEF, UNOPS and the Nairobi Convention, and the Project Managers of the other regional Sister projects under the ASCLME Programme (WIO-LaB, SWIOFP) as well as ReCoMaP. PSC also agreed that Somalia should have a special status as a Country Observer.
- A stakeholder membership - additional observer members as agreed by the PSC Core Membership. This include bi-lateral donors providing co-finance (e.g. France, Norway) as well as technical agencies (e.g. NOAA, FAO), and anyone else invited by the PSC to attend such as new partners including WWF, IRD, SPFIF, etc.

61. Since inception of the project PSC met 3 times (Jan 2008 in South Africa; March 2009 in Seychelles, and Sept 2010 in Tanzania). Despite the annual basis of PSC meetings, actual intervals exceed a year being 14 months between the 1st and 2nd meetings and 18 months between the 2nd and 3rd meetings. This tends to reflect the fact that all but first PSC meetings have been held jointly with either WIO-LAB or SWIOFP. The joint group becomes very large (often over 70 people) and, consequently, costs of such meetings are quite high. Preparation of the Project team, international/local consultants, national FPs, observers and other parties is good. Handouts and meeting documents are properly prepared in advance and distributed at registration. The meetings normally accommodate about 45-50 participants from the countries and various organisations.

62. In terms of stakeholder representation witnessed by the Evaluator there was a disproportionally small number of participants from local level non-governmental sector (grassroot level NGOs, local communities, private sector). The Mid-Term Evaluator participated in the 3rd PSC meeting and experienced a good working atmosphere and friendliness at that meeting. Despite the fact that the meeting comprised of representatives of the Project countries, a series of partner international organisations, sister and partner projects, etc. the high level of detail during discussions testified to very close cooperation on regular basis between the Project and corresponding stakeholders.

63. This was not an exception, at every PSC meeting a series of important technical and political issues are discussed in detail. The decisions made provide PCU with clear guidance for the next reporting period. For instance, resolutions of the 1st PSC meeting included 33 items for further action, the 2nd - 30 items, and the 3rd - approximately 20 items (minutes are still being finalised by PCU). These numbers indicate a high level of project dynamics and the effective feedback mechanism between the PCU and PSC members/observers. The PCU progress reports prepared for PSC meetings contain a detailed report on fulfilment of previous meeting's decisions.

Figure 2 Established Institutional Structures



64. Undoubtedly, the joint PSC meetings are represent considerable financial burden on the Project budget. Nevertheless, the effectiveness and outcomes of these meetings provide valuable guidance for the project(s), on the one hand, and these meetings are a good opportunity to take stock and report on progress achieved, discuss outstanding and emerging issues, and for all project stakeholders to get together and discuss issues requiring attention. It is also a cost-effective way, since a number of costs are shared by the sister projects.

The MTE recommends that:

1. A better representation of non-governmental sector including private sector from local level of the countries is ensured at PSC meetings.

2. Since intervals between PSC meetings significantly exceed a year and in the last 2 years of the project it is critical to provide an effective consultation platform (e.g. within the P&G component and SAP development process) for a wider group discussions, a mechanism is to be developed by the PCU and agreed with PSC member for an additional PSC-format forum. Such forum should take place in time between the regular PSC meeting. It can have a virtual nature or a teleconference format.

Responsibility	***Task***	***Time frame***	***Deliverable***
PCU	Ensure a better representation of grassroot non-governmental sector at PSC meetings.	Next PSC meetings	PSC meetings' LoPs
PCU	Develop a mechanism for additional consultations in PSC-format.	To be held first time in mid-2011	Forum documents and proceedings.

4.5.5. Project Coordination Unit (PCU)

65. The PCU responsible for project implementation is located in Grahamstown, South Africa, hosted on a partnership basis by SAIAB and provides a coordination and management structure for implementation of the ASCLME Project in accordance with the rules and procedures of UNDP, and executed in accordance with UNOPS regulations and rules. MTE recognises concerns of the participating countries related to the establishment of PCU in South Africa. A number of respective comments were made by country representatives during MTE interviews. On the other hand, such a decision, made by the UNDP, is well justified and was based, upon other things, on the proximity of ACEP, a major project partner, the project related human capacity available in South Africa, and the South African co-finance and in-kind contribution made available to the Project. Other factors influencing the placement of the ASCLMEs Project included basing of the sister projects under the umbrella ASCLME programme in Kenya (the WIO-LaB project in Nairobi[10] and the SWIOFP in Mombasa); and a further decision on the part of the UNDP to designate the UNDP Country Office in Mauritius as the lead Country Office for ASCLMEs project implementation. The UNDP assured this way that the combination of locations for programme activities would thus have a balance between Africa mainland and island participating countries.

66. The current complete team of PCU based in Grahamstown includes:

- Dr. David Vousden, the Project Director, responsible for day-to-day management of the Project.
- Ms. Lucy Scott, Data and Information Coordinator, responsible for coordination of and providing input to the scientific issues addressed within the activities of the ASCLMEs Project and the ASCLMEs Programme, maintaining close contact with scientific and technical level staff and consultants, assuring the timely delivery of the TDAs and SAPs, and supervising a series of other data and information related tasks.
- Mr. Magnus Ngole, Regional Policy and Governance Coordinator, responsible for P&G component implementation. Involvement of an esteemed regional expert as separate PCU

[10] WIO-Lab Project is hosted not by Kenya but by UNEP HQ in Nairobi.

officer for the development of a sound institutional and legislative modality for LME management shows the level of importance this issue represents to the ASCLME Project.

- Mr. James Stapley, the Communications and Technology (C&T) Coordinator, responsible for coordinating public participation, information and education activities of the Project, liaison with other projects/programmes to ensure coordination of these activities. In addition, the C&T Coordinator is responsible for the ICT systems of the Project, for working closely with the D&I Coordinator on issues of data management, archiving and dissemination throughout all three ASCLME Programme Projects and with other regional projects as necessary.
- Ms. Betty Itangishaka, the Administration and Finance Officer, responsible for managing day-to-day finances and accounting needs of the ASCLME Project, procurement/contracting of goods and services, and technical record-keeping.
- Mrs. Helen MacKenzie, the Executive Administrative Assistant, provides direct support to the Project Director and to the P&G Coordinator including day-to-day planning of schedules, travel, meetings, preparation and filing of documents; assistance with budget maintenance and review, and other general office support.
- Ms. Penny Visagie, the Administrative Assistant, providing support required for financial administration of the Project.

67. Besides, the PCU is also affiliated by a number of Regional Coordinators responsible for particular project activities at the regional level. These Coordinators lead the corresponding Working Groups (see Figure 2):

- D&I Coordinator (this role is played by Ms Lucy Scott, PCU Data & Information Coordinator)
- CB&T Coordinator, Prof. Warwick Sauer, Rhodes University
- Cruise Coordinator, Dr. Tommy Bornman, SAIAB/ACEP
- Coastal Livelihoods Assessment Coordinator, Dr. Tim Andrew.

4.6. Assessment of Financial Management and Planning

68. The level of financial planning during first three years of the Project can be considered **Satisfactory,** however, this single rating represents an integral evaluation of various aspects, rating of which would range from marginally satisfactory (e.g. the situation with PCU financial staff turmoil and performance in 2008-first half of 2010 resulting in a '*huge*'[11] backlog of contracts and payments) through to highly satisfactory (e.g. budget utilisation and delivery, as well as additional funding attracted). With a considerable effort from the corresponding Project staff and Agencies involved and with detailed budgets set for each project activity and output the negative results have been rectified to date and there is a '*100%*'[12] confidence at the moment in a smooth operation of the Project further on. There has also been room given to reallocate funds from one Output to another within each of the 4 objective areas (i.e. Outcomes), based on the changing circumstances and unforeseen costs or savings. This was particularly important while re-focusing a number of research offshore activities and introduction of new CB&T activities had to be made. Such budget re-allocation were operationalised in a sound manner with support of UNDP, UNOPS, PSC and the key Project stakeholders. Budget revisions are submitted to UNDP and UNOPS for approval as and if required. In addition to that, the project has succeeded to attract considerable additional funding through the partnerships established (Table 5).

69. As mentioned earlier in this report, effective financial management and planning has been a serious challenge for the project in late 2008-first half of 2010 caused by the staff disturbance and the consequent lack of human capacity to implement a series of tasks related to the financial administration of Project activities. Many of the interviewed Project stakeholders were quite unhappy

[11] Words used by a corresponding interviewee.
[12] *Idem*.

about slow processing of contracts and delayed payments. By September 2010 the aforementioned situation seemed to be resolved. The PCU had been staffed with a new Financial Administrator undergone required training by the UNOPS team in Copenhagen. All interviewed project team members and the UNOPS Portfolio Manager were very confident that the new financial officer of the PCU will very soon catch up with all delays and there will be no further major disturbance to the implementation of technical tasks from the supporting financial administration. In order to catch up with all lagging paper work and payments an inventory has been made by UNOPS and a plan has been put together. This plan is expected by both the PCU and UNOPS to be closely followed. At the moment, the position of FA Assistant has been re-advertised and will be soon filled in. It is believed that a competent assistant supporting the newly appointed FA will facilitate the overall improvement of administration and finances at the PCU.

70. In the same time the Evaluator is not certain that the current set up ensures that such a situation does not happen in future, since so much work load has been currently put on the new F&A Officer. Despite the fact that there is also an Assistant to FA, additional backstopping staff is recommended by MTE to be assigned to certain administrative tasks.

1. Rating - Satisfactory

2. The MTE recommends that the

Responsibility	*Task*	*Time frame*	*Deliverable*
PCU, UNOPS	Regularly check how closely the 'remediation' plan is followed.	Quarterly	Possible adjustments to the Plan, assistance

4.7. Realisation of Co-financing Commitments

71. Achievement of pre-agreed and additional co-financing of project activities significantly exceeds expected at the time of Project inception level. As already mentioned in this report one of the key co-sponsors of a number of activities within the ASCLME Project, the ACEP, was significantly re-focused at its Phase II and, therefore, failed to provide support to a series of regional activities being limited to South African waters only. Nevertheless, significant in-kind contribution has still been provided (US$ 6M in total[13]):

a. Secondment of the ACEP coordinator to the ASCLME project as the Regional Cruise Coordinator. Estimated Value: US$ 120K.

b. Four research cruises in South African waters onboard the R/V Algoa. Estimated Value: 130 days x US$ 20K = US$ 2.6M.

c. Provision of the R/V Algoa through the ACEP partners of DEA and DAFF at a discounted rate. Estimated Value: 120 days x US$ 13K = US$ 1,560K

d. Funding for offshore research projects in South African waters. Estimated Value = US$ 1.25M.

e. Acquisition of a research platform and Remotely Operated Vehicle (ROV) for Capacity Building and Training of ASCLME regional scientists. Estimated Value: US$500K.

f. Hosting of ASCLME (accommodation, internet facilities, etc.). Value = US$ 25K.

72. Besides, constant effort of the Project Director to develop close cooperation with existing but also emerging potential partners resulted in additional unforeseen financing leveraged by the Project. The level is exceptionally high and according to the estimates presented at 3rd PSC meeting rests at the level of US$ 17.3M. A more detailed breakdown of this estimate of additional funding attracted is presented in Table 5 [8].

[13] These estimates have been provided to MTE by the ACEP.

4.8. Monitoring and Evaluation

4.8.1. Internal Project M&E

73. Project monitoring and evaluation has been evaluated **Highly Satisfactory**. Monitoring and evaluation of Project activities have been undertaken in varying detail at four levels:

- Progress monitoring and reporting
- Internal activity monitoring and QA of deliverables
- Monthly PCU and Regional coordinators meetings
- Impact monitoring

4.8.1.1. Progress monitoring and reporting

74. Progress monitoring is good and has been made through quarterly and annual reports to the UNDP-GEF and UNOPS. PCU ensures that the UNDP-GEF Regional Technical Advisor's (RTA) office (the UNDP/GEF Regional Coordination Unit in Pretoria) receives Quarterly Operational Reports (QORs) (150-word fixed-format[14]) which are forwarded to the UNDP-GEF HQ and to the GEF. QORs provide brief updates on the status of planned activities, the status of the overall project schedule, the products completed, problems incurred, and an outline of the activities planned for the following quarter. These reports do not contain quantitative estimates of project progress, just qualitative assessments of progress made. The UNDP-COs generate their own quarterly financial reports from ATLAS. These expenditure records, together with Atlas disbursement records of direct payments, serve as a basis for expenditure monitoring and budget revisions, the latter usually taking place annually following the disbursement progress and changes in the operational work plan.

75. There is a number of reports and management tools introduced by UNOPS as an Executing Agency. The current suite of reports to be submitted by the PCU to UNOPS HQ in Copenhagen includes:

- Quarterly self-audit check-list
- Quarterly Review of Awarded Contracts (for Level 1 DoA holders)
- Quarterly Advance travel planning tool.

76. The Quarterly self-audit check-list was introduced in the 2nd quarter of 2010. It contains 142 questions split into 15 categories and includes project reporting on the following issues:

1. Petty cash management (16 questions)	9. Project budget management (10)
2. Payments and Expenditure management (14)	10. General project management (11)
3. Banking (10)	11. Asset management (14)
4. ATLAS Imprest Bank accounts (3)	12. General Business Mngt/Administration (13)
5. Security of the “Safe” (3)	13. Segregation of Duties (5)
6. Human Resources Management (16)	14. Financial reporting (3)
7. Adherence to ICA recruitments/ Policy (11)	15. Other (3).
8. Procurement (10)	

77. The Quarterly reports for DoA holders include information on awarded contracts. The report contains a quarterly review of informal cases (Note to the files (Awards)) made by UNOPS PAs having level 1 delegation of authority (DoA) to ensure that procurement principles have been met and sound procurement process has been followed. Project managers with DoA have to produce such reports as of Oct 2010. To MTE this report seems to be an internal reporting within UNOPS operation

[14] This is a usual format for such reporting. However, QORs provided by the PCU to MTE for review represented a more detailed description of project progress and outstanding issues (5-6 pages).

procedures and should be put together by the responsible staff in UNOPS, since all information required for such reports are provided by the projects regularly.

78. Quarterly travel planning tool - quarter reports/request for authorisation of staff travel.

79. Besides, at the first SCM in Jan 2008 the PSC felt the need for a continuous monitoring and evaluation of activities and deliverables to 'progress-chase' the Project Outputs which would be an on-going, project-driven process separate from the scheduled independent Mid-Term and Terminal Evaluations envisioned in the Project Document. According to a decision of the PSC the PCU agreed to develop a mechanism to this effect with consideration given to identifying a specific activity. The interim evaluations are planed in the periods between MTE and TE in order to ensure a more frequent update and evaluation of the project achievements against planned targets. Up to date one report of an independent consultant commissioned by the project has been prepared, discussed in detail with the project team and key project stakeholders, and presented at the 3rd PSC meeting in Dar Es Salaam (Sept, 2010). The main issues identified by this project self-evaluation have been carefully considered by MTE and incorporated in this report. Another self-evaluation is planned by the project for 2011-2012.

80. The annual work plans of the Project containing both a suite of activities and budgets are prepared by PCU and presented at and approved by PSC. Reports include detailed description of progress, identification of challenges and propose recommendations. The Evaluator appreciates the Project Director's decision to invite him to the 3rd PSC in Dar Es Salaam (Sept 2010). In his introduction Project Director encouraged participants to provide an open feedback on the Project-related issues to MTE, which drastically increased the level of participation and openness of stakeholders interviewed during and after this meeting. This in turn allowed to get a better understanding of the Project progress to date but also ensured a more accurate evaluation of progress, achievements and set friendly atmosphere for detailed exchange of opinions on outstanding issues.

81. The annual work plans are also presented to UNOPS for budget revision and approval.

4.8.1.2. Internal activity monitoring and QA of deliverables

82. Internal activity monitoring is implemented through regular evaluations of project achievements by the corresponding responsible PCU officers and/or consultants leading certain activities. Though not formalised progress of activities are carefully followed by responsible individuals. Detailed comments are provided by each responsible PCU officer or consultant on technical issues/activities. A very good example of such a feedback is a report prepared by PCU officers together with national D&I coordinators on MEDA process and deliverables [6].

83. In addition, the 1st Steering Committee discussed the need to ensure that all data used to develop the TDAs should be quality assured. In this context it was agreed that, wherever possible, any new studies or research carried out or supported by the ASCLME Project should be properly peer-reviewed. In relation to the expected oceanographic research cruises, it was considered to be imperative that any experts or specialists working on or with these cruises should be required to produce peer-reviewed publications from their studies and results.

4.8.1.3. Monthly Staff Meetings

84. PCU team and regional coordinators meet on a monthly basis to thoroughly discuss progress of all project activities. These meetings provide a good platform for monitoring of the project progress in implementing individual tasks.

4.8.1.4. Impact monitoring

85. Impact monitoring appears a little weak. Measurement of impact indicators related to global benefits and to the actual visibility on the ground is an important means to ensure that the Project is achieving the outcomes set out. The ASCLME Project reports on impacts related to global benefits through the annual APR/PIR process (See Section 4.8.2). The current set of indicators has been

recognised by all parties to be insufficiently robust and needs to be revised. The current report addresses this issue in detail in Sections 5.3.1−5.3.4 .

86. One of key aspects of the ASCLME Project is a voluminous CB&T programme (See Section 6.5.2). In the same time, the project has not been regularly evaluating the impacts such CB&T activities have had so far. The project reported to MTE about such evaluations early on in the project, however, this has not been done for the later activities. The MTE recommends to develop and undertake an evaluation of major capacity building events organised until now. This evaluation to be based on feedback from participants of the events and will help to objectively assess the actual impacts of these activities. For future CB&T events this should become a normal practice.

4.8.2. External Reporting

87. The Project Document presents the following major external monitoring provisions for the implementation phase: QORs (see paragraph 74), Annual Project Reports (APRs)/Project Implementation Review (PIR), Tripartite Review (TPR), and Mid-term and Final (Terminal) evaluations.

88. There has no TPR reported to MTE until present by the Project. However, all key stakeholders participate on annual basis in APR /PIR reporting.

89. There have been 3 APR/PIR reports prepared by the Project since its inception: in 2008, 2009, and 2010. The latter has been just submitted and has not been officially approved by UNDP at the time of writing this report. All APR/PIR reports are well prepared and include an adequate situation description of Project issues including both successes and challenges. The Performance Review of UNDP APR/PIRs in 2008 stated on the corresponding ASCLME Project's report: *'Clearly written with good summaries of progress that relate directly to the indicators'*. In 2008 the APR/PIR report was equally scored with another IW project as first out of 212 reports provided to and evaluated by UNDP. Similar high quality reporting continued in 2009 and 2010. Nevertheless, it should be re-iterated that the set of indicators included in the Logframe and thus evaluated against in the APR/PIR reports is recommended by MTE to be significantly improved and tailored to the current state of the Project and a better outcome-based reporting for the remainder of the project.

90. The MTE had been planned for mid-2010 and, consequently, implemented slightly delayed as per project workplan. However, such a delay is well justified by the benefit to coincide the MTE with the completion of APR/PIR 2010 report and the two major Project events in 2010, notably: the Regional Meeting of Technical Coordination Group representatives to discuss the TDA process (Nairobi, Kenya, 30-31 August, 2010) and the 3rd PSC meeting in Dar Es Salaam (Sept 2010). The project provided funds for the Evaluator to participate in both events. As a result, the Evaluator has not only had a better chance to evaluate project achievements to date but also to cost-effectively interview a very wide range of project's stakeholders and personally participate in the meetings.

4.8.3. Budget for Project Monitoring

91. One of criteria included in the *GEF Monitoring and Evaluation Policy* [1] is an adequate budget for M&E activities within the project. In this project an estimated indicative budget of over US$200K (1.7 % of the total budget) was allocated for M&E.

1. Rating - Monitoring and evaluation of the Project is evaluated as **Highly Satisfactory**.
2. The MTE recommends that

Responsibility	***Task***	***Time frame***	***Deliverable***
PCU	Develop and undertake an evaluation of major capacity building events organised until now. This evaluation based on feedback from participants of the events will help to objectively assess the impact of these activities.	Jan-March 2011	Responses from participants, proposals for improvements for CB&T activities in future
PCU	Include M&E provisions in future capacity building activities.	March 2011 - Project end	Responses from participants

5. Project Results

5.1. Project Contribution to Overall Development Objective

92. The overall objective aimed at undertaking an environmental baseline assessment of the Agulhas and Somali Current Large Marine Ecosystems to fill information gaps needed to improve management decision-making, and to ascertain the role of external forcing functions (such as the Mascarene Plateau and the Southern Equatorial Current). This information was intended to be used for developing a TDA and a SAP for the Agulhas Current LME, and a TDA and a SAP for the southern portion of the Somali Current LME.

93. The first two indicators presented in the paragraphs below relate to environmental baseline assessments and filling-in information and data gaps and are outcome-based, whereas the third indicator related to the development of a regional TDA and SAP[15] is more of a process indicator and refers to the process rather than an outcome. Nonetheless, all three of them show significant progress in the areas, which are within the Project's control. On the other hand, risks beyond Project control, a very dynamic situation in the region and progress of implementation of the sister-projects significantly effect the process of development and establishment of required mechanisms for production of the regional TDA and further endorsement and implementation of the regional SAP.

94. Indicator 1[16]. Environmental baseline assessments for the ASCLMEs.

There is a considerable change against the baseline. The project has been very active and productive in undertaking a series of activities addressing environmental baseline assessment for both the ACLME and the southern portion of the SCLME. The project has adjusted the focus of Outcomes/Outputs and, therefore, specific deliverables have been made. This is discussed in more detail onwards in the corresponding sections of this report.

95. Indicator 2. Fill information gaps in the two LMEs and ascertain role of Mascarene Plateau and South Equatorial Current.

A series of research cruises have been and are successfully undertaken throughout the Agulhas current region including the Mascarene Plateau area, and with new and significant information collected regarding the role and flow of the South Equatorial Current. A new partnership developed with NOAA (US National Oceanic and Atmospheric Administration) for permanent chain of ocean-atmosphere moorings to act as long-term monitoring and early warning systems. About 45 abstracts for publications accepted for the biennial WIOMSA meeting in Reunion in August 2009, as well as some other journals. However, the increasing threat of piracy negatively effected achieving the results specified in Project Document. A series of offshore research cruises have been replaced by inshore activities and studies, additional tasks have been developed. These are discussed in detail in Section 5.3.

96. Indicator 3. Develop TDAs and SAPs for the ASCLME.

MTE suggests to re-phrase this indicator to represent the actual project outcome, namely: the development of the technical basis, institutional mechanisms and political support for a sustainable ecosystem-based management in WIO. For instance, as reflected in minutes of the Inception Workshop: "*…the ASCLME Project was taking the correct approach in recognising that the TDAs and SAPs may represent the end deliverables from this project but actually represent the beginning of the overall LME management process and that this is an ongoing*

[15] Originally 2 TDAs and 2 SAPs were planned for development, one for the ACLME and the other - for the SCLME.
[16] The numbering of indicators is consistent with the revised at the Inception Workshop Logframe. Annual project reporting (PIR/APR 2008, 2009, 2010) has also been made against these indicators.

and long-term process that will need sustainability in terms of financing, long-term capacity, on-going monitoring and data/information collection, and political support" [3]. While achieving this development indicator the project had to adjust the classic TDA/SAP approach. Since there was not enough knowledge available in the region on state and dynamics of processes in WIO's ecosystems, an additional step was introduced into the whole process - the development of national diagnostic reports. Within the first two years of the project New Marine Environmental Diagnostic Analyses[17] (MEDAs) approach developed, work plan and budget were prepared and approved by PSC and UNDP/UNOPS. Originally, there was no budget allocated in the Project Document to this sort of activities. The approach to develop a MEDA for each country first then integrate them into an overall TDA has been successful and effective as recognised by UNDP and national stakeholders. MEDA development is still ongoing and expected to be finalised by 2010-end. Nevertheless, meeting the target for this indicator is one of the main challenges for the project. This is conditioned by the growing risk of piracy in a vast area within the project system boundary which makes a series of envisioned by the Project Document activities impossible to implement. Moreover, in order to finalise this task inputs from all three sister projects under the ASCLME Programme need to be incorporated into single regional TDA and SAP. The ASCLME Project has been very active so far in negotiating and consulting various regional and global partners on the modality of future institutional platform for both TDA and SAP. The platform has to incorporate all governance levels from the regional through national down to the local community level on the one hand, and also include a series of regional players, on the other hand. However, the Project Document and subsequent revisions do not include provisions for such activities. To summarise all above, the following actions have been taken by the project:

- Research activities in the piracy-risk zones were replaced by a number of tasks in inshore areas and desk-top studies (see Outcome 1 for details)
- Close coordination of all three projects in terms of delivery of expected results has been established (Section 4.2.1)
- Since the establishment of new institutional bodies, (a) Commission(s), for future SAP implementation will hardly be effective and supported by participating countries and international organisations (e.g. The Nairobi Convention, IOTC, SWIOFC, etc.), an adequate institutional platform needs to be developed to ensure future sound and sustainable in long-term collaboration for the ecosystem-based management in WIO (Section 6.1.4).

The MTE recommends that Development Indicator 3 is revised and rephrased to reflect the changed circumstances and aggravating risks (i.e. piracy) but also to account for impact/outcome of the project rather than an output. A series of individual outcome-based indicators are recommended to be added to the Project Logframe.

Responsibility	***Task***	***Time frame***	***Deliverable***
PCU	To revise Indicator 3 in order to account for: • Adequacy of information collected and effectiveness of filling existing knowledge gaps • Specific institutional platform for the implementation of a regional SAP for WIO • Agreement of the project countries and partners/stakeholders on further steps	ASAP	A set of individual indicators related to achieving the Development Indicator 3.

[17] A series of national diagnostic analyses.

5.2. Summary Evaluation

97. Overall, the Project entitled *Agulhas & Somali Current Large Marine Ecosystems Project (ASCLME)* is expected to achieve most of its major relevant objectives with insignificant shortcomings mainly caused by the factors beyond Project control. On the other hand, some objectives (e.g. establishing effective regional partnerships, leveraging and attracting considerable additional funding for project-related activities, building capacity in the region, etc.) have exceeding original expectations by far, and hence the MTE evaluates it as **Satisfactory**.

98. Key Project achievements include:

- The high quality of technical tasks and attempts of the PCU to quality assure all products significantly contributes to the positive image of the Project in the region and ensures application of the 'cutting edge' know-how and techniques. Particularly, this relates to scientific/research activities designed to fill identified gaps in knowledge of the processes in WIO LMEs. As regards to the ASCLME Project the studies implemented during the first three years have brought to light new unknowns. This, in turn, is stimulating research efforts beyond the scope of the current Project. A Capacity Building and Training Programme being one of cross-cutting components of the Project has been designed accordingly and supports research throughout the region.
- The institutional structures established by the Project are not exactly the ones laid out in the ProDoc, but in practice they effectively support the Project in achieving its main objectives and in fact demonstrate the application of the Adaptive Management approach by the Project. The structures play vital roles in steering activities carried out and promotion of the results achieved. For instance, the current cooperation with the PSC, which actively guides the Project towards achieving the overall goal, is a very good example with high potential for dissemination. The effective feedback mechanisms established has favourable implications for all parties involved, namely: the Project, participating countries, and various stakeholders.
- A strong Project team affiliated by the Regional Coordinators of corresponding thematic Working Groups is a pre-requisite for successful implementation of similar to the ASCLME multi-disciplinary regional projects.
- The Project has built a strong international and regional image and is catalysing cooperation in the whole WIO region. Everyone wants to be a part of 'success', more and more partners join in. Such situation eventually helps to build a sustainable partnership setup which is likely to exist and effectively function after completion of the Project. The current high-level support from the GEF to the Project is a key for the Project to be recognised at the highest political level in the countries. To this end, the 1st GEF STM's results leading the way to the establishment of a WIO Sustainable Ecosystem Alliance can not be overestimated and have already had immediate effects on the regional developments.
- The first three years of the ASCLME Project posed serious challenges for the team and participating countries in terms of how the adaptive management approach could be applied and how to keep the original targets in constantly changing environment whilst new threats emerge. It is considered a success that the Project succeeded not only to keep its original focus but continued moving fast towards achieving the ultimate goal - the establishment of a sound ecosystem-based management system in WIO. In order to be able to deliver the key outputs, the regional TDA and SAP, the Project has re-designed a number of research activities cancelled due to the piracy threat, introduced a series of additional steps into the classic GEF TDA/SAP approach, extended the level of involvement of science and communities at the national level, etc. This process is still not over. Unsynchronised implementation of the sister projects within the ASCLME Programme continue to constitute new challenges for the whole ASCLME Programme.
- The Data/Informational platform developed by the Project has very high potential for the regional use. Mechanisms and tools developed and installed by the Project have been widely recognised and are used by the countries.
- When it became clear that a number of research offshore activities could not be implemented, the Project on request of the countries and with full support from the PSC developed and is implementing a

series of inshore activities. For example, increasing number of DLIST Demonstration sites from 3 to 9 resulted in a better visibility at the local level. Besides, it is recognised as a good path for disseminating information about the Project and raising awareness at the local level in the countries. There was no additional budget provided for such activities to the Project. Ideally, certain level of contingency should have been given at the ProDoc development stage when additional activities were included in the Project without supplementary funding (i.e. DLIST). In case of the ASCLME, flexibility of concrete solutions leading to achieving the targets is a very good lesson to learn from. In addition, the Project considered a more extended use of alternative data gathering techniques, remote sensing, modelling, and GIS, to compensate for the cancelled offshore activities.

99. The main challenge areas identified by the MTE relate to:

- Synchronisation within the ASCLME Programme, i.e. implementation of the GEF Programmatic Approach, continues to represent a major challenge for the Project. Coordination of a number of critical activities and deliverables by sister projects is difficult and sometimes has negative implications for all projects under the Programme. Nonetheless, the current level of cooperation inspires all parties for further coming closer. For instance, joint events (e.g. PSC meetings) and closely coordinated activities (e.g. Policy & Governance) represent a good example of cost-effective arrangements, a win-win cooperation.
- The regional TDA/SAP required substantial additional effort leading to a risk of not achieving the main target of the Project on time. The ASCLME Project provides coordination mechanisms for the countries and international organisations in WIO. Since there is no single institution or constituency available in the region to take over the future responsibility for SAP implementation, such an institutional platform has still to be established. One of key decisions of the 1st GEF STM (Kenya, March 2010) was to adopt an announced at the meeting concept of the WIOSEA, which would in the long run be able to play the needed role of a regional coordinator. However, the WIOSEA is still more of a concept, and the ASCLME Project encounters, as a recognised regional player, the necessity to set up an effective consultation platform for wider group discussions. Such process will certainly take time and requires efforts not envisioned by the current project framework. This is why, one of vital activities for the near future (within the re-aligned ASCLME Project) will be the promotion of the WIOSEA at the regional and international level and the development of corresponding provisions to make it happen.
- One of MTE's concerns relates to the uncertainty of timely launching of the ASCLME Project's Phase II. The current momentum is so strong, as well as the regional image of the ASCLME Project as a regional champion and promoter of the ecosystem-based approach to LME management, that this image is transposed onto the GEF and its IW Programme. Failure to move the current project into the SAP implementation phase is considered by the MTE counterproductive not only for the ASCLME Project but for the GEF and its Agencies as well. As discussed further in this report, the most feasible option is to re-align the current Phase I and to ensure a smooth transition into Phase II. It is also recommended to keep the current technical team, who have proved to be competent, devoted and effective.
- The Project design has been changed a number of times resulting adaptive decisions of the management team and PSC to account for emerging challenges and requests of the participating countries. These adjustments have shaped up the Project to fit the current situation in the region. However, the Logframe and the key set of indicators the Project is reporting and hence evaluated against annually have not reflected such changes. There have been a number of attempts to do so, however, until now this has not yet happened. It is considered by MTE as a drawback and recommended to be addressed by the PCU as a matter of urgency. The next APR/PIR reporting needs to be made against a new revision of the Logframe.
- Administration and financing aspects of implementing project activities are very important for smooth operation and good image of projects. For the ASCLME Project this aspect became a stumbling block for effective operation of the office and administering of contracts in 2009-2010. Such situation resulted a change in staff of the PCU, residual effects of which were observed for an extended period of time. At the moment everything needed seems to be in place, however, significant efforts of the PCU and UNOPS as the Executing Agency are still required to remedy the situation completely.
- The Project needs to continue emphasising the importance of contingency planning and giving consideration to regularised adaptive and contingency planning discussions. The project, also through the decision of the Project Director to substantially increase the number of Nansen cruise days during year 1

of implementation, showed the capacity of the Project management team for contingency planning and moving quickly and opportunistically. Political uncertainties in the region, most particularly exemplified by the rise of piracy in the northern reaches of the project, will require a continuing attention to effective adaptive and contingency planning.

100. A summary evaluation of Achievements of Objectives and Planned results

Outcomes		Evaluation					
		HS	S	MS	MU	U	HU
Outcome 1	Information Captured for Development of the Transboundary Diagnostic Analysis						
Outcome 2	Long-Term LME Data Collection, Management and Distribution Mechanisms Established						
Outcome 3	TDAs and Strategic Action Programmes and Associated Sustainability Mechanisms in Support of an LME Approach are Adopted						
Outcome 4	LME Coordination, Communication, and Participation Mechanisms Established						
Outcome 5	Project Financing effectively delivered to support all Project Outcomes						

➢ An aggregated evaluation of the four technical Project's Outcomes [18] against the GEF-recommended evaluation criteria augmented with the four additional criteria as per MTE ToR based on responses provided during interviews and online/email survey:

Evaluation criteria	Ratings Provided by Stakeholders							
	HS	S	MS	MU	U	HU	X[19]	Total
Relevance	7	11	6	3	-	-	15	**42**
Effectiveness	5	12	9	2	2	-	12	**42**
Efficiency	3	21	6	3	-	-	9	**42**
Results	10	15	8	6			2	**41**
Sustainability	1	5	18	3	-	-	15	**42**
Impact	6	20	6	-	-	-	10	**42**
Stakeholder Participation	1	21	12	2	-	-	6	**42**
Country Ownership	2	10	9	7	4	-	10	**42**
Replicability	2	13	15	5	-	-	7	**42**
Total responses	**37**	**128**	**89**	**31**	**6**	**0**	**86**	**377**
% total responses	**9.8%**	**34.0%**	**23.6%**	**8.2%**	**1.6%**	**0.0%**	**22.8%**	**100%**

[18] Outcome 5 relates to financial operation and management of the project.
[19] The answers provided - Don't know/Unable to answer.

101. A summary evaluation by of Attainment of Outputs as per Revised Logframe

Component		Evaluation					
		HS	S	MS	MU	U	HU
Output 1.1	Offshore data review and collection	■					
Output 1.2:	Nearshore fisheries and ecosystem data collection		■				
Output 1.3:	Critical habitats data collection (e.g. nursery areas, spawning grounds, threatened/endangered species habitats)		■				
Output 1.4:	Invasive species and marine pollution data collection		■				
Output 1.5:	Persistent organic pollutants (POPs) baseline data collection			■			
Output 1.6:	Coastal livelihoods data collection		■				
Output 1.7:	Ecosystems approach cost-benefit analysis		■				
Output 1.8:	National and Regional level policy and governance assessment for ecosystem based management		■				
Output 2.1:	National data handling and management	■					
Output 2.2:	Regional data handling and management		■				
Output 2.3:	GIS and predictive modelling		■				
Output 2.4:	Remote sensing and multi-dimensional mapping		■				
Output 2.5:	Adoption of indicators and monitoring practices for an ecosystem approach		■				
Output 2.6:	Adoption of common fisheries policies and practices for nearshore and artisanal sector		■				
Output 3.1:	National Marine Ecosystem Diagnostic Analyses (MEDA) production		■				
Output 3.2:	Regional Transboundary Diagnostic Analysis (TDA) production and adoption	Not Rated (see Section 5.3.6.16 on page 78 for details)					
Output 3.3	Regional Strategic Action Programme (SAP) production and adoption	Not Rated (see Section 5.3.6.16 on page 78 for details)					
Output 3.4	Financial stability and partnerships	■					
Output 3.5	Capacity building and training for scientific and managerial sustainability		■				
Output 3.6:	Political ownership and sustainability		■				
Output 4.1	Community level communications and management		■				
Output 4.2	Stakeholder participation		■				
Output 4.3:	Media outreach		■				
Output 4.4:	Communications, education and private sector outreach and engagement		■				
Output 4.5:	ASCLME web site, newsletters and publications		■				
Output 4.6:	Coordination with ASCLME sister projects and other partners/programmes			■			

102. MTE re-emphasises that the revised structure of project Outputs has not been translated until the 3rd PSC meeting (Tanzania, 13-18 September 2010) into a set of performance and success indicators in the revised logframe of the project. In other words, within 3 years of implementation the project was reporting against indicators of success, which did not match the revised set of outputs and their deliverables included in the work programme. Some guidance of such indicators has been prepared as

a result of MTE. Once the appropriate indicators are developed, the revised suite is to be presented to the PSC members for their urgent consideration and approval.

5.3. Project Achievements by Individual Objectives and Results

103. This Section contains a detailed overview of project progress in each individual Outcome. In order to present the findings in a structured way, a summary table with a corresponding description is included in each Output-related section. The tables discuss the indicators included in the current revised project Logframe with detailed information (baseline, expected target by the end of the project, an estimated progress of activities at the Project's mid-term, and the expectancy of achieving original target. In addition, the tables also provide a summary of evaluation and MTE recommendations for addressing issues identified.

5.3.1. Outcome 1: Information Captured for Development of the TDA

104. The project made highly remarkable progress towards achieving objectives of Outcome 1 within the first three years. The project team have shown themselves very adaptive to quickly changing circumstances and emerging challenges. The decision made by the Project Director (i.e. increasing ship-based days in 2008) resulted *'in capturing more data than expected at the early stage of the project implementation and brought positive impacts on the overall project progress'*.[20] An important achievement was the strengthening collaboration with NOAA for LME monitoring resulting in significant co-finance additionally secured (estimated to over USD 1M) and also an increased likelihood of sustainability of the LME monitoring practices beyond the project life-time.

105. Outcome 1 of the project is the most advanced in terms of expenditures but also technical delivery, although the security problems within the northern area of the Project System Boundary (around northern part of Seychelles and offshore from Tanzania and Kenya) have severely reduced offshore ecosystem data capture effort. The growing risk of piracy has been indicated by representatives from the three countries as the key factor limiting research activities of the Project. The rating applied to this Outcome is **Satisfactory**, however, it would have been higher if only efforts of the Project team including scientific group (both national and international) was taken into account. The rating was lowered due to the fact that the research programme has been truncated as per Project Document and a number of initial research targets could not be met due to the risk of piracy in the offshore areas. The Project and its partners in the countries do try to provide conditions for research activities envisioned to happen. For instance, in order to provide security for the latest research cruise by R/V Algoa with an international research team onboard, the "*South African ship will be under armed protection and aerial surveillance from the Seychelles Coast Guard*"[21]. This was coordinated by the ASCLME project.

106. Research studies in at least 3 aforementioned out of 9 counties are to be whether re-focused or changed to exclude and/or replace offshore activities. Some country representatives expressed concerns during interviews related to the proposed alternative activities have been rather slow to start and the final results would still not be sufficient for the development of a sound science-based MEDAs. In the same time, countries' representatives acknowledged proactiveness and responsiveness of the Project team to meet the needs of the countries and also to involve regional scientists into the overall CB&T programme and ship-based activities. Besides, countries' representatives clearly showed a great deal of support to initiating a series of inshore data collection and monitoring activities. These are discussed in Section 5.3.5.3.

107. The increase of ship days from 30 to 119 days in 2008 was, on the one hand, a cost-effective way to implement research activities (because of predicted sharp increase of fuel costs) within the project but also helped to collect considerable amount of additional information early on in the project

[20] PIR 2008, DO Rating Worksheet, comments by UNDP Regional Technical Advisor.
[21] Article "Scientists brave pirate zone" from Sunday Times, October 10, 2010 [7] .

(in areas that are now closed to research vessels as they are considered to be too 'High Risk' by insurance companies) so additional time was won to process and analyse the data collected and to produce results which were used to compile national MEDAs. This was a commonly appreciated additional value-added justifying the decision made. A number of additional tasks/activities were supported as part of Project's response to managing risks related to the piracy situation and also to the inshore and community needs of the countries. The Coastal Livelihoods Assessment (Output 1.6), the Ecosystems approach Cost-Benefit Analysis (Output 1.7), the National and Regional level P&G assessment for ecosystem-based management (Output 1.8), as well as other components were added to the suite of project activities following the corresponding decisions of the 2nd PSC Meeting (2009).

108. Nearly all activities of Outcome 1 are implemented in accordance with work programme. Two areas that have been running a little late as of Sept-end 2010 but which are critical for the long-term sustainability of the Project include the Cost Benefit Analysis for the ecosystem approach and the P&G assessment. The project has concluded the contracting/selection processes for these two activities which demanded rigorous review under UNOPS contracting procedures. The P&G assessment is now underway.

109. Stakeholders of the project recognise the impacts of this Outcome as the most tangible so far. Extensive research and capacity building programmes are mentioned often by the stakeholders as outstanding achievements. Some of country representatives stressed that the joint targeted research programme of the ASCLME project "*re-activated marine research and monitoring*"[22] in their country. Another comment related to activities within Outcome 1 was that a wide range of information and data sets were generated resulting activities carried out. The data sets will form a fundamental platform in WIO for scientific and other inter-state cooperation including future ecosystem-based "*joint governance* (N.B. - of LMEs including ABNJ) *by a community of nations*"[23]. It has come out a number of times during interviews that the cooperation established while implementing technical tasks of this Outcome is the starting point of further wider cooperation between the countries of WIO and beyond.

110. Another critical point is a number of partnerships established between various regional players. The ASCLME Project has brokered a number of long-term interaction mechanisms to support similar developments in future beyond the Project activities. Due to the fact that WIO region is represented by developing countries, presence of a strong regional and global institution will be of utmost importance for the sustainability of impacts achieved by the ASCLME Project up to now. It is widely recognised in the region that scientific effort of the ASCLME Project is limited and targeted, however, its results provide important knowledge on the functioning and dynamics of variations within the ecosystems of the Agulhas and Somali currents' ecosystems but also around the Mascarene Plateau. Before the studies it had been "*so little known and understood*"[23] about processes in WIO[23]. The ASCLME's research programme is recognised to be "*instrumental to bringing the issues of ecosystems' functioning together and to generating the lacking knowledge*"[23].

111. There are significant knowledge gaps about processes in WIO, moreover, quite substantial territory has still not been covered by the ASCLME Project. Moreover, preliminary results of the ASCLME project's cruises revealed a series of new knowledge gaps. Nevertheless, there is a common agreement of scientists from the region that a close link between scientific research and governance establishment for the LMEs has to be established.

112. Summary evaluation of Outcome 1 against indicators currently included in the Logframe is given in Table 6.

[22] Exact wording used by certain individual stakeholder interviewed.
[23] Some results of the research activities proved the existing before knowledge wrong. For instance, in the Mozambique channel the currents were always understood as of a stream character, however, they have an eddy-pattern nature, which causes upwelling/downwelling phenomena so important for population distribution of fish and other aquatic organisms populations.

Table 6 Summary of Evaluation of Outcome 1

Indicator per Revised logframe	Baseline	Target by Project end	Estimated Status at Mid-Term	Expected Target to Be Achieved	Comments	Indicator Rating
4. Number of targeted cruises to fill knowledge gaps	None	16 targeted cruises	4 cruises, 60%	Target will be achieved or exceeded by 2011-end.	The research programme of ASCLME was re-designed and approved by PSC. The total amount of cruises within ASCLME is seven (21 research legs).	HS
5. Filling knowledge gaps in the Project area	No capacity	Gaps filled in 6 key areas on ASCLMEs	3/7 cruises, 43%		Some gaps were not filled due to the piracy threat in the northern project area.	S
6. Marine based assessments of POPs loadings undertaken	None	Baseline information on POPs identified by Stockholm Convention have been undertaken in the ASCLMEs	10%	Baseline info on POPs identified by Stockholm Convention	This study was considerably delayed against work programme due to unavailability of co-funding partner until end of 2010. Nevertheless, the project is initiating corresponding activities in late 2010- early 2011. It is expected that final result will be delivered by mid-2011 enough in advance for input into the TDA/SAP process.	S
1. Outcome 1 Rating - Satisfactory **2. The MTE recommends** that scientific research activities implemented within the project are to be reported and re-assessed in terms of the importance for decision-making process. Expected results and how they will contribute to an effective LME management process need to be conveyed to the countries at their political level to minimise the current perception that undertaken research is not oriented at the applied goals only. Particular attention is to be paid to communications with countries suffering from limitations of research activities and impossibility to fill knowledge in their waters due to the piracy situation.						
Responsibility	***Task***			***Time frame***	***Deliverable***	
PCU, Scientific Team	Review of expected results of research activities and their links to knowledge gaps preventing the sound management of the LMEs.			Urgent	An overview (or a positioning paper) of/on expected results (not only a number of publications) and how the results will be used A in TDA/SAP process and B in longer-term for the LME management.	
PCU, Scientific Team	Further discuss alternatives of offshore activities for the countries affected by the piracy situation, consultations with the countries.			By 2010 end	An agreed workplan and a list of expected deliverables of the research in all countries, with particular focus on the countries affected by the piracy risks.	
PCU, PSC	Revise current, develop and adopt a series of outcome-based indicators to be included in Logframe related to: • Specific knowledge gaps filled or not filled, as well as additional knowledge gained against original plans • Sustainability of data collection/processing/storing mechanisms put in place by the project • Partnerships established to support the countries beyond project life-span			ASAP	A corresponding section and a number of indicators included in the Final project Logframe to be developed and adopted by PSC.	

5.3.2. Outcome 2: Long-Term LME Data Monitoring, Processing and Distribution Mechanisms Established

113. Outcome 2, rated by the Evaluator **Highly Satisfactory,** mostly includes activities related to information and data handling at national and regional levels, remote sensing, data processing and modelling, as well as GIS and mapping. The only exception is Output 2.6 related to the development and adoption of fisheries policies and practices for nearshore and artisanal sector, which, however, also has a number of information- and monitoring-related tasks. Often, activities of Outcome 2 are cutting across a number of Project's Outcomes, and the corresponding links have been effectively established by the PCU with these Outcomes. Mechanisms and tools set up by the Project have been recognised and used on a regular basis by the countries. Despite minor complaints during interviews about data accessibility at the established server by certain countries, which is considered by the Evaluator as a purely technical task, and, moreover, it has been dealt with by the PCU already, data sharing platforms are quite solid, and information collected is properly organised, stored and made available to interested parties. Access to data is regulated by the Data Policy developed by the Project.

114. National and Regional Data Handling develops according to workplan. Support to each national data handling institution continues and data processing from research cruises and coastal work has also been initiated and progresses. Country counterparts/coordinators submit annual reports to the MEDA-TDA [6] process on national data handling and management. This in turn helps to advise the PCU on further needs and requirements for minor budget amendments. The current deadline for the synthesis of all national data handling and management needs in terms of a final report from each country for the MEDAs is December 2010, and the PCU expect all countries to meet this deadline. The Project has hosted two regional COG (ASCLME National Coordinator's Group) meetings so far in 2008 and 2009 and has just (Aug 30-31, 2010) hosted the second regional meeting in Nairobi of all D&I Coordinators. Another meeting was held in Mombasa, Kenya, in July 2010 to discuss technical aspects of programme-level coordination of data management activities attended by a number of key project's partners (ASCLME, SWIOFP, WWF, UNEP, ODINAFRICA and CORDIO).

115. A road-map and workplan for spatial digitising of data has been drafted for GIS and Predictive Modelling activities. National spatial data reviews have been undertaken by all countries as part of the MEDA work (Outcome 3). A GIS and data management training course was carried out with co-funding from the ODINAFRICA Project in July 2010. The key objective of the course was to build national marine and coastal data atlases as part of the African Marine Atlas Project. Progress with the Remote Sensing and Multidimensional Mapping (of critical habitats) has been dependent on the finalisation and signing of a MoU with the French IRD signed in Mid-August 2010. Nevertheless, some work planned under this MoU was initiated already in mid-2009 prior to the MoU being signed, notably: the critical habitats work (joint ASCLME-IRD COREUS).

116. Monitoring and selection of indicators is a vital activity to be implemented in close cooperation with the overall TDA-SAP process. Effective governance cannot be established unless it is supported by reliable quality assured information that can identify and, ideally, map a change and define the effects of this change on the ecosystem and associated socio-economic welfare of the countries. The Project has identified a GEF International Waters Indicator and TDA/Causal Chain specialist and is currently negotiating a contract for this position. The Project has also been closely involved in the GEF International Waters TWAP (global Transboundary Waters Assessment Programme) which has a specific component focusing on identifying suitable indicators for LMEs. ASCLME has been represented on the Steering Committee and technical workshops for TWAP and will remain an important player in this global monitoring process. The Indicators/TDA Specialist is expected to work with national counterparts to select the most suitable long-term indicators for the ASCLME during late 2010 and into early 2011 through a series of workshops at the sub-regional and regional level. The plan is to have a long-term monitoring programme in place by 2011 (with appropriate indicators) at both the coastal/nearshore and offshore level which can provide the foundation for an effective adaptive management approach to ecosystem governance and policy.

117. ASCLME has negotiated a tripartite partnership with the African Union-World Bank Sustainable Partnership for Fisheries Investment Fund (SPFIF) and NOAA (US National Oceanic and Atmospheric Administration) whereby ASCLME acts as a broker to support countries in developing Concept Papers and Full Submissions to SPFIF for artisanal/subsistence fisheries management funding through the close intervention and support of a NOAA Fisheries Consultant based at ASCLME. As a result of this tripartite partnership, a draft Concept paper for a Project in Mozambique entitled 'Strengthening the Environmental Sustainability and Economic Value of Community-Level Artisanal Fisheries along the coast of Mozambique' has been developed to be finalised for submission before 2010-end. Two more concept papers are under development: a Concept to support Comoros in developing an effective National Fisheries Management Plan and another one - for a regional western Indian Ocean MCS support project focusing on the sustainability of community-level fisheries livelihoods. It is expected by the project that some standardised monitoring and reporting procedures can be identified for inclusion in the MEDA-TDA-SAP process in 2011-2012. Countries are further encouraged to request assistance from the PCU in identifying potential SPFIF funding and on the development of Concept for submission to the SPFIF Regional Advisory Committee (RAC).

118. Outcome 2 summary evaluation is presented in Table 7 below.

5.3.3. Outcome 3: TDAs and Strategic Action Programmes and Associated Sustainability Mechanisms in Support of an LME Approach are Adopted

119. Outcome 3 represent THE most important result of the current phase of the ASCLME project. Moreover,*"…the TDAs and SAPs may represent the end deliverables from this project but actually represent the beginning of the overall LME management process and that this is an ongoing and long-term process that will need sustainability in terms of financing, long-term capacity, on-going monitoring and data/information collection, and political support."*[24]

120. The approach taken by the project significantly differs from the classic TDA/SAP approach implemented by majority of GEF IW projects. The key issues driving this deviation include:

a) The need to address data collection and analysis issues at the national level in the counties. Usually, there is enough knowledge available on LMEs and their ecosystems (or other water bodies addressed by IW projects) to start the process from the regional perspective. This is done through interactive facilitated workshops comprising regional experts, who identify, based on their knowledge of the system, a series of issues having the transboundary character. Then the issues are prioritised and addressed within the TDA/SAP process. In case of the ASCLME Project there was no knowledge required to start the process at both national and regional levels. This is why, an additional step was introduced, the MEDAs. The MEDAs are developed for/in each country and represent the best available knowledge to date on the functioning and state of the corresponding sections of LMEs. Another strong reason behind this decision was to undertake more work in-country and to deliver a package to be directly usable by the countries. When all MEDAs are complete, the project will be integrating then the findings into a single regional TDA.

b) The need to get a better understanding of processes within the countries' waters was amplified by the lack of knowledge of processes in offshore areas. Significant project budget and effort was directed at the development and implementation of a targeted research programme. However, the constantly growing threat of piracy did not allow to properly study the region within the Project system boundaries (Section 5.3.6.1). As a result, significant area of WIO has not been studied as envisioned and alternative activities were initiated.

[24] Report on the Inception Meeting, page 3.

Table 7 Summary of Evaluation for Outcome 2

Indicator	Baseline	Target by Project end	Estimated Status at Mid-Term	Expected Target to Be Achieved	Comments	Indicator Rating
7. GIS and remote sensing capacity in the region enhanced	GIS promoted, Limited GIS country-based capacity, No regional integration of GIS products.	By 2011 GIS capability at regional level increased by 25%, over 100 country personnel trained, GIS and remote sensing products stored in a country- selected repository	80%	GIS capability increased, over 100 personnel trained in GIS and RS techniques and applications; GIS and RS products stored in a country- selected repository	GIS data reviews undertaken in every country. Metadatabases established in every country as part of the data management plan. GIS training course co-funded (with ODINAFRICA (IOC/UNESCO)) for GIS training and the development of national nodes for the African Marine Atlas.	HS
8. Develop clear and agreed upon M&E protocols	No protocols associated with the ecosystem approach at regional level	Inception workshop held, report prepared	Just some activities relate to LMEs, no protocols yet	The indicator included in the Logframe is process based. Needs to be revised to reflect future monitoring of LMEs (see MTE recommendations below in this table).	This activity has to be linked with TDA/SAP process to provide a clear and robust suite of indicators and corresponding reporting protocols on the state of LMEs.	MS
9. Establish clear and agreed upon arrangements for M&E activities with SWIOFP, WIO-LaB, ACEP, Participating Countries, and other entities	No M&E regime at regional level	A joint M&E approach				S
10. Refine set of GEF IW based Processs Indicators described in the project Logframe	*idem*	An updated list of PI	The current Logfame does not match with the set of Outputs	The updated logframe including Project indicators were scheduled to be discussed and approved at the PSC meeting in September 2010 but based on discussions with MTE it was agreed to do that after the MTE report is ready.	The suite of activities of the project has been revised several times but this has not been adequately reflected in project LF. as the LME Long-term indicators are dependent on the feedback from the cruises and the MEDAs. The LME indicators are planned to evolve in 2010-end or 201s1.	MS
11. Clearly defined set of Stress Reduction Indicators and Environmental/ Socioeconomic Status Indicators developed by month 18 of project implementation	*idem*	A clearly defined set of SRIs and ESIs				S

1. Outcome 2 Rating - Highly Satisfactory. This rating is based on the current set of Outputs included in Outcome 2. However, the current set of indicators above does not reflect the current progress and achievements of the ASCLME project within Outcome 2. Recommendations on Logframe update are included below. **2. The MTE recommends** that			
Responsibility	***Task***	***Time frame***	***Deliverable***
PCU, consultants	Ensure that parameters of data retrieval, maps, etc. to be clarified from the point of view of decision-making information needs - see comments on indicator 8 above.	At SAP development stage	Reporting format on SAP implementation (for ASCLME Phase II)
PCU, PSC	Revise current, develop and adopt a series of outcome-based indicators to be included in Logframe related to the following achievements: • Synthesis of national data collected within MEDA process provide solid scientific baseline for the development of regional TDA/SAP (Output 2.1) • Capacity in the countries related to data collection, processing, management and storage is increased (Output 2.1) • Regional Data Coordination (COGs) represent an effective mechanism for regional data handling (Output 2.2) • Data generated by research activities (Nansen, Algoa, Coastal) provide robust information on the state and dynamics of the LMEs to be included in the regional TDA (Output 2.2) • GIS and modelling tools developed by the Project support LMEs' ecosystem-based management (Output 2.3) • Capacity (hardware/software) built by the Project fully utilised in the countries for TDA/SAP process and further into SAP implementation stage (Output 2.4) • A set of TWAP M&E indicators provide sound reporting on the state of and processes in the LMEs and support reporting requirements of the regional TDA and SAP (Outcome 2.5) • The ASCLME project acts as a broker and supports the countries in developing and submission of concepts for new projects (fisheries, transboundary monitoring systems) (Outcome 2.6)	ASAP	A corresponding section and a number of indicators included in the Final project Logframe to be developed and adopted by PSC.

c) For the ASCLME project this means that the future SAP will include issues under responsibilities of a number of regional institutional bodies, none of which can cover the whole spectrum required (Table 8). The ASCLME Project has established closed cooperation and partnership arrangements with majority of these institutions (see Table 5 for details). This took considerable time and resources. Some of these partnerships are not yet fully operational.

d) Whatever regional SAP includes, it will need to be translated into actions on the ground at the national level in the participating countries. It's done through NAPs (National Action Plans). However, the NAPs development is outside the scope and, consequently, the budget of the current Project phase. As agreed by the Project and participating countries this was to be the countries' responsibility. The Evaluator believes that this process should still be regionally coordinated to represent sound planning process in accordance with the modern GEF experience. This is why, such activity is recommended to be included in Phase II of the Project.

121. Despite the aforementioned issues being dealt with by the project, the PCU has been very adaptive in achieving project's objectives. PCU acted in close cooperation with UNDP as the GEF IA and PSC while trying to tailor its work programme to the actual situation and circumstances and introducing amendments to project's individual activities. "*The project's approach to develop a national diagnostic analysis …at each country first then integrate them into TDA has been successful and effective in many fronts, including increased national ownership and engagement, increased awareness of the project at each country from the early stage, effective and targeted implementation of capacity building activities (and follow-up)*"[25].

122. Another good example of clear vision of the Project Director and his understanding of the whole process of LMEs' ecosystem-based management has been initiating the governance-related activities early enough in the Project to deliver in time. An activity within Outcome 1, the Policy and Governance component, has been designed to address the complexity of introduction of a sound governance system and establishment of a favourable enabling environment (Module 5 of the LME's modular approach) for EBM in WIO.

123. However, there is a current concern that has been raised at the ASCLME PSC meeting and which is strongly shared by MTE that the ASCLME Project will not be able to deliver by the end of the current intervention an effective integrated regional TDA and SAP for the Western Indian Ocean as agreed at the GEF WIO LMEs STM in Nairobi in March 2010. There are three major aspects, as recognised by the Evaluator, which draw the ASCLME Project back from achieving such a target.

124. The first aspect is the implementation on the ground of the GEF Programmatic Approach in WIO. Both TDA and SAP require inputs from all three sister projects, the WIO-LaB, ASCLME, and SWIOFP. The WIO-LaB project produced a land-based activity related TDA/SAP in 2010, findings of which are ready for incorporation into the regional ones. ASCLME is well progressing with its MEDA-TDA-SAP process for the Ocean-Based Activities (OBAs) and was planning to work closely with SWIOFP to deliver a single TDA and SAP for OBAs before completion of the ASCLME Project in mid-2012. Inputs required from the SWIOFP cover commercial offshore and inshore fisheries. At the last joint PSCs meeting in Dar Es Salaam in Sept 2010, it was decided by the SWIOFP's PSC that they would approve a no-cost extension to their project in view of their late start and the delay in progress of a number of activities. As a result, a mismatch of 18 months are expected between the ASCLME Project, which is responsible for an overall regional SAP, and the SWIOFP, which is to provide certain inputs on commercial fisheries related issues into this document. This situation, as mentioned above, creates a greater problem in timing and delivery for the ASCLME Project and, besides, it endangers the whole regional TDA/SAP exercise in WIO as such. SWIOFP will not be in a position to deliver their input to the TDA/SAP process until the second half of 2012 when intended TDA-SAP delivery process of ASCLME will be operationally finished. SWOIFP will not finalise its inputs to the SAP until 2013. This effectively means that the only TDA and SAP that the ASCLME Project could feasibly deliver by close-of-project in mid-2012 would be ones that are substantially

[25] Comments of the UNDP Regional Technical Advisor in APR/PIR 2009.

void of any commercial fisheries components. The Evaluator is confident, and this confidence is based on his own experience and participation in the discussions related to the development of these regional documents, that a push towards delivery by the ASCLME Project of a regional TDA and a regional SAP with fisheries-related aspects lacking would be very well possible but counterproductive, especially with view of the countries who are expected to endorse the SAP, or of UNDP and GEF who have invested in what they expect to be a comprehensive process towards an ecosystem governance and management approach within WIO. This is a very good example of a situation where the adaptive management approach comes in. The adaptive management solution required in this particular case goes beyond the scope of one or even two GEF projects and covers such vast geographic area as WIO.

Table 8 African Main Regional Institutions and Key Responsibilities

Institutions	Member Countries	Function/Mandate
African Union (AU)	All African states except Morocco	To accelerate the political and socio-economic integration of the continent; to promote and defend African common positions on issues of interest to the continent and its peoples; to achieve peace and security in Africa; and to promote democratic institutions, good governance and human rights.
The Nairobi Convention	All participating countries of the project	To protect and manage the marine environment and coastal areas of the Eastern African region.
Partnership for African Develop. (NEPAD)	All participating countries of the project	Development of a common and integrated regional platform for the management of marine and coastal resources as a model in Africa. Establishment of an Africa environmental resource centre under consideration.
SA Dev. Community (SADC)	Mozambique, South Africa, Seychelles, Tanzania	Marine Fisheries and Resources Programme aims at the development of marine fisheries in the SADC region. SADC supports a fisheries monitoring Programme in several member countries.
Indian Ocean Commission (IOC)	Comoros, Madagascar, Mauritius, Seychelles	Improve living standards in the participating countries. Promote cooperation in diplomacy, economy, trade, agriculture, fishing, and the conservation of resources and ecosystems.
Indian Ocean Tuna Commission (IOTC)	Australia, China, Comoros, Eritrea, EC, France, India, Iran, Japan, Kenya, Republic of Korea, Oman, Madagascar, Malaysia, Mauritius, Pakistan, Philippines, Seychelles, Sri Lanka, Sudan, Thailand, UK, Vanuatu.	The IOTC is an intergovernmental organization mandated to manage tuna and tuna-like species in the Indian Ocean and adjacent seas. Its objective is to promote cooperation among its Members with a view to ensuring, through appropriate management, the conservation and optimum utilization of stocks.
Southwest Indian Ocean Fisheries Commission (SWIOFC)	Commission formed in 2005. Mandate developed and agreed upon. First meeting held and operations recently begun. Steering Committee comprised of Seychelles, France, E.C., Australia and New Zealand. Membership is open to any country within or bordering the SWIO, from Somalia to SA.	Functions proposed include measures intended to: Ensure long-term conservation of fisheries resources through application of an ecosystem approach; prevent or eliminate over-fishing and excess fishing capacity; apply a precautionary approach consistent with the FAO Code of Conduct and the 1995 Agreement; maintain fish stocks at levels that are capable of producing maximum sustainable yield, and rebuild stocks to those levels; ensure that fisheries practices and management approaches take due account of need to minimize harmful impact on the marine environment; protection of biodiversity; and give full recognition to the special requirements of developing States.
WIO Marine Science Association (WIOMSA)	Somalia, Kenya, Tanzania, Mozambique, South Africa, Comoros, Madagascar, Seychelles, Mauritius, Reunion (France)	The organization is dedicated to promoting the educational, scientific and technological development of all aspects of marine sciences throughout the region of Western Indian Ocean.

Institutions	Member Countries	Function/Mandate
Southern Indian Ocean Deepwater Fishers Association (SIODFA)	Includes private sector industry (fisheries)	Particularly, working with UNDP/IUCN on management strategies for seamounts
AMESD	Covers 47 African countries	The AMESD program addresses the need for improved environmental monitoring towards sustainable management of natural resources in five regions of sub-Saharan Africa, namely CEMAC, ECOWAS, IGAD, IOC and SADC (RECs).

125. Another challenge relates to the clear absence of a single constituency to take over the SAP-to be whilst there are so many regional and global players in WIO region (paragraph 120c). Importance of a proper solution to this issue was emphasised by the ASCLME Project on numerous occasions and during PSC meetings. A separate discussion was held on the topic at the GEF WIO LMEs STM in Nairobi, which endorsed the need for a Western Indian Ocean Sustainable Ecosystem Alliance (WIOSEA) within the region. The WIOSEA would amalgamate all of the regional and global initiatives and funding strategically with the country commitments and needs under a single partnership working toward a mutual goal. WIOSEA would represent the best platform for further coordination of SAP implementation in the region. Despite the fact that such a decision has been made, there is a lot of preparatory work needs to be done to make it happen. As felt by the Evaluator, the ASCLME Project with its strong position in the region would be the best to coordinate the establishment of the WIOSEA.

126. And lastly, the current TDA/SAP approach taken by the ASCLME project does not include the production and endorsement any National Action Plans (NAPs) based on the regional TDA and SAP. So, the circle is not closed. The process started at the national level with production of the MEDAs, followed into the regional developments, and will stop there. However, most of measures to be included in a SAP would require countries further commitment to implement corresponding activities at the national and local levels. Proper incorporation of NAPs into the countries' strategies and policies is a lengthy and negotiation-hungry process, involving not only the Ministries of Environment but also 'heavier players' within the countries like ministries of finance, economy, development, fisheries, etc. Some country representatives indicated a period of 2-3 years required for the whole process including national budget allocations if required.

127. This state of affairs has been thoroughly discussed by the Evaluator with the PCU, UNDP-GEF and some of the country representatives. Based on these discussions there is a strong confidence of the Evaluator that the ASCLME Project has to be re-aligned in accordance with the circumstances to provide at the end a sound SAP, appropriate corresponding institutional mechanisms (including IMC mechanisms at the national level in the countries) which would form the basis for sustainable ecosystem-based management in WIO. A detailed proposal on the project realignment developed by the PCU and discussed with UNDP-GEF and MTE is included in Annex G. The proposal addresses all of the issues identified above and proposes concrete steps how to address them within the life-time of the current project.

128. A vital prerequisite for successful implementation of these tasks and achieving the declared impacts is the continued uninterruptible effort and presence of the ASCLME Project in the region. In order to ensure that the current strong momentum towards achieving a common regional target remains, it is strongly recommended by the MTE to initiate preparation and development of documentation for the next Phase of the ASCLME Project early enough to allow for all required formalities within the GEF Project Cycle. A smooth transition from Phase I (TDA/SAP development) into Phase II (SAP implementation) is critical for the overall success of the entire GEF intervention.

A summary evaluation of Outcome 3 could be found in Table 9.

Table 9 Summary of Evaluation for Outcome 3

Indicator	Baseline	Target by Project end	Estimated Status at Mid-Term	Expected Target Achieved	Comments	Indicator Rating
12. Establishment of PSC, Programme Coordination, and other Project level committees, and establishment of Project Coordination Unit	There is no regional level coordination, and the Nairobi Convention is not an operational entity	Established and functioning PSC, PC, and PCU	100%	100%	All bodies established within the project are operational and effective	HS
13. Provision for coordinated funding of donor recruitment activities.	Donor recruitment activities in the region are ad hoc and fragmented	Donor recruitment activities are more effectively planned and coordinated	Much exceeds ProDoc expectations	ASCLME is still active in this area	Donor recruitment improved through the development of new formal agreements, MoUs, etc.	HS
14. Capacity building and training (CB&T) planning is refined	There are at present no regionally based CB&T activities or planning directly related to the Ecosystem Approach or management/ governance of LMEs Marine Ecosystems	A regionally based, collaborative CB&T Programme and work-plan for the ASCLMEs developed and implemented	Well underway, CB&T activities cover not only TDA/SAP development process	A public participation plan implemented with specific attention to public participation in TDA and SAP development	National coordinators and specialists identified and contracted. Outline for Training Plan approved by the PSC. Draft Training Plans for 6 countries available for comment. Regional oceanographic training course complete, taxonomy course planned for November 2010.	S
15. A CB&T based workshop to determine regional human capacity and training needs is held	No assessment of CB&T has been undertaken at regional level or within Participating Countries aimed specifically at developing capacity and training human resources for the marine ecosystem approach	Workshop held. Assessments undertaken and needs defined. Final workshop report approved and printed	Approaching 100% by 2010-end	It is likely that the target will be achieved	National Training Plans are currently being completed, with a target of completion for late 2010.	S
16. Options paper developed re. selection of a regional entity or entities to assume responsibility for post-SAP related activities	At present a plethora of regional organisations with fragmented responsibilities and little apparent coordination	Options paper developed and circulated to participating Countries for discussion and resolution	WIOSEA concept developed and agreed by the GEF STM.	It is likely that the target will be achieved [26]	There is a need to continue discussions and consultation on mechanisms.	S

[26] This target is purely progress-based. This cannot be considered as the final achievement of such an important indicator. A higher target needs to be set up.

1. Rating - Satisfactory **2. The MTE recommends** that the ASCLME PCU with support of UNDP-GEF addresses the GEFSEC with the proposal to realign the current project in terms of end results of the current phase.			
Responsibility	***Task***	***Time frame***	***Deliverable***
PCU/UNDP	Discuss with GEFSEC the strategy of realigning the Project and to make the corresponding changes to workplan	ASAP	Approval of the GEFSEC the proposed realignment of the project
PCU	Revise the current set of indicators to reflect the following issues: • Effectiveness of the established institutional structure (to rephrase indicator 12) • National inputs into regional TDA (the MEDAs) provide scientific basis for a transboundary diagnostic analysis • A regional TDA provides required information and M&E tools for the development of a sound regional SAP • SAP based on the latest knowledge of the LMEs and identifies joint remedial measures of addressing key transboundary issues • Develop of a sound regional coordination platform for future SAP implementation (to rephrase indicator 16) • Partnerships established by/with the Project ensure required level of cooperation and co-funding within the life-time of the Project and • Sustainability mechanisms are developed providing adequate funding for the SAP implementation • CB&T Programme of the Project addresses the key needs in capacity building and training in the participating countries for a successful implementation of TDA/SAP-related activities		

5.3.4. Outcome 4: LME Coordination, Communication, and Participation Mechanisms Established

129. One of the main shortfalls of the ASCLME Project identified during the interviews was insufficient visibility of the Project at local and community level. This was partially caused by the fact that this aspect was not effectively covered (and hence financially supported) within the original agreements on the Project Document activities. Since there was a need to compensate for the inability to capture offshore data in much of the northern area of the ASCLME Project boundary, the PCU re-directed significant support to moving towards supporting community level activities in each country. The DLIST (Distance Learning and Information Sharing Tool) was always a part of the Project delivery and this has been expanded from the original plan for 3 demonstration community sites to one site in each country (8 sites plus one extra to include Zanzibar). A major mid-term report on the DLIST component was delivered to the PCU as of August 2010 and a presentation on the status of DLIST was made at the 3rd Steering Committee Meeting in September 2010. As part of expansion of the ASCLME Project activities at community level, the PSC added a component to address Coastal Livelihoods under Outcome 1 (Section 5.3.6.6). This detailed CLA assessment was to be completed and ready for incorporation into the MEDA process in November 2010. The community-focused and coastal livelihoods elements of the Cost Benefit Analysis component (Output 1.7, Section 5.3.6.7) are reported by PCU to be delivered in early 2011. Identification of community-related MPAs and living marine resource refugia, as well as critical habitats that support communities (Output 1.3, Section 5.3.6.3), are to be finalised toward the middle or latter half or 2011.

130. A sign of recognition of ASCLME's successes by the GEF has been an offer to consider funding for a more specific community-related project as a parallel sister project to the current ASCLME activities that would capture community inputs into (and needs from) an ecosystem-based management and governance process in WIO. An appropriate GEF Project Development consultant to this effect will be recruited in the last quarter of this year. However, it seems to the Evaluator that a separate project would lead to additional coordination load, since a separate project would require the whole implementation structure to be established. Adding this as a separate additional component to the existing Phase I project would be not only a cost-effective solution in terms of operational and administrative costs but also would help to bridge up Phase I and Phase II of the ASCLME Project if needed.

131. Stakeholder participation and communications are continuously addressed by the Project, and a draft Communications Strategy has been developed and circulated to the PSC members, as well as a Private Sector Engagement Plan. The Private Sector strategy will be essential within the SAP itself. Stakeholder meetings and briefings continue as an on-going activity and a Stakeholder and Partnership Symposium/roundtable is planned for mid 2011, in conjunction with a donor conference (see Outcome 3 – Financial Stability and Partnerships).

132. A joint ASCLME-WIO-LaB Promotional Film was completed in 2009 and launched in Cairns, Australia at the 5th GEF International Waters Conference. It was then circulated in April 2010 with the annual newsletter to all countries and all stakeholders of the Project. A Policy film has been completed just before the 3rd PSC meeting and presented there. Various media articles have been submitted and are listed on the website and promotional materials have been distributed to partners and stakeholders as appropriate.

133. The Communications, Education and Private Sector Outreach and Engagement activities have not yet got underway but are seen as a new challenge for 2011 with the adoption of a Communications Coordinator and regional Educational Advisor as well as the identification of country champions. Appropriate outreach materials are planned to be developed with support from the GEF's IW:LEARN (International Waters Learning Exchange and Resources Network). An important component of this activity will be developing mechanisms for engagement of the private sector.

134. The ASCLME website is providing a valuable function and is visited regularly. As reported by PCU it became most famous for its blogs during the 2008-2009 cruise seasons and especially on the

Seamounts cruise with IUCN. The website address is www.asclme.org. The Project has produced two major Newsletters as well as several interim updates. It is noteworthy that the April newsletter was the first in a planned participatory process between ASCLME and SWIOFP and this new 'newsletter' partnership was christened by re-naming the newsletter 'Current Affairs'. This newsletter also contained a copy of the joint ASCLME-WIO-LaB Promotional Film. During the interviews some respondent commented that sometimes the web-site is not updated but this was more an exception than a rule.

135. ASCLME continues to coordinate with its sister project (SWIOFP) and with the Nairobi Convention which represents the WIO-LaB initiative after the first phase of WIO-LaB was completed in 2010. Two joint Project Manager's meetings had been organised in 2009 and 2010. There are also two joint PSC meetings associated with the Project, one in 2009 with WIO-Lab and the last PSC meeting in 2010 with SWIOFP. This is a growing and evolving partnership for a sustainable ecosystem alliance in WIO (WIOSEA - see Output 3 for details). ASCLME has also been regularly attending the annual July meetings of the Consultative Committee for LMEs in Paris. A Regional Project Coordination Forum was launched in Mauritius in 2008 and many of the Projects met again at the WIOMSA meeting in Reunion in 2009. A programme-level Data and Information meeting was also held in Mombasa in July 2010 which brought together all of the data coordinators from the 3 sister projects.

136. ASCLME has been working closely with IW:LEARN to develop a regional partnership and regional international waters hub for learning and capacity building within sub-Saharan Africa. Rhodes University has offered to act as this hub and to coordinate closely with other Centres of Excellence throughout sub-Saharan Africa so as to support workshops and sharing of best practices within and between the LME projects and other IW projects.

137. See Table 11 for a summary evaluation of Outcome 4.

5.3.5. Outcome 5: Project Financing effectively delivered to support all Project Outcomes

138. Project financing-related activities of the project are evaluated as **Highly Satisfactory**.

5.3.5.1. Project Expenditures to Date

139. Total disbursement of funds by the Project until Aug 2010 (the last full month prior to the start of the MTE) amounted to US$ 7,321,952[27] (Table 10). If Project spending can be taken as a crude measure of the progress of implementation, then the Project is currently progressing very well since after three years of implementation represents 60% of the total disbursement projected by the Project Document for the entire five year lifespan. Such a delivery is considered to be a success despite the financial operation challenges in 2008-2009.

Table 10 Disbursements for Project Outcomes

Outcome	Amount, US$†	Outcome Total	% as of Aug 2010
1	$3,487,348	$4,269,759	82%
2	$,749,675	$1,626,919	46%
3	$,600,844	$1,669,543	36%
4	$,980,287	$1,820,090	54%
5	$1,503,798	$2,813,695	53%
TOTAL	**$7,321,952**	**$12,200,007**	**60%**
		AVERAGE	**54%**

†As of August 2010.

[27] Reported at the 3rd PSC meeting in Dar Es Salaam (Tanzania, Sept 2010).

Table 11 Summary of Evaluation for Outcome 4

Indicator	Baseline	Target by Project end	Estimated Status at Mid-Term	Expected Target To Be Achieved	Comments	Indicator Rating
17. A DLIST activity is implemented across the region	At present there are no region-wide public participation initiatives related to the ASCLME	A public participation plan has been implemented with specific attention to public participation in TDA and SAP development	8+1 sites	9 demo sites completed	DLIST has now created a Demonstration Site in each country (excluding Somalia). The ASCLMEs project promotional film is complete and was distributed with the latest newsletter; the policy briefing film is nearing completion and will be ready for distribution by the end of calendar year 2010.	S
18. Communications Strategy for stakeholder participation included in SAP	No existing strategy for stakeholder involvement	Communications Strategy adopted by PSC and included in SAP. This will provided a mechanism for engagement of private sector and communities into the governance process	Only preparatory activities completed.	So far a very limited involvement of local communities and private sector, the main emphasis on international and regional audience	An approach to engage private sector interests in project activities has been developed and submitted to the PSC at the last meeting for discussion and then approved. DLIST will be submitting reports to feed in public perceptions from the region, and the reports will be developed toward the end of demonstration site activities.	S
19. Effective media outreach acting to raise awareness of ASCLME and LME process in the region	No existing outreach strategy and very limited media materials	Strong level of awareness and support for LME approach throughout various sectors and community levels across region	Awareness of the Project varies at different levels from good at international/ regional to rather weak at local level	Again, a very effective impact at international and regional level but limited so fat at the local level	There is a need to increase visibility of project activities at the local/community level.	S
21. Educational Outreach promoted through schools and teachers trained to deliver LME approach as part of educational curricula	Limited or no awareness of Ecosystem approach in schools and still limited within undergrad and postgrad training	Ecosystem approach and LMEs on higher level school curricula and university curricula with teachers trained in specifics relating to ASCLME.	Concept for educational package developed.	A clear plan of this component and prototypes has been prepared	In partnership with NOAA, the project is developing a western Indian Ocean-wide network of schools using deployed oceanographic instrumentation, along the lines of an existing NOAA initiative. This requires tailoring educational activities to national curriculum requirements and introducing the concept and learning materials to educators.	S

Indicator	Baseline	Target by Project end	Estimated Status at Mid-Term	Expected Target To Be Achieved	Comments	Indicator Rating
22.Effective ASCLME website up and running and being used frequently (number of hits) as well as high-quality Newsletters being regularly distributed	No ASCLME website covering entire LME and no Newsletters explaining LME approach and progress	Popular ASCLME website in frequent use and ready to convert as support site for whatever new governance mechanism is adopted for the LMEs. Newsletters have significantly raised awareness and informed stakeholders	Website is operational and used as a communication platform for various project activities and access to project reports and documentation	It is likely that the target will be achieved	The website continues to be updated; cruise blogs were more limited in 2009 but still well received. Partnership with IUCN-implemented GEF Seamounts Project, a cooperative venture with the IUCN, had broad international exposure in international press and was promoted though the BBC news website.	S
23. Effective on-going Coordination with ASCLME Sister Projects	No Coordination at LME level. Projects not all fully implemented	Effective coordination between 3 WIO LME projects to produce a single TDA and SAP for each LME	Communication links established including those at operational level, PDs meet on a regular basis, a series of joint back-to-back meetings organised	It is likely that the target will be achieved	The 3rd PSC was a joint meeting with the SWIOFP project. The Naorobi Convention is the principal entity following up on the work of the WIO-LaB project. The ACLMEs project continues to coordinate closely with the Nairobi Convention. The WIO-LaB gnerated TDA ad SAP focusing on land-based sources of pollution will be integrated with the over-arching ASCLMEs region wide TDA and SAP, as will the SWIOFP fisheries based SAP. The latter has serious implications for the ASCLME Project as discussed under Outcome 3.	S
24. Effective Coordination with other LME-related projects and initiatives	Very little coordination across projects or groups working on LME-related activities	Formal coordination mechanism within ASCLME region	Much exceeds original expectations	It is likely that the target will be achieved	Two Regional Project Coordination Forums, one held and another is planned for the second half of 2011. The meeting will be organised in collaboration with WIOMSA. In addition the ASCLMEs project continues to coordinate closely with the RECOMAP project and other relevant projects and institutions.	HS

1. Rating - Satisfactory.

2. The MTE recommends that a more strategic approach is taken to reach out to the local communities including private sector. DLIST is active at the local level and such an opportunity has to be utilised. In addition, similar opportunities exist within the SWIOFP, which also could be operationalised within the existing partnership with this Project. Other mechanisms are to be developed. One of the ways seems to be the new community related project (or component of the current ASCLME Project). As regards to the performance indicators above, despite the fact that coverage of the actual activity is more representative than for other Outcomes, they are often ambiguous/not quantified (e.g. 19, 23, 24) or represent output-based achievements (e.g. 17, 18).

Responsibility	***Task***	***Time frame***	***Deliverable***
PCU	Do discuss with the GEFSEC a possibility to incorporate an additional community related project into the existing ASCLME Project rather than starting a separate one.	ASAP	A decision of the GEFSEC and corresponding actions
PCU	A number of targets for selected indicators are whether ambiguous or not quantified. It is recommended to revise the indicators to (i) reflect real impacts of the project, and (ii) to quantify the improvements against the baseline estimates.	ASAP	A suite of impact-based indicators included in the revised LogFrame.
PCU	Develop additional mechanisms for increasing visibility at the local level including involvement of DLIST, SWIOFP, etc.	ASAP	Mechanisms how to increase visibility at local level
PCU	The Regional Coordinators and the Regional Consultants (e.g. for P&G, CBA) are recommended to provide updates to the IT Coordinator on a regular basis to update the website more effectively.	ASAP	The web-site is regularly updated

140. Disbursements have not been even across Outcomes. Table 10 on page 60 gives the figures against the overall budget available for each Outcome. Clearly, most progress has been made on Outcomes 1 and 2, which largely comprise of preparatory activities for the MEDA/TDA/SAP process, as well as Outcome 4 related to communications and outreach activities. Outcome 3 containing the key project outputs, the TDA and SAP, which has been awaiting for inputs from other Outcomes, is expected to pick up its pace and quickly progress in 2011-2012. Nearly all inputs required for MEDA/TDA/SAP process are in place, so no major delays are expected in delivering envisioned results.

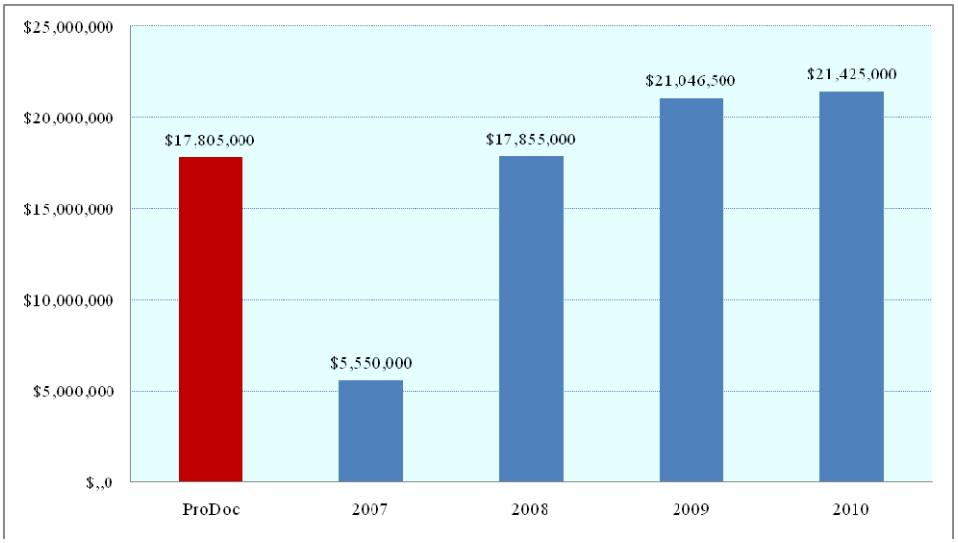
5.3.5.2. Overall Project Funding

141. Despite the fact that early in the implementation phase one of the key project's co-sponsors as per ProDoc, the ACEP project, failed to confirm the earlier committed USD 12M and this fact considerably threatened a series of project activities (overall co-financing dropped by 69%), actual co-funding attracted largely exceed that included in the Project Document. The Project has been very active in seeking new partnerships and leveraging additional in-kind contributions and significant amounts of cash for the project-related activities (see Figure 3).

142. It should be mentioned that both project team and the countries actively sought alternative co-financing through establishing effective partnerships throughout the region. As a result already by 2008, one year into implementation, the level of co-financing was brought back to the originally envisioned level of over US$ 17.8M (Figure 3). This was essential and urgent in view of the fact that the Project had to raise substantial extra support and/or funding in order to address so many additional activities created by the 1st and 2nd PSC meetings.

143. A very distinctive feature of the ASCLME Project if compared with other IW projects is a considerable proportion (21% or US$ 3,760K) of co-funding provided in cash. For this type of intervention in-kind contributions are more typical. Particular interest represents the countries' co-funding to the Project, which has grown from US$ 1,750K (ProDoc) to US$ 13,705K[28] in 2010 (7.83 times).

Figure 3 Project Co-financing Commitments: Planned (ProDoc) vs. Actual



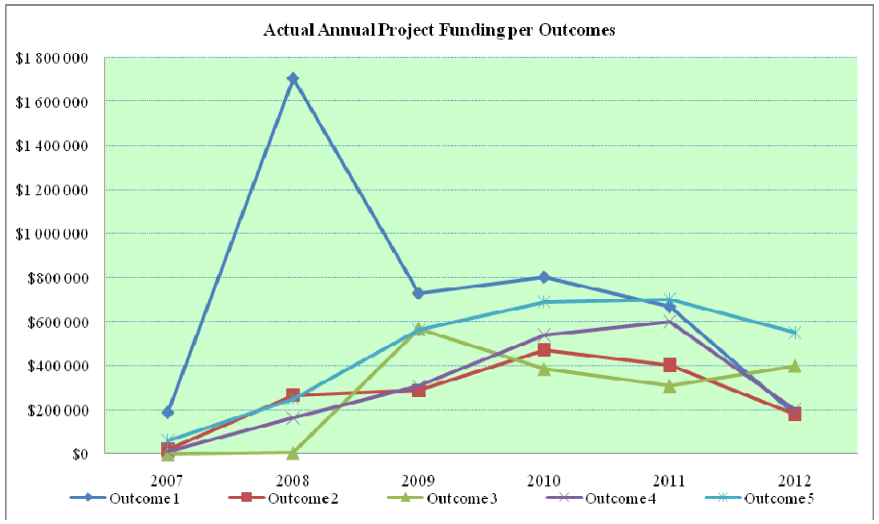
144. Cumulative project funding is presented in Figure 5 below. The co-financing line shown in this figure represents an integral value of both cash and in-kind contributions. And again, the additional co-financing leveraged by the Project can be seen if planned and actual values are compared (Figure 5: Planned Co-financing vs. Co-financing).

[28] Data taken from APR/PIR 2010.

Table 12 Summary of Project Funding (US$): ProDoc vs. Actual (based on APR/PIR intervals)

Funding	2007-2008		2008-2009		2009-2010		2010-2011		2011-2012		Total	
	ProDoc	Actual	ProDoc	Actual	ProDoc	Actual	ProDoc	Predicted	ProDoc	Predicted	ProDoc	Predicted
GEF Contribution	1,445,971	279,167	2,458,300	4,590,258	2,536,735	2,409,742	2,373,680	2,310,184	3,385,321	2,610,656	12,200,007	12,200,007
National Governments	2,284,167	100,000	2,741,000	5,275,166	2,741,000	2,874,834	2,741,000	2,727,500	3,197,833	2,727,500	13,705,000	13,705,000
Cash Co-financing	441,667	100,000	530,000	1,245,000	530,000	890,000	530,000	915,000	618,333	610,000	2,650,000	3,760,000
Other In-Kind Co-financing	250,000	110,000	300,000	1,584,833	300,000	565,167	300,000	1,020,000	350,000	680,000	1,500,000	3,960,000
TOTAL	**4,421,804**	**589,167**	**6,029,300**	**12,695,257**	**6,107,735**	**6,739,743**	**5,944,680**	**6,972,684**	**7,551,487**	**6,628,156**	**30,055,007**	**33,625,007**

Figure 4 Actual Predicted Funding for Project's Outcomes (GEF Contribution)



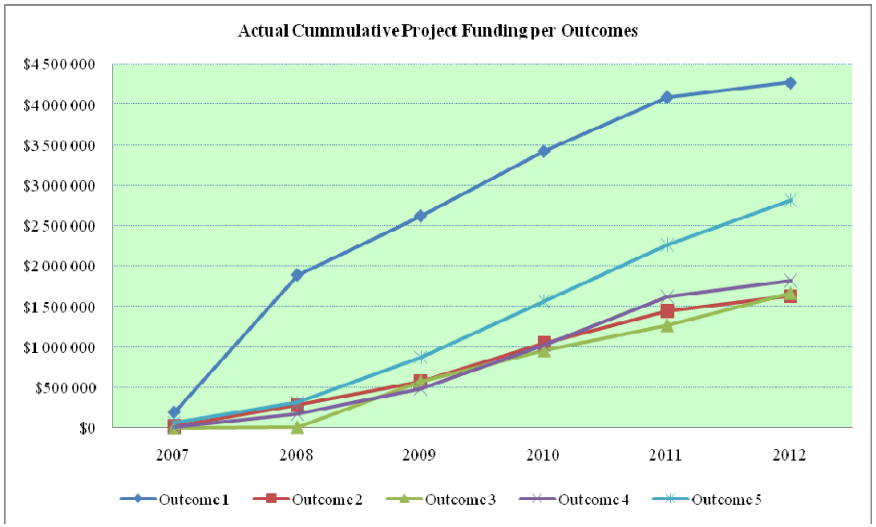


Figure 5 Cumulative Overall Project Funding: Planned vs. Actual

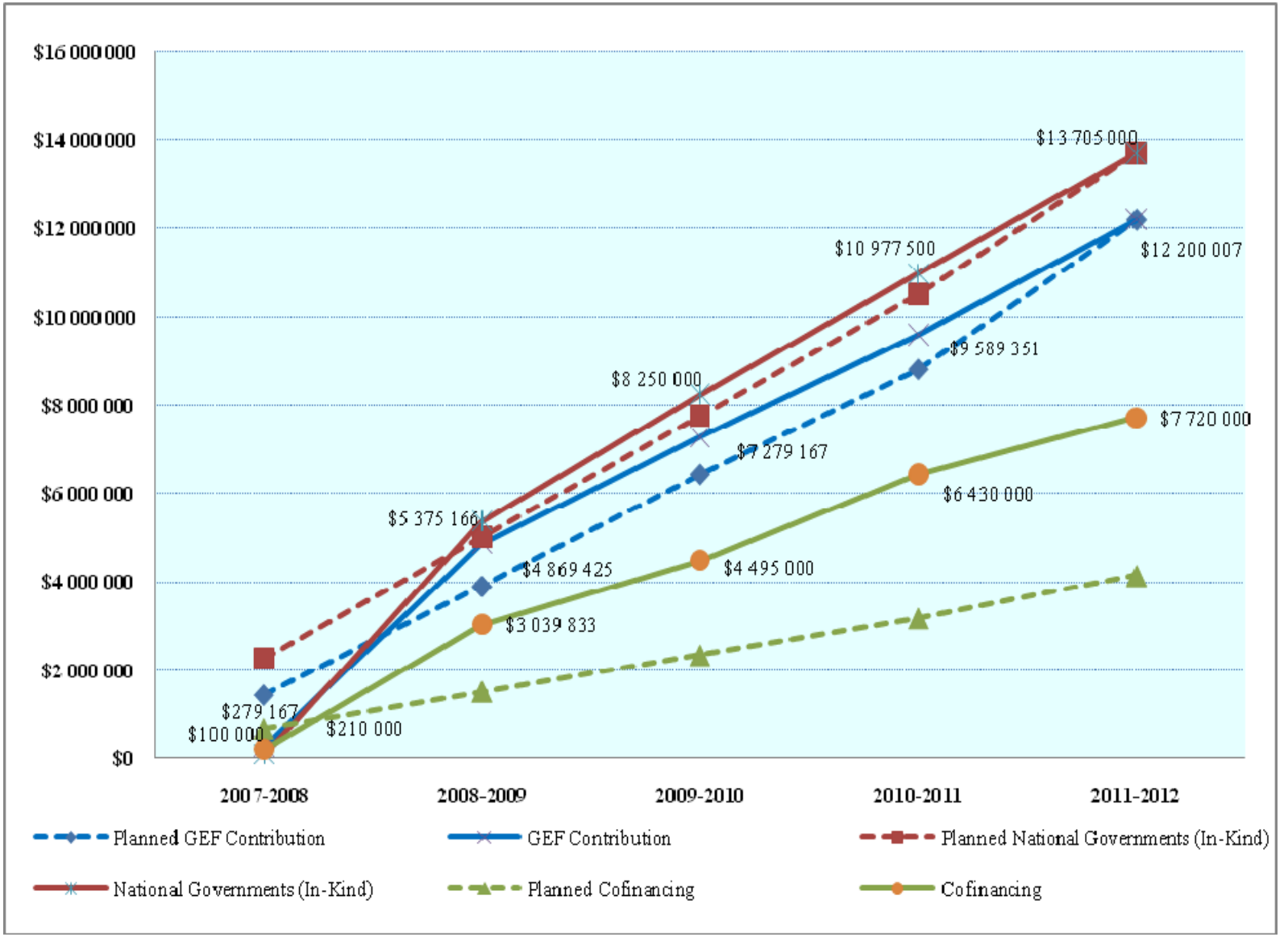
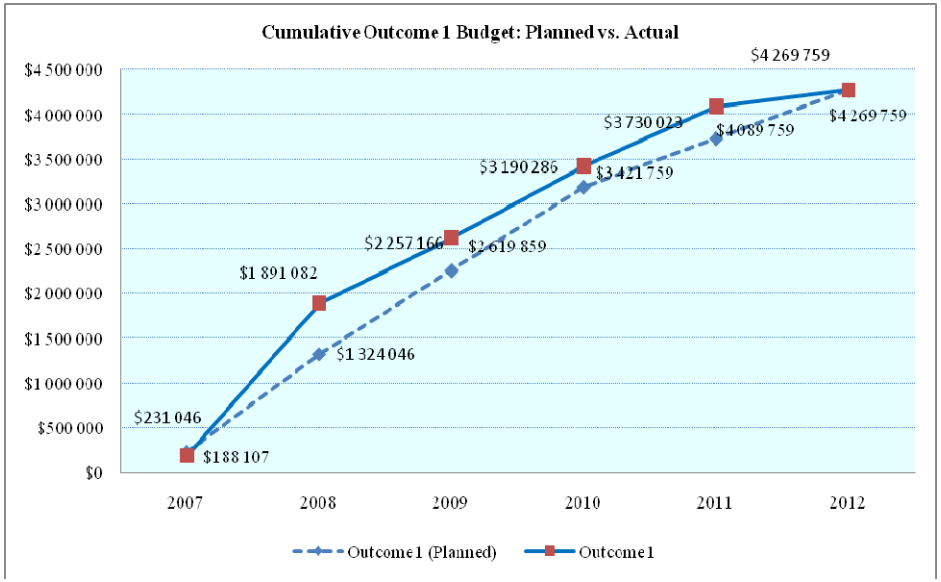
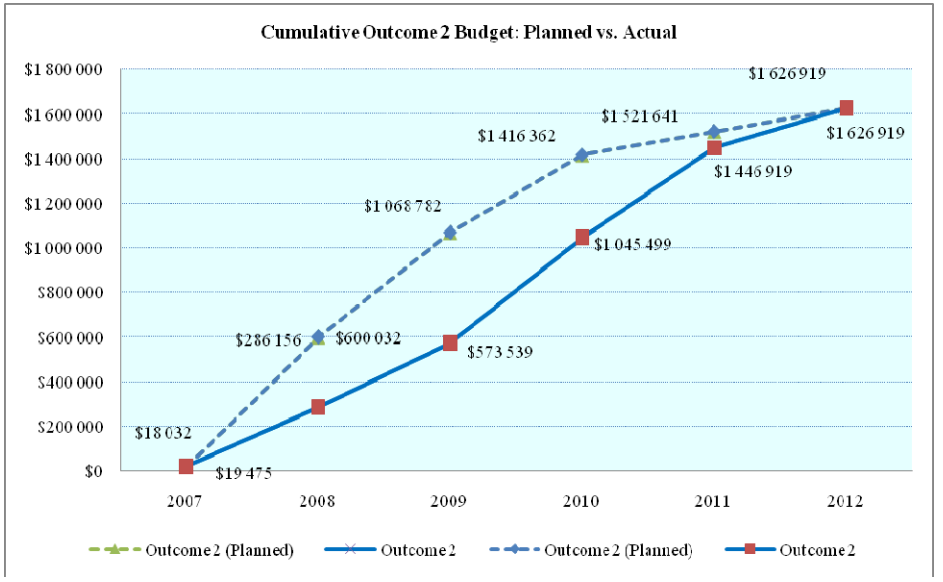
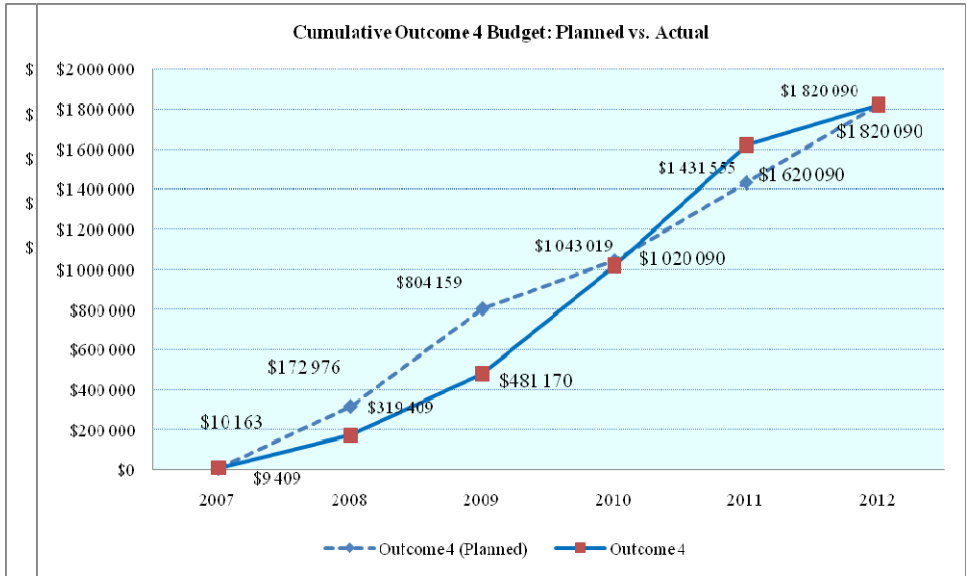


Figure 6 Cumulative Budget for Project's Outcomes 1-4 (GEF Contribution): Planned vs. Actual







5.3.5.3. Expenditures within Individual Outcomes

145. Figure 6 shows a comparison of planned and actual expenditures within individual Outcomes of the Project. As could be seen from the corresponding graphs, all Outcomes progressed so far in a different way:

- Expenditures within Outcome 1 started exceeding the planned estimates straight from the beginning of the Project implementation. This was obviously caused by the decision of the Project Director and further actions to increase the amount of ship on-board days from 40 to nearly 120 in 2008 to avoid the predicted fuel cost rise effects. From then on expenditures within Outcome 1 progressed in accordance with the workplan and expected to meet the planned overall amount by Project 's end.
- Outcome 2 represents a clear pattern of a slower start and picking up throughout implementation phase. By 2010-end expenditures within this Outcome nearly achieved planned values and are expected to be close to work plan until completion of the Project.
- A similar pattern can be seen for Outcome 3. However, Outcome 3 caught up already in 2009 and since then progresses in accordance with work programme.
- Outcome 4 (Communications and Outreach) represent another typical expenditure pattern. A slower start at the beginning of the Project and a longer learning curve are followed by a surge of activities and, hence, the expenditures.

146. Despite the fact that progress of various Outcomes varied significantly, by the time of conducting this review all of them were quite on track. This is seen as a result of proper adaptive management resulting in smooth financing of activities.

5.3.6. Evaluation of Individual Project Outputs/Activities

5.3.6.1. Output 1.1: Offshore data review and collection

147. As reported by the PCU at the 3rd PSC meeting [5], this output has delivered well so far, although clearly the security problems in the northern area of the Project system boundary (around northern part of Seychelles and offshore from Tanzania and Kenya) have severely reduced offshore ecosystem data capture in this region. Effective partnership with NOAA[29] and the Royal Netherlands Institute for Sea Research (NIOZ) resulted in establishing a suite of long-term monitoring equipment within the Agulhas and South Equatorial Current section of the Project area. This includes 3 Autonomous Temperature Line Acquisition System (ATLAS) moorings and 13 Long-term Ocean-Climate Observation (LOCO) moorings. Two major cruises seasons have been completed successfully delivering 15 targeted cruises/legs as of end of August 2010. The 3rd season started in September 2010 to run through to April 2011 consisting of a further 6 cruises/legs in total (Table 13). The total number of cruises/legs conducted from 2008 to 2011 will be 21. Some 45 abstracts related to past ACEP/ASCLME cruises have been submitted for consideration by various journals, and plans are underway for a special ASCLME edition of the Journal of Deep Sea Research to be published in late 2011. Two popular in the region 3-week Ecosystem Assessment training courses were completed in 2008 and 2009 involving both lectures and laboratory work as well as offshore and nearshore data ecosystem data collection training. This training was carried out on large research ships (offshore areas) and smaller inshore boats. GIS and Data Management training courses were co-funded with partners. One fish taxonomy course was held at SAIAB in November 2010. Fish samples from the Seamounts cruise was processed and a number of regional experts were trained in taxonomy. Further courses will be held in 2011.

148. The main challenges facing the offshore component will be to process and publish the data so that the information generated can be integrated into the MEDA and TDA process. Overall, activities within Output 1.1 are evaluated as **Highly Satisfactory**.

[29] This resulted in an officially adopted by 3rd PSC Annex to the ASCLME Project Document.

Major Deliverables	Planned Delivery	Actual Delivery	Remarks
Report by D&I WG compiled and widely discussed	May 2008	Achieved, 100%	The project has moved quickly to identify and motivate country representatives for this task [4].
Identification and agreement of data gaps and collection priorities	May 2008	4Q 2008, 100%	Such priorities have been agreed and systematised by PCU.
Scope of data collection activities of the project identified	May 2008	Achieved, 100%	Based on interviews undertaken during evaluation period [4], The Data and Information Coordinator of PCU quickly earned and continues to command the respect of colleagues region-wide.
Ecosystem assessment and associated training courses	6 courses	75% of total achieved	4 courses held and 2 courses are due in Jan-Mar and Jul-Sept 2011 accordingly.
Research Cruises organised and carried out	7 cruises	94% of total target achieved, overall 21 cruise will be carried out	Planned delivery was 16 cruises. Actual delivery until August 2010 was 15. Since then a further three cruises have taken place and another three are planned for December 2010 and 2011.
Individual Cruise Reports based on adopted reporting protocol	7 cruises		
Additional Deliverables and By-products			
Publications with results of cruise data collection and processing	None	45 abstracts related to cruises	These were not included in the original Project Document
Mechanisms are created to continue received important oceanographic information	None	15 partnerships established related to Outcome 1 (Table 5, page 24)	Such mechanisms were provided through partnerships set up on initiative of the ASCLME project.

Table 13 Schedule of Completed and Planned Cruises

#	*Description*[30]	*Time frame*	*Completed/ Planned*
1	East coast of Madagascar, Mauritius, Mascarene Ridge, Seychelles, Mozambique Channel[31]	Oct-Dec 2008	Completed
2	North Mozambique, west Madagascar, Comoros, Seamounts[32]	Oct-Dec 2009	Completed
3	LOCO Moorings (east Madagascar), ATLAS Moorings (France, Mauritius, Seychelles)[33]	Sept -Oct 2010	Ongoing
4	ARC (Agulhas Return Current) Mooring	Oct-Dec 2010	Planned
5	US Navy seismic current measurement (new technology under test on R.S. Algoa – ASCLME will receive data)	Jan-Mar 2011	Planned
6	ROV Research Cruise for coelacanth location and habitat identification – South Africa (Sodwana Bay)	Apr-Jun 2011	Planned
7	LOCO Moorings (Mozambique Channel and east Madagascar), ATLAS Moorings (France, Mauritius, Seychelles)	Oct-Dec 2011	Planned
In addition, SWIOFP is planning a pelagic cruise on the southern Mascarene Plateau in December 2010 onboard the R/V Dr Fridtjof Nansen. The EAF-Nansen and SWIOFP requested ASCLME's participation to cover the oceanographic aspect of the ecosystem assessment. ASCLME is planning to send three scientists.			

The MTE recommends that issues related to publications and copyrights are cleared and a brief overview of alternative to offshore activities is developed.

[30] A detail breakdown of these cruises is presented in Annex I.

[31] The 2008 cruise season consisted of 6 different cruises, each with its own sailing orders and cruise report produced at the end.

[32] The 2009 cruise season consisted of 5 different cruises, each with its own sailing orders and cruise report produced at the end.

[33] The LOCO and Atlas cruises were grouped under a single cruise with one sailing order and one cruise report despite the different objectives, scientific personnel, etc.

Responsibility	*Task*	*Time frame*	*Deliverable*
PCU	Inquire UNOPS/UNDP on copyrights related to publishing of information collected during the project, since the majority of work has been financially supported by GEF through UNDP/UNOPS.	By 2010 end	A letter from UNOPS/UNDP on corresponding provisions of rules of operations and procedures.
PCU/Scientific Team	Prepare an overview of alternative activities for piracy-affected countries directed at collection of data required for filling the gaps for MEDA-TDA/SAP process.	By 2010 end	A positioning paper (or a section in an overall report on research) to be disseminated in the countries among corresponding stakeholders (governmental and scientific)
PCU	Develop a summary on funding provided and leveraged by the project. In addition to the budgetary information, some insight on added value in terms of additional info generated by the joint effort is to be also presented	By 2010 end	A summary to be provided to GEF, IA, EA and also within the participating countries.

5.3.6.2. Output 1.2: Nearshore fisheries and ecosystem data collection.

149. In order to compensate for the lack of ship's access to the northern area of the Project, more effort and funding have been channelled into nearshore ecosystem data collection and capacity building, including the acquisition of nearshore sampling equipment and training in the use of that equipment. Countries have been asked to produce clear nearshore monitoring workplans in order to justify the deployment of this equipment. It is still planned to undertake shore-based fisheries surveys for genetic studies in 2011. This will include both phylogenetic and stable isotope studies and advanced taxonomic identification training. Overall, activities within Output 1.2 have been evaluated as **Satisfactory**.

Major Deliverables	Planned Delivery	Actual Delivery	Remarks
Development of a Road-Map to capture hard-copy artisanal/subsistence fisheries data	Apr-June 2009	Achieved, 100%	
Selected nearshore fisheries field surveys & data collection	May 2011	Not due yet	
Sample processed for national and regional collections	Oct 2010 - Sept 2012	Not due yet	According to workplan this deliverable is expected at the end of the project, which obviously excludes using results of sample processing in this project
A training workshop for nearshore ecosystem assessment programme is organised	Apr-June 2010	Achieved, 100%	
National nearshore ecosystem monitoring work plans	Dec 2010	Ongoing, achieved 50%	To be completed in 2010
Provision of equipment to countries for nearshore ecosystem monitoring	May 2011	Ongoing	Related to the monitoring work plans provided by the countries (see above item)
Abstracts for publication submitted	Dec 2011	Not due yet	
Peer review of scientific papers and reports related to this output	Dec 2011	Not due yet	
Integration of Scientific Findings into MEDA/TDA process	June 2011	Not due yet	

5.3.6.3. Output 1.3: Critical habitats data collection (e.g. nursery areas, spawning grounds, threatened & endangered species habitats)

150. Critical Habitat analysis and data capture has been progressing in 2009 and 2010 with the majority of the desk-top analysis completed to date and much of the validation of RS images along with habitat mapping underway. Final map products for every country are due by the end of 2010 for incorporation into the MEDAs and to be shortly followed by a publication. The ASCLME Landsat image server is complete and on-line. The server is a comprehensive, free archive of best–quality Landsat images available for all ASCLME countries, optimised for marine and coastal applications. Activities within Output 1.3 are evaluated as **Satisfactory**.

151. The progress to date in more detail:

- Review of existing data products and in-situ data sources complete
- Acquisition of Landsat images for the region complete (USGS archive (SLC-on, SLC-off, 1999-2003, 2003-present), GeoTIFF, WGS-84, all visible and panchromatic bands)
- Online Landsat image archive established, complete
- Image analysis majority complete
- Identification of field sites complete - Mozambique, Tanzania, Madagascar, South Africa (turbid/deep/seagrass sites from which no existing in-situ data are available)
- Surveys for validation – one complete.

Major Deliverables	Planned Delivery	Actual Delivery	Remarks
Desk-top analysis of existing data sourced and activities	June 2010	Achieved, 100%	
Partnerships/MoUs finalised with other initiatives (e.g. ODINAfrica, WWF, IUCN, etc)	June 2010	Achieved, 100%	Formal agreements with WWF, IUCN[34].
RS images and data for habitat mapping validated	Dec 2010	Ongoing, achieved 80%	
National desk-top data sorting and analysis	Dec 2010	Ongoing, achieved 60%	
Regional synthesis of data for integration into MEDA/TDA process	Dec 2010	Not due yet	

5.3.6.4. Output 1.4: Invasive species and marine pollution data collection

152. Specific activities are now underway on the assessment of invasive species problems in WIO (particularly from ballast water and hull fouling) as well as the threats from marine-based pollutants (ship discharges, oil and chemical spills, gas and oil exploration, etc). This is planned to result in long-term monitoring plans and recommendations accompanied by training and capacity building for port assessments and shipping enforcement. Tasks within this output are being jointly undertaken with IMO (the international Maritime Organisation). These activities will also develop guidance for the countries on legal and policy re-alignment in order to comply with the various appropriate conventions. Rating for this output - **Satisfactory**.

Major Deliverables	Planned Delivery	Actual Delivery	Remarks
MoU with IMO for training, Convention ratification and related activities, etc)	March 2011	Ongoing	
Desk-top study (of harmful species, pollution sources, contingency plans, etc) completed	Dec 2011	Ongoing	

[34] Agreement with IUCN is currently under completion.

Major Deliverables	Planned Delivery	Actual Delivery	Remarks
Recommendations for long-term monitoring	March 2011	Not due yet	
Proposed guidelines for legal, policy and institutional reform	March 2011	Not due yet	Represents an input into P&G component (Section 5.3.6.8)
Training workshops held for control/ management of invasive species and pollutants	3 workshops until June 2012	1 workshop held, achieved 30%	
Integration of regional assessment into MEDA/TDA process	June 2011		Again coincides with delivery of the regional TDA in June 2011.

The MTE recommends that activities related to the development of guidance for legal, policy and institutional reforms is to be synchronised with activities within Output 1.8, Policy and Governance component, since one of major reports on the assessment is due already in Nov-Dec 2010. This link is to be established at operational level. Similarly, such links are to be established with the MEDA/TDA/SAP process. Deliverables of this Output are on the critical path of the TDA/SAP delivery, so they need to be monitored very closely.

Responsibility	*Task*	*Time frame*	*Deliverable*
PCU	To establish coordination links with P&G Working groups activities	ASAP	Input into P&G assessment report
PCU	To establish coordination links with MEDA/TDA/SAP process	ASAP	Input into regional TDA

5.3.6.5. Output 1.5: Baseline information obtained on persistent organic pollutants (POPs) within the LMEs through use of key indicator species

153. Until September 2010 the assessment of Persistent Organic Pollutants (POPs) has not been started and is still being planned. IRD is the partner agency on this activity and they decided that they were not ready to carry this out until the end of 2010. The information was relayed to PSC and the activity was then postponed until late 2010-early 2011. The overarching contract necessary for the full POPs work programme has not finalised by UNOPS and the French IRD until mid 2010. This activity has therefore now been re-scheduled for the latter part of the Project and is expected to start later this year or in early 2011. The corresponding contract was planned to be signed in October 2010. It is expected that final result will be delivered by mid-2011 enough in advance for input into the TDA/SAP process. Rating - **Marginally Satisfactory.**

Major Deliverables	Planned Time of Delivery	Actual Time of Delivery	Remarks
Final report on POPs and associated indicator species for use in TDA and SAP	June-August 2010	Expected June 2011	Activity has not commenced yet.

The MTE recommends that activities related to contracting are sped up. The contractor is to be rather quick to deliver enough in advance for input of the study's findings into the MEDA/TDA.

Responsibility	*Task*	*Time frame*	*Deliverable*
UNOPS	To complete as quickly as possible all procedures related to contracting.	Urgent	Contract is issued, work under the contract started
PCU	To follow execution of the contract very closely in order to ensure timely delivery of final products.	June 2011	Final report of the study

5.3.6.6. Output 1.6: Coastal Livelihoods Data Collection

154. The Coastal Livelihoods Assessment (CLA) component was initiated as an additional component to the ASCLME Project after the 2nd Steering Committee meeting in 2009. This was requested by the PSC at the first meeting in Durban (South Africa) in 2008, as it was identified as an important component that had been omitted in the original project plan and not included in the original

budget allocation. It was recognised that a good understanding of many different coastal livelihood activities (in addition to the bigger sectors such as fisheries and tourism) was critical to inform the MEDA/TDA/SAP process. In general, it was felt that the importance of inshore coastal areas had perhaps been underestimated as far as the overall LME programme was concerned, and that the inshore and coastal zones were priority areas for the participating countries. It was requested by the countries that this aspect needed to be addressed by the Project. The CLA component was subsequently developed and incorporated into Outcome 1 to assist in gathering of baseline information to inform the MEDAs. This component was funded from the existing Project budget, by reallocation from savings on ship-based work in the northern ASCLME area that had to be suspended due to security issues (see paragraph 107).

155. The CLA component has been operational from April 2009 and was scheduled to be completed by July 2010, however, is being delayed for completion to December 2010. This activity is implemented in close coordination with Output 4.1 (DLIST, Section 5.3.6.20). The progress of this activity is presented in the table below.

Sector/Activity	% complete	Completion date
Fisheries	95%	15 September 2010
Tourism	75%	15 October 2010
Mariculture	100%	
Mining	40%	20 October 2010
Oil and gas	0%	20 October 2010
Agriculture and Forestry	100%	
Ports and Shipping	100%	
Combined multi-sector CLA country reports		31 October 2010
Country review		15 November 2010
Integration into MEDA		15 December 2010

156. Overall, results of this output, rated **Satisfactory,** provide a critical input into the MEDA/ TDA process.

5.3.6.7. Output 1.7: Ecosystems Approach Cost-Benefit Analysis

157. A valuation of ecosystem services (Cost-Benefit) study has been scheduled to begin in October 2010 and continue through to March 2011 (advised by University of British Columbia, USA). The study forms a part of the Governance and Policy component (Output 1.8). The ASCLME Project plans to make use of the outputs of the CLA in a number of other activities. Emphasis has been put on issues related to fisheries, tourism, and mariculture. As of Sept 2010 the countries provided direct assistance to this activity through national experts who have provided in-country reports. Regional country experts are currently being contracted to assist in this process. This activity is also implemented in close coordination with Output 4.1 (DLIST, Section 5.3.6.20). Rating - **Satisfactory**.

Major Deliverables	Planned Time of Delivery	Actual Time of Delivery	Remarks
National Reports submitted (peer reviewed)	June 2011	Not due yet	
Integration into MEDA/TDA process	Sept 2011	Not due yet	

5.3.6.8. Output 1.8: National and Regional Level Policy and Governance Assessment for Ecosystem-based Management

158. P&G assessment and further recommendations are considered very important for one of the future key Outputs of the Project, the regional SAP. This was clearly understood by the Project Director, and he recommended to the First PSC Meeting that they adopt and include a permanent position within PCU, the Policy and Governance Coordinator. The Policy and Governance Coordinator was recruited in 2009. The P&G Coordinator has an impressive track record in the evolution and development of policy and governance initiatives in the marine environment and is well-known both regionally and globally.

159. The whole process should have commenced in May-June 2009, however, was started much later. Currently, the P&G component progresses very well. An international consultant, an esteemed recognised expert with extensive experience in environmental law has been recruited and is currently leading the whole process. One of the presentations delivered at the 3rd PSC meeting was devoted to an overview of foreseen activities within the P&G component, as well as expected outcomes. Shortly after the PSC meeting, a workshop was organised by PCU and facilitated by the international consultant. As reported by the meeting participants this meeting had set the scene for further activities within this component of the project. Country representatives presented detailed analyses of the national legislative and regulatory base in relation to policy and governance.

160. The key issues of concern remain those dependent on the coordination of activities with the sister projects. The meeting referred to above included individual experts involved in both ASCLME and SWIOFP projects and specialising in fisheries (e.g. Kenya, Seychelles), and in ASCLME and WOI-Lab Projects - on land based and coastal activities. An important joint meeting with the SWIOFP project was agreed upon to be held and co-sponsored by SWIOFP in January 2011. By that time the Cost Benefit Analysis will be finalised. The January meeting is prepared as an integrated 1st CBA meeting and 2nd P&G meeting. This approach as recognised by the Evaluator ensures the provision of required input from the P&G component to the MEDA/TDA/SAP process in time. The country reports will contribute to the MEDAs, and the regional assessment and recommendations - to the TDA/SAP.

161. Overall, progress of this activity is rated **Satisfactory**.

Major Deliverables	Planned Time of Delivery	Actual Time of Delivery	Remarks
Regional P&G Scoping Workshop	Sept 2010	Achieved, 100%	Resulted in clear agreements for further activities, reporting templates and deadlines
Regional P&G Experts Meeting to finalise draft report (to be organised together with the SWIOFP)	Nov 2010	Jan 2011	
P&G Assessment Report to Project (to be included in the MEDAs/TDA)	March 2011	Not due yet	
Policy brief for each of the participating countries, which include the major issues to address and performance indicators.	Nov 2011	Not due yet	This is not a part of the project workplan, but additionally introduced by P&G coordination team
Recommendations for immediate and longer term solutions and improvements (to guide the SAP)	Dec 2011	Not due yet	

5.3.6.9. Output 2.1: National Data Handling and Management

162. National and Regional Data Handling, rated **Highly Satisfactory**, are on schedule according to the workplan. Support to each national data handling institution continues throughout the Project life-cycle and data processing from the research cruises and the coastal work is also an on-going process. Country counterparts/coordinators are submitting annual reports to the MEDA-TDA process on national data handling and management which also helps to advise the PCU on further needs and requirements which may justify minor budget amendments. The delivery date for the synthesis of all national data handling and management needs in terms of a final report from each country for the MEDAs is December 2010 and the project expects all countries to meet this deadline. Having looked through the draft MEDAs developed by all countries the MTE shares the Project's confidence that this work will be completed on time.

163. PCU coordination - the countries are very happy with support from the responsible officer (the Data and Information Coordinator). All interviewees appreciated commitment and clear guidance received. The communications established between the countries and PCU are effective and support other activities dependent on data and information.

164. All data collected by ASCLME or related projects are reported by the Project to be available to researchers from the region. A section from the Data Management Agreement appended to all the sailing orders states: "*Raw OR processed data collected by scientists under the ASCLME Project shall be immediately available to the Regional Information Working Group (made up of national Data and Information Coordinators) for the sole purpose of (internally, not for distribution) informing the TDA/SAP, should it be necessary*."

Major Deliverables	Planned Time of Delivery	Actual Time of Delivery	Remarks
Synthesis of existing national data relevant to MEDA/TDA process	Dec 2010	Not due yet	
Assessment of national data handling capacity needs	Sept 2010	Achieved, 100%	
Annual National Data handling and management reports	Dec 2009	Achieved, 88%	All countries provided except Comoros
	Dec 2010	Not due yet	
Peer review of reports as MEDA sections	Dec 2010	Not due yet	
Report from the Regional Workshop on Data Management	Sept 2010	Achieved, 100%	
Contributions to/input into MEDA/TDA/SAP process	Dec 2010	Various level of progress in countries	

5.3.6.10. Output 2.2: Regional Data Handling and Management

165. All data generated by the research activities are lodged on a shared FTP server, all D&I Coordinators have access to them. This is the central database at present. All processed oceanographic data will be lodged at (i) NODCs, (ii) SADCO, (iii) WOD, WOA, (iv) Ocean data portal (IOC/UNESCO).

166. A regional data and information management plan has been prepared by the Project, and this translates the data agreements into action, using existing tools where possible, and takes national, ODINAFRICA, WIO-LaB, and SWIOFP activities and plans into account. The plan also ensures that data are lodged at national data centres, and that the requirements of all participants are met.

167. The Project has hosted three regional COG (ASCLME National Coordinator's Group) meetings in 2008 and 2009 and in August 2010 hosted the second regional meeting in Nairobi of all the Data and Information Coordinators who are the lead contacts in each country for the MEDA process. MTE participated in this meeting. Another meeting was held in Mombasa in July 2010 to discuss technical aspects of programme-level coordination of data management activities; attended by ASCLME, SWIOFP, WWF, UNEP, ODINAFRICA and CORDIO.

168. Overall, the progress is rated **Satisfactory**.

Major Deliverables	Planned Time of Delivery	Actual Time of Delivery	Remarks
Synthesis of national data handling and management reports into overall regional status, needs and gaps report	March 2011	Not due yet	
Peer Review of Report	March 2011	Not due yet	
Contribution to TDA process	June 2011	Not due yet	

5.3.6.11. Output 2.3: GIS and predictive modelling

169. Activities related to GIS and predictive modelling[35], rated **Satisfactory**, cut across a number of components, notably: Critical habitats (Output 1.3), Data management (Outputs 2.1 and 2.2), Capacity

[35] And also remote sensing - see Output 2.4.

building and training (Output 3.5), MEDA/TDA/SAP (Outputs 3.1, 3.2, and 3.3), Long-term monitoring plans and ecosystem indicators (Output 2.5).

170. Activities address the synthesis of the baseline spatial and synoptic data into data products of a spatial and temporal scale appropriate for LME management and governance. These data are to form the basis for the long-term monitoring programme.

171. In addition to the above the Project is carrying out data collection (data mining), data reviews at the national and regional level, and some specific studies for the production of baseline datasets, as well synoptic updates and prediction of future scenarios. Data management and dissemination is integrated with the following existing portals:

- The African Marine Atlas Project (IOC/UNESCO), with which SWIOFP is also a partner;
- The Nairobi Convention Clearinghouse Mechanism (WIO-LaB and UNEP supported).

Major Deliverables	Planned Time of Delivery	Actual Time of Delivery	Remarks
Spatial digitising road-map and work-plan adopted	Dec 2010	Not due yet	
Sub-regional/regional workshops	Sept 2010	Achieved, 50%	Completed.
	June 2011		Not due yet
Abstracts and publications as appropriate	Sept 2012	Not due yet	
Contribution to TDA process	March 2011	Not due yet	

5.3.6.12. Output 2.4: Remote Sensing and Multi-Dimensional Mapping

172. Activities related to remote sensing and multi-dimensional mapping, rated **Satisfactory**, also cut across a number of components. Remote sensing of marine and coastal features and processes complements the *in-situ*, ship-based and shore-based field work of the project. Remote sensing of nearshore marine habitats has been an important part of the critical habitats component, and together with the GIS activities, remote sensing data will be used to produce a significant portion of the baseline data product series for the ASCLME Project, as well as used to track key indicators for the long-term monitoring of the ASCLME ecosystem.

173. The Project has supported or co-funded several training activities for RS, including the EU-JRC Ocean Colour course, and the 2010 Data Buoy Cooperation Panel training courses.

Major Deliverables	Planned Time of Delivery	Actual Time of Delivery	Remarks
MoU with IRD	Sept 2010	Being completed	
Acquisition of software/hardware	June 2009	Achieved, 100%	
Sub-regional/Regional Workshop	June 2010	Not due yet	
Peer Review of Report	March 2011	Not due yet	
Abstracts and publications as appropriate	Sept 2012	Not due yet	
Contribution to TDA process	June 2011	Not due yet	

5.3.6.13. Output 2.5: Adoption of indicators and monitoring practices for an ecosystem approach

174. Effective management of LMEs depends not only on knowledge of their ecosystems and current status but also on how management interventions manifest themselves in change. By monitoring ecosystems, changes over time can be tracked, and coupled with an indicators programme, changes can be measured against predefined criteria. This allows to measure the effectiveness of the management interventions, and through a process of adaptive management, to improve and optimise these interventions to the greatest effect.

175. A monitoring and indicators programme is required to allow measuring the effectiveness of the implementation of the SAP. As with the other components of the ASCLME, by grounding the

monitoring and indictors programme in the MEDAs and having national institutions facilitating the monitoring effort, benefits to participating countries are optimised, as well as the sustainability of the programme.

176. Long-term data series, while required for a monitoring and indicators programme, will also be useful for scenario prediction, to assist countries to predict and mitigate impacts of expected change caused by anthropogenic or natural factors. Data sets may be generated by field sampling as well as by remotely sensed information from aircraft or spacecraft-borne sensors.

Major Deliverables	Planned Time of Delivery	Actual Time of Delivery	Remarks
Review and adoption of TWAP Indicators as appropriate	March 2011	Not due yet	
Sub-regional/Regional Indicators & Monitoring workshop(s)	June 2011	Not due yet	
Report on LME indicators and monitoring programme, gaps and needs	June 2011	Not due yet	
Peer Review of Report	June 2011	Not due yet	
Contribution to TDA process	June 2011	Not due yet	

5.3.6.14. Output 2.6: Adoption of Common Fisheries Policies and Practices for Nearshore and Artisanal Sector

177. This Output, evaluated as **Satisfactory**, is implemented through a joint partnership with NOAA and AU-WB SPFIF Project. The ASCLME Project acts as a broker to support countries in developing Concept Papers and Full Submissions to SPFIF for artisanal/subsistence fisheries management funding through the close intervention and support of a NOAA Fisheries Consultant based at ASCLME. As a result of this tripartite partnership, a draft Concept paper for a Project in Mozambique entitled 'Strengthening the Environmental Sustainability and Economic Value of Community-Level Artisanal Fisheries along the coast of Mozambique' has been developed to be finalised for submission before 2010-end. Two more concept papers are under development: a Concept to support Comoros in developing an effective National Fisheries Management Plan and another one for a regional western Indian Ocean MCS support project focusing on the sustainability of community-level fisheries livelihoods. It is expected by the Project that some standardised monitoring and reporting procedures can be identified for inclusion in the MEDA/TDA/SAP process in 2011-2012. Countries are further encouraged to request assistance from the PCU in identifying potential SPFIF funding and on the development of Concept for submission to the SPFIF Regional Advisory Committee (RAC).

Major Deliverables	Planned Time of Delivery	Actual Time of Delivery	Remarks
A draft Concept paper for a Project in Mozambique finalised for submission	Dec 2010	Achieved, 80%	Has been developed already.
A Concept to support Comoros in developing an effective National Fisheries Management Plan	Sept 2011	Expected as Planned	Under negotiation – approved in principle
A regional western Indian Ocean MCS support project focusing on the sustainability of community-level fisheries livelihoods	Sept 2011	Expected as Planned	Under negotiation – approved in principle
Proposed standardised monitoring and reporting procedures (including transboundary monitoring and enforcement)	June 2011		
Adoption of policies and practices into MEDA/TDA/SAP process	June 2012		

5.3.6.15. Output 3.1: National Marine Ecosystem Diagnostic Analyses (MEDA) Production

178. Production of the MEDAs is an additional stage introduced by the Project into the classic GEF TDA/SAP process (see paragraph 120). A National and Regional approach to the delivery of the TDA

and SAP was discussed early in the implementation phase through visits to each country by an ASCLME team. Agreement was reached to develop a national Marine Ecosystem Diagnostic Analysis (MEDA) for each country first and then amalgamate those into a regional TDA. This, along with the regional meeting of the national COGs in Mauritius, built a strong constituency of country support at the technical level as the countries could see a real, concrete benefit at the national level. In the beginning the plans were to develop a TDA for each of the two LMEs addressed by the project, however, currently only one overarching regional TDA is being prepared.

179. MEDA development process is closely coordinated by the PCU. An outline of MEDAs has been prepared and agreed with the countries so they all provide compatible information for further integration into a single TDA. The PCU established day-to-day communication with all countries regarding MEDA text, specialist work, and content of their national reports. Furthermore, the Data and Information Coordinator and/or other PCU staff undertook a number of MEDA troubleshooting trips to various countries including visits to Tanzania, Comoros, Kenya and Madagascar. Draft MEDAs were also reviewed and comments provided to the countries.

180. A regional meeting was held in Nairobi in August 2010 to discuss the progress and outstanding issues. The meeting was held by the PCU with participation of all countries. The Evaluator also participated. Report on this meeting is currently available at PCU and at the project's web-site.

181. Currently, draft MEDAs are available for each of participating countries. They vary a great deal in terms of information they are based on and level of detail. Particularly, this is an issue for the countries affected severely by the piracy threat, and, therefore, for which the Project could not have assisted with its ship-based offshore research programme.

182. Overall rating applied for this output is **Satisfactory**.

Major Deliverables	Planned Time of Delivery	Actual Time of Delivery	Remarks
National MEDA/COG workshops/status meetings	Aug 2010, March 2011	50% Achieved	One series of meetings held
Regional CoG meetings	4 meetings	75% Achieved	Up to date three meetings were held
Draft national MEDAs to PCU for review	Apr-Dec 2010	100% Achieved	
Peer Review of MEDAs	March 2011	Not due yet	
Contribution to TDA process	June 2011	Not due yet	

5.3.6.16. Output 3.2-Output 3.3: Regional TDA and Regional SAP Production/ Adoption

183. Delivery of planned results under these outputs are critical for success or failure of the Project, since they do represent THE two main outputs. However, implementation of the activities envisioned has severely suffered from a series of factors, which are in their majority beyond the Project's control. For instance, in order to deliver an effective TDA and SAP additional data collection and analysis tasks had to be developed and implemented that had not been included or budgeted in the original Project Document, a series of judgments on the state and dynamics of the LMEs have still to be made based on insufficient knowledge available in the region, the absence of ONE constituency in the region to take over the TDA and SAP for further implementation, and also the lack of feedback envisioned by the Project Document between the regional SAP and corresponding actions at national and local level in the countries (so called NAPs - National Action Plans).

184. The project and PCU had to be very adaptive to overcome built-in at the Project development stage and emerging challenges. A number of processes have been initiated in parallel, i.e. a series of independent technical and capacity building tasks. However, the introduced MEDAs required substantial time for their preparation leaving less than 2 years for completion of the regional documents. As highlighted by a number of representatives from international organisations and other project stakeholders during interviews, proper consultations on regional priorities, on the one hand,

and the need to incorporate inputs from various projects (WIO-LaB - land-based activity-related issues, SWIOFP - commercial offshore and inshore fisheries, etc.) heavily unsynchronised in time of implementation, on the other hand, makes the task of timely production and adoption of TDA and SAP hardly possible within the time and resources available.

185. Since according to the Project's workplan the key activities and deliverables are due in 2011 and 2012, moreover, serious project adjustment decisions need to be made (see Section 6.2.1) on the whole process of TDA/SAP development (see Section 5.3.3), **rating has not been applied** for these two Outputs.

5.3.6.17. Output 3.4: Financial Stability and Partnerships

186. As already mentioned in Section 0, the ASCLME Project was very (pro)active in establishing partnerships. These partnerships, besides bridging the gaps in co-funding as per ProDoc because of a reduced support from the ACEP, also generate additional funding for activities directly linked to the objectives of the Project. An overview of these partnerships and their links to the Project Outcomes is included in Table 5 on page 24. It is very important that the partnerships established on initiative of the ASCLME project link together various regional and global players, and it is very likely that these partnerships will last longer than the current GEF intervention, especially if they can be properly consolidated and coordinated over the long-term through a WIOSEA-type arrangement.

187. There are also two separate issues, which the Project has to be addressing within this Output, notably: the establishment of effective Inter-Ministerial Coordination mechanisms and organisation of a Donor conference. Besides the fact that tangible results within both components are not yet due at the time of MTE, the PCU has presented a clear vision on what is being planned for implementation. There are a number of inter-ministerial cooperation platforms in the participating countries. They differ in terms of tasks and objectives, as well as a level of governmental and administrative representation. As reported by the Project, the Inter-ministerial Committees (IMCs) have been formed in Seychelles, Mozambique, Mauritius, and Tanzania. The Project P&G Coordinator actively works to form IMCs or other inter-ministerial coordination mechanisms in other participating countries. Policy level programme steering committee, the Policy Advisory Committee (PAC), has also been established and is currently active.

188. Rating applied for this Output is **Highly Satisfactory**.

The MTE recommends that the IMC mechanisms are built on the basis of already existing arrangements and/or bodies available in the countries. Donor conference envisioned by the Project Document is organised in the format of WIOSEA being promoted by the Project.			
Responsibility	***Task***	***Time frame***	***Deliverable***
PCU	Develop an overview of inter-ministerial coordination platforms available in the countries and recommendations on possible IMC for the LMEs governance.	March 2011	A scoping paper
PCU, UNDP-GEF	Prepare a clear proposal on the West-Indian Ocean Sustainable Ecosystem Alliance as decided at the GEF STM in Nairobi (March 2010), initiate regional discussions on mechanisms how to make such an alliance operational. This task is recommended to be coordinated with Stakeholder and Partnership Symposium/roundtable envisioned under Output 4.2.	March 2011	A positioning paper/proposal

5.3.6.18. Output 3.5: Capacity Building and Training for Scientific and Managerial Sustainability

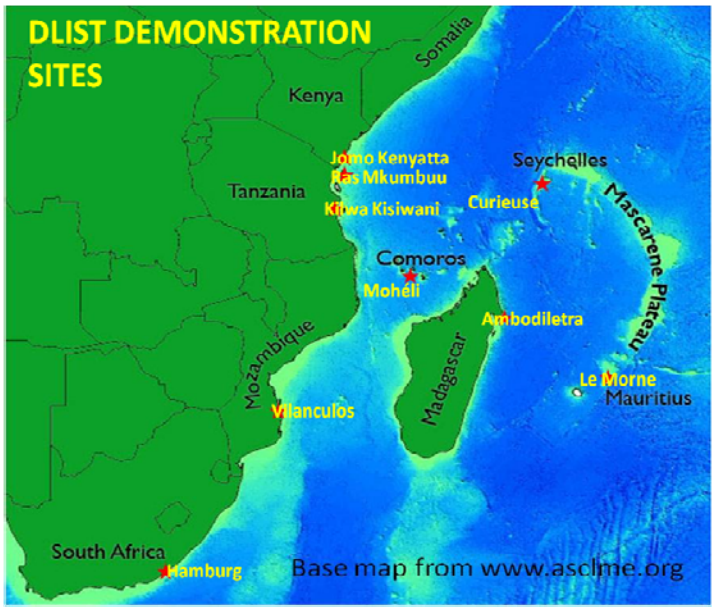
189. Besides the fact that CB&T has been separated out as an individual Output, evaluated as **Satisfactory**, it does cut across a number of other Outputs and activities. This is why, a detailed overview is included in a separate Section 6.5.2 on page 96 discussing cross-cutting activities.

5.3.6.19. Output 3.6: Political ownership and sustainability

190. The key activities within this Output, rated **Satisfactory**, include the preparation and holding of the GEF Stock Taking meeting (Section 4.2.1) and debates on Science-to-Governance (Section 6.1.3). All activities are focused on the development of skill set to bridge the gap between science and the decision-making process. In addition, this Output links to Output 3.4 (see above) in terms of the establishment of national Inter-Ministerial Coordination mechanisms/platforms.

5.3.6.20. Output 4.1: Community Level Communications and Management (DLIST)

191. This component was included as a separate activity at the Project Document stage. The DLIST (Distance Learning and Information Sharing Tool) programme was established to promote the sharing of information and ideas between a range of *'coastal players'* that include governments, industry and the private sector, and most importantly local communities. DLIST's emphasis is intended to communicate, and thus promote, effective environmental stewardship, such as the design and execution of management alternatives and actions, and sustainable livelihoods—with coastal and marine resources as the foundation.



192. DLIST started in 1998 in the BCLME coastal areas. After the WSSD in 2002, the DLIST initiative was funded by the GEF as a Medium-Sized Project, partly to promote the MDGs in the LME framework with the BCLME as a testing ground. By 2006 it was recognised as a good practice in promoting a *'bottom up, top down'* approach to development, and it became a part of the preparation of the ASCLME Project. DLIST is also a *Community of Practice (CoP)* that consists of registered users, from Government to all sectors of society, that share the common interest of promoting equitable and sustainable development. The DLIST toolkit includes: a web-based platform (including CoP), distance learning courses, film festivals, and demonstration sites – 9 sites in 8 countries (see Section 6.5.2 and the figure to the left).

193. Since this component was built-in into the work programme since the very beginning, one can not say that its activities had been harmonised with expected outcomes of the ASCLME Project. Similarly to the BCLME Project, there was and is a considerable difference in scale of activities and issues addressed by big LME-based interventions and activities on the ground by DLIST. There are positive and negative aspects of such a synergy.

194. A negative point is that ASCLME Project being a regional intervention and addressing *'bigger'* issues of LME management moves either much slower than DLIST, or at a very different level. During interviews DLIST representatives indicated a number of examples of administrative delays with payments and/or contracts but those seem to be resolved by PCU and UNOPS by the time of MTE. On the other hand, there are many examples of proper cooperation between the PCU/UNOPS and DLIST[36], e.g. re-location of additional budget for certain required activities, increase a number of demonstrational sites if compared with the ProDoc, etc.

[36]DLIST representatives reported having no major problems with payments or deliverable processing once paper work has been properly done: *'The DLIST progress reports have been approved fast and there have been no delays of payment of the tranches caused by the PCU.', 'DLIST have always have good support from UNOPS and the tranches have been paid on time and according to contract once the deliverables have been approved by the PCU.'.*

195. The good point was that, by embedding the DLIST project into the overall ASCLME Project, there is an easier acceptance of DLIST at higher levels of the governments. This advantage is very important, since one of the main objectives of DLIST is to crystallise the ground level agenda and then drive it upstream, as well as to promote a *'top down, bottom up'* dialogue. During the DLIST BCLME this was a typical encountered problem as DLIST was not embedded in the BCLME Project itself. Another important point is that DLIST has been recognised by a number of country representatives a one of the most visible project activities at communities level.

196. Embedment of a DLIST component into an LME project has also both positive and negative sides. An obvious discrepancy of the scale of intervention and wide spread location of demonstration sites require considerable coordination efforts by the PCU and DLIST, and the topics piloted at these sites are somehow different from the main focus of the Project, is well compensated by the fact that DLIST provides a good pathway to the local level (and not only local - see the paragraph above) in the countries. "W*hile there are bad points having DLIST embedded in a large project there are also good ones, and I believe the latter outweigh the former*", as one of the interviewees pointed out. A good example of a proper coordination of certain activities of the Project and DLIST is the fact that some tasks implemented in a coordinated manner with those of Outcome 1 (Coastal Livelihoods Assessments, Cost Benefit Assessment of Ecosystem-based management to communities, MPA, critical habitat management strategies for coastal communities, etc.) are implemented through the DLIST component (see deliverables table below).

197. The CoP operated by DLIST is supported by the Evaluator as a platform for discussing community level (and also more general) issues. Being himself a part of this group for some while, the Evaluator experienced productive discussions on a number of issues, like coral reef protection measures, alternative species for fisheries (*Tilápia* sp.), how to do a community project in emission reduction, Zanzibar joint beach cleaning campaign, etc. Level of participation in these discussions is rather high. It is though recognised that participation of local communities representatives are limited by language capacities and literacy, as well as by the lack of access to reliable electronic communications at local level. Nevertheless, it is hoped that such a tool could be further utilised by the ASCLME project for various project issues.

198. Distance learning courses, also developed and being implemented by DLIST, cover Stakeholder Participation and Environmental Engineering – Sustainable Development in Coastal Areas. Currently, three more new courses are under development: Coasts and Currents of WIO-region, Environmental Health, Global Environmental Issues.

199. Perception of the effectiveness of DLIST's approach is somehow different depending on a party interviewed. The main impression of the Evaluator is that DLIST's products are well received in a 'social' dimension as DLSIT have apparently worked closely with NFPs while selecting Demonstration Sites and seem to have been able to capture the key interests of the communities concerned. In the same time, the reporting/analysis provided and investigations carried out have been criticised by some stakeholders. DLIST in its current implementation is very much biased (limited) towards people who are either living in a Demonstration Site or who have access to email/web. Based on feedback collected, two current weaknesses of DLIST could be mentioned, notably: (i) the lack of mechanisms for replicating/scaling of successful impacts and (ii) inadequate access to modern technologies (and a common communication language) at community level limiting a wider engagement of the communities themselves. Both aspects are recommended to be addressed during remainder of Phase I and also at the stage of formulating Phase II activities of the DLIST component.

200. Implementation of activities and results achieved within this outcome are rated by the Evaluator **Satisfactory**.

The MTE recommends that a more close attention is paid by both PCU and UNOPS to following the planned schedule of payments. It is critical for the Project's image that there are no payment delays once the envisioned work has been completed and submitted deliverables are reviewed and

accepted by PCU/UNOPS. For the next Phase of ASCLME the MTE recommends to better plug future DLIST activities in the overall scheme of the LMEs governance. A more extensive involvement of private sector representatives will also be beneficial for future sustainability of Project impacts. Besides, replication/scaling mechanisms are to be developed for a wider access of communities in the region to successful practices (and also lessons learned) developed/applied at the current Demonstration Sites.			
Responsibility	***Task***	***Time frame***	***Deliverable***
PCU, Project Development Team	While designing next Phase of ASCLME - to ensure a better correspondence of DLIST activities to the issues directly dealt with within the future TDA/SAP and to envision a better utlisation of already established tools (e.g. CoP) and scaling/replication mechanisms.	When developing next Phase of ASCLME	Corresponding sections of Project Document
PCU, UNOPS	To introduce a better planning for new contracts/payments to avoid unnecessary delays	For new contracts	Timely processing of contracts, payments

5.3.6.21. Output 4.2: Key policy stakeholders sensitised and engaged in LME process through appropriate packaging and presentation of LME information and concepts

201. Communications with various stakeholders, rated **Satisfactory**, has been under focus of the project management team since the Project inception. For instance, the First Regional Project Coordination Forum was organised and hosted by ASCLME already in October 2008, one year after the Project start. This received support from all ASCLME countries and the associated Projects working with marine environmental management issues. It provided an excellent opportunity to review the work going on within WIO region in terms of marine resource and ecosystem management. Similarly, several meetings have taken place between ASCLME and its sister projects (SWIOFP and WIO-LaB) including attendance at each other's PSC meetings.

202. A more detailed discussion on stakeholder participation is included in Section 6.7 on page 99.

Major Deliverables	Planned Time of Delivery	Actual Time of Delivery	Remarks
Draft Communications Strategy circulated to stakeholders	Sept 2010	100% Achieved	
Communications Strategy finalised for SAP adoption	June 2011	Not due yet	
Draft Private Sector Engagement Strategy circulated to stakeholders	Sept 2010	2011	This has been written but not yet circulated
Stakeholder and Partnership Symposium/roundtable	June 2011	Not due yet	

5.3.6.22. Output 4.3: Media Outreach

203. In terms of media outreach, evaluated as **Satisfactory**, ASCLME reports to put considerable effort into this area. A detailed list of Project publications is presented in Annex G.

204. The Project circulates regular Press releases for events such as the various Ship's receptions that have been hosted around the region whenever the research ship(s) went into a port. Media and country dignitaries and VIPs are invited for such events. A number of briefings have been made (models of R/V Nansen, etc.) to Ministers. School tours of the research vessels have been arranged. The Project also developed school kits, which were handed out, comprising of pens, rulers, erasers and pencil sharpeners. Adopt-a-drifter campaigns with various schools are also done so children wrote their names on satellite drifters and were able to track them afterwards by a school computer. A series of presentations have been made at schools and to South African SciFest on ASCLME which were also aimed at the younger generation. In addition, the project produced nicely designed Polo Shirt and Office portfolios which are very popular and effective at raising awareness.

205. Besides, two movies have been produced on ASCLME-related topics, i.e. an educational film and a promotional film. The latter aimed at policy-makers and is short (approx 8 minutes) but with a sharp message. It was introduced to the PSC at its last meeting in Tanzania.

206. More details on the media outreach component is presented in Section 6.6 on page 98.

Major Deliverables	Planned Time of Delivery	Actual Time of Delivery	Remarks
ASCLME Promotional/Education Film completed	Dec 2009	100% Achieved	
ASCLME Policy Briefing Film completed	Dec 2010	100% Achieved	The movie was presented at PSC meeting in Dar Es Salaam (Sept 2010)
Various media articles (on-going)	Permanent		
Promotional materials	Permanent		See paragraph 204 above.

5.3.6.23. Outputs 4.4 and 4.5: Communications, Education & Outreach

207. Despite considerable communications/outreach efforts in general (i.e. website, newsletters, movies, etc.), some activities, particularly the education and private sector parts of this component, have not effectively started by the time of MTE. The PCU reported to be planning to initiate those in early 2011 as indicated in the table below. More discussion on communication and outreach is included in Section 6.6.

Major Deliverables	Planned Time of Delivery	Actual Time of Delivery	Remarks
Educational Guidelines and Awareness Briefings for Schools developed and distributed		Not yet clear	These activities have not yet started. PCU plans to initiate them in early 2011. The final products are to be still defined.
Support delivered in Educational Awareness Raising at College/University level			
Private Sector activities and engagement workshops			Presentation delivered at the last PSC meeting. This activity has also not defined.
Website Developed	Early in Project	March 2008	Achieved; continuous updates anticipated throughout Project lifespan
Newsletters	Once per annum	Feb 2009; Oct 2009; April 2010.	2007/2008 period covered in first Newsletter released early 2009; 4 page update published for 5th GEF IW conference; 2009 period published in 2010, jointly with SWIOFP; rebranded to recognise joint newsletter.
Blog			As part of the website, a Blog was developed, which is designed to provide a more informal and immediate "window" into the Project's activities particularly during cruises. The availability of full time Internet on the Nansen particularly facilitates this.

5.3.6.24. Output 4.6: Coordination with ASCLME Sister Projects and Other Partners/Programmes

208. Close coordination of all three projects under the ASCLME Programme is vital for ensuring the Programmatic approach in WIO. However, actual coordination at the operational level, as well as coordination of joint deliverables (i.e. the regional SAP), represent the main challenges for the ASCLME Project. Despite the fact that Directors of all sister projects try their best to implement the project in a coherent way, the current situation raises serious concern that the belatedly expected input from the SWIOFP would cause major delivery problems for the ASCLME, which is responsible for the production and adoption of the regional TDA and SAP. This is why, this output is rated

Marginally Satisfactory, however, this rating is mainly reflects and caused by the factors, which are beyond the Project's control. More discussion on this situation, as well as proposed solutions are presented in Section 6.2.1.

Major Deliverables	Planned Time of Delivery	Actual Time of Delivery	Remarks
Joint Project Director's Meetings	2 meeting	100% Achieved	It is not clear why only 2 meetings are scheduled. There is an obvious need to arrange for more meetings, in particular within the TDA/SAP process. Moreover, the PDs meet at every occasion and as reported this happens at least twice a year but these meetings are not always formally planned. So, the target included here (2 meetings) is seen as misleading.
Joint Steering Committee Meetings	March 2009, Sept 2010	100% Achieved	Up to date there are 3 official joint meetings - 2008 (3 projects), 2009, 2010 (ASCLME&SWIOFP).
Joint LME Project Meetings	3 meetings	100% Achieved	
Regional Project Coordination Forum	3 meetings	66% Achieved	One meeting is planned to be organised in Sept 2011
IW:LEARN 3 - development of Regional Partnership and sub-Saharan Africa hub	Dec 2010	Expected March 2011	Not originally planned in ProDoc. This is something that ASCLME has been pro-active in developing. Dec 2010 was set as initial target when discussed with IW:LEARN in August 2010. Due to challenges in funding of this activity it was suggested to postpone until 2011 while negotiating on further partnership funds through Rhodes university and UNESCO.

6. Key Issues

6.1. The Strategic Context

6.1.1. GEF Programmatic Approach

209. An early conclusion of discussions among IAs and the GEFSEC resulted in the decision to undertake the Programmatic Approach. The envisaged multiple-project, multi-agency sponsored Programmatic Approach was to constitute *"…a new way of addressing the management challenges confronting LMEs, in that the three Implementing Agencies of the GEF will each be involved and work together through the three or possibly four linked projects"*[37]. The intent of the new approach was to ensure a more unified approach to environmental management operations in the Agulhas and Somali Current systems, minimise the transaction costs associated with ensuring regional cooperation, reduce the complexity of management interventions, progressively leverage higher levels of investment and policy commitments from the region, and draw on the different institutional capacities of the three GEF Implementing Agencies based on their comparative advantages.

210. Further, the need to build capacity within the science community in the region and on behalf of these two LMEs, combined with the lack of management capacity and overall lack of understanding of the two systems, made an integrated approach to the ASCLMEs seem appealing. The programmatic framework was expected to institutionalise an ecosystem-based management approach to utilising and protecting the ocean resources of WIO based on solid science and underpinned through development of effective environmental governance region-wide. Unfortunately, based on interviews undertaken within the 1st periodic internal project evaluation [4], this was an attempt to force a well coordinated approach that would rely on effective and close collaboration among the IAs and each of the three sister-projects. In reality all three projects though tried to be closely coordinated at the project level by management teams are implemented by the corresponding IAs without serious consideration of others. This has already caused a major delivery problem for the ASCLME Project. The key Project's outputs, namely the regional TDA and SAP, are forced to be delayed in time to fall out of life-span of the current phase of the Project. In other words, the actual implementation of GEF interventions by various IAs and concrete projects still have to be coherently re-aligned to represent a joint push towards the sustainable ecosystem-based management of coastal and marine resources of the region.

211. Though fully supported by MTE, based on the interviews and personal experience in WIO region, as a principle the GEF Programmatic Approach has to be tailor-made to the current situation in the region. This would mean further development and introduction of strong coordination mechanisms for the production of joint deliverables like regional TDA and SAP.

6.1.2. The Piracy Threat

212. The piracy threat has affected the current ASCLME Project drastically in terms of scope of activities and areas of interventions. The ASCLME Project has been so far forced to be highly adaptable to emerging threats and to significantly revise the original work programme in order to provide envisioned outputs and achieve the targets set out in the Project Document. There are numerous examples of such adaptive management, i.e. introduction of additional activities (CBA, CLA, MEDAs, etc.). However, despite significant attempts there are still vast areas of WIO still not covered by the ASCLME Project activities and, hence, providing no knowledge on the processes in and dynamics of the ecosystems. This reduces the reliability of informational support to the decisions on LME governance. In this circumstances, as the Project Director underlined at the last PSC meeting, the known limitations in data coverage should not put the whole process in 'moth balls'. Decision-makers should not wait until statistical 95% confidence level is achieved but allow to start operating at much lover confidence achieved so far, and try to get additional knowledge as circumstances allow in

[37] As described in the Concept Notes in both the UNDP and WB submissions for the ASCLMEs.

future. In order to assure for reasonable level of knowledge generated remote sensing tools are to be used to the maximal extent. This is why, the Project has been very active so far in putting those means in place.

6.1.3. Science to Governance and Governance to Science

213. As mentioned above, the management process of marine ecosystems requires accurate 'best assessments' of status, trends and predictions. These are usually provided by science. Policy makers need supporting tools to prioritise actions within the countries for an effective management versus funding available nationally. The approach needs to be adaptive to capture the inputs from changing/improving information and forecasts. In any sense, scientific data and knowledge are essential to guide and advise management and policy, despite effects of various factors limiting the accuracy of knowledge and information. When this scientific basis is not available, as in the case of WIO, targeted research and studies could serve as effective tools to define the baseline. However, reliable quality assured information requires detailed and repetitive studies over a long time period, and such studies/monitoring need substantial financial support. In many areas of the world such knowledge is generated by the corresponding scientific institutions and individual scientists. In case of WIO managers and policy-makers cannot risk waiting for these 'confident' conclusions and have to act faster to protect the interests of their stakeholders, since there is no currently reliable and scientifically proved knowledge available.

214. This has implications for the ASCLME Project as well. The data/information generating activities of the Project have progressed very well and have provided important knowledge on the processes within WIO's LMEs. MTE supports the excellent data capture and monitoring work from the ASCLME Project's cruises which have provided required information and built a solid foundation for further long-term LME Indicator Monitoring for Adaptive Management. In the same time, as indicated during the MTE interviews the studies revealed new 'unknowns' and gaps to be capped by further scientific studies beyond the Project. Time and resources available within the ASCLME Project and other projects in the region are quite limited and focused onto specific issues. Moreover, GEF funding is not envisioned for a full-fletched scientific research. All this leads to a two-way approach to be implemented by the Project:

215. **Science to Governance** - there is a common understanding by ASCLME Project's stakeholders that scientific component has been one of the most advanced and resulted in significant increase of knowledge in the region. A large number of scientific publications is one of the most tangible by-products of the Project. However, often scientific knowledge is not tailored to the parameters, which could be used directly by decision- and policy-makers. This is why, one of the recommendations of the current MTE exercise to the scientific team of the project (Table 6) is to develop an overview (or a positioning paper) of/on expected results and how the results could be used i) in the TDA/SAP process and ii) in a longer-term for the LME management. The paper is to summarise and present in an easy-to-understand popular language which the main findings were and how the overall knowledge gaps identified at the Project development stage have been addressed by the Project.

216. On the other hand, on the **Governance to Science** front, managers and policy-makers need to better define the information that they need (scientific) and what are their priorities in terms of decisions to be supported. In order for this relationship to be effective there needs to be a better understanding by the 'Users of the Information' of the implications of scientific results/conclusions. A good balance of sensitivity and pragmatism of the decision support by research activities is to be assured. Similarly, the scientific guidance given to policy-makers needs to be realistic in its understanding of wider policy issues. As recommended by MTE (Table 7) in terms of specific technical activities - parameters of data retrieval, maps, etc. are to be clarified from the point of view of decision-making information needs.

217. It should be mentioned that the need to address this issue is clearly seen by the Project Director. In his presentation at the last PSC meeting he laid out the following approach (called a Dynamic Management Approach) being taken by the ASCLME Project:

a) Moving immediately from the Precautionary approach to identify appropriate indicators that will provide an early 'indication' of trends

b) Seek to reach a Weight-of-Evidence (WoE) that can give managers and policy-makers sufficient confidence upon which to act (even if not 95% certain)

c) Use this WoE for predictive modelling to support conclusions and upon which to compare continued monitoring of Indicators

d) Fine-tune models and guidance to Managers and Policy-Makers as move toward acceptable confidence limits

218. The proposed approach seems to have advantages to both Scientific community and the Policy makers:

a) The approach will raise the profile and importance of science generally in the policy-making and management process and encourage more support and funding to arrive at more reliable results but also will also provide more precise guidance to the scientific community on which areas of research are likely to attract funding.

b) This approach will take decision-making beyond the 'precautionary' approach which is often based more on supposition than strong evidence and which therefore leaves policy-makers feeling vulnerable and indecisive, and it will also provide senior government leaders at the economic/finance level and management level with clearer guidance on where to prioritise activities and funding in terms of research (this also extends to the funding agencies of course).

219. The establishment of close links between Science and Governance in the long run will form a sound platform for SAP implementation in future.

6.1.4. The Western Indian Ocean Sustainable Ecosystem Alliance (WIOSEA)

220. Being one of the key decisions of the GEF STM in Kenya in March 2010 the establishment of the WIOSEA is also a probable way to succeed in setting up the required institutional platform in WIO. The participating countries and key international players in the region openly oppose any new commission(s) established for WIO LMEs, especially in the presence of existing, mandated regional bodies (e.g. Nairobi Convention, SWIOFC, WIOMSA, etc) that already have the official responsibility for many of the objectives of the LME approach, as well as having the political, scientific and technical history in the region. However, they all seem to support a more 'virtual' establishment of a facilitating/coordination entity as the WIOSEA is proposed to be. There are still many issues to be sorted out such as a format, mandates, financial arrangements and funding, etc. All this would require intensive technical and diplomatic negotiations and day-to-day activities in the coming years. The ASCLME Project seems to be in the best possible position to take the lead in this process, moreover, the Project has already done so while establishing partnerships, which are meant to last beyond the current GEF intervention.

6.1.5. PSC Meetings

221. PSC is effectively an important tool established by the project. Cooperation between the Project and PSC is good and the Committee provides good oversight of the Project (Section 4.5.4). However, intervals between PSC meetings significantly exceed a year. This means that the picture presented to and discussed by the PSC at its meeting is a snapshot of a very dynamic process as the ASCLME Project is. Within the nest 2 years of the Phase I, when deliverables will be provided by various activities quite frequently, and the need to a more intense involvement of the countries in decisions made becomes obvious, such long intervals in discussions on the Project issues can become a factor, which slows down the whole process. There are two key points to this:

a) The current mechanisms of involvement of national FPs have to be improved. This would mean additional support of the project to in-country coordination.

b) A mechanism is to be developed by PCU and agreed with PSC members for an additional wider group discussion similar to the PSC-format forum. Such forum should take place in time between the regular PSC meeting.

222. Besides, the current practice of close coordination of the sister-projects (including ReCoMap) in holding joint PSC and other technical meetings is advised to be continued. The regional character of the ASCLME Project, as well as other projects does require a regional and multi-sectoral platform for decision-making.

The MTE recommends that			
Responsibility	***Task***	***Time frame***	***Deliverable***
ASCLME Sister Projects	To review/evaluate the current cooperation within the ASCLME Programme and to re-confirm/ or revise its main goals/targets as appropriate and fitting the current state of affairs.	During SAP development process.	An updated concept of the Programmatic approach given the current circumstances
PCU	To summarise all negative effects on the ASCLME Project by the piracy threat (and other risks beyond project control) with special emphasis on the draw backs caused.	During TDA development process - as outstanding issues analysis	An overview of knowledge gaps
PCU	To further develop the Science to Governance/Governance to Science approach linking the scientific and governance component of the Project.	Idem, but to be further elaborated during SAP development.	As described in Section 5.3.2.

6.2. The Planning Context

6.2.1. Project Re-alignment

223. As already introduced in Section 5.3.3, in order to account for the current developments within SWIOFP and to eventually develop a sound regional TDA and SAP, a re-programming of some of activities and delivery targets from the current ASCLME Project could be seen as the best possible option. This would allow for strengthening the foundations and partnerships (including political and financial sustainability) with the understanding that any extension to the ASCLME Project would, as its first major responsibility, amalgamate all of the TDA and SAP inputs across the three (or even four - coastal zone management issues addressed by the ReCoMap) projects into a single TDA/SAP process that would already have political and financial commitments in place to ensure its sustainability (Annex G).

6.2.2. Project Timing and Phase II

224. The ASCLME Project is scheduled for completion in August 2012, five years after the actual project start. The project commenced very efficiently without major delays and effectively delivering so far against the work programme. Expenditures fully correspond to this pace of implementation (Section 5.3.5). One of the key conclusions therein is that there will be no funds left in the Project budget after the planned completion date, moreover, it could be a challenge to complete all activities envisioned (and also the ones added on request of the PSC) as planned. The Evaluator believes the existing end date is realistic to achieve full implementation of the activities[38]. Thus, there is no time extensions seem to be feasible for the ASCLME Project Phase I. Having said that, the Evaluator strongly recommends the PD to start negotiations with UNDP-GEF and GEFSEC rather soon and well in advance to get the Phase II project shaped up and agreed by the GEF, IA/EA, and the countries. There are many loose ends at the moment in terms of strategic directions and specific targets for Phase II.

[38] Except the ones requiring urgent addressing and re-alignment as discussed in this report.

225. It is also believed that the transition from Phase I to Phase II needs to be smooth and timely not to lose the high level of PCU capacity, which has been built so far.

The MTE recommends that no extension is foreseen for Phase I and a smooth transition into Phase II is ensured. The current ASCLME Project's delivery targets are recommended to be revised to ensure that all inputs into regional TDA and SAP are provided by corresponding sister-projects.			
Responsibility	***Task***	***Time frame***	***Deliverable***
PCU	Start negotiating the key elements and objectives of the ASCLME Phase II with parties involved, e.g. GEFSEC, IAs, participating countries, partners.	Until August 2010	Agreement on Phase II key objectives, an outline of PIF.
PCU/ UNDP-GEF	Intense negotiations with relevant agencies and the countries on details of the re-alignment.	ASAP	As described in Section 5.3.3.

6.2.3. Sustainability

226. The sustainability of the Project is mixed. There is an ostensibly reasonable institutional foundation in terms of current agreements and partnerships established but one which is dependent upon regional coordination process and financing, the prospects for which, based on precedents and current performance, look particularly vague in the long term. Socially, there appears to be widespread popular support amongst the regional institutions which in places are well motivated towards the overall Project's objectives. Given that the MTE has to provide a single ranking, it does so evaluating the likely sustainability of the Project as **Marginally Satisfactory**. More details are presented in the sections below.

6.2.3.1. Institutional Sustainability

227. The institutional sustainability of the Project is difficult to call. There are no current institution or commission to take over whatever the Project will have delivered. The proposed WIOSEA is still a concept without detailed elaboration of a specific mandate, funding sources/mechanisms, protocols, etc. It is to include a big number of regional players, which are very difficult to coordinate. Though seems a good final target, the specific shape of it might be well changed on the way through. One of the key challenges for the project is to properly embed these institutional mechanisms into the future SAP implementation network(s).

228. Moreover, a sound ecosystem-based management system in WIO LMEs needs to be based on reliable information and data on the LMEs. Currently, the ASCLME Project leads the process of coordination and integration of these data. However, it is not clear to the Evaluator, who can be playing (and who will be paying for) this role in future, since the overall data depository is to be multi-national and multi-disciplinary and going beyond responsibilities of any individual institution involved.

229. These challenges are being currently addressed by the ASCLME Project. It is hoped that by the time of the Terminal Evaluation the above issues are clearly resolved and regional solutions developed and supported by the regional institutions and participating countries.

6.2.3.2. Financial Sustainability

230. Likewise institutional sustainability mechanisms, there are no clear agreement seen by the Evaluator on how the very successful so far partnership setup will operate beyond the Project, unless the WIOSEA approach becomes formally adopted. To some extent, the financial sustainability is directly linked to the institutional one discussed above. However, a good example of nearly 10-fold increase (against the ProDoc - see Section 5.3.5) in countries co-funding for the ASCLME Project makes the hope of this to happen more realistic. Some country representatives indicated during interviews that the ASCLME Project will assist in establishing a longer-term monitoring system in the region, and this system though being a regional by nature will be financially supported from governmental sources for each national segment. However, there is no solid commitment of the

countries and regional institutions at the moment to do so. Such an uncertainty with future funding sources, rather typical for this sort of interventions, impose additional risks to the future operation of technical systems developed and installed by the project. These risks are to be monitored and addressed on a regular basis.

231. At the local level, the Project is seen to have worked so far mainly through its DLIST-implemented activities. It is not quite clear how the demonstration sites are promoted regionally and whether any scaling-up activities are envisaged. Since one of recommendations of the MTE was to coincide the future DLIST component (if any) of Phase II with the TDA/SAP-related focus, financial sustainability provisions including new economic instruments and/or financial mechanisms could be investigated throughout the region.

6.2.3.3. Social Sustainability

232. The prospects for social sustainability of the Project's achievements appear diverse. Significant amount of work has been undertaken in awareness raising at the international/regional level and this is largely through a suite of promotional materials and films, the production of joint (with sister-projects) newsletters, leaflets, and other promotional items. However, not all of them are really effective in getting across the central message of the need for the integrated ecosystem management rather than the ASCLME Project as such. Particular interest represent the 2 movies produced by the Project. A promotional film presented to the GEF IW family at the last IWC in Australia received a lot of support. Another film, a short (about 8 min) popular movie for decision- and policy-makers, which contains a number of strong messages was presented to the PSC at its last meeting in Dar Es Salaam. Both movies are considered by MTE as very effective means of popularising the ASCLMEs and the corresponding GEF intervention(s). Along with the newsletters, the films are recognised regionally as a good way to reach out to various stakeholders at the regional and international level.

233. Situation at the national level in the countries seem to be not that clear, particularly in the Francophone countries of the region and Mozambique. And again, considerable efforts are made by the Project to allow for effective outreach activities in these countries as well (not only at technical level but also at political level through dedicated policy briefs being prepared by P&G Component) but this still has been reported by a number of interviewees as a weaker side of the project. Undoubtedly, the Project has to engage to a larger extent the national networks led by the National Focal Points. On the other hand, the countries (all national stakeholders) themselves have to recognise it as being also one of their own weaker sides. A joint effort from the regional (PCU, PSC) and national (FPs, Working Group Coordinators, etc.) levels will not only provide required conditions for reaching the national level in the countries but will be a channel to go down to the local level in participating countries. The messages the Project needs to communicate are not easy, since integrated ecosystem management is not a concept that is simple to explain, but by concentrating on simple issues, and in particular those that directly affect people's lives, the Project will certainly achieve the required progress.

234. At the local level, visibility of the Project is quite low. This has been indicated by a number of stakeholders. A number of positive comments have been received from country representatives on DLIST activities and demonstration sites. The countries welcomed the decision to increase the number of those from 3 as included in the Project Document to the current 9 demonstration sites. As already mentioned in the corresponding Section 5.3.6.20, the DLIST's Discussions portal represents a good means to involve national experts and populace into discussions on various topics, which are mainly related to activities at the local level. An obvious disadvantage is that the discussions are supported in English language only, which *a priori* imposes some limitations in terms of an even regional representation. As noted by the Evaluator, mainly Anglophone countries' representatives are active in these discussions.

235. An important aspect related to the social sustainability relates to CB&T activities of the Project, particularly those devoted to the local level. A detailed discussion on CB&T component is included in Section 6.5.2 onwards in this report.

6.2.3.4. Summary Evaluation of Sustainability

1. Rating - Marginally Satisfactory

2. The MTE recommends that

Responsibility	*Task*	*Time frame*	*Deliverable*
PCU/ Partners	Develop long-term provisions within the partnerships established for sustainability beyond the project life-span.	SAP drafting	Corresponding provisions included in the regional SAP
PCU, SAP drafting team	Financial sustainability needs to be built-in in any measures to be included in SAP.	SAP drafting	
PCU, Economic team	Investigate a possibility of any economic instruments and financial mechanisms at the local level for replication/scaling-up of practices introduced by DLIST.	Before developing Phase II DLIST	Sections in ProDoc for Phase II
PCU, Communications Experts, NFPs	Develop a concept how to involve more closely national FPs and national networks in communications and outreach activities of the Project. This is particularly important for non-Anglophone countries.	ASAP	A concept paper developed and agreed with the countries

6.3. SWOT Analysis

236. During each interview the Evaluator was requesting to point out up to five aspects representing the major achievements and main issues related to the ASCLME Project implementation. Based on the feedback from interviews with key stakeholder groups, a SWOT[39] analysis has been carried out within the current MTE exercise.

237. Internal strengths of the Project as identified during the interviews appear to be linked to a strong project implementation team and the high quality results of technical activities within the first three project years. Likewise one of the major impacts of the project so far is the atmosphere of cooperation and trust between all the countries involved. This has been mentioned by a number of interviewees from various participating countries.

238. As regards internal weaknesses, a number of responses were obviously connected with administrative operation and belated payments. This situation has been discussed in detail in the corresponding sections of the report. In the same time, a series of interviews brought out concerns of the project stakeholders related to activities and image of the Project within the countries including presence of PCU in the countries and coordination of IMC mechanisms throughout the region. As indicated by country representatives the latter is not seen as a matter of priority by the national governments, so additional efforts of the Project will be required.

239. As expected, there are a number of opportunities seen by the stakeholders, some of which are directly result proactive work of the Project team in the region. These include such aspects as a strong leading/coordination role in a series of regional processes and developments, collaboration within the ASCLME Programme, and deployment of thematic and inter-sectoral working group. All this has formed a solid background for further development and introduction of a sound ecosystem-based LME's management system in WIO. Very important is the fact that the WIOSEA (though some of the stakeholders did not mention this name) establishment was supported by representatives of participating countries and also by international organisations active in WIO. These achievements have set the scene for further cooperation within WIO and the whole Indian Ocean.

[39] SWOT stands for Strengths-Weaknesses-Opportunities-Threats.

Figure 7 Summary of SWOT Analysis of the ASCLME Project

	POSITIVE	NEGATIVE
INTERNAL FACTORS	STRENGTHS	WEAKNESSES
	Technically strong and dedicated Project team	Practices of late processing/payments, unnecessary complicated procedures, miscommunication between PCU and UNOPS
	All structures required for effective project implementation are in place and operational	Low involvement of local communities/NGOs and insufficient visibility of project activities on the ground
	MEDA approach allowed to bring together both national and regional science - good cooperation practice	The current Project's approach to TDA/SAP does not include NAPs related activities because MEDAs were not originally planned. ASCLME was able to find enough funds for the MEDAs but not for the NAPs. Some mechanism needs to be developed through the countries to translate MEDAs into NAPs.
	There are many examples of all 9 countries working together which created atmosphere of trust between the countries	Sometimes communications between PCU and NFPs leave out the FPs and go directly to country experts, hence, FPs feel to be not adequately informed and involved. In general there is a need to involve NFPs more to raise their profile in their own countries.
	Data gathering and storing (data management) practices are efficient and form a basis for future	Coordination of consultancies deployed by the Project is sometimes not sufficient
	The Project created good opportunities for training of regional experts	There is not enough interest in the countries in establishing IMC mechanisms - the project requires to support in-country activities
	A multi-sectoral approach to LMEs' ecosystem management	Since the project area is vast, physical presence of PCU staff in the countries is not always provided - in-county PCU representation as recognised by some stakeholders is feasible. However, it is appreciated by the Evaluator that the current PCU staff are very supportive to the countries needs and travel significant portion of their time.
	Very high quality of technical project results	
EXTERNAL FACTORS	OPPORTUNITIES	THREATS
	A leading coordination role and strong image of the Project at regional and international levels	Piracy threat leads to some research activities to be cancelled, alternative studies do not cover the knowledge gaps identified at ProDoc stage and limiting sound ecosystem-based management
	Institutional structures established effectively work and provided required guidance	Asynchronous implementation of sister-project under the ASCLME Programme leads to the need of re-alignment of some project final deliverables
	A strong coordination between sister-projects, joint events including PSC meetings, P&G workshop	Unclear prospects for the ASCLME Phase II
	There is support to the establishment of the WIOSEA - a likely future platform for the regional TDA and SAP	There are no current and stakeholders are not supporting to a new constituency to be established in WIO. Other options considered required substantial coordination effort, negotiations and time for formalisation.
	Good mechanisms established for involvement of the countries in the project steering process, very effective feedback	Varying level of national capacity in the participating countries
	Strong coordination mechanisms put in place - Regional Working Groups (D&I, CLA, CBA, Cruises, P&G, etc.)	A lot of processes in the LMEs are not known meaning no proper answers could be provided to governance. Similarly the processes are not limited by LMEs only but play an important role within the Indian Ocean.

240. However, the regional developments are directly linked as seen by the Evaluator to serious external threats. Majority of these threats are beyond the Project's control and form the boundary conditions for Project achievements. However, some of them, e.g. unclear situation with ASCLME Phase II, insufficient level of countries involvement, etc., could be adequately addressed by the Project in the remainder of Phase I.

241. More details and findings are presented in Figure 7.

6.4. The Management Context

6.4.1. Country Ownership

242. The MTE is pleased to be able to report that there appears to be considerable country buy-in, rated **Satisfactory**, to the Project at all levels of Governments, although the acid test remains over the continued funding of a number of activities at the local level and at all levels once the Project ends, most importantly the funding of institutional structures for regional cooperation. Strong political will of participating countries is demonstrated by their active participation in PSC and support to the Project as such, and its management team, particularly the Project Director. The countries are also seem to be very supportive to a wide range of partnerships established by/with the Project.

243. The countries representatives are also appreciative of the increase of DLIST demonstration sites to cover all participating states. Since, as discussed above, the DLIST activities are the most visible at the ground level, country buy-in is the key to reach out into the countries.

244. Another important aspect is various CB&T activities, which also cover a wide range of stakeholders. These activities included not only academic type of training but also a series of hand-on training exercises, results of which could well be used by the countries after the project, i.e. the national monitoring schemes.

6.4.2. Project Management

6.4.2.1. Project Management Team

245. The MTE finds that, after difficulties with financial administration staff replacement, the Project now has a very good management team that are largely well-regarded among the country stakeholders. Technically the Project team appear extremely competent, with most activities implemented within solid conceptual frameworks, focussed clearly on the targets at hand and delivered in a cost-effective manner. One of the best compliments that the MTE can pay them is that they all seem to care about what and how they are doing. This level of dedication and effectiveness of all staff members is found by the Evaluator remarkable. Atmosphere within the technical team seems to be very friendly and cooperative. Daily routines and internal monitoring procedures are established and followed rather effectively. The newly appointed Financial Administrator is quickly catching up with the backlog and new arrangements are made well and in close contact with UNOPS team. However, there are still some residual effects of tendering results for the position of the Financial Administrator but the Project Director addresses those at the operational level.

6.4.2.2. Affiliated Regional Coordinators

246. One of 'success stories' within the project so far seems to be a group of regional coordinators for individual Project components. Some of the coordinators represent the PCU (D&I, P&G), others were deployed by the Project as consultants (e.g. CB&T) or by Project Partners within the partnerships established (i.e. Cruise Coordinator - SAIAB/ACEP). The Coordinators represent a bridge between the PCU being indispensable part of a 'bigger' Project implementation team and the national coordinators in each of the participating countries. This approach allows for realising a harmonised approach region-wide.

6.4.2.3. International vs. Regional Consultants

247. The PCU tends to utilise expertise from within the region. As Project Director reported during the interview, such an approach would in the long run equalise capacities of all countries in the region and is a cost-effective way of implementing project activities. As reported to the PSC budget spent on international consultants is about 1% of that utilised on the involvement of expertise and procurement within the Project area.

6.4.3. Adaptive Management

248. The ASCLME Project is a very dynamic intervention. From its inception a number of factors significantly affected its approach and implementation. The adaptive management showed by the Project as recognised by the Evaluator has been very effective. Starting from the need to re-adjust a number of project outputs at early stages of the Project through the constraints caused by the growing piracy threat in the region to the current absence of the institutional platform for implementing a regional SAP. The Project team, led by the Project Director, have always found ways how to compensate for the circumstances and propose concrete steps how to address those challenges. As an example, the following correction/adjustment steps were made by the Project with full support from the PSC:

c) Detailed reviews of Project Outcomes' composition - once in the inception phase and after 2 years of implementation. The changes clarified the Project's approach of achieving the original targets as set out in the Project Document but accounted for emerging challenges and threats.

d) The decision to increase the number of ship-based days from 40 to 119 in 2008 to compensate for the forecasted fuel costs. As discussed in this report this decision has not only been a cost-effective way of utilising project budget but also brought additional benefits, i.e. additional knowledge early on in the project.

e) To introduce an additional step into the classic GEF TDA-SAP approach, namely: the MEDAs. This has been recognised both nationally (as expressed during the interviews by country representatives) and by the IA (as presented by the RTA in PIR2009). Similarly to the item above, this decision not only allowed to compile the national overviews of the corresponding segments of the LMEs but also significantly contributed to the capacity building efforts at the country level. The MEDA approach has been recognised as a success by all parties interviewed.

f) Introduction of a number of activities to replace the failed offshore research due to piracy risks by a suite of regionally-driven national activities related to analysis of various aspects at the local level in the countries, i.e. CLA, CBA, etc.

g) Establishment of P&G Component and initiation of its activities earlier than originally planned due to the obvious need to strengthen existing/establishing of new platforms for the TDA/SAP process. Currently, the report prepared by the team (with substantial financial and thematic support from the SWIOFP) is hoped to present the best possible options of the future regional cooperation.

h) One of the critical challenges in the early stages of Project implementation was the failure of one of the key partners included in the ProDoc (the ACEP) to provide the committed level of co-financing. As a result, some activities envisioned (e.g. those related to education and communications/outreach) were endangered to fail leading in their tern to Project's failing in the corresponding areas. However, due to an outstanding number of partnerships established on initiative of the Project, not only these activities have been or are successfully implemented but also additional ones started up. It should also be noted that although ACEP found itself unable to meet its co-funding commitments, it made every attempt possible to balance this through in-kind contributions (see Section 4.7).

i) The currently developed concept of establishing the WIOSEA as an institutional platform for cooperation within the SAP implementation but also beyond for a sustainable ecosystem-based management of the WIO's ecosystems.

249. The list presented above is not at all exclusive and could be further continued. The Project proved to be very adaptive and effective so far. It is believed by the Evaluator that the Project proposal for re-alignment of the key Project's activities being currently discussed between the PCU, UNDP and GEFSEC will be supported by all parties involved. As seen by the MTE - the situation in WIO is unique, presents a very challenging institutional and financial set up, and also is rather new in the whole approach to the LMEs management. There are many lessons to learn from and success stories to replicate in other geographical regions. All this makes the cost of possible failure too high. On the other hand, successful achievement of the Project's targets are highly dependent on the GEF, UNDP and other UN agencies and regional organisations to be also truly adaptive and strategic.

6.4.4. Cost-Effectiveness

250. Cost-effectiveness of the Project is ranked **Highly Satisfactory**. Several examples have been already presented in this report of the attempts to realise Project activities in a cost-effective manner. These include the implementation of activities with a view of emerging limitations, utilisation whenever possible of expertise from within the Project region, harmonisation of capacity building exercises throughout the region, tendency to develop feasible solutions with current and future cost implications in mind.

6.5. Cross-cutting issues

6.5.1. Data management

251. Along with the strong scientific research for the LMEs' management, the data/information related component is one of the strongest so far. Designed to support other information-hungry project activities, first of all the MEDA/TDA development, activities within this component currently cut across all technical Project's Outcomes. The corresponding D&I Working Group meets on a regular basis and coordinates approaches taken, tools used and products being developed in the regional perspective. A number of products have already been developed. Those are discussed in more detail in Section 5.3.2.

252. An important tool for the regional cooperation facilitated by the Project is the website. The website is updated on a regular basis, however, sometimes it isn't clear who from the PCU staff is dealing with certain specific issues. A more detailed contacts page is recommended to be included with a short description of responsibilities of staff members and also key Project players like WGs' regional and country coordinators. Some country representatives also proposed to set up a country-specific section (pages). If those sections are supported by the countries themselves (and may be in local languages as well), this could be a good way of transition of the Project's web site into a regional WIO portal.

253. More links between DLIST and scientific components of the project also seem feasible, since DLIST is well recognised at the local level in the countries.

The MTE recommends that			
Responsibility	***Task***	***Time frame***	***Deliverable***
PCU	Develop a concept (to be implemented in the ASCLME Phase II) of converting the Project's web site into a WIO web portal with country-specific sections managed by local web masters.	While developing Phase II ProDoc	Corresponding section in Phase II ProDoc
PCU	Training for web masters to be responsible for managing national sections of WIO web portal.	While developing Phase II ProDoc	Corresponding section in Phase II ProDoc
PCU	More links between DLIST and scientific components (MEDA/TDA) for Phase II	While developing Phase II ProDoc	Corresponding section in Phase II ProDoc

6.5.2. Capacity Building and Training

254. Another key output of the Project is that CB&T programme has been designed and delivered in relation to the development of the MEDAs, TDA and SAP. There is a need to identify institutional, programme and human capacity building requirements, and these are to be addressed through training initiatives. Key components of the CB&T programme of the Project include training events/courses, National Training Plans (NTPs), regular meetings of the regional CB&T coordination group, and contributions to the MEDA/TDA/SAP process in terms of data collection and processing (including research and cruise related) and other assessments required. So, all training and capacity building activities of the project are related to one of the two main components: (i) practical training including courses, cruises and workshops (see paragraphs 255-257 below) and (ii) methodological support within MEDA/TDA/SAP process (see paragraphs 258-259).

255. The CB&T component has been operational from the inception of the project. Most planned activities have been quite successful. However, some comments of the countries' representatives and FPs indicated that capacity built during these exercises has not been fully utilised so far by the Project (including the countries), e.g. some of regional scientists, who had successfully undergone pre-cruise training in Cape Town in 2008, did not participate in the cruises themselves since the cruises did not go into the corresponding countries. ASCLME's practice had been to use trainees and scientists from particular countries within that countries waters when the cruises were working there as this gave these people higher exposure to the scientific community in there own countries and allowed their political leaders to 'recognise' them when the Project had Ship Receptions in those countries. This is reported being addressed by PCU and the trainees will be able to join a cruise in 2011 within their countries waters.

256. Within first three years of the project training courses have been held in a number of countries (South Africa, Mauritius, and Tanzania). For 2011 the Project plans to hold training events in Madagascar, Seychelles and Mozambique, thus covering six of the nine participating countries. However, the project is planning to involve the three remaining countries via partner projects and organisations such as WWF and GloBallast. This issue is being addressed by the Project and was discussed at the 3rd PSC meeting in Tanzania in Sept 2010. The PSC being supportive in general to the status of CB&T activities requested to adjust the future activities according to the key partnerships developed, assisting with future training and sustainability of training courses. It will be important to ensure that training requirements are identified during the TDA/SAP process and undertaken using regional capacity where possible. A key challenge will be the identification and development of Regional centres of excellence as discussed by PSC (Tanzania, Sept 2010) and MEDA-TDA-SAP (Kenya, Aug 2010) meetings participants.

257. A list of completed CB&T activities includes: Two intensive Oceanographic training courses for cruise participants; UCT: 2008, 2009; Cruise participation completed - other than participants from Tanzania, Kenya, Somalia; Training on the use of inshore oceanographic equipment given to all countries by ASCLME at the Mauritius Oceanographic Institute in April 2010; EAF training in collaboration with FAO; GIS Atlas training; EU-JRC Ocean Color Course; SAEON/UCT oceanographic modelling course complete.

258. In 2011-2012 the following activities will be supported by the Project: DLIST course on Sustainable Development to be offered in Madagascar; DLIST course on Stakeholder participation to be held in Mozambique; Regional Training course – Training of trainers to be completed – Seychelles; Participants from Kenya, Tanzania, Somalia to participate on a research cruise; Taxonomy workshop to be prepared (one already successfully completed in 2010 for the Seamounts cruise); National course with WWF to be discussed; GloBallast: Training to be discussed within the ASCLME-GloBallast partnership.

259. Considerable CB&T support was required for the MEDA-TDA-SAP process. Administrative challenges already discussed above resulted in a substantial delay in undertaking the corresponding national training plans. Since information collected by the project is not homogenous and equally

supportive to the MEDA development in the countries, and as country capacity for accessing and providing the necessary data varies significantly from one country to another, reports provided also vary in the amount of information and detail.

260. Completed activities:

- National CB&T coordinators appointed.
- Outline of Training plans complete.
- Country Specialists appointed.
- Draft training plans received from 7 countries:

MEDA/TDA process country	Contract status	Draft training plan provided	Contract dates	Notes
Comoros	Being finalised	No	Jan 10 - Apr 10	Problems with completing contracting procedures - lacking country nominations, change of NFPs, etc.
Mozambique	Being finalised	No	Jan 10 - Apr 10	
Kenya	Complete	Yes	Jan 10 - Apr 10	First draft being assessed
Madagascar	Complete	Yes	Nov 09 - Mar 10	First draft being assessed
Mauritius	Complete	Yes	Nov 09 - Mar 10	2nd draft
Seychelles	Complete	Yes	Nov 09 - Mar 10	First draft being assessed
Somalia	Complete	Yes	Jan 10 - Apr 10	Waiting for 3rd draft
South Africa	Complete	Yes	Jan 10 - Apr 10	Waiting for 2nd draft
Tanzania	Complete	Yes	Dec 09 - Apr 10	First draft being assessed

261. As presented above, CB&T activities of the project are quite excessive. However, results of such an extensive training programme have been hardly evaluated by the project team. Most of monitoring of the effectiveness of training has been carried out qualitatively through expert assessment instead of using quantitative before-and-after questionnaires. Similarly, evaluation of long-term impacts of the training performed has not yet been planned and carried out. During interviews with country NFPs the effectiveness of training and capacity building activities of the project were persistently addressed. Most of the responses indicated a good level of satisfaction by the trainings so far. Besides, some of respondents were concerned with the fact that some of the training events organised by the project were designed for use of equipment and methods, which are not available in the countries. This mostly relates to research activities. In the same time, the training for use of oceanographic equipment to be used for monitoring is being developed at requests of the countries and is only for donated by the Project equipment. When the corresponding monitoring plans are submitted by the countries to and accepted by the PCU, such equipment for inshore oceanographic monitoring and specific training will be provided. It is herein recommended that the training programme has to be taking into account instrumental and methodological base of the countries. It was also recommended to the Project to be organising events within the countries using existing equipment rather than to train countries' experts on equipment not available for the corresponding activities of national institutions (e.g. research, monitoring, etc.).

262. Recommendations from MTE for CB&T component of the project include:

The MTE recommends that an evaluation exercise is to be prepared by PCU of the CB&T events which have been carried out by the project since its inception. This evaluation will show the impact training activities implemented had on the ground in the region. Similarly, M&E provisions are to be prepared for CB&T still to be carried out by the project. Long-term effects of the training events need to be also accounted for in related to the instrumental base and methodological capacity of the participating countries.

Responsibility	*Task*	*Time frame*	*Deliverable*
CB&T Coordinator, PCU	To prepare a programme for evaluation of the effectiveness of training carried out since the start of the project.	Until 2010 end	Evaluation programme of trainings implemented by the project since start

Responsibility	*Task*	*Time frame*	*Deliverable*
CB&T Coordinator, PCU	To develop a workplan related to CB&T activities still to be implemented by the project and incorporate M&E activities in relation to training in each training to be performed.	Until March 2011	M&E provisions in planned CB&T activities

6.6. Outreach and Communications

263. The ASLCME Project has reported to be moving more towards supporting community level activities in each country as this was not effectively covered in Project Document and majority of the activities so far. This was also required to compensate for the inability to capture offshore data in much of the northern area of the Project. The DLIST was always a part of the Project delivery and this has been expanded from the original plan for 3 demonstration community sites to one site in each country (8 sites plus one extra to include Zanzibar). As part of the ASCLME Project expansion other activities are implemented at the community level (Sections 5.3.1 and 5.3.4).

264. The Project regularly organises the Ship's receptions whenever research ship(s) enter a country. Media and country dignitaries and VIPs participate in such events. A number of briefings have been made (models of R/V Nansen, etc.) to Ministers. School tours of the research vessels have been arranged.

265. The Project produced nicely designed Polo Shirt and Office portfolios which are very popular and effective at raising awareness.

266. A joint ASCLME-WIO-LaB Promotional Film was completed in 2009 and was launched in Cairns, Australia at the 5th GEF IWC. This was then circulated in April with the 2010 newsletter to all countries and all stakeholders in the Project. A Policy film has also been finalised by the time of MTE and presented to PSC at its 3rd regular meeting in Tanzania. The Policy film is aimed at Policy makers and is much shorter than the Promotional Film. A number of media articles have been submitted and are listed on the website (see below) and certain promotional materials have been distributed to partners and stakeholders as appropriate.

267. The Communications, Education and Private Sector Outreach and Engagement activities have just been initiated by the Project, and their promotion within the countries is seen to become a new challenge. A corresponding team comprising a Communications Coordinator and Regional Educational Advisor supplemented by a group of country champions is being set up. The Project plans to develop the required outreach materials with support of a new Phase of the GEF IW:LEARN Project (IW:LEARN III). An important component of this activity will be developing mechanisms for engagement with the private sector. On school front, the Project developed school kits (pens, rulers, erasers and pencil sharpeners). Adopt-a-drifter campaigns with various schools are also done so children wrote their names on satellite drifters and were able to track them afterwards online. A series of presentations have been made at schools and to South African SciFest on ASCLME which were also aimed at the younger generation.

268. A concept of the Private Sector Involvement Plan was also presented to and supported by the PSC.

269. The ASCLME website (www.asclme.org) is online and provides a platform for regular communications between the Project and stakeholders. It became well known and widely used during the 2008-2009 cruise seasons and especially on the Seamounts cruise with IUCN. The PCU attempts to keep this function for the current cruise season. The Project has produced two major Newsletters as well as several interim updates. The latest newsletter was the first in a planned participatory process between ASCLME and SWIOFP and this new 'newsletter' partnership was christened by re-naming the newsletter *'Current Affairs'*. This newsletter also contained a copy of the joint ASCLME-WIO-LaB Promotional Film.

270. ASCLME has been working closely with IW:LEARN to develop a regional partnership and regional international waters hub for learning and capacity building within sub-Saharan Africa. Rhodes University has offered to act as this hub and to coordinate closely with other Centres of Excellence throughout sub-Saharan Africa so as to support workshops and sharing of best practices within and between the LME projects and other IW projects.

271. DLIST component of the Project besides implementation of a number of pilot projects at their demonstration sites provides an important tool for the regional (and beyond) communication platform (www.dlist-asclme.org). There are currently 10 ongoing discussions on important for the local economies issues, e.g Sustainable Coastal Fisheries in WIO, A Symposium on the Role of MPAs, Tilapia as an alternative for sea fisheries, Coastal Erosion in Tanzania and Sustainable Development, The promotion of LPG cooking gas, Zanzibar Beach Clean-up event, others. It is seen by the Evaluator important and positive that representatives from Somalia are also active. One of the discussions is titled "What can we do to improve the situation with the Piracy in Somalia?" showing regional attempts to address this issue at the local level as well.

272. As already discussed in this report, the ASCLME Project has been very active and efficient in reaching out to international and regional level. It is well known far beyond the Project area and is undoubtedly one of the strongest IW Projects. Nonetheless, the Project is inadequately presented, visible and known within the participating countries at the local level. It is clearly understood by the Evaluator that such a widely-positioned intervention, as the ASCLME Project is, can not be focusing on small-scale activities at the local level with the same level of efficiency. The MTE is in favour of the Project's decision to increase the number of the DLIST demonstrational sites (from 3 to 9) as a means to reach out deeper inside the countries. The additional funding to be provided by the GEF for this type of activities is very much supported by the MTE. Though the way it will be done also needs to be comprehensively thought through. However, the Evaluator still finds feasible to strengthen this component in Phase II by allocating sufficient budget for local level activities. It is seen as a way to ensure a better buy-in by the countries at present and provides prerequisites for the establishment of sustainability mechanisms in future.

6.7. Community Involvement and Stakeholder Participation

273. Community Involvement and Stakeholder Participation, rated **Satisfactory**, is closely interlinked with Project's outreach and communication component, discussed above.

274. A draft Communications Strategy has been developed and circulated, as well as a Private Sector Engagement Plan. Stakeholder meetings and briefings continue as an on-going activity and a Stakeholder and Partnership Symposium/roundtable is planned for mid-2011, in conjunction with a Donor Conference (see Outcome 3 – Financial Stability and Partnerships).

275. ASCLME continues to coordinate with its sister project (SWIOFP) and with the Nairobi Convention which represents the WIO-LaB initiative since the first phase of WIO-LaB came to an end earlier this year. Two joint Project Manager's meetings were held in 2009 and 2010 plus the Managers have met together on numerous occasions in between these formal meetings, whenever they find themselves at the same venues. There are also two joint Steering Committee meetings associated with the Project, one in 2009 with WIO-Lab and the 3rd PSC meeting in 2010 with SWIOFP. This is a growing and evolving partnership for a sustainable ecosystem alliance in the western Indian Ocean (i.e. WIOSEA). ASCLME has also been regularly attending the annual July meetings of the Consultative Committee for LMEs in Paris, as well as being very active in organisation of the Global Conference on Oceans Coasts and Islands (including running special sessions on Policy & Governance). A Regional Project Coordination Forum was launched in Mauritius in 2008 and many of the Projects met again at the WIOMSA meeting in Reunion in 2009. A programme-level Data and Information meeting was also held in Mombasa in July 2010 which brought together all D&I Coordinators from the 3 sister projects. Besides, there are a number of other positive examples of cooperation between sister projects in many areas of the ASCLME Programme. Those are presented and discussed in the corresponding sections of this report.

276. Involvement of regional and international stakeholders is the most successful part of the Project. A big number of partnerships related to the LME management established by or on initiative of the Project is phenomenal. It has been discussed in detail in Section 0. Having taken the role of a regional coordinator the ASCLME continues to concentrate international and national efforts on the issues of ecosystem-based management region-wide.

277. What MTE has not found is a Stakeholder Involvement Plan. Various types of stakeholders are worked with quite closely but there are no evidences presented that such work is done strategically with careful selection of appropriate communication and involvement tools. A stakeholder analysis is an indispensable part of the TDA/SAP process and is important for proper involvement of the key groups of stakeholders in the corresponding aspects of SAP implementation. However, MTE finds it useful to analyse the current set of Project's stakeholders (they are not the same as the ones for the SAP implementation) to purify the Project's stakeholder involvement activity for the remainder of Phase I. This would particularly make sense within the process of setting up the WIOSEA. It is, therefore, recommended to introduce a stakeholder analysis exercise into this process.

1. Rating - Satisfactory

2. The MTE recommends to carry out a stakeholder analysis and to develop a Stakeholder Involvement Plan. It would incorporate an analysis and selection of available involvement tools for the key stakeholder groups at the international, regional, national and local levels. The analysis is believed to create a platform for further establishment of the WIOSEA, to which the Evaluator is very supportive.

Responsibility	*Task*	*Time frame*	*Deliverable*
PCU	Undertake a stakeholder analysis and develop a Stakeholder Involvement Plan.	June 2011	Stakeholder Involvement Plan as approved by PSC.

6.8. Replicability

278. There are a number of activities, approach to and results of which have a moderate or high replication/scaling-up potential. Mainly, those are related to data collection and processing practices being introduced by the project in individual countries and regionally. However, significant portion of the implementation process, truly adapted to emerging circumstances and challenges is a very important lesson to learn from. Establishment of effective cooperation mechanisms, not just on paper but effectively helping to jointly address vital issues of the ecosystem-based management in WIO.

279. Overall, replicability aspects of the Project are evaluated **Satisfactory**.

7. Lessons Learned

A. Synchronisation within the ASCLME Programme, i.e. implementation of the GEF Programmatic Approach, continues to represent a major challenge for the parties involved. The current level of cooperation inspires all parties for further coming closer, e.g. Joint events (e.g. PSC meetings) and activities (e.g. P&G), have so far had a strong coordination effect but also represented a good way of cost-effective arrangements, a win-win kind of cooperation.

B. In case of LME projects all levels in the participating countries are to be engaged in the project's activities, so both 'Top − Down' and 'Bottom − Up' approaches are to be used. In order to do so, LME-related projects should continue having a community engagement components like a Small Grants Programme, a set of pilot projects or demonstration sites. As for private sector involvement it is better to concentrate efforts onto the local level where it is easier to establish any collaborative modalities and results of such cooperation are seen much quicker.

C. Adaptive management is not just a theoretical concept. Big LME Project's managers are to have clear vision of the whole process and to be prepared to not just fulfil tasks as laid out in the Project Document but effectively lead the Project team and participating countries towards achieving the main goal - the sustainable ecosystem-based management of the corresponding LMEs. On the other hand, the Projects should not be left alone doing so. Support and guidance from the GEF/GEFSEC, IA and other international organisation is critical for the overall success.

D. Administration and financing of project activities are also very important for smooth operation and a good image of projects. These aspects are tended to be underestimated to be recognised as just a background on which the whole implementation process progresses, however, it is vital for projects and also for the GEF EA that there are effective two-way communications mechanisms established between a very few PCUs' staff and the agencies. In addition, the IAs responsible for the overall technical implementation of projects are recommended to occasionally (or on request) monitor how effective the project execution is. This could be done by undertaking a simple review of the 'tensions' in project execution throughout the IW portfolio and how EAs resolve them. Such reviews would also help to build up a corporate IW practice base to assist execution of other projects.

E. A periodic internal evaluation carried out by the Project has had a significant effect and gave a chance to look at the Project in more detail in between the official Mid-term and Final evaluations. The evaluation also provided an opportunity to talk and discuss successes and challenges with all stakeholders concerned.

F. The Governance module of the LME 5-modular approach is the most challenging to be addressed in a sound and sustainable manner. Having realised this early enough the Project initiated wider discussions and launched the Science-to-Governance component. The current approach to translating scientific knowledge gained during the last three years includes a discussion forum (think-tank) for scientists and decision- and policy-makers. This will raise the profile and importance of science generally in the policy-making and management process and encourage more support and funding to arrive at more reliable results on the science front. On the policy and sustainability side, it will provide the needed guidance for scientific community on which areas of research are likely to attract funding. As MTE found out, a number of current politicians in WIO region actively participating in the ASCLME Project have scientific background. This is hoped to be one of the factors to streamline the process of bridging science and governance together.

G. Continuity is a typical problem for ASCLME-type projects. A big time gap between the finalisation and signing of the ProDoc and actual start of the Project negatively affected the ASCLME Project as well.

H. For TDA/SAP process it is vital that initial knowledge is available. If such knowledge on ecosystems is not there, additional steps will be required (e.g. MEDAs), which means allocation

by projects of additional effort, budget and time. In such cases setting a TDA as a delivery target after 2-3 year is not realistic for such large systems like WIO.

I. The regional TDA/SAP process required substantial additional coordination and technical efforts leading to the risk of not achieving the main target of the Project on time. Both documents are to be based on developments within different projects under the ASCLME Programme which are unsynchronised in time of implementation and hence delivery of their inputs into this process. There are two main ways to follow. The first one is the delivery by the ASCLME Project of a 'best possible' product void of important regional issues (like commercial fisheries in case of the WIO SAP). From the Project perspective this pragmatic approach is much easier than trying to deliver sound sustainable in future outcomes and to meet the targets with higher costs and a risk for the Project to be considered a failure. This is the second way. In case of the ASCLME the latter implies the need to re-align the MAIN outputs of the current phase of the Project.

J. The Logframe is an important management tool for monitoring of progress and achievements of a project. If individual outputs of projects are changing or being re-focused resulting emerging needs or requests of the PSC, and the corresponding adjustments are not incorporated into the Logframe, a mismatch between the eventual suite of activities and the criteria the projects are monitored against negatively effects the whole process of M&E, as well as the adequacy of the M&E findings. This is why, if such changes in the project outlook are made, the Project management team should make sure that the Logframe is adjusted accordingly and approved in accordance with the existing procedures.

K. Aggravating threat of piracy conditioned a need to significantly change the set of envisioned activities. Contingency planning had to be carried out at the ProDoc development stage while discussing risks affecting project implementation. Such risks are to be monitored and managed (if at all possible) during the whole process of implementation.

L. When sophisticated equipment is used and certain training is carried out but such equipment is not then made available effects of the training could be reverse. Training needs to be fitted with the actual technological and methodological base available locally. Training of trainers are also important for non-Anglophone countries.

M. The WIO TDA/SAP implementation process will need a corresponding monitoring system to provide regular quality assured data and information. The current data collection effort (i.e. research component of the Project, as well as a number of additional inshore studies) provides baseline of and required knowledge of the current state of the LMEs, however, these are just 'snap shots'. A long-term monitoring plan is to be put together to continue collection of TDA/SAP-related data and information. A regional monitoring system being developed needs to be based on national segments. This is why, the move of the Project towards the establishment of national monitoring systems and building the corresponding capacity (including procurement) is an important step towards setting up a regional monitoring programme/network.

8. Recommendations

280. Based in the analysis presented in this report, this section summarises the key recommendations developed by MTE. A number of specific to individual Outputs recommendations are given in the corresponding sections (Section 5.3), whereas, only major issues are discussed below:

A. The Project concept as it stands now is appropriate and builds upon the previous GEF support and recent developments in WIO region. The eventual design of the ASCLME Project has enabled it to play a leading role in the establishment of a regional coordination and to further promote the ecosystem-based approach to LMEs management. However, the regional nature of outputs to be delivered by the ASCLME Project has adversely effected the key Project's results, namely: the regional TDA and SAP. This report discusses in detail the challenges of a coherent implementation of the sister projects under the overarching ASCLME Programme. The MTE strongly supports the option of the Project re-alignment in terms of final delivery and, what is even more important, endorsement by the countries of these regional documents.

B. The ASCLME Project provides support mechanisms for close cooperation of the countries and international organisations in WIO. Since there are no one single constituency available in the region to take over the responsibility for SAP implementation, such an institutional platform has still to be established. Often such platforms represent environmental Commissions set up as a result of GEF IW Projects (e.g. the Banguela Current Commission). However, in this particular case such a solution is not the optimal one. The participating countries and international organisations in the region will not be supportive to any additional Commission(s). One of key decisions of the 1st GEF STM (Kenya, March 2010) was a concept of setting up the WIOSEA, which in the long run would be able to play the needed role of a regional coordinator of the SAP implementation process. However, WIOSEA is still just a concept, and the ASCLME Project encounters, as a recognised regional leading player, the necessity to set up an effective consultation platform for a wider group discussions. Such a process will take time and additional effort not envisioned by the current project framework. This is why, one of vital activities for the near future (within the re-aligned ASCLME Project) will be the promotion at the regional and international level of the idea of the WIOSEA and the development of required provisions to make it happen.

C. As seen by the Evaluator, the current role of a regional champion played by the ASCLME Project needs to continue. Collaboration with the current and attracting new partners, a wider engagement of the donor community will still be required to successfully achieve Project's main objective.

D. One of MTE's concerns relates to the reported by the Project uncertainty with timely launching of the ASCLME Project's Phase II. The current momentum is so strong, as well as the regional image of the ASCLME Project as a regional champion and promoter of the ecosystem-based approach to LME management, that this image is transposed onto the GEF and its IW Programme. A failure to timely move the current project into the SAP implementation phase is considered by the MTE counterproductive not only for the ASCLME Project but for the GEF and its Agencies. As discussed earlier in this report, preparation for Phase II should be initiated early enough not to affect a timely start of and to provide a smooth transition into Phase II. It is also recommended to keep the current team, who have proved to be competent, devoted and effective.

E. The Project design has been changed a number of times resulting adaptive decisions of the management team and PSC to account for emerging challenges and requests of the participating countries. These adjustments have shaped up the Project to fit the current situation in the region. However, the Logframe and the key set of indicators the Project is reporting and hence evaluated annually against did not reflect such a change. There have been a number of attempts to do so, however, until now this has not yet happened. It is considered by MTE as a drawback and recommended to be addressed by the PCU as a matter of urgency. The next APR/PIR reporting is hoped to be made against the new revision of the Logframe.

F. One of the strongest features of the ASCLME Project is that it bridges differences across the region. CB&T activities, as well as a number of other important aspects provide for (i) using

expertise from within the region and (ii) building required capacity in participating countries in a harmonised manner. It has been mentioned by a number of interviewees that the countries warmly appreciate being a part of the '*family*'. This attitude and the corresponding efforts should continue.

G. DLIST component though embedded into the ASCLME at the project development stage, at the time when the exact issues to be addressed by the TDA/SAP were not yet known, proves to be a useful tools for reaching out into the countries at the local level and providing required platforms for discussions on various local-level issues. It has also been recognised by several country representatives as a success and being the main tool for ensuring visibility of the Project at the communities level. One can be overcritical in terms of not-fitting the main framework of the Project though the MTE is supportive to the current set of activities and quality of service DLIST provides. For Phase II, it is still recommended to tailor the future activities better to a suite of issues to be identified within the MEDAs and future regional TDA/SAP. However, scaling and replication mechanisms for DLIST-implemented activities are to be supplemented. Besides, additional tools could to be considered and engaged to streamline the whole process of communities involvement.

H. An additional open discussion is required between the PCU and UNOPS team to completely sort out outstanding issues and to build back the required friendly atmosphere of jointly doing one bigger business. None of the parties, neither UNOPS nor PCU, should be rigid in not trying to understand the other party's position. Realistically it is impossible for a small Project Office to stay on top of all constantly changing requirements, thus, the PCU is to rely on UNOPS for guidance and support. On the other hand, all projects are to carefully follow existing rules and procedures of operation designed to provide a better accountability and transparency of the whole process. It would help both parties enormously if UNOPS could produce a simple guideline document for Project Managers that highlighted the correct procedures for, amongst other items, the following[40]:

    a. Contractual procedures – Individuals (e.g. advertising, selection process, interview requirements – these vary with different levels of contract) and Institutions
    b. Contractual procedures – Non-personnel related (i.e. not for intellectual or technical services in terms of reports etc. but for goods and supplies, or travel, etc
    c. Travel requirements and F-10 submissions – ICA versus International Recruitments; quotations from suppliers, etc
    d. Bank accounts – setting up and maintaining
    e. Personnel administration within a Project (Attendance, Leave requests, etc).

I. MTE recommends to the ASCLME Project to develop additional mechanisms for a closer involvement of NFPs into the process of national coordination of activities. There are many modalities of doing so, and this is not only required for a better cooperation but also ensures a better country buy-in and ownership. Likewise, the NFPs are encouraged by the MTE to maintain a good and timely level of communication with PCU and to put greater effort into the development of IMC mechanisms which would then ensure better long-term in-country coordination and awareness. Similarly, it is proposed by the Evaluator to provide an additional discussion/reporting platform in the format of the PSC meetings. The current intervals between PSC meetings are too big for the adequate steering of the Project during the remaining 2 years of implementation. The current composition of PSC has also been discussed in this report and recommendations made for a better representation of the non-governmental sector from the local level including private sector at these meetings.

J. Sustainability is to be incorporated by the Project in any developments. The current level is insufficient. To be fair, the challenges the Project is facing are often far beyond its control, and a number of additional players have to be involved in these processes. The PCU led by the Project Director understands that very clearly, however, time and resources required for achieving this goal also go far beyond those at disposal of the ASCLME Project. It is hoped that the partnership spirit currently in place will help to overcome the current and emerging problems in future.

[40] A Project Manager Manual is planned for development within the UNDP GEF IW:LEARNIII Project which will start in early 2011. Since UNOPS is one of the main EAs, IW:LEARNIII project could be supporting this activity and share development costs.

9. Best Practices During Implementation

281. This section captures best practices from ASCLME Project that are advised to looked at or be transferred to the development and implementation of other LME Projects.

A. A strong Project team and affiliated Regional Coordinators is a vital pre-requisite for a successful implementation of such multi-disciplinary regional projects.

B. Established by the Project institutional structures are not exactly the same as laid out in the ProDoc but effectively supporting the current Project in achieving its main objectives. The structures established by the Project play vital roles in steering activities and results achieved. For instance, the current cooperation with the PSC, which is not just formally adopts whatever is proposed by the PCU but actively guides the Project towards achieving the overall goal, is a very good example with a high potential for dissemination. The effective and efficient feedback established has favourable implications for the Project, participating countries, and other stakeholders.

C. The high quality of technical deliverables and an attempt to quality assure any products builds better trust and provides conditions for the implementation and utilisation of 'cutting edge' know-how, techniques and knowledge. Particularly, this relates to scientific activities which are to provide answers to questions but also, as in the case of the ASCLME Proejct, open up new, unknown before, areas of knowledge. This in turn is stimulating research efforts beyond the scope of the Project. CB&T Programme of the Project has been designed accordingly and supports this throughout the region.

D. The Project has built a strong international and regional image and is effectively catalysing cooperation in the whole WIO region. Everyone wants to be a part of 'success' and the whole process develops like an avalanche - more and more partners join in, which eventually helps to build a sustainable partnership set-up to operate after completion of the Project. The partnerships established by/with the Project provided over USD 12M in co-financing (which exceed by over USD 3.6M the originally committed co-funding in the Project Document) both cash and in-kind. High-level support from the GEF to the Project is a key to have the Project recognised at the highest political level in the countries. To this end, the 1st GEF STM's results leading the way to the establishment of the WIOSEA can not be overestimated and have had immediate effects on the regional developments.

E. The first three years of the ASCLME Project was a serious test for the team and participating countries on how adaptive management could be applied and how to keep the original targets in the constantly changing environment whilst new threats and challenges emerge. It is considered success that the Project succeeded not only to operate but continues moving fast to achieving the ultimate goal - the establishment of a sound ecosystem-based management for WIO's LMEs. In order to be able to deliver the key outputs, the regional TDA and SAP, the Project has re-focused a number of activities cancelled due to the piracy threat, introduced a series of additional steps into the classic GEF TDA/SAP approach, extended the level of involvement of science and communities at the national level, etc. However, this process is not over. Unsynchronised implementation of sister projects within the ASCLME Programme continue to pose new challenges.

F. The data/informational platform developed by the Project has a very high potential for regional use. Mechanisms and tools developed and set up by the Project have been recognised and used by the countries at the moment.

G. When it became clear that a number of research activities could not be implemented, the Project on request of the countries and with full support from the PSC developed and is implementing a series of inshore activities. For example, increasing number of DLIST Demonstration sites from 3 to 9 resulted in a better visibility at the local level but also is recognised as a good path for disseminating information about the Project and raising awareness

at the local level. There was no additional budget provided for such activities to the Project. Ideally, certain level of contingency should have been given at the ProDoc development stage when a number of additional activities were also included in the Project without supplementary funding (i.e. DLIST). In case of the ASCLME, flexibility of concrete solutions leading to achieving the targets is another good lesson to learn from. In addition, the Project considered more extended use of alternative data gathering techniques, remote sensing, modelling, and GIS, to compensate for the cancelled offshore activities.

H. There is a considerable advantage to having UNDP as the GEF implementing Agency. As a global organisation, the UNDP brings no geo-political baggage that might limit the participation of certain basin members. The management flexibility provided through UNDP is also an advantage, as it enables the project team to adjust to changing circumstances, time-frames and beneficiary needs as proved right in particular case of the ASCLME Project. The UNDP is recognised for its leadership in the International Waters, so its imprimatur adds additional stature to ASCLME Project efforts. UNDP provides close guidance at both regional (UNDP-GEF Regional Technical Advisor in Pretoria) and country level. The main UNDP country office for ASCLME Project, UNDP CO Mauritius, provides required level of participation and support.

I. A very useful from MTE's point of view are the mechanisms developed by the Project to involve countries which can not directly take part in the Project but play significant positive (or sometimes negative) role in the region. In case of the ASCLME Project it is Somalia, which was accepted in the role of an observer but is involved on a daily basis in major activities and developments. And this process is reciprocal. Example from ASCLME is a discussion led by the Somalian representatives how to address piracy issue at the local level. Also, France is now an active partner although not originally a signatory. This is an essential step forward as France has a number of direct interests and political ownership in WIO and is an important entity in terms of funding, research and monitoring.

References

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3. Report Of The First Steering Committee Meeting And Inception Workshop, Seaworld Education Centre, Shaka, Durban, 22nd – 23rd JANUARY 2008, page 3.
4. ASCLME First Periodic Evaluation Report, July 2009
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6. Regional Meeting of Technical Coordination Group representatives to discuss the TDA process, Draft Meeting Report, 30-31 August 2010 - Nairobi, Kenya
7. Article "Scientists brave pirate zone" form Sunday Times, October 10, 2010. http://www.timeslive.co.za/sundaytimes/article698400.ece/Scientists-brave-pirate-zone
8. Dr. David Vousden, ASCLME Partnerships and Collaboration, Presentation at the 3rd PSC meeting, Dar Es Salaam, Tanzania, Sept 2010.

Annex A. Mid-Term Evaluation Terms of Reference

UNOPS helps its partners in the United Nations system meet the world's needs for building peace, recovering from disaster, and creating sustainable development. UNOPS is known for its ability to implement complex projects in all types of environments around the globe. In an effort to promote organizational excellence, UNOPS seeks highly qualified individuals for the following position:

Vacancy Details

Vacancy Code	**VA/2010/ICA/47255/MTE/ASC/001**
Post Title	**Mid-Term Evaluation of the UNDP/GEF Full Sized Project: Agulhas & Somali Current Large Marine Ecosystems Project (ASCLMEs Project)**
Post Level	**IICA 4**
Org Unit	**EMO IWC**
Duty Station	**Home-based with missions to the participating countries**
Duration	**August 2010 – December 2010**
Closing Date	

Background

The ASCLMEs project (Project) is one of three projects that comprise the Programme for the Agulhas and Somali Current Large Marine Ecosystems (programme). The programme includes, in addition to the ASCLMEs Project, two parallel projects; one that addresses land-based sources of pollution, implemented by the United Nations Environment Programme (UNEP), the West Indian Ocean Land Based Sources of Pollution project (WIO-LaB); and one that builds knowledge for the purposes of managing industrial fisheries, the Southwest Indian Ocean Fisheries Project (SWIOFP) implemented by the World Bank (WB). The overall goal of the programme is to achieve the cooperative and adaptive management of the resources associated with the two LMEs and the sustainable development of the Western Indian Ocean countries. A phased approach was planned to progressively build the knowledge base and strengthen technical and management capabilities at regional scale to address transboundary environmental concerns within the LMEs. A further objective of the programme was to build the political will necessary to support abatement activities and leverage sufficient financial and human resources to support ecosystem level management needs.

Project Preparation

Preparation of the ASCLMEs Project began in mid 2002 with the submission to the GEF, by the UNDP, of a first stage Project Development Facility grant request (PDF-A) of US$ 25,000. The principal activity under the PDF-A was the convening of a regionally-based workshop that included participation of the three GEF IAs and a representative array of regional stakeholders. The workshop was held in Maputo, Mozambique, and resulted in initial definition of the goal and objectives of the UNDP ASCLMEs and WB SWIOFP projects. This workshop was followed by UNDP development of a Project Concept paper which was submitted to, and accepted by the GEF, triggering development and approval the second stage of PDF funding, the so-called GEF PDF-B, which received GEF funding of US$ 698,000.

The main Objective of the PDF-B was to: "…develop a full project to fill gaps in understanding of transboundary living resources of the two LMEs, and to build capacity of the participating countries to utilize this improved understanding for more effective management by use of an ecosystem approach." Consultations at the PDF-A workshop and with other stakeholders across the region resulted in identification of seven components deemed necessary for full project proposal development. These components included:

- Component 1: Undertake initial consultations;
- Component 2: Develop Ongoing Communications and Coordination Mechanisms and Provision of Effective
- and Documented Public Involvement in PDF-B Activities;
- Component 3: Synthesize and Assess Existing Information in the Two LMEs;
- Component 4: Selection of the specific components of and development of a budget for a comprehensive Program to undertake an assessment of the two LMEs;
- Component 5: Assess, Synthesize, and Undertake a Gap Analysis of Existing and Planned Activities in the Coastal Zone;
- Component 6: Donor Recruitment; and
- Component 7: Develop and Submit a Project Brief and Project Document.

The Project Goal, Objective, Major Deliverables and Outcomes

As described in the Project Document the Project goal is:

To ensure the long term sustainability of the living resources of the ASCLMEs through an ecosystem- based approach to management.

The overall Project objective is:

To undertake an environmental baseline assessment of the Agulhas and Somali Current Large Marine Ecosystems to fill information gaps needed to improve management decision-making, and to ascertain the role of external forcing functions (such as the Mascarene Plateau and the Southern Equatorial Current).

Consistent with the Project objective, the two major deliverables of the Project include:

1. Acquisition of data needed to support an ecosystem-based approach to management of the two LMEs as well as a better understanding of the external forcing functions and linkages to adjacent areas of the Western Indian Ocean region; and
2. Full TDAs and SAPs for the Agulhas Current LME and the southern portion of the SCLME (Kenya and Tanzania) adopted at high levels, and a full TDA and SAP for the SCLME to be developed with the inclusion of Somalia when conditions allow.

It should be noted that in relation to TDA and SAP development, the parallel UNEP and World Bank Projects were intended to feed pertinent information into the TDAs/SAPs formulation process, and identify policy, legal and institutional reforms and needed investments to address transboundary priorities.

Further, and at a more detailed level, the Project, as described in the finally approved Project Document, was designed to achieve four Outcomes:

Outcome	
1	Key ecosystem assessment and management gaps are filled as necessary to install an ecosystem approach to LME management
2	Decision-making tools are in place, to facilitate the synthesis and application of data for LME management;

Outcome	
3	Regional agreement is reached on transboundary priorities and their root causes and a suite of governance reforms and investments needed to institute a shared ecosystem-based approach to managing the LMEs in support of WSSD targets, and foundational capacities are in place for implementation.
4	A Comprehensive Public Participation Initiative Enables Stakeholders to Engage in Programme activities.

Outcome 5: Project Financing effectively delivered to support all Project Outcomes.

Project Execution and Management

Project execution for the UNDP ASCLMEs project is the responsibility of the United Nations Office of Project Services (UNOPS), through its International Waters Cluster, in accordance with UNDP and UNOPS operational and financial guidelines and procedures. UNOPS is accountable to UNDP for the delivery of agreed outputs as per agreed project work plans, for financial management, and for ensuring cost-effectiveness.

At policy and strategic level the project is guided by a Project Steering Committee (PSC) which meets annually to monitor progress in project implementation, provide strategic and policy guidance, and review and approve work plans and budgets. PSC meetings are chaired by the national representative in the country hosting the meeting. The PSC retains the authority to amend its membership as it deems necessary.

A Project Coordination Unit (PCU), which is responsible for day-to-day management of the project implementation, is located in Grahamstown, South Africa and provides a project coordination and management structure in accordance with the rules and procedures of UNDP as executed through the UNOPS. The Project Director heads the Project Coordiantion Unit. The decision to locate the PCU in South Africa was made based on, among other things, the proximity of the African Coelacanth Ecosystem Project (ACEP), a major project partner, the project related human capacity available in South Africa, and the South African co-finance made available to the project. Other factors influencing the placement of the ASCLMEs project included the basing of the programme sister projects in Kenya – the WIO-LaB project in Nairobi, and the SWIOFP in Mombasa. UNDP Country Office in Mauritius is the lead Country Office for ASCLMEs project implementation. The UNDP concluded that the combination of locations for programme activities would thus have a balance between African mainland and island participating countries.

ASCLMEs Project Funding

Funding of the UNDP/GEF ASCLMEs Project, as described in the Project Document, includes:

USD	
GEF Grant	12,200,000
Governments (in-kind)	1,800,000
ACEP (Cash/in-kind)	12,405,000
UNEP (in-kind)	750,000
FAO (in-kind)	
Norway (associated finance)	2,100,000
France (in-kind)	500,000
EcoAfrica (in-kind)	500,000
SAIAB	
TOTAL	**30,255,000**

Mid-Term Evaluation Objectives

The purpose of the Mid-Term Evaluation (MTE) is to examine the performance of the project since the beginning of its implementation. The MTE will include the evaluation of both the progress in project implementation, measured against planned outcomes set forth in the Project Document in accordance with rational budget allocation and the assessment of features related to the process involved in achieving those outcomes, and the progress towards project objective, i.e., the initial and potential impacts of the project outputs and outcomes. The evaluation will also address the underlying causes and issues contribution to targets that are not being adequately achieved.

The MTE is intended to identify weaknesses and strengths of the project design, and to develop recommendations for any necessary changes in the overall design and orientation of the project by evaluating the adequacy, efficiency, and effectiveness of its implementation, as well as assessing Project outputs and outcomes to date. Consequently, the MTE mission is also expected to make detailed recommendations on the work plan for the remaining project period. It will also provide an opportunity to assess early signs of project success or failure and prompt necessary adjustments.

The evaluation will follow approaches adopted by GEF for the assessment of IW projects and UNDP M&E guidelines.

The MTE mission will also identify lessons learnt and best practices from the Project that could be applied to future and on-going projects.

Scope of the Mid-Term Evaluation

The scope of the mid-term evaluation will cover all activities undertaken in the framework of the project. One Evaluator with a combination of regional knowledge, evaluation experience, and in-depth knowledge of GEF IW projects will compare planned outcomes of the Project to actual outcomes and assess the actual results to determine their contribution to the attainment of Project objectives.

The evaluation will extract lessons learned, diagnose and analyse issues and formulate a concrete and viable set of recommendations. It will evaluate the efficiency of Project management, including the delivery of outputs and activities in terms of quality, quantity, timeliness and cost efficiency. The evaluation will also determine the likely outcomes and impact of the Project in relation to the specified Project goals and objectives.

The evaluation will comprise the following elements:

(i) Assess whether the Project design is clear, logical and commensurate with the time and resources available;

(ii) A summary evaluation of the Project and all of its major components undertaken to date and a determination of progress toward achievement of its overall objectives;

(iii) An evaluation of Project performance in relation to the indicators, assumptions and risks specified in the logical framework matrix and the Project Document;

(iv) An assessment of the scope, quality and significance of Project outputs and outcomes produced to date in relation to expected results;

(v) An assessment of the functionality of the institutional structure established and the role and effectiveness of the Project Steering Committee (PSC);

(vi) Identification and, to the extent possible, quantification of any additional outputs and outcomes beyond those specified in the Project Document;

(vii) Identification of any programmatic and financial variance and/or adjustments made during the first 2.5 years of the Project and an assessment of their conformity with decisions of the PSC and their appropriateness in terms of the overall objectives of the Project;

(viii) Identification and to the extent possible the quantification of the co-financing commitments realized (those committed at the beginning of the project as long as those emerged during the project implementation).

(ix) An evaluation of Project coordination, management and administration provided by the PCU. This evaluation should include specific reference to:

- Organizational/institutional arrangements for collaboration among the various agencies and institutions involved in project arrangements and execution;
- The effectiveness of the monitoring mechanisms currently employed by the PCU in monitoring on a day-to-day basis, progress in Project execution;
- Administrative, operational and/or technical problems and constraints that influenced the effective implementation of the Project and present recommendations for any necessary operational changes; and
- Financial management of the project, including the balance between expenditures on administrative and overhead charges in relation to those on the achievement of substantive outputs.

(x) An evaluation of the effectiveness of UNDP and UNOPS in fulfilling their roles and responsibilities in terms of their respective implementing and executing capacities in the project implementation.

(xi) A prognosis of the degree to which the overall objectives and expected outputs of the Project are likely to be met;

(xii) An assessment of the M&E approach adopted by the Project;

(xiii) Progress towards sustainability and replication of project activities;

(xiv) Lessons learned and best practices during Project implementation which would benefit the GEF IW portfolio;

Recommendations regarding any necessary corrections and adjustments to the overall Project workplan and timetable for purposes of enhancing the achievement of Project objectives and outcomes.

Evaluation Methodology

The Mid-term Evaluation will be conducted in a participatory manner working on the basis that its essential objective is to assess the project implementation and impacts in order to provide basis for improvement in the implementation and other decisions.

The evaluation will start with a desk review of project documentation and also include the following activities:

(i) Desk review of project document, outputs, monitoring reports (such as, among others, Project Inception Report, Minutes of Steering Committee meetings, other relevant meetings, Project Implementation Reports (PIRs/APRs), quarterly progress reports, and other internal documents including consultant and financial reports);

(ii) Review of specific products including content of the Project web site, datasets, management and action plans, publications and other materials and reports;

(iii) Interviews with the Project Director and other project staff in the Project Coordination Unit and consultants involved in Project implementation;

(iv) Participation at the third PSC meeting to be held in Zanzibar in the last week of May 2010 where Project personnel will deliver a comprehensive report on Project progress over the past year and where PSC members and Project staff and consultants can be interviewed;

(v) Consultations and/or interviews with relevant stakeholders involved, including government representatives in, among others: participating government ministries, personnel of the other two projects within the ASCLMES Programme, other related projects and programmes within the region, relevant UNDP personnel, and NGOs;

(vi) Presentation of a draft report by 30 July 2010.

Project Coordination Unit will provide the consultant with support to obtain all the necessary and requested documentations and necessary logistical assistance to conduct the evaluation mission.

Expertise/Experience Required by Evaluator

The Evaluator is expected to have the following expertise and experience:

- Demonstrated international/regional consulting experience in and/or professional background in the marine sciences. A minimum of 15 years' relevant experience is required. Previous experience in the region advantageous;
- Substantive experience in reviewing and evaluating similar technical assistance projects, preferably those involving UNDP/GEF or other United Nations development agencies and/or other major donors;
- Excellent English writing and communication skills and demonstrated ability to assess complex situations in order to succinctly and clearly distil critical issues and draw well supported conclusions;
- An ability to assess policy and governance framework and institutional capacity;
- Understanding of governance, political, economic and institutional issues associated with transboundary water issues in the Africa region; and
- Familiarity with GEF International Waters portfolio.

Evaluation Deliverables

The expected output from this evaluation is a full evaluation report that would include:

(i) An executive summary, including findings and recommendations;

(ii) A detailed evaluation report covering items presented above in the Scope of the Mid-Term Evaluation of this TOR with special attention to lessons learned and recommendations;

(iii) A table of planned vs. actual project financial disbursements, and planned co-financing vs. actual co-financing for the Project;

(iv) A list of Annexes prepared by the Evaluator, which includes TORs, Itineraries, List of Persons Interviewed, Summary of Field Visits, List of Documents reviewed, Questionnaire used and Summary of results, Identification of Co-financing & Leveraged Resources, etc.

Expertise Ratings of Project Success

The evaluation will rate the success of the project on a scale from Highly Successful (HS), Satisfactory (S), Marginally Satisfactory (MS), Marginally Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HS). The following items should be considered for rating purposes:

- Achievement of objectives and planned results
- Attainment of outputs and activities
- Cost-effectiveness

- Impact
- Sustainability
- Stakeholders participation
- Country ownership
- Implementation approach
- Financial planning
- Replicability
- Monitoring and evaluation

Each of the items should be rated separately with comments and then an overall rating given. The following rating system is to be applied, according to the UNDP Evaluation Rating guidelines:

1= Highly Satisfactory = HS

2= Satisfactory = S

3= Marginally Satisfactory = MS

4= Marginally Unsatisfactory = MU

5= Unsatisfactory = U

6= Highly Unsatisfactory = HU

The report, together with annexes, shall be written in English and shall be presented in electronic form in MS Word format.

Proposed Schedule

The consultant would be expected to begin the desk review of project and other relevant documents prior to the three key regional meetings scheduled in September 2010 as listed below.

- Regional Meeting of all the National ASCLME Coordinators and Technical Experts (1-2 September, Nairobi, Kenya)
- Joint ASCLME/SWIOFP Partnerships Meeting (17 September, Dar es Salaam)
- ASCLME Steering Committee (18, 20, and 21 September, Dar es Salaam, with an optional field trip on 19 September)

Attendance at the three meeting above is highly desirable to ensure the maximum interaction between the Evaluator and the project stakeholders. Ideally, the MTE consultant would, between the 1st Regional meeting and the PSC meeting, remain in the region to complete other face-to-face interviews with key Project stakeholders. Detailed mission schedule will be drafted with the logistical assistance by the PMU and inputs from the consultant once the consultant is selected.

The report production schedule includes:

>Draft evaluation report - 15 November 2010

>Comment on Draft evaluation received - 30 November 2010

> Final Report - 15 December 2010

Submission of Applications

Qualified candidates may submit their application, including a letter of interest, complete Curriculum Vitae and an updated United Nations Personal History Form (P.11) (available on our website), via e-

mail to emo.vacancies@unops.org. Kindly indicate the vacancy number and the post title in the subject line when applying by email.

*** Please note that this is a local post and is open to all nationals of the country of the duty station and to individuals who have a valid work permits.**

Additional Considerations

Applications received after the closing date will not be considered.

Only those candidates that are short-listed for interviews will be notified.

Qualified female candidates are strongly encouraged to apply.

UNOPS reserves the right to appoint a candidate at a level below the advertised level of the post.

For more information on UNOPS, including its core values and competencies, please visit the UNOPS website at www.unops.org.

Annex B. Itinerary of activities of the Mid-Term Evaluation

No	Activities	Timing
1	Desk study, review of project-related documents as per ToR, initial consultations with the project staff	Aug 9 - Aug 27
2	Designing an outline of the MTE report, preparation of a questionnaire	Aug 9 - Aug 27
3	Mission 1 - trip to Nairobi (Kenya) for participation in a TDA preparation technical meeting, initial interviews	Aug 28-Sept 2
4	Processing mission/interview results, finalisation of the MTE approach	Sept 3-Sept 10
5	Mission 2 - trip to Dar Es Saalam (Tanzania) for participation in the Project Steering Committee Meeting, interviews	Sept 9- Sept 21
6	Processing mission/interview results	Sept 21-Sept 30
7	Distribution of questionnaire, initiation of an online/email MTE survey (1 month provided for feedback)	Sept 25
8	Mission 3 - trip to Grahamstown (SA) - Interviewing project staff, project stakeholders, UN Agency reps. (1 week)	Oct 9-Oct 20
9	Collecting and processing feedback received by email survey, online questionnaire, face-to-face interviews, Developing a draft MTE report	Oct 25-Nov 15
10	Submission of a draft MTE report	Nov 15
11	Collecting and processing comments, adjustments to the report	Nov 15-Dec 1
12	Finalising and Submission of the final MTE report	Dec 7

Deliverables and deadlines:

No	Deliverable	Deadline
1	Questionnaire of MTE survey (including email and online versions) available	Sept 25, 2010
2	A Draft MTE Report	Nov 15, 2010
3	The Final MTE Report	Dec 7, 2010

Annex C. List of People Interviewed by MTE

No	Person	Organisation/Country	Position in Project	Place, Date	Email
1	Mr Warwick Sauer	Rhodes Univ.	CB&T Regional Coordinator	Nairobi, Aug 30	W.Sauer@ru.ac.za
2	Mr M. Beebeejaun	Meteo, Service, MU	D&I Coordinator	Nairobi, Aug 31	m.bbjohn@odinafrica.net
3	Ms Michelle Ettiene	SC	D&I Coordinator	Nairobi, Aug 31	office@gif.sc
4	Mr Harison Onganda	KE	D&I Coordinator	Nairobi, Aug 31	honganda@kmfri.co.ke
5	Ms Juliette Hermes	ZA	D&I Coordinator	Nairobi, Aug 31	juliet@saeon.ac.za
6	Ms Lucy Scott	PCU	Data Coordinator	Nairobi, Aug 31	lucy.scott@asclme.org
7	Mr Farid Anasse	Comoros	Project National FP	Dar Es Salaam, Sept 13-18	farid_anasse@yahoo.fr
8	Ms Hajanirina Razafindrainibe	Madagascar	Project National FP	Dar Es Salaam, Sept 13-18	Hajanirina.sage@blueline.mg
9	Mr Alexandre Bartolomeu	Mozambique	Project National FP	Dar Es Salaam, Sept 13-18	apmb24@hotmail.com.org
10	Mr Denis Matatiken	Seychelles	Project National FP	Dar Es Salaam, Sept 13-18	d.matatiken@env.gov.sc
11	Mr Ronny Renaud	Seychelles	Former FP	Dar Es Salaam, Sept 13-18	idcronny@seychelles.sc
12	Mr Ahmed Mohamed Iman	Somalia	Project National FP	Dar Es Salaam, Sept 13-18	dgeneral.fishery@yahoo.com
13	Mr Andrew Cockroft	South Africa	FP Substitute	Dar Es Salaam, Sept 13-18	andrewc@daff.gov.za
14	Mr Daniel Marie	Mauritius	Project National FP	Dar Es Salaam, Sept 13-18	depmarie@moi.intnet.mu
15	Ms Rose Sallema	Tanzania	FP Substitute	Dar Es Salaam, Sept 13-18	nrsallema@yahoo.com
16	Mr Dixon Waruinge	Nairobi Convention	Secretary	Dar Es Salaam, Sept 13-18	Dixon.waruinge@unep.org
17	Mr Francois Oodendaal	DLIST, Eco Africa	ASCLME Consultant	Dar Es Salaam, Sept 13-18	francois@ecoafrica.co.za
18	Mr Tommy Bornman	South Africa, SAIAB	Cruise Coordinator	Dar Es Salaam, Sept 13-18	t.bornman@saiab.ac.za
19	Mr David LaRoche	USA	ASCLME Consultant	Dar Es Salaam, Sept 13-18	dal1727@gaw.com
20	Mr Andrew Menz	UNOPS	Deputy Regional Director	Dar Es Salaam, Sept 13-18	AndrewM@unops.org

No	Person	Organisation/Country	Position in Project	Place, Date	Email
21	Mr Satjayeet Ramchurn	Mauritius	UNDP Mauritius	Dar Es Salaam, Sept 13-18	satyajeet.ramchurn@undp.org
22	Ms Leyla Tegmo-Reddy	Mauritius	UNDP Mauritius	Dar Es Salaam, Sept 13-18	leyla.tegmo-reddy@one.un.org
23	Mr Aubrey Harris	FAO	SWIOFC	Dar Es Salaam, Sept 13-18	aubrey.harris@fao.org
24	Mr Kwame Koranteng	FIFM / FAO	FIMF	Dar Es Salaam, Sept 13-18	kwame.koranteng@fao.org
25	Ms Rebecca Shuford	USA	NOAA	Dar Es Salaam, Sept 17	Rebecca.shuford@noaa.gov
26	Mr Rondolph Payet	Seychelles	SWIOFP	Dar Es Salaam, Sept 17	rpayet@swiofp.net
27	Ms Katrin Lichtenberg	UNOPS	Portfolio Manager	Skype, Oct 21	KatrinL@unops.org
28	Mr David Vousden	ASCLME Project	ASCLME Project Director	Grahamstown, Oct 13	david.vousden@asclme.org
29	Mr Paul Skelton	South Africa	SAIAB Director	Grahamstown, Oct 12	P.Skelton@saiab.ac.za
30	Mr Angus Paterson	South Africa	ACEP Director	Grahamstown, Oct 12	angus@saeon.ac.za
31	Mr David Freestone	USA	P&G Regional Int'l Cons.	Skype, Oct 12	dfreestone@law.gwu.edu
32	Ms Betty Itangishaka	ASCLME Project	PCU Financial Admin.	Grahamstown, Oct 14	betty.itangishaka@asclme.org
33	Mr Andrew Hudson	USA	UNDP-GEF	Telephone, Oct 13	andrew.hudson@undp.org

Annex D. List of Documents Reviewed by MTE

- First Steering Committee Minutes + Project Report
- Second Steering Committee Minutes (I have the project report, presentations but not the minutes)
- Third PSC documents and presentations at the meeting
- Agenda for Third Steering Committee
- 2008 PIR/APR
- 2009 PIR/APR
- 2010 PIR/APR
- ASCLME Newsletters
- Quarterly Reports (UNDP QORs)
- Report from the Regional Project Coordination Forum (Mauritius 2008)
- Minutes of the GEF Western Indian Ocean Stock-Taking Meeting
- Posters and Papers presented specifically on ASCLME (e.g. Ocean Sciences Conference, etc)
- First Project Evaluation Report (Mr. David LaRoche) - Sept 2007 - March 2009
- Budget revisions
- ProDoc + Logframe
- Cruise reports
- Draft MEDAs for all countries
- Report on D&I Coordinators meeting (Aug 30-31, 2010)

Annex E. Questionnaire Used for MTE Stakeholder Survey

All respondents have been split into 5 major stakeholder groups:

J. Category 1: Direct project beneficiaries representing government agencies in the participating countries (CAT1)

K. Category 2: Direct project beneficiaries representing non-governmental sector, NGOs, wider public (CAT2)

L. Category 3: UN Agencies (excluding IA&EA), other international organisations, international NGOs involved in project implementation, representatives of sister projects/programmes (CAT3)

M. Category 4: International/Local consultants/experts including scientific team involved in the project implementation (CAT4)

N. Category 5: Project Management team and representatives of the GEF Implementing (UNDP) and Executing (UNOPS) Agencies directly involved in the project (CAT5).

#	Questions	CAT 1	CAT2	CAT3	CAT4	CAT5
GENERAL QUESTIONS						
1	Is the Project concept and design clear, logical and commensurate with time and resources available?	√	√	√		√
2	Are the institutional structures established by the Project effective for ensuring key impacts and deliverables?	√	√	√	√	√
3	How well co-financing commitments are realised (envisaged both at design stage and emerged)?	√	√	√		√
4	Are any by-products or/and additional outcomes/impacts of the project you can foresee?	√	√	√	√	√
QUESTIONS RELATED TO PROJECT MANAGEMENT						
5	How good are cooperation mechanisms established with UN Agencies, partner organisations, other related projects?	√	√	√	√	√
6	How effective the Project Steering Committee in fulfilling its role (e.g. representation, frequency, function)?	√	√	√		√
	How effective PCU in managing the process?					
7	- Coordination on regional/programmatic level	√	√	√		
8	- Managing delivery of technical results	√	√	√	√	
9	- Cooperation with(in) PSC and response to PSC needs and recommendations	√	√	√		
10	- Effectiveness of established/applied Monitoring and Evaluation mechanisms/approaches, incl reporting	√	√	√		
11	- Administrative, operational and/or technical constraints	√	√	√	√	
12	- Financial management of implementation process	√		√	√	
13	- Communications and outreach efforts	√	√	√	√	
14	- Resource mobilisation efforts	√	√	√		
15	Are the adjustments made to the project logframe, budget, and workplan feasible and streamline implementation of the project?	√	√	√	√	√
16	How UNDP as the GEF Implementing Agency of the Project was effective in providing technical guidance and other support, including security-related?	√			√	√
17	How would you estimate effectiveness of UNOPS as the GEF Executing Agency of the Project in guidance and support in administrative and financial matters?	√	√		√	√
QUESTIONS RELATED TO RPOJECT OUTCOMES/OUTPUTS						
	How would you evaluate the scope, quality and significance of Project Outcomes/Outputs					

#	Questions	CAT 1	CAT2	CAT3	CAT4	CAT5
18	- Development Objective, Indicator 1: Environmental baseline assessments for the ASCLMEs	√	√	√		√
19	- Development Objective, Indicator 2: Fill information gaps in the two LMEs and ascertain role of Mascarene Plateau and South Equatorial Current	√	√	√		√
20	- Development Objective, Indicator 3: Develop TDAs and SAPs for the ASCLME	√	√	√		√
21	Outcome 1 - Information Captured for Development of the Transboundary Diagnostic Analysis. How would you evaluate the progress with this outcome against the following criteria: Relevance, Effectiveness, Efficiency, Results achieved so far, Sustainability, Impacts, Stakeholder participation, Country ownership, and Replicability?	√	√	√	√	√
22	Outcome 2 - Long-Term LME Data Collection, Management and Distribution Mechanisms Established. How would you evaluate the progress with this outcome against the following criteria: Relevance, Effectiveness, Efficiency, Results achieved so far, Sustainability, Impacts, Stakeholder participation, Country ownership, and Replicability?	√	√	√	√	√
23	Outcome 3 - TDAs and Strategic Action Programmes and Associated Sustainability Mechanisms in Support of an LME Approach are Adopted. How would you evaluate the progress with this outcome against the following criteria: Relevance, Effectiveness, Efficiency, Results achieved so far, Sustainability, Impacts, Stakeholder participation, Country ownership, and Replicability?	√	√	√	√	√
24	Outcome 4 - LME Coordination, Communication, and Participation Mechanisms Established. How would you evaluate the progress with this outcome against the following criteria: Relevance, Effectiveness, Efficiency, Results achieved so far, Sustainability, Impacts, Stakeholder participation, Country ownership, and Replicability?	√	√	√	√	√
25	Output 1.1: Offshore data review and collection	√	√		√	√
26	Output 1.2: Nearshore fisheries and ecosystem data collection	√	√		√	√
27	Output 1.3: Critical habitats data collection (e.g. nursery areas, spawning grounds, threatened/endangered species habitats)	√	√		√	√
28	Output 1.4: Invasive species and marine pollution data collection	√	√		√	√
29	Output 1.5: Persistent organic pollutants (POPs) baseline data collection	√	√		√	√
30	Output 1.6: Coastal livelihoods data collection	√	√		√	√
31	Output 1.7: Ecosystems approach cost-benefit analysis	√	√		√	√
32	Output 1.8: National and Regional level policy and governance assessment for ecosystem based management	√	√		√	√
33	Output 2.1: National data handling and management	√	√		√	√
34	Output 2.2: Regional data handling and management	√	√		√	√
35	Output 2.3: GIS and predictive modelling	√	√		√	√
36	Output 2.4: Remote sensing and multi-dimensional mapping	√	√		√	√
37	Output 2.5: Adoption of indicators and monitoring practices for an ecosystem approach	√	√		√	√
38	Output 2.6: Adoption of common fisheries policies and practices for nearshore and artisanal sector	√	√		√	√
39	Output 3.1: National Marine Ecosystem Diagnostic Analyses (MEDA) production	√	√		√	√

#	Questions	CAT 1	CAT2	CAT3	CAT4	CAT5
40	Output 3.2: Regional Transboundary Diagnostic Analysis (TDA) production and adoption	√	√		√	√
41	Output 3.3: Regional Strategic Action Programme production and adoption	√	√		√	√
42	Output 3.4: Financial stability and partnerships	√	√		√	√
43	Output 3.5: Capacity building and training for scientific and managerial sustainability	√	√		√	√
44	Output 3.6: Political ownership and sustainability	√	√		√	√
45	Output 4.1: Community level communications and management	√	√		√	√
46	Output 4.2: Stakeholder participation	√	√		√	√
47	Output 4.3: Media outreach	√	√		√	√
48	Output 4.4: Communications, education and private sector outreach and engagement	√	√		√	√
49	Output 4.5: ASCLME web site, newsletters and publications	√	√		√	√
50	Output 4.6: Coordination with ASCLME sister projects and other partners/programmes	√	√		√	√
LESSONS LEARNED AND RECOMMENDATIONS						
51	Which are the Best Practices of the Project, which could be replicated elsewhere?	√	√	√	√	√
52	Which are the major lessons learned and failures of the Project in reaching its objectives?	√	√	√	√	√
	What in your opinion could be done in short-term to improve the Project for the rest of lifespan?					
53	- Project operation/administration/management	√	√	√	√	√
54	- Project performance/delivery	√	√	√	√	√
	What in your opinion could be done to improve the Project impacts in the long-term?					
55	-Sustainability of project impacts	√	√	√	√	√
56	- Replication of the best practices	√	√	√	√	√
ADDITIONAL COMMENTS						
57	Is there something you wanted to additionally inform the MTE about or do you have any additional comments/remarks?	√	√	√	√	√

Annex F. List of Original Performance Indicators of the Project

Objectives/ Outcomes	Indicators
Objective: To undertake an environmental baseline assessment of the Agulhas and Somali Current Large Marine Ecosystems to fill information gaps needed to improve management decision-making, and to ascertain the role of external forcing functions (such as the Mascarene Plateau and the Southern Equatorial Current). This information will be used to develop a TDA and SAP for the Agulhas Current LME, and a TDA and SAP for the southern portion of the Somali Current LME	1. Environmental baseline assessments for the ASCLMEs 2. Fill information gaps in the two LMEs and ascertain role of Mascarene Plateau and South Equatorial Current 3. Develop TDAs and SAPs for the ASCLMEs
Outcome 1: ORIGINAL TITLE = Key ecosystem assessment and management gaps are filled as necessary to install an ecosystem approach to LME management. NEW OUTCOME TITLE (Approved by Project Steering Committee) = Information Captured for TDA Development	4. Cruises by Nansen, Algoa, and potentially other vessels will fill key oceanographic data ASCLMEs over the project lifespan 5. Knowledge gaps in the LME modules will be filled in selected geographic areas of the ASCLMEs 6. Marine based assessments of POPs loadings undertaken
Outcome 2: ORIGINAL TITLE = Decision making tools are in place to facilitate synthesis and application of data for LME management purposes. NEW OUTCOME TITLE (Approved by Project Steering Committee) = Long-Term LME Date Monitoring, Processing and Distribution Mechanisms Established	7. GIS and remote sensing capacity in the region enhanced 8. Develop clear and agreed upon monitoring and evaluation protocols 9. Establish clear and agreed upon arrangements for monitoring and evaluation activities with SWIOFP, WIO-LaB, ACEP, Participating Countries, and other entities as necessary 10. Refine set of GEF IW based Processs Indicators described in the project logframe 11. Clearly defined set of Stress Reduction Indicators and Environmental/Socioeconomic Status Indicators developed by month 18 of project implementation
Outcome 3: ORIGINAL TITLE = Agreement on transboundary priorities, root causes, and government reforms necessary to meet ecosystem based objectives and meet WSSD targets. Foundational capacities in place. NEW OUTCOME TITLE (Approved by Project Steering Committee) = TDAs and SAPs are Adopted, along with Sustainability Mechanisms for LME Approach	12. Establishment of PSC, Programme Coordination, and other Project level committees, and establishment of Project Coordination Unit 13. Provision for coordinated funding of donor recruitment activities. 14. Capacity building and training (CB&T) planning is refined 15. A CB&T based workshop to determine regional human capacity and training needs is held 16. Options paper developed re. selection of a regional entity or entities to assume responsibility for post-SAP related activities
Outcome 4: ORIGINAL TITLE = A comprehensive public participation initiative enables stakeholders to engage in project and programme activities. NEW OUTCOME TITLE (Approved by Project Steering Committee) = LME Coordination, Communication and Participation Mechanisms Established	17. A DLIST activity is implemented across the region 18. Communications Strategy for stakeholder participation included in SAP 19. Effective media outreach acting to raise awareness of ASCLME and LME process in the region 21. Educational Outreach promoted through schools and teachers trained to deliver LME approach as part of educational curricula 22.Effective ASCLME website up and running and being used frequently (number of hits) as well as high-quality Newsletters being regularly distributed 23. Effective on-going Coordination with ASCLME Sister Projects 24. Effective Coordination with other LME-related projects and initiatives

Annex G. ASCLME Publication List

Newspaper Articles about ASCLME

1. Rogers, G. 2010. Marine research vessel launched. *The Herald*, 26 March 2010.
2. Van der Merwe, J. 2009 *Navorsers terug in PE ná Indiese Oseean-tog*. *Die Burger*, 21 December 2009.
3. Anonymous. 2009. Seychelles hosts talks on shared marine ecosystems. *Seychelles Nation,* March 2009.
4. Hermus, F. 2009. Grahamstown hosts biggest sea expedition. *Grocott's Mail*, 13 February 2009.
5. Jordan, B. 2008. SA scientists head for the deep unknown. *Sunday Times*, 17 August 2008.
6. Oosthuizen, N. 2008. *Kaapse duo gaan op Noorse skip oseaan bestudeer*. *Die Burger,* 14 August 2008.
7. Powell, T. 2008. Ambitious research venture awaits SA oceanographers. *Cape Times*, 14 August 2008.
8. Peters, M. 2008. Young researchers plumb the African depths. *Sunday Argus*, 10 August 2008.

Press Releases

1. Scifest 2010. Adopt-a-Drifter: Introducing long-term ocean observation to schools. (English)
2. Comoros Launch. 2009. (English, French).
3. Inception Workshop. 2008 (English, French, Portuguese).

Magazine Articles about ASCLME

1. Attwood, C & Tweddle, D. 2009. Unlocking the secrets of the sea: new fish species in the Western Indian Ocean. *Quest* Vol 5, No 2.
2. Scott, L.E.P., Brown, M. and Reed, G. 2008. The African Marine Atlas. Special Publication of *Position IT* for the South African Environmental Observation Network (SAEON).

Newsletter Articles about ASCLME

1. NEMC hosts first MEDA stakeholders workshop for ASCLME Project. *WIOMSA Newsbrief*, p7-8, March 2010.
2. Attwood, C & Hermes, J. 2010. The ASCLME Project and its progress in South Africa. *SANCOR Newsletter*, issue 190, March 2010.
3. Attwood, C & Gottheil, S. 2009. Pioneering Indian Ocean Cruises begin in August. *SANCOR Newsletter*, issue 188. May/Jun 2009.
4. Attwood, C. 2009. Oceanography for journalists. *SANCOR Newsletter*, issue 187. Feb/Mar 2009.
5. Attwood, C. 2008. Historic Nansen voyage enters final stage. *WIOMSA Newsbrief*, Vol 13, No 4.
6. Attwood, C. 2008. Agulhas Somali Current Large Marine Ecosystem Project (ASCLME) gets underway. *Umlobi*. Newsletter of Marine and Coastal Management, Cape Town, South Africa. Issue 2, October 2008.
7. Attwood, C. 2008. East coast under the spotlight. *Maritime Southern Africa* Jan/Feb 2008. P.50.
8. Attwood, C. 2008. Norwegian research ship on African voyage of discovery. *Maritime Southern* Africa Sep/Oct 2008. P.38.
9. Attwood, C. 2008. Science at sea. *Maritime Southern Africa* Nov/Dec 2008. P. 8 – 10.
10. Moor, A. 2008. The Agulhas Somali Large Marine Ecosystem Project (ASCLME). *The Oricle*. Newsletter of the Oceanographic Research Institute, Durban, South Africa. Issue 49.
11. Pillay, P. 2008. East meets west in ASCLME training course. *SANCOR Newsletter*, issue 186. Aug 2008.
12. Scott, L.E.P. Inventory of ACEP data sets. *Western Indian Ocean Marine Science Association News Brief.* Volume 13 No. 3. September 2008.
13. Scott, L.E.P. 2008. Development of the African Marine Atlas. Ocean Data and Information Network for Africa (ODINAFRICA) Newsletter *WINDOW*. Volume 19, Number 1-2, September 2008
14. Stapley, J. 2008. Agulhas and Somali Current Large Marine Ecosystems (ASCLME) Project. *SAIAB Annual Highlights Report* 2007 – 2008.

Publicity Materials

1. Stickers (Round) 2009
2. Stickers (*Nansen* rectangular) 2008
3. ASCLME headed paper
4. ASCLME Flyer 2008 (small 2-sided leaflet)
5. ASCLME Folder 2008 (A4 folded brochure for inserting additional information)
6. ASCLME Pull-up information banners (x5)
7. ASCLME Banner 2008 (Collapsible A-Frame Banner with ASCLME branding)
8. Various Pens (branded)
9. Various T-Shirts (branded)
10. Rulers
11. Mugs
12. Models of R/V *Dr. Fridtjof Nansen*

Films

1. *Rivers of Life, Oceans of Plenty*. 26 Minute documentary on the western Indian Ocean, produced in collaboration with WIO-LaB. Available in English, French, Kiswahili and Portuguese.

ASCLME Project Newsletter

1. Current Affairs, Vol 1, Issue 1, April 2010
    a. Included a DVD copy of *Rivers of Life, Oceans of Plenty*.
2. ASCLME News, Vol 1, Issue 2, October 2009.
3. ASCLME News, Vol 1, issue 1, Feb 2009.
    a. Included a full size promotional Poster

Scientific Publications

1. Vousden, D., Scott, L.E.P., Sauer, W., Bornman, T.G., Ngoile, M., Stapley, J., and Lujeharms J.R.E. 2008. Establishing a basis for ecosystem management in the western Indian Ocean. *South African Journal of Science* **104**, 417-420.

Scientific Conference Posters

1. Scott, L.E.P., Anasse, F., Etienne, M., Hermes, J., Masalu, D., Maueua, C., Ong'anda, H., Rakotoarijaona, J.R., Sabriye, A., and Virasami, R. 2009. The Marine Ecosystem Diagnostic Analysis and Data and Information Management for the ASCLME Project. WIOMSA, Reunion, 2009.
2. V. Munbodhe , T.G. Bornman, V. Ramchandur & O. Sadasing - Observation on water quality and primary productivity in the immediate EEZ of Mauritius Island. WIOMSA, Reunion, 2009.
3. T. Morris. Long-term temperature monitoring in the Mozambique Channel. WIOMSA, Reunion, 2009.
4. T. Lamont, R. Barlow, T. Morris, B. Backeberg, H. Sessions. Absorption characteristics of phytoplankton in Mozambique Channel eddies. WIOMSA, Reunion, 2009.
5. M. A. van den Berg, T. Morris, & M.J. Roberts. Long-term temperature monitoring in the Mozambique Channel. WIOMSA, Reunion, 2009.
6. R. Barlow, T. Lamont, H. Sessions, T. Morris & B. Backeberg. Pigment indices of phytoplankton functional types in Mozambique Channel eddies. WIOMSA, Reunion, 2009.
7. J.A. Huggett, N. Strydom, T. Morris, M.A. van den Berg, & S. Ockhuis. Zooplankton and ichthyoplankton spatial distributions associated with a dipole eddy system in the western Mozambique Channel. WIOMSA, Reunion, 2009.
8. P. Cotel, M. Potier, A. Lebourges-Dhaussy, J.A. Huggett, E. Josse, F. Ménard, & J.-F. Ternon. Multi-frequency acoustic characterisation of macrozooplankton and micronekton distributions in the Mozambique Channel. WIOMSA, Reunion, 2009.
9. M. Ostrowski, T. Strømme & O. Alvheim. The structure of the water column, current patterns and distribution of acoustic backscatter on the Nazareth and Saya de Malha Banks in the south western Indian Ocean. WIOMSA, Reunion, 2009.

Workshop Presentations

1. 2010. Scott, L. E. P. Data management for the ASCLME Project and regional partnerships. Western Indian Ocean Projects and Programmes Regional Consultation. 3 August 2010. Mombasa, Kenya.
2. 2010. Scott, L. E. P. et al. The African Marine Atlas. African Marine Atlas Training Course. 2 August 2010. Mombasa, Kenya.
3. 2010. Scott, L. E. P. The ASCLME Project current status and contributions to IndOOS. IndOOS Resources Forum Meeting. 15 July 2010. Perth, Australia.
4. 2010. Scott, L. E. P. The ASCLME TDA, SAP, long term monitoring and capacity building. Data Buoy Cooperation Panel. Capacity Building workshop for the Western Indian Ocean. 22 April. Cape Town, South Africa.
5. 2010. Scott, L. E. P. Introduction to the ASCLME Project, long term monitoring and data management. Regional Inshore Oceanography and Monitoring Training Course. 12 April 2010. Mauritius.
6. 2010. Scott, L. E. P. The TDA and SAP Process. Regional Stocktaking meeting. 29 March 2010. Nairobi, Kenya.
7. 2010. Scott, L. E. P. and Ngoile, M. The Agulhas and Somali Current Large Marine Ecosystems Project. Pan-African Workshop on Decision-Making Support for Coastal Zone Management, Water Resources and Climate Change in Africa. 15 February 2010. Cotonou, Benin
8. T.G. Bornman. 2009. Cruise data: Data analyses & publications. ASCLME Cruise Data Workshop, 26 August, 2009.
9. T.G. Bornman. 2009. Offshore Research Cruises (2008 – 2009) and plans for 2010. ASCLME 3rd Regional Coordination Group meeting (21 – 22 August).
10. T.G. Bornman. 2009. Alternative research plans for the exclusion zone. ASCLME 3rd Regional Coordination Group meeting (21 – 22 August).
11. T.G. Bornman. 2009. Inshore & offshore monitoring plan and training course. ASCLME 3rd Regional Coordination Group meeting (21 – 22 August).
12. 2009. Scott, L. E. P. Agulhas and Somali Currents Large Marine Ecosystem Project. Marine Protected Area Network of the IOC Countries. Prioritization & Strategy for WIOMER. 24 - 27 November 2009. Colbert Hotel, Antananarivo, Madagascar.
13. 2009. Scott, L. E. P. The Agulhas and Somali Currents Large Marine Ecosystem Project. African Marine Atlas Task Team Meeting. 12 October 2009. Oostende, Belgium
14. 2009. Scott, L. E. P. The Agulhas and Somali Current Large Marine Ecosystems (ASCLME) Project. 21 July 2009. 4th IAMSLIC Conference – Zanzibar, Tanzania
15. 2009. Scott, L. E. P. The Agulhas and Somali Current Large Marine Ecosystems (ASCLME) Project. Ocean Data and Information Network for Africa (ODINAFRICA-IV) Planning Meeting. 30 March – 2 April 2009. UNESCO/IOC's Project Office for IODE, Oostende, Belgium.
16. 2008. Scott, L. E. P. ASCLME Project Overview. Remote sensing, image processing and SDI related to dynamics and integrated management of the environment. France, La Reunion. 27-29 October 2008.
17. 2008. Scott, L. E. P. Data and Information Management. ASCLME Regional Project Coordination Forum. 2-4 October 2008. La Plantation, Mauritius.
18. 2008. Scott, L. E. P. National ASCLME Technical Coordination Groups. ASCLME Regional Meeting of Technical Coordination Groups. 29 September – 1 October 2008. La Plantation, Mauritius.
19. 2008. Scott, L. E. P. ASCLME Data and Information Management. ASCLME Regional Meeting of Technical Coordination Groups. 29 September – 1 October 2008. La Plantation, Mauritius.
20. 2008. Scott, L. E. P. ASCLME National Activities. First National Seminar and formation of the Mozambican National Coordinating Group (COG) for the ASCLME Project. Maputo, Mozambique. 15 September 2008.
21. 2008. Scott, L. E. P. ASCLME National Activities. First National Seminar and formation of the Tanzanian National Coordinating Group (COG) for the ASCLME Project. Dar es Salaam, Tanzania. 12 September 2008.
22. 2008. Scott, L. E. P. ASCLME National Activities. First National Seminar and formation of the National Coordinating Group (COG) for the ASCLME Project. Mombasa, Kenya. 29 August 2008.
23. 2008. Scott, L. E. P. WIO Regional Marine and Coastal Programmes: Towards improved data and information management for the benefit of participating countries. Intergovernmental Oceanographic Commission - Western Indian Ocean. 17 July 2008. Mombasa, Kenya.
24. 2008. Scott, L. E. P. The Agulhas and Somali Current Large Marine Ecosystems (ASCLME) Project: Planning pragmatic data and information management activities for the long-term benefit of participating countries. 7th ODINAFRICA Planning and Review workshop "Addressing Challenges of Data Collection and Utilization for Management of Ocean Resources and Coastal Areas in Africa". 14-16 July 2008.

Scientific Conference Presentation Papers

1. M. J. McPhaden, K. Ando, B. Bourles, H. P. Freitag, R. Lumpkin, Y. Masumoto, V. S. N. Murty, P. Nobre, M. Ravichandran, J. Vialard, D. Vousden, W. Yu. 2009. The Global Tropical Moored Buoy Array. Presented at OceanObs'09, Venice, Italy, 21-25 September 2009.
2. T.G. Bornman, & I. Ansorge. Phytoplankton biomass and distribution along the Mascarene Plateau, western Indian Ocean. WIOMSA, Reunion 2009.
3. B. O'Reilly, T.G. Bornman, E.E. Campbell, N. Gordon & K. Pillay. Biomass, composition and distribution of phytoplankton associated with mesoscale eddies in the Mozambique Channel. WIOMSA, Reunion 2009.
4. I.J. Ansorge, T.G. Bornman, S. Kaehler, K.S. Bernard & J.R.E. Lutjeharms. An oceanographic survey of the Mascarene Plateau. WIOMSA, Reunion 2009.
5. L. Hancke & M. Roberts. Surface transport in the Mozambique Channel in the summer of 2008/2009 with implications for egg and larvae dispersion. WIOMSA, Reunion 2009.
6. J.A. Huggett, Hill, J., Kaehler, S., Morris, T., Ternon, J-F., Backeburg, B., Miggel, A., Potgieter, M., Ockhuis, S., Jones, S., Wright, E. Biomass, composition and vertical distribution of zooplankton associated with mesoscale eddies in the Mozambique Channel. WIOMSA, Reunion 2009.
7. B. Backeberg, C. Reason & M. Roberts. Eddy driven upwelling in Mozambique Channel: A modeling perspective. WIOMSA, Reunion 2009.
8. M.J. Roberts & J-F. Ternon. Mechanics and role of dipole eddies in the Mozambique Channel ecosystems. WIOMSA, Reunion 2009.
9. T. Morris & B.C. Backeberg. An inter-comparison of current observations from remote and in situ platforms. WIOMSA, Reunion 2009.
10. J.F. Ternon, M.J Roberts, H. Demarcq, M. Potier , P. Bach & F. Marsac. From oceanographic dynamical processes to marine top predators: what can we learn from remote and in situ "environmental indicators"? WIOMSA, Reunion 2009.
11. Scott, L.E.P. & Andréfouët, S.A regionally consistent assessment of the location, extent and diversity of coral reefs, seagrass beds, estuaries and mangroves for the Western Indian Ocean countries. WIOMSA, Reunion 2009.
12. Tweddle, D., Alvheim, O., Lucas, V. & Govinden, R. Demersal trawl fishes of the Mascarene Plateau. WIOMSA, Reunion 2009.
13. Durgadoo, J.V., Roman, R.E., Ansorge, I.J. & Lutjeharms, J.R.E. Oceanographic environment around Mauritius. WIOMSA, Reunion 2009.
14. Roman, R. & Lutjeharms, J.R.E. Flow and water mass distribution along the east and south coast of Madagascar. WIOMSA, Reunion 2009.
15. Vousden, D. An overview of the ASCLME Project and its partnerships. ASCLME Special Session, WIOMSA, Reunion, 2009.
16. Payet, R. South West Indian Ocean Fisheries Project (SWIOFP). ASCLME Special Session, WIOMSA, Reunion, 2009.
17. Scheren, P. Addressing land-based activities in the Western Indian Ocean. ASCLME Special Session, WIOMSA, Reunion, 2009.
18. T.G. Bornman. Ecosystem and oceanographic data collection: Cruises 2008 – 2011. ASCLME Special Session, WIOMSA, Reunion, 2009.
19. Gotheil, S. Applying an ecosystem-based approach to fisheries management: focus on seamounts in the southern Indian Ocean. ASCLME Special Session, WIOMSA, Reunion, 2009.
20. Roman, R. The East Madagascar Current. ASCLME 2008 Cruise 1. ASCLME Special Session, WIOMSA, Reunion, 2009.
21. Durgadoo, J.V. Mauritius as an island ecosystem. ASCLME 2008 Cruise 2. ASCLME Special Session, WIOMSA, Reunion, 2009.
22. Ansorge, I. The Mascarene Plateau. ASCLME 2008 Cruise 3. ASCLME Special Session, WIOMSA, Reunion, 2009.
23. S. Kaehler, M. Roberts, J-F. Ternon, T. Morris, J. Huggett, J.M. Hill, M. Potier, P. Cotel, B.C. Backeberg, A. Langa, B. Malaune, A. Miggel, K. Pillay, B. Dyer, D. Benivary, B. O'Reilly, T. Gammelsrød, M. Olsen, H. Demarcq and D. Dagorne. The 4th ASCLME / EAF Nansen cruise: A multidisciplinary exploration of Mozambique Channel Eddies. ASCLME Special Session, WIOMSA, Reunion, 2009.
24. Ong'anda, H., Scott, L. and D&I coordinators. Data and Information coordination, National Marine Ecosystem Diagnostic Analyses. ASCLME Special Session, WIOMSA, Reunion, 2009.
25. CB & T coordinators. ASCLME: Capacity building and training initiatives. ASCLME Special Session, WIOMSA, Reunion, 2009.
26. Ngoile, M. Policy and Governance. ASCLME Special Session, WIOMSA, Reunion, 2009.

27. Vousden, D. Next steps – scientific needs within LMEs. ASCLME Special Session, WIOMSA, Reunion, 2009.
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ASCLME Website

http://www.asclme.org/

Annex H. Proposed Realignment of the ASCLME Project

Background:

An on-going problem for the delivery of an effective TDA and SAP for the western Indian Ocean LMEs has been the lack of synchronisation between the three Sister projects of ASCLME, SWIOFP and WIO-LaB. WIOLaB finished in 2010 and completed a TDA and SAP, but only for the Land-Based Activities. ASCLME is pushing ahead with its MEDA-TDA-SAP process for the Ocean-Based Activities and was planning to work closely with SWIOFP to deliver a single TDA and SAP for OBAs before the close of the ASCLME project in mid-2012. The long-term plan was to amalgamate and integrate all products into a single TDA and SAP. This was agreed at the GEF WIO LMEs Stock Taking Meeting in Nairobi in March 2010

The SWIOFP and the ASCLME project held their Joint Steering Committee Meeting in Dar Es Salaam. During this process the two projects broke apart for three days to hold independent meetings but shared their opening and closing days. At the independent meeting of SWIOFP it was decided that they would approve a no-cost extension to SWIOFP in view of their late start and the delay in progress of their activities and components.

This now creates a greater problem in timing and delivery for ASCLME and for the TDA and SAP process. SWIOFP will **NOT** now be in a position to deliver their input to the TDA process until the second half of 2012 when ASCLME will be operationally finished. SWOIFP will also not be able to finalise its inputs to the SAP until 2013. This effectively means that the only TDA and SAP that ASCLME could feasibly deliver by close-of-project in mid-2012 would be ones that are substantially void of any fisheries components. This would not realistically be acceptable either to the countries who are expected to endorse the SAP, or to UNDP and GEF who have invested in what they expect to be a comprehensive process towards an ecosystem governance and management approach within the WIO.

Options:

There are, in effect, three options available to deal with this situation:

A. Business-as-usual: this means that ASCLME continues with its MEDA (national level assessment), TDA (regional transboundary assessment) and SAP (Strategic Action Programme) delivery as planned but with the understanding that this is not an overall Ocean-Based Activities TDA and SAP as it will not incorporate any commercial fisheries inputs and will not capture the all-important aspects of the SWIOF Commission as a player in the governance process alongside the Nairobi Convention.

B. Extending ASCLME by 24 months so that ASCLME can complete its mandate to integrate the TDA and SAP inputs for an overall single regional TDA and SAP. The estimated cost implications of this would be in the region of an additional $1.6 million.

C. Re-programming the activities and delivery from the current ASCLME Project to strengthen the foundations and partnerships (including political and financial sustainability) with the understanding that a further ASCLME project would, as its first activity and responsibility, amalgamate all of the TDA and SAP inputs across the three projects into a single TDA/SAP process that would already have political and financial commitments in place to ensure its sustainability. This re-programming would release funding from the TDA-SAP process to undertake the new responsibilities as defined below.

Re-Programming the ASCLME Project:

It is the opinion of the ASCLME Project and UNDP that Option C is the only realistic option and actually provides a significant improvement on the original objectives of the Project, the regional needs in terms of an ecosystem approach, and the expectations of GEF and other funding agencies in the region.

The GEF WIO LME Stock-Taking Meeting (in Nairobi in March 2010) endorsed the need for a Western Indian Ocean Sustainable Ecosystem Alliance within the region which would see all of the regional and global initiatives and funding amalgamated strategically with the country commitments and needs under a single partnership working toward a mutual goal.

The Joint ASCLME/SWIOFP Steering Committee Meeting in Dar Es Salaam (13-17 September 2010) saw presentations on the successful development of strong partnerships within the region, particularly through the ASCLME project, which are already supporting long-term activities (including monitoring and indicator assessment) for ecosystem sustainability and climate change. The meeting saw the adoption of three more successful partnerships into this alliance with the inclusion of MoUs and Annexes between the ASCLME project, NOAA, WWF and IRD. The meeting proposed that these partnerships should be extended through the alliance into a long-term process for sustainable support to the WIO region, recognising that there is a global responsibility for managing the LMEs in view of their fundamental role in global fisheries and global climate.

Also arising from the Joint Steering Committee Meeting was an agreement that the ASCLME Policy and Governance Assessments and the ASCLME Cost Benefit Analysis (now beginning) were to be extended to include SWIOFP to deliver a joint Assessment and Analysis. The P&G Assessment has already got off to a very successful start in Grahamstown, South Africa, hosted by the ASCLME PCU with an initial workshop and think-tank which included representatives from both projects and from Ministries of both Environment and Fisheries.

It was also agreed that ASCLME would now partner with IUCN (as a growing expression of its successful joint work on the 'Seamounts' Project) and ReCoMap to host a Science-to-Governance meeting in Mauritius in March 2011 as a run-up to the next Policy Advisory Committee (that evolved from the Stock-Taking Meeting in Nairobi in March 2010). This meeting will focus on the translation of cutting-edge science in the region to pragmatic policy briefings which are sensitive to the socioeconomic and political concerns of decision-makers throughout the region. The intention would be to promote the 'Weight-of-Evidence' approach (which goes further than the Precautionary Principle but is not constrained by the need for 99% confidence limits) and to discuss its implications in the presence of both scientists and policy-makers.

It was also noted that ASCLME has already realigned its activities and budget to cater for the need for more emphasis on community engagement and coastal livelihoods and the Steering Committee Meeting applauded this effort (as has GEF). But it was recognised that further efforts would be important in this area if further funding and support could be identified.

Finally, the Joint PSC Meeting noted that, as a result of the establishment of some strategic partnerships, the ASCLME project had already implemented an initial long-term monitoring programme in the WIO. A series of long-term monitoring moorings and buoys had been deployed already and the network is currently under significant expansion based on the success of the partnership and on the data retrieval. This includes ATLAS IndGOOS Moorings that are capturing ocean-atmosphere information and LOCO (Long-term Ocean and Climate Observation) moorings. The meeting made a very strong note of the fact that this equipment, along with the ocean-going monitoring of indicators, is vital in providing early warnings of ecosystem variability and climate change to an area of the world which has been designated on of the highest risk areas in terms of the effects of variability and climate change on impoverished coastal communities (including the loss of food security, access to clean water, loss of livelihoods and living space, etc). Furthermore, the ASCLME project is building into this long-term monitoring programme a network of coastal indicators and data capture programmes that will complement the offshore data. In the words of the PSC meeting 'It is impossible to consider undertaking an ecosystem approach in the western Indian Ocean unless we can define and understand the ecosystem in the first place, and then continue to monitor it for any changes that would drive adaptive management in the second place".

All of this is only possible because of the partnerships which are evolving so successfully within the western Indian Ocean and which ASCLME has already assessed to be worth an additional $12 million plus (over and above any co-funding identified in the Project Document) in terms of commitments to data capture, monitoring and management.

It is therefore proposed that ASCLME adopt a new approach to the TDA SAP process which focused on building an Alliance within the region between funding agencies, active research and conservation/development bodies, existing management institutions with a mandate related to ecosystem management (e.g. Nairobi Convention, SWIOF Commission, Indian Ocean Tuna Commission, WIOMSA, etc.) and the countries. This Alliance will, over the next two years, create three vitally important pillars that will provide the support to the SAP when it is endorsed. These are:

Scientific and Technical Sustainability: Through long-term agreements for continued monitoring and assessment of indicators to support an adaptive management approach and to provide early warnings of ecosystem variability and change. A substantial number of such agreements have already been evolved bilaterally between ASCLME and other partners but these would be much more effective if seen as part of an overall Alliance for the WIO region which identifies roles and responsibilities as well as coordination.

Financial Sustainability: Also currently being evolved but needing much more strategic development to ensure cost-effective targeting of long-term funds for monitoring, management, governance, capacity-building, community engagement, etc. Realistically this will need commitments from the global community to the WIO and to long-term ecosystem management and adaptive governance. This would be dependent on and conditional to political commitment from the countries of the region to provide political sustainability to this process.

Political Sustainability: In light of commitments under the two pillars above (scientific/technical and financial sustainability) the countries will agree to make certain commitments in terms of adopting an ecosystem approach, adopting and ratifying appropriate conventions and protocols, supporting a long-term monitoring process, sustaining IMCs and a regional Policy level steering group, etc.

What this Sustainable Ecosystem Alliance therefore builds is a clear mechanism and foundation into which the monitoring of status of the ecosystem (e.g. the TDA delivery) and the details of the governance requirements and agreement on the same (e.g. the SAP) can be slotted in very smoothly and efficiently once they have been adopted and signed. This alliance therefore paves the way for implementation of the SAP with an existing set of agreements that ensure sustainability.

In the context of this new proposal, ASCLME would aim to undertake the following activities under its realigned objectives:

1. To strengthen and align its Policy and Governance Assessment component to address the objectives of both projects (ASCLME and SWIOFP) and to deliver a mechanism for translating the Science and Data Capture components into actual Governance and Policy reforms as articulated in the planned SAP.
2. To strengthen and align the Cost Benefit Analysis to address the objectives of both projects (ASCLME and SWIOFP). This CBA is vital to buying ownership by the countries at the political level and to securing country financial commitments for SAP implementation. It will help to ensure the political sustainability for the EBM approach by showing the Cost Benefits of such an approach versus business-as-usual.
3. To continue to strengthen the existing partnerships that are forging an effective monitoring and early warning programme and to better identify appropriate indicators for each of the LME modules (including socioeconomics and governance) following GEF IW indicators framework (Process, Stress Reduction, Environmental & Socioeconomic Status).
4. To expand efforts to capture community involvement into the overall LME and EBM process and to address coastal livelihoods and coastal community security as a major delivery from the ecosystem approach. This would include identifying further funding and cooperation from partners.
5. To capitalise on the excellent and very detailed MEDA (national Marine Ecosystem Diagnostic Analysis) documents that are now being delivered by each country. These focus on national level diagnostic analyses but with an emphasis on the EBM approach and on identify transboundary issues affecting each country. The MEDAs form the foundation for the TDA and

Causal Chain Analysis. This could be an excellent opportunity to develop each of these into a national action programme that captures the ecosystem approach at the national level and recognises the LME concept. This approach at the national level has built strong national ownership and would continue to do so whilst providing us with the appropriate national capacity and institutional strengthening that the regional LME approach will need to underpin it. Already we are developing preliminary monitoring programmes in each country focusing on GEF indicators.

6. Finally, and most importantly, to capture all of the above under a WIO Sustainable Ecosystem Alliance that will build trust and cooperation at the technical, financial/funding, and political level between the countries, the funding agencies, the various technical and management stakeholders, etc. to ensure a sustainable environment for delivery of the SAP so as to better guarantee its effective implementation. This Alliance would form a multilateral agreement that goes beyond just country endorsement but which captures the responsibilities and inputs of all stakeholders (regional and global)

END-NOTE:

Although this is being referred to as a re-programming and realignment exercise, it should NOT be seen as a significant change in the aims and objectives of the project but actually a focused and targeted strengthening of those aims and objectives at the mid-point of the Project. The following three statements are taken from the signed Project Document to demonstrate how the above proposal is still fully conducive with the aims of the countries and the funding and implementing agencies.

From the Project Summary: *'A phased approach is planned that progressively builds the knowledge base and strengthens technical and management capabilities at the regional scale to address transboundary* environmental *concerns within the LMEs, builds political will to undertake threat abatement activities and leverages finances proportionate to management needs'.*

From the description of the Programmatic Approach: *'An iterative approach is planned, that progressively strengthens management capacities for regional cooperation in addressing transboundary environmental concerns in the LMEs, builds political will and leverages financing. The long-term Programme goal cannot be realized immediately, owing to gaps in essential information, limited absorptive capacities for regional co-management, and the need to build the basis of trust within the region, and between countries and sectors to effect lasting cooperation. Activities planned under the first phase will inform the preparation of a Transboundary Diagnostic Analyzes (TDAs) and Strategic Action Programmes (SAPs)'.*

From the Project Objective: '*to undertake an environmental baseline assessment of the Agulhas and Somali Current Large Marine Ecosystems to fill information gaps needed to improve management decision-making, and to ascertain the role of external forcing functions (such as the Mascarene Plateau and the Southern Equatorial Current). This information will be used to develop a TDA and SAP for the ACLME and a TDA for the southern portion of the SCLME'.*

Annex I. Detailed Description/Breakdown of Research Cruises by ASCLME

The following cruises have taken place (certain cruises were split into two legs and these were considered to be two separate cruises as most of the scientists, samples, gear, etc. were exchanged during the port stop. The vessels maximum range is 40 days after which she needs to be refueled and crew changed. All research cruises of the ASCLME Project were planned accordingly and a cruise report for each of the cruises has been/is to be produced:

1 East Madagascar Leg 1: Durban to Toamasina; 2008; R/V Dr Fridtjof Nansen

2 East Madagascar Leg 2: Toamasina to Port Louis; 2008; R/V Dr Fridtjof Nansen

3 Mauritius, Port Louis to Port Louis; 2008; R/V Dr Fridtjof Nansen

4 Mascarene Plateau & Seychelles Bank; 2008; R/V Dr Fridtjof Nansen

5 Amirante Shelf and Mascarene Basin; 2008; R/V Dr Fridtjof Nansen

6 Mozambique Channel; 2008; R/V Dr Fridtjof Nansen

7 Agulhas Shelf; 2009; R/V Algoa

8 North Mozambique Shelf; 2009; R/V Dr Fridtjof Nansen

9 West Madagascar Leg 1: Toliare to Mahajanga; 2009; R/V Dr Fridtjof Nansen

10 West Madagascar Leg 2: Mahajanga to Antsiranana; 2009; R/V Dr Fridtjof Nansen

11 Comoros Gyre: Moroni to Anjouan; 2009; R/V Dr Fridtjof Nansen

12 Seamounts of the South-West Indian Ocean Ridge; 2009; R/V Dr Fridtjof Nansen

13 LOCO mooring maintenance; 2009; R/V Algoa

14 Natal Bight summer: 2010; R/V Algoa

15 Natal Bight winter: 2010; R/V Algoa

16 Agulhas Bank: 2010; R/V Algoa

17 LOCO deployment and Atlas mooring maintenance cruise; 2010; R/V Algoa

Planned cruises:

18 ARC and CPIES mooring cruise; 2010; R/V Algoa

19 SWIOFP Pelagic cruise Mascarene Plateau; 2010; R/V Dr Fridtjof Nansen

20 USNRL Seismic oceanography, Agulhas Return Current; 2011; R/V Algoa

21 LOCO mooring retrieval cruise, Mozambique Channel; 2011; R/V Algoa

Mid-Term Evaluation Report,

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