

# **Pacific Islands Oceanic Fisheries Management Project**



## **MID TERM EVALUATION**

Governments of Cook islands, Federated States of  
Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue,  
Palau, Papua New Guinea, Samoa, Solomon Islands,  
Tonga, Tokelau, Tuvalu, Vanuatu United Nations  
Development Programme Pacific Islands Forum

Fisheries Agency

A decorative graphic consisting of six circles arranged in two rows of three. The top row has a solid light purple circle on the left, a white circle with a light purple outline in the middle, and a solid light purple circle on the right. The bottom row has a solid light purple circle on the left, a white circle with a light purple outline in the middle, and a solid light purple circle on the right. The word "Consultants" is written in a bold, black, sans-serif font, with the first two letters of the top row of circles overlapping it.

# Consultants

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## SUMMARY OF MAJOR FINDINGS ...

- OFM Project developed to assist Pacific SIDs sustainably manage their oceanic resources, and conserve ocean biodiversity.
- The Project is (unusually) large in scope and complex in design.
- Spans a vast area, around 40 million sq km of the Central Western Pacific, and
- Jurisdictions of 15 Pacific Island nations and territories.
- Multi-governmental, five year project (2005-2010)
- Funding US\$ 11,644,285 from Global Environment Facility (GEF) and US\$ 79,091,993 of co-financing from participating countries, regional organisations and other sources.

Mid-term Evaluation commissioned by GEF Implementing Agency (UNDP) to assess progress, provide feedback on lessons learnt and future directions.



## **RESULTS : *Major Achievements***

- OFM Project well designed and implemented
- ▽ Significant impact on the immediate regional objectives (i.e. improved OFM in Pacific SIDS, sustainable development of resources)
- ▽ Significant contribution to wider global objectives (i.e. management of oceanic fishery and oceanic biodiversity).
- ▽ Capacities of most Pacific SIDS to meet their obligations under the WCTF Convention enhanced
- ▽ Performance and outcomes of the Project highly rated by the WCPF Commission.



## Results: *Major issues*

- Smaller, less developed Pacific SIDs require greater levels of support (currently occurring in some countries through bilateral funding).
- Capacity-building largely focused on immediate objectives (needs under the WCPF Convention) not long-term ...
- Long-term, more strategic capacity-building required in the future.
- IUCN Seamounts study: delayed for matters beyond the organisation's control. Now redesigned and underway. (*Current status IUCN: Kevin Passfield*)

# Review: *Project management & administration*



- **Overall - Efficient and effective.**
- **UNDP** (GEF Implementing Agency): efficient and responsive  
*Issues: bureaucratic procedures affected Executing Agency (FFA); some delays in disbursements, issues generally resolved.*
- **FFA:** very effective in key management/coordination role.
- **Project Coordination Unit (FFA/PCU):** effective but under-resourced  
*Issues: PCU under-resourced (4-5% of GEF allocation; 0.5% of total!!; 15-20% admin overheads usual)*  
*Lacks resources for regular country visits, information dissemination etc.*
- **SPC:** very effective in increasing knowledge of the status of oceanic fisheries.  
*Issues: a number of countries indicated their desire for greater domestic capacity in monitoring & modelling*

# REVIEW: *Financial management*

- FFA procedures efficient and effective

*Issues: Decline in the US\$ 2007-mid 2008 created significant problems, requiring some reallocations of budgets.*

*Loss in the value of the Project budget and staff (esp SPC's scientific assessment and monitoring).*

- *Loss in the value of the budget effectively managed by increasing co-financing.*
- *Recent strengthening of US\$ against AU\$ (Oct 08: 15%) should reverse this trend in second term.*
- Leverage funding substantial and further external funds expected. Will greatly assist sustainability of the Project.
- **NOTE ALSO:**
- **OVERALL COST/EFFECTIVENESS, RISK ASSESSMENT AND ADAPTIVE MANAGEMENT RATED HIGHLY.**
- **MTE UNABLE TO SEPARATE/EVALUATE GEF FUNDING COMPONENT BECAUSE OF EXTENSIVE CO-FUNDING.**
- **CO-FINANCING AND CONTRIBUTIONS IN KIND OF THE REGIONAL PARTNERS NOT POSSIBLE TO EVALUATE IN MTE.**



## REVIEW: *Cross-cutting issues*

- **Institutional strengthening: well addressed**
- **National development: well addressed**
- **Innovation: well addressed**
- **Gender: not specifically addressed**
- **Equity and human rights: not well addressed**

Notes: Social issues rate relatively poorly, and may have been more explicitly addressed in the Project design though linkages with the Millennium Development Goals (MDGs).

Gender: OFM Project does not address wider gender equity issues such as promotion of equal employment opportunities for women in OFM at all levels. It is noted that the lack of capacity and efficiency in regional Fisheries Departments (traditionally male domains) could be greatly assisted by equal employment policies.

Human rights issues are also not well addressed. Fishing is one of the most hazardous occupations on earth. Crew on OF vessels are lowly-paid, sometimes indentured for long periods, have poor living conditions, and have poor medical support. *It is therefore recommended that:*

□ ***gender, human rights and equity issues should be better promoted in the second term of the OFM Project, and be a focus in the proposed future capacity-building project.***



## **LESSON-LEARNT: *positive***

- **Strong emphasis on planning and design has ensured timely start, high level of cooperation, ‘ownership’, coordination & maximised chances of success.**
- **Detailed, prescriptive approach very useful**
- **Effective engagement/ownership of stakeholders**
- **Reduced risks in implementation by:**
  - **utilisation of existing resources, organizations and arrangements**
  - **maximising stakeholder participation and collaboration through partnership arrangements**
- **OFM Project process appropriate model for other regional, multi-stakeholder and inter-governmental projects.**

# LESSONS-LEARNT: *negative*

**Needs of smaller Pacific SIDS not adequately considered.** (*Country needs assessment & specific approaches required.*)

**Some key stakeholders not involved** (eg USP in capacity-building and SPREP in biodiversity conservation). (*Need for wider engagement of CROPS etc. in future*)

**Some National coordination** (NCCs) inadequate. Limited govt capacities, aid overly bureaucratic, excessive reporting & meetings etc?. (*Need for other approaches*)

**Information dissemination inadequate.** (*Need for wider public information and media programmes to inform and engage other stakeholders (eg other Government Departments, industry, community NGOs, schools etc.)*)

**PCU insufficiently resourced for large and complex project.** (*Need for greater resources to PCU.*)

**Adaptive management limited.** Lack of flexibility in budgets. Currency fluctuations. MTE Lags. (*Need for great contingency finding in Aid Projects*)

**SUSTAINABILITY: Longer-term financial support to WCPT Commission uncertain.** OFM Project does not take a long-term, strategic approach to Commission, esp smaller countries. (*Need for long-term strategic approaches*)

# 5. RECOMMENDATIONS

- **5.1. Corrective actions for the design, implementation, monitoring and evaluation of the project**

- **5.1.1. Design: *The revised design for the IUCN Seamount sub-component Output 1.3.2. should be closely coordinated, integrated with the wider OFM Project objectives, and be***

***collaborative with other regional research.*** IUCN Seamount activities should be coordinated by the Principal Investigator, IUCN Oceania Office in Fiji. Activities and outputs should be related to other aspects of the OFM Project such as management options, law reform, compliance, information strategy etc. Where possible, there should be collaboration with other seamount research and management initiatives in the region (e.g. by French research vessel *Alise*; Japan Fisheries University /USP seamounts research on *Koyo Maru*).


- **(Notes: refer to IUCN progress report, 17 Oct, Kelvin Passfield.)**



- **5.1.2. Implementation** ω

- ***The OFM PCU should be better supported in the second term of the Project.***

- Urgent discussions should be held between the Project Coordinator and UNDP on Project management needs in the second term, and ways ahead. For example, an additional Professional staff member might be recruited to assist in coordination, reporting and in the development of the recommended new Project. One or two additional Technical assistants might be established where funds could be reallocated from other technical activities. The additional staff might be seconded from regional Fisheries Departments to aid in coordination and national capacity building.
- ω ***GEF should be informed on the need for greater flexibility in allocations for Project management.*** Success of any Project depends on the quality of Project management. ω

- 
- ***Pacific SIDs should be assisted where possible in developing their capacities in oceanic fisheries science.***
  - ***Immediate: Should be commenced in second term at minimal cost (eg: through work attachments for Fisheries institution research staff at SPC;***
  - ***linkages between SPC with USP's School of Marine Studies; encouragement for students from Pacific SIDs to undertake postgraduate research in oceanic fisheries).***
  - **NOTES: Discussion on 17 Oct SPC session. Some of these is already being picked up by SPC (Dr Donald Bromhead presentation). But much of this training mainly ad hoc. Requires ...**
  - **Long-term: *More strategic, long-term assistance* in building national capacities in ocean science should be included in the proposed capacity-building project (below).**

### 5.1.3. Partnership agreements

∇ *the OFM Project should be more explicitly linked to the **Pacific Plan** and a new project be developed to implement the long-term strategic approach to capacity-building in OFM, as recommended under the **Vavau Declaration**.*

*Discussions should held between FFA and the **Pacific Forum Secretariat** in developing this project.*

□ *Discussions should be held with USP and SPREP to more actively involve them in capacity-building and oceanic biodiversity and conservation. As funding is fully committed for the second term of the OFM, they may be able to contribute in kind and through leverage funding arrangements.*

ω Special efforts should be made to more closely engage with the **private sector, tuna industry and related business communities** in the promotion of the OFM Project objectives.

**(NOTES: PNG NATIONAL FISHERIES AUTHORITY GOOD MODEL FOR PRIVATE SECTOR ENGAGEMENT)**



## 5.1.4. Monitoring and reporting

- ***A suite of appropriate indicators should be developed within the Logical Framework to better monitor progress in Project Outputs and Activities. The Project Coordinator should develop these in consultation with UNDP and GEF.***

Quantitative indicators should be aggregated from (a) a ‘bottom-up’ approach (e.g. performance of each activity (e.g. planned versus actual performance with respect to timeliness, budget, outcomes, technical reports, numbers of meetings); and (b) ‘top down’ indicators reflecting the broad objectives of the OFM Project (e.g. numbers of Pacific SIDS with appropriate legislation; observer programmes; participation in CPWCPF Commission meetings).

- ***A baseline study of OFM in Pacific SIDS, including a summary of the achievements and shortfalls of WCPF Convention commitments, should be prepared.*** This was recommended in the 2007 Annual Review of the OFM Project. It will be useful background for future initiatives (see 5.3).

- ***The monitoring and reporting requirements of the major donor, GEF, and implementing agency UNDP, should be assessed to reduce unnecessary bureaucratic procedures.*** The PCU Coordinator should enter a dialogue with UNDP Project Management staff to streamline processes in the second term.

## 5.1.5. Coordination



Increased support for the PCU to undertake additional tasks is recommended above. It is also recommended that:

- ***A review of the functions and effectiveness of the Regional Coordination Committees should be undertaken by the PCU and alternative strategies for in-country coordination is developed where necessary.***

Strategies may include smaller committees, less frequent meetings, delegated responsibilities to existing national coordination committees and/or wider use of newsletters, Internet and media releases to keep stakeholders informed.



## 5.1.6. Information dissemination

□ *the OFM Knowledge Management Strategy should be fully implemented and there should be a greater focus on dissemination of information from the OFM Project by the PCU.*

Information dissemination should include:

- wider distribution of the OFM brochure;
- special briefings for newly appointed Heads of Fisheries and other key stakeholders;
- formal briefings and presentations at relevant regional Fisheries meetings;
- promotion of OFM Project and wider FFA and SPC Websites amongst stakeholders;
- popular descriptions on the Project Website for educators and the wider community;
- regular newsletters (email, Web and hard copy); and
- radio and press
- news releases for distribution to regional media.
- Video/DVD?

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

***The specific needs of small (ALL?) Pacific SIDS should be identified, and a Strategic plan developed to provide appropriate support.***

This may include an assessment of needs and assistance in negotiations with bilateral donors for specific in-country support in OFM.

① ***The Knowledge Management/Media programme should highlight significant achievements in the first term.*** This will assist in the development of leverage funding and funding for the proposed future project in long-term capacity- development (see 5.3).

① ***Discussions should be held as soon as possible with potential donors for a future project (see 5.3). Continued GEF funding is uncertain.*** GEF may not commit to a fourth regional project, but may commit to specific country support through bilateral funding arrangements. The EU, Japan and Australia have shown a strong commitment to supporting sustainable oceanic fisheries and biodiversity conservation.

## 5.3. Proposals for future directions underlining main objectives: 5.3.1. New initiatives

***A new project should be developed for strategic, long-term capacity-building in OFM in Pacific SIDS, and to specifically assist smaller Pacific SIDS and those with governance problems.*** The need for continuation and long-term sustainability of the OFM initiatives, and need for more focused assistance to small Pacific SIDS has been raised throughout the MTE. The 2007 Pacific Forum Leaders' Vavau Declaration calls for long-term, strategic capacity-building in OFM in the Pacific SIDS.

Planning should commence as soon as possible on a new project. Although the details of this are outside the scope of this MTE, some general suggestions on process are given here.

**The TOR of the new Project** might be scoped by consultants reporting to the OFM Steering Committee. Details might be developed by consultants in a workshop of stakeholders, including OFM experts, Pacific SIDS, regional organisations (e.g. FFA, SPC, Pacific Forum Secretariat, USP, SPREP), potential donors (e.g. GEF, EU, Japan, AusAID) and NGOs (e.g. WWF, Greenpeace).

Continued ..



## **New project ... OFM GEF #5??**

The long-term capacity-building Project should be strategic and inclusive in approach. It should consider the specific needs of each country in OFM (mid- to long-term); capacity and training requirements; appropriate training programmes (e.g. at USP, other regional and International institutions); and funding opportunities (multilateral and bilateral aid).

It will require commitment from the targeted Pacific SIDs through partnership arrangements, and contributions in kind (e.g. commitment to additional staff in OFM in Fisheries Departments).

The new project should also focus on closer engagement of the private fisheries sector in OFM, and build on the OFM Project's partnership arrangements.

The project (or some related, coordinated project) should also focus on better understanding of the ecology of the WTP Large Marine Ecosystem, and the status and conservation of its marine biodiversity. This component might be implemented in collaboration with SPREP and SOPAC.



## ***New approaches needed for small Pacific SIDS???***

**Given the lack of progress in capacity-building in the smallest Pacific SIDs in the past 30 years, and the reality that those with very small populations (e.g. under 25,000) will probably always lack the human capacity for specialised OFM, alternative approaches should be considered to better assist them.**

**These might be developed or scoped in an open forum or workshop involving country representatives; experts in OFM and international assistance; Aid and donor organisations, academics, private sector and ‘problem solvers’.**

**Preliminary suggestions by the Consultants include:  
(next slide ...)**

## ***Sub-regional groupings to provide better support for smallest countries?***

Because individual small countries are unable to have the full range of expertise in OFM, they might collaborate to share OFM expertise sub-regionally. Groupings might be based on current FFA sub-groupings of countries with similar challenges and experiences, with shared EEZ borders and shared tuna stocks. The FFA groupings are:

(a) East Sub-Regional Group: Cook Islands, Tokelau, Niue, Tonga, Samoa and New Zealand (shared Polynesian culture, political affiliations with New Zealand etc.)

(b) West Sub-Regional Group: Papua New Guinea, Fiji, Solomon Islands, Vanuatu (and Australia)

(c) North Sub-Regional Group: FSM (Ponape, Yap, Chuuk), Palau and Marshall Islands (Micronesian, small countries, former US affiliations), and Nauru, Kiribati and Tuvalu (Micronesian/Polynesian, atoll countries, former British affiliations).

Subgroups (a) and (c) largely comprise small, isolated island countries.

*There may be benefits in separating the two groups within (c) on geographic and cultural grounds.*



## Other options for small Pacific SIDS ...

**A Centre for OFM? FFA?**

**Country attachments or representatives within FFA?**

As the smallest Pacific SIDs are unable to fully support OFM, mechanisms to assist them might include: a national Fisheries staff member situated at FFA to look after their country's interests;

**A non-national FFA staff member or consultant** to undertake this task on a small countries' behalf? and/or

Consultants **affiliated** with FFA to look after the specific interests of the small countries.

Etc.

# **Suggestions for *GEF #5*? Commence planning now to maintain continuity of current *OFM* initiatives.**

***Objectives: Long-term capacity building in OFM in Pacific SIDS.***

**Project development & Consultation: TOR scoped by consultants reporting to the OFM Steering Committee? Details developed by consultants and workshop of stakeholders (eg. OFM experts, Pacific SIDS, regional organisations (e.g. FFA, SPC, Pacific Forum Secretariat, USP, SPREP), potential donors (e.g. GEF, EU, Japan, AusAID) and NGOs (e.g. WWF, Greenpeace, FSPI).**

## **Considerations:**

- **Build on current OFM Project, partnership agreements etc**
- **Take mid (5-10 yr) and long-term (decadal?), strategic and inclusive approach.**
- **Greater focus on specific needs of each country in OFM (mid- to long-term)**



## **GEF #5? Continued ...**

- **Utilise existing institutions, (e.g. USP, SPREP, other regional and International institutions) ...**
- **Funding: GEF? EU? multilateral and bilateral aid, private sector contributions.**
- **Funding/in kind support: partnership arrangements and contributions (e.g. commitment to additional staff in OFM in Fisheries Departments).**
- **Private sector: closer engagement of the private fisheries sector in OFM.**
- **Greater focus on science, better understanding of the ecology of the WTP Large Marine Ecosystem, and the status and conservation of its marine biodiversity. This component might be implemented in collaboration with IUCN, SPREP and SOPAC.**

# OTHER MANAGEMENT CONSIDERATIONS & APPROACHES

- Continuing need for capacity in fisheries management in most Pacific SIDS. (Small size of Fisheries Depts, high turnover of staff, trained staff leave to join regional organisations/migrate, past training in fisheries development, not sustainable use; senior staff cohort approaching retirement etc)

Decline in fisheries training organisations, declining enrolments (AMC, USP, Nelson Polytechnic, Japan National Fisheries University).

Need for specialised training. Need to for training in **sustainable (ecosystem-based) fisheries approaches**.

- Need for evaluation of country needs (mid- long-term), identification of appropriate training programs etc.
- Need for greater engagement of private sector/industry in OFM management. (eg PNG National Fisheries Authority model)

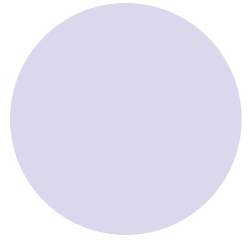
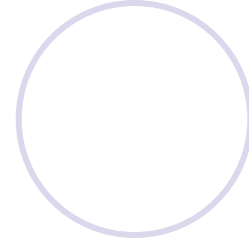
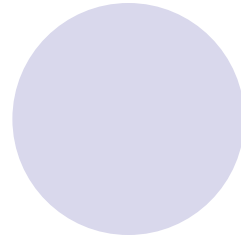
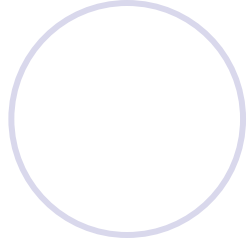
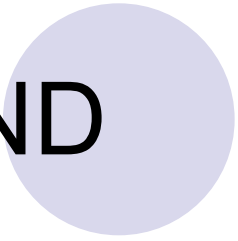


**END OF PRESENTATION**

**Grateful acknowledgements to all  
informants, Barbara, UNDP etc**

**Questions etc ...**

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# **RECOMMENDATIONS: 5.1. Corrective actions for the design, implementation, monitoring and evaluation of the project**

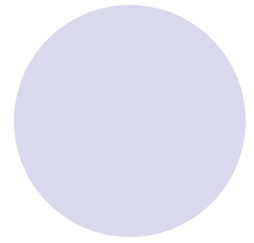
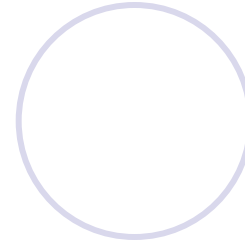
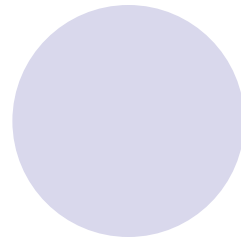
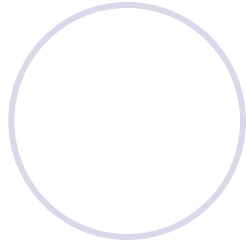
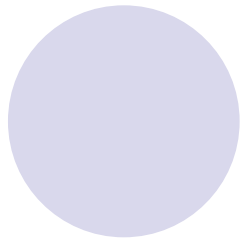
**5.1.1. Design: *The revised design for the IUCN Seamount sub-component Output 1.3.2. should be closely coordinated, integrated with the wider OFM Project objectives, and be collaborative with other regional research.***

The various IUCN Seamount activities should be coordinated by the Principal Investigator who is to be recruited by IUCN Oceania Office in Fiji.

The activities and outputs of the IUCN Seamount research should be related to other aspects of the OFM Project such as management options, law reform, compliance, information strategy etc.

There should be collaboration with other seamount research and management initiatives in the region (e.g. by French research vessel *Alise*; Japan Fisheries University /USP seamounts research on *Koyo Maru*).

*UPDATE: IUCN?*



#### Country attachments or representatives within FFA

As the smallest Pacific SIDs are unable to fully support OFM, mechanisms to assist them might include: a national Fisheries staff member situated at FFA to look after their country's interests; a dedicated FFA staff member or consultant to undertake this task; and/or a pool of technical experts within FFA to look after the specific interests of the small countries.

# **MAJOR RECOMMENDATION: FUTURE INITIATIVES?**

## *Continuation of OFM Project or new OFM Project?*

A second phase (or a new project) should be developed for strategic, long-term capacity-building in OFM in Pacific SIDS, and to specifically assist smaller Pacific SIDS and those with governance and other problems.

### Rationale:

The need for continuation and long-term sustainability of the OFM initiatives, and need for more focused assistance to small Pacific SIDS has been raised throughout the MTE.

The 2007 Pacific Forum Leaders' Vavau Declaration calls for long-term, strategic capacity-building in OFM in the Pacific SIDS.

### Timing:

Planning should commence as soon as possible on a new project. Although the details of this are outside the scope of this MTE, some general suggestions on process are provided.



## **OTHER INITIATIVES? *developing new strategies to better assist small island countries?***

### **Need:**

- Lack of substantial progress in capacity-building in the smallest Pacific SIDs in the past 30 years, and
- Reality that those with very small populations (e.g. under 25,000?) will probably always lack the critical mass/human capacity for specialised OFM etc,
- Alternative approaches should be developed to better assist small Pacific SIDS.

### **Possible mechanisms to develop strategies?**

- Expert group? 'Think tank'? (eg experts in OFM and international assistance, private sector, donor organisations and 'problem solvers' )
- Open forum or workshop? involving country representatives etc.

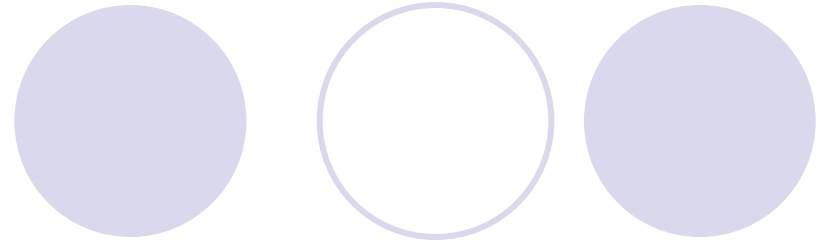
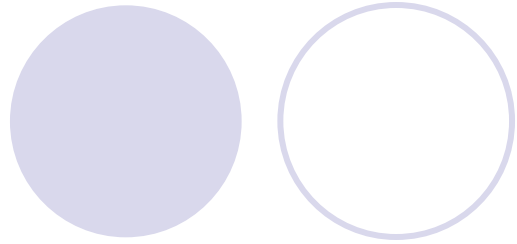
## EXAMPLES OF POSSIBLE STRATEGIES FOR SMALL PACIFIC SIDS: (a) *Sub-regional groupings to provide support for smaller countries?*

- Need for collaboration to share OFM expertise sub-regionally.
- Groupings might be based on current FFA sub-groupings of countries with similar challenges, cultures and experiences, with shared EEZ borders and shared tuna stocks. Special assistance from historical/regional developed countries.
- (a) East Sub-Regional Group: **Cook Islands, Tokelau, Niue**, Tonga, Samoa and **New Zealand** (shared Polynesian culture, political affiliations with New Zealand etc.)  
(b) West Sub-Regional Group: Papua New Guinea, Fiji, **Solomon Islands, Vanuatu** (and **Australia?**) (Melanesian, larger, more resources, greater capacity)
- (c) North Sub-Regional Group: **FSM (Ponape, Yap, Chuuk), Palau and Marshall Islands** (Micronesian, small countries, former **US affiliations**), and **Nauru, Kiribati and Tuvalu** (Micronesian/Polynesian, atoll countries, former British affiliations (**Australia?**)). (Note: Subgroups (a) and (c) largely comprise small, isolated island countries. There may be benefits in separating the two groups within (c) on geographic and cultural grounds.)



**EXAMPLES OF POSSIBLE STRATEGIES FOR SMALL PACIFIC SIDS:  
(B) *Attachments to FFA or delegation of some country functions?***

- a national Fisheries staff member might be situated at FFA to look after their country's interests; or
- a dedicated (non-national) FFA staff member or consultant might undertake this task; or
- a number of technical experts within FFA to look after the specific interests of several/all small countries.
- country responsibilities in OFM which cannot be carried out by small governments might be delegated to FFA (or contracted to private consultants etc)?



end of presentation

thanks

questions etc