Midterm Review Report

April 2017

Version: 23 May 2017 final

Sustainable Management of Highly Migratory Fish Stocks in the West Pacific and East Asian Seas

UNDP PIMS ID: 4753
GEF Project ID: 5393

Region:	Asia and the Pacific
Countries:	Indonesia, Philippines, Vietnam
Focal Area:	International Waters (GEF-5)
GEF Agency:	United Nations Development Programme (UNDP)
Executing Agency:	Western and Central Pacific Fisheries Commission (WCPFC)

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Midterm Review Opening Page:

PROJECT DETAILS:

Project Name:	Sustainable Management of Highly Migratory Fish Stocks in the West Pacific and East Asian Seas
Project ID:	UNDP PIMS ID: 4753 GEF Project ID: 5393
Region:	Asia and the Pacific
Countries:	Indonesia, Philippines, Viet Nam
Focal Area:	International Waters (GEF-5)
Strategic Programs:	**Objective IW-2**: Catalyze multistate cooperation to rebuild marine fisheries and reduce pollution of coasts and Large Marine Ecosystems (LMEs) while considering climatic variability and change **Outcome 2.1**: Implementation of agreed Strategic Action Programmes (SAPs) incorporates ecosystem-based approaches to management of LMEs, ICM principles, and policy/legal/ institutional reforms into national/local plans **Indicator 2.1:** Implementation of national/local reforms; functioning of national inter-ministry committees **Outcome 2.2:** Institutions for joint ecosystem-based and adaptive management for LMEs and local ICM frameworks demonstrate sustainability **Indicator 2.2** Cooperation frameworks adopted & include sustainable financing **Outcome 2.3**: Innovative solutions implemented for reduced pollution, rebuilding or protecting fish stocks with rights-based management, ICM, habitat (blue forest) restoration/conservation, and port management and produce measureable results **Indicator 2.3**: Measurable results for reducing land-based pollution, habitat, and sustainable fisheries from local demonstrations
Funding Source:	GEF Trust Fund
Implementing Agency:	United Nations Development Programme
Implementation Modality:	Inter-Governmental Organization Implementation (IGO)
Executing Agencies:	Western and Central Pacific Fisheries Commission (WCPFC)

FINANCIALS:

Project Preparation Grant:	USD 60,000
GEF Project Grant:	USD 2,233,578
Cofinancing Total:	USD 19,859,525
GEF Agency Fees:	USD 201,022
Total Cost:	USD 22,153,103

PROJECT TIMELINE:

Received by GEF:	08 April 2013
Preparation Grant Approved:	02 May 2013
Concept Approved:	01 June 2013
Project Approved for Implementation:	12 May 2014
State Date:	27 October 2014
Closing Date (Planned):	27 October 2017

The MTR consultant would like acknowledge the information and feedback provided by interviewed project stakeholders, including the project manager, national coordinators, UNDP Philippines Programme Associate, the UNDP-GEF regional technical advisor and other project partners. Special thanks are also extended to the enumerators and data collection staff visited during the field mission.

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ANNEXES

Exhibits:

Executive Summary

Exhibit 1: Project Information Table			
Project Title:	Sustainable Management of Highly Migratory Fish Stocks in the West Pacific and East Asian Seas		
UNDP Project ID (PIMS #):	4753	**PIF Approval Date:**	01 Jun 2013
GEF Project ID (PMIS #):	5393	**CEO Endorsement Date:**	12 May 2014
Award ID:	77221	**Project Document (ProDoc) Signature Date (date project began):**	27 Oct 2014
Country(ies):	Indonesia, Philippines, Vietnam	**Date project manager hired:**	N/A
Region:	Asia and the Pacific	**Inception Workshop date:**	4-5 Nov 2014
Focal Area:	International Waters	**Midterm Review date:**	Mar-Apr 2017
GEF-5 Strategic Programs:	IW-2, Outcome 2.1 IW-2, Outcome 2.2 IW-2, Outcome 2.3	**Planned closing date:**	27 Oct 2017
Trust Fund:	TF	**If revised, proposed closing date:**	N/A
Executing Agencies:	Western and Central Pacific Fisheries Commission (WCPFC)		
Other execution partners:	N/A		
Project Financing:	**at CEO endorsement (USD)**	**at Midterm Review (USD)***	
[1] GEF financing:**	2,233,578	1,006,021	
[2] UNDP contribution:	1,156,000	197,000	
[3] Government:	15,428,525	12,791,318	
[4] Other partners:	3,275,000	2,262,107	
[5] Total cofinancing [2 + 3+ 4]:	19,859,525	15,250,425	
PROJECT TOTAL COSTS [1 + 5]	**22,093,103**	**16,256,446**	

*Actual expenditures and cofinancing contributions through 31 December 2016

**Excludes PPG grant

Project Description

Studies have shown that the sustainable harvest of shared tuna stocks in the East Asian Seas (EAS) faces a number of threats rooted in the increased demand for fish from a rapidly growing population and increasing exports, which have substantially increased fishing pressure on the marine fishery resources in the past two decades, both within the sub-region and the wider Western and Central Pacific Ocean (WCPO). Tuna fisheries are also threatened by Illegal, Unreported and Unregulated fishing (IUU), compounded by ineffective surveillance and monitoring, incomplete reporting to the Western and Central Pacific Fisheries Commission, and gaps in the regulatory framework.

The subject project was designed to remove the main barriers to sustainable fisheries management of highly migratory tuna species in the East Asian Seas, primarily Indonesia, Philippines and Vietnam by strengthening national capacities and regional cooperation to implement fishery sector reforms that will sustain and conserve the highly migratory fish stocks in the West Pacific Ocean and East Asian Large Marine Ecosystems (LME) whilst also considering climatic variability and change.

The project was approved under the GEF-financed program entitled "*Reducing Pollution and Rebuilding Degraded Marine Resources in the East Asian Seas through Implementation of Intergovernmental Agreements and Catalyzed Investments*" (GEF Program ID 4936).

The project is a follow-up to a successful first phase implemented from 2010 to 2012, with notable improvements in data quality and compliance towards Conservation and Management Measures (CMMs) of the WCPFC for the three beneficiary countries, including Indonesia and Philippines, which are both now full members of the Commission, and Vietnam, which is a cooperating non-member.

The design of this second phase of the project follows up with some of the gaps in data quality and CMM compliance, and also includes an expanded scope, covering several cross-cutting aspects, including climate change, ecosystem approach to fisheries management (EAFM), eco-labelling, and harvest strategies.

The Project objective is "*to improve the management of highly migratory species in the entire West and Central Pacific (WCPF) Convention area by continuing to strengthen national capacities and international participation of Indonesia, Philippines and Vietnam in WCPF Commission activities*", which was envisaged to be achieved through three mutually supporting components:

COMPONENT 1: Regional governance for building regional and national adaptive capacity of Indonesia, Philippines and Vietnam in the management of highly migratory fish stocks

COMPONENT 2: Implementation of policy, institutional and fishery management reforms

COMPONENT 3: Knowledge sharing on highly migratory fish stocks

Global environmental benefits from the project are envisaged to be achieved as a result of:

- Improved monitoring of oceanic tuna fisheries in the EAS that is within the WCPF Convention area, with a 40% increase in coverage by the end of the project.
- Reduced bycatch of critically endangered species (e.g. sea turtles, sharks and seabirds) by enhanced sustainable management and harvesting of target species, thus improving the overall health and integrity of the marine ecosystem. By the end of the Project, catch of Endangered, Threatened or Protected (ETP) species is expected to be reduced by 25%.
- Enhanced adaptive capacity to manage oceanic fisheries in the EAS under climate change conditions through integration of issues on emerging climate change impacts on oceanic fisheries into national and regional policy and institutional frameworks and the regional management regime.
- Progress towards certification of at least two oceanic tuna fisheries in the EAS by the end of the project.

Purpose and Methodology

The objective of the MTR was to gain an independent analysis of progress towards achieving the envisaged project objective and outcomes. The MTR focused on identifying potential project design problems, evaluating project implementation and adaptive management, assessing progress towards results, and gauging the likelihood that results achieved will be sustained after GEF funding ceases. Findings of this review will be incorporated as recommendations for enhanced implementation during the remaining implementation timeframe. The project performance was measured based on the indicators of the project results framework and relevant GEF tracking tools. The MTR was an evidence-based assessment and relied on feedback from persons who have been involved in the design, implementation, and supervision of the project, and also review of available documents and findings obtained during a field mission.

Evaluation Ratings

Evaluation ratings are summarized below in **Exhibit 2**.

Exhibit 2: MTR Ratings and Achievement Summary Table

Measure	MTR Rating	Achievement Description
Project Strategy	Not Rated	The project was designed under Objective 2 of the GEF-5 International Waters Strategy: Catalyze multistate cooperation to rebuild marine fisheries and reduce pollution of coasts and Large Marine Ecosystems (LMEs) while considering climatic variability and change. The project is a follow-up to a first phase implemented from 2010 to 2012, that was successful in facilitating improvements in data quality and compliance towards Conservation and Management Measures (CMMs) of the WCPFC for the three beneficiary countries, including Indonesia and Philippines, which are both now full members of the Commission, and Vietnam, which is a cooperating non-member. The design of this second phase of the project follows up with some of the gaps in data quality and CMM compliance, and also includes an expanded scope, covering several cross-cutting aspects, including climate change, ecosystem approach to fisheries management (EAFM), eco-labelling, and harvest strategies. Considering the momentum realized in the first phase and implementation arrangements remaining largely in place, a 3-year implementation timeframe was thought to be sufficient.

Exhibit 2: MTR Ratings and Achievement Summary Table		
Measure	**MTR Rating**	**Achievement Description**
Progress towards Results	Objective Achievement: **Moderately Satisfactory**	**Objective: To improve the management of highly migratory species in the entire West and Central Pacific (WCPF) Convention area by continuing to strengthen national capacities and international participation of Indonesia, Philippines and Vietnam in WCPF Commission activities** Improved monitoring of oceanic tuna fisheries in the EAS, one of the key aims of the project, is on target to be achieved by project closure. There are no quantifiable figures available regarding monitoring coverage, but there is sufficient anecdotal evidence to support progress towards achieving this objective. There are also no monitoring systems in place to assess verifiable progress towards the envisaged reduction in catch of endangered, threatened, and protected (ETP) species, and this particular target is also not reflected in the national tuna management plans (NTMPs). The project has been late in initiating climate change activities, and at midterm, progress towards the envisaged end result is considered marginally on target. With respect to better documenting supply chains, with the aim of eventually achieving eco-labelling certification, the project has also made limited progress. There are fisheries improvement projects (FIPs) ongoing in the each of the three beneficiary countries, but with limited direct involvement by the project, except in Vietnam, where there has been collaboration with WWF Vietnam.
	Outcome 1.1 Achievement: **Satisfactory**	**Outcome 1.1: Improved regional mechanisms for monitoring and assessment of highly migratory fish stocks and IUU fishing in the POWP LME and the EAS LMEs** At the regional and sub-regional level, progress towards achieving Outcome 1.1 has been satisfactory. Compliance with respect to WCPFC CMMs has improved in each of the three beneficiary countries. The Philippines has had a longer track record as a WCPFC member, and, hence, compliance there has been steadily improving. Indonesia joined the Commission in December 2013, and there has been general improvement with respect to compliance. As a cooperating non-member, Vietnam is compliant with the relevant CMMs. The Consultative Forum (CF) has not been established as outlined in the project document, with participation by multiple regional and sub-regional partners. The project has facilitated sub-regional discussions and capacity building on developing harvest strategies, and each of the three countries are considering harvest strategies for national tuna fisheries. There has not been discussion on developing a sub-regional harvest policy, e.g., for the EAS LME. In general, there has been satisfactory progress towards achieving the national level results under Outcome 1.1. Monitoring has improved in each of the three beneficiary countries. There also have been advances in the legal frameworks and implementation of vessel monitoring systems (VMS).
	Outcome 1.2 Achievement: **Moderately Satisfactory**	**Outcome 1.2: Enhanced capacity of technical staff, policy and decision makers in Indonesia, Philippines and Vietnam to integrate climate change impacts on highly migratory stocks into management regimes** At the sub-regional level, there has been no progress towards the aim of predicting climate change impacts on the EAS and western part of the POWP LME, or developing LME scale adaptive management strategies. At the national level, there has been limited progress with respect to strengthening predictive capacities. In Vietnam, a consultant has been retained to evaluate climate change impacts using an existing model. For Indonesia and Philippines, the efforts are rather focused on carrying out prior studies; the study in Indonesia was completed in 2016, whereas the Philippines team is having difficulties recruiting a consultant for this task.
	Outcome 1.3 Achievement: **Moderately Satisfactory**	**Outcome 1.3: Climate change concerns mainstreamed into national fishery sector policy in Indonesia, Philippines and Vietnam** Outcome 1.3 is inter-dependent with the climate change adaptive management strategies planned under Outcome 1.2. For Indonesia, an adaptive strategy is under preparation and is envisaged to be endorsed through Ministerial decree. The end-of-project target is more far-reaching, i.e., incorporating adaptive management strategy for oceanic fisheries into a national cross-sectoral climate change strategy, and unlikely to be achieved. In the Philippines, the national coordination team has had difficulties recruiting a climate change expert for Outcome 1.2; this is also affecting delivery of results earmarked for Outcome 1.3. The target for Vietnam is more achievable than for the other two countries; climate change concerns are envisaged to be integrated into national fishery policy, not regulations or national cross-sectoral strategies.
	Outcome 2.1	**Outcome 2.1: Enhanced compliance of existing legal instruments at national, regional and**

Exhibit 2: MTR Ratings and Achievement Summary Table		
Measure	**MTR Rating**	**Achievement Description**
	Achievement: **Satisfactory**	**international levels** Progress towards the envisaged results under Outcome 2.1 has been generally satisfactory, particularly with respect to compliance to WCPFC Conservation and Management Measures (CMMs). The expected end result regarding sub-regional collaborative governance is unclear; this is a topic that is planned to be addressed during the three-country project workshop scheduled in May 2017. It would be prudent to take that opportunity to agree upon the governance arrangements and/or structure. At the national level, for Indonesia and Vietnam, end-of-project targets were set regarding harvest strategies, specifically development of reference points (RPs) and harvest control rules (HCRs). Indonesia started harvest strategy development in 2014, with support from the project as well as other donors and government funding. For Vietnam, there has only been one workshop, held in November 2016, together with WWF Vietnam. For the Philippines, there has been progress towards with respect to improving compliance with respect to management of fish aggregating devices (FADs).
	Outcome 2.2 Achievement: **Moderately Satisfactory**	**Outcome 2.2: Adoption of market-based approaches to the sustainable harvest of tunas** Progress towards the envisaged results under Outcome 2.2 has been moderately satisfactory. With respect to supply chains, prior studies have been initiated in Indonesia and the Philippines, but these do not seem to fulfil the end target criteria. For example, establishing monitoring and custody systems in Indonesia will not be achieved, as these are seen beyond the scope of the project. Through close collaboration with WWF Vietnam, which is managing a FIP for longline/handline fisheries, progress under Outcome 2.2 in Vietnam has been better than in the other two countries. There are FIPs operating in Indonesia and the Philippines, but the project has had no direct involvement.
	Outcome 2.3 Achievement: **Moderately Satisfactory**	**Outcome 2.3: Reduced uncertainty in stock assessment of POWP and EAS LMEs highly migratory fish stocks and improved understanding of associated ecosystems and their biodiversity** There has been generally satisfactory progress made with respect to reducing uncertainty in sub-regional assessments, specifically those made by SPC. There are a number of testimonial entries in the WCPFC data and statistics reports that indicate how improved data quality has allowed more accurate sub-regional assessment. With respect to the second part of Outcome 2.3, i.e., improved understanding of associated ecosystems and their biodiversity, there has been less progress made. Risk assessments are planned in 2017, using the bycatch and other data recorded through port enumeration and observatory programs. It is uncertain how these risk assessments will contribute towards an improved understanding of the ecosystems of the highly migratory tuna stocks in the POWP and EAS LMEs.
	Outcome 2.4 Achievement: **Moderately Satisfactory**	**Outcome 2.4: Ecosystem Approach to Fisheries Management (EAFM) guiding sustainable harvest of the oceanic tuna stock and reduced bycatch of sea turtles, sharks and seabirds** With respect to the target of applying ecosystem models to the EAS LME, information included in the project document indicates that preliminary ecosystem models, e.g., SEAPODYM, are available for the POWP LME, but had not yet been applied in a regional management context. By midterm, there has been no activity implemented with respect to applying ecosystem models at a sub-regional scale. With respect to applying EAFM at the national scale, sites have been proposed in Indonesia and the Philippines, but not yet in Vietnam. For each of the three beneficiary countries, this will be the first time EAFM is applied to oceanic tuna fisheries. Allocation has been made in the 2017 workplan, but time is running and the available time and resources for monitoring, interpretation, and reporting is limited. This makes application of mitigation measures recommended as a result of the EAFM pilots unlikely within the lifespan of the project.
	Outcome 3.1 Achievement: **Moderately Satisfactory**	**Outcome 3.1: Regional knowledge platform established on POWP LME and EAS LMEs shared tuna stocks and associated ecosystems** Progress towards achieving the envisaged results under Outcome 3.1 is rated as moderately satisfactory, partly due to the fact that the Consultative Forum has not been established as outlined in the project document, with participation by multiple regional and sub-regional partners. The project has financed participation by representatives from each of the three beneficiary countries in the PEMSEA EAS Congress held in 2015 in Vietnam, and in the GEF IW Conference held in 2016 in Sri Lanka.
Project Implementation	**Moderately Satisfactory**	Delays in starting up project activities in Indonesia and Vietnam, due to internal domestic project approval and registration procedures, have impacted project delivery and also

Exhibit 2: MTR Ratings and Achievement Summary Table		
Measure	**MTR Rating**	**Achievement Description**
and Adaptive Management		sustainability. The nearly 1-year long delays are significant for a project having a 3-year implementation timeframe. The lack of preparedness on some of the design aspects, including climate change, EAFM, harvest strategies, supply chain analyses, has also been a constraint on project delivery and effectiveness. The continued participation of key implementation partners, including the project manager, national coordinators, UNDP Country Office programme manager/associate, and the UNDP-GEF regional technical advisor (RTA) is a particular strength of the project. It has been an ongoing challenge, also during the first phase of the project, for the project manager, the Science Manager at WCPFC, to juggle his duties at the Commission and those associated with managing the project. Project management services are being delivered as part of the cofinancing contribution of WCPFC. A project management assistant has provided occasional support, but the lack of consistency of this support has affected project reporting and also monitoring and evaluation. Work planning has been constructive, with national level cofinancing contributions integrated into the planned project activities. By midterm, 31 December 2016, approximately 77% of the committed cofinancing had been realized, and the expected sum by project closure exceeds the amount confirmed at project approval. Project monitoring and evaluation has been generally weak. The project results framework is comprehensive, but a bit unwieldly, with 10 multifaceted indicators and a cumulative total of 66 performance targets. Several baselines and end targets agreed upon in the project results framework are unclear, and the achievability of some of the end targets is questionable. Evidence of project results are partly documented in various WCPFC reports; however, these have not been thoroughly consolidated and interpreted. A baseline GEF IW tracking tool was prepared, but the midterm assessment has not been made by the time of submitting the MTR report. Stakeholder engagement has been fairly narrow, focusing on the fishery sector partners. Cross sectoral stakeholder involvement has been limited; for example, with the Ministries of Environment on climate change aspects. Moreover, synergies with complementary projects and programmes have not been developed.
Sustainability	**Moderately Likely**	Several of the project results achieved through midterm have enhanced the likelihood that benefits will continue to be generated after GEF funding ceases. Indonesia, since 2013, is a full member of WCPFC, thus increasing the prospect of continued improved compliance. There is evidence is each of the 3 beneficiary countries that financing of data collection will be institutionalized within the operating budgets of the national and subnational partner organizations. Continued support from the donor community, e.g., the New Zealand Government, also enhances the likelihood for sustaining project results. Private sector participation also continues to grow, as there are more and more market pressures for implementing sustainable fishery management. There are other factors, however, that diminish the likelihood for sustaining results achieved on the project. While government financing for data collection has improved, it does remain rather tenuous and uncommitted beyond a short-term horizon. The limited progress made with respect to the climate change, EAFM, harvest strategies, supply chain aspects also reduce the prospects that sufficient capacity will be built up to carry on after project closure. Limited development of synergies with other complementary projects and programmes also reduces overall sustainability.

Project Progress Summary

Following a successful first phase that ran from 2010-2012, this follow-up project has continued to deliver substantive results, most notably improvements in data quality submitted to WCPFC and with respect to compliance with WCPFC Conservation and Management Measures (CMMs). Improved availability of data with regards to estimates of catch by species and gear in the beneficiary countries has contributed towards more representative inputs into tropical tuna stock assessments prepared by SPC. Previously, much of the catch from the East Asia Sea countries were labelled as "unclassified".

Endorsement of national tuna management plans in each of the three beneficiary countries – the first time management plans for tuna fisheries have been formulated – is another positive step towards achieving sustainable management of migratory tuna stocks. Sustainability has been enhanced by advances with respect to institutionalizing the financing of data collection by the three beneficiary countries. There has also been continued

donor funding, including a proposed follow-up project supported by New Zealand Ministry of Foreign Affairs and Trade.

During the bridging period between the first and second phases of the project, in December 2013 Indonesia became a full member of the WCPFC. Together with the Philippines and Vietnam, which remains a cooperating non-member, there is now a stronger regional voice at the commission regarding issues associated with the East Asian Seas region of the convention area. The joint workshops and other regional meetings the project has arranged among the three beneficiary countries cultivated communication lines among key fisheries management stakeholders, creating a solid foundation for sub-regional governance.

Country ownership has also been high; for example, cumulative cofinancing contributions by midterm by national implementation partners is USD 15.25 million, which is 77% of the total committed at project approval, and there is a strong likelihood that by the end of the project, actual cofinancing will exceed the committed sum – particularly if the project runs for longer than the 3-year approved timeframe. Proactive ownership has been facilitated through the effective execution modality of the project, i.e., project activities are closely aligned and integrated with national programming and budgeting.

One of the other key strengths of the project is the strong continuity of the implementation partners, including project manager, national coordinators, regional partners, UNDP CO staff, and UNDP-GEF RTA. The WCPFC has provided steady cofinancing contributions, including the in-kind project management services rendered by the Science Manager of the WCPFC.

Summary of Conclusions

Progress towards results has been affected by the delayed start of project activities in Indonesia and Vietnam. The project endorsed by the GEF CEO on 12 May 2014, national governments approved the project document on 27 October – the official start date of the project – but it took nearly another year for registration of the project and internal, domestic approval processes in Indonesia and Vietnam. As a follow-up project, the allocated 3-year implementation timeframe was seen as a reasonable amount of time considering implementation arrangements were in place from the first phase and a certain degree of momentum had been achieved. The second phase, however, contains aspects that were not part of the first phase, including climate change analysis and planning, pilot implementation of ecosystem approach to fisheries management (EAFM), facilitation of market-based approaches, and development of harvest strategies. The level of preparedness for these aspects was generally low, rendering achievement of project outcomes over the 3-year timeframe an even larger challenge.

Stakeholder engagement has primarily remained within the core group of fisheries stakeholders that has been fostered since the first phase of the project. As a fisheries project, this is understandable. The addition of cross-cutting aspects in the second phase, however, called for broader stakeholder involvement. One example of this is climate change. There has been limited interaction with the Ministry of Environment or other relevant stakeholders in the three countries on climate change. Similarly, the inherent synergies with conservation focused stakeholders on EAFM and harvest strategies have not materialized. Private sector operators and associations have been regularly invited to project meetings and workshops, but there is limited evidence of development of collaborative partnerships, e.g., for Outcome 2.2, “Adoption of market-based approaches to the sustainable harvest of tunas”.

There have also been limited synergies with other complementary donor projects and initiatives, including, but not limited to the FAO-GEF Programme on Global Sustainable Fisheries Management and Biodiversity Conservation in the Areas beyond National Jurisdiction (ABNJ), the World Bank-GEF Ocean Partnerships for Sustainable Fisheries & Biodiversity Conservation, and EAFM Working Group of the Coral Triangle Initiative. Collaboration with other projects and programs was a key issue raised during the project review process. Partnering with complementary projects, possibly providing incremental funding for specific activities might be a more sustainable implementation strategy than implementing relatively small actions, such as funding prior studies and limited scope field trials.

On several fronts, the project has generated substantive results. Monitoring and evaluation, however, has been fairly weak. The results achieved have not been fully captured or interpreted, and the project monitoring and evaluation systems are not being sufficiently utilized to guide project management. There is also no evidence of assessment of performance against program level objectives.

Based on the findings of the MTR, it is unlikely that several of the envisaged results will be achieved by the planned closure date of 27 October 2017.

Justification for a Time Extension

A no-cost time extension until 31 December 2018 seems warranted for the following reasons:

- There was nearly a one year delay in starting up project activities in Indonesia and Vietnam.
- The 3-year allocated implementation timeframe was too short, considering the start-up delays and also lack of preparedness for certain technical aspects of the project, including climate change assessment, EAFM pilot implementation, harvest strategy development, and market-based approaches.
- It is unlikely that remaining GEF funds will be spent by October 2017. As of 31 December 2016, 45% of the USD 2,233,578 implementation grant had been expended.
- EAFM pilots have not yet started; in fact, the designs of the pilots have not been completed. The value of these pilots would be more meaningful if monitoring was carried out for a longer period of time, e.g., across different seasons.
- There has been limited progress with respect to strengthening climate change predictive and adaptive capacities. Additional time might allow more substantive results in this regard, e.g., by developing partnership arrangements other projects and programs.
- Harvest strategy development is also in the early phases in the three beneficiary countries, particularly in Philippines and Vietnam. An extended project implementation timeframe would allow more progress with developing these strategies.
- Supply chain analyses in the three beneficiary countries are also behind schedule.
- And, it would be advisable to capture the WCPFC compliance results for calendar year 2017 before project closure. The WCPFC Technical Compliance Committee meetings are typically held in September or October of the subsequent year, i.e., year 2017 compliance will be assessed in September-October of 2018.

Recommendations

The MTR recommendations, outlined below in **Exhibit 3**, have been formulated with the aim of improving project effectiveness and enhancing the likelihood that project results will be sustained after GEF funding ceases.

Exhibit 3: Recommendations Table

No.	Recommendation	Responsible Entities
1.	**Provide a no-cost time extension to allow more substantive achievement of project outcomes.** Project activities were late to start in Indonesia and Vietnam, and progress on some of the cross-cutting project components, such as climate change adaptation assessment and planning, EAFM pilot implementation, application of market-approaches, etc., are behind schedule in each of the three beneficiary countries.	Project Board, GEF Secretariat
2.	**Identify and operationalize strategic partnerships with complementary projects and programs**. There have been limited synergies with other complementary projects and programmes, at both regional and national levels. A review of relevant complementary projects and program should be made, and specific strategic joint activities developed and implemented.	PIU, National Coordinators, UNDP
3.	**Coordinate with Ministry of Environment stakeholders regarding climate change and biodiversity conservation activities**. The project teams in the three beneficiary countries should develop collaborative working arrangements with Ministry of Environment officials in regard to outcomes involving strengthening climate change predictive and adaptive capacities, and reducing bycatch of endangered, threated, and protected (ETP) species.	PIU, National Coordinators
4.	**Explore the feasibility of collaborating with the private sector on application of market-based approaches**. Regarding adoption of market-based approaches (Outcome 2.2), it would be advisable to assess the feasibility of collaborating with the private sector. One potential partner is the Asian Seafood Improvement Collaborative (ASIC), which is an industry-driven initiative including operators from Indonesia, Philippines, Vietnam, and Thailand. This type of collaboration would be consistent with the regional context of the project, and might also lead to more constructive engagement with the private sector.	PIU, National Coordinators
5.	**Strengthen sub-regional collaboration on certain technical activities**. Cross-collaboration among the three beneficiary countries in EAFM, harvest strategy, climate change predictive and adaptive capacities, and risk assessment should be increased. This might be a more efficient use of project resources, further cultivates sub-regional collaboration, and also addresses the transboundary context of sustainable management migratory tuna stocks in the EAS.	PIU

Exhibit 3: Recommendations Table		
No.	**Recommendation**	**Responsible Entities**
6.	**Carry out a study on the viability of the sub-regional governance end target**. As a regional project funded under the GEF International Waters focal area, transboundary cooperation is a key corporate objective. The expectations regarding the sub-regional governance end target are unclear. It would be advisable to study the viability of the envisaged sub-regional governance arrangements, structure, and functionality, and assessing the added value of such a governance mechanism with respect to the sub-regional management of migratory tuna stocks.	PIU, WCPFC, UNDP-GEF RTA
7.	**Improve project monitoring and evaluation.** Recommended improvements include, but are not limited to the following: a. Critically review the project results framework, rationalize and validate baseline figures and end targets. b. Develop an updated M&E plan and assign responsibilities among the project team, including the national coordinators. c. Integrate data and information contained within WCPFC reports into the M&E plan. d. Review the baseline GEF IW tracking tool and carry out a midterm assessment. e. Integrate programmatic objectives into the project monitoring and evaluation systems.	PIU, National Coordinators, PEMSEA
8.	**Provide project management support.** Budget permitting, a project management assistant should be recruited to support project management, including assisting in preparation of project progress and monitoring reports, liaising with liaising with complementary projects and programmes. The grant agreement with the PEMSEA Resource Facility issued in November 2016 by the project partly fills this gap.	PIU, UNDP, WCPFC, PEMSEA
9.	**FUTURE DIRECTIONS:** **Assess sustainable financing alternatives for maintaining adequate levels of data collection**. Government funding streams for data collection structures, including enumerators, samplers, etc., remain tenuous and/or uncommitted in the 3 beneficiary countries. It would be advisable to assess sustainable financing alternatives.	Donor community and national governments
10.	**FUTURE DIRECTIONS:** **Improve monitoring systems for assessing reduction in ETP species.** The project set a quantifiable target for reduction in bycatch of ETP species, but there are no monitoring systems in place. Country reports to the WCPFC contain some narrative entries on bycatch, but there seems to be a need to develop specific monitoring systems for select ETP species.	Donor community and national governments

Abbreviations and Acronyms

ABNJ	Areas beyond National Jurisdiction
ASEAN	Association of Southeast Asian Nations
ASIC	Asian Seafood Improvement Collaborative
BFAR	Bureau of Fisheries and Aquatic Resources (Philippines)
CBD	Convention on Biological Diversity
CF	Consultative Forum
CMM	Conservation and Management Measures (WCPFC)
CNM	Cooperating Non-Member (WCPFC)
CoC	Chain of Custody
CSIRO	Commonwealth Scientific and Industrial Research Organization (Australia)
CTI	Coral Triangle Initiative
D-FISH	Directorate of Fisheries (Vietnam)
DGCF	Directorate General of Capture Fisheries (Indonesia)
EAFM	Ecosystem Approach to Fisheries Management
EAS	East Asian Seas
EEZ	Economic Exclusion Zone
ENSO	El Niño-Southern Oscillation
ETP	Endangered, Threatened or Protected species
FAO	Food and Agriculture Organization
FIP	Fishery Improvement Project
FMA	Fisheries Management Area
FRA	Forest Resource Assessment
GDP	Gross Domestic Product
GEF	Global Environment Facility
GT	Gross ton
HCR	Harvest Control Rule
HSPI	High Seas Pocket No. 1
ICM	Integrated Coastal Management
IGO	Inter-Government Organization
IMO	International Maritime Organization
IUU	Illegal, Unreported and Unregulated fishing
IW	International Waters (GEF focal area)
LME	Large Marine Ecosystem
M&E	Monitoring and Evaluation
MARD	Ministry of Agriculture and Resource Development (MARD)
MDG	Millennium Development Goal
MMAF	Ministry of Marine Affairs and Fisheries (Indonesia)
MSC	Marine Stewardship Council
MTR	Midterm Review
NFRDI	National Fisheries Research and Development Institute (Philippines)
NPOA	National Plan of Action
NTMP	National Tuna Management Plan
PIR	Project Implementation Review
PIOFM	Pacific Islands Oceanic Fisheries Management Project
PIU	Project Implementation Unit

POWP	Pacific Ocean Warm Pool
PSDKP	Directorate General of Marine Resources and Fisheries (Indonesia)
RCFMC	Research Center for Fisheries Management and Conservation (Indonesia)
RFMO	Regional Fisheries Management Organization
RP	Reference Point
RPOA	Regional Plan of Action
RTA	Regional Technical Advisor
SAP	Strategic Action Program
SC	Scientific Committee (WCPFC)
SCS	South China Sea
SDS-SEA	Sustainable Development Strategy for the Seas of East Asia
SEAFDEC	Southeast Asian Fisheries Development Center
SPC	Secretariat of the Pacific Community
TCC	Technical and Compliance Committee (WCPFC)
TWG	Technical Working Group
UNCLOS	United Nations Convention on the Law of the Sea
UNFCCC	United Nations Framework Convention on Climate Change
UNDP	United Nations Development Programme
USD	United States Dollar
VMS	Vessel Monitoring System
WCPFC	Western and Central Pacific Fisheries Commission
WCPO	Western and Central Pacific Ocean
WPEA	West Pacific East Asia
WWF	World Wide Fund for Nature

1. INTRODUCTION

1.1. Purpose of the Review

The objective of the MTR was to gain an independent analysis of the progress mid-way through the project. The review also focuses project strategy, progress towards results, project implementation and adaptive management, and the likelihood that the envisaged global environmental benefits will be realized and whether the project results will be sustained after closure.

1.2. Scope and Methodology

The MTR was an evidence-based assessment, relying on feedback from individuals who have been involved in the design, implementation, and supervision of the project, and also a review of available documents and findings made during field visits. The overall approach and methodology of the evaluation follows the guidelines outlined in the UNDP Guidance for Conducting midterm reviews (MTRs) of UNDP-supported, GEF-financed Projects[1].

The MTR was carried out by an international consultant and included the following activities:

- ✓ An evaluation mission was completed over the period of 6-17 March; the itinerary is compiled in **Annex 1**, and project stakeholders interviewed for their feedback are listed in **Annex 2**.
- ✓ The MTR completed a desk review of relevant sources of information, such as the project document, project progress reports, financial reports, and key project deliverables. A complete list of information reviewed is compiled in **Annex 3**.
- ✓ As a data collection and analysis tool, an evaluation matrix (see **Annex 4**) was developed to guide the review process. Evidence gathered during the fact-finding phase of the MTR was cross-checked between as many sources as practicable, in order to validate the findings.
- ✓ The project results framework was also used as an evaluation tool, in assessing attainment of project objective and outcomes (see **Annex 5**).
- ✓ Project cofinancing realized by midterm was assessed, and summarized in the cofinancing table compiled as **Annex 6**.
- ✓ The MTR consultant presented the preliminary findings of the MTR at the end of the mission at a debriefing on 16 March in Manila.
- ✓ The MTR consultant also reviewed the midterm GEF Tracking Tool. The baseline filled-in tracking tool is annexed in a separate file to this report; the midterm tracking tool was not prepared by the time of submitting the MTR report.

1.3. Structure of the Review Report

The MTR report starts out with a description of the project, indicating the duration, principal stakeholders, and the immediate and development objectives. The findings of the review are then broken down into the following aspects:

- Project strategy
- Progress towards results
- Project implementation and adaptive management
- Sustainability

The report culminates with a summary of the conclusions reached and recommendations, formulated to enhance implementation during the final period of the project implementation timeframe.

[1] Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects, 2014, UNDP-GEF Directorate.

1.4. Rating Scales

Progress towards results and project implementation and adaptive management are rated according to a 6-point scale, ranging from highly unsatisfactory to highly unsatisfactory. Sustainability is evaluated across four risk dimensions, including financial risks, socio-economic risks, institutional framework and governance risks, and environmental risks. According to UNDP-GEF evaluation guidelines, all risk dimensions of sustainability are critical: i.e., the overall rating for sustainability is not higher than the lowest-rated dimension. Sustainability was rated according to a 4-point scale, including likely, moderately likely, moderately unlikely, and unlikely.

Rating scale definitions are presented in **Annex 7**.

1.5. Ethics

The review was conducted in accordance with the UNEG Ethical Guidelines for Evaluators, and the MTR consultant has signed the Evaluation Consultant Code of Conduct Agreement form, compiled in **Annex 8**. In particular, the MTR consultant ensures the anonymity and confidentiality of individuals who were interviewed and surveyed. In respect to the UN Declaration of Human Rights, results are presented in a manner that clearly respects stakeholders' dignity and self-worth.

1.6. Audit Trail

As a means to document an "audit trail" of the evaluation process, review comments to the draft report are compiled along with responses from the MTR consultant and documented in an annex separate from the main report. Relevant modifications to the report will be incorporated into the final version of the MTR report.

1.7. Limitations

The review was carried out over the period of February-April 2017, including preparatory activities, field mission, desk review, and completion of the report, according to the guidelines outlined in the Terms of Reference (**Annex 9**).

There were no limitations with respect to language for review of written documentation. Interviews were held in English and nearly all project documentation is prepared in English. The MTR consultant was assisted by an interpreter during some of the interviews during the field visits.

Interviews were made with the key national and subnational stakeholders during the mission. The MTR consultant feels that the information obtained during the desk review and MTR mission phases of the review is sufficiently representative.

2. PROJECT DESCRIPTION

2.1. Development Context

Oceanic tunas are widely distributed throughout the Pacific Ocean, the Atlantic Ocean, and other oceans of the world, from approximately 600N to 600S and are designated as highly migratory species under the United Nations Convention on the Law of the Sea (UNCLOS). Their effective conservation and management is complicated by their migratory/highly mobile nature and the many nations and regions involved in their harvest; hence their sustainable management requires cooperation among nations, either directly or through international organizations. Article 64 of UNCLOS underscored the importance of multilateral cooperation for the long term and sustainable management of the region's marine resources and the protection and conservation of its ecosystems.

The Western and Central Pacific Fisheries Commission (WCPFC) was established in 2004 as the relevant regional fisheries management organization (RFMO) in the Western and Central Pacific Ocean. The area of competence (Convention Area) of the Commission comprises all waters of the Pacific Ocean north and west of prescribed boundaries, to the coasts of Asia and is indicated in **Exhibit 3** below, which includes the East Asian Seas (EAS) as well as the Pacific Ocean Warm Pool (POWP) Large Marine Ecosystems.

Exhibit 3: WCPFC Convention area including East Asian Seas[2]

For the Exclusive Economic Zones (EEZs) of Indonesia, Philippines and Vietnam, connected with the POWP LME, the oceanic tuna catch[3] in 2012 was estimated at 632,000 metric tons, approximately 14 per cent of the global tuna catch and thus considered of global and regional significance. This comprises around 25% of the catch of skipjack, yellowfin and bigeye tuna in the Western and Central Pacific Ocean (WCPO), with significant catches of coastal tunas and associated species as well. Indonesia takes nearly 70% of that oceanic tuna catch[4], the Philippines takes 20% and the balance is caught by the more recently developed Vietnam fishery.

[2] Map copied from Figure 1 in project document.

[3] The catch of coastal (neritic) tunas from these three countries, generally regarded as straddling stocks, is also significant, exceeding 400,000 mt in 2012 and of great importance to food security in all three countries

[4] Pacific Ocean waters only (WCPO) and not including Indian Ocean catches

In the Philippines more than 1.5 million people depend on the fishing industry for their livelihood. The fishing industry's contribution to the country's Gross Domestic Product (GDP) in 2009 was 2.4%. Tuna exports (canned and fresh/frozen tuna) were valued at USD 455 million in 2012. Indonesia's marine region associated with the WCPFC Convention Area i.e. Pacific Ocean waters and most archipelagic waters, account for the equivalent of 59.8% of the total national tuna production. Tuna exports (fresh/frozen/canned) were valued at over USD 600 million in 2012. In Vietnam, tuna fisheries have only developed in recent years, but have grown significantly. Vietnam's tuna export value increased over twenty times from USD 22.98 million in 2000 to approximately USD 569 million in 2012. The combined value of tuna exports[5] from the three countries in 2012 exceeded USD 1.5 billion.

At the sub-regional level, the Project is consistent with the Western and Central Pacific Ocean Convention on the Conservation and Management of Highly Migratory Fish Stocks in the Western and Central Pacific Ocean (WCPO) and the WCPFC. Philippines and Indonesia are Commission members, while Vietnam is currently a cooperating non-member (CNM). Indonesia only acceded to membership at the WCPFC 10th Regular Session in December 2013, after having been working toward ratification for the last eight years. In order to mark the occasion of joining the WCPFC, Indonesia acknowledged the capacity building support it has received from the GEF-funded West Pacific East Asia (WPEA) Oceanic Fisheries Management project and voiced its support for the extension of this project.

The Project is consistent with the Sustainable Development Strategy for the Seas of East Asia (SDS-SEA). The SDS-SEA provides an overarching framework for sustainable development of the EAS that aims to ensure the sustainable use of coastal and marine resources. The SDS-SEA incorporates the main principles, objectives and action programmes of a number of international and regional instruments and agreements, including the UN Convention on the Law of the Sea (UNCLOS), the UN Framework Convention on Climate Change (UNFCCC), Agenda 21, the Convention on Biological Diversity (CBD), the Global Programme of Action for Protection of the Marine Environment from Land-Based Activities (GPA), the World Summit on Sustainable Development, the UN Millennium Development Goals (MDGs), and a number of conventions associated with the International Maritime Organization (IMO). The SDS-SEA embodies a shared vision of the countries of the region for sustainable development of coasts and oceans and the proposed project is thus linked to the implementation of the SDS-SEA under a programmatic approach for the region.

The Project will also contribute to the implementation of the Regional Plan of Action (RPOA) of the Coral Triangle Initiative (CTI). It will in particular contribute to proposed activities on tuna stock and catch assessments, establishment of national tuna management plans and cooperation on measures to address illegal, unreported, and unregulated (IUU) fishing. The key institutions in charge of the regional agreements and frameworks are described below. The CTI officially launched a Regional Plan of Action in May 2009. The action plan has five overall goals covering priority seascapes, including promoting the ecosystem approach to management of fisheries (EAFM) and other marine resources, establishing marine protected areas, promoting climate change adaptation and protection and conservation of threatened species. The GEF funds the CTI in collaboration with the Asian Development Bank. Philippines and Indonesia are two of the six CTI countries included in the Coral Triangle area and the Plan of Action, whereas Vietnam enjoys associated country status. Within the EAFM goal, targets and priority actions specifically address tuna and tuna fisheries.

With respect to the UNDP Strategic Plan, the project is consistent with the following primary and secondary outcomes of the UNDP Strategic Plan

UNDP Strategic Plan Environment and Sustainable Development Primary Outcome:

Outcome 2: Citizen expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance.

[5] Exports include imports processed and re-exported, and in the case of Indonesia, tuna catches from the Indian Ocean.

Output 2.5: Legal and regulatory frameworks, policies and institutions enabled to ensure the conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems, in line with international conventions and national legislation.

UNDP Strategic Plan Secondary Outcome:

Outcome 1: Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded.

Output 1.3: Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste.

2.2. Problems that the Project Sought to Address

Oceanic tuna stocks in East Asia face a number of threats, rooted in a greater demand for fish from rapidly growing domestic population and increasing exports, which has substantially increased fishing pressure on the marine fishery resources in the past two decades, both within the sub-region and the wider WCPO. The major threats facing the fisheries sector are resource depletion and environmental degradation linked to:

1. Incomplete participation in the governance and compliance frameworks for oceanic tuna resources in the sub-region, the WCPFC;
2. Inadequate scientific knowledge about oceanic ecosystems and their relationship with fisheries resources; and
3. The advancing climate change-driven shifts in fisheries catch and area.

Tuna fisheries are also threatened by Illegal, Unreported and Unregulated (IUU) fishing, compounded by ineffective surveillance and monitoring, incomplete reporting to the WCPFC, and gaps in the regulatory framework. These threats are exacerbated by climate change that causes changes in ocean regimes, strengthening of the El Niño-Southern Oscillation (ENSO) phenomenon, and ocean acidification.

The main barriers to sustainable fisheries management of highly migratory tuna species in the East Asian LMEs include the following:

Barrier No. 1: Weak governance of oceanic tuna resources in the region at the sub-regional as well as national level, within the Western and Central Pacific Fisheries Commission (WCPFC)

Sub-regional: The three countries had worked collectively during the first phase of the WPEA project, but a coordinating mechanism had not been established. Such a mechanism is required for sharing of data on highly migratory fish stocks to determine sustainable harvest levels at a regional and sub-regional level within WCPFC.

Some information was available on climate change impacts to the POWP LME but model outputs had not yet been extended to the EAS primarily for lack of data in this region. In order to enable the effective participation of all three countries in the WCPFC, their capacities to monitor and assess highly migratory fish stocks, and report to the Commission, including on CMMs, needed to be strengthened

Indonesia: At the time of project development, national monitoring system was gradually being established under the Directorate General of Marine Resources and Fisheries (PSDKP), Ministry of Marine Affairs and Fisheries (MMAF), mainly to cover large vessels (>30GT), but it is not fully integrated with fisheries data at the spatial management unit level, i.e., the Fisheries Management Area (FMA). Species composition by gear was available under the port sampling programme, but covering only FMAs 716 (Bitung), 717 (Sorong), and 714 (Kendari). Such statistical data for archipelagic waters fisheries was partially available, but a scientific database enabling verification was not currently available for Pacific archipelagic waters as a whole i.e. FMAs 713, 714, 715). VMS and a catch certification scheme were still under development. Climate change impacts on oceanic fisheries and associated ecosystems had not been studied and analytical capacity in this area was limited.

Philippines: At the time of project development, monitoring coverage for small and medium scale tuna fisheries was low, and estimates were considered less reliable. Monitoring by VMS was limited to Philippines flag vessels operating purse seines/ring nets in the WCPO High Seas Pocket No. 1 (HSP1) and other countries' EEZs. Delays in manual submission of logsheets were common, resulting in a proposed e-logbook system to facilitate timely submission. The government of the Philippines passed the Climate Change Act in 2009 as a framework for adaptation and mitigation action. In 2010, the National Framework Strategy on Climate Change (NFSCC) was approved and in November 2011, the President signed the National Climate Change Action Plan (NCCAP). However, institutional capacities for the implementation of a consistent climate policy were still weak and activities were insufficiently integrated into planning processes. More importantly, the impacts on oceanic fisheries and its ecosystems had not yet been studied and capacity was limited.

Vietnam: At the time of project development, monitoring systems had been established in the three central provinces (Binh Dinh, Phu Yen and Khanh Hoa) which have historically accounted for the majority of the catch of large tunas for export, under the WPEA in compliance with WCPFC requirements, but there was not complete coverage of all gears; and in other provinces where significant amounts of oceanic tunas are landed, tuna fishery data were generally lacking verifiable data. A VMS scheme was being implemented but had not yet been integrated with fisheries data. VMS, IUU, and catch certification schemes were thus not fully established, but under development and initial implementation. There was also a lack of trained/skilled personnel and there was no assessment of the capacity needed to interpret climate change impacts on oceanic fisheries and to develop adaptive management strategies. No inputs for national policy formulation on climate change were available for Vietnam, nor for oceanic fisheries.

Barrier No. 2: Inadequate implementation of policy, institutional and fishery management reforms at national level

The three countries lacked capacity to adequately comply and enforce existing legal instruments of the WCPFC and to fully implement supporting national legislation and the National Tuna Management Plans (NTMPs). They also lacked experience and capacity to apply market-based instruments, such as certification, to meet international requirements for sustainable harvesting and marketing of tunas. Indonesia, Philippines, and Vietnam needed to start implementing the ecosystem approach to fisheries and finalize their national tuna management plans.

Remaining challenges included:

Regional/Sub-regional: At the time of project preparation, limited participation of Indonesia and Vietnam, in particular, in key WCPFC meetings, such as SC and TCC remained a barrier. Furthermore, assessments were not explicitly available on sub-regional scale because of data gaps and the current assessment model's spatial structure. Preliminary ecosystem models e.g., SEAPODYM, EcoSim are available for the POWP LME but had not been applied in a regional management context. National applications of SEAPODYM were being developed for Indonesia and possibly Vietnam, but required considerable further work before application.

Indonesia: Indonesia became a full member in December 2013, and some fisheries legislation was under revision to accommodate all WCPFC requirements. The Framework for archipelagic waters management through FMAs was currently minimal but was being progressively developed for the 7 Pacific FMAs. Limited data were available on the supply chain, and a chain of custody scheme (traceability) had not been established for any fishery, despite the growing market demand for certification. Pre-assessment of selected tuna fisheries had thus far been unfavorable and there was a need for a fishery improvement plan (FIP) focusing on selected oceanic tuna fisheries. Information on target species is available from WPEA-1 with coverage of FMA 716, 717 and 714. However, there was limited information on retained/bycatch species and no risk assessment study for tuna bycatch and ETP species exists. There was a National Stock Assessment Committee and plans for national assessment are underway. Ecosystem modeling had been partly applied and some commitment to EAFM already exists through community-based activities, although the NTMP lacked EAFM components. Turtle bycatch had been studied and some mitigation

measures were underway. However, shark catch and seabird interactions were not well documented, and there was a low level of compliance with some CMMs.

Philippines: The fish aggregating device (FAD) management policy and compliance with some CMMs needed to be revisited, but the Philippines was otherwise currently compliant with most of the WCPFC CMMs. Information was available on supply chains, but had not been compiled. There was growing market pressure for eco-labeling and/or certification relating to sustainable fisheries, and several pre-assessments had been initiated. There was limited understanding of the ecosystems supporting the oceanic tuna fishery. Retained species and bycatch species for all gears were incompletely characterized. No study of EAFM for oceanic fisheries existed, although they were being applied to some coastal fisheries. The legal basis of the NTMP was uncertain and needed to include commitments to EAFM. Turtle bycatch studies and some mitigation measures were underway. Moreover, shark catch and seabird interactions were poorly documented, and there was low level of compliance with some CMMs.

Vietnam: As a cooperating non-member (CNM), there was limited compliance with WCPFC CMMs or other management arrangements, in part because the South China Sea is tentatively excluded from the Convention Area. WCPFC CMM 2013-01 (CMM for bigeye, yellowfin and skipjack tuna in the WCPO) was one of the key CMMs that should be applied to all migratory ranges but limited compliance of Vietnam might undermine the effectiveness of the CMM. However, Vietnam's National Tuna Management Plan, developed through WPEA project, recommends domestic measures compatible with this CMM. There were incomplete data available on supply chain and a chain of custody scheme had not been established for any fishery. MSC pre-assessment of the yellowfin/bigeye handline and longline fishery was unfavorable and the need for a FIP was identified. Data collection on target species was initiated under WPEA, but coverage was incomplete for some fisheries, and data had not been fully incorporated in regional assessments. Limited research on retained/bycatch species had been conducted but they had not been comprehensively studied. Research surveys using two gears had been periodically undertaken; no national stock assessment was available but was planned. There was no EAFM application and the legal basis of the NTMP and EAFM inclusion in it was uncertain. There were few data on ETP species.

Barrier No. 3: Limited sub-regional knowledge sharing on highly migratory fish stocks

At the time of project preparation, there was no sub-regional repository for data on highly migratory fish stocks[6], lessons learned and best practices in oceanic fisheries management in the EAS; this impedes the exchange of knowledge on shared stocks which was required to improve the sub-regional management regime. Establishing a sub-regional knowledge platform on shared tuna stocks and stock assessment at a sub-regional level were therefore priorities. More specifically, the remaining and barriers included:

- Limited information shared via WCPFC mechanisms, meetings and WPEA website;
- Limited outreach to stakeholders at national and sub-regional level;
- Limited participation in knowledge sharing events at international and EAS regional level, including IW:Learn; and
- Provincial/FMA profiles as key information products in the tuna fishery are incomplete and not widely disseminated.

2.3. Project Description and Strategy

The project was designed to remove the main barriers to sustainable fisheries management, by strengthening national capacities and regional cooperation to implement fishery sector reforms that will sustain and conserve the highly migratory fish stocks in the West Pacific Ocean and East Asia LMEs while considering climatic variability and change. Specifically, the project aims to:

[6] SEAFDEC maintains a database for SE Asian tunas for its 11 members but it is recognized as incomplete and will hitherto focus more on neritic rather than oceanic tunas; the ASEAN TWG is not known to be involved in any database activity

- Build the capacity of Indonesia, the Philippines, and Vietnam to mainstream climate change impacts into their national fisheries institutions and policies.
- Strengthen regional collaborative mechanisms for monitoring and assessment of highly migratory fish stocks; use an ecosystems approach to fisheries management of shared target and non-target oceanic stocks.
- Strengthen national and regional monitoring, regulation and control.
- Link its activities to the work of the WCPFC. The WCPFC will establish a Consultative Forum to coordinate monitoring of highly migratory stocks across POWLME and SEA LMEs.
- Contribute to the implementation of the SDS-SEA.

The Project objective is:

To improve the management of highly migratory species in the entire West and Central Pacific (WCPF) Convention area by continuing to strengthen national capacities and international participation of Indonesia, Philippines and Vietnam in WCPF Commission activities.

This objective was envisaged to be achieved through three interlinked components:

COMPONENT 1: **Regional governance for building regional and national adaptive capacity of Indonesia, Philippines and Vietnam in the management of highly migratory fish stocks**

This component aims to strengthen the regional collaborative mechanisms for monitoring and assessment of highly migratory fish stocks, and Illegal, Unreported and Unregulated (IUU) fishing in the POWP LME and the EAS LME.

Outcome 1.1: Improved regional mechanisms for monitoring and assessment of highly migratory fish stocks and IUU fishing in the POWP LME and the EAS LME.

Outcome 1.2: Enhanced capacity of technical staff, policy and decision makers in Indonesia, Philippines and Vietnam to integrate climate change impacts on highly migratory stocks into management regimes.

Outcome 1.3: Climate change concerns mainstreamed into national fishery sector policy in Indonesia, Philippines and Vietnam.

COMPONENT 2: Implementation of policy, institutional and fishery management reforms

The objectives of this component are to enforce compliance with existing national, regional and international legal instruments, implement EAFM and the national tuna management plans and enhance adaptive management of shared stocks in the face of climate change. Partnerships with the private sector will be sought to promote market-based approaches to sustainable harvesting of shared tuna stocks, such as certification.

Outcome 2.1: Enhanced compliance of existing legal instruments at national, regional and international levels.

Outcome 2.2: Adoption of market-based approaches to the sustainable harvest of tunas.

Outcome 2.3: Reduced uncertainty in stock assessment of POWP and EAS LMEs highly migratory fish stocks and improved understanding of associated ecosystems and their biodiversity.

Outcome 2.4: Ecosystem Approach to Fisheries Management (EAFM) guiding sustainable harvest of the oceanic tuna stock and reduced bycatch of sea turtles, sharks and seabirds.

COMPONENT 3: Knowledge sharing on highly migratory fish stocks

The third component will establish a regional knowledge platform and network for the Western Pacific Ocean and East Asian LMEs.

Outcome 3.1: Knowledge sharing on highly migratory fish stocks in the POWP and EAS LMEs.

Global Environmental Benefits

The expected global environmental benefits generated by the Project include:

1. Strengthened international cooperation on priority trans-boundary concerns related to the conservation and management of highly migratory fish stocks in the West Pacific Ocean and East Asian Seas that are within the jurisdictions of the Philippines, Indonesia and Vietnam;
2. Integration of issues on emerging climate change impacts on oceanic fisheries into national and regional policy and institutional frameworks and the regional management regime;
3. Reduction of bycatch of critically endangered species (e.g. sea turtles, sharks and seabirds) by enhanced sustainable management and harvesting of target species thus, improving the overall health and integrity of the marine ecosystem;
4. Evidenced-based information available to decision making for reforms related to economic, financial, regulatory and institutional to strengthen national and regional fisheries management. The reforms will be initiatives of the Philippines, Indonesia and Vietnam governments with participation from key players (e.g. national and international institutions, non-government institutions, private sector). The reforms will contribute to the development of a comprehensive management framework for the East Asian oceanic tuna fishery.

Global environmental benefits related to the sustainable harvesting of oceanic tunas in the EAS that are monitored using the GEF IW Tracking Tool include:

- Improved monitoring of oceanic tuna fisheries in the EAS and coverage increased by 40% by the end of the project.
- Reduction of catch of ETP species by 25% by the end of the project.
- Enhanced adaptive capacity to manage oceanic fisheries in the EAS under climate change conditions.
- Certification of at least two oceanic tuna fisheries in the EAS by the end of the project.

2.4. Implementation Arrangements

The project is being implemented over a period of three years, under an inter-governmental organization implementation modality (IGO), executed by the Western and Central Pacific Fisheries Commission (WCPFC) through its Science Programme.

UNDP is the GEF Implementing Agency for this project. Operational oversight will be ensured by UNDP, through the UNDP Philippines, and strategic oversight by the UNDP-GEF Regional Technical Advisor (RTA) responsible for the project. This oversight also ensures that the project practices due diligence with regard to UNDP's Environmental and Social Standards.

The organizational structure of the project is illustrated in the organogram below in **Exhibit 5**.

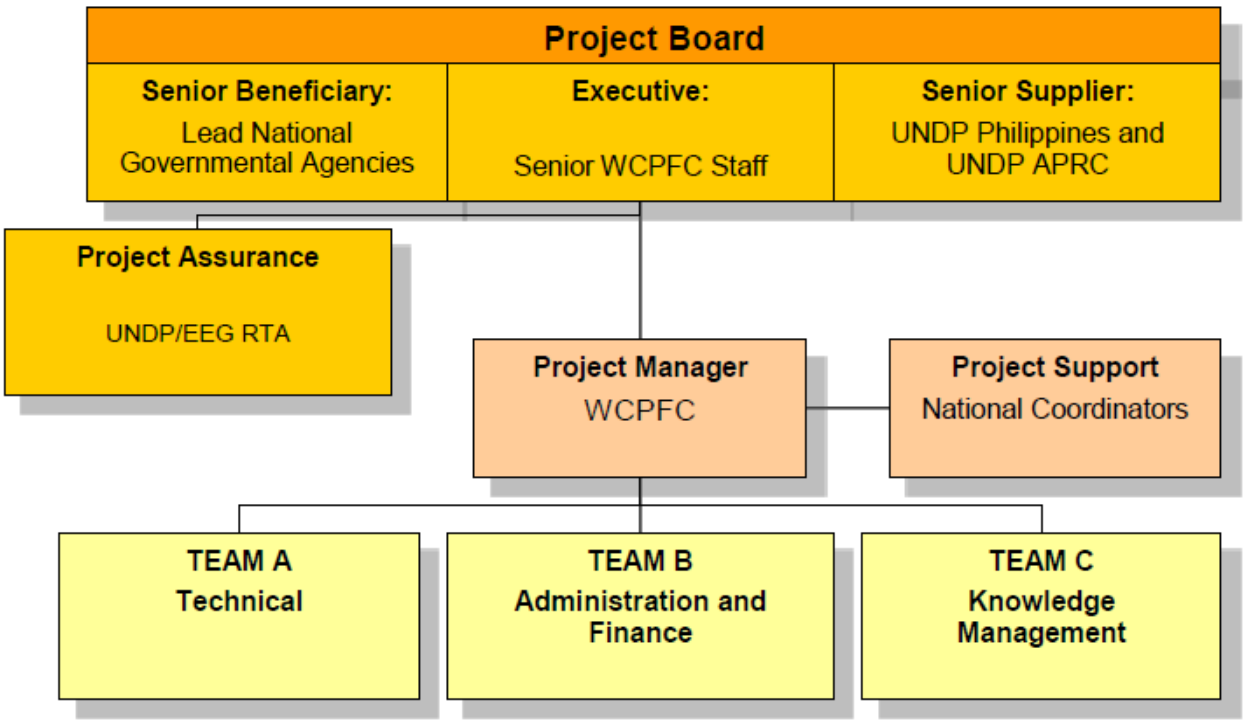

Exhibit 5: Project Organization Structure (from project document)

Project Board: Members of the Project Board include the WCPFC, key national governmental agencies, and UNDP. The Project Board has three distinct functions:

Executive Role: This individual represents the project "owners" and chairs the board.

Senior Supplier Role: This role represents the interests of the parties concerned which provide funding for specific cost sharing projects and/or technical expertise to the project. The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project. This role will rest with UNDP Philippines represented by the Resident Representative.

Senior Beneficiary Role: This role represents the interests of the three governments who ultimately benefit from the project. The Senior Beneficiary's primary function within the Board is to ensure the realization of project results from the perspective of project beneficiaries.

The Project Board is responsible for making management decisions for the project, in particular when guidance is required by the Project Manager. The board approves the annual work plans and budgets, and also plays a critical role in project monitoring and evaluation. As needed, the board also is tasked with arbitrating potential conflicts within the project and negotiating appropriate solutions. Based on the approved annual work pan, the Project Board can also approve any essential deviations from the original plans.

Project Implementation Unit (PIU): The PIU was envisaged to the following permanent staff, assembled to assist the WCPFC in performing its role as implementing partner:

- Project Manager
- Project Finance Associate
- Project Knowledge Management Associate

The Project Manager's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost. The Project Manager closely coordinates project activities with relevant Government institutions and holds regular consultations with other project stakeholders and partners. Under the direct supervision of

the Project Manager, the Project Finance Associate is responsible for administrative and financial issues, with support from UNDP Philippines administrative staff.

The Project Knowledge Management Associate was originally envisaged to report to the Project Manager, and be responsible for developing reports and knowledge management products, and maintaining the project website. During the first project board meeting and inception workshop in November 2014, the board members agreed to explore the possibility of PEMSEA being contracted to deliver project knowledge management, instead of hiring a PIU staff member.

A terms of reference for the position of a Senior Technical Advisor was included in the project document, and a technical function was indicated in the project organization chart. However, a separate budget line item for this position was not included in the indicative project budget.

2.5. Project Timing and Milestones

Project Milestones:

Received by GEF:	08 April 2013
Preparation Grant Approved:	02 May 2013
Concept Approved:	01 June 2013
Project Approved for Implementation:	12 May 2014
Start Date:	27 October 2014
Closing Date (Planned):	27 October 2017

The project identification form (PIF) was approved in June 2013, and following an approximate one year long project preparation phase, the project obtained endorsement by the GEF CEO on 12 May 2014. The project document was then signed by representatives of the national governmental partners and the UNDP in October 2014. The 3-year duration project is slated to close on 27 October 2017.

The project inception workshop, which was arranged coincident with the first project board meeting, was held on 4-5 November 2014. Project activities effectively started in January 2015, in the Philippines. Project start-up in Indonesia and Vietnam was delayed until late 2015, as a result of time needed to register the projects and further domestic approval procedures, e.g., in Vietnam, regional projects require approval by the Prime Minister. The Prime Minister of Vietnam granted approval on 6 July 2015; this was followed by the Ministry of Agriculture and Rural Development issuing an authorization on 13 August 2015 stating that the project would be implemented by D-FISH. The project management unit within D-FISH was formally set up on 27 October of that year, a full year following the start date of the project, when the project document was approved by the three beneficiary countries.

2.6. Main Stakeholders

The main stakeholders for the project and their expected roles and responsibilities, as outlined in the stakeholder involvement plan in the project document, are listed below.

Stakeholder	Expected Involvement
WCPFC	Regional coordination and implementation, project executing partner.
PEMSEA Resource Facility	Coordinating EAS Programme
Coral Triangle Initiative (CTI)	CTI Regional Plan of Action – IUU and EAFM
Lead national ministry/institutions	
INDONESIA	
Directorate General of Capture Fisheries (DGCF/MMAF)	Data management, implementing WCPFC CMMs, fisheries legislation, observer program; project coordination.

Stakeholder	Expected Involvement
Research Center for Fisheries Management and Conservation (RCFMC/P4K)	Data collection, port sampling, EAFM/biological research; project coordination.
PHILIPPINES	
Bureau of Fisheries And Aquatic Resources (BFAR/DA)	Project oversight, observer programs, MCS, IUU; project coordination.
National Fisheries Research and Development Institute (NFRDI/BFAR)	Data collection, port sampling, EAFM; project coordination.
VIETNAM	
Directorate of Fisheries (D-FISH, MARD)	Policy and legal issues; project coordination.
Ministry of Agriculture and Resource Development (MARD)	Project oversight
Dept. of Capture Fisheries and Resource Protection (DECAFIREP)	Data collection, port sampling, observer program, database management, adaptive management, climate change
Other national ministries	
INDONESIA	
DG of Surveillance of Marine Resources and Fisheries (DGSMRF)	MCS and IUU monitoring
Ministry of Environment	GEF Focal Point, environmental policy
PHILIPPINES	
Bureau of Agricultural Statistics (DA)	Fisheries statistics
National Tuna Industry Council National Fisheries and Aquatic Resources Management Council (FARMC)	Policy advice
Philippines Fisheries Development Authority (PFDA)	Port sampling, landings data
VIETNAM	
Ministry of Natural Resources and Environment (MNRE)	Environmental management, climate change
Institute of Strategy and Policy on Natural Resources and Environment (SPONRE)	Environmental and climate change policy
Provincial Peoples Committees (PPCs)	Inshore fisheries (< 24nm) management and administration
Provinces/regions in each country	
INDONESIA	
Sulawesi Utara (Bitung) Sulawesi Selatan (Kendari) Papua (Sorong) Sulawesi Tengah (Mamuju)	Data collection and port sampling sites Data collection and port sampling sites Data collection and port sampling sites Data collection and port sampling sites (envisaged to be initiated in 2014)
PHILIPPINES	
11 Regions (1,3,4b, 5,6,8,11,CARAGA, ARMM) and 15 sites	28 enumerators deployed for data collection, port sampling
VIETNAM	
Binh Dinh Province Khanh Hoa Province Phu Yen Province	Data collection and port sampling provinces (intensive) Data collection and port sampling sites Data collection and port sampling sites
Da Nang Municipality, Provinces of Quang Nam, Quang Ngai,, Ninh Thuan, Binh Thuan, Baria Vung Tau	Data collection, port sampling (upgrade from trial in 2013)
Non-Governmental Organizations	
WWF Sustainable Fisheries Partnership	Fisheries Improvement Projects (FIPs), EAFM pilot studies, observer programmes
Scientific/Academic institutions	
INDONESIA	
Komnas Kajiskan (National Committee on Fish Stock Assessment)	Stock assessment training and collaboration
Bogor Agricultural University, Centre for Coastal and Marine Resources Studies	Fisheries training, fisheries profiles
University of Indonesia, Faculty of Law	Legislative reviews

Stakeholder	Expected Involvement
PHILIPPINES	
Mindanao S U (General Santos)	Data collection, port sampling
VIETNAM	
Research Institute for Marine Fisheries (RIMF), Haiphong, Vietnam	Stock assessment training, risk assessment, observers
Nha Trang University (Fisheries)	Fisheries technology, observers, seafood technology
REGIONAL	
CSIRO (Australia)	FAD research, data collection, tuna genetics (Indonesia)
Multilateral organizations	
Secretariat of the Pacific Community (SPC)	Training, database technical assistance
FFA	Liaison with PIOFM project
SEAFDEC	Liaison and cooperation in various aspects of project
Asean TWG	Regional policy on post-harvest and data collection
CTI Regional Secretariat and CTI Working Groups	IUU and other areas to be determined
Bilateral organizations	
ACIAR	Tuna research/supply chain data (Indonesia)
Private sector companies	
INDONESIA	
1. Harini Asri bahari 2. Sari Harta Samudera 3. Ocean Mitramas 4. Aneka Loka Indotuna 5. Bina Nusa Mandiri Pertiwi 6. Etnieko Sara Laut 7. Harini Nalendra 8. Jaya Bali Bersaudara 9. Jaya Kota 10. Lautan Lestari Abadi 11. Karunia Laut 12. Skipjact Indonesia Pratama 13. Agrindo Bahari Kencana 14. Agrindo Mina Bahari 15. Arabikatama Khatulistiwa Fishing Industry 16. Aru Samudera Lestari 17. Fischo Marindo Utama 18. Jaya Bali Bersaudara 19. Indonesia Tuna Association 20. Mentari Prima Bahari 21. Pathe Maang Raya 22. Perikanan Nusantara 23. National Fishing Fleet Association 24. Starcky Indonesia 25. Wailan Pratama 26. Waranei Perkasa 27. Firgo Internusa 28. Bitung Fishing Industries Association 29. Indonesia Pole and Line, Handline Association 30. Indonesia Fish Canning Association	• Attending consultation meetings and workshops (e.g., meetings for updating National Tuna Management Plan, estimating national annual tuna catch, reviewing policy, legal and institutional arrangements of tuna fisheries, etc.); • Cooperation in the provision of data and verification process for the estimates of total tuna catch by industries; • Provision of tuna imports and exports data; • Cooperation in the facilitating of observers on-board deployment and provision of logsheets; • Coordination and/or implementation of the Fisheries Improvement Program (FIP); • Comply with various WCPFC CMMs (VMS, Logbook, IUU, etc.); • Arranging meetings and workshops at provincial level; etc.
PHILIPPINES	

Stakeholder	Expected Involvement
1. SOCKSARGEN Federation of Fishing Industries Inc. (SFFAII) 2. Frabelle Fishing 3. Confederation of Fishing Industries (ConFed) 4. RD Fishing 5. San Lorenzo Ruiz Fishing 6. CHL Fishing 7. Trinity Homes Industrial Corp 8. TSP Marine Industries 9. Trans Pacific journey Industries Corp 10. Marchael Sea Ventures 11. NH Agro Industrial Corp 12. Umbrella Fish Landing Association 13. Roel Fishing 14. Rell and Renn Fishing Corp 15. Damalerio Fishing Corp 16. Other tuna companies (e.g., General Tuna Canning Corp.)	• Attending consultation meetings and workshops (e.g., workshops for revising National Tuna Management Plan and Operations Guide for Filipino Fishermen, National Tuna Annual Catch Estimates Workshop, National Tuna Fishery Profiles, etc.); • Arrange meetings/workshops at provincial level; • Cooperate in the provision of data and verification process for the estimation of annual total tuna catch by industries; • Comply with various WCPFC CMMs (e.g. observer, VMS, etc.); • Continue to support and facilitate on-board observers and provision of logsheets; etc.
VIETNAM	
1. Vietnam Tuna Fisheries Association (VINATUNA) 2. Binh Dinh Tuna Fisheries Association 3. Khanh Hoa Tuna Fisheries Association 4. Phu Yen Tuna Fisheries Association 5. Culimer Vietnam Co., Ltd 6. Tin Thinh company 7. Vinh Sam company 8. Thinh Hung company 9. Hai Vuong company	• Attending national meetings and workshops convened by Government agencies (e.g. legal and policy review meetings, revising National Tuna Management Plan workshops, Climate Change Capacity Building training courses, etc.); • Coordination and/or implementation of Fisheries Improvement Program (FIP); • Arranging and funding meetings/workshops at provincial level; • Provision of tuna fisheries data, participation in workshops for the estimation of national annual tuna catches, and verification process of tuna catches by industries; • Comply with various WCPFC CMMs (e.g. IUU, observer, VMS, etc.), etc.

3. FINDINGS

3.1. Project Strategy

3.1.1. Project Design

The project is a follow-up to a successful first phase implemented from 2010 to 2012, with notable improvements in data quality and compliance towards Conservation and Management Measures (CMMs) of the WCPFC for the three beneficiary countries, including Indonesia and Philippines, which are both now full members of the Commission, and Vietnam, which is a cooperating non-member.

The design of this second phase of the project follows up with some of the gaps in data quality and CMM compliance, and also includes an expanded scope, covering several cross-cutting aspects, including climate change, ecosystem approach to fisheries management (EAFM), eco-labelling, and harvest strategies. Considering the momentum realized in the first phase and implementation arrangements remaining largely in place, a 3-year implementation timeframe was thought to be sufficient

The project was designed under Objective I2 of the GEF-5 International Waters Strategy, aligned with Outcomes 2.1, 2.2, and 2.3 of Objective 2, as illustrated in the comparative table below in **Exhibit 6**.

Exhibit 6: Alignment of Project Strategy with Objective 2 of the GEF-5 International Waters Strategy

Objective 2 of the GEF-5 International Waters Strategy:	**Project Objective:**
Catalyze multistate cooperation to rebuild marine fisheries and reduce pollution of coasts and Large Marine Ecosystems (LMEs) while considering climatic variability and change	To improve the management of highly migratory species in the entire West and Central Pacific (WCPF) Convention area by continuing to strengthen national capacities and international participation of Indonesia, Philippines and Vietnam in WCPF Commission activities
Outcome 2.1: Implementation of agreed Strategic Action Programmes (SAPs) incorporates ecosystem-based approaches to management of LMEs, ICM principles, and policy/legal/ institutional reforms into national/local plans **Indicator 2.1:** Implementation of national/local reforms; functioning of national inter-ministry committees	**Outcome 1.1:** Improved regional mechanisms for monitoring and assessment of highly migratory fish stocks and IUU fishing in the POWP LME and the EAS LMEs
Outcome 2.2: Institutions for joint ecosystem-based and adaptive management for LMEs and local ICM frameworks demonstrate sustainability **Indicator 2.2** Cooperation frameworks adopted & include sustainable financing	**Outcome 1.2**: Enhanced capacity of technical staff, policy and decision makers in Indonesia, Philippines and Vietnam to integrate climate change impacts on highly migratory stocks into management regimes **Outcome 2.1**: Enhanced compliance of existing legal instruments at national, regional and international levels **Outcome 3.1**: Regional knowledge platform established on POWP LME and EAS LMEs shared tuna stocks and associated ecosystems
Outcome 2.3: Innovative solutions implemented for reduced pollution, rebuilding or protecting fish stocks with rights-based management, ICM, habitat (blue forest) restoration/conservation, and port management and produce measureable results **Indicator 2.3**: Measurable results for reducing land-based pollution, habitat, and sustainable fisheries from local demonstrations	**Outcome 2.2**: Adoption of market-based approaches to the sustainable harvest of tunas **Outcome 2.4**: Ecosystem Approach to Fisheries Management (EAFM) guiding sustainable harvest of the oceanic tuna stock and reduced bycatch of sea turtles, sharks and seabirds

As part of the project preparation phase, environmental and social risks were screened using the UNDP Environmental and Social Screening Template. The screening analysis concluded that the project does include activities and outputs that support upstream planning processes that potentially pose environmental and social impacts or are vulnerable to environmental and social change. Furthermore, the analysis reported that the project would have positive socioeconomic impacts, through support of strengthening sub-regional collaborative mechanisms and national management processes.

As part of the environmental and social screening process, the proposed project was concluded to not include implementation of downstream activities that potentially pose environmental and social impacts or

are vulnerable to environmental and social change. And, there were no environmental or social aspects that required additional screening.

3.1.2. Results Framework

As part of this midterm review, the project results framework was assessed against "SMART" criteria, whether the indicators and targets were sufficiently specific, measurable, achievable, relevant, and time-bound. With respect to being time-bound, the end targets were designed to be achieved by the end of the 3-year duration project. In this case, each of the targets is considered compliant with the time-bound dimension of SMART criteria.

The project results framework is comprehensive, with 10 multifaceted indicators having a cumulative total of 66 end-of-project targets, 4 at the objective level, and 63 among the 8 project outcomes, distributed across regional, sub-regional, and national dimensions.

Project Objective:

There are four end targets for the two-pronged objective level indicator, as outlined below in **Exhibit 7**.

Exhibit 7: SMART Analysis of Project Results Framework (Project Objective)

Indicator	End-of-Project target	MTR SMART analysis				
		S	M	A	R	T
Objective: To improve the management of highly migratory species in the entire West and Central Pacific (WCPF) Convention area by continuing to strengthen national capacities and international participation of Indonesia, Philippines and Vietnam in WCPF Commission activities						
1. (a) Status of harvesting of shared oceanic tuna stocks in the WCPF Convention area in the EAS vis-à-vis sustainability criteria set by the WCPF Convention. (b) Application of market-based approaches to sustainable harvesting of oceanic tunas	**Regional. Sustainable harvesting of oceanic tunas in the EAS, including:**					
	1.1. Improved monitoring of oceanic tuna fisheries in the EAS and coverage increased to 40%	Y	?	?	Y	Y
	1.2. Reduction of catch of ETP species by 25%	N	?	?	Y	Y
	1.3. Enhanced adaptive capacity to manage oceanic fisheries in the EAS under climate change conditions through revision of management	Y	Y	Y	?	Y
	1.4. Progress to possible certification of at least two oceanic tuna fisheries in the EAS, through FIPs	N	?	?	Y	Y
SMART: Specific, Measurable, Achievable, Relevant, Time-Bound Green: SMART criteria compliant; Yellow: questionably compliant with SMART criteria; Red: not compliant with SMART criteria						

With respect to target 1.1, the term "monitoring coverage" is unclear, and for this reason progress cannot be easily measured and the achievability of the end target is therefore questionable. The target of reducing catch of ETP species by 25%, as outlined in target 1.2, is specific with respect to the envisaged value of the reduction, but the type of ETP species are not indicated. This makes measurability and achievability difficult. For target 1.3, revision of management frameworks with the inclusion of climate change aspects does not necessarily mean that adaptive capacity has been enhanced, and for this reason, the relevance of this target is unconvincing. Regarding the target 1.4, the term "progress to possible certification" is not sufficiently specific, and therefore cannot be measured straightforwardly.

Outcome 1.1, Regional and Sub-regional:

Indicator No. 2 represents the regional and sub-regional dimension of Outcome 1.1. There are four end targets, two regional and two sub-regional ones, as outlined below in **Exhibit 8**.

Exhibit 8: SMART Analysis of Project Results Framework (Outcome 1.1 – Regional and Sub-regional)

Indicator	End-of-Project target	MTR SMART analysis				
		S	M	A	R	T
Outcome 1.1: Improved regional mechanisms for monitoring and assessment of highly migratory fish stocks and IUU fishing in the POWP LME and the EAS LMEs						
2. **Regional** (WCPF Convention area): Status of participation in WCPFC activities (CMMs, compliance monitoring, MCS etc.) and membership (CCM) **Sub-regional** (Indonesia, Philippines,	**Regional:**					
	2.1. All three countries fully compliant with WCPFC requirements, and all relevant CMMs	?	Y	?	Y	Y
	2.2. Improved monitoring of oceanic tuna fisheries in the EAS and coverage increased to 40%	Y	?	?	Y	Y

Exhibit 8: SMART Analysis of Project Results Framework (Outcome 1.1 – Regional and Sub-regional)						
Indicator	**End-of-Project target**	**MTR SMART analysis**				
		S	**M**	**A**	**R**	**T**
Vietnam): Establishment of WCPFC/PEMSEA Consultative Forum (CF) to coordinate monitoring of oceanic tuna stocks across EAS LMEs in association with PEMSEA,WCPFC and others	**Sub-regional:**					
	2.3. Countries once a year share information which contributes to development of harvest policy for oceanic tunas across the relevant LMEs and within the WCPFC framework	?	Y	Y	Y	Y
	2.4. Project coordinates with the EAS Program through the PEMSEA Resource Facility	?	Y	Y	?	Y
SMART: Specific, Measurable, Achievable, Relevant, Time-Bound Green: SMART criteria compliant; Yellow: questionably compliant with SMART criteria; Red: not compliant with SMART criteria						

With respect to target 2.1, WCPFC compliance is assessed each year; it is unclear what is meant by achieving full compliance. It would have also been advisable to be more specific in terms of which CMMs are relevant for each country; this could have been agreed upon at the project inception phase. Moreover, it seems overly optimistic to achieve full compliance over a 3-year timeframe. Target 2.2 is more or less the same as target 1.1 at the objective level, and similarly, the term "monitoring coverage" is unclear.

Regarding target 2.3, the phrasing is a bit short on specifics. Was the intention to develop a harvest policy for the entire EAS and/or POWP LME, or rather for each of the beneficiary country separately? Similarly, target 2.4 is not sufficiently specific, and not necessarily a relevant performance measure of achievement of Outcome 1.1.

<u>Outcome 1.1, National</u>:

Indicator No. 3, which represents the national dimension of Outcome 1.1, is broken down into three sub-parts, and there are a cumulative total of 15 end targets, including five for Indonesia, four for Philippines, and six for Vietnam (see **Exhibit 9** below).

Exhibit 9: SMART Analysis of Project Results Framework (Outcome 1.1 - National)							
Indicator	**End-of-Project target**	**MTR SMART analysis**					
		S	**M**	**A**	**R**	**T**	
Outcome 1.1: Improved regional mechanisms for monitoring and assessment of highly migratory fish stocks and IUU fishing in the POWP LME and the EAS LMEs							
3. **National** (common): (a) Formation of task force to prepare and package information for CF. (b) Comprehensive national databases for all aspects of oceanic tuna fisheries, including logsheet data, port sampling data, vessel register, MCS data, and bycatch. (c) Comprehensive VMS, IUU monitoring and catch certification system in place for each country	**Indonesia:**						
	3.1. Logbook coverage of all commercial gears and fleets improved up to 50% for fishing vessels >30 GT (>50%)	Y	Y	Y	Y	Y	
	3.2. Coverage of artisanal fleet landings improved up to 50%; catch of retained and bycatch species well documented. Dependent and independent data available (port sampling, observer, logbook, surveys)	Y	Y	Y	Y	Y	
	3.3. Scientific database for archipelagic fish resources developed and implemented; extend port sampling to cover AW FMAs up to 25%	Y	Y	Y	Y	Y	
	3.4. VMS and catch certification system in place to address IUU	Y	Y	Y	Y	Y	
	3.5. National task force in place for packing of information for CF	?	Y	Y	Y	Y	
	Philippines:						
	3.6. Monitoring coverage for small and medium scale tuna fisheries improved by 30%	Y	Y	Y	Y	Y	
	3.7. VMS monitoring and/or other technologies applied to selected tuna fishers operating in the Phil national waters and WCP CA to reduce IUU	?	Y	Y	Y	Y	
	3.8. elogbook developed and pilot tested ready for implementation and adoption by stakeholders	Y	Y	Y	Y	Y	
	3.9. National task force in place for packing of information for CF	?	Y	Y	Y	Y	
	Vietnam:						
	3.10. Monitoring systems expanded to 6 other provinces; increased coverage and quality of logsheet data for all tuna fishing fleets	Y	Y	Y	Y	Y	

Exhibit 9: SMART Analysis of Project Results Framework (Outcome 1.1 - National)

Indicator	End-of-Project target	MTR SMART analysis				
		S	M	A	R	T
	3.11. Landing data coverage of tuna fishing fleets significantly improved to 70%	Y	Y	Y	Y	Y
	3.12. Catch of retained and bycatch species well documented	?	Y	Y	Y	Y
	3.13. Integrated database established within National Fisheries Statistics system, including data entry, verification and database maintenance	Y	Y	Y	Y	Y
	3.14. National task force in place for packing of information for CF	?	Y	Y	Y	Y
	3.15. VMS scheme being developed for selected fisheries to apply for catch certification scheme and to reduce IUU	Y	Y	Y	Y	Y

SMART: Specific, Measurable, Achievable, Relevant, Time-Bound
Green: SMART criteria compliant; Yellow: questionably compliant with SMART criteria; Red: not compliant with SMART criteria

The end targets for Indicator No. 3 are largely compliant with SMART criteria. The targets that address the Consultative Forum (CF) are a bit unclear, e.g., regarding the term "packing information". Target 3.7 is also insufficiently specific; it would have been clearer to specify the tuna fisheries targeted for VMS monitoring, rather than indicating "selected tuna fisheries". And, with respect to target 3.12, the term "well documented", regarding catch of retained and bycatch species should be more specific.

Outcome 1.2:

Indicator No. 4 represents the sub-regional and national dimensions of Outcome 1.2. The two-part indicator has four end targets, one at the sub-regional level and one each for the three beneficiary countries, as outlined below in **Exhibit 10**.

Exhibit 10: SMART Analysis of Project Results Framework (Outcome 1.2)

Indicator	End-of-Project target	MTR SMART analysis				
		S	M	A	R	T
Outcome 1.2: Enhanced capacity of technical staff, policy and decision makers in Indonesia, Philippines and Vietnam to integrate climate change impacts on highly migratory stocks into management regimes						
4. (a) Prediction of climate change impacts on oceanic fisheries and development of adaptive management strategies. (b) Capacity building to interpret climate change impacts on oceanic fisheries and to develop adaptive management strategies and incorporate these into management regimes	**Sub-regional:**					
	4.1. Climate change impacts on EAS and western part of POWP LME predicted and appropriate adaptive management strategies developed	?	?	N	Y	Y
	Indonesia:					
	4.2. Task force established to study climate change impacts on oceanic fishery sector; results of preliminary research/modelling on oceanic fisheries (SKJ) available; adaptive management strategies to mitigate impacts of climate change developed	Y	Y	?	Y	Y
	Philippines:					
	4.3. Trial prediction of climate change impacts on oceanic fisheries developed; 4 or more skilled personnel trained to interpret climate change impacts on oceanic fisheries and to develop adaptive management strategies	Y	Y	?	Y	Y
	Vietnam:					
	4.4. Trial prediction of climate change impacts on oceanic fisheries developed; 4 or more technical staff, policy & decision makers to integrate climate change impacts on highly migratory stocks	Y	Y	?	Y	Y

SMART: Specific, Measurable, Achievable, Relevant, Time-Bound
Green: SMART criteria compliant; Yellow: questionably compliant with SMART criteria; Red: not compliant with SMART criteria

With respect to the sub-regional target 4.1, the design and budget allocation did not account for LME scale climate change prediction and adaptive strategy development. The budget included USD 10,000 for international climate change modelers to provide and discuss model outputs to a regional climate workshop envisaged in Year 1 (USD 50,000 was allocated for the workshop), and to identify possible adaptation strategies. The budget for international modelers was insufficient. There was indication in the project document that certain regional and sub-regional models have been developed, but not include the

EAS sub-region. The level of effort to expand or develop a sub-regional model for the EAS sub-region would require significantly more resources.

Similarly, the achievability of the national level targets, including trial predictions (Philippines and Vietnam) and preliminary research/modeling (Indonesia) are questionable, considering the time and resources available.

Outcome 1.3:

Indicator No. 5 represents the envisaged results under Outcome 1.3, which is inter-dependent with Outcome 1.2, i.e., the climate change adaptation strategies planned under Outcome 1.2 would be mainstreamed into national policy as part of Outcome 1.3. The indicator is divided into two parts, one addresses incorporation of oceanic fisheries indicators and modeling outputs into national climate change strategies, and the second part calling for policies, strategies, plans, or programs that integrate climate change into national fisheries policies. There are three end targets for this outcome, one for each of the three beneficiary countries, as outlined below in **Exhibit 11**.

Exhibit 11: SMART Analysis of Project Results Framework (Outcome 1.3)

Indicator	End-of-Project target	MTR SMART analysis				
		S	M	A	R	T
Outcome 1.3: Enhanced capacity of technical staff, policy and decision makers in Indonesia, Philippines and Vietnam to integrate climate change impacts on highly migratory stocks into management regimes						
5. (a) Incorporation of oceanic fisheries indicators and modelling outputs into overall national climate change strategy. (b) Policies / strategies / plans / program that integrate climate change into national fisheries policies and even legislation/regulations	**Indonesia:**					
	5.1. Climate change adaptive management strategy for oceanic fisheries developed and incorporated in national cross-sectoral climate change strategy	Y	Y	?	Y	Y
	Philippines:					
	5.2. Policies/strategies/plans/programs that integrate climate change into national fisheries regulations approved and/or implemented	Y	Y	Y	Y	Y
	Vietnam:					
	5.3. Climate change concerns articulated and integrated into the national fisheries policy	Y	Y	Y	Y	Y

SMART: Specific, Measurable, Achievable, Relevant, Time-Bound
Green: SMART criteria compliant; Yellow: questionably compliant with SMART criteria; Red: not compliant with SMART criteria

The target for Indonesia, 5.1, calls for climate change adaptive management strategies for oceanic fisheries incorporated into national cross-sectoral climate change strategy. This is a fairly tall order for a 3-year duration project. Such a result would require close collaboration with enabling stakeholders, particularly the Ministry of Environment.

The targets for the other two countries are more focused on integrating climate change concerns into fisheries policies. This is more achievable than the envisaged result for Indonesia; however, the first part of the indicator, i.e., incorporation into national climate change strategies, is not addressed.

Outcome 2.1:

Indicator No. 6 represents the envisaged results under Outcome 2.1, which focuses on enhancing compliance of existing legal instruments at national, regional, and international levels. There are six end-of-project targets for this indicator, one at the regional level, two for Indonesia, one for the Philippines, and two for Vietnam, as outlined below in **Exhibit 12**.

Exhibit 12: SMART Analysis of Project Results Framework (Outcome 2.1)

Indicator	End-of-Project target	MTR SMART analysis				
		S	M	A	R	T
Outcome 2.1: Enhanced compliance of existing legal instruments at national, regional and international levels						
6. Legal instruments fully compatible with WCPFC requirements, and compliance with WCPFC	**Regional:**					
	6.1. Sub-regional collaborative governance on tuna fisheries established. Participation in WCPFC's technical processes enhanced through full participation in WCPFC technical meetings (SC, TCC and other technical WG meetings).	?	Y	Y	Y	Y

Exhibit 12: SMART Analysis of Project Results Framework (Outcome 2.1)						
Indicator	**End-of-Project target**	**MTR SMART analysis**				
		S	**M**	**A**	**R**	**T**
management requirements, including compliance with CMMs, ROP, RFV and application of reference points, and harvest control rules	**Indonesia:**					
	6.2. Tuna management strengthened through applying scientific procedure using Reference Points (RPs) and Harvest Control Rules (HCRs) at national level once applied at regional level	Y	Y	N	Y	Y
	6.3. Archipelagic Water (AW) management regime established	Y	Y	Y	Y	Y
	Philippines:					
	6.4. Compliance with CMMs of special concern to the Philippines primarily FADs committed	?	Y	Y	Y	Y
	Vietnam:					
	6.5. Incorporation of compatible measures into national legal frameworks and incorporation of relevant WCPFC requirements completed	Y	Y	Y	Y	Y
	6.6. Full application of relevant CMMs and development of reference points (RPs) and harvest control rules (HCRs) at national level	Y	Y	?	Y	Y
SMART: Specific, Measurable, Achievable, Relevant, Time-Bound Green: SMART criteria compliant; Yellow: questionably compliant with SMART criteria; Red: not compliant with SMART criteria						

For target 6.1, which is rather concerning the sub-regional context, not a regional one, it is unclear what is meant by sub-regional collaborative governance. It would have been advisable to more clearly defining the envisaged end result, e.g., some type of formal agreement, or an informal arrangement among the beneficiary countries.

Target 6.2 involves applying reference points (RPs) and harvest control rules (HCRs) in Indonesia. The target states that the RPs and HCRs will be applied at the national level once applied at the regional level; however, the project does not include plans to develop regional level RPs and HCRs. The achievability of developing RPs and HCRs in Vietnam, as called for in Target 6.6, is also questionable. Development of harvest strategies takes time, including extensive stakeholder consultations.

With respect to Target 6.4, for the Philippines, it is unclear what is meant by compliance "committed"; this is not sufficiently specific.

Outcome 2.2:

Indicator No. 7 represents the envisaged results under Outcome 2.2, which focuses on adoption of market-based approaches to sustainable harvest of tunas. The three-part indicator has nine end-of-project targets, three for each of the three beneficiary countries, as outlined below in **Exhibit 13**.

Exhibit 13: SMART Analysis of Project Results Framework (Outcome 2.2)						
Indicator	**End-of-Project target**	**MTR SMART analysis**				
		S	**M**	**A**	**R**	**T**
Outcome 2.2: Adoption of market-based approaches to the sustainable harvest of tunas						
7. (a) Supply chain characterized for tuna fishery sector, including processing, and custody systems **established** for tuna fisheries (b) Improvements to fisheries to meet sustainable fishery standards for selected fisheries (c) Number of private sector companies that cooperate in relevant project activities	**Indonesia:**					
	7.1. Supply chain characterized for selected tuna fisheries, monitoring systems established and information annually updated; custody system in place for selected fisheries	Y	Y	?	Y	Y
	7.2. Eco-certification achieved for selected tuna fisheries	?	Y	?	Y	Y
	7.3. Sustained participation of 30 companies and increase in number of companies by at least 5 as appropriate	?	Y	Y	Y	Y
	Philippines:					
	7.4. Supply chain fully documents and annually updated	Y	Y	Y	Y	Y
	7.5. Several tuna fisheries progressing towards full certification	Y	Y	?	Y	Y

Exhibit 13: SMART Analysis of Project Results Framework (Outcome 2.2)						
Indicator	**End-of-Project target**	**MTR SMART analysis**				
		S	**M**	**A**	**R**	**T**
	7.6. Sustained participation of 16 companies and increase in number of companies by at least 5 as appropriate	?	Y	Y	Y	Y
	Vietnam:					
	7.7. Supply chain characterized for tuna fisheries, with emphasis on export-oriented fisheries, and monitoring system established; CoC in place for selected tuna fisheries	Y	Y	?	Y	Y
	7.8. FIP process implemented for longline/handline fishery	Y	Y	Y	Y	Y
	7.9. Sustained participation of 9 companies and increase of companies by at least 5 as appropriate	?	Y	Y	Y	Y
SMART: Specific, Measurable, Achievable, Relevant, Time-Bound Green: SMART criteria compliant; Yellow: questionably compliant with SMART criteria; Red: not compliant with SMART criteria						

The three national level targets for each country are similar; however, there are a few distinct differences. The first target involves characterizing supply changes, and for Indonesia and Vietnam, the target also covers establishing monitoring systems and putting in place chain of custody (CoC) arrangements. Developing and operationalizing monitoring and custody systems seems a bit overly optimistic for a 3-year duration project.

With respect to the sustainable fishery certification targets, it would have been advisable to more clearly define what is meant by certification. For Indonesia, full certification was envisaged, whereas in the Philippines achieving progress towards full certification was expected. In Vietnam, implementation of a fisheries improvement project (FIP) for the longline/handline fishery was the specified result. And, with respect to private sector involvement, the term "sustained participation" is ambiguous.

Outcome 2.3:

Indicator No. 8 represents the envisaged results under Outcome 2.3, which focuses on reducing uncertainty in stock assessment of POWP and EAS LMEs highly migratory fish stocks and improved understanding of ecosystems and their biodiversity. The three-part indicator has seven end-of-project targets, one set at the sub-regional level, two for Indonesia, one for the Philippines, and three for Vietnam, as outlined below in **Exhibit 14**.

Exhibit 14: SMART Analysis of Project Results Framework (Outcome 2.3)						
Indicator	**End-of-Project target**	**MTR SMART analysis**				
		S	**M**	**A**	**R**	**T**
Outcome 2.3: Reduced uncertainty in stock assessment of POWP and EAS LMEs highly migratory fish stocks and improved understanding of associated ecosystems and their biodiversity						
8. (a) Integration of data from oceanic tuna fisheries in Indonesia, Philippines and Vietnam into regional assessments of target tuna species; (b) Sub-regional/national assessments for target species; regular national assessments of target species; (c) Documentation and risk assessment of retained species and bycatch, including ETP species, in all fisheries/gears.	**Sub-regional:**					
	8.1. Sub-regional assessments undertaken with data available and assessment model restructured	?	Y	Y	Y	Y
	Indonesia:					
	8.2. Indonesian data included in regional and sub-regional assessments; National assessments for target species completed and annually updated	Y	Y	Y	Y	Y
	8.3. Risk assessment of retained, bycatch and ETP spp. undertaken. (National Commission for fish stock assessment)	Y	Y	Y	Y	Y
	Philippines:					
	8.4. Comprehensive observer, catch sampling undertaken and risk assessment available for bycatch and ETP species	Y	Y	Y	Y	Y
	Vietnam:					
	8.5. Annual total catch estimates produced and biological data collected for national and/or regional stock assessment of target tuna species	Y	Y	Y	Y	Y
	8.6. Information for risk assessment collected of retained and bycatch species and assessments undertaken	Y	Y	Y	Y	Y

Exhibit 14: SMART Analysis of Project Results Framework (Outcome 2.3)						
Indicator	**End-of-Project target**	**MTR SMART analysis**				
		S	**M**	**A**	**R**	**T**
	8.7. National level stock assessments of target tuna undertaken	**Y**	**Y**	**Y**	**Y**	**Y**
SMART: Specific, Measurable, Achievable, Relevant, Time-Bound Green: SMART criteria compliant; Yellow: questionably compliant with SMART criteria; Red: not compliant with SMART criteria						

The indicators and end-of-project targets for Outcome 2.3 are largely compliant with SMART criteria. The phrasing of the outcome implies that the project would support sub-regional stock assessments; this would entail extensive negotiation according to various data confidentiality agreements. There are sub-regional assessments being made, e.g., by SPC, the science provider for WCPFC, using national catch estimates.

Outcome 2.4:

Indicator No. 9 represents the envisaged results under Outcome 2.4, which focuses on the ecosystem approach to fisheries management (EAFM) for guiding sustainable harvest of oceanic tuna stock and reducing bycatch of sea turtles, sharks, and seabirds. The four-part indicator has eleven end-of-project targets, one at the sub-regional level, four for Indonesia, three for the Philippines, and three for Vietnam, as outlined below in **Exhibit 15**.

Exhibit 15: SMART Analysis of Project Results Framework (Outcome 2.5)						
Indicator	**End-of-Project target**	**MTR SMART analysis**				
		S	**M**	**A**	**R**	**T**
Outcome 2.4: Ecosystem Approach to Fisheries Management (EAFM) guiding sustainable harvest of the oceanic tuna stock and reduced bycatch of sea turtles, sharks and seabirds						
9. (a) Application of ecosystem modelling to EAS EEZs to complement those for POWP LME and EEZs; (b) Incorporation of EAFM principles in national tuna management plans; (c) Pilot scale application of EAFM for oceanic species at selected sites/fisheries; (d) Reduction of bycatch of endangered, threatened and protected (ETP) species, such as sea turtles, sharks and seabirds.	**Sub-regional:**					
	9.1. Application of ecosystem models to EAS	**?**	**Y**	**?**	**Y**	**Y**
	Indonesia:					
	9.2. Data collection to support application of appropriate ecosystem models	**?**	**Y**	**Y**	**Y**	**Y**
	9.3. EAFM strategy developed for trial implementation in one FMA	**Y**	**Y**	**Y**	**Y**	**Y**
	9.4. EAFM conditions incorporated in revised NTMP	**?**	**Y**	**Y**	**Y**	**Y**
	9.5. Mitigation measures applied in selected fisheries; compliance with shark and sea turtle CMMs and NPOAs committed	**Y**	**Y**	**Y**	**Y**	**Y**
	Philippines:					
	9.6. Potential study area that applies EAFM for oceanic fisheries selected	**Y**	**Y**	**Y**	**?**	**Y**
	9.7. NTMP revised to include EAFM	**?**	**Y**	**Y**	**Y**	**Y**
	9.8. Mitigation measures applied; Compliance with shark CMMs committed, Smart Gear developed	**Y**	**Y**	**?**	**Y**	**Y**
	Vietnam:					
	9.9. Pilot application of EAFM at one selected site/fishery	**Y**	**Y**	**Y**	**Y**	**Y**
	9.10. Revised NTMP with EAFM included	**?**	**Y**	**Y**	**Y**	**Y**
	9.11. Compliance with ETP CMMs and NPOAs	**?**	**Y**	**?**	**Y**	**Y**
SMART: Specific, Measurable, Achievable, Relevant, Time-Bound Green: SMART criteria compliant; Yellow: questionably compliant with SMART criteria; Red: not compliant with SMART criteria						

With respect to target No. 9.1, the aim of application of ecosystem models to EAS is not very specific, and the achievability of this target is also questionable, considering the time and resources available. Target

No. 9.2 is also insufficiently specific, i.e., the type of data collection envisaged is unclear. Having EAFM conditions incorporated in revised NTMP, as called for in Target 9.4 is also unclear.

The first target for the Philippines under this outcome, No. 9.6, is selection of a potential study area for an EAFM pilot. This does not seem a relevant outcome level performance target; it is rather an activity. For target No. 9.8, the feasibility of developing smart gear, presumably on the basis of the EAFM pilot within the timeframe of the project is questionable.

Achieving compliance with ETP CMMs and NPOAs, following implementation an EAFM pilot in Vietnam, as phrased under Target 9.11 seems also overly optimistic. Realizing such compliance will take time, certainly longer than the allocated 3-year project implementation timeframe.

Outcome 3.1:

Indicator No. 10 represents the envisaged results under Outcome 3.1, which focuses on establishing a knowledge platform on POWP LME and EAS LMEs shared tuna stocks and associated ecosystems. The four-part indicator has three end-of-project targets, each set for the regional dimension, as outlined below in **Exhibit 16**.

Exhibit 16: SMART Analysis of Project Results Framework (Outcome 3.1)

Indicator	End-of-Project target	MTR SMART analysis				
		S	M	A	R	T
Outcome 3.1: Regional knowledge platform established on POWP LME and EAS LMEs shared tuna stocks and associated ecosystems						
10. (a) Monitoring and knowledge sharing between POPW LME and EAS LMEs for target and associated species and their management; (b) Commitment to information sharing at all levels amongst WPEA members and beyond; (c) Current provincial/FMA resource profiles updated and disseminated; (d) Participation in global knowledge sharing events.	**Regional:**					
	10.1. Active website maintained in collaboration with PEMSEA, and commitment to preparation and dissemination of project publication, newsletters and other information products	Y	Y	Y	Y	Y
	10.2. Consultative Forum activity reported	N	?	?	Y	Y
	10.3. Increased participation in international and (sub-) regional knowledge sharing events (one per year), such as IWLearn and related activities and the EAS Congress	Y	Y	Y	Y	Y

SMART: Specific, Measurable, Achievable, Relevant, Time-Bound
Green: SMART criteria compliant; Yellow: questionably compliant with SMART criteria; Red: not compliant with SMART criteria

With respect to target 10.2, it is unclear what is meant by reporting Consultative Forum activity, and hence, the measurability and achievability of this target is questionable.

3.1.3. Gender Mainstreaming Analysis

The project design does not have a specific gender dimension. There are few women involved in the production side of fisheries in Southeast Asia, but the women are well represented, in some cases in much higher percentages, in the post-harvest sector. A separate gender analysis was not made at the project preparation phase. The social and environmental screening made at project preparation indicated no aspects potentially significantly impacting gender equality and women's empowerment. The project document includes the following entry, under the discussion on National and Local Indicators and Benefits:

The Project will ensure the participation of women in all its activities and will target at the minimum, 30 percent women participation in the national, regional and international capacity building activities. It will, to the extent possible, provide equal access to and benefits from the Project resources to both men and women. The project will undertake gender-disaggregated monitoring of its activities, outputs and impacts.

The project implementation review (PIR) reports contain information on women participation in project workshops and meetings. One of the three national coordinators, for the Philippines, is a woman; and the Team Leader for the Inclusive and Sustainable Development Unit of the UNDP Philippines is also a woman and a member of the project board. The indicators and end targets in the project results framework is not gender disaggregated, and there was no evidence available to the MTR consultant showing gender-disaggregated monitoring of activities (except for headcount at meetings), outputs, and impacts.

3.2. Progress towards Results

3.2.1. Progress towards Outcomes Analysis

Objective: To improve the management of highly migratory species in the entire West and Central Pacific (WCPF) Convention area by continuing to strengthen national capacities and international participation of Indonesia, Philippines and Vietnam in WCPF Commission activities	
Progress towards achieving project objective is rated as:	**Moderately Satisfactory**

Improved monitoring of oceanic tuna fisheries in the EAS, one of the key aims of the project, is on target to be achieved by project closure. There are no quantifiable figures available regarding monitoring coverage, but there is sufficient anecdotal evidence to support progress towards achieving this objective. There are also no monitoring systems in place to assess verifiable progress towards the envisaged reduction in catch of endangered, threatened, and protected (ETP) species, and this particular target is also not reflected in the national tuna management plans (NTMPs).

The second three-country workshop convened by the project covered climate change impacts on tuna fisheries. The 2017 annual work plans include activities for developing climate change adaptation guidelines for the three beneficiary countries and integrating these into the NTMPs. The project has been late in initiating these particular activities, and at midterm, progress towards the end result is considered marginally on target. With respect to the target better documenting supply chains, with the aim of eventually achieving eco-labelling certification, the project has made limited progress. There are fisheries improvement projects (FIPs) ongoing in the each of the three beneficiary countries, but with limited direct involvement by the project, except in Vietnam, where there has been collaboration with WWF Vietnam.

The MTR assessment of progress towards objective level results is summarized below.

Regional:

Indicator 1: (a) Status of harvesting of shared oceanic tuna stocks in the WCPF Convention area in the EAS vis-à-vis sustainability criteria set by the WCPF Convention; (b) Application of market-based approaches to sustainable harvesting of oceanic tunas				
	Baseline	**Midterm Status**	**End Target**	**Midterm Assessment**
Value:	Current coverage in average of the three countries fishery monitoring is around 15%	Anecdotal evidence that monitoring coverage has increased to 40%. Baseline figure of 15% not validated, and the term "monitoring coverage" is unclear.	1.1. Improved monitoring of oceanic tuna fisheries in the EAS and coverage increased to 40%	**On target**
	Little compliance with bycatch reduction requirement	There are no monitoring systems in place to support assessment of this indicator. This target is also not reflected in the NTMPs.	1.2. Reduction of catch of ETP species by 25%	**Not on target**
	No reflection of climate change in the current management framework	The project organized a three-country workshop on the impacts of climate change on tuna fisheries. The three beneficiary countries are planning on developing climate change adaptation guidelines and incorporating these into the NTMPs. These activities are planned in 2017; limited time remaining to achieve the envisaged results.	1.3. Enhanced adaptive capacity to manage oceanic fisheries in the EAS under climate change conditions through revision of management	**Marginally on target**
	Tuna supply chains not well documented, no oceanic tuna fisheries in the EAS certified	FIPs for tuna fisheries are ongoing in each of the three beneficiary countries. There has been limited project involvement, except in Vietnam. There has also been limited progress with respect to supply chain analysis activities.	1.4. Progress to possible certification of at least two oceanic tuna fisheries in the EAS, through FIPs	**Marginally on target** .
Date:	**2013**	**March 2017**	**October 2017**	

COMPONENT 1: Regional governance for building regional and national adaptive capacity of Indonesia, Philippines and Vietnam in the management of highly migratory fish stocks

Indicative budget in project document: USD 700,000
Actual cost incurred on this Component through 30 December 2016: USD 311,585

Outcome 1.1: Improved regional mechanisms for monitoring and assessment of highly migratory fish stocks and IUU fishing in the POWP LME and the EAS LMEs	
Progress towards achieving Outcome 1.1 is rated as:	**Satisfactory**

Regional and Sub-regional:

At the regional and sub-regional level, progress towards achieving Outcome 1.1 has been satisfactory. Compliance with respect to WCPFC CMMs has improved in each of the three beneficiary countries. The Philippines has had a longer track record as a WCPFC member, and, hence, compliance there has been steadily improving. Indonesia joined the Commission in December 2013, and there has been general improvement with respect to compliance. As a cooperating non-member, Vietnam is compliant with the relevant CMMs. Achieving full compliance, something that is assessed annually, will take time, certainly longer than the 3-year project timeframe.

The project has facilitated sub-regional discussions and capacity building on developing harvest strategies, and each of the three countries are considering harvest strategies for national tuna fisheries. There has not been discussion on developing a sub-regional harvest policy, e.g., for the EAS LME; however, this is a topic that could be addressed in the next three-country workshop, planned for this year, 2017.

The Consultative Forum (CF) has not been established as outlined in the project document, with participation by multiple regional and sub-regional partners. An excerpt from the project document reads "*The Consultative Forum would involve a range of national, sub-regional and regional stakeholders, such as PEMSEA, SEAFDEC, ASEAN Tuna Working Group, the ABNJ Program, etc*."

With respect to coordinating with PEMSEA, there have been certain achievements. Representatives from the three beneficiary countries attended the PEMSEA EAS Congress in 2015, for example. The WPEA project and the PEMSEA Resource Facility also signed a letter of agreement in November 2016 that outlines how PEMSEA will assist in developing and hosting a project website and also in developing a monitoring and evaluation and reporting system.

Indicator 2: **Regional** (WCPF Convention area): Status of participation in WCPFC activities (CMMs, compliance monitoring, MCS etc.) and membership (CCM); **Sub-regional** (Indonesia, Philippines, Vietnam): Establishment of WCPFC/PEMSEA Consultative Forum (CF) to coordinate monitoring of oceanic tuna stocks across EAS LMEs in association with PEMSEA ,WCPFC and others

	Baseline	Midterm Status	End Target	Midterm Assessment
Value:	**Regional:**			
	Close to full participation by Indonesia and Philippines as members; Vietnam not compliant in some aspects and CNM status	Compliance levels have improved in each of the three beneficiary countries. Achieving "full" compliance will take time, beyond the lifespan of the project.	2.1. All three countries fully compliant with WCPFC requirements, and all relevant CMMs	**Marginally on target**
		Anecdotal evidence that monitoring coverage has increased to 40%.	2.2. Improved monitoring of oceanic tuna fisheries in the EAS and coverage increased to 40%	**On target**
	Sub-regional:			
	Three countries work cooperatively within WPEA project but no coordinating mechanism which includes all fishing entities in SCS and other LMEs	One of the topics included in the second three-country project workshop was harvest strategy development, and each country is working towards developing harvest strategies. There are no plans for developing sub-regional harvest strategies, e.g., for the EAS LME.	2.3. Countries once a year share information which contributes to development of harvest policy for oceanic tunas across the relevant LMEs and within the WCPFC framework	**Marginally on target**
		WPEA beneficiary countries attended the PEMSEA EAS Congress in 2015. The project has also signed a letter of cooperation in Nov 2016 with the PEMSEA Resource Facility; which includes developing and hosting a project website, and also developing a monitoring and evaluation system.	2.4. Project coordinates with the EAS Program through the PEMSEA Resource Facility	**On target**
Date:	**2013**	**March 2017**	**October 2017**	

National:

In general, there has been satisfactory progress towards achieving the national level results under Outcome 1.1. The envisaged Consultative Forum (CF) has not yet been established, and, hence, formation of national task forces to pack information for the CF is behind schedule. There are certain national structures in place in Philippines and Vietnam.

Monitoring has improved in each of the three beneficiary countries, but certain areas require further attention. There also have been advances in the legal frameworks and implementation of vessel monitoring systems (VMS). In Indonesia, the scientific database for archipelagic waters fish resources has been further developed. There has not been progress made with respect to the envisaged integrated information management system in Vietnam; potential funding from the New Zealand Government for follow-up activities could possibly cover this.

Indicator 3: **National** (common): (a) Formation of task force to prepare and package information for CF; (b) Comprehensive national databases for all aspects of oceanic tuna fisheries, including logsheet data, port sampling data, vessel register, MCS data, and bycatch; (c) Comprehensive VMS, IUU monitoring and catch certification system in place for each country.

	Baseline	Midterm Status	End Target	Midterm Assessment
Value:	**Indonesia:**			
	National logbook monitoring system gradually being established under PSDKP MMAF, mainly starting to cover large vessels (>30GT) and not fully integrated with fisheries data	The legal foundation of implementation of fishing logbook is the Ministerial Decree No. 48/PERMEN-KP/2014, approved on 17 October 2014. The expected logbook cumulative coverage by the end of 2017 is expected to be 50%.	3.1. Logbook coverage of all commercial gears and fleets improved up to 50% for fishing vessels >30 GT (>50%)	**On target**
	Species composition by gear by species currently available under port sampling programme covering only FMAs 716 (Bitung), 717 (Sorong) 714 (Kendari); Limited data from surveys by research vessel	Coverage of artisanal fleet landings is the same as documented in the previous target. Catch data on targeted species and key bycatch species are documented. Port sampling, observer, logbook, and surveys are regularly carried out. The Observer Program was authorized in May 2016 by WCPFC/PEMSEA. There are shortcomings with respect to logbook coverage and quality among small and medium scale fishing operators.	3.2. Coverage of artisanal fleet landings improved up to 50%; catch of retained and bycatch species well documented. Dependent and independent data available (port sampling, observer, logbook, surveys)	**Marginally on target**
	Statistical data for AW fisheries are available, but biological data and scientific database to verify currently is not available (FMAs 713, 714, 715)	Database developed starting in 2010, and has been regularly updated and refined (for the second phase of WPEA applied both off line and online data inputs), e.g., including bycatch data. Port sampling coverage within archipelagic waters FMAs is the same as indicated for target 3.1.	3.3. Scientific database for archipelagic fish resources developed and implemented; extend port sampling to cover AW FMAs up to 25%	**On target**
	VMS and catch certification scheme under development and limited application to deter IUU	VMS Scheme was approved through Ministerial Decree, dated 04 June 2014. Catch Certification was approved through Ministerial Decree, dated 29 June 2012. These regulations support efforts to reduce IUU fishing in Indonesia.	3.4. VMS and catch certification system in place to address IUU	**On target**
	No mechanism in place for regional knowledge sharing on oceanic tuna though CF	National task force not yet established. The planned three-country workshop planned for May 2017 will cover sub-regional cooperation. A national task force will be considered in this process.	3.5. National task force in place for packing of information for CF	**Marginally on target**
	Philippines:			
	Current monitoring coverage for small and medium scale tuna fisheries is less than 10% (development of prototype for small scale fisheries)	The approximate 100 landing areas cover at least 30% of the tuna catch, including from small and medium scale operators.	3.6. Monitoring coverage for small and medium scale tuna fisheries improved by 30%	**On target**

Indicator 3: **National** (common): (a) Formation of task force to prepare and package information for CF; (b) Comprehensive national databases for all aspects of oceanic tuna fisheries, including logsheet data, port sampling data, vessel register, MCS data, and bycatch; (c) Comprehensive VMS, IUU monitoring and catch certification system in place for each country.				
	Baseline	**Midterm Status**	**End Target**	**Midterm Assessment**
	Current monitoring by VMS limited to PS/RN Phil-flag vessels operating in WCPO HSP1 and other countries' EEZs; limited application of VMS in Phil waters to address IUU	The Philippine Fisheries Code of 1998 (RA8550) as amended by RA10654 (series of 2015), Section 119 requires all catcher vessels 30GT and up operating in national waters to be covered by the Vessel Monitoring Measure (VMM). The full implementation of the new law will be expected to be realized in 4-years, by 2019.	3.7. VMS monitoring and/or other technologies applied to selected tuna fishers operating in the Phil national waters and WCP CA to reduce IUU	**On target**
	Delays in manual submission of logsheets resulting in proposing an elogbook system to facilitate timely submission	A national elogbook (or eReporting) system has been developed and pilot testing is ongoing for PH vessels operating in WCPFC-HSP1 (high seas). Adoption of the PH elogbook or eReporting system is expected to be realized upon the full implementation of the Catch Documentation and Traceability System.	3.8. elogbook developed and pilot tested ready for implementation and adoption by stakeholders	**On target**
	No mechanism in place for regional knowledge sharing on oceanic tuna	A Technical Working Group for tuna fisheries (TWG-Tuna) was established by BFAR. The current administration needs to approve continuation of the group. Mandate for packing of information for CF would also need to be included.	3.9. National task force in place for packing of information for CF	**Marginally on target**
	Vietnam:			
	Monitoring systems established in three central provinces (Binh Dinh, Phu Yen & Khanh Hoa) under WPEA in compliance with WCPFC requirements, but not covering for all gears and all other provinces	All 9 provinces covered, as of 2015. Logsheet data following WCPFC's template now covers tuna fishing fleets in three main provinces (i.e. Binh Dinh, Phu Yen and Khanh Hoa). Other provinces using national logsheet format. Logsheet data not authorized by government and not yet submitted to WCPFC.	3.10. Monitoring systems expanded to 6 other provinces; increased coverage and quality of logsheet data for all tuna fishing fleets	**On target**
	Current coverage of monitoring landing data is around 35%	All 9 provinces having tuna fisheries are participating in monitoring landing data. Baseline figure of 35% and the term "coverage" are unclear.	3.11. Landing data coverage of tuna fishing fleets significantly improved to 70%	**On target**
	No bycatch data are currently documented	Shark, swordfish, marlin, etc. are documented in the 3 main provinces, starting in 2015.	3.12. Catch of retained and bycatch species well documented	**On target**
	No integrated database system established	The TUFMAN-1 system is an offline system, not yet integrated. There are discussions to adopt the online version developed by SPC (TUFMAN-2). This is not included in the 2017 annual work plan. Discussion of next phase, funding by New Zealand government, including financing the online system.	3.13. Integrated database established within National Fisheries Statistics system, including data entry, verification and database maintenance	**Not on target**
	No mechanism in place for regional knowledge sharing on oceanic tuna	Nationally, a technical working group has been established for restructuring tuna fisheries management, transferring more responsibilities to local level. Consultative Forum between WPEA-PEMSEA not yet established.	3.14. National task force in place for packing of information for CF	**Marginally on target**
	VMS scheme being implemented but not yet integrated with fisheries data. VMS, IUU and catch certification scheme not in place - under development and initial implementation	A national VMS has been established and installed 3000 offshore fishing vessels as a trial; also for other fisheries.	3.15. VMS scheme being developed for selected fisheries to apply for catch certification scheme and to reduce IUU	**On target**
Date:	**2013**	**March 2017**	**October 2017**	

Outcome 1.2: Enhanced capacity of technical staff, policy and decision makers in Indonesia, Philippines and Vietnam to integrate climate change impacts on highly migratory stocks into management regimes	
Progress towards achieving Outcome 1.2 is rated as:	**Moderately Satisfactory**

Sub-regional and National:

At the sub-regional level, there has been no progress towards the envisaged results. The second three-country workshop, held in Cebu in October 2016, included sessions on climate change, but these were mostly focused on informing the representatives from the national government partner organizations, building their capacity to address climate change issues on a national scale. There are no plans in place to predict change impacts on the EAS and western part of the POWP LME, or to develop sub-regional level adaptation strategies.

At the national level, there has been limited progress with respect to strengthening climate change predictive capacities. In Vietnam, a consultant has been retained to evaluate climate change impacts using an existing model. For Indonesia and Philippines, the efforts are rather focused on carrying out prior studies; the study in Indonesia was completed in 2016, whereas the Philippines team is having difficulties recruiting a consultant for this task. The indicative project budget outlined in the project document allocates USD 5,000 per country, for national climate change specialists. An additional USD 20,000 per country was allocated for national climate change workshops; and USD 25,000 per country for national climate change policy and training workshops. If this level of funding is approximated in the remaining lifespan of the project, then there is a reasonable likelihood that progress could be made towards developing climate change adaptation strategies, at the national level.

Indicator 4: (a) Prediction of climate change impacts on oceanic fisheries and development of adaptive management strategies; (b) Capacity building to interpret climate change impacts on oceanic fisheries and to develop adaptive management strategies and incorporate these into management regimes

	Baseline	Midterm Status	End Target	Midterm Assessment
Value:	**Sub-regional:**			
	Some information available on impacts on POWP LME but model outputs not yet extended to EAS and integrated with existing data	No plans are in place to predict climate change impacts on a LME scale, and sub-regional adaptive management strategies are not planned.	4.1. Climate change impacts on EAS and western part of POWP LME predicted and appropriate adaptive management strategies developed	**Not on target**
	Indonesia:			
	Though National Climate Change Council established in 2008 (Presidential decree no 46/2008), climate change impacts on oceanic fisheries and its ecosystems not studied and current analytical capacity in this area is very limited	A prior study on climate change was completed in 2016, but this did not include modelling or other activity that strengthened predictive capacity. A task force has been established with the RCFMC, and two climate change guidelines are under preparation.	4.2. Task force established to study climate change impacts on oceanic fishery sector; results of preliminary research/modelling on oceanic fisheries (SKJ) available; adaptive management strategies to mitigate impacts of climate change developed	**Marginally on target**
	Philippines:			
	National climate change strategy developed, but impacts on oceanic fisheries and its ecosystems not yet studied and current capacity limited	The national coordination unit has had difficulties recruiting a consultant to carry out a prior study. Trial prediction of climate change impacts on oceanic fisheries unlikely by project closure. Philippines is planning to develop a climate change and disaster risk management manual of operations – not specifically focused on oceanic fisheries.	4.3. Trial prediction of climate change impacts on oceanic fisheries developed; 4 or more skilled personnel trained to interpret climate change impacts on oceanic fisheries and to develop adaptive management strategies	**Not on target**
	Vietnam:			

Indicator 4: (a) Prediction of climate change impacts on oceanic fisheries and development of adaptive management strategies; (b) Capacity building to interpret climate change impacts on oceanic fisheries and to develop adaptive management strategies and incorporate these into management regimes				
	Baseline	**Midterm Status**	**End Target**	**Midterm Assessment**
	Lack of trained/skilled personnel and no existing assessment of capacity needed to interpret climate change impacts on oceanic fisheries and to develop adaptive management strategies	There has been some progress towards evaluating potential impacts of climate change on oceanic fisheries, using an existing model. Further analyses are planned in 2017. Four technical staff from the Ministry participated in the three-country workshop in 2016 that included sessions on climate change. Establishment of national climate change guidelines is included in the 2017 project work plan.	4.4. Trial prediction of climate change impacts on oceanic fisheries developed; 4 or more technical staff, policy & decision makers to integrate climate change impacts on highly migratory stocks	**Marginally on target**
Date:	**2013**	**March 2017**	**October 2017**	

Outcome 1.3: Climate change concerns mainstreamed into national fishery sector policy in Indonesia, Philippines and Vietnam	
Progress towards achieving Outcome 1.3 is rated as:	**Moderately Satisfactory**

National:

Outcome 1.3 is inter-dependent with the climate change adaptive management strategies planned under Outcome 1.2. For Indonesia, an adaptive strategy is under preparation and is envisaged to be endorsed through Ministerial decree. The end-of-project target is more far-reaching, i.e., incorporating adaptive management strategy for oceanic fisheries into a national cross-sectoral climate change strategy, and unlikely to be achieved. The national coordination team has not coordinated the project activities with the Ministry of Environment or other enabling stakeholders, apart from the MMAF.

In the Philippines, the national coordination team has had difficulties recruiting a climate change expert for Outcome 1.2; this is also affecting delivery of results earmarked for Outcome 1.3. Unrelated to the project and not directly associated with oceanic fisheries, a manual of operations for climate change and disaster risk management is under preparation this year, 2017.

The target for Vietnam is more achievable than for the other two countries; climate change concerns are envisaged to be integrated into national fishery policy, not regulations or national cross-sectoral strategies. The activities under Outcome 1.3 in Vietnam are slated to be carried out in 2017, with the end result being integration of climate change considerations into an updated version of the National Tuna Management Plan (NTMP). There is a fair chance that this will be achieved; however, considering that activities have not yet started, and there are essentially six months remaining until the planned closure date, October 2017, the Not on Target midterm assessment is applied.

Indicator 5: (a) Incorporation of oceanic fisheries indicators and modelling outputs into overall national climate change strategy; (b) Policies / strategies / plans / program that integrate climate change into national fisheries policies and even legislation/regulations				
	Baseline	**Midterm Status**	**End Target**	**Midterm Assessment**
Value:	**Indonesia:**			
	National policy formulation specific to oceanic fisheries under climate change is very limited, but some information available for adjacent POWP LME, as a suitable model/precedent	Climate change adaptive management strategy is under preparation. The strategy is envisaged to be approved through Ministerial Decree; this does not meet the target of incorporating into national cross-sectoral climate change strategy.	5.1. Climate change adaptive management strategy for oceanic fisheries developed and incorporated in national cross-sectoral climate change strategy	**Not on target**
	Philippines:			
	No pool of experts to mainstream climate change concerns into national fisheries sector policy. No	There has been limited progress in recruiting a national consultant under Outcome 1.2. A manual of	5.2. Policies / strategies / plans / programs that integrate climate change into national	**Not on target**

Indicator 5: (a) Incorporation of oceanic fisheries indicators and modelling outputs into overall national climate change strategy; (b) Policies / strategies / plans / program that integrate climate change into national fisheries policies and even legislation/regulations				
	Baseline	**Midterm Status**	**End Target**	**Midterm Assessment**
	specific regulations on climate change related to fisheries management established. RA9729: Philippine Climate Change Act of 2009 has served as the basis for the creation of the Climate Change Commission	operations for climate change and disaster risk management is earmarked for 2017; this is unrelated to the project and does not focus on fisheries.	fisheries regulations approved and/or implemented	
	Vietnam:			
	No inputs to national policy formulation on climate change currently available for Vietnam, nor to oceanic fisheries	A consultancy activity is planned for 2017 to integrate climate change, EAFM, supply chain certification, and harvest strategy framework aspects into an updated version of the National Tuna Management Plan.	5.3. Climate change concerns articulated and integrated into the national fisheries policy	**Not on target**
Date:	**2013**	**March 2017**	**October 2017**	

COMPONENT 2: Implementation of policy, institutional and fishery management reforms

Indicative budget in project document: USD 1,228,899
Actual cost incurred on this Component through 30 December 2016: USD 568,679

Outcome 2.1: Enhanced compliance of existing legal instruments at national, regional and international levels	
Progress towards achieving Outcome 2.1 is rated as:	**Satisfactory**

Regional and National:

Progress towards the envisaged results under Outcome 2.1 has been generally satisfactory, particularly with respect to compliance to WCPFC Conservation and Management Measures (CMMs). The expected end result regarding sub-regional collaborative governance is unclear; this is a topic that is planned to be addressed during the three-country project workshop scheduled in May 2017. It would be prudent to take that opportunity to agree upon the governance arrangements and/or structure.

At the national level, for Indonesia and Vietnam, end-of-project targets were set regarding harvest strategies, specifically development of reference points (RPs) and harvest control rules (HCRs). Indonesia started harvest strategy development in 2014, with support from the project as well as other donors and government funding. For Vietnam, there has only been one workshop, held in November 2016, together with WWF Vietnam.

For the Philippines, there has been progress towards with respect to improving compliance with respect to management of fish aggregating devices (FADs). The updated Fisheries Code, approved in 2015, partly covers issues associated with FADs, and the project will support a consultancy in 2017 to further look into current FAD policies and to identify additional concerns (if any).

Indicator 6: Legal instruments fully compatible with WCPFC requirements, and compliance with WCPFC management requirements, including compliance with CMMs, ROP, RFV and application of reference points, and harvest control rules				
	Baseline	**Midterm Status**	**End Target**	**Midterm Assessment**
Value:	**Regional:**			
	No collaborative governance on tuna fisheries among the three countries and limited compliance with technical application of WCPFC requirements due to limited	Sub-regional collaborative governance not yet "officially" established. This topic will be addressed during the planned sub-regional project workshop in May 2017. The project has supported representatives from the three beneficiary countries to	6.1. Sub-regional collaborative governance on tuna fisheries established. Participation in WCPFC's technical processes enhanced through full	**Marginally on target**

Indicator 6: Legal instruments fully compatible with WCPFC requirements, and compliance with WCPFC management requirements, including compliance with CMMs, ROP, RFV and application of reference points, and harvest control rules				
	Baseline	**Midterm Status**	**End Target**	**Midterm Assessment**
	involvement in WCPFC's technical processes (SC and TCC)	participate in WCPFC scientific committee (SC) and technical and compliance committee (TCC) meetings.	participation in WCPFC technical meetings (SC, TCC and other technical WG meetings)	
	Indonesia:			
	No RPs and HCRs considered yet as a scientific procedure	Development of a harvest strategy began in 2014, with incremental support by the WPEA project, other projects, and government funding. Unlikely that RPs and HCRs will be developed by planned project closure in October 2017.	6.2. Tuna management strengthened through applying scientific procedure using Reference Points (RPs) and Harvest Control Rules (HCRs) at national level once applied at regional level	**Marginally on target**
	Some fisheries legislation under revision to accommodate all WCPFC requirements, framework for AW management through FMAs currently minimal but progressively being developed (7 FMAs)	There is a national policy on archipelagic waters, e.g., maximum vessel size of 100 GT. In this context, the management regime is already established. The regime is now being strengthened by introducing a harvest strategy approach.	6.3. Archipelagic Water (AW) management regime established	**On target**
	Philippines:			
	Existing FAD management policy and other CMMs needs to be revisited for compliance, but Philippines currently compliant with most of the WCPFC CMMs	With the amended Fisheries Code (RA10654), approved October 2015, the new law has addressed most of the CMMs including issues/concerns on FADs. The project is supporting a consultancy in 2017 to review current policy on FADs, and to identify additional concerns on FADs (if any).	6.4. Compliance with CMMs of special concern to the Philippines primarily FADs committed	**On target**
	Vietnam:			
	Limited compliance with CMMs or other management arrangements; no RPs and HCRs considered yet as a scientific procedure	The National Tuna Fisheries Management Plan was approved by Decision No. 3562/QD-BNN-TCTS, 1 September 2015. In 2016, the Ministry developed a national action plan for Conservation and Management of Sea Turtles (WCPFC CMM 2008-03). In 2017, the Ministry is working on a national action plan for conservation and management of sharks, compliant with WCPFC CMM 2010-07). Also, relevant CMMs (7) were translated with support of the project and also by WWF.	6.5. Incorporation of compatible measures into national legal frameworks and incorporation of relevant WCPFC requirements completed	**Marginally on target**
		Project supported one workshop in November 2016 together with WWF to discuss establishing RPs and HCRs. It is unlikely that RPs and HCRs will be developed by the planned project closure date of October 2017.	6.6. Full application of relevant CMMs and development of reference points (RPs) and harvest control rules (HCRs) at national level	**Not on target**
Date:	**2013**	**March 2017**	**October 2017**	

Outcome 2.2: Adoption of market-based approaches to the sustainable harvest of tunas	
Progress towards achieving Outcome 2.2 is rated as:	**Moderately Satisfactory**

National:

Progress towards the envisaged results under Outcome 2.2 has been moderately satisfactory. With respect to supply chains, prior studies have been initiated in Indonesia and the Philippines, but these do not seem to fulfil the end target criteria. For example, establishing monitoring and custody systems in Indonesia will

not be achieved, as these are seen beyond the scope of the project. Through close collaboration with WWF Vietnam, which is managing a FIP for longline/handline fisheries, progress under Outcome 2.2 in Vietnam has been better than in the other two countries. There are FIPs operating in Indonesia and the Philippines, but the project has had no direct involvement.

With respect to the aim of sustaining and increasing private sector participation, the national coordinators were uncertain the referenced number of companies indicated in the results framework; the companies are listed in the stakeholder involvement plan in the project document. In each of the three beneficiary countries, private sector companies and associations have been regularly invited to various stakeholder workshops, but there are no monitoring systems in place to track the number, including the ones listed in the results framework.

Indicator 7: (a) Supply chain characterized for tuna fishery sector, including processing, and custody systems established for tuna fisheries; (b) Improvements to fisheries to meet sustainable fishery standards for selected fisheries; (c) Number of private sector companies that cooperate in relevant project activities

	Baseline	Midterm Status	End Target	Midterm Assessment
Value:	**Indonesia:**			
	Limited data available on supply chain, and monitoring and custody system not established for any fishery	Supply chains have not yet been characterized. The project hired a consultant to review existing studies, and made recommendations for an EAFM trial in NTT province in 2017. Establishing monitoring and custody systems seen by project team as government driven and beyond the scope of the project.	7.1. Supply chain characterized for selected tuna fisheries, monitoring systems established and information annually updated; custody system in place for selected fisheries	**Not on target**
	Growing market demand for sustainable certification but limited eco-certification conducted	There has been no direct project involvement with respect to eco-certification. Reportedly an FIP was initiated in 2014 for Yellowfin, Bigeye, and Cakalang (*Katsuwonus pelamis).* MSC pre-assessment completed in 2014 identified several shortcomings.	7.2. Eco-certification achieved for selected tuna fisheries	**Not on target**
	30 companies already cooperate in project activities	The project document includes a list of 30 private companies. Fishing associations and private companies have been regularly invited to project stakeholder workshops, but there has been no specific monitoring of involvement of the list companies, or plans to expand involvement by an additional 5.	7.3. Sustained participation of 30 companies and increase in number of companies by at least 5 as appropriate	**Marginally on target**
	Philippines:			
	Supply chain complex, information available but not compiled	The project has funded a consultancy on the prior study of tuna supply chain analyses. This is a work in progress; uncertain if information on current supply chains will be provided.	7.4. Supply chain fully documents and annually updated	**Not on target**
	Growing market pressure for ecolabelling certification relating to sustainable fishing. Several pre-assessments initiated	There has been no direct project involvement with respect to eco-labelling and certification. The same consultancy carrying out the supply chain prior study will reportedly also cover a review of eco-labelling certification.	7.5. Several tuna fisheries progressing towards full certification	**Not on target**
	16 companies already cooperate with BFAR	The project document includes a list of 16 private companies. Fishing associations and private companies have been regularly invited to project stakeholder workshops, but there has been no specific monitoring of involvement of the list companies, or plans to expand involvement by an additional 5. The SOCKSARGEN Federation of Fishing Industries, Inc. (SFFAII), which has been involved in project activities, has approximately 100 members	7.6. Sustained participation of 16 companies and increase in number of companies by at least 5 as appropriate	**Marginally on target**

Indicator 7: (a) Supply chain characterized for tuna fishery sector, including processing, and custody systems established for tuna fisheries; (b) Improvements to fisheries to meet sustainable fishery standards for selected fisheries; (c) Number of private sector companies that cooperate in relevant project activities				
	Baseline	**Midterm Status**	**End Target**	**Midterm Assessment**
	Vietnam:			
	Incomplete data available on supply chain and chain of custody scheme not established for any fishery	Overview report was prepared for provinces Khanh Hoa, Binh Dinh, and Phu Yen. The study is ongoing. Under the national restructuring program, supply chain analyses completed for 4 other provinces. Monitoring system for landing data already established. And a study on CoC has been reportedly conducted under the FIP managed by WWF.	7.7. Supply chain characterized for tuna fisheries, with emphasis on export-oriented fisheries, and monitoring system established; CoC in place for selected tuna fisheries	**Marginally on target**
	MCS pre-assessment of yellowfin/bigeye handline and longline fishery unfavourable and need for FIP identified	A 5-year action plan under the FIP managed by WWF was approved for tuna longline/handline fisheries. The plan is still ongoing, starting in 2012.	7.8. FIP process implemented for longline/handline fishery	**On target**
	9 companies already cooperate in project activities	The project document includes a list of 9 private companies. Fishing associations and private companies have been regularly invited to project stakeholder workshops, but there has been no specific monitoring of involvement of the list companies, or plans to expand involvement by an additional 5. Under the FIP managed by WWF, there are more than 9 companies involved	7.9. Sustained participation of 9 companies and increase of companies by at least 5 as appropriate	**Marginally on target**
Date:	**2013**	**March 2017**	**October 2017**	

Outcome 2.3: Reduced uncertainty in stock assessment of POWP and EAS LMEs highly migratory fish stocks and improved understanding of associated ecosystems and their biodiversity	
Progress towards achieving Outcome 2.3 is rated as:	**Moderately Satisfactory**

Sub-regional and National:

There has been generally satisfactory progress made with respect to reducing uncertainty in sub-regional assessments, specifically those made by SPC. There are a number of testimonial entries in the WCPFC data and statistics reports that indicate how improved data quality has allowed more accurate sub-regional assessment. Certain areas do require further improvement, as concluded by SPC, the science provider for WCPVC; for example, refer to **Exhibit 17** below.

Indonesia:

i. The need for more comprehensive review and consolidation of data from all potential sources in the catch estimation process (including industry and NGO data) which would help, *inter alia*, explain the trends in catches by gear;
ii. Compilation and submission of available aggregate and operational catch/effort data for recent years since the logbooks became mandatory in the Indonesian domestic tuna fisheries (2011- 2015), although this is acknowledge.

Philippines:

i. Improving logsheet coverage for the purse seine vessels fishing in the Philippines EEZ;
ii. More reliable estimates for the small-scale municipal gears;
iii. A better understanding of the extent of catches from the handline fisheries targeting large yellowfin tuna in some regions.

Vietnam:

i. enhancing the coverage of the establishment of logbook and port sampling data collection for their longline, purse seine and gillnet fisheries;
ii. the compilation and provision of aggregate and operational catch/effort data from the longline fishery from logbooks collected since 2011;
iii. a formal decision on their database system to manage their tuna fisheries data and resources required;
iv. a sustainable observer programme;
v. a review of data collection forms to consider, *inter alia*, inclusion of the WCPFC key shark species where relevant.

Exhibit 17. Areas requiring further improvement in terms of data collection, concluded by SPC[7]

[7] Scientific Data Available to the Western and Central Pacific Fisheries Commission, August 2016, WCPFC-SC12-2016/ST WP-2 (rev. 1)

With respect to the second part of Outcome 2.3, i.e., improved understanding of associated ecosystems and their biodiversity, there has been less progress made. Risk assessments are planned in 2017, using the bycatch and other data recorded through port enumeration and observatory programs. It is uncertain how these risk assessments will contribute towards an improved understanding of the ecosystems of the highly migratory tuna stocks in the POWP and EAS LMEs.

Indicator 8: (a) Integration of data from oceanic tuna fisheries in Indonesia, Philippines and Vietnam into regional assessments of target tuna species; (b) Sub-regional/national assessments for target species; regular national assessments of target species; (c) Documentation and risk assessment of retained species and bycatch, including ETP species, in all fisheries/gears.

	Baseline	Midterm Status	End Target	Midterm Assessment
Value:	**Sub-regional:**			
	Assessments not explicitly available on sub-regional scale because of data gaps and lack of assessment model spatial structure	SPC, as science provider for WCPFC, is conducting sub-regional (Region 4 – skipjack; Region 7 – yellowfin and bigeye) assessments based upon available data, including national catch data provided by the countries to the WCPFC. Regions 4 and 7 referenced above are a bit larger than EAS.	8.1. Sub-regional assessments undertaken with data available and assessment model restructured	**On target**
	Indonesia:			
	Some target species data available from WPEA-1 with coverage of FMA 716, 717 and 714 for assessment. National stock assessment board exists and plans for national assessment underway	Indonesian data are used in the annual consolidated regional and sub-regional assessments made by SPC. Catch estimate assessments, by gear type and by species, and by fishing area, are made annually with the involvement of NGOS, associations and industries as well as national and subnational governmental representatives.	8.2. Indonesian data included in regional and sub-regional assessments; National assessments for target species completed and annually updated	**On target**
	Limited information on retained/bycatch species and no risk assessment study for tuna bycatch and ETP species	A consultancy is planned in 2017 to carry out a risk assessment. The assessment results will be presented or submitted to the next Forum Coordination Management and Utilizations of Fisheries Resources	8.3. Risk assessment of retained, bycatch and ETP spp. undertaken. (National Commission for fish stock assessment)	**Marginally on target**
	Philippines:			
	Limited understanding of ecosystem supporting the oceanic tuna fishery. Retained species and bycatch species for all gears incompletely characterized	Currently there is 100% observer coverage for Philippine-flagged vessels fishing in WCPFC-HSP1 and in Pacific Island Countries. Observer coverage for Philippine-flagged vessels operating in Philippine waters is limited, only during the FAD closure and with the help of WPEA funding support. The project work plan for 2017 includes a consultancy for a risk assessment and a risk assessment workshop. The national coordination team is currently searching for qualified international consultants for the risk assessment.	8.4. Comprehensive observer, catch sampling undertaken and risk assessment available for bycatch and ETP species	**On target**
	Vietnam:			
	Data collection on target species initiated under the WPEA project, but coverage incomplete for some fisheries; data not fully incorporated in regional assessments	Annual catch estimates workshops (VTFACE) have been conducted in conjunction with a data collection review workshop.	8.5. Annual total catch estimates produced and biological data collected for national and/or regional stock assessment of target tuna species	**Marginally on target**
	Limited research on retained/bycatch species conducted but not regularly studied	Bycatch data are collected to some degree. Reportedly a risk assessment for bycatch and retained species was conducted under the FIP managed by WWF.	8.6. Information for risk assessment collected of retained and bycatch species and assessments undertaken	**Marginally on target**
	Research surveys using two gears undertaken - no national stock assessment currently available but planned	Research Institute for Marine Fisheries conducted stock assessment for not only tuna other small pelagic and demersal species for the entire country. The model used for the assessment is reportedly different from what is advocated by WCPFC.	8.7. National level stock assessments of target tuna undertaken	**Marginally on target**

Indicator 8: (a) Integration of data from oceanic tuna fisheries in Indonesia, Philippines and Vietnam into regional assessments of target tuna species; (b) Sub-regional/national assessments for target species; regular national assessments of target species; (c) Documentation and risk assessment of retained species and bycatch, including ETP species, in all fisheries/gears.				
	Baseline	**Midterm Status**	**End Target**	**Midterm Assessment**
Date:	**2013**	**March 2017**	**October 2017**	

Outcome 2.4: Ecosystem Approach to Fisheries Management (EAFM) guiding sustainable harvest of the oceanic tuna stock and reduced bycatch of sea turtles, sharks and seabirds	
Progress towards achieving Outcome 2.4 is rated as:	**Moderately Satisfactory**

Sub-regional and National:

With respect to the target of applying ecosystem models to the EAS LME, information included in the project document indicates that preliminary ecosystem models, e.g., SEAPODYM[8], are available for the POWP LME, but had not yet been applied in a regional management context. The brief description of Outcome 2.4 included in the project document mentions that this outcome was envisaged to lead to application of ecosystem models to EAS, but there were no specific activities designed for this, and there was no separate line item in the indicative project budget to cover the costs for a sub-regional modelling task. By midterm, there has been no activity implemented with respect to applying ecosystem models at a sub-regional scale.

With regard to applying EAFM at the national scale, sites have been proposed in Indonesia and the Philippines, but not yet in Vietnam. For each of the three beneficiary countries, this will be the first time EAFM is applied to oceanic tuna fisheries. Allocation has been made in the 2017 workplan, but time is running and if the EAFM pilots are eventually implemented, the available time for monitoring, interpretation, and reporting is limited. This makes application of mitigation measures recommended as a result of the EAFM pilots unlikely.

Indicator 9: (a) Application of ecosystem modelling to EAS EEZs to complement those for POWP LME and EEZs; (b) Incorporation of EAFM principles in national tuna management plans; (c) Pilot scale application of EAFM for oceanic species at selected sites/fisheries; (d) Reduction of bycatch of endangered, threatened and protected (ETP) species, such as sea turtles, sharks and seabirds				
	Baseline	**Midterm Status**	**End Target**	**Midterm Assessment**
Value:	**Sub-regional:**			
	Ecosystem models available for POWP LME but not EAS	Application of ecosystem models not yet considered in work planning, and no specific line item in the indicative budget outlined in the project document.	9.1. Application of ecosystem models to EAS	**Not on target**
	Indonesia:			
	Limited data collected for the application of ecosystem modelling	The selected area for a field trial is in the Sikka District, NTT Province. The pilot will compare FAD and non-FAD methods on the impacts to ecosystems. This is included in the 2017 work plan. The estimated 3-month timeframe for the trial is rather short.	9.2. Data collection to support application of appropriate ecosystem models	**Marginally on target**
	Some commitment to EAFM exists through community-based activities	An EAFM strategy is envisaged to be formulated based on the results of the field EAFM trial.	9.3. EAFM strategy developed for trial implementation in one FMA	**Marginally on target**
	NTMP lacking EAFM components	The project will support drafting of preliminary text for recommended inclusion into the NTMP.	9.4. EAFM conditions incorporated in revised NTMP	**Marginally on target**
	Turtle bycatch studied and some mitigation measures underway; shark catch and	Certain mitigation measures will be recommended based on the results of the trial in NTT, e.g., the use of FADs. It is	9.5. Mitigation measures applied in selected fisheries; compliance with shark and sea turtle CMMs and NPOAs	**Not on target**

[8] SEAPODYM (Spatial Ecosystem and Population Dynamics Model) is a numerical model initially developed for investigating physical-biological interaction between tuna populations and the pelagic ecosystem of the Pacific Ocean. The Pacific Community (SPC), www.spc.int

Indicator 9: (a) Application of ecosystem modelling to EAS EEZs to complement those for POWP LME and EEZs; (b) Incorporation of EAFM principles in national tuna management plans; (c) Pilot scale application of EAFM for oceanic species at selected sites/fisheries; (d) Reduction of bycatch of endangered, threatened and protected (ETP) species, such as sea turtles, sharks and seabirds				
	Baseline	**Midterm Status**	**End Target**	**Midterm Assessment**
	seabird interactions not well documented; low level of compliance	unlikely that these mitigation measures will be applied within the timeframe of the project. There is no evidence of specific activities addressing compliance with shark and sea turtle CMMs and NPOAs.	committed	
	Philippines:			
	No study of EAFM for oceanic fisheries, legal basis uncertain	An EAFM pilot is tentatively planned in Davao; however, plans and implementation arrangements have not yet been developed and sorted out.	9.6. Potential study area that applies EAFM for oceanic fisheries selected	**Not on target**
	NTMP may lack EAFM compatibility	The NTMP is being revised, with inclusion of EAFM principles. A draft version was submitted for Ministerial review in 2016, and certain issues were requested to be added.	9.7. NTMP revised to include EAFM	**On target**
	Turtle bycatch studies and some mitigation measures underway; shark catch and seabird interactions poorly documented; low level of compliance	Limited direct involvement by the project, except, for example supporting printing of an operations guide that is distributed to fishing operators. Mitigation measures are applied and compliance to various shark CMMs are committed. No evidence of progress with respect to developing Smart Gear.	9.8. Mitigation measures applied; Compliance with shark CMMs committed, Smart Gear developed	**Marginally on target**
	Vietnam:			
	No EAFM application and legal basis uncertain	In March 2017, an internal workshop is planned for developing a pilot EAFM application. Limited time remaining to design and implement the pilot.	9.9. Pilot application of EAFM at one selected site/fishery	**Not on target**
	No inclusion of EAFM in NTMP	No progress towards this target. An activity is planned in 2017.	9.10. Revised NTMP with EAFM included	**Not on target**
	Few data on ETP species and no compliance on bycatch mitigation	NPOAs under development for sea turtles and for sharks. Observer trips were conducted in 2015 (20 trips, including 4 for longline and 16 for handline fisheries) under the FIP; supported by WWF with some support from WPEA project. In 2016, 20 observer trips conducted; similar funding arrangements with WWF.	9.11. Compliance with ETP CMMs and NPOAs	**Marginally on target**
Date:	**2013**	**March 2017**	**October 2017**	

COMPONENT 3: Knowledge sharing on highly migratory fish stocks

Indicative budget in project document: USD 198,318
Actual cost incurred on this Component through 30 December 2016: USD 39,709

Outcome 3.1: Regional knowledge platform established on POWP LME and EAS LMEs shared tuna stocks and associated ecosystems	
Progress towards achieving Outcome 3.1 is rated as:	**Moderately Satisfactory**

Regional:

Progress towards achieving the envisaged results under Outcome 3.1 is rated as moderately satisfactory, partly due to the fact that the Consultative Forum has not been established as outlined in the project document, as described in the following excerpt from project document:

The Consultative Forum would involve a range of national, sub-regional and regional stakeholders, such as PEMSEA, SEAFDEC, ASEAN Tuna Working Group, the ABNJ Program, etc.

The Consultative Forum was expected to be a regional knowledge platform. There has been some involvement with PEMSEA, including an agreement reached in 2016 to have PEMSEA develop and host the project website; however, this does not constitute a Consultative Forum, in the opinion of the MTR consultant.

The project has financed participation by representatives from each of the three beneficiary countries in the PEMSEA EAS Congress held in 2015 in Vietnam, and in the GEF IW Conference held in 2016 in Sri Lanka.

Indicator 10-: (a) Monitoring and knowledge sharing between POPW LME and EAS LMEs for target and associated species and their management; (b) Commitment to information sharing at all levels amongst WPEA members and beyond; (c) Current provincial/FMA resource profiles updated and disseminated;(d) Participation in global knowledge sharing events

	Baseline	Midterm Status	End Target	Midterm Assessment
Value:	Limited information shared via WCPFC mechanisms, meetings and WPEA website and limited outreach to stakeholders at national and sub-regional level	There is an existing WCPFC-WPEA website, although it is not regularly updated. A letter of agreement was signed between the project and the PEMSEA Resource Facility in November 2016, to have PEMSEA develop and host a project website by mid-2017, and also support development of a monitoring and evaluation reporting system. Project deliverables are disseminated to implementation partners, but not to the wider stakeholder community.	10.1. Active website maintained in collaboration with PEMSEA, and commitment to preparation and dissemination of project publication, newsletters and other information products	**Marginally on target**
	No interagency cooperation mechanism such as CF established	The Consultative Forum has not been established as outlined in the project document, with participation by a wide range of regional partners.	10.2. Consultative Forum activity reported	**Not on target**
	Limited participation in knowledge sharing events, including IWLearn.	The project has supported representatives from each of the three beneficiary countries in participating in the PEMSEA EAS Congress in 2015 and the GEF IW Conference in 2016.	10.3. Increased participation in international and (sub-) regional knowledge sharing events (one per year), such as IWLearn and related activities and the EAS Congress	**On target**
Date:	**2013**	**March 2017**	**October 2017**	

3.2.2. Remaining Barriers to Achieving the Project Objective

A considerable amount of work remains in order to achieve the project objective and outcomes. The project has been successful in delivering results with respect to improving data collection and monitoring of tuna stocks. Progress has been limited, however, on some of the cross-cutting aspects included in the design of this second phase; e.g., including climate change assessment and planning, application of market-based approaches, implementation of EAFM, etc. The barriers that are hindering progress on these fronts are namely (1) limited resources and (2) shortfalls in resources. Budget allocation was skewed in favor of supporting continued improvements in data collection and monitoring, and fairly modest amounts were earmarked for the other, more cross-cutting aspects. Certain adaptive management measures have been taken, e.g., down-scaling activities by focusing on compilation of prior studies. There have also been challenges in recruiting qualified experts to carry out some of the planned assignments, including climate change predictions, supply chain analyses, design of EAFM field trials, etc.

In the opinion of the MTR consultant, it would be more prudent to focus on leveraging opportunities on complementary projects and programs and with the private sector. Teaming up with other complementary donor projects, possibly providing incremental financing for particular activities, would be a more efficient use of scarce project resources, allow more substantial scale, and enhance sustainability. The benefits are not only economical, but also with respect to capacity. Similar opportunities should be sought with the private sector. One possible private sector partner is the Asian Seafood Improvement Collaborative (ASIC), which is developing a fisheries improvement protocol that is tailored to the circumstances facing Asian

seafood operators, something that is more attainable in the short-term than, for example, certification through the Marine Stewardship Council (MSC).

3.3. Project Implementation and Adaptive Management

Project Implementation and Adaptive Management is rated as: Moderately Satisfactory

3.3.1. Management Arrangements

Project Board

The Project Board has convened annually, i.e., three times since project inception. The first board meeting was held in Bali on 04-05 November 2014 in Bali, shortly after the final approval of the project document, by Indonesia, on 28 October. The second and third board meetings were held on 11-12 December 2015 and 28-29 October 2016, respectively.

For a regional project, an annual frequency of the board meetings is realistic; however, for a 3-year project, there are limited opportunities for the decision making partners to convene. The MTR consultant suggests having more frequent board meetings, for example via teleconference, over the remaining project implementation timeframe, scheduled at key milestone dates.

Based upon review of the recorded minutes, the board meetings have been well attended, progress reported by national partners, challenges discussed with candor, and the meetings were concluded with the participants agreeing upon a set of recommendations. There were discussions on progress with respect to activities, but there seemed to be a limited focus on achievement toward results according to the project results framework.

GEF Agency (UNDP)

The UNDP Philippines has provided substantive support services to the project, including administrative issues, financial reporting, procurement support, and technical advisory delivered through the regional technical advisor based at the UNDP Regional Bureau for Asia and the Pacific. The continuity of the UNDP staff involved in the project, also during the first phase, adds to the effectiveness and efficiency of the project. UNDP staff and the project manager are in regular contact. The annual project implementation review (PIR) reports have been prepared timely by the project manager, with constructive input from UNDP. Quarterly and annual progress reports, however, have not been completed on time or according to general UNDP guidelines. The midterm assessment of the GEF IW tracking tool has also not been made. Improvement to the quality and delivery of these reports is a work-in-progress; the MTR consultant recommends recruiting a part-time project management assistant to support these reporting requirements. The cofinancing contribution from UNDP by midterm, USD 197,000, is substantially lower than the sum committed a project approval, USD 1,156,000.

Executing Agency

The Executing Agency for this project is the WCPFC. The Executive Director of the WCPFC serves as the Project Director and chairs the Project Board, and the Science Manager of WCPFC is Project Manager. Project management is being delivered as part of the cofinancing contribution from WCPFC; which means that the project manager is juggling the project demands with his high level duties at the commission. The level of effort by the project manager on this regional project, which involves teams in three countries, has been a point of contention, also during the first phase in 2010-2012. The project manager has crafted an annual time management scheme that allows him to devote intensive support for project activities for several months of the year; whereas, certain months are more or less fully dedicated to his duties at the commission, including preparing and facilitating the yearly Science Committee (SC) meetings and also supporting the Technical and Compliance Committee (TCC) meetings.

The project manager is also essentially acting as chief technical advisor as well. The project document contains a terms of reference for a Senior Technical Advisor position; the organogram also indicates a Technical support function for the PIU; however, the indicative project budget did not include a line item for a Senior Technical Advisor. A senior international consultant, who led the project preparation phase, has provided limited support.

The project is funding a part-time finance associate, who is based at the commission and also is providing support to other projects and programmes. A cumulative total of USD 45,000 (USD 15,000 per year for 3 years) was allocated for this position in the indicative budget outlined in the project document. The description of the PIU outlined in the project document also included a Project Knowledge Management Associate, and USD 45,000 was allocated in the indicative budget for this position. During the inception workshop, the project steering committee agreed, as a cost saving measure, to explore the possibility of having PEMSEA providing knowledge management support, including developing and hosting a project website. There has been some progress in this regard, but rather late in the project implementation timeframe. A USD 45,000 grant letter was issued on 23 November 2017 from WCPFC-WPEA to PEMSEA Resource Facility. The activities included in the grant agreement include developing and hosting a website based WPEA project portal, which is slated to be linked to the SEAKnowledge Bank currently being managed by the PEMSEA Resource Facility. Other activities include design, develop, and implement a monitoring and evaluation reporting system; facilitate preparation of quarterly and annual project progress reports; and to facilitate preparation and dissemination of project reports and knowledge products.

3.3.2. Work Planning

There were significant delays in starting up the project. Following endorsement in May 2014 by the GEF CEO, the national government partners from the three beneficiaries approved the project document, with the last signature on 28 October 2014 by Indonesia. Subsequent internal approval and project registration processes in Indonesia and Vietnam extended for nearly an additional year.

Work planning has been participatory and integrated with cofinancing contributions. National coordinators are preparing cost proposals for each of the activities planned for the subject year. The cost proposals itemize requested funding from the project and also indicate financing from national programs or other sources. The project manager reviews each activity level cost proposal, discusses the details with the national coordinators, and once agreement is reached, the proposal is recommended for funding.

While work planning has been detailed and closely checked against the indicative budget and work plan outlined in the project document, the envisaged results, specifically the end of project targets are not well integrated into the process. This is partly due to certain shortcomings with respect to validation of the indicators, targets, baseline figures but generally the results framework has not effectively being used as a project management tool.

There is an indication in the 2016 PIR report that certain adjustments and clarifications were made to the results framework during the inception workshop, but the proposed revisions have not been recorded in the PIR reporting files.

3.3.3. Finance and Cofinance

Financial Expenditures

By midterm, defined as 31 December 2016, USD 1,006,021 or 45% of the USD 2,233,578 GEF implementation grant had been expended, as broken down below **Exhibit 18**.

Exhibit 18: Actual Expenditures through midterm

Actual Expenditures by Midterm* (USD)					GEF Grant
Outcome	2014	2015	2016	Total	Prodoc Budget
Outcome 1	5,569	103,556	202,460	**311,585**	700,000
Outcome 2	19,799	215,302	333,578	**568,679**	1,228,899
Outcome 3	0	11,945	27,764	**39,709**	198,318
Project Management	22,435	24,628	38,940	**86,002**	106,361
Unrealized Loss	0	34	48	**81**	0
Unrealized Gain	0	-34	-1	**-35**	0
Total	**47,802**	**355,431**	**602,788**	**1,006,021**	**2,233,578**

Figures in USD; Source: Combined delivery reports (CDR), provided by UNDP

*Midterm defined as project start 27 Oct 2014 through 31 Dec 2016

Activities and expenditures were limited in 2014, considering the project document was approved by the beneficiary countries in October of that year. Financial delivery in 2015 was better, with USD 355,431, or 57% expended of the USD 624,367 earmarked in the 2015 annual work plan, but activities were also constrained due to the delays in starting up the projects in Indonesia and Vietnam. Spending was most efficient in 2016, with a financial delivery of 86%, or USD 602,788 expended of the USD 703,831 annual work plan for that year.

Cumulative project management costs are USD 86,002, or 8.5% of the total USD 1,006,021 spent by midterm. The ratio of project management costs to total costs was higher in the first 2 years, 2014 and 2015, when substantive activities were limited and/or delayed. Based on the breakdowns itemized in the combined delivery reports, a large proportion of project management costs are allocated for tickets and daily subsistence allowance.

A financial audit for calendar year 2016 was under preparation at the time of the MTR, and the audit report was unavailable at the time of submitting the MTR report. Based on UNDP Philippines policy, the threshold for triggering an audit is annual expenditures exceeding USD 350,000. The cumulative expenditures for calendar year 2016 were USD 602,788, which exceeds this threshold; in fact, the amount spent in 2015, USD 355,431 also exceeds the threshold.

The purchase of assets has been limited on this project, primarily including information technology (IT) equipment.

Cofinancing

Cofinancing contributions that have been realized by midterm amount to USD 15,250,425, which is 77% of the USD 19,859,525 committed at project approval. Midterm cofinancing contributions are itemized below and compiled in detail in **Annex 6**.

- UNDP (GEF Agency) In-kind cofinancing contributed from UNDP by midterm amounts to USD 197,000, which is 17% of the USD 1,156,000 committed at project approval.
- Indonesia (National Government): in-kind cofinancing contributed from MMAF-DGCF by midterm amounts to USD 1,180,000, which is 91% of the USD 1,300,000 committed at project approval.
- Indonesia (National Government): in-kind cofinancing contributed from MMAF-RCFM by midterm amounts to USD 1,224,000, which exceeds the USD 1,200,000 committed at project approval.
- Philippines (National Government): grant cofinancing contributed from BFAR by midterm amounts to USD 2,595,117, which is 67% of the USD 3,892,675 committed at project approval.
- Philippines (National Government): in-kind cofinancing contributed from NFRDI by midterm amounts to USD 2,890,567, which is 67% of the USD 4,335,850 committed at project approval.
- Vietnam (National Government): grant cofinancing contributed from D-FISH by midterm amounts to USD 681,634, which is 68% of the USD 1,000,000 committed at project approval.
- Vietnam (National Government): in-kind cofinancing contributed from D-FISH by midterm amounts to USD 4,220,000, which exceeds the USD 3,400,000 committed at project approval.
- Vietnam (Civil Society Organization): grant cofinancing contributed from WWF Vietnam by midterm amounts to USD 43,107. These resources have materialized after project approval.
- Regional (Civil Society Organization): grant cofinancing contributed from WCPFC by midterm amounts to USD 75,000, or USD 25,000 per year, which matches the sum committed at project approval.
- Regional (Civil Society Organization): in-kind cofinancing contributed from WCPFC by midterm amounts to USD 2,144,000, which is 67% of the USD 3,200,000 committed at project approval.

The high level of country ownership, partly represented by cofinancing contributions, is one of the key strengths of the project. In fact, the total cofinancing expected by project closure is USD 21,299,526, exceeding the committed sum by 7.25%. Moreover, Cofinancing from sources not identified at project approval is likely considerably higher than reported. For example, CSIRO has been providing support to

Indonesia for development of harvest strategy for tuna fisheries. Following up to a suggestion during the MTR mission, the national coordinator in Vietnam has included cofinancing contributions from WWF Vietnam for their work on a fisheries improvement project (FIP) in the country that is delivering cross-cutting benefits, not only to the private sector actors who are directly involved in the FIP, but also with respect to working towards sustainable management of the tuna fisheries.

The project implementation unit is not tracking cofinancing contributions. The MTR consultant recommends keeping a running tally of cofinancing contributions, and also record contributions that were not indicated at project approval, either from committed cofinancing partners or from others.

3.3.4. Project-level Monitoring and Evaluation Systems

The project monitoring and evaluation (M&E) plan was prepared using the standard GEF template. A separate monitoring or evaluation plan was not included as part of the project document, and there is no evidence that such a plan has been prepared since start of project implementation.

The estimated cost for implementation of the M&E plan, as recorded in the project document, is USD 101,700, which is approximately 4.5% of the USD 2,233,578 GEF implementation grant. The budgeted M&E line items include USD 22,700 for the inception workshop and report, USD 35,000 for the midterm review, USD 35,000 for the terminal evaluation, and USD 9,000 for financial audits (USD 3,000 per year).

The inception workshop was held on 4-5 November 2014, coincident with the first project board meeting. The inception workshop reportedly did include a review of the project results framework, with some clarifications made to the phrasing of the national level indicators and targets. But, revisions were not made to the project results framework. The 2016 PIR report includes the following entry: "*There were several minor changes in some targets in the Project Results Framework during the 2015 Inception Workshop, but these revised targets were not reflected in this On-line 2016 PIR / Development Objective Progress panel*."

The results framework is comprehensive, which is partly expected for a regional project involving three countries and having regional, sub-regional, and national dimensions. Nevertheless, the results framework is rather unwieldly, considering the scale of the project, i.e., 3-year duration and a USD 2.23 million GEF implementation grant. The results framework includes 10 multifaceted indicators, having a cumulative total of 66 end-of-project performance targets.

The project implementation review (PIR) reports are the main M&E tool on the project, and the board meetings have provided opportunities for project partners to be informed and provide strategic guidance. Progress towards results of each outcome is explained in narrative form in the PIR reports; however, details regarding progress towards the individual end targets are not provided. As discussed in Section 3.1.2 of this MTR report, several of the indicators and end targets are unclear, and certain baselines have not been validated. The PIR reports provide a narrative summary of progress towards results for each of the project outcomes, but progress towards the individual end targets is not included. There are a number of quantifiable project results; however, monitoring has been fairly weak and many of the results achieved are insufficiently documented. For example, improvements with respect to compliance to WCPFC CMMs are captured in the annual reports from the TCC meetings. For Indonesia and Philippines, the two beneficiary countries who are full WCPFC members, year on year progress with respect to compliance should be summarized in project progress reports. There are also a number of testimonials included in the WCPFC data and statistics reports that highlight how the quality of the data provided by EAS countries has improved, to a point enabling inclusion into the regional and sub-regional assessments made by SPC. These are significant achievements, but not captured in detail in the project progress reports.

At the national level, there is also room for improvement in project monitoring and evaluation. For example, increases in government funding for data collection, including for enumerators, should be regularly tracked and reported. This would provide verifiable evidence of government commitment, and, in some cases, also point out remaining shortfalls and uncertainties. The need to bolster monitoring and

evaluation has been recognized by the project manager, e.g., as indicated in the following excerpt from the 2016 PIR report:

Regarding project monitoring and evaluation, WPEA AWP was designed to hire one or two country project coordinators who are monitoring the progress of all activities in the country, including i) submission of individual activity proposal and budget, ii) coordinate consultancy contract and meeting preparations, iii) supervising activity outputs such as meeting reports and data submission to WCPFC, and iv) intensively involve in developing AWP and processing and evaluating the outputs of each activity.

The project results framework is not disaggregated according to gender. Certain development objectives are, however, indirectly built into the project results framework. For instance, developing harvest strategies requires insight into not only biophysical factors but also socioeconomic ones. Similarly, preparing climate change adaptation guidelines also will address strengthening the resilience of communities and fishing operators.

Tracking Tools:

The GEF International Waters (IW) tracking tool, relevant for the GEF-5 replenishment cycle, is one of the important M&E tools for the project. The baseline tracking tool outlines a number of process indicators, mostly associated with regional cooperation frameworks and mechanisms. One of the process indicators, "*Management measures in ABNJ incorporated in Global/Regional Management Organizations (RMI) institutional/management frameworks*", was indicated to be not applicable. The MTR consultant recommends reconsidering this position, as several of the Conservation and Management Measures of the WCPFC involve activities in the high seas. In at least one of the three beneficiary countries, Philippines, there are a number of nationally registered commercial fishing companies operating in the high seas, including High Seas Pocket No. 1 (HSP1).

The baseline tracking tool also includes two stress reduction measurements under Local Investment #1; the first one addresses reduction in fishing pressure, with an end target of reduction of catch of endangered, threatened, and protected (ETP) species by 25%, and the second calling for improved monitoring of oceanic tuna fisheries in the EAS and coverage increased by 40%. The midterm tracking tool assessment was not prepared by the time the MTR report was prepared; however, these two indicators are also represented in the project results framework. As discussed in Section 3.1.2 of this MTR report, the baseline figures and end targets were not thoroughly vetted by the time of project approval or at inception. There are no monitoring systems in place to assess reduction in catch of ETP species, and the term monitoring "coverage" is unclear, and, therefore, the 40% end target for this indicator is also difficult to assess.

The midterm assessment of the tracking tool had not been prepared by the time the MTR report was completed.

3.3.5. Stakeholder Engagement and Partnerships

There is a core group of stakeholders that the project has maintained since the first phase started in 2010: the national and subnational fisheries management agencies and institutions in the three beneficiary countries. This is unsurprising, as the project is a fisheries initiative. The project has facilitated involvement of key national, sub-regional, and regional stakeholders, through arranging stakeholder workshops, supporting participation in WCPFC SC and TCC meetings, and funding participation in regional and global conferences. These have been effective platforms for enhancing regional and sub-regional stakeholder cooperation.

Private sector operators and associations of fishing companies have been regularly invited to project stakeholder workshops. And, there has been some direct involvement, e.g., in Vietnam as part of the fisheries improvement project managed by WWF Vietnam. The specific lists of private operators listed in the project document have not been particularly followed up on, and there is no evidence of facilitating an increase in involvement by 5 companies in each country, as called for in the project results framework.

The expanded scope of the second phase of the WPEA project, as reflected in the long list of stakeholders indicated in the stakeholder engagement discussion of the project document, calls for broader stakeholder

engagement than during the first phase. For aspects such as climate change adaptation, engaging with relevant enabling stakeholders, including the Ministry of Environment officials in the beneficiary countries has not materialized as envisaged. The national coordination teams are largely unfamiliar with Ministry of Environment efforts with respect to adaptation strategic planning. Incorporating climate change risks associated with tuna fisheries management would be substantive additions to the national level plans and strategies.

At the programme level[9], there have been some recent positive developments with respect to collaboration with the program manager, PEMSEA Resource Facility. For example, WCPFC issued a USD 45,000 grant to the PEMSEA Resource Facility on 23 November 2016, for development and implementation of a WPEA project portal and monitoring and evaluation reporting system. But, there is no evidence of coordination with other projects and activities currently underway in the program. There is also limited evidence of the project working towards developing partnerships with other complementary projects and programmes, in order to leverage synergies and enhance the prospects for sustaining project results after GEF funding ceases. This was an issue highlighted during the project review process. Some examples of complementary projects and programs include, but are not limited to the following:

- ✓ FAO-GEF Programme on Global Sustainable Fisheries Management and Biodiversity Conservation in the Areas Beyond National Jurisdiction (ABNJ)
- ✓ World Bank-GEF Ocean Partnerships for Sustainable Fisheries & Biodiversity Conservation
- ✓ UNDP-GEF Pacific Islands Oceanic Fisheries Management Project (PIOFMP)
- ✓ Coral Triangle Initiative (CTI), the EAFM Working Group

There are other projects and programs operating at the national level, including USAID supported Smart Seas project in the Philippines.

3.3.6. Reporting

The project has progressed largely according to the set of activities outlined in the project document, but there have been a few adaptive management measures implemented, mostly with respect to rationalizing budget allocation for certain project activities and with regard to insufficient expertize. The 2016 PIR report contains the following entry:

For adaptive management in the WPEA project, two barriers were typically identified: one is insufficient budget and the other is insufficient expertise. Compared with the scope of work related with i) climate change issues, ii) market based approaches to sustainable fisheries, iii) establishing reference points and harvest control rules as part of developing a harvest strategy framework, and iv) application of ecosystem approach to fisheries management to tuna fisheries, current budget allocated to this project was minimal. Adaptive management applied to this shortcoming was to conduct a prior research by domestic experts to clearly identify actions to be recommended and to be undertaken to reach the project target.

The basic argument is that the project budget was reduced over the course of the project preparation phase, without proportionate adjustments in the envisaged results. The MTR consultant suggests an alternative adaptive management measure that focuses on developing partnerships with complementary projects and programs, possibly providing incremental funding for certain activities, rather than funding separate, limited scope activities. The likelihood of achieving substantive results seems higher through collaboration with other projects and programs.

There have been two project implementation reviews (PIR) produced to date, one for 2015 and the most recent one for 2016. The 2016 PIR rated the progress toward development objective as satisfactory and progress in implementation also as satisfactory. In the opinion of the MTR consultant, these ratings seem a bit overly optimistic, particularly with respect to the expansive aspects such as climate change adaptation, market-based approaches, EAFM implementation, and harvest strategy development.

[9] The WPEA project is part of the GEF-financed program entitled: "Reducing Pollution and Rebuilding Degraded Marine Resources in the East Asian Seas through Implementation of Intergovernmental Agreements and Catalyzed Investments" (GEF Program ID 4936).

3.3.7. Communications

Internal Communication:

The project has had effective internal communication, facilitated through national level workshops and meetings, and through the annual three-country workshops. The project manager has made numerous individual missions to the three countries, constructively interacting with the national coordinators regarding developing activity proposals and reporting on activity level results.

The project board meetings have provided opportunities for high level communication of project progress.

External Communication:

The project has supported annual national tuna catch estimate workshops in the three beneficiary countries that have been attended by a broad mix of national, subnational, and private sector fisheries stakeholders. The stakeholder workshops convened by the project also have provided opportunities for increased external communication, e.g., through involving private sector operators and subnational authorities.

From a regional perspective, the project has provided representatives from the three beneficiary countries several opportunities for improving external communication; for example, the annual SC and TCC meetings convened by the WCPFC. The project has also funded participation in the UNDP-GEF/PEMSEA hosted East Asian Seas Congress in Vietnam in November 2015, and the GEF IW meeting in Sri Lanka in 2016.

The project has also made advances towards increasing collaboration with PEMSEA with respect to knowledge management.

There are opportunities for improving external communication, e.g., through collaborating with particular enabling stakeholders, such as the Ministry of Environment in the three beneficiary countries, on climate change and biodiversity aspects.

3.4. Sustainability

Sustainability is generally considered to be the likelihood of continued benefits after the GEF funding ends. Under GEF criteria each sustainability dimension is critical, and the overall ranking, therefore, cannot be higher than the lowest one.

Overall:
Likelihood that benefits will continue to be delivered after project closure: Moderately Likely

Supporting Evidence:

+ Indonesia and Philippines are full members of WCPFC; Vietnam remains a cooperating non-member, committed to further advancing towards compliance with relevant WCPFC CMMs.
+ National governments further institutionalize financing for data collection and monitoring.
+ Endorsement of national tuna fisheries management plans in each of the 3 countries.
+ Continued donor support for further improving data quality and compliance, e.g., from the New Zealand Government.
+ Increasing commitment, engagement by the private sector.
+ Sustainable management principles, including EAFM and harvest strategies proposed to be integrated into national tuna management plans.
+ Beneficiary countries committed to other regional and sub-regional priorities, including RPOA-IUU.
− Uncertain government financing data collection in the long-term.
− Time is limited for achieving substantive project results on climate change, EAFM, harvest strategies, and application of market-approaches.

- Synergies with complementary projects and programs have not been developed as envisaged.
- Uncertainties regarding climate change impacts.

3.4.1. Financial Risks to Sustainability

Financial Risks:
Likelihood that benefits will continue to be delivered after project closure: Moderately Likely

National governments have increased financial commitments with respect to monitoring and data collection. Some examples include:

- Indonesia: The Indonesia Government approved establishment of a research installation in the important port city of Bitung. Although a research installation does not have an independent budget as a research center or institute has, there is still an increased likelihood that the government will continue to support the staff at the Bitung installation.
- Philippines: In 2014, the Philippine Government substantially increased funding for data collection; during this second phase of WPEA, the project has not supported the salary of enumerators.
- Vietnam: The Vietnam Government reportedly[10] approved to extend funding for the data collection program, with the second phase scheduled to start in 2018.

Although government support has increased in recent years, continued financing is tenuous and uncommitted over the medium to long term. There is evidence of continued donor support, including from the Government of New Zealand, for a follow-up project entitled "Western Pacific East Asia – Improved Tuna Monitoring"; a synopsis of the proposed project is presented below in **Exhibit 19**.

Exhibit 19: Synopsis of proposed project funded by New Zealand MFAT[11]

Draft Grant Funding Arrangement: Western Pacific East Asia – Improved Tuna Monitoring
Between New Zealand Ministry of Foreign Affairs and Trade (NZ-MFAT) and WCPFC
Activity Code: A12423
Maximum Grant Amount of NZD 4,912,052 (approx. USD 3,425,000)

The Activity will supplement and complement the Sustainable Management of Highly Migratory Fish Stocks in the West Pacific and East Asian Seas (WPEA-SM) project currently undertaken by the Recipient and funded by United Nations Development Programme – Global Environment Fund (UNDP-GEF).

Goal: To improve monitoring and management of tuna catches in Indonesia, Philippines and Vietnam and contribute to reduced Illegal, Unreported and Unregulated (IUU) fishing.

Outcomes:

Long Term:

- National and international co-operation for the management of highly migratory fish stocks in the Western Pacific and East Asian Seas (Indonesia, Philippines and Vietnam) results in the sustainable management of Western and Central Pacific Ocean (**WCPO**) stocks and reduced IUU fishing.

Medium Term:

- Integrated fishery monitoring programmes for tuna species implemented by Philippines, Indonesia and Vietnam which are compliant with WCPFC requirements.
- Uncertainties in WCPO catch and stock estimates reduced.
- Improved national catch estimates and stock assessments inform national fisheries management and harvest strategies.

Short-term:

- Vietnam, Philippines and Indonesia governments provide adequate resources for tuna monitoring and assessments within coordinated and supportive, policy and legal frameworks.
- Strengthened national capacities in fishery monitoring and catch estimation.
- Improved national data and knowledge management systems and processes for catch estimation and stock assessment.

[10] According to testimonial evidence provided during MTR interviews.

[11] New Zealand Ministry of Foreign Affairs and Trade, draft Grant Funding Arrangement, Western Pacific East Asia – Improved Tuna Monitoring, Koru record ID: 42450; CT File: GRA-1043-1; Activity Code: A12423; file date: 31.10.16.

Over the long term, sustainable financing will be required to ensure adequate monitoring is provided. The MTR consultant recommends that relevant stakeholders assess sustainable financing options for supporting monitoring demands.

From a project perspective, available resources are spread thin, e.g., for the aspects on climate change, EAFM pilot implementation, supply chain analyses, and harvest strategies. And, it is uncertain whether national level funding will be available to support continued progress in these issues. Moreover, there have been essentially no synergies developed with complementary projects and programmes, which also diminishes the likelihood that benefits generated on the project will be sustained after GEF funding ceases.

3.4.2. Socioeconomic Risks to Sustainability

Socioeconomic Risks:
Likelihood that benefits will continue to be delivered after project closure: Likely

Tuna fisheries continue to generate substantive economic benefits for EAS countries. Sustainable management of tuna stocks is important at the national and subnational levels, as multitudes of livelihoods are supported through the extensive supply chains. Due to increasing demands being imposed by foreign buyers and, to a lesser but growing degree domestically, private sector actors are also becoming more and more committed to sustainable management of the valuable tuna resources in the region. These advances increase the likelihood that results achieved on the project will be sustained.

Lack of capacity was highlighted as one of the barriers to achieving sustainable management of tuna fisheries in the EAS. The project is contributing to mitigating this shortcoming by funding capacity building activities. There is a question of whether there is sufficient time to impart meaningful contributions to capacity gaps with respect to issues such as climate change adaptation, EAFM, eco-labelling, harvest strategies, etc. can be sufficiently filled by project closure in order to strengthen the requisite enabling environment. Recognizing that GEF funds are meant to be catalytic, with government and private sector partners supporting further investment and scaling up of results achieved on the project, it would be prudent to focus on developing sustainable partnerships that have high prospects of remaining in place after GEF funding ceases.

3.4.3. Institutional Framework and Governance Risks to Sustainability

Institutional Framework and Governance Risks:
Likelihood that benefits will continue to be delivered after project closure: Likely

Two of the three beneficiary countries, Indonesia and Philippines are now full members of the WCPFC, with Indonesia joining in 2013, during the bridging period between the first and second phases of the WPEA project. Vietnam remains a cooperating non-member a commission, and has increasingly made advances towards full compliance with relevant CMMs.

Strengthening sub-regional governance is one of the main aims of the project, and the numerous joint activities, including the annual three-country workshops, have helped forge a long-lasting collaborative sub-regional arrangement. Expectations of the form and structure of the envisaged sub-regional governance are unclear, however. The MTR consultant recommends that a specific governance outcome be articulated and supported over the remaining implementation timeframe.

There are other regional commitments that also enhance the likelihood that EAS countries will work cooperatively towards sustainable ecosystem management of fisheries and marine ecosystems. For example, all three of the beneficiary countries have endorsed the Regional Plan of Action (RPOA) to Promote Responsible Fishing Practices including Combating Illegal, Unreported and Unregulated Fishing. And, Indonesia and the Philippines are members of the Coral Triangle Initiative (CTI), and Vietnam has associated country status.

At the national level, the project has facilitated the completion National Tuna Management Plans (NTMPs); and each of the NTMPs have been endorsed through Ministerial decree. By the end of this second phase of

the project, each of the three beneficiary countries has plans to incorporate climate change, EAFM, and harvest strategy objectives into the NTMPs. These expanded plans would further enhance the institutional framework and governance structures required to achieve sustainable management of highly migratory tuna stocks.

3.4.4. Environmental Risks to Sustainability

Risks:
Likelihood that benefits will continue to be delivered after project closure: Moderately Likely

The regional marine ecosystems, including the EAS, are facing increasing stress as a result of the expected impacts of climate change. Donors and national governments have been investing heavily in improving knowledge and developing and implementing adaptation strategies.

Improving climate change predictive capacities and developing adaptation strategies focused on sub-regional tuna fisheries are part of this project, specifically under Outcomes 1.2 and 1.3, but also cutting across the other components as well. Limited resources were allocated for climate change analyses and strategic planning, and there has not been significant progress by midterm. As with other cross-cutting aspects on this project, developing collaborative partnerships might yield more substantive results than implementing limited-scope activities.

4. Conclusions and Recommendations

4.1. Conclusions

Progress towards results has been affected by the delayed start of project activities in Indonesia and Vietnam. The project endorsed by the GEF CEO on 12 May 2014, national governments approved the project document on 27 October – the official start date of the project – but it took nearly another year for registration of the project and internal, domestic approval processes in Indonesia and Vietnam. As a follow-up project, the allocated 3-year implementation timeframe was seen as a reasonable amount of time considering implementation arrangements were in place from the first phase and a certain degree of momentum had been achieved. The second phase, however, contains aspects that were not part of the first phase, including climate change analysis and planning, pilot implementation of ecosystem approach to fisheries management (EAFM), facilitation of market-based approaches, and development of harvest strategies. The level of preparedness for these aspects was generally low, rendering achievement of project outcomes over the 3-year timeframe an even larger challenge.

Stakeholder engagement has primarily remained within the core group of fisheries stakeholders that has been fostered since the first phase of the project. As a fisheries project, this is understandable. The addition of cross-cutting aspects in the second phase, however, called for broader stakeholder involvement. One example of this is climate change. There has been limited interaction with the Ministry of Environment or other relevant stakeholders in the three countries on climate change. Similarly, the inherent synergies with conservation focused stakeholders on EAFM and harvest strategies have not materialized. Private sector operators and associations have been regularly invited to project meetings and workshops, but there is limited evidence of development of collaborative partnerships, e.g., for Outcome 2.2, “Adoption of market-based approaches to the sustainable harvest of tunas”.

There have also been limited synergies with other complementary donor projects and initiatives, including, but not limited to the FAO-GEF Programme on Global Sustainable Fisheries Management and Biodiversity Conservation in the Areas beyond National Jurisdiction (ABNJ), the World Bank-GEF Ocean Partnerships for Sustainable Fisheries & Biodiversity Conservation, and EAFM Working Group of the Coral Triangle Initiative. Collaboration with other projects and programs was a key issue raised during the project review process. Partnering with complementary projects, possibly providing incremental funding for specific activities might be a more sustainable implementation strategy than implementing relatively small actions, such as funding prior studies and limited scope field trials.

On several fronts, the project has generated substantive results. Monitoring and evaluation, however, has been fairly weak. The results achieved have not been fully captured or interpreted, and the project monitoring and evaluation systems are not being sufficiently utilized to guide project management. There is also no evidence of assessment of performance against program level objectives.

Based on the findings of the MTR, it is unlikely that several of the envisaged results will be achieved by the planned closure date of 27 October 2017.

4.2. Recommendations

No.	Recommendation
1.	**Provide a no-cost time extension to allow more substantive achievement of project outcomes.** Project activities were late to start in Indonesia and Vietnam, and progress on some of the cross-cutting project components, such as climate change adaptation assessment and planning, EAFM pilot implementation, application of market-approaches, etc., are behind schedule in each of the three beneficiary countries.
2.	**Identify and operationalize strategic partnerships with complementary projects and programs**. There have been limited synergies with other complementary projects and programmes, at both regional and national levels. A review of relevant complementary projects and program should be made, and specific strategic joint activities developed and implemented.
3.	**Coordinate with Ministry of Environment stakeholders regarding climate change and biodiversity conservation activities**. The project teams in the three beneficiary countries should develop collaborative working arrangements with Ministry of Environment officials in regard to outcomes involving strengthening climate change predictive and adaptive capacities, and reducing bycatch of endangered, threated, and protected (ETP) species.
4.	**Explore the feasibility of collaborating with the private sector on application of market-based approaches**. Regarding adoption of market-based approaches (Outcome 2.2), it would be advisable to assess the feasibility of collaborating with the private sector. One potential partner is the Asian Seafood Improvement Collaborative (ASIC), which is an industry-driven initiative including operators from Indonesia, Philippines, Vietnam, and Thailand. This type of collaboration would be consistent with the regional context of the project, and might also lead to more constructive engagement with the private sector.
5.	**Strengthen sub-regional collaboration on certain technical activities**. Cross-collaboration among the three beneficiary countries in EAFM, harvest strategy, climate change predictive and adaptive capacities, and risk assessment should be increased. This might be a more efficient use of project resources, further cultivates sub-regional collaboration, and also addresses the transboundary context of sustainable management migratory tuna stocks in the EAS.
6.	**Carry out a study on the viability of the sub-regional governance end target**. As a regional project funded under the GEF International Waters focal area, transboundary cooperation is a key corporate objective. The expectations regarding the sub-regional governance end target are unclear. It would be advisable to study the viability of the envisaged sub-regional governance arrangements, structure, and functionality, and assessing the added value of such a governance mechanism with respect to the sub-regional management of migratory tuna stocks.
7.	**Improve project monitoring and evaluation.** Recommended improvements include, but are not limited to the following: a. Critically review the project results framework, rationalize and validate baseline figures and end targets. b. Develop an updated M&E plan and assign responsibilities among the project team, including the national coordinators. c. Integrate data and information contained within WCPFC reports into the M&E plan. d. Review the baseline GEF IW tracking tool and carry out a midterm assessment. e. Integrate programmatic objectives into the project monitoring and evaluation systems.

No.	Recommendation
8.	**Provide project management support.** Budget permitting, a project management assistant should be recruited to support project management, including assisting in preparation of project progress and monitoring reports, liaising with liaising with complementary projects and programmes. The grant agreement with the PEMSEA Resource Facility issued in November 2016 by the project partly fills this gap.
9.	**FUTURE DIRECTIONS:** **Assess sustainable financing alternatives for maintaining adequate levels of data collection**. Government funding streams for data collection structures, including enumerators, samplers, etc., remain tenuous and/or uncommitted in the 3 beneficiary countries. It would be advisable to assess sustainable financing alternatives.
10.	**FUTURE DIRECTIONS:** **Improve monitoring systems for assessing reduction in ETP species.** The project set a quantifiable target for reduction in bycatch of ETP species, but there are no monitoring systems in place. Country reports to the WCPFC contain some narrative entries on bycatch, but there seems to be a need to develop specific monitoring systems for select ETP species.

ANNEXES

Annex 1: MTR Itinerary

Date	Location	Description
Sunday, 5 March	Hanoi	MTR consultant arrives to Hanoi
Monday, 6 March	Hanoi	Opening meeting, Vietnam Group meeting with D-FISH staff Interview with Deputy Director of D-FISH Interview with National Coordinator
Tuesday, 7 March	Field visit to Nha Trang	Field visit to Nha Trang port Observe data collection, interview enumerators Interview private sector partners Group meeting with Provincial Fisheries Department staff
Wednesday, 8 March	Travel from Hanoi to Jakarta	MTR consultant travels from Hanoi to Jakarta
Thursday, 9 March	Jakarta	Participate in National Project Stakeholder Workshop Hold individual interviews with participants
Friday, 10 March	Jakarta	Participate in National Project Stakeholder Workshop Hold individual interviews with participants Interview with National Coordinators
Saturday, 11 March	Jakarta	Interview with Project Manager
Sunday, 12 March	Travel from Jakarta to Manila	MTR consultant travels from Jakarta to Manila
Monday, 13 March	Manila	Interview with National Coordinator Interview with BFAR Observer Program Coordinator
Tuesday, 14 March	Travel from Manila to Davao	Interviews with National and Subnational (Regions 11 and 12) officials from BFAR and NFRDI
Wednesday, 15 March	Travel from Davao to General Santos City	Interview with Executive Director of SFFAII Interview with National Coordinator
Thursday, 16 March	Manila	Field visit to GenSan port; observe data collection and interview enumerators Travel from General Santos City to Manila Prepare for debriefing Interview UNDP-GEF RTA MTR debriefing with UNDP
Friday, 17 March	Manila	End of mission, MTR consultant departs Manila

Annex 2: List of Persons Interviewed

Name	Gender	Organization	Position
SungKwon Soh	Male	WCPFC	Project Manager / Science Director WCPFC
Jose Erezo Padilla, Ph.D.	Male	UNDP Regional Bureau for Asia and the Pacific	UNDP-GEF Regional Technical Advisor, International Waters
Michael Joseph Jaldon	Male	UNDP Philippines	Programme Associate Inclusive and Sustainable Development Unit
Dr John Hampton	Male	SPC	Chief Scientist & Deputy Director FAME (Oceanic Fisheries)
Vietnam:			
Nguyen Phu Quoc	Male	Department of Capture Fisheries (DECAFISH), Directorate of Fisheries	Deputy Director
Pham Viet Anh	Male	DECAFISH	National Tuna Coordinator
Nguyen Van Do	Male	DECAFISH	Official
Nguyen Van Minh	Male	Department of Conservation and Aquatic Resources Development	Official
Ngo Thi Thanh Huong	Male	Department of Science & Technology and International Cooperation	Official
Nguyen Van Nam	Male	Research Institute for Marine Fisheries	Researcher
Tran Hai Yen	Female	DECAFISH, Administrative section	Project accountant
Nguyen Trong Chanh	Male	Sub-Department of Fisheries Khanh Hoa (Sub-DECAFISH)	Director
Vo Khac En	Male	Sub-Department of Fisheries Khanh Hoa (Sub-DECAFISH)	Deputy Director
Lu Thanh Phong	Male	Sub-Department of Fisheries Khanh Hoa (Sub-DECAFISH)	Head of Capture Fisheries Section
Huynh Dac Tri	Male	Thinh Hung Co. Ltd. (Tuna Processing Factory)	Vice President
Olivier Caron	Male	Sea Delight International (Canada)	Canada & International Sales
Indonesia:			
Saut Tampubolon	Male	MMAF	National Coordinator, Deputy Director of DGCF
Fayakum Satria	Male	MMAF	National Coordinator, Deputy Director of RCFMC
Irna Sari	Female	USAID Sustainable Ecosystems Advanced (SEA) project	Sustainable Fisheries Advisor
Philippines:			
Elaine Garvilles	Female	NFRDI - BFAR	Project Leader (WPEA), National Coordinator
Marlo Demo-os	Male	BFAR – Fisheries Observer Program	Staff Scientist
Atty. Benjamin FS Ta bios, Jr.	Male	BFAR – Central Office	Asst. Director for Admin. Services
Noel Barut	Male	WPEA Project	Focal Person
Sammy Malvas	Male	BFAR 12	Regional Director
Laila Emperua	Female	BFAR-NSAP 12	Project Leader
Fatma Idris	Female	BFAR 11	Regional Director
Jose Villanueva	Male	BFAR – NSAP 11	Project Leader
Rosanna Bernadette Contreras	Female	SOCSKSARGEN Federation of Fishing & Allied Industries, Inc. (SFFAII)	Executive Director
Samuel Sumagaysay	Male	BFAR-NSAP, Region 12	Enumerator
Ma. Zillah Bacongco	Female	BFAR-NSAP, Region 12	Enumerator

Name	Gender	Organization	Position
Ma. Dolorosa Hurtado	Female	BFAR-NSAP, Region 12	Enumerator
Raymond Biaca	Male	BFAR-NSAP, Region 12	Enumerator
Leorim Jade Abunas	Male	BFAR-NSAP, Region 12	Enumerator
Eugene Tusacano	Male	BFAR-NSAP, Region 12	Enumerator
Ronald Timcang	Male	BFAR-NSAP, Region 12	Enumerator
Vergel Guadal Quiver	Male	BFAR-NSAP, Region 12	Enumerator
Joeven Velario	Male	BFAR-NSAP, Region 12	Enumerator

Annex 3: List of Documents Reviewed

1. Project Identification form (PIF)
2. GEF STAP Review Sheet, 16 May 2013
3. GEF Review Sheet, 05 May 2014
4. Project Document
5. UNDP Environmental and Social Screening results (included in project document)
6. Baseline GEF-5IW tracking tool
7. Program Framework Document (PFD) for program entitled "Reducing Pollution and Rebuilding Degraded Marine Resources in the East Asian Seas through Implementation of Intergovernmental Agreements and Catalyzed Investments (GEF Program ID: 4936)
8. Project inception report (Nov 2014)
9. Project Board meeting minutes (Nov 2014, Dec 2015, Oct 2016)
10. Combined delivery reports for years 2014, 2015, 2016
11. Annual work plans
12. Project Implementation Review (PIR) reports
13. Conservation and Management Measures (CMMs) and Resolutions of the Western and Central Pacific Fisheries Commission (WCPFC), compiled 2 Mar 2017 – 16:47
14. National Tuna Management Plans (Indonesia, the Philippines, Vietnam)
15. Annual Report to the WCPFC, Part I: Information on Fisheries, Research, and Statistics (for year 2015 for the three beneficiary countries)
16. Report (Philippines): Pilot Test of MARLIN (Electronic Logsheet) Operation in High Seas Pocket 1, WCPFC-SC12-IP-078, Aug 2016
17. Report (Indonesia): Prior Study on Sustainability / Certification (undated)
18. Report (WCPFC): Scientific Data Available to the Western and Central Pacific Fisheries Commission, August 2016, WCPFC-SC12-2016/ST WP-2 (rev. 1)
19. Report (WCPFC): Twelfth Regular Session of the Technical and Compliance Committee, Pohnpei, Federated States of Micronesia, 21-27 September 2016 (report dated 17 November 2016)
20. Report (WCPFC): Thirteenth Regular Session of the Commission, Denarau Island, Fiji, 5-9 December 2016, Summary Report
21. New Zealand Ministry of Foreign Affairs and Trade, draft Grant Funding Arrangement, Western Pacific East Asia – Improved Tuna Monitoring, Koru record ID: 42450; CT File: GRA-1043-1; Activity Code: A12423; file date: 31.10.16
22. Letter, 23 November 2016, from WCPFC-WPEA to PEMSEA Resource Facility: Grant for the development and implementation of a WPEA project portal and monitoring and evaluation reporting system
23. UNDP Strategic Plan 2014-2017
24. GEF-5 International Waters Strategy

Annex 4: MTR Evaluation Matrix

Theme	Indicators	Sources	Methodology
Project Strategy			
Project Design:	Project design remains relevant in generating global environmental benefits.	GEF strategies, national and subnational development plans, PIF, project document, CEO endorsement request, reviews, PIRs	Desk review, interviews
Results Framework:	Results framework fulfils SMART criteria and sufficiently captures the added value of the project.	Strategic results framework, tracking tools, inception report, PIRs	Desk review, interviews
Mainstreaming:	Broader development objectives are represented in the project design.	Project document, social and environmental social screening procedure, gender action plan, work plans for community activities, training records, monitoring reports of community activities, Project Board meeting minutes, stakeholder feedback during MTR missions	Desk review, interviews, field visits
Progress towards Results			
Progress towards Outcomes Analysis:	Progress towards project results framework.	PIRs, self-assessment reports by PIU, annual reports, monitoring reports, output level deliverables, midterm tracking tool, stakeholder feedback during MTR missions	Desk review, interviews, field visits
Remaining Barriers to Achieving the Project Objective:	Delivered outputs address key barriers.	PIRs, annual reports, Project Board meeting minutes, stakeholder feedback during MTR missions	Desk review, interviews, field visits
Project Implementation & Adaptive Management			
Management Arrangements, GEF Partner Agency:	Lessons learned on other projects incorporated into project implementation.	PIRs, Project Board meeting minutes, audit reports, feedback obtained during MTR missions	Desk review, interviews
Management Arrangements, Executing Agency/Implementing Partner:	Effective management response to recommendations raised by Project Board.	PIRs, Project Board meetings, feedback obtained during MTR missions	Desk reviews, interviews
Work Planning:	Milestones within annual work plans consistent with indicators in strategic results framework.	Project document, multi-year work plan, annual work plans, PIRs, financial expenditure reports, feedback obtained during MTR missions	Desk review, interviews
Finance and Cofinance:	Efficient financial delivery.	Financial expenditure reports, combined delivery reports, audit reports, Project Board meeting minutes, PIRs, midterm cofinancing report, feedback obtained during MTR missions	Desk review, interviews
Project-level Monitoring and Evaluation Systems:	Timely implementation of adaptive	PIRs, midterm tracking tools, monitoring reports, annual progress reports, self-assessment reports by PIU,	Desk review, interviews, field visits

Theme	Indicators	Sources	Methodology
	management measures.	Project Board meeting minutes, feedback obtained during MTR missions	
Stakeholder Engagement:	Effective stakeholder engagement.	Stakeholder involvement plan in the project document, meeting minutes, records of exchange visits, stakeholder feedback obtained during MTR missions	Desk review, interviews, field visits
Reporting:	Adaptive management measures implemented in response to recommendations recorded in PIRs.	PIRs, annual progress reports, midterm tracking tools, output level project deliverables, feedback obtained during MTR missions	Desk review, interviews
Communication:	Project information is effectively managed and disseminated.	Internet and social media, press releases, media reports, statistics on awareness campaigns, evidence of changes in behavior, feedback obtained during MTR missions	Desk review, interviews, field visits
Sustainability			
Risk Management:	Timely delivery of project outputs.	Project document, risk logs, PIRs, Project Board meeting minutes, feedback during MTR missions	Desk review, interviews
Financial Risks to Sustainability:	Financial risks	Budget allocations, progress reports.	Desk review, interviews, field visits
Socio-Economic Risks to Sustainability:	Socioeconomic risks	Socioeconomic reports, monitoring reports.	Desk review, interviews, field visits
Institutional Framework and Governance Risks to Sustainability:	Institutional framework and governance risk	Institutional reform, governance structures functioning, progress reports, evidence of policy reform	Desk review, interviews, field visits
Environmental Risks to Sustainability:	Environmental risks	Budget allocations for environmental monitoring, progress reports, training record, statistics on awareness campaigns	Desk review, interviews, field visits

Annex 5: Progress towards Results

Assessment Key:
Achieved or on target to be achieved
Marginally on target to be achieved
Not on target to be achieved
Unable to assess

Indicator	Baseline	End of Project target	MTR Status reported by PIU	MTR Assessment	Midterm Assessment Justification
Objective: To improve the management of highly migratory species in the entire West and Central Pacific (WCPF) Convention area by continuing to strengthen national capacities and international participation of Indonesia, Philippines and Vietnam in WCPF Commission activities.					
1. (a) Status of harvesting of shared oceanic tuna stocks in the WCPF Convention area in the EAS vis-à-vis sustainability criteria set by the WCPF Convention. (b) Application of market-based approaches to sustainable harvesting of oceanic tunas	**Regional:** WCPF Convention and its adopted Conservation and Management Measures (CMMs) on e.g. IUU fishing, bycatch	**Regional:** Sustainable harvesting of oceanic tunas in the EAS, including:	**Regional:**	**Regional:**	**Regional:**
	Current coverage in average of the three countries fishery monitoring is around 15%	Improved monitoring of oceanic tuna fisheries in the EAS and coverage increased to 40%	Tuna monitoring ports: **Indonesia** • WPEA-covered ports (7 ports now from 4 ports in 2014): Bitung, Kendari, Sodohoa, Sorong, Majene, Gorontoalo, Maumere • Other Non-WPEA ports covered by other agencies (8 ports): Halmahera, Lombok, Kupang, Bone, Toli-Toli, Ambon, Buru, Seram • The seven WPEA ports are the major tuna landing ports **Philippines** • Full coverage of all tuna landing sites by the government **Vietnam** • There are nine tuna landing provinces and each province has several tuna landing sites: Binh Dinh, Phu Yen, Khanh Hoa, Ba Ria-Vung Tau, Binh Thuan, Ninh Thuan, Quang Ngai, Quang Nam and Da Nang • Tuna fisheries are monitored by data collection through WPEA sampling protocol. Recently Phu Yen province suspended the continued use of	**On target**	Anecdotal evidence that monitoring coverage has increased to 40%. Baseline figure of 15% not validated, and the term "monitoring coverage" is unclear.

Indicator	Baseline	End of Project target	MTR Status reported by PIU	MTR Assessment	Midterm Assessment Justification
			WPEA sampling protocol but they apply FAO protocol. Coverage rate needs to be clearly defined but it is assumed that the total coverage level in monitoring tuna fisheries in the three countries seems to be already over 40% in general. No budget is allocated to implement any sub-regional level activities		
	Little compliance with bycatch reduction requirement	Reduction of catch of ETP species by 25%	Not assessed yet. No budget is allocated to assess this target.	**Not on target**	There are no monitoring systems in place to support assessment of this indicator. This target is also not reflected in the NTMPs.
	No reflection of climate change in the current management framework	Enhanced adaptive capacity to manage oceanic fisheries in the EAS under climate change conditions through revision of management	**Each of the three countries conducted:** 1. Prior studies on the impacts of climate change on tuna fisheries and review workshops were conducted 2. Convened a Three-country Sub-regional Workshop on the impacts of climate change on tuna fisheries – capacity building and technical input from an international expert 3. Developing guidelines on adaptive management against climate change which will be finalized by the end of the project period 4. The outputs of adaptive management will be incorporated into the national tuna management plan of each country	**Marginally on target**	The project organized a three-country workshop on the impacts of climate change on tuna fisheries. The three beneficiary countries are planning on developing climate change adaptation guidelines and incorporate these into the NTMPs. These activities are planned in 2017; limited time remaining to achieve the envisaged results.
	Tuna supply chains not well documented, no oceanic tuna fisheries in the EAS certified	Progress to possible certification of at least two oceanic tuna fisheries in the EAS, through FIPs	Each of the three countries conducted: 1. Prior study on an overview of market-based sustainability of tuna fisheries including tuna supply chain analysis, certification and traceability issues; and review workshops were conducted – capacity building on the need and implementation of establishing a certification scheme 2. Government-driven or association/industry-driven Implementation of FIPs are on-going in the Philippines and Vietnam 3. Application of certification process to tuna fisheries is up to the decision of industries, which is beyond the scope of this project	**Marginally on target**	FIPs for tuna fisheries are ongoing in each of the three beneficiary countries. There has been limited project involvement, except in Vietnam. There has also been limited progress with respect to supply chain analysis activities.
Outcome 1.1: Improved regional mechanisms for monitoring and assessment of highly migratory fish stocks and IUU fishing in the POWP LME and the EAS LMEs.					

Indicator	Baseline	End of Project target	MTR Status reported by PIU	MTR Assessment	Midterm Assessment Justification
2. **Regional** (WCPF Convention area): Status of participation in WCPFC activities (CMMs, compliance monitoring, MCS etc.) and membership (CCM) **Sub-regional** (Indonesia, Philippines, Vietnam): Establishment of WCPFC/PEMSEA Consultative Forum (CF) to coordinate monitoring of oceanic tuna stocks across EAS LMEs in association with PEMSEA ,WCPFC and others	**Regional:**	**Regional:**	**Regional:**	**Regional:**	**Regional:**
	Close to full participation by Indonesia and Philippines as members; Vietnam not compliant in some aspects and CNM status	All three countries fully compliant with WCPFC requirements, and all relevant CMMs. Improved monitoring of oceanic tuna fisheries in the EAS and coverage increased to 40%	**Compliance with WCPFC** 1. Indonesia is still improving their level of compliance 2. Philippines is mostly complying the WCPFC requirements 3. Vietnam is almost fully complying with WCPFC requests as a Cooperating Non-member. **Fishery monitoring** • This is not a regional issue. It should be a sub-regional issue, which is described in No. 1 above	**Marginally on target**	Compliance levels have improved in each of the three beneficiary countries. Achieving "full" compliance will take time, beyond the lifespan of the project. Anecdotal evidence that monitoring coverage has increased to 40%.
	Sub-regional:	**Sub-regional:**	**Sub-regional:**	**Sub-regional:**	**Sub-regional:**
	Three countries work cooperatively within WPEA project but no coordinating mechanism which includes all fishing entities in SCS and other LMEs	Countries once a year share information which contributes to development of harvest policy for oceanic tunas across the relevant LMEs and within the WCPFC framework	**Development of harvest policy** The project implements a sub-regional 3-country WS once a year, where themes will be agreed among the three countries. 1. 1st WS in 2015: the theme was fish stock assessments at national and sub-regional level 2. 2nd WS in 2016: the theme was the impacts of climate change on tuna fisheries and development of a harvest strategy framework 3. 3rd WS is scheduled in 2017: the agreed theme is to identify areas for cooperation and collaboration among the WPEA countries 4. Therefore, sharing information and developing harvest policy for oceanic tunas among WPEA countries can be one item to be further considered	**Marginally on target**	One of the topics included in the second three-country project workshop was harvest strategy development, and each country is working towards developing harvest strategies. There are no plans for developing sub-regional harvest strategies, e.g., for the EAS LME.
		Project coordinates with the EAS Program through the PEMSEA Resource Facility	**EAS Programme** WPEA countries attend PEMSEA's EAS Congress WPEA Letter of Cooperation with PEMSEA to share PEMSEA Resource Facility, including the development of WPEA project portal and monitoring and evaluation of reporting system.	**On target**	WPEA beneficiary countries attended the PEMSEA EAS Congress in 2015. The project has also signed a letter of cooperation in Nov 2016 with the PEMSEA Resource Facility; which includes developing and hosting a project website, and also developing a monitoring and evaluation system.
3. **National** (common): Formation of	**Indonesia:**	**Indonesia:**	**Indonesia:**	**Indonesia:**	**Indonesia:**

Indicator	Baseline	End of Project target	MTR Status reported by PIU	MTR Assessment	Midterm Assessment Justification
task force to prepare and package information for CF. Comprehensive national databases for all aspects of oceanic tuna fisheries, including logsheet data, port sampling data, vessel register, MCS data, and bycatch. Comprehensive VMS, IUU monitoring and catch certification system in place for each country	National logbook monitoring system gradually being established under PSDKP MMAF, mainly starting to cover large vessels (>30GT) and not fully integrated with fisheries data	Logbook coverage of all commercial gears and fleets improved up to 50% for fishing vessels >30 GT (>50%)	WPEA-covered ports (7 ports now from 4 ports in 2014): Bitung, Kendari, Sodohoa, Sorong, Majene, Gorontoalo, Maumere Other Non-WPEA ports covered by other agencies (8 ports): Halmahera, Lombok, Kupang, Bone, Toli-Toli, Ambon, Buru, Seram The seven WPEA ports are the major tuna landing ports in following 5 FMAs: 713, 714, 715, 716, and 717. The legal foundation of implementation of fishing logbook is the Ministerial Decree No. 48/PERMEN-KP/2014, approved on 17 October 2014. As documented in a January 2017 progress report, logbook implementation in Bitung and Kendari increased from 28.72% and 23.08%, respectively in 2014 to 41% and 69.2% in 2016. Implementation in Kwandang decreased from 100% to 60% over this time period, because of an increase of vessels >30 GT from 3 to 5; the 2 newly registered vessels did not submit logbooks. The expected logbook cumulative coverage by the end of 2017 is expected to be 50%.	**On target**	The legal foundation of implementation of fishing logbook is the Ministerial Decree No. 48/PERMEN-KP/2014, approved on 17 October 2014. The expected logbook cumulative coverage by the end of 2017 is expected to be 50%.
	Species composition by gear by species currently available under port sampling programme covering only FMAs 716 (Bitung), 717 (Sorong) 714 (Kendari); Limited data from surveys by research vessel	Coverage of artisanal fleet landings improved up to 50%; catch of retained and bycatch species well documented. Dependent and independent data available (port sampling, observer, logbook, surveys)	Coverage of artisanal fleet landings is the same as documented in the previous target. Catch data on targeted species and key bycatch species are documented. DGCF: port sampling, observer, logbook, and surveys are regularly carried out. The Observer Program was authorized in May 2016 by WCPFC/PEMSEA. In order to use national observers regionally, an audit of the training program is required; the first step is training of trainers (14 persons) supervised by regional observer coordinators of WCPFC (Mr. Karl Sataisch), scheduled for 10-17 March 2017 in Bitung.	**Marginally on target**	Coverage of artisanal fleet landings is the same as documented in the previous target. Catch data on targeted species and key bycatch species are documented. Port sampling, observer, logbook, and surveys are regularly carried out. The Observer Program was authorized in May 2016 by WCPFC/PEMSEA. There are shortcomings with respect to logbook coverage and quality among small and medium scale fishing operators.
	Statistical data for AW fisheries are available, but biological data and scientific database to verify currently is not available (FMAs 713, 714, 715)	Scientific database for archipelagic fish resources developed and implemented; extend port sampling to cover AW FMAs up to 25%	Database developed starting in 2010, and has been regularly updated and refined (for the second phase of WPEA applied both off line and online data inputs), e.g., including bycatch data. The WPEA project paid for encoders for inputting data into database during this phase of the project Currently, some of industrial fishing associations are adopting the I-Fish database platform which also	**On target**	Database developed starting in 2010, and has been regularly updated and refined (for the second phase of WPEA applied both off line and online data inputs), e.g., including bycatch data. Port sampling coverage within archipelagic waters FMAs is the same as indicated for target 3.1.

Indicator	Baseline	End of Project target	MTR Status reported by PIU	MTR Assessment	Midterm Assessment Justification
			compatible with MMAF database. Regarding port sampling, coverage is the same as indicated for monitoring coverage.		
	VMS and catch certification scheme under development and limited application to deter IUU	VMS and catch certification system in place to address IUU	VMS Scheme was approved through Ministerial Decree, dated 04 June 2014. Catch Certification was approved through Ministerial Decree, dated 29 June 2012. These regulations support efforts to reduce IUU fishing in Indonesia.	**On target**	VMS Scheme was approved through Ministerial Decree, dated 04 June 2014. Catch Certification was approved through Ministerial Decree, dated 29 June 2012. These regulations support efforts to reduce IUU fishing in Indonesia.
	No mechanism in place for regional knowledge sharing on oceanic tuna though CF	National task force in place for packing of information for CF	The third 3-country workshop, scheduled in May 2017 will focus on sub-regional cooperation. Each country will hire a consultant to assess what the key issues for to address in a possible EAS sub-regional governance mechanisms. A national task force will be considered in this process. The WPEA project has also supported country representatives to participate in the annual EAS Congress.	**Marginally on target**	National task force not yet established. The planned three-country workshop planned for May 2017 will cover sub-regional cooperation. A national task force will be considered in this process.
	Philippines:	**Philippines:**	**Philippines:**	**Philippines:**	**Philippines:**
	Current monitoring coverage for small and medium scale tuna fisheries is less than 10% (development of prototype for small scale fisheries)	Monitoring coverage for small and medium scale tuna fisheries improved by 30%	Port sampling activities (NSAP) to monitor tuna landings in various landing areas particularly in major tuna landing areas in the country have increased. From ~60 landing areas monitored in 2010 currently in 2016 we have ~100 landing areas monitored *(based on the data entered in the database)*. Monitoring includes monitoring of small and medium scale tuna fisheries. Specific example: In GSCFC, we have increased the number of enumerators/port samplers employed to monitor tuna landings from 3-4 in 2010 to 9 in 2016. This was realized with increased government financial support realizing the importance of tuna data gathering for fisheries management and compliance to RFMOs (e.g., WCPFC)	**On target**	The approximate 100 landing areas cover at least 30% of the tuna catch, including from small and medium scale operators.
	Current monitoring by VMS limited to PS/RN Phil-flag vessels operating in WCPO HSP1 and other countries' EEZs; limited application of VMS in Phil waters to address IUU	VMS monitoring and/or other technologies applied to selected tuna fishers operating in the Phil national waters and WCP CA to reduce IUU	The Philippine Fisheries Code of 1998 (RA8550) as amended by RA10654 (series of 2015), Section 119 requires all catcher vessels 30GT and up operating in PH waters to be covered by the Vessel Monitoring Measure (VMM). The full implementation of the new law will be expected to be realized in 4-years.	**On target**	The Philippine Fisheries Code of 1998 (RA8550) as amended by RA10654 (series of 2015), Section 119 requires all catcher vessels 30GT and up operating in national waters to be covered by the Vessel Monitoring Measure (VMM). The full implementation of the new law will be expected to be realized in 4-years, by

Indicator	Baseline	End of Project target	MTR Status reported by PIU	MTR Assessment	Midterm Assessment Justification
					2019.
	Delays in manual submission of logsheets resulting in proposing an elogbook system to facilitate timely submission	elogbook developed and pilot tested ready for implementation and adoption by stakeholders	PH elogbook or eReporting system has been developed and pilot testing is ongoing for PH vessels operating in WCPFC-HSP1. Adoption of the PH elogbook or eReporting system is expected to be realized upon the full implementation of the Catch Documentation and Traceability System (CDTS).	**On target**	A national elogbook (or eReporting) system has been developed and pilot testing is ongoing for PH vessels operating in WCPFC-HSP1 (high seas). Adoption of the PH elogbook or eReporting system is expected to be realized upon the full implementation of the Catch Documentation and Traceability System.
	No mechanism in place for regional knowledge sharing on oceanic tuna	National task force in place for packing of information for CF	Philippines through BFAR is creating a Technical Working Group for Tuna Fisheries (TWG-Tuna) which may include but not limited to the following functions: 1. Recommend policies, programs, projects and activities relating to the Tuna Regional Fisheries Management Organization (tRFMOs) to which the Philippines Is a member or cooperating non-member; 2. Prepare/Review Compliance Reports and other obligations/requirements of tRFMOs; 3. Monitor and investigate current and emerging issues on tuna fisheries; recommend to BFAR Director actions to be undertaken; 4. Coordinate and maintain linkages with the industry and key stakeholders relating the work of the BFAR TWG-TUNA 5. Prepare and Finalize the National Tuna Management Plan and consideration of any updates thereafter; 6. Coordinate and provide technical support to the National Tuna Industry Council (NTIC) and the Tuna Fishing Industry in general; 7. Prepare working and information papers for NTIC meetings and other fora as maybe required; Attend NTIC Meetings as maybe necessary; 8. Perform other tasks as maybe assigned by the Undersecretary for Fisheries/BFAR Director	**Marginally on target**	A Technical Working Group for tuna fisheries (TWG-Tuna) was established by BFAR. The current administration needs to approve continuation of the group. Mandate for packing of information for CF would also need to be included.
	Vietnam:	**Vietnam:**	**Vietnam:**	**Vietnam:**	**Vietnam:**
	Monitoring systems established in three central provinces (Binh Dinh, Phu	Monitoring systems expanded to 6 other provinces; increased	All 9 provinces covered, as of 2015. Logsheet data following WCPFC's template now covers tuna fishing fleets in three main provinces (i.e. Binh	**On target**	All 9 provinces covered, as of 2015. Logsheet data following WCPFC's template now covers tuna fishing fleets in

Indicator	Baseline	End of Project target	MTR Status reported by PIU	MTR Assessment	Midterm Assessment Justification
	Yen & Khanh Hoa) under WPEA in compliance with WCPFC requirements, but not covering for all gears and all other provinces	coverage and quality of logsheet data for all tuna fishing fleets	Dinh, Phu Yen and Khanh Hoa). Other provinces using national logsheer format. Logsheet data not authorized by government, and not yet submitted to WCPFC.		three main provinces (i.e. Binh Dinh, Phu Yen and Khanh Hoa). Other provinces using national logsheet format. Logsheet data not authorized by government and not yet submitted to WCPFC.
	Current coverage of monitoring landing data is around 35%	Landing data coverage of tuna fishing fleets significantly improved to 70%	Baseline is unclear. All 9 provinces having tuna fisheries are participating in monitoring landing data.	**On target**	All 9 provinces having tuna fisheries are participating in monitoring landing data. Baseline figure of 35% and the term "coverage" are unclear.
	No bycatch data are currently documented	Catch of retained and bycatch species well documented	Shark, swordfish, marlin, etc. are documented in the 3 main provinces, starting in 2015.	**On target**	Shark, swordfish, marlin, etc. are documented in the 3 main provinces, starting in 2015.
	No integrated database system established	Integrated database established within National Fisheries Statistics system, including data entry, verification and database maintenance	Integrated means connected to the National Fisheries Statistics System. The TUFMAN-1 system is an offline system, not yet integrated. There are discussions to adopt the online version developed by SPC (TUFMAN-2). This is not included in the 2017 annual work plan. Discussion of next phase, funding by New Zealand government, including financing the online system.	**Not on target**	The TUFMAN-1 system is an offline system, not yet integrated. There are discussions to adopt the online version developed by SPC (TUFMAN-2). This is not included in the 2017 annual work plan. Discussion of next phase, funding by New Zealand government, including financing the online system.
	No mechanism in place for regional knowledge sharing on oceanic tuna	National task force in place for packing of information for CF	WPEA-PEMSEA trying to establish a consultative forum. Nationally, a technical working group has been established for restructuring tuna fisheries management, transferring more responsibilities to local level. Unclear status between WPEA and PEMSEA.	**Marginally on target**	Nationally, a technical working group has been established for restructuring tuna fisheries management, transferring more responsibilities to local level. Consultative Forum between WPEA-PEMSEA not yet established.
	VMS scheme being implemented but not yet integrated with fisheries data. VMS, IUU and catch certification scheme not in place - under development and initial implementation	VMS scheme being developed for selected fisheries to apply for catch certification scheme and to reduce IUU	A national VMS has been established and installed 3000 offshore fishing vessels as a trial; also for other fisheries. Check with local authorities about linkage with catch certification scheme – using VMS, logbook, or landing data.	**On target**	A national VMS has been established and installed 3000 offshore fishing vessels as a trial; also for other fisheries.
Outcome 1.2: Enhanced capacity of technical staff, policy and decision makers in Indonesia, Philippines and Vietnam to integrate climate change impacts on highly migratory stocks into management regimes.					
4. (a) Prediction of climate change impacts on oceanic fisheries and development of adaptive management strategies. (b) Capacity building to interpret	**Sub-regional:**	**Sub-regional:**	**Sub-regional:**	**Sub-regional:**	**Sub-regional:**
	Some information available on impacts on POWP LME but model outputs not yet extended to EAS and	Climate change impacts on EAS and western part of POWP LME predicted and appropriate adaptive	Sub-regional, integrative-level management strategies on climate change will not be developed from this project. However, such strategies will be developed at national level, and the level of cooperation and	**Not on target**	No plans are in place to predict climate change impacts on a LME scale, and sub-regional adaptive management strategies are not planned.

Indicator	Baseline	End of Project target	MTR Status reported by PIU	MTR Assessment	Midterm Assessment Justification
climate change impacts on oceanic fisheries and to develop adaptive management strategies and incorporate these into management regimes	integrated with existing data	management strategies developed	collaboration among the three countries will be considered at a 2017 sub-regional workshop		
	Indonesia:	**Indonesia:**	**Indonesia:**	**Indonesia:**	**Indonesia:**
	Though National Climate Change Council established in 2008 (Presidential decree no 46/2008), climate change impacts on oceanic fisheries and its ecosystems not studied and current analytical capacity in this area is very limited	Task force established to study climate change impacts on oceanic fishery sector; results of preliminary research/modelling on oceanic fisheries (SKJ) available; adaptive management strategies to mitigate impacts of climate change developed	One of the items included in the action plan for implementing the National Tuna Fisheries Management Plan (NTFMP) is study of potential impacts of climate change. A Prior study on climate change has been conducted in 2016 on the potential impacts of climate change on highly migratory tuna species. Two guidelines are under preparation, one dealing with climate change adaptation and mitigation, and the other on guideline for implementing climate change adaptation and mitigation. A task force has been established within the RCFMC (research Center for Fisheries Management and Conservation), and workshop is planned in September 2017.	**Marginally on target**	A prior study on climate change was completed in 2016, but this did not include modelling or other activity that strengthened predictive capacity. A task force has been established with the RCFMC, and two climate change guidelines are under preparation.
	Philippines:	**Philippines:**	**Philippines:**	**Philippines:**	**Philippines:**
	National climate change strategy developed, but impacts on oceanic fisheries and its ecosystems not yet studied and current capacity limited	Trial prediction of climate change impacts on oceanic fisheries developed; 4 or more skilled personnel trained to interpret climate change impacts on oceanic fisheries and to develop adaptive management strategies	Philippines intend to conduct a prior study in order to know the current status and information available in this area. TOR for this activity has been developed but the lack of consultant remains to be a problem. This year (2017) Philippines intends to craft a CC-DRRM Manual of Operations. This document will serve as guide to help address or mitigate impacts of climate change and disaster risks. The CC-DRRM Manual of Operations will determine WHAT to do, HOW & WHEN to do it, and most importantly WHO will do it. This would include creation of Technical Working Group, who will plan and manage resources (people, facilities, equipment, logistics, funds) at the National, Regional and Provincial level and establishing Command Action Centers who will serve as frontliners/response teams at the regional and provincial level.	**Not on target**	The national coordination unit has had difficulties recruiting a consultant to carry out a prior study. Trial prediction of climate change impacts on oceanic fisheries unlikely by project closure. Philippines is planning to develop a climate change and disaster risk management manual of operations – not specifically focused on oceanic fisheries.
	Vietnam:	**Vietnam:**	**Vietnam:**	**Vietnam:**	**Vietnam:**
	Lack of trained/skilled personnel and no existing assessment of capacity needed to interpret climate change impacts on oceanic fisheries and to develop	Trial prediction of climate change impacts on oceanic fisheries developed; 4 or more technical staff, policy & decision makers to	National consultant retained to using an existing model to evaluate potential impacts of climate change. Further analysis planned in 2017. In October 2016, four (4) technical staff from the Ministry participated in a 3-country workshop in Cebu	**Marginally on target**	There has been some progress towards evaluating potential impacts of climate change on oceanic fisheries, using an existing model. Further analyses are planned in 2017. Four technical staff from the Ministry participated in the three-

Indicator	Baseline	End of Project target	MTR Status reported by PIU	MTR Assessment	Midterm Assessment Justification
	adaptive management strategies	integrate climate change impacts on highly migratory stocks	on climate change harvest strategy. National guidelines need to be established for integrating climate change prediction in modelling of highly migratory stocks – included in 2017 AWP.		country workshop in 2016 that included sessions on climate change. Establishment of national climate change guidelines is included in the 2017 project work plan.
Outcome 1.3: Climate change concerns mainstreamed into national fishery sector policy in Indonesia, Philippines and Vietnam.					
5. Incorporation of oceanic fisheries indicators and modelling outputs into overall national climate change strategy. Policies/strategies/plans/program that integrate climate change into national fisheries policies and even legislation/regulations.	**Indonesia:**	**Indonesia:**	**Indonesia:**	**Indonesia:**	**Indonesia:**
	National policy formulation specific to oceanic fisheries under climate change is very limited, but some information available for adjacent POWP LME, as a suitable model/precedent	Climate change adaptive management strategy for oceanic fisheries developed and incorporated in national cross-sectoral climate change strategy	A climate change adaptive management strategy is under preparation. And, a Ministerial Decree of negative impact on tuna and skipjack in archipelagic fishery is planned for addressing the potential impacts of climate change on tuna fisheries.	**Not on target**	Climate change adaptive management strategy is under preparation. The strategy is envisaged to be approved through Ministerial Decree; this does not meet the target of incorporating into national cross-sectoral climate change strategy.
	Philippines:	**Philippines:**	**Philippines:**	**Philippines:**	**Philippines:**
	No pool of experts to mainstream climate change concerns into national fisheries sector policy. No specific regulations on climate change related to fisheries management established. RA9729: Philippine Climate Change Act of 2009 has served as the basis for the creation of the Climate Change Commission	Policies/strategies/plans/ programs that integrate climate change into national fisheries regulations approved and/or implemented	The CC-DRRM Manual of Operations will include strategies to address impacts of climate change and disaster risks. The Philippine Climate Change Act of 2009 (RA 9729) serve as a good legal basis that encourage PH government agencies to implement plans and programs to mitigate climate change and disaster risks impacts (e.g. CC-DRRM Manual of Operations). *The Philippine government through BFAR has been pursuing another project (PHILO) which also intends to address climate change and disaster risks impacts*.	**Not on target**	There has been limited progress in recruiting a national consultant under Outcome 1.2. A manual of operations for climate change and disaster risk management is earmarked for 2017; this is unrelated to the project and does not focus on fisheries.
	Vietnam:	**Vietnam:**	**Vietnam:**	**Vietnam:**	**Vietnam:**
	No inputs to national policy formulation on climate change currently available for Vietnam, nor to oceanic fisheries	Climate change concerns articulated and integrated into the national fisheries policy	Not yet completed. In 2017 AWP, a consultancy activity is planned for integrating climate change, EAFM, supply chain certification, harvest strategy framework into an updated National Tuna Fisheries Management Plan.	**Not on target**	A consultancy activity is planned for 2017 to integrate climate change, EAFM, supply chain certification, and harvest strategy framework aspects into an updated version of the National Tuna Management Plan.
Outcome 2.1: Enhanced compliance of existing legal instruments at national, regional and international levels.					
6. Legal instruments fully compatible with WCPFC requirements, and	**Regional:**	**Regional:**	**Regional:**	**Regional:**	**Regional:**
	No collaborative governance	Sub-regional	• Establishing sub-regional collaborative governance	**Marginally on**	Sub-regional collaborative governance

Indicator	Baseline	End of Project target	MTR Status reported by PIU	MTR Assessment	Midterm Assessment Justification
compliance with WCPFC management requirements, including compliance with CMMs, ROP, RFV and application of reference points, and harvest control rules	on tuna fisheries among the three countries and limited compliance with technical application of WCPFC requirements due to limited involvement in WCPFC's technical processes (SC and TCC)	collaborative governance on tuna fisheries established. Participation in WCPFC's technical processes enhanced through full participation in WCPFC technical meetings (SC, TCC and other technical WG meetings)	on tuna fisheries can/will be discussed at 2017 sub-regional WS • WPEA project supports representatives from all three countries to participate in WCPFC technical meetings (SC and TCC)	**target**	not yet "officially" established. This topic will be addressed during the planned sub-regional project workshop in May 2017. The project has supported representatives from the three beneficiary countries to participate in WCPFC scientific committee (SC) and technical and compliance committee (TCC) meetings.
	Indonesia:	**Indonesia:**	**Indonesia:**	**Indonesia:**	**Indonesia:**
	No RPs and HCRs considered yet as a scientific procedure	Tuna management strengthened through applying scientific procedure using Reference Points (RPs) and Harvest Control Rules (HCRs) at national level once applied at regional level;	Development of a harvest strategy began in 2014, with incremental support by the WPEA project, other projects, and government funding.	**Marginally on target**	Development of a harvest strategy began in 2014, with incremental support by the WPEA project, other projects, and government funding. Unlikely that RPs and HCRs will be developed by planned project closure in October 2017.
	Some fisheries legislation under revision to accommodate all WCPFC requirements, framework for AW management through FMAs currently minimal but progressively being developed (7 FMAs)	Archipelagic Water (AW) management regime established	For the Indian Ocean and Pacific sides, IOTC and WCPFC guidelines are followed. There is a national policy on archipelagic waters, e.g., maximum vessel size of 100 GT. In this context, the management regime is already established. The regime is now being strengthened by introducing a harvest strategy approach. For the archipelagic waters (FMAs 713, 714, and 715), using PL CPUE index, and Mean length as reference for monitoring of the selected HS.	**On target**	There is a national policy on archipelagic waters, e.g., maximum vessel size of 100 GT. In this context, the management regime is already established. The regime is now being strengthened by introducing a harvest strategy approach.
	Philippines:	**Philippines:**	**Philippines:**	**Philippines:**	**Philippines:**
	Existing FAD management policy and other CMMs needs to be revisited for compliance, but Philippines currently compliant with most of the WCPFC CMMs	Compliance with CMMs of special concern to the Philippines primarily FADs committed	With the amended Fisheries Code (RA10654), approved October 2015, the new law has somehow address most of the CMMs including issues/concerns on FADs. The Philippines also intends to conduct a consultancy to review the current policy on FADs or address additional concerns on FADs (if any).	**On target**	With the amended Fisheries Code (RA10654), approved October 2015, the new law has addressed most of the CMMs including issues/concerns on FADs. The project is supporting a consultancy in 2017 to review current policy on FADs, and to identify additional concerns on FADs (if any).
	Vietnam:	**Vietnam:**	**Vietnam:**	**Vietnam:**	**Vietnam:**

Indicator	Baseline	End of Project target	MTR Status reported by PIU	MTR Assessment	Midterm Assessment Justification
	Limited compliance with CMMs or other management arrangements; no RPs and HCRs considered yet as a scientific procedure	Incorporation of compatible measures into national legal frameworks and incorporation of relevant WCPFC requirements completed.	In 2016, the Ministry developed a national action plan for Conservation and Management of Sea Turtles (WCPFC CMM 2008-03). In 2017, the Ministry is working on a national action plan for conservation and management of sharks, compliant with WCPFC CMM 2010-07). The National Tuna Fisheries Management Plan was approved by Decision No. 3562/QD-BNN-TCTS, 1 September 2015. Relevant CMMs (7) were translated with support of the WPEA-II project and also by WWF. The convention text, and CMMs 2009-11, 2004-03, 2007-01, 2008-03, 2008-04, 2009-06, 2013-05, 2009-02, 2016-01.	**Marginally on target**	The National Tuna Fisheries Management Plan was approved by Decision No. 3562/QD-BNN-TCTS, 1 September 2015. In 2016, the Ministry developed a national action plan for Conservation and Management of Sea Turtles (WCPFC CMM 2008-03). In 2017, the Ministry is working on a national action plan for conservation and management of sharks, compliant with WCPFC CMM 2010-07). Also, relevant CMMs (7) were translated with support of the project and also by WWF.
		Full application of relevant CMMs and development of reference points (RPs) and harvest control rules (HCRs) at national level	Project supported one workshop in November 2016 together with WWF to discuss establishing RPs and HCRs.	**Not on target**	Project supported one workshop in November 2016 together with WWF to discuss establishing RPs and HCRs. It is unlikely that RPs and HCRs will be developed by the planned project closure date of October 2017.
Outcome 2.2: Adoption of market-based approaches to the sustainable harvest of tunas.					
7. Supply chain characterized for tuna fishery sector, including processing, and custody systems **established** for tuna fisheries Improvements to fisheries to meet sustainable fishery standards for selected fisheries Number of private sector companies that cooperate in relevant project activities	**Indonesia:**	**Indonesia:**	**Indonesia:**	**Indonesia:**	**Indonesia:**
	Limited data available on supply chain, and monitoring and custody system not established for any fishery	Supply chain characterized for selected tuna fisheries, monitoring systems established and information annually updated; custody system in place for selected fisheries	The project hired a consultant to review existing studies. During workshop in November 2016, when the consultant presented the findings of the assignment, one area was selected for a field trial: Nusa Tenggara Timur (NTT) for the skipjack fishery. The field trial will be implemented in 2017, and then certain recommendations will be made. The extent of the project support will be making certain recommendations. Establishing a monitoring system and custody system are government driven and beyond scope of the project.	**Not on target**	Supply chains have not yet been characterized. The project hired a consultant to review existing studies, and made recommendations for an EAFM trial in NTT province in 2017. Establishing monitoring and custody systems seen by project team as government driven and beyond the scope of the project.
	Growing market demand for sustainable certification but limited eco-certification conducted	Eco-certification achieved for selected tuna fisheries	Certification status related to tuna fisheries in Indonesia: • Catch Certification Scheme (SHTI), Ministerial Regulation 13/Permen KP/2012 • Catch Documentation Scheme (CDS), DG Decree 08/2014 concerning Technical Guideline SBT-CDS • IOTC Bigeye, DG Catch No. KEP: 21/DJ-PT/2015	**Not on target**	There has been no direct project involvement with respect to eco-certification. Reportedly an FIP was initiated in 2014 for Yellowfin, Bigeye, and Cakalang (*Katsuwonus pelamis).* MSC pre-assessment completed in 2014 identified several shortcomings.

Indicator	Baseline	End of Project target	MTR Status reported by PIU	MTR Assessment	Midterm Assessment Justification
			• ICCAT Swordfish, ICCAT 01-22 Recommendation Regarding the Implementation of Swordfish Statistical Document Program • NOAA 370 and captain declaration, NOAA Form 370, Fisheries Certificate of Origin, is required to accompany all imports of frozen or processed tuna products. Implemented in Indonesia since January 2010. • FIP have been started from 2010 and a pre-assessment in 2014 of Yellowfin (*Thunnus albacares*), Bigeye (*Thunnus obesus*), and Cakalang (*Katsuwonus pelamis*) – caught using extended fishing gear, huhate, tuna longline, trolling, purse seine> 30 GT, purse seine <30 GT, and drift gill nets, indicated 19 steps as feasible, while 31 milestones still need to be improved to achieve MSC certification.		
	30 companies already cooperate in project activities	Sustained participation of 30 companies and increase in number of companies by at least 5 as appropriate	Fishing Associations and privates companies have been invited to most of the stakeholder workshops. Collaborations with the private sector have improved for example the active involvement of AP2HI, canning factories in Bitung (BMU, BMB, NFI). Which proposing enumerators and observer programs to be supervised by CFRD.	**Marginally on target**	The project document includes a list of 30 private companies. Fishing associations and private companies have been regularly invited to project stakeholder workshops, but there has been no specific monitoring of involvement of the list companies, or plans to expand involvement by an additional 5.
	Philippines:	**Philippines:**	**Philippines:**	**Philippines:**	**Philippines:**
	Supply chain complex, information available but not compiled	Supply chain fully documents and annually updated	Philippines made a consultancy on the prior study of tuna supply chain, still a work in progress.	**Not on target**	The project has funded a consultancy on the prior study of tuna supply chain analyses. This is a work in progress; uncertain if information on current supply chains will be provided.
	Growing market pressure for ecolabelling certification relating to sustainable fishing. Several pre-assessments initiated	Several tuna fisheries progressing towards full certification	Philippines made a consultancy on the prior study: eco-labelling and certification, still a work in progress.	**Not on target**	There has been no direct project involvement with respect to eco-labelling and certification. The same consultancy carrying out the supply chain prior study will reportedly also cover a review of eco-labelling certification.
	16 companies already cooperate with BFAR	Sustained participation of 16 companies and increase in number of companies by at least 5	There are currently 52- EU approved establishments out of 95 BFAR approved establishments (CNFIDP, 2015)	**Marginally on target**	The project document includes a list of 16 private companies. Fishing associations and private companies have been regularly invited to project stakeholder

Indicator	Baseline	End of Project target	MTR Status reported by PIU	MTR Assessment	Midterm Assessment Justification
		as appropriate			workshops, but there has been no specific monitoring of involvement of the list companies, or plans to expand involvement by an additional 5. The SOCKSARGEN Federation of Fishing Industries, Inc. (SFFAII), which has been involved in project activities, has approximately 100 members.
	Vietnam:	**Vietnam:**	**Vietnam:**	**Vietnam:**	**Vietnam:**
	Incomplete data available on supply chain and chain of custody scheme not established for any fishery	Supply chain characterized for tuna fisheries, with emphasis on export-oriented fisheries, and monitoring system established; CoC in place for selected tuna fisheries	Overview report was prepared for provinces Khanh Hoa, Binh Dinh, and Phu Yen. The study is ongoing. Under the national restructuring program, supply chain analyses completed for 4 other provinces. Monitoring system for landing data already established. A study on CoC has been conducted under the FIP.	**Marginally on target**	Overview report was prepared for provinces Khanh Hoa, Binh Dinh, and Phu Yen. The study is ongoing. Under the national restructuring program, supply chain analyses completed for 4 other provinces. Monitoring system for landing data already established. And a study on CoC has been reportedly conducted under the FIP managed by WWF.
	MCS pre-assessment of yellowfin/bigeye handline and longline fishery unfavourable and need for FIP identified	FIP process implemented for longline/handline fishery	A 5-year action plan under the FIP was approved for tuna longline/handline fisheries. The plan is still ongoing, starting in 2012.	**On target**	A 5-year action plan under the FIP managed by WWF was approved for tuna longline/handline fisheries. The plan is still ongoing, starting in 2012.
	9 companies already cooperate in project activities	Sustained participation of 9 companies and increase of companies by at least 5 as appropriate	Under the FIP, there are more than the 9 original companies listed involved.	**Marginally on target**	The project document includes a list of 9 private companies. Fishing associations and private companies have been regularly invited to project stakeholder workshops, but there has been no specific monitoring of involvement of the list companies, or plans to expand involvement by an additional 5. Under the FIP managed by WWF, there are more than 9 companies involved.
Outcome 2.3: Reduced uncertainty in stock assessment of POWP and EAS LMEs highly migratory fish stocks and improved understanding of associated ecosystems and their biodiversity.					
8. Integration of data from oceanic tuna fisheries in Indonesia, Philippines and Vietnam into regional assessments of target tuna species Sub-regional/national assessments	**Sub-regional:**	**Sub-regional:**	**Sub-regional:**	**Sub-regional:**	**Sub-regional:**
	Assessments not explicitly available on sub-regional scale because of data gaps and lack of assessment model spatial structure	Sub-regional assessments undertaken with data available and assessment model restructured	Sub-regional stock assessments can be conducted subject to availability of biological data, fishery data, stock assessment models, and stock assessment experts. Regarding data sharing, confidentiality agreement for the dissemination of country data needs	**On target**	SPC, as science provider for WCPFC, is conducting sub-regional (Region 4 – skipjack; Region 7 – yellowfin and bigeye) assessments based upon available data, including national catch data provided by

Indicator	Baseline	End of Project target	MTR Status reported by PIU	MTR Assessment	Midterm Assessment Justification
for target species; regular national assessments of target species Documentation and risk assessment of retained species and bycatch, including ETP species, in all fisheries/gears			to be agreed. In addition, it should be logically justified whether a stock assessment at sub-regional level can be possible, including definition and identification of the EAS stock as an independent stock or availability of migration parameters. However, even though it is not a 'stock' assessment, some sort of sub-regional assessments can be possible but the objective of such assessments should be defined in advance.		the countries to the WCPFC. Regions 4 and 7 referenced above are a bit larger than EAS.
	Indonesia:	**Indonesia:**	**Indonesia:**	**Indonesia:**	**Indonesia:**
	Some target species data available from WPEA-1 with coverage of FMA 716, 717 and 714 for assessment. National stock assessment board exists and plans for national assessment underway.	Indonesian data included in regional and sub-regional assessments; National assessments for target species completed and annually updated	Indonesia data are used in the annual consolidated regional and sub-regional assessments made by SPC. Catch estimate assessments, by gear type and by species, and by fishing area, are made annually with the involvement of NGOS, Associations and Industries as well as District and provinces representatives.	**On target**	Indonesian data are used in the annual consolidated regional and sub-regional assessments made by SPC. Catch estimate assessments, by gear type and by species, and by fishing area, are made annually with the involvement of NGOS, associations and industries as well as national and subnational governmental representatives.
	Limited information on retained/bycatch species and no risk assessment study for tuna bycatch and ETP species	Risk assessment of retained, bycatch and ETP spp. undertaken. (National Commission for fish stock assessment)	Risk assessment is planned in 2017. The WPEA project will support this activity (see budget notes 15 and 17 in the project document). National Commission for fish stock assessment exists; the commission has the responsibility to verify and report/advise to the minister regarding stock potency. The study will be represented or submitted in the next Forum Coordination Management and Utilizations of Fisheries Resources.	**Marginally on target**	A consultancy is planned in 2017 to carry out a risk assessment. The assessment results will be presented or submitted to the next Forum Coordination Management and Utilizations of Fisheries Resources.
	Philippines:	**Philippines:**	**Philippines:**	**Philippines:**	**Philippines:**
	Limited understanding of ecosystem supporting the oceanic tuna fishery. Retained species and bycatch species for all gears incompletely characterized	Comprehensive observer, catch sampling undertaken and risk assessment available for bycatch and ETP species	The PH Fisheries Code of 1998 (RA8550) as amended by RA10654, Section 116 states the observer coverage required for fishing vessels. This section requires vessels 200GT to have observers on board. Currently, observer coverage for vessels fishing in WCPFC-HSP1 and vessels fishing in PICs (e.g. PNG) has 100% coverage. Observer coverage for PH-flagged vessels operating in PH waters is limited only during the FAD closure and with the help of WPEA funding support. PH will be conducting a Risk Assessment workshop in 2017 using observer and port sampling data for conducting risk assessment analysis for bycatch and ETP species.	**Marginally on target**	Currently there is 100% observer coverage for Philippine-flagged vessels fishing in WCPFC-HSP1 and in Pacific Island Countries. Observer coverage for Philippine-flagged vessels operating in Philippine waters is limited, only during the FAD closure and with the help of WPEA funding support. The project work plan for 2017 includes a consultancy for a risk assessment and a risk assessment workshop. The national coordination team is currently searching for qualified international consultants for the risk

Indicator	Baseline	End of Project target	MTR Status reported by PIU	MTR Assessment	Midterm Assessment Justification
					assessment.
	Vietnam:	**Vietnam:**	**Vietnam:**	**Vietnam:**	**Vietnam:**
	Data collection on target species initiated under the WPEA project, but coverage incomplete for some fisheries; data not fully incorporated in regional assessments	Annual total catch estimates produced and biological data collected for national and/or regional stock assessment of target tuna species	Annual catch estimates workshops (VTFACE) were conducted in conjunction with a data collection review workshop. National data collection project starting in 2018.	**Marginally on target**	Annual catch estimates workshops (VTFACE) have been conducted in conjunction with a data collection review workshop.
	Limited research on retained/bycatch species conducted but not regularly studied	Information for risk assessment collected of retained and bycatch species and assessments undertaken	Bycatch data are basically collected and a risk assessment for bycatch and retained species was conducted under FIP.	**Marginally on target**	Bycatch data are collected to some degree. Reportedly a risk assessment for bycatch and retained species was conducted under the FIP managed by WWF.
	Research surveys using two gears undertaken - no national stock assessment currently available but planned	National level stock assessments of target tuna undertaken	Research Institute for Marine Fisheries conducted stock assessment for not only tuna other small pelagic and demersal species for entire Viet Nam. Model is different from what is advocated by WCPFC.	**Marginally on target**	Research Institute for Marine Fisheries conducted stock assessment for not only tuna other small pelagic and demersal species for the entire country. The model used for the assessment is reportedly different from what is advocated by WCPFC.
Outcome 2.4: Ecosystem Approach to Fisheries Management (EAFM) guiding sustainable harvest of the oceanic tuna stock and reduced bycatch of sea turtles, sharks and seabirds.					
9. Application of ecosystem modelling to EAS EEZs to complement those for POWP LME and EEZs Incorporation of EAFM principles in national tuna management plans Pilot scale application of EAFM for oceanic species at selected sites/fisheries Reduction of bycatch of endangered, threatened and protected (ETP) species, such as sea turtles, sharks and seabirds	**Sub-regional:**	**Sub-regional:**	**Sub-regional:**	**Sub-regional:**	**Sub-regional:**
	Ecosystem models available for POWP LME but not EAS	Application of ecosystem models to EAS	As other sub-regional items, this target can be considered at 2017 sub-regional workshop but no budget is allocated to this activity.	**Not on target**	Application of ecosystem models not yet considered in work planning, and no specific line item in the indicative budget outlined in the project document.
	Indonesia:	**Indonesia:**	**Indonesia:**	**Indonesia:**	**Indonesia:**
	Limited data collected for the application of ecosystem modelling	Data collection to support application of appropriate ecosystem models	The selected area for a field trial (NTT, Sikka District) will compare FAD and non-FAD methods on the impacts to ecosystems. This is included in the 2017 work plan.	**Marginally on target**	The selected area for a field trial is in the Sikka District, NTT Province. The pilot will compare FAD and non-FAD methods on the impacts to ecosystems. This is included in the 2017 work plan. The estimated 3-month timeframe for the trial is rather short.
	Some commitment to EAFM exists through community-	EAFM strategy developed for trial implementation	An EAFM strategy will be formulated based on the results of the field trial in NTT.	**Marginally on target**	An EAFM strategy is envisaged to be formulated based on the results of the

Indicator	Baseline	End of Project target	MTR Status reported by PIU	MTR Assessment	Midterm Assessment Justification
	based activities	in one FMA			field EAFM trial.
	NTMP lacking EAFM components	EAFM conditions incorporated in revised NTMP	The project will support drafting of preliminary text for recommended inclusion into the NTMP.	**Marginally on target**	The project will support drafting of preliminary text for recommended inclusion into the NTMP.
	Turtle bycatch studied and some mitigation measures underway; shark catch and seabird interactions not well documented; low level of compliance	Mitigation measures applied in selected fisheries; compliance with shark and sea turtle CMMs and NPOAs committed	Certain mitigation measures will be recommended based on the results of the trial in NTT, e.g., the use of FADs.	**Not on target**	Certain mitigation measures will be recommended based on the results of the trial in NTT, e.g., the use of FADs. It is unlikely that these mitigation measures will be applied within the timeframe of the project. There is no evidence of specific activities addressing compliance with shark and sea turtle CMMs and NPOAs.
	Philippines:	**Philippines:**	**Philippines:**	**Philippines:**	**Philippines:**
	No study of EAFM for oceanic fisheries, legal basis uncertain	Potential study area that applies EAFM for oceanic fisheries selected	Pilot scale application of EAFM will be conducted this 2017.	**Not on target**	An EAFM pilot is tentatively planned in Davao; however, plans and implementation arrangements have not yet been developed and sorted out.
	NTMP may lack EAFM compatibility	NTMP revised to include EAFM	A consultancy on aligning the NTMP within the EAFM context has been done/conducted. The Philippines is currently revising its NTMP using the EAFM framework, still a work in progress. TARGET: Revised NTMP within the EAFM context is set to be adopted before the end of 2017.	**On target**	The NTMP is being revised, with inclusion of EAFM principles. A draft version was submitted for Ministerial review in 2016, and certain issues were requested to be added.
	Turtle bycatch studies and some mitigation measures underway; shark catch and seabird interactions poorly documented; low level of compliance	Mitigation measures applied; Compliance with shark CMMs committed, Smart Gear developed	Mitigation measures are applied and compliance to various shark CCMs committed by Philippines. PH has prepared, updated and distributed "Operations Guide for Filipino Fishermen" to help facilitate compliance with various CMMs (e.g. WCPFC – CMMs on sharks). The Compliance Monitoring Review (CMR) being conducted by WCPFC each year will note the continues progress of PH with regards to its compliance & commitment in implementing the various WCPFC-CMMs.	**Marginally on target**	Limited direct involvement by the project, except, for example supporting printing of an operations guide that is distributed to fishing operators. Mitigation measures are applied and compliance to various shark CMMs are committed. No evidence of progress with respect to developing Smart Gear.
	Vietnam:	**Vietnam:**	**Vietnam:**	**Vietnam:**	**Vietnam:**
	No EAFM application and legal basis uncertain	Pilot application of EAFM at one selected site/fishery	In March 2017, an internal workshop is planned for developing a pilot EAFM application.	**Not on target**	In March 2017, an internal workshop is planned for developing a pilot EAFM application. Limited time remaining to design and implement the pilot.

Indicator	Baseline	End of Project target	MTR Status reported by PIU	MTR Assessment	Midterm Assessment Justification
	No inclusion of EAFM in NTMP	Revised NTMP with EAFM included	Not yet implemented, but planned for 2017.	**Not on target**	No progress towards this target. An activity is planned in 2017.
	Few data on ETP species and no compliance on bycatch mitigation	Compliance with ETP CMMs and NPOAs	On target (for sea turtles and sharks). Observer trips were conducted in 2015 (20 trips, including 4 for longline and 16 for handline fisheries) under the FIP; supported by WWF with some support from WPEA project. In 2016, 20 observer trips conducted; similar funding arrangements with WWF. NPOAs developed for sea turtles, and for sharks underway.	**Marginally on target**	NPOAs under development for sea turtles and for sharks. Observer trips were conducted in 2015 (20 trips, including 4 for longline and 16 for handline fisheries) under the FIP; supported by WWF with some support from WPEA project. In 2016, 20 observer trips conducted; similar funding arrangements with WWF.
Outcome 3.1: Regional knowledge platform established on POWP LME and EAS LMEs shared tuna stocks and associated ecosystems.					
10. Monitoring and knowledge sharing between POPW LME and EAS LMEs for target and associated species and their management Commitment to information sharing at all levels amongst WPEA members and beyond Current provincial/FMA resource profiles updated and disseminated Participation in global knowledge sharing events	Limited information shared via WCPFC mechanisms, meetings and WPEA website and limited outreach to stakeholders at national and sub-regional level	Active website maintained in collaboration with PEMSEA, and commitment to preparation and dissemination of project publication, newsletters and other information products	1. Maintain WCPFC-WPEA project website 2. PEMSEA will develop a WPEA website by mid-2017 3. All meeting preparation and outputs are distributed by email 4. Convene several workshops and meetings for information sharing	**Marginally on target**	There is an existing WCPFC-WPEA website, although it is not regularly updated. A letter of agreement was signed between the project and the PEMSEA Resource Facility in November 2016, to have PEMSEA develop and host a project website by mid-2017. Project deliverables are disseminated to implementation partners, but not to the wider stakeholder community.
	No interagency cooperation mechanism such as CF established	Consultative Forum activity reported	1. The outcome of CF are reported to workshops	**Not on target**	The Consultative Forum has not been established as outlined in the project document, with participation by a wide range of regional partners.
	Limited participation in knowledge sharing events, including IWLearn.	Increased participation in international and (sub-) regional knowledge sharing events (one per year), such as IWLearn and related activities and the EAS Congress	1. Three participating countries participated in IWLearn and PEMSEA EAS Congress subject to budget available	**On target**	The project has supported representatives from each of the three beneficiary countries in participating in the PEMSEA EAS Congress in 2015 and the GEF IW Conference in 2016.

Annex 6: Cofinancing Table

Sources of Cofinancing[1] and Name of Cofinancers	Description of Actual Cofinancing Contributed at Stage of Midterm Review	Type of Cofinancing[2]	Amount Confirmed at CEO Endorsement USD	Actual Amount Contributed at Stage of Midterm Review USD	Expected Amount by Project Closure USD	Actual % of Expected Amount USD
GEF Partner Agency: UNDP						
UNDP Philippines	Cofinancing contribution	In-Kind	$1,156,000	$197,000	$197,000	
		UNDP, In-kind Cofinancing, Sub-Total	**$1,156,000**	**$197,000**	**$197,000**	**#DIV/0!**
National Government: Indonesia						
Republic of Indonesia, Ministry of Marine Affairs and Fisheries, Directorate General of Capture Fisheries (DGCF)	Staff	In-Kind	$100,000	$120,000	$180,000	
	Facility	In-Kind	$400,000	$360,000	$440,000	
	Program Support	In-Kind	$800,000	$700,000	$770,000	
		Indonesia MMAF DGCF In-kind Cofinancing, Sub-total	**$1,300,000**	**$1,180,000**	**$1,390,000**	**85%**
National Government: Indonesia						
Republic of Indonesia, Ministry of Marine Affairs and Fisheries, Research Center for Fisheries Management and Conservation (RCFMC)	Staff	In-Kind	$75,000	$144,000	$156,000	
	Facilities and logistics	In-Kind	$500,000	$480,000	$680,000	
	Program Support	In-Kind	$625,000	$600,000	$680,000	
		Indonesia MMAF RCFM, In-kind Cofinancing, Sub-total	**$1,200,000**	**$1,224,000**	**$1,516,000**	**81%**
National Government: Philippines						
Republic of the Philippines, Department of Agriculture, Bureau of Fisheries and Aquatic Resources (BFAR)	Counter-part contribution in the implementation of the Philippine activities on baseline data gathering	Grant	$3,892,675	$2,595,117	$3,892,675	
		Philippines BFAR, Grant Cofinancing, Sub-total	**$3,892,675**	**$2,595,117**	**$3,892,675**	**67%**
National Government: Philippines						
Republic of the Philippines, Department of Agriculture, National Fisheries Research and Development Institute (NFRDI)	Staff	In-Kind	$190,000	$126,667	$190,000	
	Facilities and logistics	In-Kind	$1,301,700	$867,800	$1,301,700	
	Program Support	In-Kind	$2,664,150	$1,776,100	$2,664,150	
	Involvement of the industry	In-Kind	$180,000	$120,000	$180,000	
		Philippines NFRDI, In-kind Cofinancing, Sub-total	**$4,335,850**	**$2,890,567**	**$4,335,850**	**67%**
National Government: Vietnam						

Sources of Cofinancing[1] and Name of Cofinancers	Description of Actual Cofinancing Contributed at Stage of Midterm Review	Type of Cofinancing[2]	Amount Confirmed at CEO Endorsement USD	Actual Amount Contributed at Stage of Midterm Review USD	Expected Amount by Project Closure USD	Actual % of Expected Amount USD
The Socialist Republic of Vietnam, Ministry of Agriculture and Rural Development, Directorate of Fisheries (D-FISH)	Contribution on the implementation of the Vietnamese activities in relation to tuna fisheries management (roughly estimated)	Grant	$1,000,000			
	Implementation of fishing ground forecasting for tuna fisheries	Grant		$115,851	$173,776	
	Tuna fisheries surveys for stock assessment	Grant		$449,035	$673,552	
	Development of National Database (VNFISHBASE) for entire coastal provinces of Viet Nam	Grant		$107,768	$161,652	
	Investigation of technical criteria/standards for fishing ports of tuna fisheries	Grant		$0	$13,471	
	Investigation of suitable technics for post-harvesting in fishing vessels	Grant		$0	$170,633	
	Investigation of supply chain analysis in Binh Dinh, Phu Yen, Khanh Hoa and Ho Chi Minh city	Grant		$8,981	$98,788	
	Development of good fishing practices on tuna fisheries	Grant		$0	$205,119	
Vietnam D-FISH, Grant Cofinancing, Sub-total			**$1,000,000**	**$681,634**	**$1,496,991**	**46%**
National Government: Vietnam						
The Socialist Republic of Vietnam, Ministry of Agriculture and Rural Development, Directorate of Fisheries (D-FISH)	Staff	In-Kind	$200,000	$120,000	$180,000	
	Facilities and logistics	In-Kind	$1,500,000	$700,000	$1,700,000	
	Program Support (VMS program for tuna fisheries including hardware and service fee)	In-Kind	$2,000,000	$3,400,000	$3,400,000	
Vietnam D-FISH, In-kind Cofinancing, Sub-total			**$3,700,000**	**$4,220,000**	**$5,280,000**	**80%**
Civil Society Organization						
WWF Vietnam	Budget for implementation of Fisheries Improvement Program (FIP)	Grant	$0	$43,107	$88,010	

Sources of Cofinancing[1] and Name of Cofinancers	Description of Actual Cofinancing Contributed at Stage of Midterm Review	Type of Cofinancing[2]	Amount Confirmed at CEO Endorsement USD	Actual Amount Contributed at Stage of Midterm Review USD	Expected Amount by Project Closure USD	Actual % of Expected Amount USD
WWF Vietnam, Grant Cofinancing, Sub-Total			**$0**	**$43,107**	**$88,010**	**49%**
Civil Society Organization						
Western and Central Pacific Fisheries Commission	Grant (USD 25,000 per year)	Grant	$75,000	$75,000	$100,000	
WCPFC, Grant Cofinancing, Sub-Total			**$75,000**	**$75,000**	**$100,000**	**75%**
Civil Society Organization						
Western and Central Pacific Fisheries Commission	WCPFC staff	In-kind	$1,480,000	$991,600	$1,480,000	
	Secretariat facilities	In-kind	$280,000	$187,600	$280,000	
	WCPFC system and funding expertise	In-kind	$1,440,000	$964,800	$1,440,000	
WCPFC, In-kind Cofinancing, Sub-Total			**$3,200,000**	**$2,144,000**	**$3,200,000**	**67%**
Total			**$19,859,525**	**$15,250,425**	**$21,496,526**	**72%**

Notes:

1.Sources of Co-financing may include: Bilateral Aid Agency(ies), Foundation, GEF Partner Agency, Local Government, National Government, Civil Society Organization, Other Multi-lateral Agency(ies), Private Sector, Other

2. Type of Co-financing may include: Grant, Soft Loan, Hard Loan, Guarantee, In-Kind, Other

Annex 7: Rating Scale Definitions

Ratings for progress towards results:

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.
Moderately 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.
Moderately Unsatisfactory (MU)	Project is expected to achieve 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 (U)	The project has failed to achieve, and is not expected to achieve, any of its major global environment objectives with no worthwhile benefits.

Ratings for project implementation and adaptive management:

Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as "good practice".
Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

Ratings for sustainability (one overall rating):

Likely (L)	Negligible risks to sustainability, with key Outcomes on track to be achieved by the project's closure and expected to continue into the foreseeable future
Moderately Likely (ML)	Moderate risks, but expectations that at least some Outcomes will be sustained due to the progress towards results on Outcomes at the Midterm Review
Moderately Unlikely (MU)	Significant risk that key Outcomes will not carry on after project closure, although some outputs and activities should carry on
Unlikely (U)	Severe risks that project Outcomes as well as key outputs will not be sustained

Annex 8: Signed UNEG Code of Conduct Agreement Form

Evaluators:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and: respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/ or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form

Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: James Lenoci

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signature:

Signed on 08 February 2017

James Lenoci
MTR Consultant

Annex 9: Terms of Reference

TERMS OF REFERENCE
UNDP-GEF Mid-Term Review Consultant (International)
Sustainable Management of Highly Migratory Fishstocks in the West and Central Pacific

1. INTRODUCTION

This is the Terms of Reference (ToR) for the UNDP-GEF Midterm Review (MTR) of the full-sized project titled ***Sustainable Management of Highly Migratory Fishstocks in the West and Central Pacific***, which is to be undertaken in January 2017. The project started on the Project Document signature date and is in its third year of implementation. In line with the UNDP-GEF Guidance on MTRs, this MTR process was initiated before the submission of the second Project Implementation Report (PIR). This ToR sets out the expectations for this MTR. The MTR process must follow the guidance outlined in the document Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects.

2. PROJECT BACKGROUND INFORMATION

The Sustainable Management of Highly Migratory Fish Stocks in the West and Central Pacific Project (WPEA-SM) was designed to build on the *West Pacific East Asia Oceanic Fisheries Management Project* (WPEA), a UNDP-GEF medium-size project, aimed at building capacity in Indonesia, the Philippines and Vietnam to engage in regional initiatives to conserve and manage fisheries for highly migratory fish stocks. It was successfully implemented by the WCPFC and field activities were completed at the end of 2012. Studies have shown that the sustainable harvest of shared tuna stocks in the East Asian Seas (EAS) faces a number of threats rooted in the increased demand for fish from a rapidly growing population and increasing exports, which have substantially increased fishing pressure on the marine fishery resources in the past two decades, both within the sub-region and the wider Western and Central Pacific Ocean (WCPO). Tuna fisheries are also threatened by Illegal, Unreported and Unregulated fishing (IUU), compounded by ineffective surveillance and monitoring, incomplete reporting to the Western and Central Pacific Fisheries Commission, and gaps in the regulatory framework.

The proposed Project will remove the main barriers to sustainable fisheries management of highly migratory tuna species in the East Asian Seas, primarily Indonesia, Philippines and Vietnam by strengthening national capacities and regional cooperation to implement fishery sector reforms that will sustain and conserve the highly migratory fish stocks in the West Pacific Ocean and East Asian Large Marine Ecosystems (LME) whilst also considering climatic variability and change.

The Project intends to strengthen national capacities and regional cooperation to implement fishery sector reforms that will sustain and conserve the highly migratory fish stocks in the West Pacific Ocean and East Asia LMEs while considering climatic variability and change. It will :

- Build capacity of Philippines, Indonesia and Vietnam to mainstream climate change impacts into their national fisheries institutions and policies;
- Strengthen regional collaborative mechanisms for monitoring and assessment of highly migratory fish stocks;
- Use an ecosystems approach to fisheries management of shared target and non-target oceanic stocks;
- Strengthen national and regional monitoring, regulation and control;
- Contribute to the implementation of the SDS-SEA; and
- Link its activities to the work of the WCPF Commission. The WCPFC will establish a Consultative Forum to coordinate monitoring of highly migratory stocks across POWLME and SEA LMEs.

Project Components:

Component 1: REGIONAL GOVERNANCE FOR BUILDING REGIONAL AND NATIONAL ADAPTIVE CAPACITY OF INDONESIA, PHILIPPINES AND VIETNAM IN THE MANAGEMENT OF HIGHLY MIGRATORY FISH STOCKS

1. Improved regional mechanisms for monitoring and assessment of highly migratory fish stocks and illegal, unreported and unregulated (IUU) fishing in the POWP LME and EAS.
2. Enhanced capacity of technical staff, policy and decision makers in Indonesia, Philippines and Vietnam to integrate climate change impacts on highly migratory stocks into management regimes.
3. Climate change concerns mainstreamed into national fishery sector policy in Indonesia, Philippines and Vietnam

Outputs:

- Joint WCPFC/PEMSEA Consultative Forum established for effective monitoring of highly migratory stocks and marine ecosystems across the POWP LME and EAS LMEs
- General guidelines on adaptive management and monitoring of highly migratory stocks to address climate change
- Sector policy instruments developed and management plans reviewed, and climate change adaptive management approach incorporated in sectoral policies and plans

Component 2: IMPLEMENTATION OF POLICY, INSTITUTIONAL AND FISHERY MANAGEMENET REFORM

1. Enhanced compliance of existing legal instruments at national, regional and international levels;
2. Adoption of market-based approaches to sustainable harvest of tunas;
3. Reduced uncertainty in stock assessment of POWP LME and EAS LMEs highly migratory fish stocks, and improved understanding of associated ecosystems and their biodiversity;
4. Ecosystem Approach to Fisheries Management (EAFM) guiding sustainable harvest of the oceanic tuna stocks and reduced by-catch of sea turtles, sharks and seabirds

Outputs:

- WCPFC Convention and relevant regional instruments and agreements implemented; fishery sector national reforms implemented in Indonesia, Philippines and Vietnam
- Tuna fishery supply chains in the EAS analyzed
- Criteria for monitoring programmes and stock assessment for highly migratory fish stocks and associated ecosystems developed
- Ecosystem Approach to Fisheries Management (EAFM) and associated tuna management plans finalized and implemented in Indonesia, Philippines and Vietnam

3. OBJECTIVES OF THE MTR

The MTR will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document, and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR will also review the project's strategy, its risks to sustainability.

4. MTR APPROACH & METHODOLOGY

The MTR must provide evidence based information that is credible, reliable and useful. The MTR Consultant will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Environmental & Social Safeguard Policy, the Project Document, project reports including Annual Project Review/PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the consultant considers useful for this evidence-based review).

The MTR Consultant is expected to follow a collaborative and participatory approach[1] ensuring close engagement with government counterparts, in particular the, UNDP Country Office, the UNDP Regional Techincal Advisor for International Waters, the focal agencies of the three participating countries, and the WCPFC.

Engagement of stakeholders is vital to a successful MTR.[2] Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to; executing agencies, senior officials' component leaders, key experts and consultants in the subject area, Project Board, project stakeholders, academia, local government and CSOs, etc. Additionally, the MTR Consultant is expected to conduct a field mission to all three countries and selected project sites. Interviews will be held with the government focal agencies per country and as well as other stakeholders.

The final MTR report should describe the full MTR approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the review.

5. DETAILED SCOPE OF THE MTR

The MTR Consultant will assess the following four categories of project progress. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for extended descriptions.

i. Project Strategy

Project design:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- Review the extent to which relevant gender issues were raised in the project design. See Annex 9 of *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.
- If there are major areas of concern, recommend areas for improvement.

Results Framework/Logframe:

- Undertake a critical analysis of the project's logframe indicators and targets, assess how "SMART" the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
- Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?

[1] For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results, 05 Nov 2013.
[2] For more stakeholder engagement in the M&E process, see the UNDP Handbook on Planning, Monitoring and Evaluating for Development Results, Chapter 3, pg. 93.

- Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.
- Ensure broader development and gender aspects of the project are being monitored effectively. Develop and recommend SMART 'development' indicators, including sex-disaggregated indicators and indicators that capture development benefits.

ii. Progress Towards Results

Progress Towards Outcomes Analysis:

- Review the logframe indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix and following the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*; colour code progress in a "traffic light system" based on the level of progress achieved; assign a rating on progress for each outcome; make recommendations from the areas marked as "Not on target to be achieved" (red).

Table. Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets)

Project Strategy	Indicator[3]	Baseline Level[4]	Level in 1st PIR (self-reported)	Midterm Target[5]	End-of-project Target	Midterm Level & Assessment[6]	Achievement Rating[7]	Justification for Rating
Objective:	Indicator (if applicable):							
Outcome 1:	Indicator 1:							
	Indicator 2:							
Outcome 2:	Indicator 3:							
	Indicator 4:							
	Etc.							
Etc.								

Indicator Assessment Key

Green= Achieved	Yellow= On target to be achieved	Red= Not on target to be achieved

In addition to the progress towards outcomes analysis:

- Compare and analyse the GEF Tracking Tool at the Baseline with the one completed right before the Midterm Review.
- Identify remaining barriers to achieving the project objective in the remainder of the project.
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

iii. Project Implementation and Adaptive Management

Management Arrangements:

[3] Populate with data from the Logframe and scorecards
[4] Populate with data from the Project Document
[5] If available
[6] Colour code this column only
[7] Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

- Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.
- Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.
- Review the quality of support provided by the GEF Partner Agency (UNDP) and recommend areas for improvement.

Work Planning:

- Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved.
- Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results?
- Examine the use of the project's results framework/ logframe as a management tool and review any changes made to it since project start.

Finance and co-finance:

- Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions.
- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.
- Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?
- Informed by the co-financing monitoring table to be filled out, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the project? Is the Project Implementing Partner meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?

Project-level Monitoring and Evaluation Systems:

- Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive?
- Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?

Stakeholder Engagement:

- Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
- Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?
- Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?

Reporting:

- Assess how adaptive management changes have been reported by the project management and shared with the Project Board.

- Assess how well the Project Implementing Partner and country-partners undertake and fulfil GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs, if applicable?)
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

Communications:

- Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?
- Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)
- For reporting purposes, write one half-page paragraph that summarizes the project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.

iv. Sustainability

- Validate whether the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why.
- In addition, assess the following risks to sustainability:

Financial risks to sustainability:

- What is the likelihood of financial and economic resources not being available once the GEF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?

Socio-economic risks to sustainability:

- Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project? Are lessons learned being documented by the Project Implementing Partner on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?

Institutional Framework and Governance risks to sustainability:

- Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/ mechanisms for accountability, transparency, and technical knowledge transfer are in place.

Environmental risks to sustainability:

- Are there any environmental risks that may jeopardize sustenance of project outcomes?

Conclusions & Recommendations

The MTR Consultant will include a section of the report setting out the MTR's evidence-based conclusions, in light of the findings.[8]

Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report's executive summary. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for guidance on a recommendation table.

The MTR Consultant should make no more than 10 recommendations total.

Ratings

The MTR Consultant will include its ratings of the project's results and brief descriptions of the associated achievements in a *MTR Ratings & Achievement Summary Table* in the Executive Summary of the MTR report. See Annex E for ratings scales. No rating on Project Strategy and no overall project rating is required.

Table. MTR Ratings & Achievement Summary Table

Measure	MTR Rating	Achievement Description
Project Strategy	N/A	
Progress Towards Results	Objective Achievement Rating: (rate 6 pt. scale)	
	Outcome 1 Achievement Rating: (rate 6 pt. scale)	
	Outcome 2 Achievement Rating: (rate 6 pt. scale)	
	Outcome 3 Achievement Rating: (rate 6 pt. scale)	
	Etc.	
Project Implementation & Adaptive Management	(rate 6 pt. scale)	
Sustainability	(rate 4 pt. scale)	

6. TIMEFRAME

[8] Alternatively, MTR conclusions may be integrated into the body of the report.

The total duration of the MTR will be approximately *10 weeks* starting January 2017*,* and shall not exceed four (4) months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

TIMEFRAME	ACTIVITY
December 2016	Application closes
4 January 2017	Select MTR Consultant
Within 1 week after contract signing	Prep the MTR Consultant (handover of Project Documents)
2 weeks after contract signing	Document review and preparing MTR Inception Report
	Finalization and Validation of MTR Inception Report- latest start of MTR mission
15 days (3 weeks)	MTR mission: stakeholder meetings, interviews, field visits
1 day	Mission wrap-up meeting & presentation of initial findings- earliest end of MTR mission
10 days	Preparing draft report
2 days	Incorporating audit trail from feedback on draft report/Finalization of MTR report
2 days	Preparation & Issue of Management Response
1 day	Presentation to the Project Steering Committee
25 March 2017	Expected date of full MTR completion

Options for site visits should be provided in the Inception Report.

7. MIDTERM REVIEW DELIVERABLES

#	Deliverable	Description	Timing	Responsibilities
1	**MTR Inception Report**	MTR Consultant clarifies objectives and methods of Midterm Review	No later than 2 weeks before the MTR mission	MTR Consultant submits to the Commissioning Unit and project management
2	**Presentation**	Initial Findings	End of MTR mission	MTR Consultant presents to project management and the Commissioning Unit
3	**Draft Final Report**	Full report (using guidelines on content outlined in Annex B) with annexes	Within 3 weeks of the MTR mission	Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, GEF OFP
4	**Final Report***	Revised report with audit trail detailing how all	Within 1 week of receiving UNDP	Sent to the Commissioning Unit

		received comments have (and have not) been addressed in the final MTR report	comments on draft	

*The final MTR report must be in English. If applicable, the Commissioning Unit may choose to arrange for a translation of the report into a language more widely shared by national stakeholders.

8. MTR ARRANGEMENTS

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project's MTR is UNDP Philippines. The commissioning unit will contract the consultant – after review of the selected candidate by UNDP CO together with the WCPFC - and ensure the timely provision of per diems and travel arrangements to all countries to be visited for the MTR Consultant. UNDP CO will be responsible for liaising with the MTR Consultant to provide all relevant documents, set up stakeholder interviews, and arrange field visits. The MTR Consultant will meet virtually with the UNDP CO and UNDP RTA to discuss the evaluation's scope and objectives, as well as to debrief the UNDP on the evaluation's findings.

9. QUALIFICATIONS

The consultant cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project's related activities.
The selection of consultant will be aimed at maximizing the overall qualities in the following areas:

Education:

- A Master's degree in environmental management, fisheries management, community development, or other closely related field (10%).

Work Experience:

- Experience applying SMART indicators and reconstructing or validating baseline scenarios (5%);
- Competence in adaptive management, as applied to sustainable fisheries (5%)
- Previous Experience working with the GEF or GEF-evaluations (15%);
- Experience working in the East Asian Region, particularly Indonesia, Philippines and Vietnam (15%)
- Work experience in the field of sustainable fisheries management for at least 10 years (20%);
- Demonstrated understanding of issues related to gender; experience in gender sensitive evaluation and analysis (10%).
- Excellent communication analytical skills (10%);
- Project evaluation/review experiences within United Nations system will be considered an asset (10%);

Language:

- Excellent writing, editing and oral communications skills in English is required
- Fluency in other UN languages is an asset

Competencies

- Demonstrates integrity by modeling the UN's values and ethical standards;
- Promotes the vision, mission, and strategic goals of UNDP;
- Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability;
- Treats all people fairly without favoritism;
- Expertise in data collection and analysis
- Ability to work under pressure and tight deadlines;
- Strong analytical and research skills; and
- Excellent organizational, and communication skills;

The International Consultant, will primarily cover the tasks, but not limited to the following:

1. Prepare the MTR Inception Report including a detailed plan of the mission with an interview schedule, evaluation questions and provide it to the UNDP and CPMU no later than 2 weeks before the MTR mission;
2. Ensure the conduct of evaluation activities as agreed on with WCPFC and UNDP; (including visits to Vietnam, Indonesia and Philippines);
3. Consolidate and analyze data and information gathered during the evaluation;
4. Finalize the MTE Report;

In consultation with the Consultant and as requested, the UNDP CO will make available all relevant documentation and provide contact information to key project partners and stakeholders, and facilitate contact where needed. The Consultant will request UNDP CO to assist in organizing any briefing de-briefing meetings including coordination of stakeholders' input in the evaluation draft report.

10. CRITERIA FOR SELECTION PROCESS

The offer will be evaluated based on Combined Scoring Method – where the qualifications and methodology will be weighted a maximum of 70% and combined with the price offer which will be weighted maximum of 30%.

11. PAYMENT MODALITIES AND SPECIFICATIONS

Consultants will be contracted by UNDP and remunerated according to the reviewed and accepted financial proposal. The contract will be output-based and payment issued only upon delivery of satisfactory outputs/milestones.

Table 6. Payment Schedule

%	Milestone
20%	Following submission and acceptance of the MTR mission Inception Report
40%	Following submission and approval of the 1ST draft MTR report
40%	Following submission and approval (UNDP CO and IW RTA) of the final MTR report

11. APPLICATION PROCESS

Applicants are requested to submit the following documents to procurement.ph@undp.org.

1. Duly accomplished Letter of Confirmation of Interest and Availability that indicates the all-inclusive lumpsum contract price, supported by a breakdown of costs, as per template provided;
2. Personal CV or P11, indicating all past experience from similar projects, as well as the contact details (email and telephone number) of the Candidate and at least three (3) professional references;

Application requirements should be emailed on or before December 02, 2016, close of business, Manila Time.

TOR ANNEX A

LIST OF DOCUMENTS TO BE REVIEWED BY THE MTR Consultant[9]

1. PIF
2. UNDP Initiation Plan
3. UNDP Project Document
4. UNDP Environmental and Social Screening results
5. Project Inception Report
6. All Project Implementation Reports (PIR's)
7. Quarterly progress reports and work plans of the various implementation task teams
8. Audit reports
9. Finalized GEF focal area Tracking Tools at CEO endorsement and midterm (*fill in specific TTs for this project's focal area*)
10. Oversight mission reports
11. All monitoring reports prepared by the project
12. Financial and Administration guidelines used by the Project
13. Project Document and CEO Endorsement –
14. Annual Reports (2015 and 2016)
15. Quarterly Reports
16. APRs/PIRs (2015)
17. Minutes of National Steering Committee meetings
18. Work and Financial Plans (2014, 2015 and 2016)

ToR ANNEX B: Guidelines on Contents for the Midterm Review Report[10]

i. Basic Report Information *(for opening page or title page)*
- Title of UNDP supported GEF financed project
- UNDP PIMS# and GEF project ID#
- MTR time frame and date of MTR report
- Region and countries included in the project
- GEF Operational Focal Area/Strategic Program
- Executing Agency/Implementing Partner and other project partners
- MTR CO members
- Acknowledgements

ii. Table of Contents

iii. Acronyms and Abbreviations

1. Executive Summary *(3-5 pages)*
- Project Information Table
- Project Description (brief)
- Project Progress Summary (between 200-500 words)
- MTR Ratings & Achievement Summary Table
- Concise summary of conclusions
- Recommendation Summary Table

2. Introduction *(2-3 pages)*
- Purpose of the MTR and objectives
- Scope & Methodology: principles of design and execution of the MTR, MTR approach and data

[9] This list will be updated before MTE as more documents become available.

[10] The Report length should not exceed *40* pages in total (not including annexes).

collection methods, limitations to the MTR
- Structure of the MTR report

3. Project Description and Background Context *(3-5 pages)*
- Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope
- Problems that the project sought to address: threats and barriers targeted
- Project Description and Strategy: objective, outcomes and expected results, description of field sites (if any)
- Project Implementation Arrangements: short description of the Project Board, key implementing partner arrangements, etc.
- Project timing and milestones
- Main stakeholders: summary list

4. Findings *(12-14 pages)*

4.1 Project Strategy
- Project Design
- Results Framework/Logframe

4.2 Progress Towards Results
- Progress towards outcomes analysis
- Remaining barriers to achieving the project objective

4.3 Project Implementation and Adaptive Management
- Management Arrangements
- Work planning
- Finance and co-finance
- Project-level monitoring and evaluation systems
- Stakeholder engagement
- Reporting
- Communications

4.4 Sustainability
- Financial risks to sustainability
- Socio-economic to sustainability
- Institutional framework and governance risks to sustainability
- Environmental risks to sustainability

5. Conclusions and Recommendations *(4-6 pages)*

5.1 Conclusions
- Comprehensive and balanced statements (that are evidence-based and connected to the MTR's findings) which highlight the strengths, weaknesses and results of the project

5.2 Recommendations
- Corrective actions for the design, implementation, monitoring and evaluation of the project
- Actions to follow up or reinforce initial benefits from the project
- Proposals for future directions underlining main objectives

6. Annexes
- MTR ToR (excluding ToR annexes)
- MTR evaluative matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)
- Example Questionnaire or Interview Guide used for data collection
- Ratings Scales
- MTR mission itinerary
- List of persons interviewed
- List of documents reviewed
- Co-financing table (if not previously included in the body of the report)
- Signed UNEG Code of Conduct form

- Signed MTR final report clearance form
- *Annexed in a separate file:* Audit trail from received comments on draft MTR report
- *Annexed in a separate file:* Relevant midterm tracking tools (*METT, FSC, Capacity scorecard, etc.)*

ToR ANNEX B: Midterm Review Evaluative Matrix Template

Evaluative Questions	Indicators	Sources	Methodology
Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?			
(include evaluative question(s))	(i.e. relationships established, level of coherence between project design and implementation approach, specific activities conducted, quality of risk mitigation strategies, etc.)	(i.e. project documents, national policies or strategies, websites, project staff, project partners, data collected throughout the MTR mission, etc.)	(i.e. document analysis, data analysis, interviews with project staff, interviews with stakeholders, etc.)
Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?			
Project Implementation and Adaptive Management: Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?			
Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?			

TOR ANNEX C: MTR RATINGS

Ratings for Progress Towards Results: (one rating for each outcome and for the objective)		
6	**Highly Satisfactory (HS)**	**The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as "good practice".**
5	**Satisfactory (S)**	**The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.**
4	**Moderately Satisfactory (MS)**	**The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.**
3	**Moderately Unsatisfactory (HU)**	**The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.**
2	**Unsatisfactory (U)**	**The objective/outcome is expected not to achieve most of its end-of-project targets.**
1	**Highly Unsatisfactory (HU)**	**The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets.**

Ratings for Project Implementation & Adaptive Management: (one overall rating)		
6	**Highly Satisfactory (HS)**	**Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as "good practice".**
5	**Satisfactory (S)**	**Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.**
4	**Moderately Satisfactory (MS)**	**Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.**
	Moderately	**Implementation of some of the seven components is not leading to efficient**

	Unsatisfactory (MU)	**and effective project implementation and adaptive, with most components requiring remedial action.**
2	**Unsatisfactory (U)**	**Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.**
1	**Highly Unsatisfactory (HU)**	**Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.**

Ratings for Sustainability: (one overall rating)		
4	**Likely (L)**	**Negligible risks to sustainability, with key outcomes on track to be achieved by the project's closure and expected to continue into the foreseeable future**
3	**Moderately Likely (ML)**	**Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review**
2	**Moderately Unlikely (MU)**	**Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on**
1	**Unlikely (U)**	**Severe risks that project outcomes as well as key outputs will not be sustained**

ToR ANNEX D: MTR Report Clearance Form

(to be completed by the Commissioning

Midterm Review Report Reviewed and Cleared By:

Commissioning Unit

Name: _____

Signature: _____ Date: _____

UNDP-GEF Regional Technical Advisor

Name: _____

Signature: _____ Date: _____

ANNEX F: EVALUATION CONSULTANT CODE OF CONDUCT AGREEMENT FORM

Evaluators:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.

2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.

3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.

4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.

5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders'dignity and self-worth.

6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations.

7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form[11]

Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: _____

Name of Consultancy Organization (where relevant): _____

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at *(place)* on *date*

Signature: _____

[11] www.undp.org/unegcodeofconduct

TOR ANNEX G
EVALUATION REPORT OUTLINE[12]

Opening Page

- Title of UNDP supported GEF financed project
- UNDP and GEF project ID#s.
- Evaluation time frame and date of evaluation report
- Region and countries included in the project
- GEF Operational Program/Strategic Program
- Implementing Partner and other project partners
- MTR Consultant
- Acknowledgements

Executive Summary

- Project Summary Table
- Project Description (brief)
- Evaluation Rating Table
- Summary of conclusions, recommendations and lessons

Acronyms and Abbreviations
(See: UNDP Editorial Manual[13])

1. Introduction

- Purpose of the evaluation
- Scope & Methodology
- Structure of the evaluation report

2. Project description and development context

- Project start and duration
- Problems that the project sought to address
- Immediate and development objectives of the project
- Baseline Indicators established
- Main stakeholders
- Expected Results

3. Findings
(In addition to a descriptive assessment, all criteria marked with (*) must be rated[14])

[12] The Report length should not exceed *40* pages in total (not including annexes).
[13] UNDP Style Manual, Office of Communications, Partnerships Bureau, updated November 2008

3.1 Project Design / Formulation

- Analysis of LFA/Results Framework (Project logic /strategy; Indicators)
- Assumptions and Risks
- Lessons from other relevant projects (e.g., same focal area) incorporated into project design
- Planned stakeholder participation
- Replication approach
- UNDP comparative advantage
- Linkages between project and other interventions within the sector
- Management arrangements

3.2 Project Implementation

- Adaptive management (changes to the project design and project outputs during implementation)
- Partnership arrangements (with relevant stakeholders involved in the country/region)
- Feedback from M&E activities used for adaptive management
- Project Finance
- Monitoring and evaluation: design at entry and implementation (*)
- UNDP and Implementing Partner implementation / execution (*) coordination, and operational issues

3.3 Project Results

- Overall results (attainment of objectives) (*)
- Relevance(*)
- Effectiveness & Efficiency (*)
- Country ownership
- Mainstreaming
- Sustainability (*)
- Impact

4. Conclusions, Recommendations & Lessons

- Corrective actions for the design, implementation, monitoring and evaluation of the project
- Actions to follow up or reinforce initial benefits from the project
- Proposals for future directions underlining main objectives
- Best and worst practices in addressing issues relating to relevance, performance and success

5. Annexes

- ToR
- Itinerary
- List of persons interviewed
- Summary of field visits

[14] Using a six-point rating scale: 6: Highly Satisfactory, 5: Satisfactory, 4: Marginally Satisfactory, 3: Marginally Unsatisfactory, 2: Unsatisfactory and 1: Highly Unsatisfactory, see section 3.5, page 37 for ratings explanations.

- List of documents reviewed
- Evaluation Question Matrix
- Questionnaire used and summary of results
- Evaluation Consultant Agreement Form

ANNEX H: EVALUATION REPORT CLEARANCE FORM

(to be completed by CO and UNDP GEF Technical Adviser based in the region and included in the final document)

Evaluation Report Reviewed and Cleared by

UNDP County Office

Name:_____

Signature:_____ Date:_____

UNDP GEF RTA

Name:

Signature:_____ Date:_____

Annex I

CO-FINANCING TABLE FOR UNDP SUPPORTED GEF FINANCED PROJECTS

Co Financing Types/Sources	IA Own Financing (Million US $)		Government (Million US $)		Other Sources[15] (Million US $)		Total Financing (Million US $)		Total Disbursement (Million US $)	
	Proposed	Actual	Proposed	Actual	Proposed	Actual	Proposed	Actual	Proposed	Actual
Grant										
Credits										
Equity										
In Kind										
Non grant instruments[16]										
Other Types										
TOTAL										

[15] Other Sources refer to contributions mobilized for the project from other multilateral agencies, bilateral development cooperation agencies, NGOs, the private sector, etc. Specify each and explain "Other sources" of co-financing when possible.

[16] Describe "Non-grant instruments" (such as guarantees, contingent grants, etc.)

Annex 10: Signed MTR Final Report Clearance Form

Midterm Review Report Reviewed and Cleared By:	
Commissioning Unit	
Name:	
Signature:	Date:
UNDP-GEF Regional Technical Advisor	
Name:	
Signature:	Date: