Regional Inception Workshop for the
SEAFDEC/UNEP/GEF Project:
"Establishment and Operation of a Regional System of Fisheries Refugia
in the South China Sea and Gulf of Thailand"
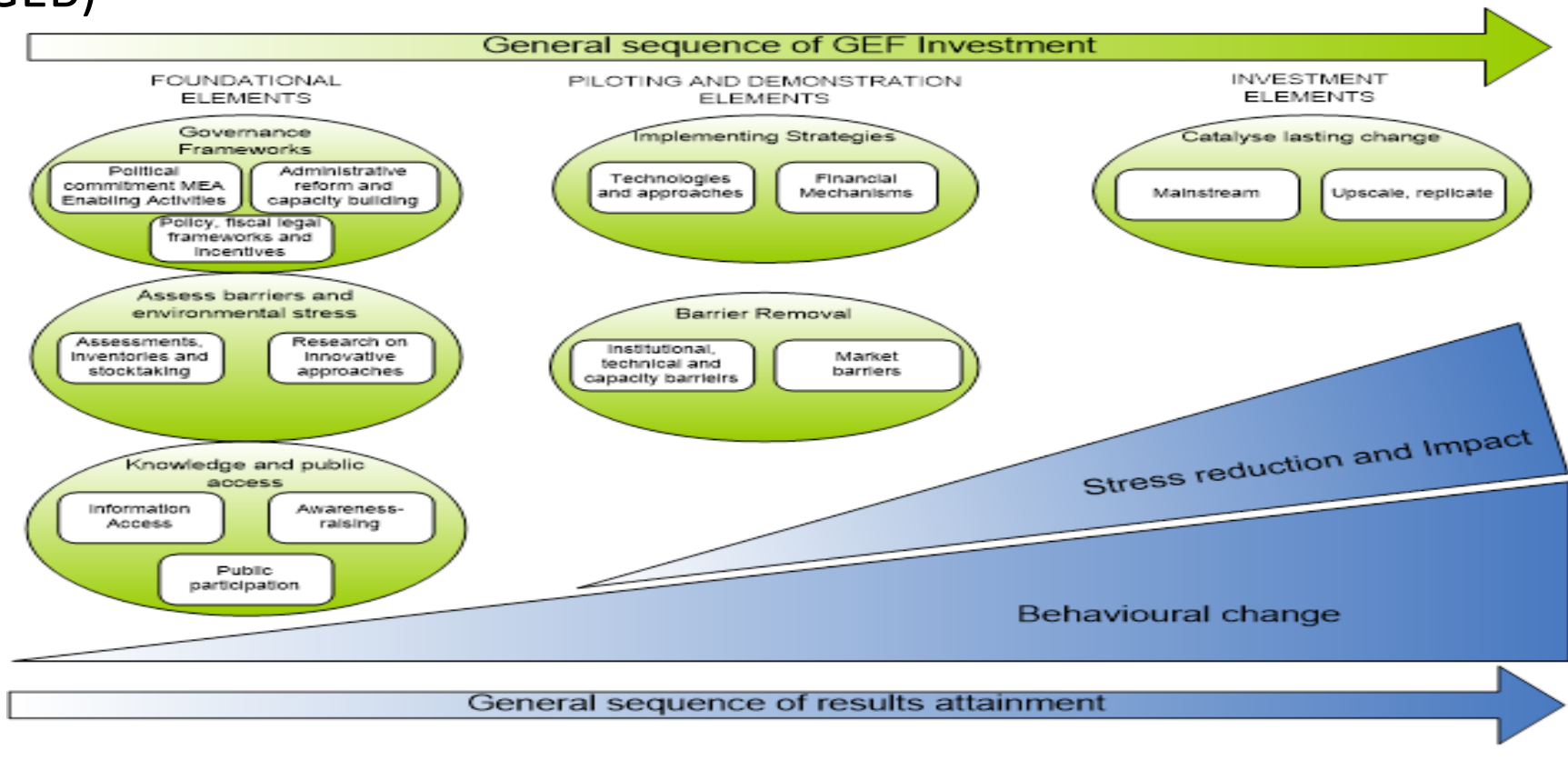
Bangkok, Thailand, 1st – 3rd November 2016

Agenda Item
5. DEVELOPING A RESULTS-BASED MANAGEMENT SYSTEM FOR THE FISHERIES *REFUGIA* PROJECT
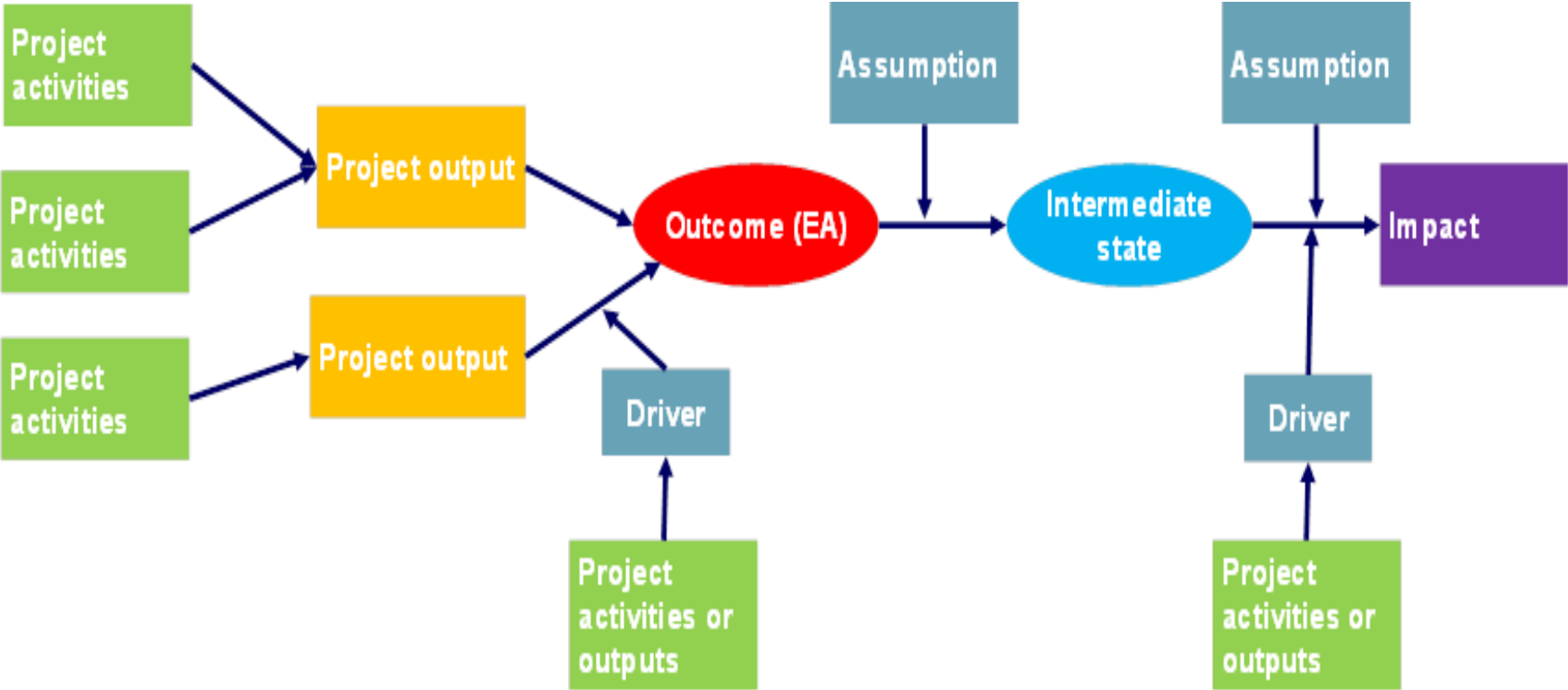**5.1 Consideration of GEF and UNEP minimum standards for monitoring and evaluation**

What drives the GEF overall….

GEF supports the generation of Global Benefits to the Environment (GEB)

What drives the GEF and UNEP M&E process....

Importance of result based management systems….

- Through the information and evidence-based tools provided by project <u>results-based management systems</u>, the GEF can systematically improve its effectiveness and target its resources more strategically

- A results based management system is "a <u>management strategy</u> focusing on <u>performance</u> and **achievement** of **outputs**, **outcomes**, and **impacts**".

Reference – supporting document

- SEAFDEC/UNEP/GEF/INC/1.10 - Developing a Results-Based Management System for the Fisheries *Refugia* Project

RBM...project logframe

Component	Outcomes	Indicator	Baseline	Targets End of Project	Source of Verification	Risks and Assumptions
1. Identification and management of fisheries and critical habitat linkages at priority fisheries *refugia* in the South China Sea and Gulf of Thailand	*1. **Reduced stress on fish stocks and coastal habitats** via improved national management of key anthropogenic threats to fisheries and critical habitat linkages in the South China Sea and Gulf of Thailand*	*Status of formal designation, management plan adoption, and community engagement in implementation of agreed management measures, including enforcement, for priority sites*	*Rate of coastal habitat loss from SCS basin is high (e.g., 30% per decade for seagrass) Fishing identified as a key threat to coastal habitats*	*Effective management of key threats to **14 fisheries refugia** sites [**269,500 ha**], including **~50 percent reduction in fishing pressure** within sites at times critical to the life-cycles of fished species of transboundary significance*	*Adopted management plans Regular reports of meetings of national and regional project management bodies Reports of independent mid-term and terminal project evaluations*	*Adequate local cooperation to compile and analyze information to establish baselines and standardized procedures to measure and monitor the effectiveness of agreed stress reduction measures*

RBM…project logframe

Component	Outcomes	Indicator	Baseline	Targets End of Project	Source of Verification	Risks and Assumptions
2. Improving the management of critical habitats for fish stocks of transboundary significance via national and regional actions to strengthen the enabling environment and knowledge-base for fisheries *refugia* management in the South China Sea and Gulf of Thailand	**2. *Increased institutional capacity* in the *6 participating countries* for the designation and operational management of fisheries refugia via the transformation of enabling environments and the generation of knowledge for planning**	*Status of enabling environment reform, including extent of behavioural change among small-scale fisherfolk at priority sites* *Extent of use of available environmental state and socio-cultural information in policy and planning frameworks*	*Weak enabling environments and limited knowledge within national fisheries and environment departments and ministries with respect to the implementation of measures aimed at managing threats to fish stock and critical habitat linkages*	*National and regional policy, legal and planning frameworks for demarcating boundaries and managing fisheries refugia, resulting in, inter alia, a 20 percent increase in small-scale fishing vessels using fishing gear and practices designed to safeguard fish stock and critical habitat linkages at priority sites*	*Endorsed polices and plans* *Regular reports of meetings of national and regional project management bodies* *Reports of independent mid-term and terminal project evaluations*	*Willingness of fisheries and environment sectors to agree on guidelines promoting cross-sectorial cooperation and make joint commitments to the reform of national policy, legal and regulatory frameworks governing the management of fisheries refugia*

RBM…project logframe

Components	Outcomes	Indicator	Baseline	Targets End of Project	Source of Verification	Risks and Assumptions
3. Information Management and Dissemination in support of national and regional-level implementation of the fisheries *refugia* concept in the South China Sea and Gulf of Thailand	*3. **Strengthened knowledge management and information sharing and access** for enhanced uptake of good practice in integrating fisheries management and biodiversity conservation in the design and implementation of fisheries and environmental management systems, including Marine Spatial Planning*	*Extent of demonstrable use of examples of good practice in guiding the replication, scaling-up and mainstreaming of good practices*	*Low-level ability of stakeholders to engage in meaningful dialogue regarding how broader multiple use planning can best contribute to improving the state of fisheries and biodiversity conservation*	*National and regional systems for knowledge management and sharing, including the development of indicator sets and standardized statistics to guide the replication, scaling-up and mainstreaming of good practices in the use of fisheries refugia as a spatial planning tool*	*Routine communications on progress and lessons learned prepared and shared Annual results reports published and disseminated National and regional web portals for knowledge management and information exchange accessible online*	*If insufficient good practices are documented and shared regionally, awareness building initiatives will be based on a limited number of local examples and may not be effective in engaging community members and resource users in the wider region*

RBM...project logframe

Components	Outcomes	Indicator	Baseline	Targets End of Project	Source of Verification	Risks and Assumptions
4. National and regional cooperation and coordination for integrated fish stock and critical habitat management in the South China Sea and Gulf of Thailand	*Cost-effective and efficient coordination of national and regional level cooperation for integrated fisheries and environmental management*	*Extent and continuity of stakeholder participation in meetings of project management bodies, including the scope and uptake of joint management and planning decisions*	*Lack of national and regional-level mechanisms to facilitate integration of fisheries management and biodiversity conservation*	*Effective multi-lateral and intergovernmental communication and joint decision-making, including the use of a consensual knowledge-base in planning ecologically and cost-effective management actions*	*Regular reports of meetings of national and regional project management bodies* *Reports of independent mid-term and terminal project evaluations*	*Consultative processes will elicit adequate stakeholder input and commitment of support from national networks to enable integrated management*

Indicators/Targets

EFFECTIVE INDICATORS SHOULD BE 'SMART'

Specific enough to assess the progress and taking into account the target group (for whom) and location (where);

Measurable - reliable and clear measurement is possible that can specify quantity (how much) and/or quality (how well);

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Attainable - credible link to results and **Attributable** to the intervention, the indicator is measuring project performance and not something that might have 'happened anyway';

Relevant to the intended outputs and outcome; and

Time-bound (by when) and **Trackable** (availability of data within reasonable cost and effort).

Baseline

"In **project management** there are three baselines: schedule **baseline**, cost **baseline** and scope **baseline**. The combination of all three baselines is referred to as the **performance measurement baseline**. A **baseline** is a fixed schedule, which represents the standard that is used to measure the performance of the **project**."

6months to 1 year upon project start

M&E process

- **Monitoring and evaluation are critical tasks** in the life of a project and rely heavily on the **Results-Based Management system**.

- **Monitoring** is a management tool

- It provides management and the main project stakeholders with <u>indications</u> of the extent of <u>progress and achievement</u> of objectives and progress in the use of allocated funds
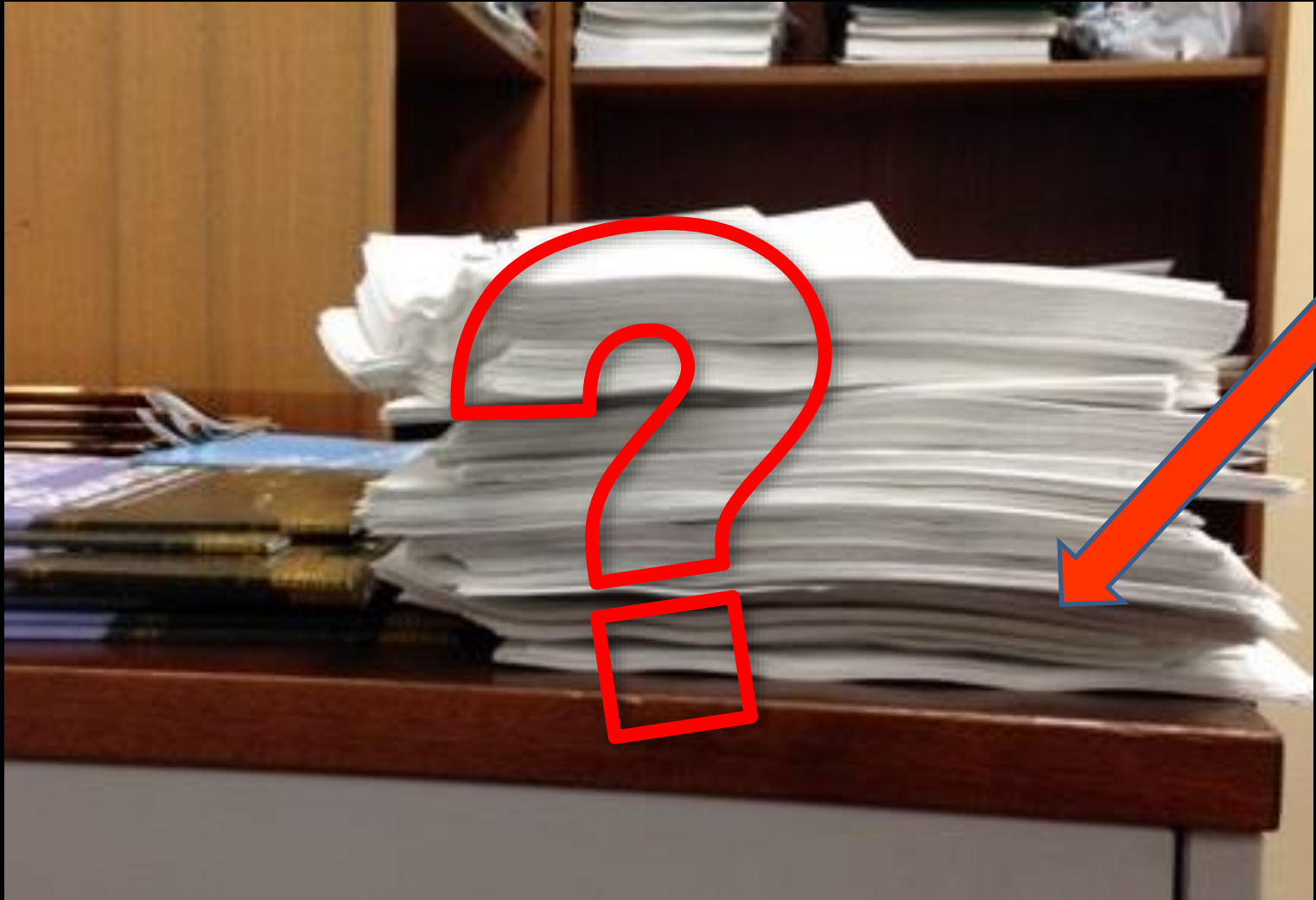
M&E process

- **Evaluation** as defined by OECD-DAC is "*The systematic and **objective assessment** of an on-going or completed project, its design, implementation and results. The aim is to **determine** the **relevance** and **fulfillment** of objectives, development **efficiency**, **effectiveness**, **impact** and **sustainability.**"

- Evaluation is an exercise conducted **independently** of the managing office.

"Unpacking the M&E plan"

M&E process

Project Design and Inception

Development of Logframe, Results Framework, and Monitoring and Evaluation Plan

Implementation

Monitoring of Progress, Adaptive Management, Course Correction as Directed by Steering Committee and Mid-Term Evaluation

Evaluation

Overall Assessment of Project Relevance, Effectiveness, Efficiency, Results, and Sustainability

Adaptation/adaptive management

Project Management, Monitoring, Reporting, Recording Lessons

Lessons learned; good practices

Key reporting and evaluation obligations

Comprehensive monitoring and reporting plan

Day to day Monitoring

- PCU regular calls/F2F meetings/ visits with countries and partners

- Annual, or more frequent, Steering Committee meetings or other advisory body meetings

Key reporting and evaluation obligations

Comprehensive monitoring and reporting plan

Periodic Reporting

- QOR – Every Quarter + 8 day +15 days

- PIR – Every year by 31 July

- "Tracking Tools" at beginning, middle and end of a project

- Terminal Report – by project closure

- QER - Every Quarter + 8 day +15 days

- Audit report - Annually

Source of inputs to PCU

- National Interventions PMU

- Partners under contract

Key reporting and evaluation obligations

PIR

- Review – annual evaluation

- Rating project - DO – IP – Risk – M&E - LL

- Tracking Tool report (Midterm – end of project life)

- Co-financing report (co-financing tracking system)

Source of inputs to PCU

- National Interventions PMU

- Partners under contract

Key reporting and evaluation obligations

Comprehensive monitoring and reporting plan

Evaluation

- Midterm <u>independent</u> evaluation
- Terminal <u>independent</u> evaluation

Others

- Experience note, case studies, videos, comms products

Thank you

Questions