



AGENDA 4.1

RESULTS OF MID-TERM REVIEW

Presented by : PCU

- ❖ A Mid-Term Review has been undertaken by Dr. Peter Whalley between November 2021 and February 2022;
- ❖ MTR Report indicates the UN project ratings according to the criterion:

Criteria are rated on a six-point scale as:

6. Highly Satisfactory (HS);
5. Satisfactory (S);
4. Moderately Satisfactory (MS);
3. Moderately Unsatisfactory (MU);
2. Unsatisfactory (U);
1. Highly Unsatisfactory (HU)

'Sustainability' criteria are rated from Highly Likely down to Highly Unlikely:

4. Highly Likely (HL);
3. Likely (L);
2. Unlikely (U);
1. Highly Unlikely (HU)

- ❖ The Project has been assessed overall by this Mid-Term Review as being **Moderately Satisfactory**

FINDINGS

- ❖ The Mid-Term Review acknowledges the **achievements** to date and a significant program to complete within the 2022 and rates **the Output Delivery as Moderately Satisfactory**;
- ❖ The project builds directly on the success of the SAP and is highly relevant to the countries of the region and the strategies of UNEP. The **Relevance is rated as Highly Satisfactory**.
- ❖ The project has been **Effective** in establishing 12 *refugia* sites and undertaking multiple workshops, capacity development, and awareness-raising activities. So, MTR rated as **Satisfactory**.
- ❖ The **Efficiency** of project execution is rated as **Moderately Satisfactory** due to the delays.
- ❖ The overall **Sustainability** of the project's activities is considered to be **Likely**

1) To: Project Co-ordination Unit/Executing Agency:

Should seek an additional project extension to complete the remaining work and utilize the budget to deliver expected activities, especially for the countries that have achieved 50% or less of expected outputs. The Mid-Term Review considers that a further one-year extension would enable the project to focus on the countries that have achieved less progress to ensure all countries and relevant coastal communities get the maximum benefits from pilot actions to test fisheries *refugia* approaches. The Project Co-ordination Unit should explore what resources could be available from the South China Sea Strategic Action Programme implementation project to enable the finalization of the fisheries *refugia* project.



RECOMMENDATIONS

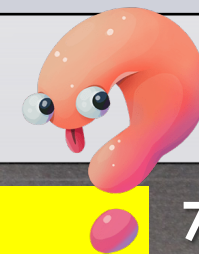
2) To: Project Co-ordination Unit/Executing Agency:

Irrespective of Recommendation 1 being accepted, the Project Co-ordination Unit should revise workplan and Results Framework to ensure that these reflect the current situation and budgets to deliver all remaining expected activities and outputs to be achieved. There is an opportunity at the Mid-Term Review to present realistic deliverables that reflect the 10% reduction of unspent budgets that might have an impact on what can be achieved by the pilots at the national/local level. **The Project Co-ordination Unit should also prepare a clear statement of the significant project component changes (from the Endorsed CEO Document) with justifications and an assessment of the impacts on the intended ambition of the project.**

UNEP BUDGET LINE/OBJECT OF EXPENDITURE			BUDGET ALLOCATION PER PROJECT COMPONENT														
			REGIONAL PROGRAM				NATIONAL PROGRAM - 6 COUNTRIES				OVERALL PROGRAMS						
			I	II	III	IV	I	II	III	IV	I	II	III	IV			
10	PROJECT PERSONNEL																
	1100	Project Personnel w/m					84,800	105,000	57,600	-			84,800	105,000	57,600	-	
	1200	Consultants w/m	-	-	40,000	500,000	118,500	153,000	-	-			118,500	153,000	40,000	500,000	
	1600	Travel on official business (above staff)	-	-	-	120,000	64,000	12,000	-	-			64,000	12,000	-	120,000	
20	SUB-CONTRACT																
	2100	Sub-contracts (MoU's/LA's for UN cooperating agencies)					-	-	-	-			-	-	-	-	
	2200	Sub-contracts (MoU's/LA's for non-profit supporting organizations)	-	100,000	29,000	-	335,000	231,000	54,000	-			335,000	331,000	83,000	-	
	2300	Sub-contracts (commercial purposes)	-	-	15,000	100,000	-	-	60,000	-			-	-	75,000	100,000	
30	TRAINING																
	3200	Group training (study tours, field trips, workshops, seminars, etc)					108,800	73,000	24,000	-			108,800	73,000	24,000	-	
	3300	Meetings/conferences (give title)	-	-	20,000	200,000	30,000	60,000	-	89,500			30,000	60,000	20,000	289,500	
40	EQUIPMENT & PREMISES																
	4100	Expendable equipment (items under \$1,500 each, for example)					-	-	-	-			-	-	-	-	
	4200	Non-expendable equipment (computers, office equip, etc)	-	-	-	50,000	-	-	-	-			-	-	-	50,000	
	4300	Premises (office rent, maintenance of premises, etc)					-	-	-	-			-	-	-	-	
50	MISCELLANEOUS																
	5100	Operation and maintenance of equip.					-	-	-	-			-	-	-	-	
	5200	Reporting costs (publications, maps, newsletters, printing, etc)	-	-	-	40,000	13,800	12,000	-	-			13,800	12,000	-	40,000	
	5300	Sundry (communications, postage, freight, clearance charges, etc)					-	-	-	-			-	-	-	-	
	5400	Hospitality and entertainment					-	-	-	-			-	-	-	-	
	5500	Evaluation (consultants fees/travel/DSA, admin support, etc. intern	-	-	-	100,000	-	-	-	-			-	-	-	100,000	
TOTAL COSTS			-	100,000	104,000	1,110,000	754,900	646,000	195,600	89,500			754,900	746,000	299,600	1,199,500	
			1,314,000				1,686,000				3,000,000						

CONSIDERING THE GEF/CEO APPROVAL BUDGET
AND
COST WORKPLAN (OVERALL BUDGET)

	COMP I	COMP II	COMP III	COMP IV
Overall Budget Allocation (Approved Cost Work Plan in Prodoc)	754,900	746,000	299,600	1,199,500
Expenditures as of 2021Q3	435,490	191,371	105,082	1,017,583
GEF/CEO Approval Budget	1,304,900	746,000	299,600	649,500



CONSIDERING THE GEF/CEO APPROVAL BUDGET AND COST WORKPLAN (OVERALL BUDGET)

	COMP I	COMP II	COMP III	COMP IV
Overall Budget Allocation (Approved Cost Work Plan in Prodoc)	754,900	746,000	299,600	1,199,500
GEF/CEO Approval Budget	1,304,900	746,000	299,600	649,500
VARIANCE	550,000	0	0	(550,000)

BL1200: 412,000\$
BL1600: 80,000\$
BL3300: 58,000\$

ORIGINAL BUDGET

Project title:		Establishment and Operation of a Regional System of Fisheries Refugia in the South China Sea and Gulf of Thailand														
Project executing partner:		Southeast Asian Fisheries Development Center (SEAFDEC)														
Project implementation period:																
From:		Mar-16														
To:		31-Dec-22														
UNEP Budget Line		Budget per component							Budget per Year							
		I	II	III	IV	PMC	M&E	TOTAL	2016	2017	2018	2019	2020	TOTAL		
010	Staff & Personnel (including Consultants)								(A)	Prep. Phase						2016-2020
1211	Chief Technical Advise/Regional Project Manager	412,000					75,000	487,000		121,000	122,000	122,000	122,000	487,000		
1212	Supporting staff (Finance/Admin)						13,000	13,000					13,000	13,000		
1213	Specialist/Fisheries Experts on information and dissemination			40,000				40,000			20,000	20,000		40,000		
1101-1114	Research, information Assistants	84,800	105,000	57,600				247,400		98,900	80,300	40,100	28,100	247,400		
1201-1210	Local consultants for baseline, guidelines, action plan, policy/legal	118,500	153,000					271,500		98,000	100,000	73,500	-	271,500		
5501	Evaluators for Mid-term Review and Project Terminal						75,000	75,000			30,000		45,000	75,000		
	Sub-total	615,300	258,000	97,600	-	88,000	75,000	1,133,900	-	317,900	352,300	255,600	208,100	1,133,900		
120	Contractual Services (Sub-contract)															
3308	Bilateral Meeting of Regional Scientific and Technical Committee						40,000	40,000		10,000	10,000	10,000	10,000	40,000		
3309	Annual Meeting of the Regional Steering Committee included Inception						30,000	30,000	7,000	5,500	5,500	6,000	6,000	30,000		
3311	Regional Meetings: Indicators, RAP for short mackerel			8,000				8,000		-	-	8,000	-	8,000		
5201-5205	Printing, design and communication product services (Regional + National)	13,800	12,000				40,000	65,800		10,000	24,800	21,000	10,000	65,800		
2201	Production and education package			29,000				29,000				15,000	14,000	29,000		
2301, 2302	Regional Web design services (include hosting) for operation of web tools			15,000				15,000				7,500	7,500	15,000		
2303	National Web design services (include hosting) for operation of web tools			60,000				60,000		24,000	12,000	12,000	12,000	60,000		
2304	Audits (6 countries + PCU consolidated Audit) (5 years: 2016-2020)						100,000	100,000		25,000	25,000	25,000	25,000	100,000		
	Sub-total	13,800	12,000	112,000	-	-	210,000	347,800	7,000	74,500	77,300	104,500	84,500	347,800		
125	Operating and Other Costs															
4301	Premise Rent							-						-		
5100	Equipment Rental and Maintenance							-						-		
5300	Sundry (postage, copies, freight, clearance charges, etc)							-						-		
	Sub-total	-	-	-	-	-	-	-	-	-	-	-	-	-		
130	Supplies, Commodities and Materials															
4101	Expandable equipment				1,500	3,500		5,000		2,000	1,500	1,000	500	5,000		
	Sub-total	-	-	-	1,500	3,500	-	5,000	-	2,000	1,500	1,000	500	5,000		
135	Equipment, Vehicles and Furniture															
4201	None Expandable Equipment (computers, hardwares/software, Drone)				30,000	15,000		45,000		15,000	10,000	10,000	10,000	45,000		
	Sub-total	-	-	-	30,000	15,000	-	45,000	-	15,000	10,000	10,000	10,000	45,000		
140	Transfers & Grants to Implementing Partners															
2215	Sub-contract - oceanographic modelling		40,000					40,000			20,000	20,000		40,000		
2216	Sub-contract - demonstration best practice fishing gear and methods		60,000					60,000			30,000	30,000		60,000		
2201-2214	Sub-contracts to non-profit Org. at national activities	335,000	231,000	54,000				620,000		88,000	142,000	215,500	174,500	620,000		
	Sub-total	335,000	331,000	54,000	-	-	-	720,000	-	88,000	162,000	265,500	204,500	720,000		
160	Travel															
1601-1611	Travel of staff (official business at national level)	64,000	12,000					76,000		18,800	40,400	14,100	2,700	76,000		
1612	Travel of project staff to technical support, and GEF meetings	80,000					40,000	120,000		30,000	30,000	30,000	30,000	120,000		
3201-3212	Group Training/workshops, baseline survey, field trips, etc.) at national level	108,800	73,000	24,000				205,800		72,800	83,000	35,000	15,000	205,800		
3301-3310	Travel for National meetings and conference at national level	30,000	60,000				89,500	179,500		32,000	71,500	51,500	24,500	179,500		
3311	Travel for Regional Meetings (indicators, etc)			12,000				12,000				12,000		12,000		
3308	Travel for Regional Meetings (RSTC)	38,000			42,000			80,000		20,000	20,000	20,000	20,000	80,000		
3309	Travel for Regional Meetings (PSC) included Inception Meeting	20,000			26,500			46,500	4,000	6,000	10,000	12,000	14,500	46,500		
3310	Regional training workshop							-						-		
5501	Travel of Mid-Term Evaluator and Terminal Evaluator				25,000			25,000			10,000		15,000	25,000		
3309	OTHER costs (project management, finance, procurement plans, tors, etc)					3,500		3,500					3,500	3,500		
	Sub-total	340,800	145,000	36,000	183,000	43,500	-	748,300	4,000	179,600	264,900	174,600	125,200	748,300		

PSC7 Ad-hoc

		Budget per component							11,000	677,000	868,000	811,200	632,800	3,000,000
		I	II	III	IV	PMC	M&E	TOTAL	RECC#2_4/5					
Grand Total Per Component		1,304,900	746,000	299,600	214,500	150,000	285,000	3,000,000						



FEEDBACK FROM PCU FOR APPROVAL BY THE COMMITTEE:

- 1) It is not necessary to revise the workplan and Results Framework because the current cost workplan meets the expected outputs; It is a matter of budget reporting designed for the project implementation as shown in the UMOJA Original Budget template.
- 2) With regards to the 10% reduction of unspent budgets, that might impact what can be achieved by the pilots at the national/local level. The PCU refers to the PSC6 Ad-hoc meeting in which the third Budget Revision and the use of the Unspent from Viet Nam were discussed. Accordingly, if the country faces on budget, the participating country may request to use extra funding from the Viet Nam's Unspent through the PSC approval.
- 3) The PCU feedback to the Recommendation #2 should be recorded in the PSC7 Ad-hoc Meeting Report for further analysis or as a reference to the Terminal Evaluation.



3) To: Project Co-ordination Unit:

Collate and analyze disaggregated sex data of participants involved in project activities. The project has collected sex disaggregate information from workshops and meetings, which is commendable. It would be beneficial to present this information in the next Project Implementation Review report and have the data analyzed prior to the Terminal Evaluation.



4) To: Project Co-ordination Unit

Develop a clear Exit Strategy for the regional and national sustainability and replication of the activities. The project has collected a wealth of experiences and information from the pilot sites and regional activities, much of which is presented on the website(s) and at various IW:LEARN and other organisations' events. The Mid-Term Review recommends that the project managers of this project and South China Sea Strategic Action Programme implementation project brainstorm shared approaches to address their project needs. The South China Sea project requires an update of the fishery aspects of the 2008 Strategic Action Programme and the fisheries refugia project needs to complete the project (e.g. Indonesia and Viet Nam) to the level of detail expected in the GEF CEO Endorsement Document.



5) To: Project Co-ordination Unit:

Preparation of GEF IW:LEARN Experience Notes. GEF International Waters recommends the preparation of Experience Notes by projects based on practical lessons from the execution. This project has a number of key aspects that would merit sharing through this mechanism including stakeholder involvement in pilot locations (design, implementation and management), lessons from gaining acceptance to the fisheries refugia concept, coastal ecosystem management, etc.



6) To: UNEP and Executing Agency:

Ensure regional and national staff (and any replacement staff) engaged in financial management are briefed on the requirements of IA and EA at the start of the project. Stakeholders and the UNEP Fund Management Officer identified that staff and consultants were not sufficiently familiar with the requirements of financial reporting. The Fund Management Officer suggested that a training session is provided at project inception meetings to act as an induction course on the approaches for complying with UNEP financial reporting and the expectation of the GEF as the donor.

ACTIONS BY THE COMMITTEE

- ❖ Committee is requested to consider the findings and six recommendations of the Mid-term Review while providing their views on the findings, lessons learned, and recommendations from the MTR.
- ❖ Respond to Recommendation #1, considers a further one-year extension; Committee and the relevant agency may provide their views on this recommendation.
- ❖ Refers to Recommendation #2, the Committee is requested to understand the original project design, mainly recording expenditures reports under the project Component 1 and Component 4, which are aligned with the Budget Endorsement by the CEO.
- ❖ Committee is invited to adopt the MTR as it is or include a note of some feedback to the recommendations for further references.