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**WESTERN INDIAN OCEAN LARGE MARINE ECOSYSTEMS STRATEGIC  
ACTION PROGRAMME POLICY HARMONISATION AND  
INSTITUTIONAL REFORMS (SAPPHIRE)**

**Mid-Term Review**

Final Report

June 2022

## KEY DATA

**Name of the Project:** Western Indian Ocean Strategic Action Programme Policy Harmonisation and Institutional Reforms (SAPPHIRE)

**UNDP PIMS #:** 5262

**GEF Project ID #:** 5513

**MTR Time frame:** January 2022 – April 2022

**Date of MTR Report:** 30 April 2022

**Region and countries included in the project:** Western Indian Ocean; Comoros, Kenya, Madagascar, Mauritius, Mozambique, Seychelles, Somalia, South Africa, Tanzania

**GEF Operational Focal Area:** International Waters

**Implementing Agency:** UNDP

**Executing Partner:** Nairobi Convention Secretariat

**MTR Team members:** Ivica Trumbić

**Acknowledgement:** The Reviewer is grateful for the support provided by the UNDP as well as the UNDP Regional Technical Advisor and the Project Management Unit in organising and participating in the implementation of this review. He also thanks all those who patiently provided answers to questions and offered their views on the project. While the Reviewer has made every effort to accurately reflect the information and opinions received, any remaining errors or omissions are his own.

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## Acronyms and Abbreviations

ABNJ	Areas Beyond National Jurisdiction
ASCLME	Agulhas and Somali Current Large Marine Ecosystems
AWP	Annual Work Plan
CEO	Chief Executive Officer
COP	Conference of Parties
CSO	Civil Society Organisation
EEZ	Exclusive Economic Zone
EQO	Environmental Quality Objective
GDP	Gross Domestic Product
GEF	Global Environment Facility
IGO	Inter-Governmental Organisation
IMC	Inter-Ministerial Committee
IndOOS	Indian Ocean Observing System
IOC	Indian Ocean Commission
IUCN	International Union for Conservation of Nature
IW:LEARN	International Waters Learning Exchange and Resource Network
IWR	Inception Workshop Report
JC	Joint Commission
JMA	Joint Management Area
KMFRI	Kenya Marine and Fisheries Research Institute
LME	Large Marine Ecosystem
MCS	Monitoring, Control and Surveillance
M&E	Monitoring and Evaluation
MEDA	Marine Ecosystem Diagnostic Analysis
MTR	Mid Term Review
MSP	Marine Spatial Planning
NC	Nairobi Convention
NCS	Nairobi Convention Secretariat
NGO	Non-Governmental Organisation
NICC	National Inter-sectoral Coordination Committee)
PIF	Project Identification Form
PIR	Project Implementation Report
PMU	Project Management Unit
PPG	Project Preparation Grant
PRF	Project Results Framework
ProDoc	Project Document
PSC	Project Steering Committee
RTA	Regional Technical Advisor
SAP	Strategic Action Programme
SAPPHIRE	Strategic Action Programme Policy Harmonisation and Institutional Reforms
SDG	Sustainable Development Goal
SESP	Social and Environmental Screening Procedure
SMART	Specific, Measurable, Achievable, Relevant and Time-bound (Indicators)
SwAM	Swedish Agency for Marine and Water Management
SWIOFC	Southwest Indian Ocean Fisheries Commission
SWIOFish	South West Indian Ocean Fisheries Governance and Shared Growth
S2G	Science to Policy
TDA	Transboundary Diagnostic Analysis
ToC	Theory of Change

ToR	Terms of Reference
TOT	Training of Trainers
TWG	Technical Working Group
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
WIO	Western Indian Ocean
WIO-C	Western Indian Ocean Consortium of NGOs
WIO-LaB	Addressing Land Based Activities in the Western Indian Ocean
WIOMSA	Western Indian Ocean Marine Science Association
WIO-SAP	Implementation of the Strategic Action Programme for the protection of the Western Indian Ocean from land-based sources and activities
WQ	Water Quality
WWF	World Wildlife Fund for Nature

## Project Identification Table

<b>Project Title:</b>	Western Indian Ocean LMEs - Strategic Action Programme Policy Harmonization and Institutional Reforms (SAPPHIRE) Project		
<b>UNDP Project ID (PIMS #):</b>	5262	<b>PIF Approval Date:</b>	August 2, 2013
<b>GEF Project ID (PMIS #):</b>	5513	<b>CEO Endorsement Date:</b>	12 July, 2016
<b>Award ID:</b>	00087612	<b>Project Document (ProDoc) Signature Date (project start):</b>	October 25, 2017
<b>Country(ies):</b>	Comoros, Kenya, Madagascar, Mauritius, Mozambique, Seychelles, Somalia, South Africa, Tanzania	<b>Date project manager hired:</b>	November 01, 2018
<b>Region:</b>	Indian Ocean	<b>Inception Workshop date:</b>	November 16, 2017
<b>Focal Area:</b>	International Waters (GEF 5)	<b>Midterm Review date:</b>	February 2022
<b>GEF-5 Strategic Programs:</b>		<b>Planned closing date:</b>	24 April 2023
<b>Trust Fund:</b>	GEF trust Fund	<b>If revised, proposed closing date:</b>	
<b>Executing Agencies:</b>	United Nations Development Programme (UNDP)		
<b>Implementing partners:</b>			
<b>Project Financing:</b>	<b>at CEO endorsement (USD)</b>	<b>at Midterm Review (USD)</b>	
<b>[1] GEF financing:</b>	8,766,500	6,442,340*	
<b>[2] UNDP contribution:</b>			
<b>[3] Government:</b>	311,040,044		
<b>[4] Other partners:</b>	6,759,450		
<b>[5] Total co-financing [2 + 3+ 4]:</b>	317,799,494	42,880,000	
<b>PROJECT TOTAL COSTS [1 + 5]</b>	326,565,994		

\*this amount includes funds disbursed until December 2021 and the total amount of the revised and approved 2022 budget

## Executive Summary

The SAPPHIRE Project aims to support and assist the appropriate and formally mandated government institutions and intergovernmental bodies in the region to implement the activities which they require in order to deliver the SAP and to ensure sustainability of efforts and actions toward long-term management of activities within the LMEs as well as the sustainability of associated institutional arrangements and partnerships. The overall objective of the SAPPHIRE Project is to achieve effective long-term ecosystem management in the Western Indian Ocean LMEs in line with the Strategic Action Programme as endorsed by the participating countries. The project has 5 components:

- **Component 1:** activities and deliverables in support of management and policy reforms for SAP Implementation
- **Component 2:** effective community engagement in the overall management process, with an emphasis on demonstrating such engagement and involvement at the localised level, and particularly in relation to small-scale, artisanal fisheries and associated small-area management approaches.
- **Component 3:** effective mechanisms for interaction between the maritime industrial sector and governance bodies in the development of joint management approaches within the LMEs.
- **Component 4:** best lessons and practices in strengthening partnerships for management of areas beyond national jurisdiction including the integrated use of Marine Spatial Planning and the Blue Economy framework into the development of Ocean Governance and Policy
- **Component 5:** capacity development and the coordination of training and capacity strengthening within the region in relation to effective SAP management and implementation.

The total budget for the project is US\$326,565,994 comprising US\$8,766,500 of GEF grant funding and US\$317,799,494 in co-financing. The original implementation period is 66 months, planning to end in April 2023.

UNDP is the GEF Implementing Agency for the SAPPHIRE project. Initially the UNDP Country Office responsible for Mauritius and Seychelles was defined as the Executing Partner. Following the recommendation from GEF Secretariat and taking into account its relevant mandates in the Western Indian Ocean region, the Nairobi Convention Secretariat (administered by UNEP) is fully involved in the implementation of the project as the Responsible Party, except for Deliverable 4.2.1 (Demonstrating Innovative Ocean Governance Mechanisms and Delivering Best Practices and Lessons for Extended Continental Shelf Management within the Western Indian Ocean Large Marine Ecosystems) under Outcome 4.2 (Demonstrating innovative management options within specific marine space within the WIO LME). The Project Management Unit for the SAPPHIRE project is hosted by the Nairobi Convention Secretariat.

The Mid-Term Review (MTR) of the SAPPHIRE project is being undertaken approximately four years into project implementation. The MTR analyses whether the project is on-track, what problems or challenges the project is encountering, and what corrective actions are required. The MTR assesses project performance to date (in terms of relevance, effectiveness and efficiency), and determines the likelihood of the project achieving its intended outcomes and impacts, including its sustainability. In addition, the MTR will analyse the project's financial management, monitoring and reporting procedures.

### Major Findings

The project is highly relevant for the implementation of the SAP in WIO Region. The project strategy is quite comprehensive in scope and highly relevant to the development priorities of the nine country



partners. However, the project’s strategic structure is too complex, and some of its activities and deliverables could be considered as redundant and could be merged into a somewhat smaller number of project’s deliverables (now totalling 133 in number). The project design and strategies, while implicit in the project narrative, did not include a fleshed-out Theory of Change (ToC), which should depict the causal pathways from project’s root causes and barriers towards outputs (goods and services delivered by the project), outcomes (changes resulting from the use made by key stakeholders of project outputs) and finally leading to impact (long-term changes in environmental benefits and living conditions).

MTR finds that there is a strong case for an extension of the project’s implementation for 18 months, in order to ensure effective use of funds and achieve progress towards the project’s objectives and outcomes, for the following reasons:

- There was a significant delay in starting up project activities.
- The Covid-19 pandemic has had a serious impact on the rate of implementation of the project’s activities.

### Evaluation Ratings

Outcome	Indicator	Mid-term level and assessment	Mid-term achievement rating	Justification for rating
<b>Project Objective</b> To achieve effective long-term ecosystem management in the Western Indian Ocean LMEs in line with the Strategic Action Programme as endorsed by the participating countries	Sustainable management mechanism for WIO LME adopted and demonstrated at national and regional level	<ul style="list-style-type: none"> <li>● Regional Marine Spatial Planning Framework has been developed (jointly with WIO-SAP) with a corresponding Policy Brief, and MSP TWG established</li> <li>● Demonstration project in Mauritius and Seychelles through Component 4 implemented on track (JMA project)</li> <li>● “Domestication” of regional strategy still to be adopted and demonstrated at national levels in most of the participating countries</li> <li>● MSP demo sites identified but due to COVID-19 delayed</li> </ul>	<b>MS</b>	<ul style="list-style-type: none"> <li>● All countries are participating in the project to a varying degree. Both at regional level as well as at national level through IMCs, which have been established in all countries. This is critical for the “domestication” of regional strategies, frameworks and guidelines, which are yet to be fully adopted by all countries</li> <li>● At this stage, the project is considered unlikely to achieve all the project objectives within the planned project timeframe, because of the delayed start as well as delays caused by the COVID-19</li> <li>● The project has been very active at the local level through demonstration projects in all participating countries</li> <li>● Some activities, such as local MSP plans adoption and implementation seem to have been over ambitiously planned, and the respective objective has little chances to be fully achieved within the</li> </ul>
	# legislative and policy revised, realigned, or developed reforms and appropriate institutional capacity developed and realigned in line with SAP and its implementation at national and regional level	<ul style="list-style-type: none"> <li>● Regular national virtual consultation workshops and meetings have been conducted with all 9 participating countries</li> <li>● Regional marine and coastal ecosystem monitoring framework for the WIO region, water quality monitoring guidelines and ecosystem economic valuation guidelines (all jointly with WIO-SAP)</li> <li>● Most National Marine Diagnostic Analysis (MEDA) reports were updated</li> <li>● Development of the Ocean Governance Strategy started with Multi-stakeholder Task force in place</li> <li>● Efforts to be increased to implement regional frameworks,</li> </ul>		

Outcome	Indicator	Mid-term level and assessment	Mid-term achievement rating	Justification for rating
	# direct and indirect project beneficiaries, including the number of communities (men and women) engaged in ecosystem-based management approach and benefited from integrated alternative livelihoods interventions (direct and indirect beneficiaries are identified as per the methodology available from UNDP-GEF)	<p>policies and strategies at national level</p> <ul style="list-style-type: none"> <li>The total of 5 local demonstration projects have been implemented in 5 countries aimed at improving livelihoods of 850 coastal households</li> <li>However, about half of these projects are still in very early stage of implementation, delayed because of the COVID-19 and are behind target.</li> </ul>		<p>current project's timeframe</p> <ul style="list-style-type: none"> <li>Capacity and institutional development delayed because of COVID-19 which has prevented F2F training, critical for such initiatives</li> </ul>
<b>Outcome 1.1</b> Policy, legislative and institutional reforms and realignment in support of the SAP are implemented at national and regional level as appropriate, with emphasis given to strengthening and supporting existing processes and mechanisms including regional bodies (such as Conventions, Commissions, and Regional Scientific Bodies). Coordination and management	1.1.1. Number of legislations and policies revised, realigned, or developed to support implementation of SAP and capture the overall ecosystem-based management approach	<ul style="list-style-type: none"> <li>Mozambique has reviewed national Ocean Policy, Comoros was strengthening conservation of its coastal and marine ecosystems through review of its fisheries policy, while Kenya has taken stock of their blue economy activities</li> <li>South Africa is working to promote development of a Coordinated Ocean and Coastal Ecosystem Management Approach</li> </ul>	<b>S</b>	<ul style="list-style-type: none"> <li>Project has supported all countries in policy, legislative and institutional reforms in support of SAP have been started and important progress has been achieved, in particular through revision and realignment of existing ones such as MEDA.</li> <li>Coordination mechanisms at national level have been strengthened</li> <li>Development of the MSP process, even if not initially envisaged as part of this outcome, has significantly advanced at a regional level as a joint effort with the WIO-SAP project, but regional MSP framework has not been fully adopted at a national level, and this fact has affected the overall rating</li> </ul>
	1.1.2. Number and type of appropriate regional and national intersectoral coordination mechanisms established to ensure ongoing WIO LME SAP Implementation	<ul style="list-style-type: none"> <li>National inter-sectoral coordination committees (NICCs) are fully functional and support the implementation of planned activities. The national focal points are actively participating in virtual meetings to review the impact of COVID-19 on project performance, discuss progress and coordination challenges, and propose joint solutions.</li> </ul>		
	1.1.3. Marine Spatial Planning (MSP) process adopted as a policy and management planning and coordination tool	<ul style="list-style-type: none"> <li>MSP TWG has been established</li> <li>A Situational Report on MSP in the WIO region, including best practices and challenges was developed paving the way for the development of a regional MSP Framework</li> </ul>		

Outcome	Indicator	Mid-term level and assessment	Mid-term achievement rating	Justification for rating
mechanism are strengthened at both national and regional levels	that ensures various stakeholder engagement at national and regional levels	<ul style="list-style-type: none"> <li>• The draft MSP Framework, prepared together with the WIO-SAP Project, was presented at the regional science – policy dialogue in March 2021, but has not yet been adopted by all countries</li> <li>• Draft Policy Brief on MSP has been prepared</li> </ul>		
<b>Outcome 1.2</b> Technical and institutional capacity developed to deliver Knowledge-Based Governance approaches by delivering scientific results to management and policy makers for adaptive management decision-making	1.2.1: Regional and National Ecosystem Monitoring Programmes adopted throughout the WIO LMEs as part of SAP Implementation	<ul style="list-style-type: none"> <li>• Regional Ecosystem Monitoring Framework is being developed (in collaboration with the WIO-SAP Project)</li> <li>• First draft of the regional ecosystem monitoring framework was presented at the regional science – policy dialogue</li> <li>• SAPPHIRE Portal developed</li> </ul>	<b>MU</b>	<ul style="list-style-type: none"> <li>• Progress has been made in expanding technical and institutional capacity to deliver knowledge-based management through development of several important management guidelines and framework, albeit in collaboration with another GEF project – the WIO-SAP Project.</li> <li>• However, it is questionable whether these products could be fully adopted by all participating countries and integrated into their national management practices considering the remaining project's timeframe. This particularly refers to the regional monitoring programmes, which still have to be developed at the national level and implemented to show the first results during the project's timeframe.</li> <li>• The Science to Policy Platform is fully operational and has contributed to many of the decisions taken at COP 10 of the Nairobi Convention in November 2021.</li> </ul>
	1.2.2: Number of countries adopted national and regional standards for marine water quality parameters and contaminants/pollutants	<ul style="list-style-type: none"> <li>• Regional framework for coastal and marine water quality (WQ) management finalised (in collaboration with the WIO-SAP Project)</li> <li>• Three outputs have been developed and completed: Situational Assessment, WQ Monitoring Framework; WQ Monitoring Guidelines; and a policy brief on these outputs is currently being finalized</li> <li>• Regional technical working group (TWG) has been established</li> <li>• Regional workshop on cooperation in preparedness and response to marine spills in Eastern Africa and the Western Indian Ocean organised</li> </ul>		
	1.2.3: Number of events organised to strengthen Regional and National Science-to-Governance process and delivery in support of effective Adaptive Management and Policy Decisions	<ul style="list-style-type: none"> <li>• The project collaborated in the organisation of the WIO Science to Policy workshop on 23-25 March 2021 and contributed to several key decisions of the 10<sup>th</sup> COP of the NC.</li> <li>• Several workshops organised on emerging issues that impact the sustainable management of WIO LME</li> </ul>		
	1.2.4: # of tools available that support decision makers in considering and integrating value of ecosystem goods and services into	<ul style="list-style-type: none"> <li>• Regional ecosystem economic valuation guidelines have been developed and endorsed by the member states under the Nairobi Convention Implemented project WIOSAP</li> <li>• The guidelines will be tested in the proposed transboundary boundary conservation area between Kenya</li> </ul>		

Outcome	Indicator	Mid-term level and assessment	Mid-term achievement rating	Justification for rating
	policy, management and investment decisions	and Tanzania, and still to be finalised		
<b>Outcome 1.3</b> Collaborative and cooperative mechanisms agreed and strengthened between national, regional and global partners and stakeholders	1.3.1. Number of events, contributing to the strengthened coordination for effective SAP implementation at regional level in partnership with the existing IGOs and other regional bodies with relevant mandates (i.e. Nairobi Convention, SWIOFC, IOC-UNESCO, WIOMSA, COI-IOC)	<ul style="list-style-type: none"> <li>WIO regional ocean governance background document detailing the status, gaps, challenges and opportunities of ocean governance in the region was prepared and widely shared with stakeholders and partners.</li> <li>SAPPHIRE has engaged with the Western Indian Ocean Consortium of NGOs (WIO-C) member organisations in different initiatives</li> <li>Regional workshop was organised to launch the Background Document on the State of Ocean Governance in the WIO Region.</li> <li>Regional economic communities, regional commissions, Contracting Parties to the NC and the African Union have been engaged in the process of developing a regional Ocean Governance Strategy. Planning for a regional Task Force to support this process has been completed and is expected to be rolled out during 2022 and 2023.</li> </ul>	<b>S</b>	<ul style="list-style-type: none"> <li>Project has established mechanisms for collaboration, but the efforts have been hindered by COVID-19, which has caused some delays.</li> <li>Project has been represented at a number of appropriate regional and global meetings and events securing interaction and knowledge exchange with other initiatives.</li> <li>All countries have these mechanisms in place, although their structure and composition varies.</li> </ul>
<b>Outcome 2.1</b> Integrating the Ecosystem-based Management approach into Local Economic Development Plans at selected communities Pilot level and stress reduction demonstrated and captured for replication (including community stakeholder engagement and awareness of LME Goods and Services)	2.1.1. Number of vulnerable coastal communities' members (men and women) that improved their livelihoods through integrated alternative economic activities with coastal and marine ecosystem management initiatives	<ul style="list-style-type: none"> <li>The SAPPHIRE project has provided technical support to the participating countries to develop demonstration project proposals. Project proposals have been received from Comoros, Kenya, Madagascar, Mozambique, and Tanzania.</li> </ul>	<b>MS</b>	<ul style="list-style-type: none"> <li>While the project has committed to improve the livelihoods of the local communities, this activity has yet to take off the ground. Considering the delays caused by COVID-19, which have largely affected the implementation of local demonstration projects, the remaining activities can hardly be implemented within the project's remaining time frame.</li> <li>Stress reduction targets were quite ambitiously set, in particular in the ProDoc, although they have not been specifically mentioned in the PIR. The respective demonstration projects are delayed and will not show results within the project's remaining time frame.</li> </ul>
	2.1.2. Stress Reduction measured at community demo sites by reduction of harmful pesticides, nitrates, and/or phosphates, as appropriate	This objective will be achieved under phase 2 of the process on development of WQ monitoring framework which will address national level adoption through targeted capacity building, development of national water monitoring frameworks where governments express interest and on-ground application		

Outcome	Indicator	Mid-term level and assessment	Mid-term achievement rating	Justification for rating
	2.1.3. # of communication and knowledge management materials produced to disseminate lessons learned regarding the integration of EBM into LED Plans (and their implementation) to promote replication and/or knowledge sharing	<ul style="list-style-type: none"> <li>Highly informative web site that is developed within the Nairobi Convention website.</li> <li>Several publications produced and published in 2 languages, such as Data and the Western Indian Ocean, State of Ocean Governance in the WIO Region and lessons learned and best practices contained in the State of Ocean Governance in the Western Indian Ocean region publication</li> <li>The 6th Science to Policy dialogue, under the theme 'Transition to a Sustainable Western Indian Ocean Blue Economy: Addressing the challenges and seizing the opportunities' was held with SAPPHIRE's support in March 2021 in recognition of the need for science-based policy formulation, decision-making and adaptive management</li> </ul>		<ul style="list-style-type: none"> <li>The project is successful in communicating its results to the wider community as well as to decision-makers.</li> </ul>
<b>Outcome 2.2</b> Stress reduction through ecosystem-based practices among artisanal and subsistence fisheries	2.2.1. Number of communities demonstrating stress reduction through the implementation of their ecosystem-based Artisanal Fisheries Management Plan	<ul style="list-style-type: none"> <li>Out of six projects that have been initiated, the project in Comoros has achieved progress of 80%, while in other 5 projects the activities have not started yet.</li> <li>The implementing partners have reported that these projects were delayed because of the COVID-19.</li> </ul>	<b>MU</b>	<ul style="list-style-type: none"> <li>The project has ambitiously set objectives for this outcome, but because of COVID-19 related delays local demonstration projects have not yet produced results except in Comoros.</li> <li>Considering the time usually needed to mobilise a demonstration project it is not expected that the remaining demo projects will be fully implemented within the project's current timeframe.</li> </ul>
<b>Outcome 3.1</b> Private Sector engagement and participation in SAP implementation through risk reduction and contingency response mechanisms using public-private sector partnership agreements along with regional partners (Nairobi)	3.1.1. # of private entities participating in/contributing to SAP implementation and mitigating their impacts on EQOs (through stress reduction activities, data capture, ecosystem monitoring, risk reduction and contingency response, EBA mainstreamed in their operations, etc.)	<ul style="list-style-type: none"> <li>Over 100 private sector actors have been engaged and areas of collaboration and partnership identified to mainstream ecosystem-based management in industrial operations culminating in the development of a regional private sector assessment report</li> <li>A stakeholder consultation meeting on the Private Sector Engagement Framework for the WIO region was organised in October 2020</li> <li>The Strategic Framework for Private Sector Engagement in the Western Indian Ocean developed and presented at the Science – Policy Dialogue in March 2021</li> <li>The SAPPHIRE in collaboration with partners and in particular the Western Indian Ocean Governance</li> </ul>	<b>MU</b>	<ul style="list-style-type: none"> <li>In spite of creating the context for private sector and engagement in the WIO Region, the actual commitment of private sector actors to voluntarily reduce stress on coastal and marine ecosystems is still missing.</li> <li>The PMU will have to focus on this aspect of the project in the remaining period of the project's implementation</li> <li>The activities in this component have been delayed because of COVID-19</li> </ul>

Outcome	Indicator	Mid-term level and assessment	Mid-term achievement rating	Justification for rating
Convention, WWF, IUCN, etc.)		<p>Initiative (WIOGI) Project, are in the process of establishing a multi-stakeholder initiative (MSI) and potentially facilitate the development of a Blue Economy Platform as recommended in the Private Sector Engagement Framework.</p> <ul style="list-style-type: none"> <li>Strategies and guidelines for ensuring the participation of a much wider range of stakeholders in the MSI are currently under development by two working groups established by the CORE team</li> <li>Strategies and guidelines for ensuring the participation of a much wider range of stakeholders in the MSI are currently under development by two working groups established by the CORE team</li> </ul>		
<b>Outcome 4.1</b> Identifying Innovative Management options for High Seas areas within LMEs	4.1.1. # of innovative voluntary management options and/or partnership options for High Seas areas, within the ASCLME system boundary, identified for voluntary adoption	<ul style="list-style-type: none"> <li>Terms of Reference for the background paper highlighting issues related to the ABNJ/BBNJ relevant to regional Ocean Governance have been developed</li> <li>Kenya (upwelling system of the North Kenya Banks) and Tanzania (oceanographic survey) demonstration projects are progressing well</li> </ul>	<b>MU</b>	<ul style="list-style-type: none"> <li>While the outcome has been planned as a very ambitious one, very little has been achieved so far.</li> <li>Most of the outputs belong to other outcomes of the project (MSP Strategy, for example) where issues relevant to this outcome are marginally treated, and these outputs cannot be considered as direct outputs of this outcome</li> </ul>
<b>Outcome 4.2*</b> Demonstrating effective ocean policy implementation with emphasis on marine spatial planning, intersectoral cooperation, adoption of a blue ocean economy approach, innovative management mechanisms and capture of lessons for transfer and replication	<p>4.2.1. JC Strategy implemented through the application of MSP in the JMA for sustainable utilisation and ecosystem-based management of JMA resources.</p> <p>4.2.2 Technical and institutional capacity of JC strengthened for the sustainable and effective management of JMA by two countries.</p>	<ul style="list-style-type: none"> <li>More than 45 Officials from Mauritius and Seychelles participated in Marine Spatial Planning (MSP) workshops, which consisted of two MSP Stakeholder workshops and an MSP Scenario workshop.</li> <li>The JMA roadmap was developed through a consultative approach involving key partners from Seychelles and Mauritius.</li> <li>The JMA Database system architecture was developed and endorsed by the PSC.</li> <li>Two identical sets of Data Server Equipment (1 for Mauritius and 1 for Seychelles) were procured.</li> <li>Significant work has been completed for the JMA Monitoring Control and Surveillance (MCS).</li> <li>The MCS Workshop was held online from 29 to 30 June 2021</li> </ul>		<ul style="list-style-type: none"> <li>This Outcome has been moving along well and was on a good track to achieve outputs intended and reach planned targets. However, the Covid-19 crisis has not allowed implementation of some training activities as planned, but it is expected that these activities will be carried out fully during the remaining time of the project's implementation.</li> <li>Mid-term targets, in particular those related to MSP Framework, have been met. It looks like a solid foundation for continuation of the MSP efforts has been laid out.</li> <li>The progress of implementation of the in</li> </ul>

Outcome	Indicator	Mid-term level and assessment	Mid-term achievement rating	Justification for rating
		with relevant stakeholders from Mauritius and Seychelles. The aim of the MCS Workshop was to apprise participants on the best tools and practices relevant to the JMA and to provide a platform for an open discussion among MCS practitioners to identify gaps and challenges for MCS in the JMA.	<b>S</b>	some of data management activities were delayed due to COVID-19 but the progress has been significant recently.
	4.2.3. # of publications and reports to present/share best practices and lessons learned on ocean governance in ABNJ (including JMA) and in EEZ	<ul style="list-style-type: none"> <li>• During the reporting period, SAPPHIRE has finalized and shared five analytical products in addition to the ongoing initiatives. More than twenty communication products and lessons learned have also been shared in order to raise the awareness among wider stakeholders and replicate best practices at the national and regional levels.</li> <li>• Several articles on SAPPHIRE appeared in the IW:LEARN newsletter.</li> </ul>		
<b>Outcome 5.1</b> Capacity for improved Ocean Governance strengthened through training and support	5.1.1: Number of direct and indirect beneficiaries (sex & country disaggregated) of capacity development and training programmes delivered by the project in support of SAP implementation.	<ul style="list-style-type: none"> <li>• 61 experts from Mauritius, Seychelles and Somalia (40 -JMA and 21-SAPPHIRE) were trained in MSP</li> <li>• Leadership renewal training provided to 18 WIO women leaders and scientists</li> <li>• 56 scientists (11 women and 45men) from KMFRI and IMS Tanzania have participated in an oceanographic research expedition in the Northern Bank of Kenya and Pemba channel of Tanzania</li> <li>• SAPPHIRE project partnered with the Swedish Agency for Marine and Water Management (SwAM) to deliver 3 training modules on MSP to participants from Somalia</li> <li>• SwAM has conducted 3 workshops with the MSP TWG in November 2020, February 2021, and June 2021</li> <li>• Phase 2 and 3 of the Advanced Leadership Workshop for Senior Leaders, Officials and Policy Makers (Women) in Marine Policy and Ocean Governance were organised virtually in 2020 and 2021</li> <li>• The SAPPHIRE project, in collaboration with the International Ocean Institute – Southern Africa, organised a training course on Ocean</li> </ul>	<b>MS</b>	<ul style="list-style-type: none"> <li>• Project has managed to develop a large number of training activities that have included a planned number of participants. Women were adequately represented, and the project has achieved gender equality in this respect.</li> <li>• A number of capacity building activities had to be delayed because of the COVID-19, and that has affected the rating.</li> <li>• It is expected that the project will be able to keep momentum in the capacity building activities within its time frame.</li> </ul>

Outcome	Indicator	Mid-term level and assessment	Mid-term achievement rating	Justification for rating
		Governance: Policy, Law and Management for the Western Indian Ocean (WIO) region from 30 August to 24 September 2021 for 24 participants.		

## Conclusions

Overall, after factoring in all the delays caused by the COVID-19, the project's progress towards reaching its major objectives is rated as Moderately Satisfactory (MS), but with the additional time it is likely that the overall progress rating may change to Satisfactory (S). All countries are participating, to a varying degree, in the implementation of the project and have achieved progress towards adopting LME management mechanisms at national and regional levels. The progress in most of the national and local demonstration projects was visible. However, some activities, such as local MSP plans adoption and implementation seem to have been over ambitiously planned, and the respective objectives have little chances to be fully achieved within the current project's timeframe.

Progress in **Component 1** of the project (*Supporting Policy Harmonisation and Management Reforms towards improved Ocean Governance*) is largely on target. National project implementation mechanisms are in place, and the PMU has established good relationships with National Implementation Committees as well as with the Nairobi Convention Focal Points. However, the policy and legislative reforms have achieved progress at regional level with the adoption of regional thematic strategies, while their adoption into national legislation and institutional structures is lagging behind.

Progress in **Component 2** of the project (*Stress Reduction through Community Engagement and Empowerment in Sustainable Resources Management*) is generally behind target. While the project has committed to improve the livelihoods of the local communities, this activity has yet to take off the ground. Considering the delays caused by COVID-19, which have largely affected the implementation of local demonstration projects, the remaining activities can hardly be implemented within the project's remaining time frame. The project has ambitiously set stress reduction objectives, but because of COVID-19 related delays local demonstration projects have not yet produced expected results. The project has been successful in communicating its results to the wider community as well as to decision-makers.

Progress achieved in **Component 3** (*Stress Reduction through Private Sector/Industry Commitment to transformations in their operations and management practices*) has been modest. In spite of creating the context for private sector and engagement in the WIO Region, the actual commitment of private sector actors to voluntarily reduce stress on coastal and marine ecosystems is still missing.

Progress achieved in **Component 4** (*Delivering Best Practices and Lessons through Innovative Ocean Governance Demonstrations*) for Outcome 4.2 has been assessed taking in consideration the Mid-Term Review for JMA project that was carried out in early 2021 and the 2021 PIR. While Outcome 4.2 was largely on target, the Outcome 4.1, which was planned as a very ambitious one, is not on target and efforts will have to be made to catch up for the lost momentum.

Progress in **Component 5** (*Capacity Development to Realise Improved Ocean Governance in the WIO region*) has been on target. Project has managed to develop a large number of training activities that have included a planned number of participants. Women were adequately represented, and the project has achieved gender equality in this respect. A number of capacity building activities had to be



delayed because of the COVID-19. Overall, capacity for improved ocean governance in the region has been strengthened.

The project management is efficient and effective, in particular taking in consideration the current circumstances caused by the Covid-19. Internal communication between the project bodies is efficient, while external communication is characterised by a very good web site and production of a number of high-quality knowledge products. Adaptive management is at a high level resulting in the fast response to changing circumstances, in particular after PMU has been moved from Seychelles to the Nairobi Convention Secretariat in Nairobi.

Sustainability of the project is rated as likely. The risks identified in the ProDoc are still valid with no indication that their rating of impact and probability has changed. The 2020 PIR identified the global Covid-19 pandemic as a new Safety and Security critical risk for the SAPPHIRE project. This risk has already had an impact on the pace of implementation of the SAPPHIRE Project, but it may recede in 2022.

### Recommendations Table

No	Recommendation	Entity Responsible
<b>Corrective Actions for the Design, Implementation, Monitoring and Evaluation of the Project</b>		
1	<i>Develop a proposal for a “no-cost” extension of the project by 18 months to allow sufficient time to achieve progress towards outcomes that have been delayed in starting implementation of project activities, because of the Covid-19 crisis.</i>	UNDP, PMU, PSC
2	<i>Revise the indicators and targets in the Revised Project Results Framework, which was prepared in August 2019. While the linkages between indicators and targets in the revised PRF are clear, the linkages between indicators, targets and project deliverables do not exist. Also, a number of deliverables do not have corresponding indicators and targets. A list of proposed changes should be circulated to the PSC and changes made in time for the next reporting period.</i>	PMU, PSC
3	<i>Implement a harmonised set of reporting tools incorporating all relevant aspects of project progress, not only outcome achievements, but also deliverable/outcome achievements to allow for more consistent and coherent reporting of results. Show percentage of progress of each indicator (PIR’s Table C. Development Objective Progress). Consider calculating progress percentages for project outcome/deliverables/outputs as well.</i>	PMU
4	<i>Speed up implementation of the remaining activities, in particular those whose completion has been delayed by COVID-19. Stricter control of implementation of activities should be introduced, in particular by the Project Steering Committee.</i>	PMU
5	<i>Develop indicators on gender mainstreaming and integrate them into the PRF and the monitoring system. The PRF does not contain disaggregated indicators showing participation of women in the project’s activities. The PRF should develop</i>	PMU. PSC

No	Recommendation	Entity Responsible
	<i>quantitative end-of-project targets within the existing indicators.</i>	
6	<i>Improve reporting on co-financing. Prepare annual co-financing reports containing, as a minimum, the information on the amount of annual co-financing provided by each partner; distribution of co-financing per component/outcome/output/activity; rate of co-financing provided and the amount left for the remaining period of the project's implementation; perceived risks, if any, in provision of co-financing by partner; and proposal for actions to be taken to mitigate risks.</i>	PMU
7	<i>Identify demo projects with serious challenges and provide adequate assistance to speed up their implementation. This particularly refers to the Marine Spatial Planning initiatives, which normally take a long time for the stakeholders to approve and implement and national and local authorities to adopt as a legislative and management tool.</i>	PMU
8	<i>While the communication and knowledge products are of good quality, monitoring their use does not exist. The PMU should develop indicators, such as number of website hits, number of distributed documents, number of articles published in various media, etc. PMU should also intensify the project's presence in social media.</i>	PMU
<b>Actions to Follow up or Reinforce Initial Benefits from the Project</b>		
9	<i>Intensify efforts to support policy harmonisation at national levels by assisting countries to adopt and integrate regionally approved policies, strategies and guidelines. This refers in particular to the Regional Marine Spatial Planning Framework, which should be integrated into national legislation.</i>	PMU, PSC, Nairobi Convention Focal Points
10	<i>Increase efforts towards more extensive private sector engagement. Consider employing or engaging as a consultant a Business Development specialist to develop and promote private sector products and services to stakeholders in the region and beyond.</i>	PMU
11	<i>The project's communication plan, which has already been developed, should boost the project's public awareness and stakeholders' engagement efforts. Most of the project's indicators need to be clearly and effectively communicated within countries and local communities in particular. The PMU should ensure that lessons learned are shared.</i>	PMU
12	<i>Because of the delays caused by COVID-19, which has resulted in an excessively large amount of unused funds, the pressure on PMU to implement project's activities within existing or extended time frame, will grow. In order to assist stakeholders to implement project's activities, consider expanding the PMU staff with technical capacity to accommodate the growing pressure.</i>	UNDP, PMU, PSC
<b>Proposals for Future Directions Underlining Main Objectives</b>		

No	Recommendation	Entity Responsible
13	<i>The role of the Project Steering Committee needs to be strengthened. Consider increasing the frequency of the PSC meetings, possibly to 2-3 meetings per year.</i>	PSC
14	<i>Prepare exit/sustainability strategy for the SAPPHIRE project, possibly in collaboration with WIO-SAP project. This should include a strategy for sustaining all the SAPPHIRE partnerships, as well as national implementation committees and local communities that have participated in demonstration projects. The SAPPHIRE project document does not include an exit and/or sustainability strategy, which is important to facilitate uptake and sustainability of the project results. The strategy should consider the post-SAPPHIRE activities and consider new financing in addition to those already secured.</i>	PMU

# 1 Introduction

## 1.1 Purpose of the Mid-Term Review and Objectives

1. In accordance with the UNDP and GEF M&E policies and procedures, all full - sized UNDP supported GEF financed projects are required to undergo a Mid-Term Review (MTR) at a mid-point in project implementation. The purpose of the MTR of the project “Western Indian Ocean LMEs - Strategic Action Programme Policy Harmonization and Institutional Reforms” project (in further text: SAPPHIRE Project) is to measure the relevance, sustainability and impact of the project. The MTR aims to do the following:

- Assess the progress made towards the achievement of objectives and outcomes of the project to date;
- Assess whether the project will be able to achieve the targets set forth in the Project Document (ProDoc);
- Propose necessary adjustments in the project’s design and / or strategy to achieve the targets;
- Identify lessons learnt that are expected to improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming; and
- Assess the impacts of COVID-19 on the project implementation and provide recommendations to mitigate them.

2. Detailed Terms of Reference (ToR) for the MTR are given in Annex I.

## 1.2 Scope and Methodology

3. The MTR was conducted in close coordination with UNDP, the Nairobi Convention Secretariat that is hosting the Project Management Unit (PMU), the project staff and the concerned UNDP-GEF Regional Technical Advisor (RTA). The MTR took place in the period between January and April 2022 (20 working days spread over a period of almost three months]. Because of the Covid-19 crisis, the MTR Consultant was not able to visit the project area, which certainly affected the overall duration of the review. The consultant interviewed a number of stakeholders online.

4. As indicated in the ToR, the MTR’s scope revolves around four major aspects of the project, namely: (1) review of the project’s strategy, including its design; (2) review of the project's progress towards results; (3) management arrangements for the project's implementation; and (4) analysis of the long-term project's sustainability. The MTR is concluded with elaboration of lessons learned and recommendations to facilitate the completion of the project’s activities as planned. The Inception Report contains the detailed methodology used to conduct the MTR.

5. The MTR was organised into the following overlapping phases focusing on:

- i. Document review and analysis (desktop study). Documents reviewed included Project Document, Annual Work Plans (AWP), Inception Workshop Report (IWR), monitoring reports, minutes of Project Steering Committee meetings, outputs, and other internal documents including financial reports and relevant correspondence (the list of documents reviewed is in Annex III);
- ii. Formulation of the MTR Inception Report with a proposal of the review methodology;

- iii. Conducting interviews with key stakeholders, via online communication platforms (the list of persons interviewed is given in Annex II);
- iv. Formulation of initial findings and recommendations and online discussion with the project's staff;
- v. Development of findings and recommendations and preparation of the first draft of the report for comments from the Implementing and Executing Agencies and preparation of the second draft report incorporating the feedbacks; and
- vi. Preparation of the final MTR Report based on the feedback to the second draft report.

6. Methods of data collection and data analysis were the following:

- Data collection during interviews;
- Review of project preparation and approval documents;
- Analysis of project reports;
- Analysis of meeting, workshops and conferences reports (Inception Meeting, Project Steering Committee meetings, workshops, training courses, mission reports etc.);
- Review of financial records (annual financial reports);
- Analysis of outputs; and
- Review of other relevant documents.

7. One limitation to the MTR is the inability of the MTR Consultant to visit the region because of the COVID-19. This limitation was mitigated by extensive communication with the project staff, as well as by conducting the online interviews with the most important stakeholders participating in the project's implementation. In addition, the questionnaire was prepared to seek the views of all the stakeholders, which were not interviewed online, on the project's implementation progress and their satisfaction with it.

### 1.3 Review Process

8. At the moment when the Mid-Term Review Report is being drafted (the fifth phase of the Mid-term Review process, see par. 5), the following has been carried out:

- Document review and analysis: The consultant has received all the relevant financial and technical documents and meeting reports. The documents have been analysed and triangulated with the ProDoc. The consultant has also analysed the project outputs/deliverables.
- Consultation with key stakeholders: The consultant has had interviews with all the key stakeholders using the questionnaire (Annex VI). It is customary that the consultant visits the project area to have direct communication with the stakeholders. Unfortunately, due to the Covid-19 pandemics, the consultant was not able to travel to the project region, and all interviews were held online using a variety of communication platforms. While online interviews are not a fully adequate substitute for face-to-face interviews, it is the view of the consultant that enough information has been acquired to carry out the review process as prescribed by the respective UNDP guidance document and to create a solid information basis to prepare the draft report. During the online consultations and interviews, the consultant has been in frequent contact with the PMU staff members. In addition, a total of 13 persons have been interviewed, including the UNDP RTA responsible for this project, the country representatives and demonstration projects' implementing partners. In conducting the interviews, the rights and confidentiality of persons interviewed were ensured through prior consent, and not attributing any statement to any individual unless agreed to.

- Based on the information gathered from the above review phases, the consultant has prepared the draft report that has been submitted to the PMU for further processing.

9. Following the review of the report and comments that were received, the consultant prepared the final version of the report. Should it be necessary, the consultant will conduct additional interviews to gather full information needed for the finalisation of the MTR report.

## 1.4 Structure of the Report

10. The MTR report follows the basic structure and outline defined in the Terms of Reference (Annex I) is in line with the respective UNDP's MTR guidance and covers the following Sections:

- Executive Summary;
- Introduction (Chapter 1);
- Project description and background context, which includes project description, its rationale and development context, the problems that the project sought to address, the objectives, key stakeholders and expected results (Chapter 2);
- Findings of the MTR, including an assessment of the project's design, progress towards results, project's implementation arrangements, and its sustainability (Chapter 3);
- Conclusions and Recommendations (Chapter 4); and
- Annexes.

## 2. Project Description and Background Context

### 2.1 Development Context

11. The Agulhas and Somali Current Large Marine Ecosystems (ASCLME) region is made up of three LMEs: the Agulhas Current LME, the Somali Current LME and the Mascarene Plateau region. The 9 (10) countries bordering the ASCLME region are: Comoros, Kenya, Madagascar, Mauritius, Mozambique, Seychelles, Somalia, South Africa and Tanzania; France has several territories and EEZ areas within the region. Including Areas Beyond National Jurisdiction, the total LME area comprises over 22.3 million km<sup>2</sup> of ocean, with over 15,000 km of coastline; the combined EEZ (excluding France) is some 6.79 million km<sup>2</sup>. GDPs of the countries is approximately US\$761.60bn (PPP), ranging from \$554.6bn in South Africa to \$0.816bn in Comoros; per capita GDP ranges from US\$600 to US\$24,700; where available, the 'percentage below the poverty line' figures range from 8-60%. Literacy rates are estimated at between 37.8-91.8% depending on the country. Over 160 million people reside in the countries of the WIO that are influenced by the ASCLMEs and approximately 55 million of them live within 100km of the coast. Although variable from place to place, there is a high reliance on coastal and marine resources for food security and livelihoods in general. Because of their high dependence and limited resilience or adaptive capacity, environmental variability and extreme events have a disproportionately severe effect on dependent communities. Further, coastal cities and settlements are growing and developing at a rapid rate. Tourism, fisheries, coastal agriculture, mining, mariculture, and ports and coastal transport provide the main coastal livelihoods in the region. The relative contribution of each of these sectors and their specific characteristics vary from country to country but there are important similarities and common themes across the region. Notwithstanding constraints, there are a number of opportunities for sustainable development of the coastal areas in the western Indian Ocean. Regional (as well as sub-regional as appropriate) initiatives are required to bring together and assist the various stakeholders to discuss how best to develop these opportunities.

Furthermore, there are real opportunities here to review and address how livelihoods impact on gender and vice versa. Additional research on how risks compare for men and women (particularly in light of the activities that each gender engages in) would be very valuable for communities.



Figure 1: The Western Indian Ocean Region

## 2.2 Problems that the Project Sought to Address

12. This project builds on the previous work completed under the UNDP supported GEF financed ASCLME Project in close collaboration with a number of partners. The ASCLME Project delivered the intended regional Transboundary Diagnostic Analysis (TDA) and ministerially endorsed Strategic Actions Programme (SAP) for the Western Indian Ocean Large Marine Ecosystems (LMEs) as well as individual Marine Ecosystem Diagnostic Analyses (MEDAs) for each participating country. Transboundary Diagnostic Analysis (TDA) identified four main areas of transboundary concern to the countries and people of the Western Indian Ocean (WIO) as well as the specific issues that need addressing within these overarching areas of concern:

- **Water Quality Degradation:** Alteration of natural river flow and changes in freshwater input and sediment load; degradation of ground and surface water quality; microbiological contamination from land-based and marine sources: solid wastes / marine debris from shipping and land-based-sources; Oil spills (drilling, exploitation, transport, processing, storage, shipping).

- **Habitat and Community Modification:** Shoreline change, due to modification, land reclamation and coastal erosion; disturbance, damage and loss of upland / watershed habitats as well as loss of coastal vegetation and floodplain habitats, mangrove habitats, coral reef habitats; sea-grass habitats and pelagic habitats; introduction of exotic non-native species, invasive and nuisance species.
- **Declines in Living Marine Resources:** Changes in species ranges, distributions and population balance of sharks and rays, large and small pelagics, reef and demersal fish, sea cucumbers and crustaceans. Also impacts from fisheries on non-target species, such as cetaceans, other marine mammals, marine turtles and seabirds.
- **Environmental Variability and Extreme Events:** Climate hazards and extreme weather events; sea level change; ocean acidification; changes in seawater temperatures; changes to hydrodynamics and ocean circulation; changes in productivity including shifts in primary and secondary production; geo-hazards such as tsunamis, volcanic eruptions, earthquakes.

### 2.3 Project Description and Strategy

13. The SAPPHIRE Project aims to support and assist the appropriate and formally mandated government institutions and intergovernmental bodies in the region to implement the activities which they require in order to deliver the SAP and to ensure sustainability of efforts and actions toward long-term management of activities within the LMEs as well as the sustainability of associated institutional arrangements and partnerships. The project's activities have several cross-cutting themes, which seek to meaningfully address progress towards meeting UNDP goals and targets with respect to sustainable development, poverty alleviation, early warning of disaster and climate change, Sustainable Development Goals (SDGs), gender mainstreaming and youth. Throughout the implementation, the project has coordinated closely with the UNEP GEF WIO-SAP project with the intention of harmonising activities and ultimately combining institutional and administrative processes for a single implementation strategy for the two WIO SAPs.

14. The overall Strategy under the SAPPHIRE Project is to provide support for the implementation of the SAP. The overall objective of the SAPPHIRE Project is to achieve effective long-term ecosystem management in the Western Indian Ocean LMEs in line with the Strategic Action Programme as endorsed by the participating countries. The project has 5 components:

- **Component 1:** activities and deliverables in support of management and policy reforms for SAP Implementation
- **Component 2:** effective community engagement in the overall management process, with an emphasis on demonstrating such engagement and involvement at the localised level, and particularly in relation to small-scale, artisanal fisheries and associated small-area management approaches.
- **Component 3:** effective mechanisms for interaction between the maritime industrial sector and governance bodies in the development of joint management approaches within the LMEs.
- **Component 4:** best lessons and practices in strengthening partnerships for management of areas beyond national jurisdiction including the integrated use of Marine Spatial Planning and the Blue Economy framework into the development of Ocean Governance and Policy
- **Component 5:** capacity development and the coordination of training and capacity strengthening within the region in relation to effective SAP management and implementation.

15. According to the SAPPHIRE Project Document (ProDoc), the total budget for the project is US\$326,565,994 comprising US\$8,766,500 of GEF grant funding and US\$317,799,494 in co-financing. The original implementation period is 66 months, planning to end in April 2023.



## 2.4 Project Implementation Arrangements

16. UNDP is the GEF Implementing Agency for the SAPPHIRE project. Initially the UNDP Country Office responsible for Mauritius and Seychelles was defined as the Executing Partner. Following the recommendation from GEF Secretariat and taking into account its relevant mandates in the Western Indian Ocean region, the Nairobi Convention Secretariat (administered by UNEP) is fully involved in the implementation of the project as the Responsible Party, except for Deliverable 4.2.1 (Demonstrating Innovative Ocean Governance Mechanisms and Delivering Best Practices and Lessons for Extended Continental Shelf Management within the Western Indian Ocean Large Marine Ecosystems) under Outcome 4.2 (Demonstrating innovative management options within specific marine space within the WIO LME).

17. The Project Management Unit for the SAPPHIRE project is hosted by the Nairobi Convention. A Finance Officer and a Procurement Officer are based at the Nairobi Convention Secretariat, jointly financed by the UNDP-GEF SAPPHIRE project and the UNEP-GEF WIOSAP project, to strengthen institutional capacity of the Convention Secretariat and ensure efficient delivery of the two projects. Further, technical staff who have supported the Nairobi Convention to effectively coordinate the implementation of two SAPs are also placed at the Nairobi Convention Secretariat, also jointly financed by the two projects. Project Management structure as envisaged in the ProDoc is shown in Figure 2.

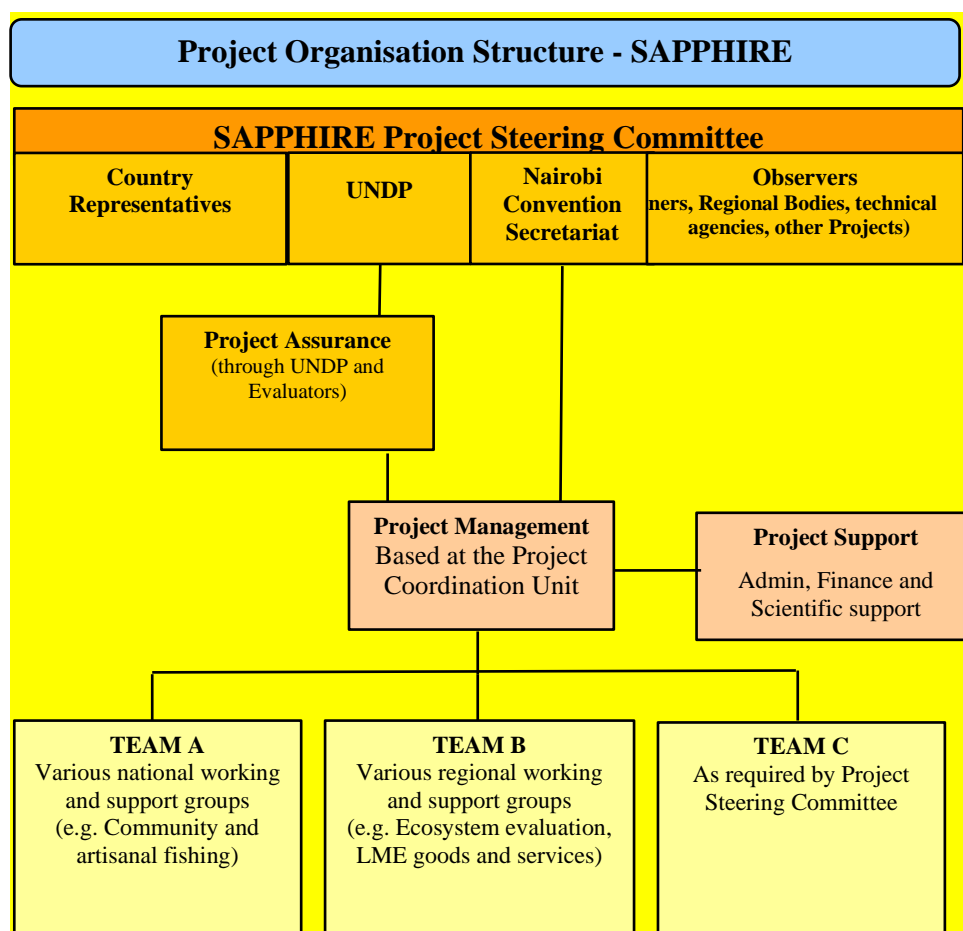


Figure 2: SAPPHIRE Project Management Structure

## 2.5 Main Stakeholders

18. Stakeholders at the LME scale are implicitly numerous and have diverse needs from an SAP implementation project. This requires disparate communication styles, which can impact ecosystems (and in turn depend on ecosystems) in a multitude of ways. They include the governments of participating countries and their mandated institutions (including provincial and local governance structures); international and regional intergovernmental bodies (IGOs); Donors; Implementing and Executing Agencies; Project Consultants and Staff Members; academic research institutions; educational institutions; other GEF funded projects; non-GEF funded projects; neighbouring and global LMEs; NGOs, CBOs and other Civil Society groups; various private sector industries and “the general public” and more specific “general public” stakeholder groupings (e.g. “artisanal fishers”, “coastal communities”, etc.) who directly (and often indirectly) interface with marine and coastal environments. The ProDoc gives an extensive overview of the stakeholders and their roles and responsibilities they will have in the implementation of the SAPPHIRE Project.

## 3 Findings

19. This section presents the findings of this MTR adhering to the basic structure proposed in the TOR and as reflected in the UNDP/GEF evaluation guidelines.

### 3.1 Project Strategy

20. The MTR Consultant analysed the design of the project as outlined in the ProDoc to identify whether the project strategy is proving to be effective in reaching the desired results. In doing so, the Consultant assessed the extent to which the project addresses country priorities and whether it is country driven as well as the extent to which the project objectives are consistent with the priorities and objectives of the GEF.

#### 3.1.1 Project Design

21. The MTR finds that the SAPPHIRE Project is designed to be consistent with the GEF 5 International waters Objective 2 (Catalysing cooperation between countries in Large Marine Ecosystems – LMEs, utilising the Ecosystem Based Management – EBM, among other), and in particular with its Outcomes 2.1, 2.2, and 2.3. The idea for the project originates from the GEF ASCLME project and implementation of the respective SAP. The SAPPHIRE Project is also consistent with the UNDP’s Goal 4 of its Strategic Plan for 2008-2013 (Managing Energy and Environment for Sustainable Development) as well as its Ocean Governance Programme. The SAPPHIRE Project is closely linked to the implementation of two SAP related projects: UNEP-GEF supported Implementation of the Strategic Action Programme for the Protection of the Western Indian Ocean from Land-Based Sources and Activities (WIO-SAP) and the World Bank-GEF supported project on South West Indian Ocean Fisheries Governance and Shared Growth (SWIOFish). The linkage with the former project is particularly important because both projects were sharing implementation arrangements (joint staff and in some cases implementation structures at a national and regional level), meetings and a number of critically important activities.

22. The countries of the Western Indian Ocean Region have successfully completed the TDA. They have also completed the Marine Ecosystem Diagnostic Analyses (developed within the ASCLME project) for each country, which define capacity building and training needs, management gaps, policy shortfalls and requirements, and other items. The project builds on these MEDAs by translating each

of them into National Action Plans/Programmes consistent with the LME Management approach. Finally, they have adopted the Strategic Actions Programme (SAP), which defines the institutional and governance reforms to be pursued in order to achieve sustainable management of the goods and services of the LMEs. All the countries have expressed a strong desire to implement the SAP. The SAPHIRE Project is one of the instruments that reflects the countries' initiatives to make progress towards sustainable management in the WIO Region. The project's design clearly reflects that desire. It adequately addresses the countries' priorities, while the process of developing the project's design has been country-driven. The ProDoc has clearly established linkages between the SAPHIRE Project components and outcomes and the associated SAP actions (Table 1)

SAPHIRE Component	SAPHIRE Outcome	SAP Actions Addressed	Main Areas of TDA/SAP Concern Addressed *
<b>Component 1:</b> Supporting Policy Harmonization and Management Reforms towards improved ocean governance	<b>Outcome 1.1</b> Policy, legislative and institutional reforms and realignment in support of the SAP are implemented at national and regional level as appropriate, with emphasis given to strengthening and supporting existing processes and mechanisms including regional bodies (such as Conventions, Commissions, and Regional Scientific Bodies). Coordination and management mechanism are strengthened at both national and regional levels	All	All
	<b>Outcome 1.2</b> Technical and institutional capacity developed to deliver Knowledge-Based Governance approaches by delivering scientific results to management and policy makers for adaptive management decision-making	4.B. 4.C.	All
	<b>Outcome 1.3</b> Collaborative and cooperative mechanisms agreed and strengthened between national, regional and global partners and stakeholders	4.C. 4.D.	All
<b>Component 2</b> Stress Reduction through Community Engagement and Empowerment in Sustainable Resources Management	<b>Outcome 2.1</b> Integrating the Ecosystem-based Management approach into Local Economic Development Plans at selected communities Pilot level and stress reduction demonstrated and captured for replication (including community stakeholder engagement and awareness of LME Goods and Services)	4.C. 4.D.	1, 2, 3 (4)
	<b>Outcome 2.2</b> Stress reduction through ecosystem-based practices among artisanal and subsistence fisheries		2, 3
<b>Component 3</b> Stress Reduction through Private Sector/Industry Commitment to transformations in their operations and management practices	<b>Outcome 3.1</b> Private Sector engagement and participation in SAP implementation, particularly with and through the WOC, and through risk reduction and contingency response mechanisms using public-private sector partnership agreements along with regional partners (Nairobi Convention, WWF, IUCN, etc.). Furthermore, facilitate the adoption and implementation of mechanisms which would aim to facilitate Private Sector engagement in SAP implementation, ecosystem monitoring and associated stress reduction activities. The Private Sector will work with SAPHIRE and its partners to 'mainstream' the ecosystem approach into their daily activities so as to reduce and mitigate impacts on EQOs.	4.A. 4.C. 4.D.	1,2,3
<b>Component 4</b> Delivering best practices and lessons through innovative ocean governance demonstration	<b>Outcome 4.1</b> Identifying Innovative Management options for High Seas areas within LMEs	4.A. 4.C. 4.D.	All
	<b>Outcome 4.2</b> Demonstrating effective ocean policy implementation with emphasis on marine spatial planning, intersectoral cooperation, adoption of a blue ocean economy approach, innovative management mechanisms and capture of lessons for transfer and replication		All

SAPPHIRE Component	SAPPHIRE Outcome	SAP Actions Addressed	Main Areas of TDA/SAP Concern Addressed *
<b>Component 5</b> Capacity Development to Realise improved ocean governance in the WIO region	<b>Outcome 5.1</b> Capacity for improved Ocean Governance strengthened through training and support	4.A. 4.B. 4.C.	All

Table 1: Comparison of Actions Identified in the Strategic Action Programme against SAPPHIRE Component Objectives (Source: SAPPHIRE Project Document)

23. The ProDoc has benefitted from the lessons learned from numerous relevant projects that have been or are being currently implemented in the WIO Region. While the ProDoc does not contain a summary of those lessons learned and their relevance for the SAPPHIRE project’s strategy, some of these lessons are integrated in the baseline analysis.

24. MTR notes that under Component 4 (Delivering Best Practices and Lessons through Innovative Ocean Governance Demonstrations), Outcome 4.2 (Demonstrating innovative management options within specific marine space within the WIO LME), Deliverable 4.2.1 (Identifying Innovative Management options for High Seas areas within LMEs) will be implemented through a separate UNDP Project Document. Therefore, this MTR will not analyse this deliverable of the project, because a separate MTR has been recently prepared for that project.

25. The period between PIF approval (August 2013) and the actual start of the project (November 2018, when the Project Manager was hired, although the ProDoc was signed in October 2017 and the Inception Workshop took place in November 2017) was too long. However, it does not appear as though the initial assumptions of the project have been changed during that period and the starting premises have remained valid.

26. While the project’s strategy seems relevant for the implementation of SAP priorities, its structure is too complex. The project has 5 components, 9 outcomes, 32 deliverables and 133 activities. Such a structure makes a heavy burden for the PMU as it has to deal with a very large number of activities. The MTR finds that some of these activities would be considered as redundant as they are unnecessarily separated from the activities that they should make a constituent part of. For example, in all 5 deliverables of Outcome 1.1. there is an activity named “Inter-meeting communication and coordination”. However, this activity should be considered as an integral part of other activities such as, for example, the activity “First Policy Steering Committee and Inception Workshop...” in Deliverable 1.1.1, because once that body has been established, inter-meeting coordination and communication is implicit and there is no need to specify it as a separate activity. In the ProDoc there are several similar examples. Furthermore, some of the activities’ titles are not fully explanatory. For example, in Deliverable 3.1.3, the activity “LME ‘sensitisation’ activities, including creation of business-centric documentation of the LME approach and its applications to the private sector” doesn’t say much. If a more rigorous and less “eclectic” approach had been taken, the project’s strategy would certainly be much simpler and easier to implement.

27. The ProDoc does not contain a Theory of Change (ToC). It should have been prepared during the project preparation phase or, at the latest, during the Inception Phase. The ToC depicts the causal pathways from project’s root causes and barriers towards outputs (goods and services delivered by the project), outcomes (changes resulting from the use made by key stakeholders of project outputs)

and finally leading to impact (long-term changes in environmental benefits and living conditions). The ToC further defines the external factors that influence change along the major pathways; i.e. factors that affect whether one result can lead to the next. These external factors are either drivers (when the project has a certain level of control/influence) or assumptions (when the project has no control).

28. The ProDoc does not contain a Risk Matrix, although the Risk Log is contained as an Annex 4 of the ProDoc. However, its summary should be placed in the main body of the text. The annual PIRs reflect on the risks, but they do not report on all the risks indicated in the Risk Log. Furthermore, the Project Results Framework (PRF) is reflecting on the risks and assumptions but they often go beyond the risks mentioned in the Risk Log. The MTR finds that more coherence should be established in various sections of the ProDoc and the annual reports on the issue of risk mitigation.

29. There is a lack of coherence between the description of the project's components, outcomes, and deliverables in the ProDoc, and the indicators in the PRF and then in the annual PIRs. The indicators in the PRF are many (the PRF will be analysed in more detail in the subsequent section), while the PIR has only a few indicators for each outcome. Thus, for example, the Outcome 1.1, which has 5 deliverables, has 11 indicators in the PRF and only 3 in the PIR. Similar situation is apparent with all other outcomes. It is not clear why the ProDoc proliferates in the number of indicators and then, contrary to that, there is a great reduction of indicators in the PIR. In addition, the description of indicators in the PIR often differs from those in the PRF. The ProDoc should greatly benefit from a better clarity and coherence between the indicators, because that would contribute to a more efficient implementation of the project, in particular the implementation of progress.

30. The description of each outcome is concluded with a table showing Indicative Process Improvements and Indicative Stress Reduction Improvements. While the former list seems rational, being linked with SAP proposed processes as well as regional and national priorities, it is not clear how the quantitative values of indicators of the stress reduction have been calculated, because, first, the baseline analysis does not show the current situation that could, if improved, lead to the specific stress reductions and, second, since there is no clear linkages between the indicators and means of verification in PRF it is not fully clear how the stress reduction will be achieved.

31. In the description of the project outcomes in the ProDoc, each Outcome is, after the title, further described as an Output. However, it is not clear what is the terminological distinction between the Output and the Deliverable further in the text. It would be better off if instead of "Output Description" the section was called "Outcome Description". It would explain the reasons why the outcome has been defined and what would be expected at the end of the project's implementation for each outcome. Furthermore, the Output Description of the Outcome 3.1 is actually the description of the Component 3, while the title of the Outcome 3.1 is missing from the ProDoc.

32. Concerning gender issues, the MTR finds that gender has been considered only marginally in the project design. There is no specific section on gender in the ProDoc, although the issue of gender is mentioned occasionally in the description of the project's components and the indicators. The project's budget does not include funding for gender-relevant outcomes, outputs and activities.

### 3.1.2 Project Results Framework

33. The SAPPHIRE's Project Results Framework (PRF) follows the UNDP template. It transposes the main elements of the project's structure, in particular its components and outcomes. It is also important to note that the SAPPHIRE Inception Workshop, held in November 2017, did not make any decision regarding the PRF.

34. The MTR Consultant finds that there is a significant lack of coherence in description of the deliverables/outputs and indicators between the section describing the project’s structure in the ProDoc (Section 2.1) and the respective parts of the PRF. The ProDoc does not list the outputs, although for each outcome there is a sub-section titled “Output Descriptions”, which describes the respective outcome and, occasionally, some major outputs of that outcome. The ProDoc then lists Deliverables and it is not clear what is the distinction between Output Description and the description of the Deliverables. It is not clear whether the Deliverables are considered as outputs or not? Terminological and taxonomic clarity would greatly help to make the ProDoc simpler and easy to follow and monitor.

35. The PRF has a column for Outputs, but it is not clear what these outputs are: those that are mentioned in the sub-section “Output Descriptions” or the description of Deliverables and Proposed Activities within each Outcome. A closer inspection finds that some of the outputs listed under an outcome are not mentioned at all in the Outcome Description in the main body of the ProDoc. Thus, for example, within the Outcome 1.1. in the PRF under the Outputs, the following is mentioned: “Outputs from Marine Spatial Planning processes (including lessons from UNEP GEF WIOLaB SAP Implementation Project and reporting from Nairobi Convention) adopted as part of effective broad-scale LME management and governance mechanisms, and implemented where feasible”. But, in the description of the Outcome 1.1, Marine Spatial Planning is not mentioned at all and it is not clear how the above output found its place under Outcome 1.1 in the PRF. The MTR concludes that the outputs in the Section 2.1 of the ProDoc and the PRF should be listed in a much more rigorous and coherent manner.

36. As stated in par. 25 above, the PRF contains a very large number of Verifiable Indicators but which are not coherently linked to the deliverables in the Section 2.1 of the ProDoc. Furthermore, the PIR has a significantly smaller number of indicators than the PRF. Also, for most Outcomes there is an even smaller number of indicators than there are deliverables. Therefore, it is not clear how the deliverables are monitored. The PRF does not have the mid-term and end-of-project targets, which are essential elements for monitoring the progress of the project’s implementation. Furthermore, in the PRF there is no direct linkage between the Verifiable Indicator and the Means of Verification. The same refers to the Indicative Stress Reduction Improvements. They are mentioned in Section 2.1, but it is not clear how these targets have been defined. In the PRF these targets are mentioned within the indicators, but they are not indicators but targets.

37. It should be noted that during the First Project Steering Committee (PSC) Meeting in June 2019, it was recommended that new outcome indicators be developed, because “...it was observed that the project does not have outcome level indicators. The mandate was given to the NCS (Nairobi Convention Secretariat) to develop such indicators and present them to the PSC for review and endorsement in three months”. The revised PRF with the Outcome Indicators was prepared in August 2019, but it was never presented and/or approved at any of the subsequent PSC meetings. However, the revised indicators, together with the mid-term and end-of-project targets were used to monitor project’s progress and reported in the PIRs (see para. 35 above). The MTR finds that the revised PRF is not complete enough since it is missing the outputs linked to each outcome. It is recommended that the revised PRF be completed as above and submitted to the PRC for approval.

38. Table 2 provides an overview of the MTR assessment of the SAPPHIRE project’s PRF and how “SMART” the achievements are. In general, the indicators were not SMART.

<b>Criteria</b>	<b>MTR Comments</b>
<i>Specific</i>	Indicators are not always specific, very often they are quite general, and not target-oriented

<b>Measurable</b>	Not linked to measurable targets. Sometimes targets are counted among the indicators
<b>Achievable</b>	Most of the indicators are achievable
<b>Relevant</b>	All indicators are relevant
<b>Time-bound</b>	For the majority of indicators, the time limit was not identified clearly. No targets identified for mid-term and end-of-project.

Table 2: Overview of the project's indicators

39. Given the more than four-year delay to SAPPHIRE project commencement, and the limited time remaining to complete full project implementation, it is recommended that it would be highly disruptive to propose any significant changes to the Project Design at this stage. It is recommended that the Project Design be generally accepted as it is, and that highest priority be given to implementing the SAPPHIRE project's activities in order to achieve Project Outcomes and Objectives by the Project-end.

## 3.2 Progress Towards Results

40. The information presented in this section has been sourced from the Project Implementation Reports (PIR) for 2019, 2020 and 2021, and Quarterly and Annual Progress Reports for 2019, 2020 and 2021. This is supplemented with the information collected during the online interviews and responses to the questionnaire from major stakeholders, as well as the analysis of the project outputs.

### 3.2.1 Progress Towards Outcome Analysis

41. The GEF International Waters Tracking Tools (TT) is used for the SAPPHIRE project. The MTR Consultant reviewed the mid-term TT and compared it with the baseline TT that was prepared during the PPG phase. The TT prepared before the MTR started is attached as Annex VIII to this report. The 2022 TT indicates that there has been progress in establishing a national institutional structure to implement SAP, such as IMCs, as well as drafting of some national and local reforms aimed at implementation of SAP. Regarding stress reduction, the TT indicates that monitoring mechanisms are in place but that it is still too early to present positive stress reduction results. Finally, the participation of the SAPPHIRE project in IW:LEARN events has been substantive.

42. Based on the above, a detailed assessment at the outcome level is presented in Table 3 below. It should be noted that the Baseline Level has not been set neither in the revised PRF (in 2019) nor in any of the PIRs. The assessment and respective ratings were made upon the assumption that the project's duration will not be extended. Also, the assessment was not made for the Outcome 4.2 because this component of the project was implemented under a separate project document and a separate MTR was prepared for that specific aspect of the SAPPHIRE project in early 2021.

Achieved at mid-term

On target to be achieved

Not on target to be achieved

Outcome	Indicator	Level in 1 <sup>st</sup> PIR (2019)	Mid-term target	End-of-project target	Mid-term level and assessment	Mid-term achievement rating	Justification for rating
<b>Project Objective</b> To achieve effective long-term ecosystem management in the Western Indian Ocean LMEs in line with the Strategic Action Programme as endorsed by the participating countries	Sustainable management mechanism for WIO LME adopted and demonstrated at national and regional level	Government representatives, experts, practitioners and partners agreed to develop regional MSP guidelines and a regional taskforce to accelerate knowledge transfer and provide capacity building support at the national and regional levels	Marine Spatial Planning (MSP) process adopted as a policy and management planning and coordination tool that ensures various stakeholder engagement at national and regional levels	MSP used regularly as a planning and management tool by policy makers to ensure intersectoral coordination and stakeholder engagement, contributing to the improved long-term ecosystem management, at national and regional level	<ul style="list-style-type: none"> <li>Regional Marine Spatial Planning Framework has been developed (jointly with WIO-SAP) with a corresponding Policy Brief, and MSP TWG established</li> <li>Demonstration project in Mauritius and Seychelles through Component 4 implemented on track (JMA project)</li> <li>“Domestication” of regional strategy still to be adopted and demonstrated at national levels in most of the participating countries</li> <li>MSP demo sites identified but due to COVID-19 delayed</li> </ul>	<b>MS</b>	<ul style="list-style-type: none"> <li>All countries are participating in the project to a varying degree. Both at regional level as well as at national level through IMCs, which have been established in all countries. This is critical for the “domestication” of regional strategies, frameworks and guidelines, which are yet to be fully adopted by all countries</li> <li>At this stage, the project is considered unlikely to achieve all the project objectives within the planned project timeframe, because of the delayed start as well as delays caused by the COVID-19</li> <li>The project has been very active at the local level through demonstration projects in all participating countries</li> <li>Some activities, such as local MSP plans adoption and implementation seem to have been over ambitiously planned, and the respective objective has little chances to be</li> </ul>
	# legislative and policy revised, realigned, or developed reforms and appropriate institutional capacity developed and realigned in line with SAP and its implementation at national and regional level	<ul style="list-style-type: none"> <li>National scoping and consultation workshops and meetings have been conducted in all 9 participating countries</li> <li>Ocean Governance Special session organised at 11th WIOMSA Symposium</li> </ul>	At each country, policy alignment and harmonisation and institutional and technical capacity needs for effective SAP implementation are identified & prioritised.  At regional level, priority policy harmonisation needs (for effective SAP implementation)	WIO ocean governance strategy and 3 guidelines on ecosystem economic valuation, ecosystem health monitoring and water quality developed and adopted at regional and national level Up to 3 policies and strategies revised or develop in line with SAP implementation	<ul style="list-style-type: none"> <li>Regular national virtual consultation workshops and meetings have been conducted with all 9 participating countries</li> <li>Regional marine and coastal ecosystem monitoring framework for the WIO region, water quality monitoring guidelines and ecosystem economic valuation guidelines (all jointly with WIO-SAP)</li> <li>Most National Marine Diagnostic Analysis (MEDA) reports were updated</li> <li>Development of the Ocean Governance Strategy started with Multi-stakeholder Task force in place</li> <li>Efforts to be increased to implement regional frameworks, policies and strategies at national level</li> </ul>		



Outcome	Indicator	Level in 1 <sup>st</sup> PIR (2019)	Mid-term target	End-of-project target	Mid-term level and assessment	Mid-term achievement rating	Justification for rating
			to be addressed through regional strategies and guidelines identified & agreed				fully achieved within the current project's timeframe <ul style="list-style-type: none"> <li>Capacity and institutional development delayed because of COVID-19 which has prevented F2F training, critical for such initiatives</li> </ul>
	# direct and indirect project beneficiaries, including the number of communities (men and women) engaged in ecosystem-based management approach and benefited from integrated alternative livelihoods interventions (direct and indirect beneficiaries are identified as per the methodology available from UNDP-GEF)	All participating countries have conducted national consultations and prioritisation to align different initiatives to SAPPHIRE and SAP implementation	400 coastal inhabitants started engaging in sustainable coastal and marine ecosystem management activities through the project demonstrations. Coastal and marine ecosystem management initiatives	1000hhs livelihoods improved through engagement in integrated alternative economic activities with coastal and marine ecosystem management initiatives	<ul style="list-style-type: none"> <li>The total of 5 local demonstration projects have been implemented in 5 countries aimed at improving livelihoods of 850 coastal households</li> <li>However, about half of these projects are still in very early stage of implementation, delayed because of the COVID-19 and are behind target.</li> </ul>		
<b>Component 1: Supporting Policy Harmonization and Management Reforms towards improved Ocean Governance</b>							
<b>Outcome 1.1</b>	1.1.1. Number of legislations	<ul style="list-style-type: none"> <li>Mozambique has organized</li> </ul>	3 policies and legislations	6 policies and legislations	<ul style="list-style-type: none"> <li>Mozambique has reviewed national Ocean Policy, Comoros was</li> </ul>		<ul style="list-style-type: none"> <li>Project has supported all countries in policy,</li> </ul>

Outcome	Indicator	Level in 1 <sup>st</sup> PIR (2019)	Mid-term target	End-of-project target	Mid-term level and assessment	Mid-term achievement rating	Justification for rating
Policy, legislative and institutional reforms and realignment in support of the SAP are implemented at national and regional level as appropriate, with emphasis given to strengthening and supporting existing processes and mechanisms including regional bodies (such as Conventions, Commissions, and Regional Scientific Bodies). Coordination and management mechanism are strengthened at both	and policies revised, realigned, or developed to support implementation of SAP and capture the overall ecosystem-based management approach	<p>consultations with stakeholders to review its new ocean policy</p> <ul style="list-style-type: none"> <li>• Madagascar, Mauritius, South Africa, and Tanzania have conducted national consultations on existing marine and coastal ecosystem-related policies and legislation</li> <li>• Demonstration project proposals were prepared</li> </ul>	reviewed at national level and realigned to support SAP implementation	reviewed at national level and realigned to support SAP implementation	<p>strengthening conservation of its coastal and marine ecosystems through review of its fisheries policy, while Kenya has taken stock of their blue economy activities</p> <ul style="list-style-type: none"> <li>• South Africa is working to promote development of a Coordinated Ocean and Coastal Ecosystem Management Approach</li> </ul>	S	legislative and institutional reforms in support of SAP have been started and important progress has been achieved, in particular through revision and realignment of existing ones such as MEDA.
	1.1.2. Number and type of appropriate regional and national intersectoral coordination mechanisms established to ensure ongoing WIO LME SAP Implementation	<ul style="list-style-type: none"> <li>• PSC met 2 times</li> <li>• All 9 participating countries established NICCs</li> </ul>	All participating countries established appropriate national intersectoral institutions to accelerate SAP implementation	National intersectoral committees are fully functional and coordinate SAP implementation	<ul style="list-style-type: none"> <li>• National inter-sectoral coordination committees (NICCs) are fully functional and support the implementation of planned activities. The national focal points are actively participating in virtual meetings to review the impact of COVID-19 on project performance, discuss progress and coordination challenges, and propose joint solutions.</li> </ul>		<ul style="list-style-type: none"> <li>• Coordination mechanisms at national level have been strengthened</li> <li>• Development of the MSP process, even if not initially envisaged as part of this outcome, has significantly advanced at a regional level as a joint effort with the WIO-SAP project, but regional MSP framework has not been fully adopted at a national level, and this fact has affected the overall rating</li> </ul>
	1.1.3. Marine Spatial Planning (MSP) process adopted as a policy and management planning and coordination	<ul style="list-style-type: none"> <li>• Countries are committed to adapting MSP as a planning tool and requested the development of regional MSP</li> </ul>	Marine Spatial Planning framework adopted by all countries	5 countries exercise MSP and integrate to national development plan incorporating LMEs approach	<ul style="list-style-type: none"> <li>• MSP TWG has been established</li> <li>• A Situational Report on MSP in the WIO region, including best practices and challenges was developed paving the way for the development of a regional MSP Framework</li> <li>• The draft MSP Framework, prepared together with the WIO-SAP Project,</li> </ul>		

Outcome	Indicator	Level in 1 <sup>st</sup> PIR (2019)	Mid-term target	End-of-project target	Mid-term level and assessment	Mid-term achievement rating	Justification for rating
national and regional levels	tool that ensures various stakeholder engagement at national and regional levels	guidelines, as well as regional taskforce			was presented at the regional science – policy dialogue in March 2021, but has not yet been adopted by all countries <ul style="list-style-type: none"> <li>• Draft Policy Brief on MSP has been prepared</li> </ul>		
<b>Outcome 1.2</b> Technical and institutional capacity developed to deliver Knowledge-Based Governance approaches by delivering scientific results to management and policy makers for adaptive management decision-making	1.2.1: Regional and National Ecosystem Monitoring Programmes adopted throughout the WIO LMEs as part of SAP Implementation	<ul style="list-style-type: none"> <li>• Countries indicated the need for the development of regional ecosystem monitoring guidelines</li> <li>• TORs prepared</li> <li>• Criteria for selection of 4 countries developed</li> </ul>	WIO Regional ecosystem monitoring guideline drafted	WIO Regional ecosystem monitoring guideline adopted at the regional level and domesticated at least in 4 countries	<ul style="list-style-type: none"> <li>• Regional Ecosystem Monitoring Framework is being developed (in collaboration with the WIO-SAP Project)</li> <li>• First draft of the regional ecosystem monitoring framework was presented at the regional science – policy dialogue</li> <li>• SAPPHERE Portal developed</li> </ul>	<b>MU</b>	<ul style="list-style-type: none"> <li>• Progress has been made in expanding technical and institutional capacity to deliver knowledge-based management through development of several important management guidelines and framework, albeit in collaboration with another GEF project – the WIO-SAP Project.</li> <li>• However, it is questionable whether these products could be fully adopted by all participating countries and integrated into their national management practices considering the remaining project's timeframe. This particularly refers to the regional monitoring programmes, which still have to be developed at the national level and implemented to show the first results during the project's timeframe.</li> <li>• The Science to Policy Platform is fully operational and has</li> </ul>
	1.2.2: Number of countries adopted national and regional standards for marine water quality parameters and contaminants/pollutants	<ul style="list-style-type: none"> <li>• Discussions and a visit have been conducted to the Madagascar national water quality testing centre, and a proposal for strengthening the centre is under preparation.</li> </ul>	<p>At least 2 countries adopt and implement national marine water quality standards</p> <p>25 national experts trained in water quality monitoring</p>	<p>Countries report at least two reports on national commitments to regional and global Agreements, Conventions and Protocols on marine water and ecosystem health monitoring.</p> <p>At least 4 participating countries share annual monitoring reports on national standards on marine water quality</p>	<ul style="list-style-type: none"> <li>• Regional framework for coastal and marine water quality (WQ) management finalised (in collaboration with the WIO-SAP Project)</li> <li>• Three outputs have been developed and completed: Situational Assessment, WQ Monitoring Framework; WQ Monitoring Guidelines; and a policy brief on these outputs is currently being finalized</li> <li>• Regional technical working group (TWG) has been established</li> <li>• Regional workshop on cooperation in preparedness and response to marine spills in Eastern Africa and the Western Indian Ocean organised</li> </ul>		

Outcome	Indicator	Level in 1 <sup>st</sup> PIR (2019)	Mid-term target	End-of-project target	Mid-term level and assessment	Mid-term achievement rating	Justification for rating
				National monitoring measures and capacity in place at pilot sites to demonstrate compliance with standards for contaminants			contributed to many of the decisions taken at COP 10 of the Nairobi Convention in November 2021.
	1.2.3: Number of events organised to strengthen Regional and National Science-to-Governance process and delivery in support of effective Adaptive Management and Policy Decisions	<ul style="list-style-type: none"> <li>National inception workshops organised in all participating countries</li> <li>Regional science to policy workshop organised</li> </ul>	Regional Science to Governance (S2G) Platform of the NBO Convention strengthened to include a session focusing on policy & management recommendations	<p>4 policy briefs</p> <p>Policy and management recommendations made at each meeting of the Regional S2G Platform regarding the WIO LME management.</p>	<ul style="list-style-type: none"> <li>The project collaborated in the organisation of the WIO Science to Policy workshop on 23-25 March 2021 and contributed to several key decisions of the 10<sup>th</sup> COP of the NC.</li> <li>Several workshops organised on emerging issues that impact the sustainable management of WIO LME</li> </ul>		
	1.2.4: # of tools available that support decision makers in considering and integrating value of ecosystem goods and services into policy,	<ul style="list-style-type: none"> <li>Ecosystem economic valuation guidelines have been drafted and reviewed</li> </ul>	Ecosystem goods and services assessment tool kit developed and adopted to identifying the cost-benefits of the ecosystem approach and ecosystem-based management	3 guidelines on ecosystem economic valuation, ecosystem health monitoring and water quality developed and adopted at regional and national level	<ul style="list-style-type: none"> <li>Regional ecosystem economic valuation guidelines have been developed and endorsed by the member states under the Nairobi Convention Implemented project WIOSAP</li> <li>The guidelines will be tested in the proposed transboundary boundary conservation area between Kenya and Tanzania, and still to be finalised</li> </ul>		

Outcome	Indicator	Level in 1 <sup>st</sup> PIR (2019)	Mid-term target	End-of-project target	Mid-term level and assessment	Mid-term achievement rating	Justification for rating
	management and investment decisions		2 annual science to policy workshops conducted and review the state of the ocean in the WIO				
<b>Outcome 1.3</b> Collaborative and cooperative mechanisms agreed and strengthened between national, regional and global partners and stakeholders	1.3.1. Number of events, contributing to the strengthened coordination for effective SAP implementation at regional level in partnership with the existing IGOs and other regional bodies with relevant mandates (i.e. Nairobi Convention, SWIOFC, IOC-UNESCO, WIOMSA, COI-IOC)	<ul style="list-style-type: none"> <li>• More than 80 National data centre managers, policy makers, scientists and partners have gathered at Two regional workshops on "Oceanographic data and research for improved ocean governance in the WIO region" with more than 80 participants organised in Mauritius and Durban.</li> <li>• Data parameters have been developed and shared with all national data centre managers.</li> </ul>	<p>Two regional workshops conducted, contributing to the collaborative approach to SAP implementation; and outputs from various scientific and technical meetings documented</p> <p>A mechanism to support the WIO LME SAP implementation drafted with contributions from WIO-C partners.</p> <p>A proposed suitable coordination and collaboration mechanism to involve NGOs, academia, CSOs,</p>	<p>The state of the WIO LME reviewed annually by policy makers, scientists and practitioners to agree on key ocean governance strategies</p> <p>WIO -C partnership annual report on contribution towards sustainable LME management</p>	<ul style="list-style-type: none"> <li>• WIO regional ocean governance background document detailing the status, gaps, challenges and opportunities of ocean governance in the region was prepared and widely shared with stakeholders and partners.</li> <li>• SAPPHIRE has engaged with the Western Indian Ocean Consortium of NGOs (WIO-C) member organisations in different initiatives</li> <li>• Regional workshop was organised to launch the Background Document on the State of Ocean Governance in the WIO Region.</li> <li>• Regional economic communities, regional commissions, Contracting Parties to the NC and the African Union have been engaged in the process of developing a regional Ocean Governance Strategy. Planning for a regional Task Force to support this process has been completed and is expected to be rolled out during 2022 and 2023.</li> </ul>	<b>S</b>	<ul style="list-style-type: none"> <li>• Project has established mechanisms for collaboration, but the efforts have been hindered by COVID-19, which has caused some delays.</li> <li>• Project has been represented at a number of appropriate regional and global meetings and events securing interaction and knowledge exchange with other initiatives.</li> <li>• All countries have these mechanisms in place, although their structure and composition varies.</li> </ul>

Outcome	Indicator	Level in 1 <sup>st</sup> PIR (2019)	Mid-term target	End-of-project target	Mid-term level and assessment	Mid-term achievement rating	Justification for rating
			communities, private sectors at the national level in at least 4 countries.				
<b>Component 2: Stress Reduction through Community Engagement and Empowerment in Sustainable Resources Management</b>							
<b>Outcome 2.1</b> Integrating the Ecosystem-based Management approach into Local Economic Development Plans at selected communities Pilot level and stress reduction demonstrated and captured for replication (including community stakeholder engagement and awareness of LME Goods and Services)	2.1.1. Number of vulnerable coastal communities' members (men and women) that improved their livelihoods through integrated alternative economic activities with coastal and marine ecosystem management initiatives	<ul style="list-style-type: none"> <li>• Demonstration projects that integrate ecosystem-based management activities and alternative livelihoods are under preparation in Mozambique, Tanzania, South Africa and Madagascar</li> <li>• National task forces, who will provide technical support and monitoring of the implementation of activities, have been established by some of the countries</li> </ul>	400hhs livelihoods engaged in integrated alternative economic activities with coastal and marine ecosystem management initiatives	1000hhs livelihoods improved through engagement in integrated alternative economic activities with coastal and marine ecosystem management initiatives	<ul style="list-style-type: none"> <li>• The SAPPHIRE project has provided technical support to the participating countries to develop demonstration project proposals. Project proposals have been received from Comoros, Kenya, Madagascar, Mozambique, and Tanzania.</li> </ul>	<b>MS</b>	<ul style="list-style-type: none"> <li>• While the project has committed to improve the livelihoods of the local communities, this activity has yet to take off the ground. Considering the delays caused by COVID-19, which have largely affected the implementation of local demonstration projects, the remaining activities can hardly be implemented within the project's remaining time frame.</li> <li>• Stress reduction targets were quite ambitiously set, in particular in the ProDoc, although they have not been specifically mentioned in the PIR. The respective demonstration projects are delayed and will not show results within the project's remaining time frame.</li> <li>• The project is successful in communicating its results</li> </ul>
	2.1.2. Stress Reduction measured at community demo sites by reduction of harmful pesticides,	<ul style="list-style-type: none"> <li>• Stress reduction through ecosystem-based practices among artisanal and subsistence fisheries has been initiated in selected countries</li> </ul>	Standard stress reduction measurement indicators adopted to measure the reduction of harmful	Stress on coastal and marine ecosystem reduced by 5 - 10% through improved practices	This objective will be achieved under phase 2 of the process on development of WQ monitoring framework which will address national level adoption through targeted capacity building, development of national water monitoring frameworks where governments express interest and on-ground application		

Outcome	Indicator	Level in 1 <sup>st</sup> PIR (2019)	Mid-term target	End-of-project target	Mid-term level and assessment	Mid-term achievement rating	Justification for rating
	<p>nitrate, and/or phosphate, as appropriate</p> <p>2.1.3. # of communication and knowledge management materials produced to disseminate lessons learned regarding the integration of EBM into LED Plans (and their implementation ) to promote replication and/or knowledge sharing</p>		<p>pesticides in selected sites</p> <p>Mechanism in place to monitor # of SNS hits/retweets/follows regarding the community-based demos supported by the project integrating EBM into LED Plans</p>	<p>At least 3 lessons and practices captured from community-demos for dissemination through various IW:LEARN outlets (e.g. newsletter, Exposure, website)</p> <p>At least 3 lessons circulated to countries for replication of EBM integration into LED Plans (and its implementation)</p>	<p>Highly informative web site that is developed within the Nairobi Convention website.</p> <p>Several publications produced and published in 2 languages, such as Data and the Western Indian Ocean, State of Ocean Governance in the WIO Region and lessons learned and best practices contained in the State of Ocean Governance in the Western Indian Ocean region publication</p> <p>The 6th Science to Policy dialogue, under the theme 'Transition to a Sustainable Western Indian Ocean Blue Economy: Addressing the challenges and seizing the opportunities' was held with SAPPHIRE's support in March 2021 in recognition of the need for science-based policy formulation, decision-making and adaptive management</p>		to the wider community as well as to decision-makers.
<b>Outcome 2.2</b> Stress reduction through ecosystem-based practices among artisanal and subsistence fisheries	2.2.1. Number of communities demonstrating stress reduction through the implementation of their ecosystem-based Artisanal Fisheries Management Plan	<ul style="list-style-type: none"> <li>Through the national prioritisation and consultation workshops, the most vulnerable coastal communities and biodiversity hotspots have been identified in all participating countries.</li> <li>In line with this, demonstration project proposal</li> </ul>	5 fisheries groups developed and adopted ecosystem-based Artisanal Fisheries Management Plan	4 to 5 pilot communities demonstrated reduction in harmful fishing methods	<ul style="list-style-type: none"> <li>Out of six projects that have been initiated, the project in Comoros has achieved progress of 80%, while in other 5 projects the activities have not started yet.</li> <li>The implementing partners have reported that these projects were delayed because of the COVID-19.</li> </ul>	<b>MU</b>	<ul style="list-style-type: none"> <li>The project has ambitiously set objectives for this outcome, but because of COVID-19 related delays local demonstration projects have not yet produced results except in Comoros.</li> <li>Considering the time usually needed to mobilise a demonstration project it is not expected that the remaining demo projects</li> </ul>

Outcome	Indicator	Level in 1 <sup>st</sup> PIR (2019)	Mid-term target	End-of-project target	Mid-term level and assessment	Mid-term achievement rating	Justification for rating
		<p>outlines and preparation guidelines were developed, shared and presented to the PSC.</p> <ul style="list-style-type: none"> <li>• Bilateral discussions have been held and technical advice provided to all countries on the process.</li> </ul>					will be fully implemented within the project's current timeframe.
<b>Component 3: Stress Reduction through Private Sector/Industry Commitment to transformations in their operations and management practices</b>							
<p><b>Outcome 3.1</b> Private Sector engagement and participation in SAP implementation through risk reduction and contingency response mechanisms using public-private sector partnership agreements along with regional partners (Nairobi Convention,</p>	<p>3.1.1. # of private entities participating in/contributing to SAP implementation and mitigating their impacts on EQOs (through stress reduction activities, data capture, ecosystem monitoring, risk reduction and contingency response, EBA mainstreamed in their operations, etc.)</p>	<ul style="list-style-type: none"> <li>• Meetings have been conducted with key private sector actors, including the World Ocean Council.</li> <li>• Areas having collaboration and partnership have been identified to motivate the private sector to mainstream ecosystem-based management in their operations.</li> </ul>	<p>5 companies committed to 1) voluntary stress reduction interventions through adoption of EBM approach in their operation and/or 2) SAP implementation in any potential ways to reduce and mitigate their adverse impacts on EQOs</p>	<p>10 companies committed to 1) voluntary stress reduction interventions through adoption of EBM approach in their operation and/or 2) SAP implementation in any potential ways to reduce and mitigate their adverse impacts on EQOs</p> <p>\$100, 000 - \$500, 000 (cash and in-kind) invested by companies for coastal and marine ecosystem</p>	<ul style="list-style-type: none"> <li>• Over 100 private sector actors have been engaged and areas of collaboration and partnership identified to mainstream ecosystem-based management in industrial operations culminating in the development of a regional private sector assessment report</li> <li>• A stakeholder consultation meeting on the Private Sector Engagement Framework for the WIO region was organised in October 2020</li> <li>• The Strategic Framework for Private Sector Engagement in the Western Indian Ocean developed and presented at the Science – Policy Dialogue in March 2021</li> <li>• The SAPPHERE in collaboration with partners and in particular the Western Indian Ocean Governance Initiative (WIOGI) Project, are in the process of establishing a multi-stakeholder initiative (MSI) and potentially</li> </ul>	<b>MU</b>	<ul style="list-style-type: none"> <li>• In spite of creating the context for private sector and engagement in the WIO Region, the actual commitment of private sector actors to voluntarily reduce stress on coastal and marine ecosystems is still missing.</li> <li>• The PMU will have to focus on this aspect of the project in the remaining period of the project's implementation</li> <li>• The activities in this component have been delayed because of COVID-19</li> </ul>



Outcome	Indicator	Level in 1 <sup>st</sup> PIR (2019)	Mid-term target	End-of-project target	Mid-term level and assessment	Mid-term achievement rating	Justification for rating
WWF, IUCN, etc.)				management in the WIO region	<p>facilitate the development of a Blue Economy Platform as recommended in the Private Sector Engagement Framework.</p> <ul style="list-style-type: none"> <li>Strategies and guidelines for ensuring the participation of a much wider range of stakeholders in the MSI are currently under development by two working groups established by the CORE team</li> <li>Strategies and guidelines for ensuring the participation of a much wider range of stakeholders in the MSI are currently under development by two working groups established by the CORE team</li> </ul>		
<b>Component 4: Delivering Best Practices and Lessons through Innovative Ocean Governance Demonstrations</b>							
<b>Outcome 4.1</b> Identifying Innovative Management options for High Seas areas within LMEs	4.1.1. # of innovative voluntary management options and/or partnership options for High Seas areas, within the ASCLME system boundary, identified for voluntary adoption	<ul style="list-style-type: none"> <li>Workshop was organised on governance for ABNJ in WIO and SE Atlantic Ocean regions with more than 50 participants</li> </ul>	<p>Stakeholders' negotiation and dialogue conducted on regulatory framework on the (voluntary) management and ecosystem monitoring of ABNJ/BBNJ within the ASCLME system boundary</p> <p>A list of priority concerns over ABNJ for the effective management of</p>	<p>3 voluntary management and monitoring options for the ABNJ within the ASCLME system boundary proposed for consideration by the WIO countries</p> <p>Spatial Planning and Management Strategies identified for LME/ ABNJ management</p> <p>SDG14 Voluntary Commitments/ actions registered,</p>	<ul style="list-style-type: none"> <li>Terms of Reference for the background paper highlighting issues related to the ABNJ/BBNJ relevant to regional Ocean Governance have been developed</li> <li>Kenya (upwelling system of the North Kenya Banks) and Tanzania (oceanographic survey) demonstration projects are progressing well</li> </ul>	<b>MU</b>	<ul style="list-style-type: none"> <li>While the outcome has been planned as a very ambitious one, very little has been achieved so far.</li> <li>Most of the outputs belong to other outcomes of the project (MSP Strategy, for example) where issues relevant to this outcome are marginally treated, and these outputs cannot be considered as direct outputs of this outcome</li> </ul>

Outcome	Indicator	Level in 1 <sup>st</sup> PIR (2019)	Mid-term target	End-of-project target	Mid-term level and assessment	Mid-term achievement rating	Justification for rating
			ASCLMEs identified and agreed at the regional level, informing management option/strategy discussions.	which relates to better protection of marine ecosystems in ABNJ in WIO region			
<b>Outcome 4.2*</b> Demonstrating effective ocean policy implementation with emphasis on marine spatial planning, intersectoral cooperation, adoption of a blue ocean economy approach, innovative management mechanisms and capture of lessons for transfer and replication	4.2.1. JC Strategy implemented through the application of MSP in the JMA for sustainable utilisation and ecosystem-based management of JMA resources.		At least 20 officials relevant to JMA management trained on MSP  MSP Roadmap developed through stakeholder consultation and endorsed by JC	MSP developed for JMA and documented.  MSP process and outcomes used for policy and management decision making by JC	<ul style="list-style-type: none"> <li>More than 45 Officials from Mauritius and Seychelles participated in Marine Spatial Planning (MSP) workshops, which consisted of two MSP Stakeholder workshops and an MSP Scenario workshop.</li> <li>The JMA roadmap was developed through a consultative approach involving key partners from Seychelles and Mauritius.</li> </ul>	S	<ul style="list-style-type: none"> <li>This Outcome has been moving along well and was on a good track to achieve outputs intended and reach planned targets. However, the Covid-19 crisis has not allowed implementation of some training activities as planned, but it is expected that these activities will be carried out fully during the remaining time of the project's implementation.</li> <li>Mid-term targets, in particular those related to MSP Framework, have been met. It looks like a solid foundation for continuation of the MSP efforts has been laid out.</li> <li>The progress of implementation of the in some of data management activities were delayed due to COVID-19 but the progress has been significant recently.</li> </ul>
	4.2.2 Technical and institutional capacity of JC strengthened for the sustainable and effective management of JMA by two countries.		Procurement of hardware required to support JC's data management capacity completed.  Data sharing agreements signed between JC and relevant institutions to facilitate data repatriation.	Data management capacity of JC enhanced with the installation of the data management system  Data and info relevant to the management of JMA repatriated, accessible and used for JC's decision making	<ul style="list-style-type: none"> <li>The JMA Database system architecture was developed and endorsed by the PSC.</li> <li>Two identical sets of Data Server Equipment (1 for Mauritius and 1 for Seychelles) were procured.</li> <li>Significant work has been completed for the JMA Monitoring Control and Surveillance (MCS).</li> <li>The MCS Workshop was held online from 29 to 30 June 2021 with relevant stakeholders from Mauritius and Seychelles. The aim of the MCS Workshop was to apprise participants on the best tools and practices</li> </ul>		

Outcome	Indicator	Level in 1 <sup>st</sup> PIR (2019)	Mid-term target	End-of-project target	Mid-term level and assessment	Mid-term achievement rating	Justification for rating
			<p>Scientific Symposium held to enhance data sharing and repatriation efforts.</p> <p>MCS Programme framework (indicators to be monitored, methods/methodologies to be used for monitoring, monitoring frequency, people/institutions involved) for JMA drafted.</p>	MSC Programme for JMA reviewed and agreed by JC for implementation.	relevant to the JMA and to provide a platform for an open discussion among MCS practitioners to identify gaps and challenges for MCS in the JMA.		
	4.2.3. # of publications and reports to present/share best practices and lessons learned on ocean governance in ABNJ (including JMA) and in EEZ		3 lessons and best practices on ocean (governance) policy development process and use of MSP in it developed as knowledge management and communication materials for wide dissemination through IW:	At least 10 Lessons and best practices shared with public via website and social media and with targeted audience through relevant global/regional for about effective ocean policy implementation/ocean governance demonstration, utilising MSP, to promote sustainable	<ul style="list-style-type: none"> <li>During the reporting period, SAPPHIRE has finalized and shared five analytical products in addition to the ongoing initiatives. More than twenty communication products and lessons learned have also been shared in order to raise the awareness among wider stakeholders and replicate best practices at the national and regional levels.</li> <li>Several articles on SAPPHIRE appeared in the IW:LEARN newsletter.</li> </ul>		

Outcome	Indicator	Level in 1 <sup>st</sup> PIR (2019)	Mid-term target	End-of-project target	Mid-term level and assessment	Mid-term achievement rating	Justification for rating
			LEARN and other platforms	Blue/Ocean Economy  Presentation and active participation in IW: LEARN-related activities, including IWC.			
<b>Component 5: Capacity Development to Realise improved Ocean Governance in the WIO region</b>							
<b>Outcome 5.1</b> Capacity for improved Ocean Governance strengthened through training and support	5.1.1: Number of direct and indirect beneficiaries (sex & country disaggregated) of capacity development and training programmes delivered by the project in support of SAP implementation .	<ul style="list-style-type: none"> <li>57 experts from all participating countries participated in the MSP training workshop in March 2019</li> <li>The partnership with KMFRI, Tanzanian IMS and TAFIRI is one of the major national capacity building initiatives to support data collection and conduct research in the Northern Kenya bank and Pemba channel of Tanzania.</li> </ul>	<p>100 national experts in the region participate in trainings on MSP, Ecosystem monitoring</p> <p>50 experts participate on TOT in marine spatial planning</p> <p>4 Oceanographic researchers from Kenyan and Tanzania participated in expeditions Data, publications</p>	At least 240 experts in total trained, through different courses, trainings, TOTs, organised in the region, including the 4-week course on Ocean Governance organised by the IOI, to capacitate them to implement SAP priority activities at the national and regional level, with particular focus on marine special planning, ecosystem monitoring, oceanographic data & information management, and ocean governance.	<ul style="list-style-type: none"> <li>61 experts from Mauritius, Seychelles and Somalia (40 -JMA and 21-SAPPHIRE) were trained in MSP</li> <li>Leadership renewal training provided to 18 WIO women leaders and scientists</li> <li>56 scientists (11 women and 45men) from KMFRI and IMS Tanzania have participated in an oceanographic research expedition in the Northern Bank of Kenya and Pemba channel of Tanzania</li> <li>SAPPHIRE project partnered with the Swedish Agency for Marine and Water Management (SwAM) to deliver 3 training modules on MSP to participants from Somalia</li> <li>SwAM has conducted 3 workshops with the MSP TWG in November 2020, February 2021, and June 2021</li> <li>Phase 2 and 3 of the Advanced Leadership Workshop for Senior Leaders, Officials and Policy Makers (Women) in Marine Policy and Ocean Governance were organised virtually in 2020 and 2021</li> </ul>	<b>MS</b>	<ul style="list-style-type: none"> <li>Project has managed to develop a large number of training activities that have included a planned number of participants. Women were adequately represented, and the project has achieved gender equality in this respect.</li> <li>A number of capacity building activities had to be delayed because of the COVID-19, and that has affected the rating.</li> <li>It is expected that the project will be able to keep momentum in the capacity building activities within its time frame.</li> </ul>

Outcome	Indicator	Level in 1 <sup>st</sup> PIR (2019)	Mid-term target	End-of-project target	Mid-term level and assessment	Mid-term achievement rating	Justification for rating
				<p>4 scientific research and policy briefs published and disseminated to support policy formulation and decision-making processes</p> <p>At least 2 countries involved in the Indian Ocean Observing System (IndOOS) and its Resources Forum (IRF) as well as SIBER to coordinate closely with SAPPHIRE Monitoring Programmes and other related activities and initiatives in the western Indian Ocean</p>	<ul style="list-style-type: none"> <li>The SAPPHIRE project, in collaboration with the International Ocean Institute – Southern Africa, organised a training course on Ocean Governance: Policy, Law and Management for the Western Indian Ocean (WIO) region from 30 August to 24 September 2021 for 24 participants.</li> </ul>		

*\*The assessment of the progress of Outcome 4.2 is based on the results of the JMA project's MTR, conducted in early 2021 as well as the assessment made in 2021 PIR.*

Table 3: Rating of the achievement of Outcomes

### 3.2.2 Remaining Barriers to Achieving the Project Objective

43. In a complex, multi-country, multi-component project of this nature, the barriers to progress vary from country to country and activity to activity. Considering the achievement of the high-level objective of the project, which is “to achieve effective long-term ecosystem management in the Western Indian Ocean LMEs in line with the Strategic Action Programme as endorsed by the participating countries”, a considerable amount of work remains to achieve that project objective and its related outcomes.

44. Some of the barriers that need to be overcome in the second half of the project include:

- **Covid-19 pandemics:** The pandemics have already had an extensive impact on the pace of the project’s implementation. Because the project’s geographical area extends over nine countries, the travel between the countries was supposed to be extensive if the project’s objectives were to be achieved. Since there was a practical halt on inter-country travel for the most part of 2020 and 2021, the implementation of a number of project’s activities, particularly those that required in-person communication was slowed down. It is expected that the lockdown situation will be eased in 2022. However, the delay that has already been accumulated may affect the timely implementation of the remaining project’s activities.
- **Staffing:** Because the implementation of a large number of activities has been significantly delayed, mostly because of COVID-19, their implementation during the remaining timeframe and, even if eventual extension period is taken in consideration, current level of staffing may create a barrier to achieving the project objective because of a high level of communication and project preparation that will be needed. The amount of funds that has been unspent and remained to be spent during the remaining project’s timeframe, even if extended, may allow some expansion of technical capacity of the PMU, permanent or temporary.
- **Adoption of legislative and policy instruments at national level:** While the project has made efforts to develop these instruments at the regional level, it is lagging behind on their adoption and integration in national legal systems or implementation of regional guidelines at national and local levels, such as MSP. Since “domestication” of legislative and policy instruments is considered as one of the major objectives of the project, it is of utmost importance to overcome this barrier and speed up efforts for these activities, which normally require ample time to be finalised.

### 3.3 Project Implementation and Adaptive Management

45. This section of the MTR report provides an assessment of the components of project implementation and adaptive management, namely management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation, management of risks, stakeholder engagement, as well as reporting and communications.

#### 3.3.1 Management Arrangements

46. The original ProDoc describes the management arrangement relevant to the SAPPHIRE Project (Figure 2). While UNDP is the Implementing Agency, because UNEP was not among the UN Agencies which have signed the agreement with UNDP at a corporate level so that UNDP can select them as an Implementing Partner, it was decided that the project would be directly implemented (Direct Implementation Modality – DIM) by UNDP through UNDP Mauritius Country Office (CO) with UNEP being selected by Mauritius CO as a Responsible party through the signature of a UN Agency to UN

Agency Contribution Agreement . Project Coordination Unit for the SAPPHIRE Project was hosted by the Government of Seychelles. According to ProDoc, the Project Coordinator and one full-time Technical Specialist had to be supported by locally recruited support staff, while a Finance Officer and a Procurement Officer will be based at the Nairobi Convention Secretariat, jointly financed by the UNDP-GEF SAPPHIRE project and the UNEP-GEF WIOSAP project, to strengthen institutional capacity of the Convention Secretariat and ensure efficient delivery of the two projects. All these posts financed by the project were planned to be (jointly where appropriate) led by the Project Coordinator.

47. Start-up of the project was delayed with a significant idle period between the CEO endorsement (May 2016) and the ProDoc signature (October 2017), and then the Project Manager coming on board only in November 2018. The project's implementation arrangements could be considered as unique with the PMU being split between Seychelles and Nairobi. A number of stakeholders pointed to such an arrangement being too complicated. It is considered that putting such a complicated arrangement in practice, i.e. moving back and forth between various agencies also contributed to the start-up delays.

48. Because the original arrangement was not the most effective, to rectify the situation, after some consultation with the host Government of Seychelles, the relocation of the Project Coordinator from Seychelles to Nairobi was proposed and agreed by the 1st PSC meeting in June 2019. The updated ProDoc from 22 November 2021 states this change in the project implementation arrangement. UNDP remains as the GEF Implementing Agency for GEF for this Project, with UNDP BPPS/Nature, Climate and Energy Vertical Funds Unit as the Principal Project Resident Representative. Project Coordination Unit is hosted by the Nairobi Convention and the entire unit is based in Nairobi. Some stakeholders have expressed satisfaction with the changing arrangement because even before this change, most of the management activities were done from Nairobi. The contributions of UNDP as the GEF Implementing Agency in implementing the project was satisfactory; particularly when considering the critical events that occurred during the implementation of this project (the crisis caused by COVID-19). It supported the implementation of the project in its respective area of responsibility and provided good support to the implementation team to ensure an efficient use of GEF resources and an effective implementation of the project. UNDP provided the required guidance to apply UNDP project management procedures such as procurement, hiring and contracting as well as financial management and guidance for reporting project progress. UNDP backstopped the project with its own resources and supported the project management team throughout the implementation, including the participation in the decision-making process for implementing the project during the PSC meetings. It was responsive to the implementation problems caused by COVID-19. The SAPPHIRE PMU has been hosted since 2019 by the Nairobi Convention. The SAPPHIRE project has been jointly financing several staff members with the UNEP-GEF WIOSAP project. This collaboration between the two projects, and the two UN organisations, seems to be working well. They have been focused on delivering results, and several important outputs, such as the MSP Regional Strategy, have been produced.

49. Project oversight is provided by the Project Steering Committee (PSC). After the Project Inception workshop in November 2017, the PSC has been meeting regularly once a year. The PSC's role is to provide advice, guidance and facilitation of scientific, technical, financial and administrative matters related to project implementation. It also approves the workplan and budget for the year ahead and makes decisions about substantive policy and strategy issues concerning implementation. Overall, the PSC mechanism has been effective in fulfilling its advisory and decision-making role. However, the PSC meetings could be held more often during the remaining project period in order to speed up the implementation of remaining project's activities.

### 3.3.2 Work Planning

50. The ProDoc served as the basis for the Annual Work Planning (AWP). The structure of each annual work plan consists of the project outcomes and the associated activities that are planned to be implemented in the following year. The annual plans are prepared by the PMU, presented to the PSC, which adopts them.

51. The project was delayed in the start of its implementation for the reasons already explained above. The initial causes for the delay of implementation were resolved, in particular after the PMU was moved entirely to Nairobi, but the COVID-19 has had a dramatic impact on the implementation of the project's activities. It is expected that after the restrictions are eased that the project will continue its implementation at a faster pace and that this fact will be reflected in the future annual work planning.

52. As mentioned earlier, the initial PRF in the ProDoc did not contain mid-term targets. It contained a very large number of indicators for each outcome, but these indicators were not clearly linked with each outcome's deliverables and very difficult to follow. This made annual planning at the initial stage quite difficult and the resulting annual work plans were not easy to follow with respect to targets to be achieved. The revised PRF prepared in 2019, as mentioned earlier, has the reduced number of indicators and associated mid-term targets. However, the resulting 2019 annual work plan, although having a column with annual targets to be achieved, still fails to link planned annual project activities with indicators and mid-term targets as presented in the revised PRF. The 2020 and 2021 annual work plans do not have the linkages with the indicators and mid-term targets.

53. The work-planning processes are not as results-based as they should be. The main reason for that is the lack of appropriate linkages between the (revised) PRF and the annual work plans. This will have to be significantly improved. The annual work plans templates should show, in addition to already having each activity linked to the outcome, a clear identification of the indicator the activity is related to as well as the level of fulfilment of the mid-term and also the end-of-project target. This is extremely important since this is the only way to monitor whether the project will be reaching its objectives within the planned and, eventually, extended timeframe.

### 3.3.3 Finance and Co-finance

54. The project's financial planning and management has been carried out according to the UNDP rules. The total amount allocated for the project when the project started (grant and co-financing) was US\$326,565,994. The GEF grant amounts to US\$8,766,500, while US\$317,799,494 has been granted as co-financing. According to ProDoc, co-financing is entirely in kind. The participating governments have committed USD311,040,044 in co-financing, while other donors have committed USD6,759,450 in co-financing. The resulting co-financing - financing ratio is 1:36, which is a very good ratio. Basic budget parameters are shown in Table 4 below.

Year	Planned budget per ProDoc	% of total	Expenditures years 1-4	% of planned in ProDoc	Remaining amounts for years 5 and 6	% of planned in ProDoc
1 (2018)	309,701	3.5	224,104	72.4		
2 (2019)	1,467,599	16.6	1,102,267	75.1		
3 (2020)	1,784,300	20.3	1,104,357	61.9		
4 (2021)	2,159,625	24.5	619,313	28.7		



5 (2022)	1,750,300	20.0			3,392,299*	193.8
6 (2023)	1,330,975	15.1			2,324,160	174.6
<b>TOTAL</b>	<b>8,766,500</b>	<b>100.0</b>	<b>3,050,041</b>	<b>34.8</b>	<b>5,716,459</b>	<b>65.2</b>

\*This amount is the approved budget for 2022

Table 4: Project's budget and expenditures (in US\$)

55. The actual disbursement of the project's funds at the end of 2021 is very much behind the projected expenditures. The total of USD 3,050,041 has been disbursed, which is only 53.6% of the amount that has been planned to be disbursed during the first four years of project's implementation and only 34.8% of the total funds. The projected budget expenditures for 2022 and 2023, which will be transposed into the annual work plans, show an increase of the project expenditures. However, if the budgets for the following two years are increased, the funds to be spent are significantly larger on annual basis than those planned for the previous years and, in particular, those that have actually been spent. This will be a great challenge for the PMU and the participating countries. The resulting expenditures also show the impact of COVID-19 upon the project, because years 2020 and 2021 had a lower expenditure rate than the previous years (in 2020 61.9% of the planned funds were spent, while in 2021 this percentage was extremely low – 28.7%).

56. The expenditures per project component are shown in Table 5 below. These expenditures refer only to the actual expenditures during the first four years of the Project's implementation as shown in the project's reports.

Component	Planned budget	Expenditure years 1-4	% of planned
1	2	3	4
1	3,586,000	1,489,738	41.5
2	1,240,000	329,905	26.6
3	755,000	262,013	34.7
4	1,539,000	583,559	37.9
5	1,106,500	360,398	32.6
6	540,000	24,772	4.6
	8,766,500	3,050,041	34.8

Table 5: Project expenditures per component (in US\$)

57. The highest rate of expenditure is in Component 1 of the project, which is encouraging because it is the biggest component in terms of financial allocation, and the majority of the demonstration projects is financed through this component. While this is a positive sign, the overall expenditure rate is very low, with USD5,716,114 still to be spent during the remaining two fiscal years of the project's implementation.

58. The financial controls in the project are quite strict, and the MTR does not find deviations from the UNDP financial regulations. No financial audit report was presented to the MTR Consultant. The audit finds the financial management of the JMA Project satisfactory.

59. Initially, the SAPPHIRE project had a significant co-financing committed (USD317,799,494, all of it in-kind). By the time of this MTR the total co-financing has increased to USD333,428,294, out of which USD42,880,000, or 12.86%, has been reported (Annex IV). This percentage is very low and significant efforts have to be made to achieve full committed co-financing by the end of the project. Possible extension of the project may facilitate reaching this objective. It appears that tracking system

to monitor the detailed extent to which these commitments are realised at the project level, such as the template prepared by the PMU and applied to Madagascar, is not used for other countries participating in the project. The PMU is recommended to apply effective system of co-financing tracking as early as possible.

### 3.3.4 Project-Level Monitoring and Evaluation Systems

60. The monitoring and evaluation (M&E) reporting is being conducted as per outlined in the project document, which is consistent with the GEF and Executing Agency M&E policies. The M&E plan envisages, as elaborated in the ProDoc, a reporting schedule consisting of periodic monitoring, quarterly reporting, and annual monitoring. Project Monitoring Reporting is planned to take place at regular intervals throughout the project's implementation. The project's M&E budget (USD300,000, which is 3.5% of the total budget) is ample and adequate to carry out all the M&E tasks envisaged.

61. As per ProDoc, the Inception Workshop was to be held within the first 2 months of PMU establishment. It took place on 17 November 2017, i.e. less than one month after the ProDoc was signed (official project starting date). The Project Manager assumed its duty in November 2018, i.e. full one year after the Inception Workshop took place. The financial data show that during that interim period there were expenditures, i.e. that the project was functioning even without having the Project Manager in place.

62. The Project Steering Committee is meeting regularly, once a year, exercising high quality control of the project's implementation. The reviewer suggests that the role of the PSC should be strengthened and more meetings to be convened to provide support to PMU for accelerated implementation of the project's activities during the remaining project's timeframe. The M&E plan has been sufficiently budgeted and funded during the project preparation and implementation phases, and the resources have been utilised efficiently. All monitoring tools (quarterly reports, annual reports, PIR) provide enough information. MTR finds that some gender dis-aggregated information has been included in the reporting. However, this aspect needs to be improved in subsequent reporting and information from past activities needs to be incorporated to obtain an idea of how gender issues have been addressed. Of note are the 3 trainings on governance for senior women leaders that is unusual and innovative in projects of this nature. Reporting tools should incorporate all relevant aspects of project progress, not only outcome achievements, but also deliverable/outcome achievements to allow for more consistent and coherent reporting of results. For example, the percentage of progress should be shown for each indicator in the PIR's Table C. Development Objective Progress, as well as percentages showing progress for project outcome/deliverables/outputs.

### 3.3.5 Stakeholders' Engagement

63. One of the key features of the SAPPHIRE project is the strength of relationship between the project management and the project's stakeholders. This was greatly helped by the implementation of more than 30 local and national projects. In addition, the project has assisted in establishing the National Implementation Committees (NIC), where many stakeholders were involved. Project has brought in many regional and national partners, including the scientific community. Some projects have extended their reach to local communities, helping them plan their activities by, for example, bringing information on monsoons to local fishermen.

64. Government representatives are members of the PSC having, thus, an active role in project decision-making and supporting effective project implementation. Representatives of other

stakeholder groups are not members of the PSC; hence they are not regular attendees of these meetings, but they have been invited to attend the meetings related to specific subjects. Formal partnerships have not yet been established. However, at the Nairobi Convention level SAPPHIRE is furthering formal partnerships through several MoUs. These exist between WIOMSA and the NCS as well as with the Indian Ocean Commission. MOUs are in the process of being developed with the Benguela Current Commission and the Swedish Agency for Marine and Water Management driven by SAPPHIRE.

65. The SAPPHIRE project has established or supported several technical groups that include representatives from scientific and professional organisations. These stakeholders have taken an active role in implementation of respective project's activities, such as Marine Spatial Planning and Ocean Governance. The project has also made good use of the Nairobi Conventions' Focal Points .

66. The SAPPHIRE project is a relatively highly technical one and it does not have a specific gender mainstreaming component. But a number of local demonstration projects are targeting the local population, women included, and the outputs of these projects have certainly benefited that section of the regional population. However, assessing whether the project will have positive and/or negative effects on women and men, girls and boys, is not yet possible.

67. The SAPPHIRE project has deepened bilateral partnerships with various stakeholders to achieve several deliverables, namely with the Western Indian Marine Science Association (WIOMSA) on ocean governance issues and the development of regional ecosystem monitoring indicators and framework for monitoring in collaboration with Rhodes University; together with the GEF-funded WIOSAP project, the project has also been working with Nelson Mandela University to create a regional marine spatial planning strategy; and with the Council for Scientific and Industrial Research (CSIR) of South Africa has developed WIO regional water quality standards and a monitoring framework. Furthermore, the project is working with the University of Nairobi to contribute to a national blue economy strategy for Kenya. Finally, the project has partnered with the Kenya Marine and Fisheries Research Institute and the Institute of Marine Sciences to support data collection and research in the North Kenya Bank and the Pemba channel of Tanzania, respectively.

68. The SAPPHIRE project has also created partnerships external to the existing project structures on issues that have been complementary to the core subjects of the projects, namely with the GIZ-Nairobi Convention Western Indian Ocean Governance Initiative (WIOGI), Indian Ocean Commission (IOC) on oil spill preparedness, Marine Regions Forum, Swedish Agency for Marine and Water Management (SwAM), and others.

### 3.3.6 Social and Environmental Standards (Safeguards)

69. The Social and Environmental Screening Procedure (SESP) template has been filled. The overall SAPPHIRE project Risk Categorization was rated as Low. The SESP has identified two major risks: one associated with the potential outcomes of the project having impact on climate change, and the other related to impacts of the project on the indigenous people. Both risks were rated as low. The management measures that were identified in SESP have been implemented and the probability of risk at the time of MTR compared to the risk identified at the time of GEF CEO Endorsement has not increased.

### 3.3.7 Reporting

70. The reporting for the project has been followed as laid out in the ProDoc. Major elements include:

- **Inception phase:** Project inception workshop and subsequent Inception Workshop Report;
- **Quarterly progress reporting:** Quarterly Progress Reports (QPR/APR) are provided regularly to UNDP;
- **Annual progress reporting:** Annual Project Review/Project Implementation Reports (APR/PIR);
- **Annual Progress-Chasing Consultancy:** The SAPPHIRE project might make a provision of an independent consultant with experience in International Waters projects, who will be engaged to provide an independent third-party view-point and facilitate the collation of project information into both internal progress-chasing reports and annual inputs into the UNDP APR/PIR and GEF IW Tracking Tools. This task has not yet been undertaken;
- **Project Steering Committee Meetings:** The Project Document notes that “Project implementation will be guided by a Project Steering Committee...as the highest decision-making body for the project...(that) will review and approve annual project reviews and work-plans, technical documents, budgets and financial reports.”

71. Inception Workshop Report has been prepared. Quarterly progress reporting is performed regularly and the reports adequately present the work done. The reports are prepared following the predetermined format. Annual progress reporting is performed through PIRs. Each PSC meeting was followed by a report of the meeting.

72. The MTR consultant observes that, although reporting is following a standard process and is being done regularly, there are several aspects that attention will be paid to in the future:

- Lack of mid-term and end-of-project targets in PRF contained in the signed ProDoc, as well as multitude of indicators that were not directly linked to specific deliverables/outputs and, thus, made very difficult to follow and monitor, was corrected in the revised PRF Prepared in June 2019.
- The number of indicators in the revised PRF was significantly reduced, but some were still not linked to the relevant deliverables/outputs. Thus, for example, the Outcome 1.1 indicator 1.1.3 refers to Marine Spatial Planning, but in the ProDoc there is no mention at all of MSP. Also, among Outcome 1.2 indicators none of the 4 indicators mentions MSP, although in the ProDoc the Outcome 1.2 Deliverable 1.2.5 explicitly mentions support to MSP.
- Some minor inconsistencies were noted in financial reporting.
- As mentioned in section 3.3.2 above, quarterly reports do not link annual activities with the deliverables, indicators, mid-term and end-of-project targets. Adding these linkages will allow better monitoring of the project’s implementation.

### 3.3.8 Communications and Knowledge Management

73. The SAPPHIRE project is working with other Nairobi Convention projects and in particular with the WIO-SAP project to develop and update a Knowledge Management strategy that will contribute to efforts to achieve improved Ocean Governance for the WIO region. TORs for a consultant have been developed, which include developing an information management needs assessment of the Nairobi Convention countries and stakeholders and developing a first, second and final draft of the Strategy for managing and sharing current and future information by key stakeholders in the region, including options for how an information management system might be developed, governed and sustained.

74. In addition,<sup>3</sup> the SAPPHIRE project has contributed to the development of a Nairobi Convention Communications Strategy which furthers the communication aims of the project, and helps to align SAPPHIRE communications with the overall NC workplan.

75. The project has developed a number of innovative knowledge products such as publications released in English and French on issues of oil spills, ocean governance, data management, private sector engagement, climate change, fisheries, and blue economy, etc. A number of articles about SAPPHIRE appeared in newsletters, websites or other news media outlets.

76. SAPPHIRE project has a very well designed and informative web site embedded within the Nairobi Convention web platform. All project documents, meeting reports, annual reports, project outputs as well as communication products are uploaded on the web site. No information was provided on the number of website hits. The MTR recommends to monitor use of communication products and report in PIR.

77. Most Focal Points interviewed are satisfied with the communication between the PMU and the project's stakeholders, although some expressed desire to have more information on the progress of project's implementation. It is of utmost importance that during the remaining period of the project's implementation, communications efforts be stepped up since this will raise the level of involvement of local and national stakeholders. PMU should, in addition to the current communication efforts, consider having news conferences on special occasions, use more of the visual media, consider being more active on social media, organise special thematic conferences to present results etc.

### 3.3.9 Conclusions on Project Implementation and Adaptive Management

78. The MTR concludes that the overall project implementation and adaptive management aspects of the SAPPHIRE Project are **Satisfactory (S)**. Analysis of the above aspects of Project Implementation and Adaptive Management is leading to a conclusion that the project's implementation and adaptive management are efficient and effective. It is the reporting aspect that needs some remedial action.

## 3.4 Sustainability

### 3.4.1 Financial Risks to Sustainability

79. Financial risks to the sustainability of the SAPPHIRE project are unlikely. Most of the countries have taken good ownership of the project, being well aware of what it entails in the long run as well as what are its limitations. The national stakeholders seem to be committed for the continuation of the project, and it is safe to assume that they will provide adequate financing for it in the future. Aside from the governments, which support the continuation of the project in principle, at the moment it is not possible to identify other opportunities for financial sustainability, in particular from the private sector. However, this will be one of the main tasks of the recommended exit strategy for the project.

### 3.4.2 Socio-economic Risks to Sustainability

80. The socio-economic and political sustainability of the project is moderately likely. Political situation in most countries seems to be stable, but in some countries may be volatile. The level of stakeholder ownership at national level seems to be relatively high. The level of local community empowerment to date has been low due to the fact that private sector engagement is only gaining momentum now. Several planning and background processes have been undertaken and engagement has started, especially through the Multi-Stakeholder Initiative in collaboration with the GIZ WIOGI Partnership Project. Community empowerment will also increase as the community-based demonstration projects gain momentum during the post Covid 19 period. Lessons learned and

successful aspects of the project should be transferred to appropriate parties via Project Steering Committee on a continual basis.

### 3.4.3 Institutional Framework and Governance Risks to Sustainability

81. Institutional and governance sustainability of the project is moderately likely. All governments are interested in continuing the initiative, and have progressed towards securing effective ocean management in the WIO Region through implementation of project's results, such as MSP, monitoring, ocean governance strategy and others. What is still expected is the government's appropriation of project results and their integration into national legislation and institutional settings. However, taking in consideration the countries' ownership of the projects, risks to institutional sustainability are relatively low.

### 3.4.4 Environmental Risks to Sustainability

82. No activities implemented by the project posed any environmental threats to the sustainability of the project's outcomes.

### 3.4.5 Conclusions on Sustainability

83. The MTR concludes that the overall risks to the SAPPHIRE project's sustainability are low. Overall Sustainability rating for the SAPPHIRE project is **Likely (L)**.

## 4 Conclusions and Recommendations

### 4.1 Conclusions

84. The project is highly relevant for the implementation of the SAP in WIO Region. The project strategy is quite comprehensive in scope and highly relevant to the development priorities of the nine country partners. However, the project's strategic structure is too complex, and some of its activities and deliverables could be considered as redundant and could be merged into a somewhat smaller number of project's deliverables (now totalling 133 in number). The project design and strategies, while implicit in the project narrative, did not include a fleshed-out Theory of Change (ToC), which should depict the causal pathways from project's root causes and barriers towards outputs (goods and services delivered by the project), outcomes (changes resulting from the use made by key stakeholders of project outputs) and finally leading to impact (long-term changes in environmental benefits and living conditions).

85. There is a lack of coherence between the description of the project's components, outcomes, and deliverables in the ProDoc, and the indicators in the PRF and then in the annual PIRs. The indicators in the initial PRF are many but, on the other hand, indicators are not more directly linked to the project's deliverables/outputs. The ProDoc would greatly benefit from a better clarity and coherence between indicators. It also did not contain mid-term and end-of-project targets, which are critical for project's implementation monitoring. These shortcomings were later partially corrected with the preparation of the revised PRF.

86. The period between PIF approval (August 2013) and the actual start of the project (November 2018), when the Project Manager was hired, although the ProDoc was signed in October 2017 and the

Inception Workshop took place in November 2017) has been too long. However, it does not look like initial assumptions of the project have been changed during that period and the starting premises have remained valid.

87. Overall, after factoring in all the delays caused by the COVID-19, the project's progress towards reaching its major objectives is rated as Moderately Satisfactory (MS), but with the additional time it is likely that the overall progress rating may change to Satisfactory (S). All countries are participating, to a varying degree, in the implementation of the project and have achieved progress towards adopting LME management mechanisms at national and regional levels. The progress in most of the national and local demonstration projects was visible. However, some activities, such as local MSP plans adoption and implementation seem to have been over ambitiously planned, and the respective objectives have little chances to be fully achieved within the current project's timeframe.

88. Progress in **Component 1** of the project (*Supporting Policy Harmonisation and Management Reforms towards improved Ocean Governance*) is largely on target. National project implementation mechanisms are in place, and the PMU has established good relationships with National Implementation Committees as well as with the Nairobi Convention Focal Points. However, the policy and legislative reforms have achieved progress at regional level with the adoption of regional thematic strategies, while their adoption into national legislation and institutional structures is lagging behind.

89. Progress in **Component 2** of the project (*Stress Reduction through Community Engagement and Empowerment in Sustainable Resources Management*) is generally behind target. While the project has committed to improve the livelihoods of the local communities, this activity has yet to take off the ground. Considering the delays caused by COVID-19, which have largely affected the implementation of local demonstration projects, the remaining activities can hardly be implemented within the project's remaining time frame. The project has ambitiously set stress reduction objectives, but because of COVID-19 related delays local demonstration projects have not yet produced expected results. The project has been successful in communicating its results to the wider community as well as to decision-makers.

90. Progress achieved in **Component 3** (*Stress Reduction through Private Sector/Industry Commitment to transformations in their operations and management practices*) has been modest. In spite of creating the context for private sector and engagement in the WIO Region, the actual commitment of private sector actors to voluntarily reduce stress on coastal and marine ecosystems is still missing.

91. Progress achieved in **Component 4** (*Delivering Best Practices and Lessons through Innovative Ocean Governance Demonstrations*) for Outcome 4.2 has been assessed taking in consideration the Mid-Term Review for JMA project that was carried out in early 2021 and the 2021 PIR. While Outcome 4.2 was largely on target, the Outcome 4.1, which was planned as a very ambitious one, is not on target and efforts will have to be made to catch up for the lost momentum.

92. Progress in **Component 5** (*Capacity Development to Realise Improved Ocean Governance in the WIO region*) has been on target. Project has managed to develop a large number of training activities that have included a planned number of participants. Women were adequately represented, and the project has achieved gender equality in this respect. A number of capacity building activities had to be delayed because of the COVID-19. Overall, capacity for improved ocean governance in the region has been strengthened.

93. The project management is efficient and effective, in particular taking in consideration the current circumstances caused by the Covid-19. Internal communication between the project bodies is

efficient, while external communication is characterised by a very good web site and production of a number of high-quality knowledge products. Adaptive management is at a high level resulting in the fast response to changing circumstances, in particular after PMU has been moved from Seychelles to the Nairobi Convention Secretariat in Nairobi.

94. Sustainability of the project is rated as likely. The risks identified in the ProDoc are still valid with no indication that their rating of impact and probability has changed. The 2020 PIR identified the global Covid-19 pandemic as a new Safety and Security critical risk for the SAPPHIRE project. This risk has already had an impact on the pace of implementation of the SAPPHIRE Project, but it may recede in 2022.

## 4.2 Recommendations

### 4.3.1 Corrective Actions for the Design, Implementation, Monitoring and Evaluation of the Project

95. **Recommendation 1:** *Develop a proposal for a “no-cost” extension of the project by 18 months to allow sufficient time to achieve progress towards outcomes that have been delayed in starting implementation of project activities, because of the Covid-19 crisis. Entity Responsible: UNDP, PMU, PSC*

96. **Recommendation 2:** *Revise the indicators and targets in the Revised Project Results Framework, which was prepared in August 2019. While the linkages between indicators and targets in the revised PRF are clear, the linkages between indicators, targets and project deliverables do not exist. Also, a number of deliverables do not have corresponding indicators and targets. A list of proposed changes should be circulated to the PSC and changes made in time for the next reporting period. Entity Responsible: PMU, PSC*

97. **Recommendation 3:** *Implement a harmonised set of reporting tools incorporating all relevant aspects of project progress, not only outcome achievements, but also deliverable/outcome achievements to allow for more consistent and coherent reporting of results. Show percentage of progress of each indicator (PIR’s Table C. Development Objective Progress). Consider calculating progress percentages for project outcome/deliverables/outputs as well. Entity Responsible: PMU*

98. **Recommendation 4:** *Speed up implementation of the remaining activities, in particular those whose completion has been delayed by COVID-19. Stricter control of implementation of activities should be introduced, in particular by the Project Steering Committee. Entity Responsible: PMU*

99. **Recommendation 5:** *Develop indicators on gender mainstreaming and integrate them into the PRF and the monitoring system. The PRF does not contain disaggregated indicators showing participation of women in the project’s activities. The PRF should develop quantitative end-of-project targets within the existing indicators. Entity Responsible: PMU*

100. **Recommendation 6:** *Improve reporting on co-financing. Prepare annual co-financing reports containing, as a minimum, the information on the amount of annual co-financing provided by each partner; distribution of co-financing per component/outcome/output/activity; rate of co-financing provided and the amount left for the remaining period of the project’s implementation; perceived risks, if any, in provision of co-financing by partner; and proposal for actions to be taken to mitigate risks. Entity Responsible: PMU*



101. **Recommendation 7:** *Identify demo projects with serious challenges and provide adequate assistance to speed up their implementation. This particularly refers to the Marine Spatial Planning initiatives, which normally take a long time for the stakeholders to approve and implement and national and local authorities to adopt as a legislative and management tool. Entity Responsible: PMU*

102. **Recommendation 8:** *While the communication and knowledge products are of good quality, monitoring their use does not exist. The PMU should develop indicators, such as number of website hits, number of distributed documents, number of articles published in various media, etc. PMU should also intensify the project's presence in social media. Entity Responsible: PMU*

#### 4.3.2 Actions to Follow up or Reinforce Initial Benefits from the Project

103. **Recommendation 9:** *Intensify efforts to support policy harmonisation at national levels by assisting countries to adopt and integrate regionally approved policies, strategies and guidelines. This refers in particular to the Regional Marine Spatial Planning Strategy, which should be integrated into national legislation. Entity Responsible: PMU, PSC, Nairobi Convention Focal Points*

104. **Recommendation 10:** *Increase efforts towards more extensive private sector engagement. Consider employing or engaging as a consultant a Business Development specialist to develop and promote private sector products and services to stakeholders in the region and beyond. Entity Responsible: PMU*

105. **Recommendation 11:** *The project's communication plan, which has already been developed, should boost the project's public awareness and stakeholders' engagement efforts. Most of the project's indicators need to be clearly and effectively communicated within countries and local communities in particular. The PMU should ensure that lessons learned are shared. Entity Responsible: PMU*

106. **Recommendation 12:** *Because of the delays caused by COVID-19, which has resulted in an excessively large amount of unused funds, the pressure on PMU to implement project's activities within existing or extended time frame, will grow. In order to assist stakeholders to implement project's activities, consider expanding the PMU staff with technical capacity to accommodate the growing pressure. Entity Responsible: UNDP, PMU, PSC*

#### 4.3.3 Proposals for Future Directions Underlining Main Objectives

107. **Recommendation 13:** *The role of the Project Steering Committee needs to be strengthened. Consider increasing the frequency of the PSC meetings, possibly to 2-3 meetings per year. Entity Responsible: PSC*

108. **Recommendation 14:** *Prepare exit/sustainability strategy for the SAPPHIRE project, possibly in collaboration with WIO-SAP project. This should include a strategy for sustaining all the SAPPHIRE partnerships, as well as national implementation committees and local communities that have participated in demonstration projects. The SAPPHIRE project document does not include an exit and/or sustainability strategy, which is important to facilitate uptake and sustainability of the project results. The strategy should consider the post-SAPPHIRE activities and consider new financing in addition to those already secured. Entity Responsible: PMU*

# Annexes

## Annex I: Terms of Reference (excluding ToR annexes)

*(Relevant sections from the ToR)*

### **BASIC CONTRACT INFORMATION**

**Location:** Western Indian Ocean Large Marine Ecosystem- Governments of Comoros, Kenya, Madagascar, Mauritius, Mozambique, Seychelles, Somalia, South Africa, Tanzania

**Type of Contract:** Individual Contract

**Post Level:** International Consultant

**Languages Required:** English

**Starting Date:** 21 January 2022 through 31 March 2022, estimated level of effort is 22 working days

### **1. INTRODUCTION**

This is the Terms of Reference (ToR) for -the Midterm Review (MTR) of the full-sized UNDP-supported GEF-financed project titled “The Western Indian Ocean Large Marine Ecosystems Strategic Action Programme Policy Harmonisation and Institutional Reforms (**WIO LME SAPPHIRE**) (PIMS 5262) implemented through the Nairobi Convention, UNEP, which is to be undertaken in early 2022. The project started on the 24 October 2017 and is in its fourth year of implementation. This ToR sets out the expectations for this MTR. The MTR process must follow the guidance outlined in this TOR and the document [Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects](#).

### **2. PROJECT BACKGROUND INFORMATION**

This Project builds on the previous work completed under the UNDP-supported GEF-financed Agulhas and Somali Current Large Marine Ecosystems (ASCLME) Project in close collaboration with a number of partners. The ASCLME Project delivered the intended regional TDA and ministerially endorsed SAP for the western Indian Ocean LMEs as well as individual Marine Ecosystem Diagnostic Analyses (MEDAs) for each participating country. The ASCLME Project also created the Western Indian Ocean Sustainable Ecosystem Alliance (WIOSEA).

The SAPPHIRE Project aims to support and assist the appropriate and formally mandated government institutions and intergovernmental bodies in the region to implement the activities which they require in order to deliver the SAP and to ensure sustainability of efforts and actions toward long-term management of activities within the LMEs as well as the sustainability of associated institutional arrangements and partnerships. The project’s activities have several cross-cutting themes, which will seek to meaningfully address progress towards meeting UNDP goals and targets with respect to sustainable development, poverty alleviation, early warning of disaster and climate change, SDGs, gender mainstreaming and youth.

Throughout the implementation, the project coordinates closely with the UNEP GEF WIOLaB (Western Indian Ocean Land-based Activities (Project) SAP project with the intention of harmonising activities and ultimately combining institutional and administrative processes for a single implementation strategy for the two WIO SAPs. The overall Objective of this Project is ‘To achieve effective long-term

ecosystem management in the Western Indian Ocean LMEs in line with the Strategic Action Programme as endorsed by the participating countries.

The project has 5 Components:

- Component 1 represents the overarching suite of activities and deliverables in support of management and policy reforms for SAP Implementation and, as such, receives most of the funding, both from GEF and in terms of co-financing (approximately 50% in both cases). The other Components represent specific priority management and governance issues within the LMEs that need to be addressed urgently in order to deliver effective SAP Implementation through Component One.
- Component 2 focuses on the need for more effective community engagement in the overall management process, with an emphasis on demonstrating such engagement and involvement at the localised level, and particularly in relation to small-scale, artisanal fisheries and associated small-area management approaches.
- Component 3 aims to develop effective mechanisms for interaction between the maritime industrial sector and governance bodies in the development of joint management approaches within the LMEs.
- Component 4 will demonstrate best lessons and practices in strengthening partnerships for management of areas beyond national jurisdiction that nevertheless still fall within the LMEs and therefore have transboundary influence and implications. It will also demonstrate the integrated use of Marine Spatial Planning and the Blue Economy framework into the development of Ocean Governance and Policy, in close partnership and collaboration with the UNEP WIOLaB SAP implementation project which is also addressing marine spatial planning with an emphasis on coastal and nearshore planning. SAPPHIRE will aim to up-scale the approaches used, and the lessons and best practices developed through this partnership to deliver a more LME-wide planning approach.
- Component 5 addresses the on-going needs for capacity development and the coordination of training and capacity strengthening within the region in relation to effective SAP management and implementation

### **3. MTR PURPOSE**

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 and its risks to sustainability. Further, the MTR will assess the impacts of COVID-19 on the project implementation and provide recommendations to mitigate them.

### **4. MTR APPROACH & METHODOLOGY**

The MTR report must provide evidence-based information that is credible, reliable and useful. The MTR team will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Social and Environmental Screening Procedure/SESP), the Project Document, project reports including annual PIRs, project budget revisions, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review. The MTR team will review the baseline GEF focal area Tracking Tools submitted to the GEF at CEO endorsement, and the midterm GEF focal area Tracking Tools that must be completed before the MTR desk review period begins.

The MTR team is expected to follow a collaborative and participatory approach<sup>1</sup> ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), the Nature, Climate and Energy (NCE) Regional Technical Advisor, direct beneficiaries, and other key stakeholders.

Engagement of stakeholders is vital to a successful MTR. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to *(the Nairobi Convention Focal Points, Project Steering Committee members, Focal Institutions including departments of ocean governance, blue economy, fisheries and environment in participating countries, , beneficiary institutions/organizations implementing demonstration projects, the management unit of the UNEP WIOSAP implementation project, South African Institute for International Affairs, the Western Indian Ocean Marine Science Association (WIOMSA), the Indian Ocean Commission (IOC), Rhodes University of South Africa, the International Maritime Organization (IMO), the GIZ-Nairobi Convention Western Indian Ocean Governance Initiative (WIOGI), South West Indian Ocean Fisheries Commission/Nairobi Convention Partnership Project, the Nelson Mandela University, the International Ocean Institute-southern Africa, the Council for Scientific and Industrial Research (CSIR) of South Africa, the University of Nairobi, the Kenya Marine and Fisheries Research Institute, the Institute of Marine Sciences of Kenya, the Collective Leadership Institute (CLI), IRD (the French National Research Institute), Swedish Agency for Marine and Water Management (SwAM), the western Indian Ocean Marine Spatial Planning Technical Working Group (MSP TWG) ;* executing agencies, senior officials and task team/ component leaders, key experts and consultants in the subject area that have been recruited by the project, , project stakeholders, academia, local government and CSOs, etc. The International Consultant will be home-based Due to COVID-19 travel restrictions, the International Consultant should develop a methodology detailing how MTR will be undertaken remotely, including the use of virtual interview methods and extended desk reviews, data analysis, surveys and evaluation questionnaires. This should be detailed in the MTR Inception Report and agreed with the Commissioning Unit. Also, in this case, consideration should be taken for stakeholders' willingness and ability to be interviewed remotely including their accessibility to internet, computers or phones. These limitations have to be reflected in the final MTR report.

The specific design and methodology for the MTR should emerge from consultations between the MTR team and the above-mentioned parties regarding what is appropriate and feasible for meeting the MTR purpose and objectives and answering the evaluation questions, given limitations of COVID, budget, time and data. The MTR team must, however, use gender-responsive methodologies and tools and ensure that gender equality and women's empowerment, as well as other cross-cutting issues and SDGs are incorporated into the MTR report.

The final methodological approach including interview schedule, field visits (if applicable) and data to be used in the MTR must be clearly outlined in the Inception Report and be fully discussed and agreed between UNDP, stakeholders and the MTR team.

The final MTR report must 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 team 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.

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<sup>1</sup> For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results](#), 05 Nov 2013.

## **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.
  - Were relevant gender issues (e.g. the impact of the project on gender equality in the programme country, involvement of women's groups, engaging women in project activities) raised in the Project Document?
- 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?
- 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 <sup>2</sup>	Baseline Level <sup>3</sup>	Level in 1 <sup>st</sup> PIR (self-reported)	Midterm Target <sup>4</sup>	End-of-project Target	Midterm Level & Assessment <sup>5</sup>	Achievement Rating <sup>6</sup>	Justification for Rating
<b>Objective:</b>	Indicator (if applicable):							
<b>Outcome 1:</b>	Indicator 1:							
	Indicator 2:							
<b>Outcome 2:</b>	Indicator 3:							
	Indicator 4:							
	Etc.							
<b>Etc.</b>								

**Indicator Assessment Key**

Green= Achieved	Yellow= On target to be achieved	Red= Not on target to be achieved
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In addition to the progress towards outcomes analysis:

- Compare and analyse the GEF Tracking Tool/Core Indicators 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:

- 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.
- Do the Executing Agency/Implementing Partner and/or UNDP and other partners have the capacity to deliver benefits to or involve women? If yes, how?
- What is the gender balance of project staff? What steps have been taken to ensure gender balance in project staff?
- What is the gender balance of the Project Board? What steps have been taken to ensure gender balance in the Project Board?

<sup>2</sup> Populate with data from the Logframe and scorecards

<sup>3</sup> Populate with data from the Project Document

<sup>4</sup> If available

<sup>5</sup> Colour code this column only

<sup>6</sup> Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

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 by the Commissioning Unit and project team, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?

Sources of Co-financing	Name of Co-financer	Type of Co-financing	Co-financing amount confirmed at CEO Endorsement (US\$)	Actual Amount Contributed at stage of Midterm Review (US\$)	Actual % of Expected Amount
		<b>TOTAL</b>			

- Include the separate GEF Co-Financing template (filled out by the Commissioning Unit and project team) which categorizes each co-financing amount as ‘investment mobilized’ or ‘recurrent expenditures’. (This template will be annexed as a separate file.)

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?
- Review the extent to which relevant gender issues were incorporated in monitoring systems. See Annex 9 of *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.

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?
- How does the project engage women and girls? Is the project likely to have the same positive and/or negative effects on women and men, girls and boys? Identify, if possible, legal, cultural, or religious constraints on women's participation in the project. What can the project do to enhance its gender benefits?

#### Social and Environmental Standards (Safeguards)

- Validate the risks identified in the project's most current SESP, and those risks' ratings; are any revisions needed?
- Summarize and assess the revisions made since CEO Endorsement/Approval (if any) to:
  - The project's overall safeguards risk categorization.
  - The identified types of risks<sup>7</sup> (in the SESP).
  - The individual risk ratings (in the SESP).
- Describe and assess progress made in the implementation of the project's social and environmental management measures as outlined in the SESP submitted at CEO Endorsement/Approval (and prepared during implementation, if any), including any revisions to those measures. Such management measures might include Environmental and Social Management Plans (ESMPs) or other management plans, though can also include aspects of a project's design; refer to Question 6 in the SESP template for a summary of the identified management measures.

A given project should be assessed against the version of UNDP's safeguards policy that was in effect at the time of the project's approval.

#### Reporting:

- Assess how adaptive management changes have been reported by the project management and shared with the Project Board.
- Assess how well the Project Team and 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 & Knowledge Management:

- 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

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<sup>7</sup> Risks are to be labeled with both the UNDP SES Principles and Standards, and the GEF's "types of risks and potential impacts": Climate Change and Disaster; Disadvantaged or Vulnerable Individuals or Groups; Disability Inclusion; Adverse Gender-Related impact, including Gender-based Violence and Sexual Exploitation; Biodiversity Conservation and the Sustainable Management of Living Natural Resources; Restrictions on Land Use and Involuntary Resettlement; Indigenous Peoples; Cultural Heritage; Resource Efficiency and Pollution Prevention; Labor and Working Conditions; Community Health, Safety and Security.



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.
- List knowledge activities/products developed (based on knowledge management approach approved at CEO Endorsement/Approval).

#### **iv. Sustainability**

- Validate whether the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Register 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 Team 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 & Lessons Learned**

The MTR team will include a section in the MTR report for evidence-based conclusions, in light of the findings and explain whether the project will be able to achieve planned development objective and outcomes by the end of implementation.

Additionally, the MTR consultant is expected to make recommendations to the Project Team. 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 team should make no more than 15 recommendations total.

The MTR will also include a separate section with a concise and logically articulated set of lessons learned (new knowledge gained from the project, context, outcomes, even evaluation methods). Lessons should be based on specific evidence presented in the report and can be used to inform design, adapt and change plans and actions, as appropriate, and plan for scaling up.

The Interim Evaluation report’s findings, conclusions, recommendations and lessons learned need to consider gender equality and women’s empowerment and other cross-cutting issues.

### Ratings

The MTR team 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 for (*Project Title*)**

<b>Measure</b>	<b>MTR Rating</b>	<b>Achievement Description</b>
<b>Project Strategy</b>	N/A	
<b>Progress Towards Results</b>	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.	
<b>Project Implementation &amp; Adaptive Management</b>	(rate 6 pt. scale)	
<b>Sustainability</b>	(rate 4 pt. scale)	

### 6. TIMEFRAME

The total duration of the MTR will be approximately 22 working days over a time period of 3 months. The tentative MTR timeframe is as follows:

## Annex II: List of Persons Interviewed

Date	Name	Position
Numerous occasions	Timothy Andrew Bonface Mutisya	Project Manager PMU PMU
20 January 2022	Madeleine Nyiratuza	UNDP RTA
17 March 2022	Susan Otieno	Kenya FP and MSP TWG Member
	Harrison Onganda	MSP TWG Member
	Joseph Kamau	Demo Project “Understanding the current and future status of the upwelling system of the North Kenya Bank under the influence of climate change”
18 March 2022	Sebastian Unger	IASS
	Dr Andriamboavonjy Nicolas	National Focal Point and SAPPHIRE Coordinator – Madagascar
	Rajaomanana Hery	MEDA Technical Coordinator, Madagascar
	Andrianarisoa Miora	Technical Coordinator, National Consultation, Madagascar
	James Njiru	KMFRI Director, Kenya MEDA
21 March 2022	Gina Bonne	Mauritius, IOC
22 March 2022	Ritha Said	Tanzania FP

## Annex III: List of Documents Reviewed

### **Project design documents**

- Project Identification Form (PIF)
- CEO Endorsement Request
- UNDP Project Document
- SESP
- PPG Initiation Plan

### **Annual Workplans and budgets**

- 2019 workplan and budget
- 2020 Project workplan and budget
- 2021 Project workplan and budget
- 2022 Revised workplan and budget

### **Annual Reports**

- Quarterly project reports
- Annual project reports
- Project Implementation Reports (PIR)

### **Project outputs**

Various technical reports

### **Meeting Reports**

- Inception Meeting Report
- Technical Workshops Reports
- Project Steering Committee Meetings Report

## Annex IV: Co-financing Table

Sources of Co-Financing	Name of Co-Financer	Type of Co-Financing	Amount Confirmed at CEO Endorsement (USD)	Actual Amount Contributed at Stage of MTR (USD)	Actual % of Expected Amount
National Government	Comoros	In-Kind	20,915,032	1,500,000	7.17
	Kenya	In-Kind	109,395,556	30,000,000	27.42
	Madagascar	In-Kind	14,500,000	1,000,000	6.89
	Mauritius	In-Kind	2,051,886	500,000	24.36
	Mozambique	In-Kind	94,410,885	2,500,000	2.64
	Seychelles	In-Kind	51,560,000	2,500,000	4.84
	Somalia	In-Kind	7,270,150	1,000,000	13.75
	South Africa	In-Kind	3,666,384	2,000,000	54.54
	Tanzania	In-Kind	7,270,150	500,000	6.87
	Joint Commission for Mascarene Region	In-Kind	15,600,000	0	0
GEF Agency	UNDP	In-Kind	72,000	25,000	34.72
Multi-lateral Agency	International Maritime Organisation (IMO)	In-Kind	250,000	50,000	20
	IUCN	In-Kind	1,700,000	100,000	5.88
Bilateral Aid Agency	NOAA	In-Kind	2,541,250	0	0
CSO	BirdLife International	In-Kind	50,000	5,000	10
	Future Oceans Alliance (FOA)	In-Kind	65,000	0	0
Others (Scientific Organisations)	Western Indian Ocean Marine Science Association	In-Kind	2,110,000	1,200,000	56.87
<b>Totals</b>			<b>333,428,294</b>	<b>42,880,000</b>	<b>12.86</b>

## Annex V: MTR Evaluative Matrix

Evaluative Questions	Indicators	Sources	Methodology
<p><b>Project Strategy:</b> How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities of the SAPPHIRE participating countries, country ownership and the best route to the expected results?</p>			
<ul style="list-style-type: none"> <li>● To what extent are the project's objectives aligned with international and national priorities in transboundary ocean governance?</li> <li>● Does the project's objectives fit GEF IW and UNDP strategic priorities and how do they support the GEF IW focal area?</li> <li>● Were project partners adequately identified and were they involved in the project design and inception phase?</li> <li>● To what extent are the project's design, objectives and outcomes aligned with the needs and requirements of key partners and stakeholders?</li> <li>● To what extent has the project contributed to gender equality, empowerment of women and human rights of target groups, including in relation to sustainable development?</li> </ul>	<ul style="list-style-type: none"> <li>● Alignment with international and national priorities</li> <li>● Alignment with GEF IW and UNDP strategic priorities</li> <li>● Evidence of partner identification process and of partner involvement in project design and implementation</li> <li>● Evidence that partners' and stakeholders' needs and requirements were taken into consideration</li> <li>● Evidence that gender equality, human rights and sustainable development were taken into consideration in project design and implementation</li> <li>● Quantity and quality of references to gender equality, human rights and sustainable development in project activities and outputs</li> </ul>	<ul style="list-style-type: none"> <li>● Project Document, PPG, PIF, CEO endorsement</li> <li>● Project Inception Workshop Report</li> <li>● PIRs, AWP, PSC minutes</li> <li>● Quarterly Progress Reports</li> <li>● Project output reports</li> <li>● PMU team</li> <li>● UNDP, GEF</li> <li>● Project partners</li> </ul>	<ul style="list-style-type: none"> <li>● Document review</li> <li>● Online Interviews</li> </ul>
<p><b>Progress Towards Results:</b> To what extent have the expected outcomes and objectives of the project been achieved?</p>			
<ul style="list-style-type: none"> <li>● Have there been changes to the Project Results Frameworks' indicators and targets after the Inception Workshop?</li> <li>● Have there been any changes to planned activities and outputs since the Inception Workshop, and if so, how</li> </ul>	<ul style="list-style-type: none"> <li>● Confirmation that changes recommended by Inception Workshop were implemented</li> <li>● Changes to project Results Framework since Inception Workshop</li> </ul>	<ul style="list-style-type: none"> <li>● Project Document, PPG, PIF, CEO endorsement</li> <li>● Project Inception Workshop Report</li> <li>● PIRs, AWP, PSC minutes</li> </ul>	<ul style="list-style-type: none"> <li>● Document review</li> <li>● Online Interviews</li> </ul>

<p>was the implementation schedule and budget adapted to accommodate the changes?</p> <ul style="list-style-type: none"> <li>• Have the projects delivered their outputs and outcomes against the indicators and targets provided in the Results Frameworks?</li> <li>• What are the main factors that have contributed to achieving (or not achieving) the intended objectives, outcomes and outputs?</li> <li>• What are the positive or negative, intended or unintended changes brought about by the project's interventions?</li> <li>• To what extent has the project increased knowledge and understanding of partners and beneficiaries on marine and coastal ecosystems?</li> </ul>	<ul style="list-style-type: none"> <li>• Status of outputs and outcomes achievement</li> <li>• PIR narrative analysis</li> <li>• Evidence that beneficial development effects are being generated</li> <li>• Perspectives of PMU, partners and stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• Quarterly Progress Reports</li> <li>• Project output reports</li> <li>• PMU team</li> <li>• UNDP, GEF</li> <li>• Project partners</li> </ul>	
<p><b>Project Implementation and Adaptive Management:</b> Was the project implemented efficiently, in-line with international and national norms and standards, and been adapt to changing conditions thus far, in particular the COVID-19? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation? To what extent has progress been made in the implementation of social and environmental management measures? Have there been changes to the overall project risk rating and/or the identified types of risks as outlined at the CEO Endorsement stage?</p>			
<ul style="list-style-type: none"> <li>• Was the Project Document sufficiently clear and realistic to enable effective and efficient implementation?</li> <li>• Were any delays encountered in project start up and implementation? If yes, what were the causes of the delays and how have these been resolved?</li> <li>• Have work-planning processes been based on results-based management and has the Project Results Framework been used as a management tool?</li> </ul>	<ul style="list-style-type: none"> <li>• Quality of project design</li> <li>• Evidence of delays and their impact on project implementation</li> <li>• Clarity of project management structure</li> <li>• Evidence of adaptive management, problem solving and reporting</li> <li>• Evidence that project management decisions have delivered efficient results</li> </ul>	<ul style="list-style-type: none"> <li>• Project Document</li> <li>• Project Inception Workshop Report</li> <li>• PIRs, AWP, PSC minutes</li> <li>• UNDP, GEF</li> <li>• Project partners</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Online Interviews</li> </ul>

<ul style="list-style-type: none"> <li>• Has the project management structure operated effectively, producing efficient results and synergies?</li> <li>• Was the PMU effective in providing leadership towards achieving the project results?</li> <li>• Was the PMU able to adapt to changing circumstances and solve problems as they arose?</li> <li>• Were adaptive management changes reported by the PMU and shared with the PSC and other key stakeholders?</li> <li>• Were progress reports produced accurately, timely and in accordance with reporting requirements?</li> <li>• What was the impact of COVID-19 on the project's implementation?</li> <li>• How were COVID-19 impacts mitigated?</li> </ul>	<ul style="list-style-type: none"> <li>• Quality and timeliness of progress reports</li> </ul>		
<ul style="list-style-type: none"> <li>• Did the PMU maintain productive relationships and communications with the key stakeholders throughout implementation?</li> <li>• Has communication between the PMU, UNDP, GEF and the stakeholders been clear, effective and timely?</li> </ul>	<ul style="list-style-type: none"> <li>• Quality and timeliness of communications between PCU and stakeholders</li> <li>• Perspectives of stakeholders</li> <li>• Timeliness of transfer of funds against project budget requirements and allocation to budget lines</li> <li>• Impact of delays in funds transfers on implementation</li> </ul>	<ul style="list-style-type: none"> <li>• PIRs, PSC meeting minutes, project correspondence (as available)</li> <li>• PMU team, UNDP</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Online Interviews</li> </ul>
<ul style="list-style-type: none"> <li>• Have financial, human and technical resources been allocated strategically to achieve project results?</li> <li>• Were the accounting and financial systems in place adequate for project management and for</li> </ul>	<ul style="list-style-type: none"> <li>• Extent to which funds were used to deliver results in accordance with the expectations of the Project Document</li> </ul>	<ul style="list-style-type: none"> <li>• PIRs, PSC meeting minutes, project correspondence (as available)</li> <li>• Co-financing pledge letters</li> <li>• Co-financing tables</li> <li>• PMU team, UNDP</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Online Interviews</li> <li>• Budget reports</li> </ul>



<p>producing accurate and timely financial information?</p> <ul style="list-style-type: none"> <li>• Were the project's implementations as cost effective as originally proposed (planned vs actual)?</li> <li>• Did the leveraging of funds (co-financing) happen as planned?</li> </ul>	<ul style="list-style-type: none"> <li>• Demonstrable financial control and due diligence</li> <li>• Evidence of communication between project management and financial management teams</li> <li>• Details of co-financing received against co-financing pledged</li> </ul>		
<ul style="list-style-type: none"> <li>• To what extent were partnerships/linkages between institutions/organisations encouraged and supported and how efficient were the cooperation and collaboration arrangements?</li> </ul>	<ul style="list-style-type: none"> <li>• Documentary and verbal evidence of cooperation and collaboration arrangements</li> </ul>	<ul style="list-style-type: none"> <li>• PIRs, PSC meeting minutes, project correspondence</li> <li>• PMU team, UNDP, GEF</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Online Interviews</li> </ul>
<ul style="list-style-type: none"> <li>• To what extent have project-level monitoring and evaluation systems, reporting and project communications supported the project's implementation?</li> <li>• Are there sufficient resources allocated for monitoring and evaluation and are these being used effectively?</li> </ul>	<ul style="list-style-type: none"> <li>• Timely and meaningful monitoring and evaluation of project activities</li> <li>• Funding and resource allocation for M&amp;E</li> </ul>	<ul style="list-style-type: none"> <li>• Project Document, PIRs, AWP, PSC meeting minutes</li> <li>• PMU team, UNDP, GEF</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Online Interviews</li> </ul>
<p><b>Sustainability:</b> To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?</p>			
<p><b><u>Financial Risks to Sustainability</u></b></p> <ul style="list-style-type: none"> <li>• To what extent is the sustainability of project's results likely to depend on continued financial support?</li> <li>• What is the likelihood that any additional financial resources will be available to sustain the project's results once the GEF assistance ends?</li> </ul>	<ul style="list-style-type: none"> <li>• Estimate of financial and human resource requirements to sustain project results</li> <li>• Evidence of financial and human resource commitments to sustain project results</li> <li>• Evidence of project exit strategy</li> <li>• Perception of PMU, UNDP, GEF and other key stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• Project Document, PIRs, PSC meeting minutes,</li> <li>• PMU team, UNDP, GEF</li> <li>• Project stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Online Interviews</li> </ul>

<p><b><u>Socio-economic Risk to Sustainability</u></b></p> <ul style="list-style-type: none"> <li>● To what extent have the project’s intervention strategies created ownership of the key international and national stakeholders?</li> <li>● What is the risk that the level of stakeholder ownership will be insufficient to sustain the project outcomes/benefits?</li> <li>● Has the project achieved stakeholders’ consensus regarding courses of action on project activities after the project’s closure date?</li> </ul>	<ul style="list-style-type: none"> <li>● Evidence of ownership of project outcomes by key stakeholders</li> <li>● Exit strategies for the projects have been reviewed by the PSC and a plan agreed</li> <li>● Course of action on project activities after the project’s closure agreed by stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>● Project Document, PIRs, PSC meeting minutes,</li> <li>● PMU team, UNDP, GEF</li> <li>● Project stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>● Document review</li> <li>● Online Interviews</li> </ul>
<p><b><u>Institutional Risk to Sustainability</u></b></p> <ul style="list-style-type: none"> <li>● Has the project developed sufficient institutional capacity (systems, structures, staff, expertise, etc.) to ensure sustainability of results achieved by the project?</li> <li>● What are the project’s potentials for scaling-up and replication in terms of the needs expressed by institutional partners and stakeholders?</li> </ul>	<ul style="list-style-type: none"> <li>● Systems, structures, staff and expertise to ensure sustainability of project results established</li> <li>● Capacity of institutions and programmes to sustain and build on project outcomes developed</li> <li>● Institutional partners and stakeholders’ needs for scaling-up and replication of specific aspects of the projects have been reviewed by the PSC</li> </ul>	<ul style="list-style-type: none"> <li>● Project Document, PIRs, PSC meeting minutes,</li> <li>● PMU team, UNDP, GEF</li> <li>● Project stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>● Document review</li> <li>● Online Interviews</li> </ul>
<p><b><u>Environmental Risks to Sustainability</u></b></p> <ul style="list-style-type: none"> <li>● Are there environmental factors that could undermine the project’s results, including factors that have been identified by project stakeholders?</li> </ul>	<ul style="list-style-type: none"> <li>● Risk assessment of environmental factors that could undermine the project’s results conducted and updated</li> </ul>	<ul style="list-style-type: none"> <li>● Project Document, SESP reports, PIRs, PSC meeting minutes, Mid Term Review,</li> <li>● PMU team, UNDP, UNEP, GEF</li> <li>● Project stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>● Document review</li> <li>● Online Interviews</li> </ul>

## Annex VI: MTR Questionnaire and Interview Guide

1. To what extent the project is consistent with national and local policies and priorities and the needs of intended beneficiaries in your country?
2. How the project's intended results have been achieved half way through its implementation (Opinion of the stakeholders!)?
3. Assess the outputs, outcomes and impact achieved by the project. Is it a good value for money?
4. Were the relevant country representatives, from government to civil society, involved in the project preparation and execution?
5. Are the project's objectives and components clear, practicable and possible within its time frame?
6. Were the capacities of executing institutions and counterparts properly considered when the project was designed?
7. Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project approval?
8. Did the project involve the relevant stakeholders through information-sharing, consultation and by seeking their participation in the project design?
9. Were the project roles properly assigned during the project design?
10. Can the management arrangement model employed in the project be considered as an optimal model?
11. Were the management arrangements implemented and how efficient they are?
12. Assess the role of UNDP.
13. Assess the role of Nairobi Convention.
14. Assess whether or not local stakeholders participated in project management and decision-making.
15. Do you perceive problems in the execution of the project? If yes, what are they?
16. Have results on output level contributed to the overall achievements of the project's objectives?
17. Are the project's activities aligned with the project's outcomes?


## Annex VII: Ratings Scales

<b>Ratings for Progress Towards Results: (one rating for each outcome and for the objective)</b>		
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.

<b>Ratings for Project Implementation &amp; Adaptive Management: (one overall rating)</b>		
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.
3	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.
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.

<b>Ratings for Sustainability: (one overall rating)</b>		
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

# Annex VIII: The MTR Tracking Tool

 <b>GEF International Waters Tracking Tool</b>				
<p><b>NOTE</b> Please address all boxes colored blue</p>				
<p>GEF Project ID: 5513      GEF Implementing Agency: UNDP</p> <p>Project Title: Western Indian Ocean LMEs - Strategic Action Programme Policy Harmonisation and Institutional REforms (SAPPHIRE) Project (UNDP PIMS: 5262)</p>				
<p>Select GEF Rep/Implement:      GEF-5</p> <p>GEF Allocation (\$USD): 10,975,891      Countries: Comoros, Kenya, Madagascar, Mauritius, Mozambique, Seychelles, Somalia, South Africa, Tanzania</p>				
<b>A PROCESS INDICATORS</b> <i>Select project's Operational Program(s), Strategic Program(s), or objective(s) below. If multiple OP/SP/Obj is appropriate for a given indicator then select "Multiple" from the dropdown list:</i>				
Indicator	OP/SP/Obj	Scroll down menu of ratings	Notes:	Rating
1 Regional legal agreements and cooperation frameworks	4		<p>Strategic Action Programme for Sustainable Management of the Western Indian Ocean Large Marine Ecosystems have been endorsed by all 19 ministers in WIO countries. WIO Countries have been coordinating their efforts on the coastal and marine ecosystem management at the regional level through the established Nairobi Convention framework. Of late, increased emphasis on marine ecosystem management in the context of Blue/Ocean economy &amp; large thematic cooperation the traditional environmentally focused discussions by environmental focal points are recognized in discussions facilitated by the Nairobi Convention. Along this trend, WIO LME SAP implementation will be working closely with the Nairobi Convention as well as with the South West Indian Ocean Fisheries Commission, and the re-established regional cooperation framework in WIO. No regional legal agreements specifically to establish an LME Commission for the WIO LMEs is developed (and it will never be developed) as the WIO countries decided not to do so and instead decided to strengthen existing regional institutions on required skills and strengthen effective coordination among States.</p>	<p>1 = No legal agreement/cooperation framework in place 2 = Regional legal agreement negotiated but not yet signed 3 = Countries signed legal agreement 4 = Legal agreement ratified and entered into force</p>
2 Regional management institutions (RMI)	3		<p>Strategic Action Programme for Sustainable Management of the Western Indian Ocean Large Marine Ecosystems in partnership with the South West Indian Ocean Fisheries Commission is expected to act as the most relevant RMI for the implementation of WIO LME SAP at the regional level. Another highly relevant RMI to implement WIO LME SAP is the Joint Management Commission established by the Governments of Mauritius and Seychelles for the Extended Continental Shelf shared by them. Other relevant RMI for the WIO LME SAP implementation may be Indian Ocean Commission and the four relevant RMIs are all well established and functioning within their current mandates. Their mandates and the cooperation modality among them will be reviewed during the project implementation for them collectively to perform well in WIO LME SAP implementation.</p> <p>The partnership between the Nairobi Convention and the other RMIs has been enhanced during the implementation of the SAPPHIRE project. The Nairobi Convention and the SWIO are jointly responsible for the implementation of the kind of management measures in ABNJ, especially for activities in areas adjacent to EEZ, are discussed at the regional level, especially at the Nairobi Convention, but no institutional/management framework to agree on/implement comprehensive measures in ABNJ exists. On fisheries management in high seas in the South Indian Ocean, the South Indian Ocean Fisheries Agreement entered into force on 21 June 2012, which provides a relevant management framework for fisheries activities in ABNJ, but only Mauritius, Seychelles and France from WIO have ratified it and the coordination with the Nairobi Convention is yet to be developed.</p> <p>During the ninth conference of parties (COP9) the contracting parties adopted Decision C.P.9/AO.2 on marine spatial planning for the blue and ocean economy which urges them within the framework of the United Nations Convention on the Law of the Sea, to cooperate with existing regional institutions on ocean governance and the conservation of marine biodiversity in adjacent areas beyond national jurisdiction, to build and</p>	<p>1 = No RMI in place 2 = RMI established but functioning with limited effectiveness, &lt; 50% countries contributing dues 3 = RMI established and functioning, &gt;50% of countries contributing dues 4 = RMI in place, fully functioning and fully sustained by donor near 100% country contributions</p>
3 Management measures in ABNJ incorporated in Global/Regional Management Organizations (RMI) institutional/management frameworks	2		<p>During the ninth conference of parties (COP9) the contracting parties adopted Decision C.P.9/AO.2 on marine spatial planning for the blue and ocean economy which urges them within the framework of the United Nations Convention on the Law of the Sea, to cooperate with existing regional institutions on ocean governance and the conservation of marine biodiversity in adjacent areas beyond national jurisdiction, to build and</p>	<p>1 = No management measures in ABNJ in (RMI) institutional/management framework 2 = Management measures in ABNJ designed but not formally adopted by project participants 3 = Management measures in ABNJ formally adopted by project participants but not incorporated in RMI institutional/management framework 4 = Management measures in ABNJ fully incorporated in RMI institutional/management framework</p>

4	National Inter-Ministry Committees (INCCs)	4			<p>NO INCCS HAVE BEEN ESTABLISHED IN ANY OF THE PARTICIPATING COUNTRIES. THEIR EFFECTIVENESS IN ACHIEVING THE INTER-SECTORAL COORDINATION AND COOPERATION AT POLICY AND MANAGEMENT LEVELS ON COASTAL AND MARINE ECOSYSTEM MANAGEMENT ISSUES VERY GRATEFULLY. THE EFFECTIVENESS OF THE INTER-SECTORAL COORDINATION AT THE NATIONAL LEVEL IN ALL PARTICIPATING COUNTRIES WILL BE STRENGTHENED DURING THE PROJECT IMPLEMENTATION AS PART OF THE WIO-LME SAP IMPLEMENTATION PART.</p> <p>All 8 participating countries have established National Intersectoral Coordination Committees (NICCs), composed of representatives from key sectors and partners. The NICCs support the focal institutions in coordinating and monitoring the implementation of planned activities at national level. All countries have held NICC meetings and discussed the project, demonstration projects, key sectors to be involved in implementation, capacity building issues, etc. The NICCs play a critical role in the approval of national level project proposals to ensure that they fit with national priorities.</p>	<p>1 = No INCCs established  2 = INCCs established and functioning, &lt; 50% countries participating  3 = INCCs established and functioning, &gt; 50% countries participating  4 = INCCs established, functioning and formalized through legal and/or institutional arrangements, in most participating countries</p>
5	National/Local reforms	2			<p>National/Local reforms and policy harmonization are supported by SAPP HIRE. In particular, the development of the National Action Plans for each country, based on MEDA findings and considering the regional priorities agreed in the endorsed WIO-LME SAP, are supported by SAPP HIRE and this should assist the countries to identify priority reform/harmonization needs at national/local level. Several countries (Camaras, Mozambique, Madagascar) have been supported in review and revision of key policy instruments related to fisheries and ocean governance.</p> <p>The updating of the National MEDAs is currently underway. Recommendations from the MEDA reports will contribute to national level policy harmonization and institutional reforms for improved ocean governance including to be used to develop or revise National Action Plans as appropriate.</p>	<p>1 = No national/local reforms drafted  2 = National/local reforms drafted but not yet adopted  3 = National/legal reforms adapted with technical/enforcement mechanism in place  4 = National/legal reforms implemented</p>
6	Transboundary Diagnostic Analysis (TDA): Agreement on transboundary priorities and root causes	4			<p>The TDA identifies transboundary issues and suggests key priority issues, including comprehensive Root Cause analysis. TDA was developed based on a detailed country level assessment, which was published as Marine Ecosystem Diagnostic Analysis (MEDA) for each WIO country. Regional agreement on priority TB issues, based on MEDA and TDA, has been secured through the ministerial endorsement of the WIO-LME SAP.</p>	<p>1 = No progress on TDA  2 = Priority TB issues identified and agreed on but based on limited effect information; inadequate root cause analysis  3 = Priority TB issues agreed on based on solid baseline effect info; root cause analysis is inadequate  4 = Regional agreement on priority TB issues drawn from valid effect baseline, immediate and root causes properly determined</p>
7	Revised Transboundary Diagnostic Analysis (TDA)/Strategic Action Program (SAP) including Climatic Variability and Change considerations	1			<p>The TDA/SAP were developed by the ASCLIME Project and have not yet been revised. They already incorporate issues related to climate variability and change. Revision of TDA/SAP are core activities of SAPP HIRE.</p> <p>The process of updating and merging the Strategic Action Programmes for the protection of the Western Indian Ocean from land-based sources and activities and ASCLIME/SWIOFP TDA and development of a single SAP for WIO region is ongoing. The process will draw information from the updated, reviewed and harmonized MEDAs. A regional institution has been recruited to coordinate the MEDA update process as well as work on the updated TDA and SAP once this process is completed in June 2022.</p>	<p>1 = No revised TDA or SAP  2 = TDA updated to incorporate climate variability and change  3 = revised SAP prepared including Climatic Variability and Change  4 = SAP including Climatic Variability and Change adopted by all involved countries</p>
8	TDA based on multi-national, interdisciplinary technical and scientific (MNITS) activities	3			<p>A MNITS group was formed to support the TDA development process based on MEDAs. Both MEDAs and TDA are peer reviewed to ensure scientific rigor. A key number of technical/scientific papers, which contributed to the development of MEDAs and TDA have been published in peer-reviewed publications. TDA includes a few key technical reports as Annexes. Most of technical/scientific papers published are available from the ASCLIME website (<a href="http://www.asclime.org">www.asclime.org</a>) together with MEDAs and TDA. As indicated above the process of updating the MEDAs and revising the TDA and SAP into one document for the WIO is ongoing. The latter will follow the completion of the MEDA update for all countries in June 2022.</p>	<p>1 = TDA does not include technical annex based on MNITS activities  2 = MNITS committee established and contributed to the TDA development  3 = TDA includes technical annex, documenting data and analysis is being collected  4 = TDA includes technical annex posted IWLEARN based on MNITS committee inputs</p>

9	Development of Strategic Action Plans (SAP)	3				The SAP has been developed and adopted by ministers.	1 = No development of SAP 2 = SAP developed addressing key TB concerns spatially 3 = SAP developed and adopted by ministers 4 = Adoption of SAP into National Action Plans (NAPs)
10	Proportion of Countries that have adopted SAP		9/9			All 9 WIO countries have endorsed WIO LIME SAP at the ministerial level.	Number of countries adopted SAP / total number of countries - e.g., 3 countries adopted / 10 total countries in project, so 3/10
11	Proportion of countries that are implementing specific measures from the SAP (e.g. adapted national policies, laws, budgeted plans)		6/9			Some countries have already started implementing priority activities identified in the endorsed SAP at the national level but its progress has not been systematically monitored. SAP implementation at the regional/trans boundary level will be supported through SAPPHIRE. Most of the project countries have identified priority activities through the MCCs. The SAPPHIRE project management unit and project steering committee has reviewed proposals which have been approved for funding. The remaining countries will be supported to submit proposals on national priority activities in order to achieve the desired number of agreed trans boundary priorities are not yet specifically incorporated/integrated into national development/assistance frameworks; however, the countries have already indicated significant level of financial commitment (over \$300 million over the project period) towards the agreed priorities for WIO. The development of National Action Plans, to be supported by SAPPHIRE, will assist the countries to make clear linkages between the national priorities/commitments/development frameworks with the priorities agreed in the WIO LIME SAP.	Number of countries implementing adopted SAP / total number of countries implementing adopted SAP / total countries in project, so 3/10
12	Incorporation of SAP, etc. (priorities with clear commitments and time frames into CAS, PRSPs, UM Frameworks, UNDAF, key agencies strategic documents including financial commitments and time frames, etc)	2					1 = No progress 2 = Limited progress, very generic with no specific agency/government/commitments 3 = Priorities specifically incorporated into some national development/assistance frameworks with clear agency/government/commitments and time frames for achievement 4 = Majority of national development/assistance frameworks have incorporated priorities with clear agency/government/commitments and time frames for achievement

**B STRESS REDUCTION INDICATORS**

Indicators		Scroll down menu of ratings			Ratings
13	Are the mechanisms in place to produce a monitoring report on stress reduction measures?		3		1 = No mechanisms in place to monitor/report change 2 = Some national (regional) monitoring mechanisms, but they do not set the project related indicators. 3 = monitoring mechanisms in place for some of the project related indicators 4 = Mechanisms in place and sustainable for long-term monitoring
14	Stress reduction measurements incorporated by project under management of:	Choose Management Mechanism from list below:	Please specify the area currently under protection (e.g. 10,000/500,000 Ha):		Management Mechanisms:
		3	The baseline data will be identified and collected for all the level project activities as the year initiated. Stress reduction measurements incorporated by SAPPHIRE will be implemented mainly under the management of 2, 3, and 4. However, 1 will be considered in EBM approaches.		1 = Integrated Waste / River Resource Management (Watershed, lakes, aquifers) 2 = Integrated Coastal Management (Coast) 3 = Marine Spatial Planning (Marine) 4 = Marine Protected Areas (Fisheries/ABM)
Please specify the types of technologies and measures implemented in local investments (Column D) and their respective results (Column I):					
Stress Reduction Measurements (Choose up to five)					
Please enter amount/volume of respective stress reduction below:					
Local Investment #1	5	1 = Municipal wastewater pollution reduction - M <sup>3</sup> & BOD (kg/yr) 2 = Industrial wastewater pollution reduction - pollutant; estimate kg/yr 3 = Agriculture pollution reduction practices - ha of practices; estimate of M <sup>3</sup> & BOD kg/yr 4 = Restored habitat, including wetlands - ha restored 5 = Conserved/protected wetland, MPAs, and fish refuge habitat - ha applied 6 = Reduced fishing pressure - tons/yr reduction; % reduction in fleets 7 = Improved use of fishing gear/techniques - % vessels applying improved gear/techniques 8 = Water use efficiency measures - m <sup>3</sup> /yr water saved 9 = Improved irrigation practices - m <sup>3</sup> /ha/yr water saved 10 = Alternative livelihoods introduced - # people provided alternative livelihoods 11 = Catchment protection measures - ha under improved catchment management 12 = Aquifer pumping reduction - m <sup>3</sup> /yr water saved 13 = Aquifer recharge area protection - ha protected 14 = Pollution reduction to aquifer - kg/ha/yr reduction 15 = Invasive species reduction - ha and/or % of targeted areas 16 = Other - please specify in box below	The level of stress reduction cannot yet be measured as a site community level projects are only now being initiated due to delays caused by the Covid-19 pandemic. <b>Baseline and target levels are included in individual site-</b>		
	6				The level of stress reduction cannot yet be measured as a site community level projects are only now being initiated due to delays caused by the Covid-19 pandemic. <b>Baseline and target levels are included in individual site-</b>
	7				The level of stress reduction cannot yet be measured as a site community level projects are only now being initiated due to delays caused by the Covid-19 pandemic. <b>Baseline and target levels are included in individual site-</b>
	10				The level of stress reduction cannot yet be measured as a site community level projects are only now being initiated due to delays caused by the Covid-19 pandemic. <b>Baseline and target levels are included in individual site-</b>
Community-level investments for the coastal communities in WIO, already initiated or to be made by SAPPHIRE, will support an number of stress reduction measures implemented at a local level by engaged community members through the framework of Local Economic Development Plans, Fisheries Management Plans, alternative livelihoods, all supported by spatial planning and EBM approaches utilizing MSP. These community-based stress reduction measures will include measures listed above.					

15	Local Investment #2	Stress Reduction Measurements (Choose up to five)		Please enter amount/value of respective stress reduction below:
		5 16	<p>1 = Municipal wastewater pollution reduction - N, P &amp; BOD (kg/yr)  2 = Industrial wastewater pollution reduction - pollutant; estimated kg/yr  3 = Agriculture pollution reduction practices - ha of practices; estimate of N, P &amp; BOD kg/yr  4 = Restored habitat, including wetlands - ha restored  5 = Conserved/protected wetland, MPAs, and fish refugia habitat - ha applied  6 = Reduced fishing pressure - tons/yr reduction; % reduction in fleet size  7 = Improved use of fish gear/techniques - % vessels applying improved gear/techniques  8 = Water use efficiency measures - m<sup>3</sup>/yr water saved  9 = Improved irrigation practices - m<sup>3</sup>/ha/yr water saved  10 = Alternative livelihoods introduced - # people provided alternative livelihoods  11 = Catchment protection measures - ha under improved catchment management  12 = Aquifer pumping reduction - m<sup>3</sup>/yr water saved  13 = Aquifer recharge area protection - ha protected  14 = Pollution reduction to aquifers - kg/ha/year reduction  15 = Invasive species reduction - ha and/or % of targeted area  16 = Other - please specify in box below</p>	The JMA on the Mascarene Plateau is a huge ocean area. If joint management is successful stress reduction could be significant in terms of habitat protection and fish refugia and possible conservation areas.
Investments made for the joint management plan development in the Extended Continental Shelf through Component 4 (JMA Project) will achieve stress reduction measures through the development and management of a joint management plan, based on marine spatial planning. Through the MSP exercise, environmentally or ecologically sensitive areas (biodiversity hotspots) within the ECS will be identified to be considered in the MSP, which support policy or management decision on multiple ocean uses in the ECS and high seas.				
15	Local Investment #3	Stress Reduction Measurements (Choose up to five)		Please enter amount/value of respective stress reduction below:
		16	<p>1 = Municipal wastewater pollution reduction - N, P &amp; BOD (kg/yr)  2 = Industrial wastewater pollution reduction - pollutant; estimated kg/yr  3 = Agriculture pollution reduction practices - ha of practices; estimate of N, P &amp; BOD kg/yr  4 = Restored habitat, including wetlands - ha restored  5 = Conserved/protected wetland, MPAs, and fish refugia habitat - ha applied  6 = Reduced fishing pressure - tons/yr reduction; % reduction in fleet size  7 = Improved use of fish gear/techniques - % vessels applying improved gear/techniques  8 = Water use efficiency measures - m<sup>3</sup>/yr water saved  9 = Improved irrigation practices - m<sup>3</sup>/ha/yr water saved  10 = Alternative livelihoods introduced - # people provided alternative livelihoods  11 = Catchment protection measures - ha under improved catchment management  12 = Aquifer pumping reduction - m<sup>3</sup>/yr water saved  13 = Aquifer recharge area protection - ha protected  14 = Pollution reduction to aquifers - kg/ha/year reduction  15 = Invasive species reduction - ha and/or % of targeted area  16 = Other - please specify in box below</p>	The demonstration project is about to begin at the time of the MTR and quantitative measurement of stress reduction are not yet available.
A major local investment has been made in South Africa's EEZ that will support the Govt of South Africa to implement its Ocean Policy; in particular, the roll out of Marine Spatial Planning in the implementation of this policy. This investment is designed to provide an example of regional best practice in improving ocean governance with the assistance of ocean based planning tools such as MSP. The demonstration project is expected to recognise the land-sea interface and utilise a source to sea approach. It will therefore include most of the major stress reduction measures listed from 1 to 15 above.				
NOTE: If the project has more than three local investments, please fill out the Annex A and in the worksheet tabs below.				

**C WATER, ENVIRONMENTAL & SOCIOECONOMIC STATUS Indicators**

Indicators	Scroll down menu of ratings	Ratings
16 Are there mechanisms and project indicators in place to monitor the environmental and socioeconomic status of the water body?	3	<p>The Regional Ecosystem Monitoring Framework has been developed in collaboration with the Western Indian Ocean Marine Science Association (WIOMSA) and Rhodes University of South Africa. The framework is currently undergoing further regional technical validation before the final design stage. Countries will be supported to domesticate the regional monitoring guidelines according to their national priorities. Collaborative support for this domestication process will be provided by other supporting projects of the Convention such as the EU funded ACP Multilateral Environmental Agreements Project (EUMESAP). Additionally, Water</p> <p>1 = No mechanisms in place  2 = Some national/regional monitoring mechanisms, but they do not satisfy the project related indicators.  3 = Monitoring mechanisms in place for some of the project related indicators  4 = Mechanisms in place for project related indicators and sustainable for long-term monitoring</p>

**D IW:LEARN Indicators**

Indicators	Scroll down menu of ratings	Ratings
17 Participation in IW events (GEF IWC, Community of Practice (COP), IW:LEARN)	3	<p>The SAPPHERE PMU participates in IW events such as the ninth GEF Biennial International Waters Conference (IWC) in 2018. The PMU also attended an IW Learn meeting in Cartagena, Colombia in 2019 and intends attending the Covid-delayed 10th IWC meeting in Uruguay later in 2022 together with other SAPPHERE</p> <p>1 = No participation  2 = Documentation of minimum 1 event or limited COP participation  3 = Strong participation in COPs and in IWC  4 = Presentations with booth participation and hosting of staff/twinning</p>
18 Project website (according to IW:LEARN guidelines)	4	<p>SAPPHERE project is hosted within the Nairobi Convention website with a dedicated page. All project outputs, related documents as well as events are available in the website. Some of the project documents such as TDA, MEDA, WIO LIME SAP and awareness materials are available from the IW:LEARN websites as well as the ASCLME project website (www.asclme.org).</p> <p>1 = No project website  2 = Website not in line with IW:LEARN guidelines, not regularly updated  3 = Website in line with IW:LEARN guidelines, not regularly updated  4 = Website in line with IW:LEARN guidelines, regularly updated</p>



## Annex IX: Signed UNEG Code of Conduct form

### Evaluators/Consultants:

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.

### MTR Consultant Agreement Form

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

Name of Consultant: IVICA TRUMPIC

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 SPLIT (Place) on 5/6/2022 (Date)

Signature: *IVICA TRUMPIC*

## Annex X: Signed MTR final report clearance form

<b>Midterm Review Report Reviewed and Cleared By:</b>	
<b>Commissioning Unit (M&amp;E Focal Point)</b>	
Name: _____	
Signature: _____	Date: _____
<b>Regional Technical Advisor (Nature, Climate and Energy)</b>	
Name: _____	
Signature: _____	Date: _____