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Regional Technical Assistance for Strengthening Coastal and Marine Resources Management in the Coral Triangle of the Pacific (Phase 2) (Cofinanced by the Regional Cooperation and Integration Fund under the Regional Cooperation and Integration Financing Partnership Facility and by the Global Environment Facility)

Prepared by ANZDEC Limited (NZ) in association with Tanorama Limited (PNG)

For Asian Development Bank

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Asian Development Bank

ADB TA 7753 (REG)
**Strengthening Coastal and Marine
Resources Management in the Coral
Triangle of the Pacific (Phase 2)**

INCEPTION REPORT

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Asian Development Bank



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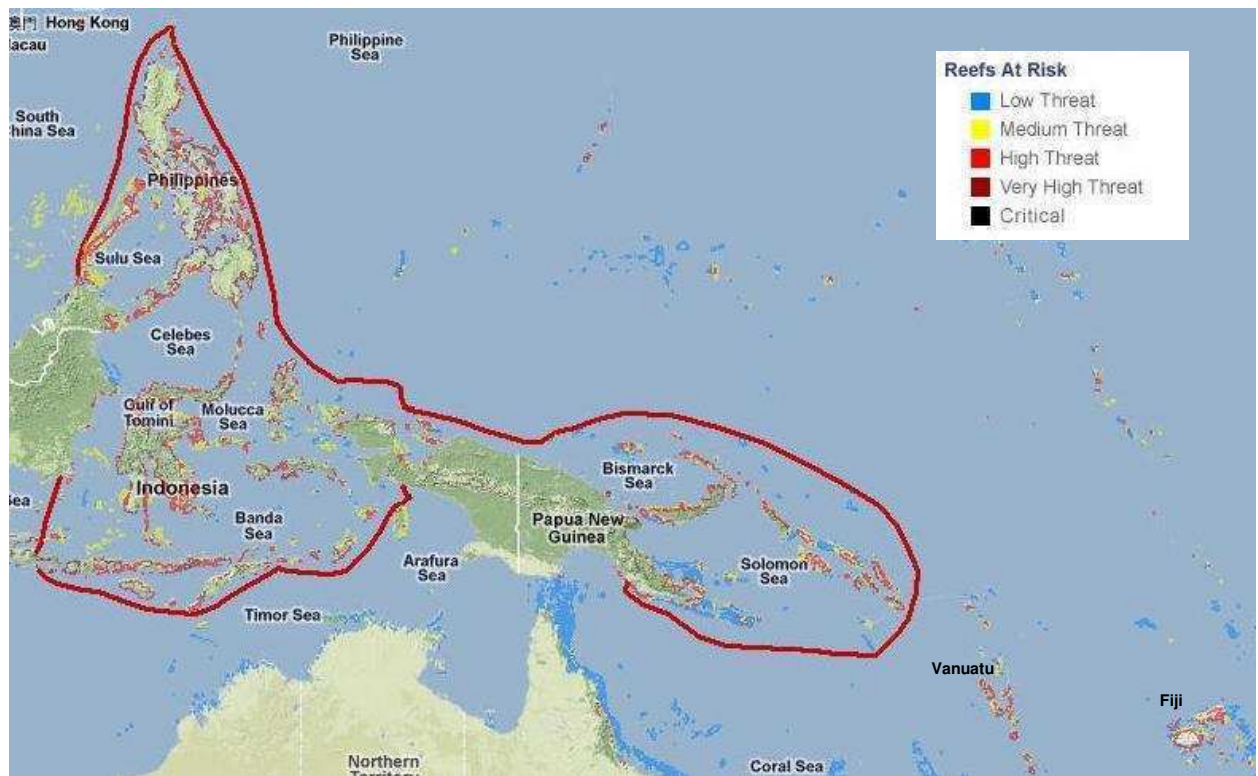
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ABBREVIATIONS AND ACRONYMS

ADB	Asian Development Bank
DEC	Department of Environment and Conservation – PNG
DEPC	Department of Environmental Protection & Conservation - VAN
DOE	Department of Environment – Fiji
DPRM	Deputy Regional Program Manager
CTI-CFF	Coral Triangle Initiative on Coral Reefs, Fisheries and Food Security
EA	Executive Agency
FIJ	Fiji
GEF	Global Environment Facility
IA	Implementing Agency
ICZM	Integrated Coastal Zone Management
IFPRI	International Food Policy Research Institute
IUCN	International Union for Conservation of Nature
MAF	Ministry of Agriculture and Fisheries – TIM
MECDM	Ministry of Environment, Climate Change, Disaster Management and Meteorology – SOL
MFMR	Ministry of Fisheries and Marine Resources – SOL
NCC	National Coordination Committee
NDFA	National Directorate of Fisheries and Aquaculture – TIM
NFA	National Fisheries Authority - PNG
NPMU	National Program Management Unit
PARD	Pacific Regional Department
PMC	Program Management Consultant
PNG	Papua New Guinea
PS	Permanent Secretary
RPMO	Regional Program Management Office
RPoA	Regional Plan of Action
SOL	Solomon Islands
SoSE	Secretariat of State for Environment – TIM
SPC/SOPAC	Secretariat of the Pacific Community
SPFM	Senior Program and Finance Manager
SPFM/PM	Senior Program and Finance Manager/Procurement Manager
TA	Technical Assistance
TCU	TA Coordination Unit
TIM	Timor- Leste
TNC	The Nature Conservancy
TL/RPM	Team Leader/Regional Program Manager
VAN	Vanuatu
WFC	WorldFish Center
WWF	World Wildlife Fund

MAP OF THE CORAL TRIANGLE



Source: The Coral Triangle Atlas (<http://ctatlas.reefbase.org/ctatlas.aspx>)

EXECUTIVE SUMMARY

This is the Inception Report of the Program Management Consultants (PMC) for TA 7753-REG Strengthening Coastal and Marine Resources Management in Coral Triangle of the Pacific (Phase 2). ANZDEC Limited (New Zealand) in association with Tanorama Limited (Papua New Guinea), was contracted by ADB to provide the PMC services over a period of four years (October 2011 – October 2015).

The TA aims to strengthen coastal and marine resource management in the Coral Triangle region, particularly in the five participating countries (including Papua New Guinea, Solomon Islands, Timor-Leste, Vanuatu and Fiji), in order to increase the resilience of their coastal and marine ecosystem, and subsequently contribute to food and livelihood security for the five Pacific countries.

Roles and responsibilities of the PMC vis-à-vis the overall TA

The key role of the PMC is to “*take the program downstream*”. The in-country activities of the TA will thus be implemented through the PMC. The PMC will be responsible for the provision of day-to-day technical and administrative support to the national program management units (NPMUs) in the participating countries. The main tasks for the PMC are: (i) detailed work planning, (ii) coordinating demonstration implementation, (iii) procurement of goods and services, (iv) financial management, and (v) documentation and reporting.

The PMC will forge working relationships with the Government focal agencies and counterparts, as well as national level officials. The PMC in-country teams will need to develop good working relationships with their respective focal agencies and, in parallel, will need to keep the main parties involved in the TA, including ADB Manila and the ADB Resident Missions, among others, informed and updated on program activities and implementation issues.

The PMC will also ensure full coordination of in-country workplans and resources with the respective scopes of work and timetables of the three special studies being undertaken by the International Union for Conservation of Nature, IUCN (Regional Law and Learning Program), the World Fish Centre, WFC (Climate Change Adaptation Knowledge Program) and the International Food Policy Research Institute, IFPRI (Climate Change, Development Strategy and the CTI Pacific Coastal Communities).

Progress since mobilization

Since the Notice to Proceed was issued 31 October 2011, the PMC have undertaken the following main activities including the initial activities in the five countries:

- The Team Leader/Regional Program Manager (TL/RPM) mobilized on 7th November 2011, first to Papua New Guinea (8-12 November 2011) and then on to the Solomon Islands (14-18 November 2011). In Papua New Guinea, he met with senior officials of the Marine Unit of the Environment Wing of the Department of Environment and Conservation (DEC), the implementing agency for the TA in Papua New Guinea and the host agency providing office space for the Regional Program Management Office (RPMO) and NPMU in PNG. There was interest on the part of the DEC in reviewing the policy and legislative matters affecting implementation of the TA and suggested a review of the issues as a priority in the work plan. At present, there are three Acts covering the area affected by the program - Fauna Protection, Conservation Areas and National Parks - and there was a possible question over their compatibility. In the Solomon Islands, the TL/RPM met with the Permanent Secretaries of the Ministry of Environment, Climate Change, Disaster Management and Meteorology, MECDM, and the Ministry of Fisheries and Marine Resources, MFMR. Both identified the need for the program to support provincial governments, which they felt lacked sufficient capacity to support aspects of program implementation. Both felt there was a need to review the appropriateness of the various pieces of legislation affecting the program, in particular the enabling ordinances at the provincial level were either incomplete or no longer relevant. MFMR has almost concluded the drafting of a new Fisheries Act, which both recognizes and enables the type of arrangements needed to ensure the program succeeds with its intent. The PS for MECDM felt that the Acts under which the Ministry operated were adequate but that nevertheless they would need review.
- An Inception Workshop for the entire TA 7753 was held at the Tanoa Hotel in Nadi, Fiji on 22-24 November 2011. The Workshop was spearheaded by ADB as the Executing Agency of the

TA, and included participants from the Global Environment Facility (GEF), the PMC, country-specific implementing agencies, the single-source contractors (IUCN, WorldFish and IFPRI) and other ongoing programs in the region. From the PMC's perspective, the Inception Workshop provided an opportunity to clarify the scope of work and detailed workplans of the other contract packages under TA 7753 and the first opportunity for the key members of PMC team who have been mobilized at that point to meet and discuss as a team and with key officials of the focal agencies in the respective countries. ANZDEC provided administrative support to preparations for the Inception Workshop, working under the close supervision of Technical Coordination Unit (TCU) in ADB to ensure preparations are in place for a successful workshop in Nadi.

- Since the Inception Workshop in late November, ANZDEC has progressed with establishing the NPMUs in the respective countries. The following table presents status to date of the process of establishing the NPMUs in each country. Over the next couple of months, it is anticipated that office procurement, opening of bank accounts in country, and clarification of reporting arrangements in county will be completed for most of the countries.

Status of NPMU Establishment, as at 13 February 2012

Key Start-up Activities	PNG	SOL	VAN	TIM	FIJ
Mobilization of national consultants					
• Deputy Regional Program Manager (DRPM)	√				
• Senior Program & Finance Managers (SPFM)		√	√	√	√
• Procurement Manager (PM)		√	√		
• Training & Knowledge Coordinator (TKC)		√	√	√	√
Orientation and briefing					
• Consultant's Briefing Notes (CBNs)	√	√	√	√	√
• ANZDEC Project Administration Manual		√	√	√	√
• ADB Procurement Guidelines		√	√	√	√
• M&E processes (NPMU, subprojects)					
NPMU Office set-up					
• Confirmation of allocated office with furniture	√	√	√	√	
• NPMU office equipment requirements identified	√	√	√	√	
• Proposal for procurement of office equipment submitted to ANZDEC, for onward submission to ADB for prior approval				√	
• Opening of PMC bank account					
Initiation of Working Arrangements with Implementing Agencies					
• Introduction to IAs and focal persons	√	√	√	√	√
• Reporting arrangements clarified (e.g., between the PMC/NPMU and the respective countries' focal agencies and Ministries of Finance)					

- The international M&E Specialist mobilized in December 2012 to initiate the development of a draft M&E Framework for the PMC. The M&E Specialist has had meetings with TCU at ADB PARD to discuss the scope of the M&E activity under the PMC and map out the next steps towards establishing an operational system by the end of March 2012. The draft M&E framework covers only the monitoring and evaluation of performance of in-country activities carried out through the NPMUs. The development of the draft M&E framework was broadly informed by the discussions at the Inception Workshop in Nadi on existing M&E frameworks for coastal and marine resources management and climate change, including the GEF Pacific Integrated Water Resources Management Project carried out by Secretariat of the Pacific Community (SPC/SOPAC), the CTI M&E framework, the GEF Evaluation Unit and USAID's Integrator Framework. The immediate next steps are as follows:

Key Activities in the M&E Implementation Start-up Plan

Activity	Countries	Timing	Who
Pilot workshop (to test the framework and then further refine the M&E forms)	Solomon Islands	week of 27 Feb.	TL/RPM, M&E Specialist, SPFM for SOL
NPMU M&E training-workshops	All 5 countries	week of 5 March	M&E Specialist; SPFMs, Deputy RPM (DRPM)
Roll-out of M&E framework and start of formal reporting	All 5 countries	end of March 2012	TL/RPM, DRPM, all SPFMs

- At the Inception Workshop in Nadi, the four countries represented tabled their first draft workplans. Papua New Guinea submitted their draft workplan in late January 2012. After discussions at the Inception Workshop, the draft workplans were amended and revised draft were accepted as basis for developing subsequent inputs and in-country workplans. Draft country workplans are available for all the five countries for 2012-2015, however they necessitate further detailing in terms of (i) refining priorities based on available resources; (ii) setting clear targets; and (iii) determining the required resources in terms of implementation budgets and TA inputs. It was agreed during the Inception Workshop in Nadi that the period, January-March 2012 will be applied to undertake further detailing of the draft country workplans. The TL/RPM will undertake a round of country visits in February-March 2012 to support the NPMUs and Implementing Agencies in the respective countries to achieve more detailed workplans that reflect agreed priorities and in line with available resources by country.
- All five draft country workplans incorporated the holding of a National Inception Workshop for the TA in each country. The status of arrangements for holding these country-level workshops in the five countries is as follows:

Indicative Schedule of National Inception Workshops

Country	Indicative Timeframe	Remarks
Papua New Guinea	March/April 2012	Provincial consultations in WNB and Manus provinces planned for February, following which will be an Inception Workshop for national and provincial stakeholders.
Solomon Islands	29 February 2012	Confirmed; to follow the first scheduled CTI NCC meeting on 23 Feb. 2012
Vanuatu	22-23 February 2012	Still indicative
Timor-Leste	17 February 2012	Confirmed
Fiji	February 2012	Indicated as an Inception Meeting with stakeholders and ICMC

- With the TA running over four years but with much of the practical on-ground work needing to occur or at least be initiated within the first 12 to 18 months, the draft work plans have become the basis for planning the short-term international and national consulting inputs under the PMC. These inputs will center on two aspects of the TA: (i) assessing, and where necessary, strengthening the capacity of those agencies involved with implementation to support and sustain inputs; and (ii) giving effect to on-ground demonstration projects able to reflect the consequences of the new implementation arrangements. The second half of the TA should then be available for consolidation.

Key Issues and Recommendations

Identify issues and recommend measures to improve PMC and overall TA implementation.

TA Implementation

- There is an urgent need to swiftly determine the extent and duration of contribution available from IUCN, IFPRI and WFC. One of the key tasks in the early part of 2012 is to better identify and prioritize actual work needs in the draft country work plans, recognize the likely

constraints, notably the policy environment and institutional capacity, and where possible match them to TA resources available under the PMC and from IUCN, WFC and IFPRI.

- Whilst the TA's expected outcomes are compelling, the inputs needed to achieve them are formidable and demanding and largely centre on institutional strengthening and capacity building initiatives. The work needed to ensure community "buy-in", legislative enablement at all levels including at provincial or equivalent levels, and the establishment of appropriate institutional systems and practices is time consuming and technical.
- Developing policy frameworks (a marine policy in PNG and a national environment policy in Timor Leste) and undertaking institutional capacity building (a coastal and inshore fisheries management strategy in Vanuatu and restructuring the National Directorate for Fisheries and Aquaculture in Timor Leste) are demanding activities requiring widespread consultation, stakeholder consensus and considerable expertise. These are not tasks that can be undertaken easily or quickly as they will likely require both concessions and change on the part of all participants. Orchestrating the necessary interventions able to produce sought after outcomes will require tolerance and goodwill.
- The PMC's role is to "*take the program downstream*" by facilitating the implementation of TA activities in each of the five Pacific Coral Triangle countries. The PMC in-country teams will need to establish good working relationships with the Government focal agencies and counterparts and national level officials, and in parallel, will need to keep other parties informed, including ADB Manila and the ADB Resident Missions, among others.
- Financial accountability for the in-country activities under the TA will be best handled at ANZDEC's head office bearing in mind ADB's rigorous requirements for cash advance, reimbursement and procurement requests; prior approval for workshops, training, studies, subprojects, etc.; submission of statements of expenses, liquidation of advances, and financial reporting.

PMC Approach and Methodology

- The need for interventions as envisaged by the TA is clear but what is perhaps less clear is the methodology for introducing and applying the necessary inputs needed to eventually produce a successful outcome. Whilst each country has its own view as to what it expects from the TA there remains a considerable gap between words and deeds. In this regard, the PMC will primarily assist the countries to identify their requirements and to then work with them to structure an arrangement that converts aspirations into the prospect of an acceptable outcome. What needs to be stressed however is that aspirations need to fall within the wider framework of developing a regional response for dealing in the longer term with the consequences of climate change, population growth and the need to ensure proper management of scarce coastal resources.
- Such aspirations have surfaced in the past but they have, in the main, been piecemeal rather than national or in this case regional in their approach. Furthermore there is no shortage of examples where attempts to deal with serious issues faltered and failed soon after the completion of external support. Based on these lessons it is critical that this TA be supported by sensible and pragmatic design and implementation initiatives; a process of comprehensive consultations and awareness raising; widespread "buy-in" at the community and political level, and competent in-country management arrangements.
- In this regard, the PMC is intent on ensuring that its contribution to the TA centers on supporting in-country endeavors as identified in each work plan. The PMC has a pool of resources available to it and it will work closely with all countries to ensure that the available resources are allocated to where they can accomplish the best outcomes. The PMC role is therefore primarily one of coordination and support with an overriding objective of putting in place practices that are sufficiently flexible and focused to endure.

- Although the TA is still in its infancy it is becoming apparent that some of the activities envisaged during the design phase may need to be reconsidered. For example, the provision for support in the drafting of the Solomon Islands Fisheries Act has to some extent been overtaken by events. Much of drafting work has since been completed under another program. The provision of a highly experienced legal specialist within the PMC may then be utilized within other areas of the TA.
- All participating countries are currently managing projects, both institutional strengthening and community based, in areas where the TA intends working in. A key task of the PMC and the in-country NPMUs will be to ensure that this TA complements and augments existing initiatives. Knowing what concurrent programs entail and accommodating these within the respective work plans is the responsibility of the PMC and the in-country NPMUs. Perhaps an area that will need close oversight, support and coordination is at the interface where new initiatives encounter existing activities.

TA Outcomes and Effectiveness

- Achievement of an acceptable outcome will be best indicated by the subsequent quality of coastal habitats and their productivity in terms of biomass and biodiversity. But any attempt to gauge success will need to incorporate more than merely a measure of change in coastal habitat. An acceptable outcome must be enduring and affect people's wellbeing.
- Almost certainly success will also be evidenced by firstly, recognizing and secondly, by dealing with the lack of institutional and policy insight prevalent in the region. All too often programs aimed at improving governance falter and fail simply because they seek to improve existing practices without appreciating that many existing practices have contributed significantly to the problems in the first place. Too many interventions deal with symptoms rather than causes and it will be a measure of this program's effectiveness if there is wider acknowledgement and acceptance of a modest change for the better in accomplishing good and lasting governance.
- One of the less apparent issues that will be addressed by the TA is the increasing role of core stakeholders in the management of coastal resources. The application of integrated coastal zone management (ICZM) practices is not just a means of ensuring sound practices in applying principles reflected in "ridge to reef" and "ecosystems" based management but also a means of devolving management responsibility for outcomes across a wider spectrum of core stakeholders; in essence to ensure that responsibility for acting is attributed to or devolved to those stakeholders best able to act. Devolution when matched with good governance offers a promising alternative approach for ensuring sustainable management practices especially in the face of diminishing capacity and at times inclination by governments to fund such activities from recurrent expenditure.
- Shifting management responsibility from the domain of the public sector so as to encompass a wider cross section of stakeholders needs to be accompanied by a program that ensures management competence and proper governance.
- Stakeholders' interests are not always aligned. Seeking wider participation in the management process is invariably accompanied by issues of self-interest, factions and accountability. These problems can however largely be dealt with through proper consultation and awareness raising processes. Furthermore, and notwithstanding a widespread culture of dependence, there are many instances where communities and civil society have successfully provided services.
- These underlying issues, when coupled with a tendency by governments to see the programs as a supplementary source of funds rather than as a basis for establishing new CZM practices, means that perhaps there will be some problems with perception and even implementation. Nevertheless achieving a shift in perception is important as whilst Governments may be accomplished at policy development they are often far less accomplished at policy implementation. Coupled with this is the realization that increasingly

governments will have less and less capacity to fund the necessary interventions and responses to critical issues such as those addressed by this TA. Getting the structure right and then ensuring ongoing funding is the single greatest challenge confronting the TA.

PMC Services

- The original implementation arrangements for the TA include a Regional Program Management Office (RPMO) to be located in the DEC offices in Port Moresby. We believe that a fully staffed RPMO may not be necessary based on how things have unfolded in the last few months. An NPMU in PNG could host the TL/RPM when in country as well as the DRPM. The TL/RPM as it happens, may well have to be a roving TL for the five countries, rather than being based in PNG. The envisaged back-office role of the RPMO in compiling statements of expenses for the PMC as a whole is also not practical – this function is best covered by ANZDEC's head office in Auckland which has the systems and the capability to meet ADB's stringent requirements for financial accountability of the TA funds.
- As the past couple of months have shown, there is already a high demand for ongoing coordination of country-level activities. This is a time-intensive function that the TL/RPM needs to perform even while he is not in the field. There is therefore a high likelihood that the TL/RPM will need additional inputs towards the last two years of the PMC contract. The revised Staffing Schedule shows the TL/RPM engaged under the TA for five months in 2012 and about the same level of input in 2013.
- A lot have changed since the design phase in terms of in-country requirements. Some flexibility should be allowed for in providing the services under the PMC contract. For example, the Fisheries Lawyer input in SOL may now be overestimated given latest developments in legislation in SOL, whilst there is a clear need for legal input into the PNG work plan. There may be value in assessing the role of the DRPM – perhaps this could be rolled into the SPFM role in PNG - as we believe it would be difficult for a DRPM to effectively coordinate activities in the 4 other countries without the benefit of one-on-one interaction with the respective country's NPMUs and IAs that regular country visits allow. There is also a need for home inputs for the international consultants (e.g., post approval for home inputs for the TL/RPM and the M&E Specialist). This would mean the current distribution of TA resources across countries will change and would thus necessitate more than the usual contract variation.
- The unaffordable accommodation in PNG and SOL is an operational issue for the PMC. This was raised informally with ADB at the Inception Workshop in Nadi. Based on the recent experience of the TL/RPM who deployed to PNG and SOL in November prior to the Inception Workshop, the cost of satisfactory hotel accommodation for international consultants far exceeds the head contract provision for per diems in PNG and SOL. An option could be a reduction in field inputs for PNG and SOL to allow for higher per diems to be paid, and the balance of inputs being provided from home.

I. INTRODUCTION

A. Background

1. The Coral Triangle region is located along the equator at the confluence of archipelagic and island states stretching from the Western Pacific to the Indian Oceans. The region covers all or part of the exclusive economic zones of six countries, namely: Indonesia, Malaysia, Philippines, Timor-Leste, Solomon Islands and Papua New Guinea, with linkages to neighboring countries, including Vanuatu and Fiji in the east. This region is the global epicenter of marine biodiversity – a veritable “Marine Garden of Eden”. It is an evolutionary focal point of coral reefs, which hosts a greater diversity of marine species than any other area on Earth.

2. This region of rich marine biodiversity supports highly productive fisheries resources. The people of the region have been closely linked with coastal and marine resources since the earliest of times. Today, up to 80% of the people of the Coral Triangle rely on marine resources for their livelihoods. The present and future economic development of the region is closely linked to these marine resources. Activities include subsistence and artisanal fishing, commercial fishing, aquaculture, coastal and marine tourism, coastal and marine mining, ports and shipping, and other marine resources and industries.

3. Despite their vital ecological and socioeconomic value, the coastal and marine resources of the Coral Triangle are being depleted and degraded, to the extent that current patterns of exploitation are not sustainable. Livelihoods of coastal peoples are seriously threatened, resulting in economic disruption and social flow-on effects. Threats and impacts include:

- pollution from land-based sources, including sedimentation from unsustainable farming and forestry practices and coastal development, and from chemical pollution from urbanisation and industrialisation of coastal areas;
- alteration and destruction of habitats through coastal development;
- depleted and depleting fisheries resources resulting from unsustainable fishing practices, including overfishing, destructive fishing practices and illegal, unregulated and unreported fishing;
- unregulated and uncontrolled spread of coastal aquaculture, including clearing of mangrove forests and other vital fisheries nursery areas;
- pollution from ports, shipping, offshore oil and gas and marine mining;
- global climate change and sea level rise; and
- lack of alternative sustainable livelihoods and other economic development opportunities.

4. Many of these threats and impacts are transboundary and regional in nature. Such threats are exacerbated by severe constraints of capacity in governance, institutional, policy, legal, financial and management that is endemic to the region. These issues are further exacerbated by high population growth rate and rural poverty, which creates food insecurity concerns, which further results to increase demand for land, water and coastal resources that are often already stressed.

B. Country Contexts¹

1. Papua New Guinea (PNG)

5. PNG is rich in non-renewable resources such as gold, copper, oil and natural gas. Since it gained independence, PNG's economy gradually grew from subsistence farming to a formal capitalistic economy based on natural resource production. Agriculture accounts for 30% of gross domestic product (GDP); subsistence agriculture accounts for 45% of total agricultural GDP.

6. Compared to its neighboring countries, the fisheries sector in PNG is relatively unexploited. Coastal fisheries along about 5,000 km of coastline, remains largely subsistence although there is invariably a thriving small-scale domestic commercial fishery centered around urban centers. Larger scale industrial commercial fishing occurs mostly offshore and is dominated by foreign investment. Whilst commercial fishing takes the most catch, subsistence and artisanal fishing remains the most significant fishing activity among the local people. Although the contribution of fisheries to GDP is modest, it is growing and is an important source of livelihood for the coastal population.

7. The development of commercial agriculture has led to excessive clearing of land for cash-crop production (e.g., oil palm). This has resulted to an increasing level of nutrients and sediments entering the coastal environment. Most of the richest and most accessible tropical forests have also been harvested. Logging operations in the country is leading to a significant loss of the forest cover and have also increased sedimentation of rivers and streams. Solid waste is a problem as a result of population growth and urbanization which has led to mangroves, rivers and beaches being used as landfill for waste disposal. The dumping of waste from mining activities into rivers and oceans has also significantly impacted on the country's fisheries and marine resources. The extent of destruction, however, is unknown as there is no monitoring system in place. Overfishing of reef areas, in part driven by the need for cash and in part by the need for food, is also an increasing threat with sharks, mahi mahi and mackerel under constant and extensive pressure. High value sedentary species such as sea cucumbers (beche de mer) have in many areas been fished to the point of extreme scarcity. Climate change impacts such as coral bleaching and the threat of rising carbon emissions leading to ocean acidification also loom as an increasing threat to the reef ecosystem. There is also a considerable loss of mangrove vegetation but this is not well documented.

8. In general, the key threats now facing the marine and coastal environments of Papua New Guinea are a result of pollutants from mining operations, loss of habitat due to urbanization and exploitation of resources such as mangroves, overfishing and exploitation due to commercial fishing operations, including destructive fishing, and climate change. Many of these threats to the marine environment are produced upstream of the coastal ecosystem and that there is little or no monitoring of these impacts being done to the receiving marine environment.

9. The general lack of information on the coastal and marine resources in PNG makes it difficult to determine the rate of exploitation and may lead to resources being degraded to dangerously low levels before their loss is realized as a result of loss in income or food insecurity at the local level. Despite having a well established and comprehensive legislative framework, PNG still lacks a clear governance framework for integrated marine and coastal management. Government agencies, such as the Department of Environment and Conservation (DEC), the National Fisheries Authority (NFA), and provincial administrations lack the resources and in some cases, the institutional capacity, in

¹ Based on a review of a number of documents and websites to give us a broad understanding of the background context for this assignment. The literature reviewed include: (i) ADB Support to the Coral Triangle Initiative (brochure), May 2009; (ii) RETA 6471: Strengthening Coastal and Marine Resource Management in the Coral Triangle of the Pacific – Phase 1 Final Report to ADB, prepared by Uniquist Pty Ltd, May 2010; (iii) The Coral Triangle Atlas website: <http://ctatlas.reefbase.org>; and (iv) The Coral Triangle Initiative Secretariat on Coral Reefs, Fisheries and Food Security website: <http://www.cti-secretariat.net/>.

particular the skills and knowledge at the technical levels, to effectively plan and implement activities within an integrated coastal management framework.

2. Solomon Islands

10. Solomon Islands is a small group of islands in the Pacific rich in natural resources, particularly timber, fisheries, and minerals. The majority of the national income comes from forestry, agriculture, fishing and mining. About 80% to 95% of the land and in-shore marine areas in the country is customarily-owned by families or clans living in subsistence villages.

11. Similar to other Pacific island states, the people of Solomon Islands are highly dependent on coastal and marine resources for subsistence and economic development. The coastal and marine resources include coral reefs, mangroves, seagrass beds and marine species relying on these habitats. Solomon Islands has one of the richest reef fisheries in the world with a total of 1,019 species recorded.

12. However, the country has one of the highest population growth rates in the world at 2.8% per annum. With an estimated population of 595,613 in 2009, the population is expected to double in 2020. About 85% of the population lives in rural villages and are mostly dependent on the sea for their livelihoods. Because of the fast growing population, agricultural production is intensifying and solid waste disposal is increasing as a result of urbanization.

13. Forests are also rapidly depleting. Deforestation as a result of logging operations leads to loss of habitat resulting in a decline in biodiversity. Soil erosion has in many areas, led to excessive amounts of sediment flow from the land into the coastal areas with consequent detrimental effects on coastal and marine habitats.

14. The Solomon Islands coastal ecosystems face major challenges that include rapidly increasing population levels, as well as weak management regimes that have resulted in over-fishing of commercially important species. Strong dependence on coastal resources linked to poor management of the fishery is placing social well-being at risk.

15. The major threats to coastal ecosystem include: (i) institutional and funding difficulties in applying coastal resource management practices; (ii) the growing demands for fish, molluscs and cash income at community level; (iii) the increasing levels of coastal sedimentation arising from logging; and (iv) lack of knowledge on what resources are available at present. The effective environmental and natural resource management in Solomon Islands is constrained by the weakness of government institutions to undertake integrated coastal management approaches at the national, provincial and community level. In no small part this is due to persistent fiscal difficulties and practical difficulties arising from isolation and transportation difficulties but notwithstanding the presence of some exceptionally competent and experienced people working in the field, both within the public sector and civil society, political uncertainties and at times opportunism have plagued attempts to provide better management.

3. Timor-Leste

16. Timor-Leste is an independent nation state that lies within the Lesser Sunda Islands. Its population is over one million inhabitants with 70% living on small landholdings in rural areas. About 50% of the population resides in coastal lowland areas. The annual population growth rate is 3.5%, the fifth highest in the world. Up to 90% of the population is dependent on natural resources with subsistence agriculture as the main source of livelihood. More than 70% of the people live on less than the global poverty threshold of US\$ 1 per day. It is estimated that about 64% of the population is food insecure and about 45% of children younger than five years old are underweight.

17. The country's coastal environment consists of approximately 700 km of coastline which is home to diverse marine species and a continuous strip of coral reefs. The country also has small and confined mangroves with an estimated area of 1,802 hectares. The coastal population are engaged in subsistence and semi-subsistence fishing which is supplemented by other rural-based livelihoods. An estimated 5,000 fishing households, plus another 10,000 persons are engaged in some level of

marine resource capture, according to 2004 Government figures. The local people are not well trained nor equipped in deep water offshore fishing, hence they derive most of their catch from areas close to the village using traditional fishing gear. Common fishing techniques in Timor-Leste include net and spear guns, with fishermen often attracting fish with fire or a powerful light source.

18. There are no large-scale commercial activities in the fisheries sector, but there is anecdotal evidence that unregulated commercial fishing do occur. Fish poison and dynamite fishing is occasionally used but this practice was more common during the Indonesian occupation. At present, there are no regulations on the use of fishing gear and practices in the country.

19. The challenges facing coastal and marine resources in Timor-Leste include: (i) the rapid increase in the population and the direct demands on the natural resources for nutrition and the competition for resources to support the national GDP; (ii) conflicts between land allocation for cash crops such as coffee and subsistence cropping, which will drive the overuse of soils, and push agriculture into marginal slopes creating downstream impacts to the marine environment; (iii) short supply of land suitable for agriculture and inadequate irrigation schemes, which may result in further deforestation; (iv) increasing coastal populations, resulting in higher demand on the marine resources; (v) increasing tourism, which will create environmental management and cultural issues; and (vi) climate change.

20. Although there are existing action plans such as the National Fisheries Strategy, the National Biodiversity Strategic Action Plan and the Climate Change National Action Plan, these only address some of the issues relating to coastal and marine resources, and their implementation has seen limited progress.

4. Vanuatu

21. Vanuatu is an island nation state in the Pacific with a relatively small land area and population. It comprises about 80 islands from low coral atolls with high biodiversity to forested volcanoes. The total land area is 12,336 sq km, with a maritime exclusive economic zone of 680,000 sq km and a total coastline length of 2,528 km. The marine environment is the largest ecosystem in the country which includes mangrove forests, enclosed and open lagoons, seagrass beds, fringing coral reefs and deep-water environments. Mangroves are generally found in small clumps in localized areas where there is a sheltered coast.

22. Vanuatu's population is estimated at 218,519 in 2009 with an average annual growth rate of 1.4%. It is facing a situation of growing population but with limited employment opportunities. Vanuatu's economy is predominantly agriculture based with copra, cacao, kava and cattle dominating the sector. Agriculture involves 78.5% of the population and provides sole income for 62% of households. Commodities such as copra, beef, cacao and timber, make up 76% of total exports. The fisheries sector contributes only 1% of GDP. The tourism industry is growing.

23. Coral reefs in Vanuatu contribute to shoreline protection and people's livelihood. Cyclonic events, including climate change impacts and associated increase in sea surface temperature in the Pacific, has often caused damage to coral reefs habitat. Human activities also pose risks to the coral reef ecosystem. There is limited capacity to manage and monitor the reefs in the country.

24. Mangroves are extensively utilized and valued in Vanuatu. They are used as construction materials for houses from nearby villages. The harvest of mangroves for fuelwood is increasingly becoming a problem in the country. Mangroves are an important source of fish, crabs and shellfish. Villages close to mangrove areas depend highly on mangrove ecosystem for subsistence fishing.

25. Vanuatu's fishing resources are not properly managed. Reef fisheries are overfished in some areas, such as in Efate and Santo, and generally underexploited near the outer islands. Surveys in the past decade indicate that 35% of the urban households are fishing for subsistence and only 0.3% for cash whilst 59% of rural households fish for subsistence and only 0.2% for cash. This indicates the high dependence of the population on marine resources as source of livelihood. The increasing population puts pressure on the marine environment, and this could lead to food insecurity.

26. The growing tourism industry is leading to the development of coastal subdivisions for expatriate housing; this is also impacting on the coastal ecosystem. Inland commercially-oriented livestock-based agriculture is increasing the nutrient levels that end up in the coastal waters. Pollution from mining, climate change, loss of habitats due to urbanization, agriculture, overexploitation of mangroves, overfishing and destructive fishing practices are the main threats to Vanuatu's coastal marine environment.

5. Fiji

27. Fiji is one of the major island states in the Pacific. It comprises 332 islands, of which 110 are permanently inhabited. It has a total land area of 18,300 sq km and has a population of 837,271 (2007 Census). The two major islands, Viti Levu and Vanua Levu, account for 87% of the population. Most Fijians live on Viti Levu's coasts, either in Suva, the capital city, or in smaller urban areas. Hence, it is the most urbanized among the five Pacific Coral Triangle countries.

28. Fiji's economy is highly dependent on the exploitation of natural resources, i.e. agriculture, fisheries, forestry, mining and tourism. Most of the urban population and significant number of villages are located along the coast. Income from tourism and fishing depends on the productivity and conditions of the coastal marine and shoreline ecosystems, such as coral reefs, beaches, sea grass beds and mangrove areas. Most of the reefs in Fiji are subjected to moderate and over-fishing activities. Pollution from sewage waste and industries, and from poor land use in the urban areas has impacted on the condition of the reefs. Mangroves meanwhile are mostly threatened by excessive exploitation for firewood and building materials, by reclamation of mangrove forest for other land uses, by increased sediment loads from upland logging and agricultural operations, and by local pollution. Destructive fishing practices such as dynamite fishing and poison fishing are rampant and this also threatens the sustainability of marine resources.

29. Land-based development and near-shore activities, e.g. coastal tourism, have threatened the coastal ecosystem because of erosion from poor agricultural and forestry practices, runoff of pollutants and fertilizers, sewerage dumping, siltation from land reclamation projects and mineral activities. Whilst coastal fisheries are managed communally with relatively good results so far, there are increasing pressures arising from commercial exploitation due to increasing demand for cash. Natural disasters such as cyclones and climate change impacts have also threatened the coastal ecosystem.

30. The causes of threats to the coastal and marine resources in Fiji are as follows: (i) inability of the government to manage natural resources on a sustainable basis because of inadequate policies, legislation, forward planning and administration; (ii) pollution is effectively uncontrolled and emerging as a serious issue; (iii) municipal waste management is a conspicuous national dilemma; (iv) serious soil degradation is becoming prevalent in the marginal hill lands which are Fiji's main agricultural resource base; (v) deficiencies in physical planning are being compounded by significant urban drift resulting in widespread informal development in semi-urban areas which lead to environmental and social problems; and (vi) heritage and biodiversity values are inadequately appreciated while losses are increasing through ill directed development activities and lack of management and knowledge.

C. Coral Triangle Initiative on Coral Reefs, Fisheries and Food Security (CTI)

31. In response to the growing threats to the coastal and marine resources in the region, the Coral Triangle Initiative on Coral Reefs, Fisheries and Food Security (CTI) was launched in 2007 as a six-country regional cooperation to protect these economic and environmental resources.² The CTI has been endorsed by the Asia Pacific Economic Cooperation (APEC), the Association of South East Asian Nations (ASEAN).

² The six countries which signed the CTI agreement include Indonesia, Malaysia, Philippines, Timor-Leste and Papua New Guinea.

32. The Coral Triangle Initiative on Coral Reefs, Fisheries, and Food Security (CTI-CFF) is a multilateral partnership of six countries working together to sustain extraordinary marine and coastal resources by addressing crucial issues such as food security, climate change and marine biodiversity. This Initiative is centered on high-level political commitments and proactive implementation by six countries (Indonesia, Malaysia, Papua New Guinea, The Philippines, Solomon Islands, and Timor-Leste) in the Coral Triangle region, and supported by multilateral and bilateral agencies, non-governmental organizations, and private sector partners (development partners).

33. The six governments met during the first formal CTI Senior Officials Meeting in Bali on 6-7 December 2007 where they agreed on: a common understanding of the value of the CT's marine and coastal biological resources; a provisional set of nine Guiding Principles; and a framework for a "CTI Plan of Action" to be developed during 2008 and adopted at the highest political level. During this meeting, Indonesia was given the mandate to host and establish the CTI Interim Regional Secretariat. This meeting was followed by a consultation event attended by senior officials from the governments of Australia and United States, and from the Global Environment Facility (GEF), the Asian Development Bank (ADB), The Nature Conservancy (TNC), and the World Wildlife Fund (WWF) during which the development partners endorsed the outcomes and offered support to CTI. Subsequently, on May 2009, the six heads of states/governments signed the historical inter-state agreement CTI declaration at the World Ocean Conference in Manado, Indonesia, adopting a 10-year plan of action to avert the growing threats to the region's coral reefs, fish, mangroves, vulnerable species and other vital marine and coastal living resources.

34. The goals and targets of the CTI are:

Goal 1: Priority Seascapes Designated and Effectively Managed

Target 1: "Priority Seascapes" designated, with investment plans completed and sequenced

Target 2: Marine and coastal resources within all "Priority Seascapes" are being sustainably managed

Goal 2: Ecosystem Approach to Management of Fisheries and Other Marine Resources Fully Applied

Target 1: Strong legislative, policy and regulatory frameworks in place for achieving an ecosystem approach to fisheries management (EAFM)

Target 2: Improved income, livelihoods and food security in an increasingly significant number of coastal communities across the region through a new Sustainable Coastal Fisheries and Poverty Reduction Initiative ("COASTFISH")

Target 3: Effective measures in place to help ensure exploitation of shared tuna stocks is sustainable, with tuna spawning areas and juvenile growth stages adequately protected

Target 4: A more effective management and more sustainable trade in live-reef fish and reef-based ornamentals achieved

Goal 3: Marine Protected Areas (MPAs) Established and Effectively Managed

Target 1: Region-wide Coral Triangle MPA System (CTMPAS) in place and fully functional

Goal 4: Climate Change Adaptation Measures Achieved

Target 1: Region-wide Early Action Plan for Climate Change Adaption for the near-shore marine and coastal environment and small islands ecosystems developed and implemented

Target 2: Networked National Centers of Excellence on Climate Change Adaptation for marine and coastal environments are established and in full operation

Goal 5: Threatened Species Status Improving

Target 1: Improved status of sharks, sea turtles, seabirds, marine mammals corals, seagrass, mangroves and other identified threatened species.

35. In support of the CTI, a total of US\$350 million of pledges from various funding institutions have been generated so far, together with the US\$72 million in grants from the GEF to be administered by ADB. Other partners of ADB include the US Agency for International Development (USAID), The Australian Government, and the environmental nongovernment organizations, namely, The World Wide Fund for Nature, The Nature Conservancy and Conservation International. This TA 7753 is one of the projects managed by ADB that aims to contribute towards the achievement of CTI goals.

36. The CTI Interim Regional Secretariat which is currently based in Jakarta has been mandated to promote regional cooperation and sharing of lessons, and facilitate learning across the six Coral Triangle countries. It helps coordinate and monitor the progress in achieving the CTI-CFF Regional Plan of Action goals. It also serves as the main liaison and for all CTI-CFF official functions such as bi-annual Senior Officials Meetings and the annual Ministerial Meetings. On October 2008, during the 3rd CTI-CFF Ministerial Meeting in Jakarta, Indonesia, ministers from the six CTI countries officially adopted agreements on the establishment of the permanent Regional Secretariat.

37. In order to translate these regional commitments into concrete actions on-the-ground, each CT6 country recently completed their NPoA, detailing specific actions that will be taken in their country under each goal and target in the Regional Plan of Action (RPOA). To develop these NPoAs over the past year, and to spearhead practical, well-coordinated actions to implement the agreements signed in Manado, each CT6 government established a marine conservation coalition (known by as National Coordination Committees) composed of a range of government agencies, NGOs and other stakeholders. It is expected that the National Coordination Committees (NCCs) in each country will lead multi-stakeholder processes to coordinate and promote country-level implementation of the National and Regional Plans of Action.

D. Donor Support to Coastal and Marine Resources Management in the Pacific

38. There is already a great deal of work being undertaken in the fields of coastal and marine resources management in the region. **Table 1** presents a starting list of recent past, ongoing and planned projects initiatives.

39. What tends to differentiate TA 7753 from the recent past and ongoing donor initiatives is that the TA seeks to incorporate the, until now, largely independent activities of a number of valuable contributors into a cohesive framework targeting common outcomes. It is recognized that each of the five participating countries in the program have different approaches, capacities and expectations but there is a common theme throughout of ensuring proper governance of coastal resources in the face of some extraordinary challenges. Producing the sought after outcome against such a background will itself be a challenge but there is now wide acknowledgement that the program is a sensible response to the difficulties Pacific Island countries face. It has already been recognized that other organizations can contribute towards augmenting the work of the program. The WorldFish, the International Union for Conservation of Nature (IUCN) and the International Food Policy Research Institute (IFPRI) are already participants in the program and based on their respective fields of expertise and regional experience they represent invaluable resources. Their experience has already been attributed to some specific activities but it is inevitable that as the program progresses they will be asked to contribute further. And whilst their contributions are at this stage relatively specific in the context of the program the experience gained from their activities will clearly translate to a wider benefit when shared with other Pacific Island countries.

40. The point that emerges from the presence of numerous agencies and organizations working in related fields is the need to ensure good working relations with all of them. Each has a valuable contribution to make and with careful structuring of inputs and initiatives it should be possible for all to benefit from their participation.

41. What needs to be swiftly determined is the extent and duration of contribution available from these organizations. Whilst the program's outcomes are compelling, the inputs needed to achieve them are formidable and demanding and largely center on institutional strengthening and capacity building initiatives. The work needed to ensure community "buy in", legislative enablement at all levels including at provincial or equivalent level, and the establishment of appropriate institutional systems and practices is time consuming and technical. Comparable work in the region has been the subject of extensive technical support from agencies and donors for twenty years or more. For example legislative changes, which feature as likely activities in a number of countries under the program, are likely to require extensive community consultation processes, adroit legal drafting plus approval by parliament. Such processes rarely occur quickly.

Table 1. Multiple Donor Support to Coastal and Marine Resources Management in the Coral Triangle

Project	Donors	Coverage	Time frame	Budget	Components
Regional Cooperation on Knowledge Management, Policy, and Institutional Support to the Coral Triangle Initiative (RETA 7307)	ADB	Indonesia, Malaysia, Papua New Guinea, Philippines, Solomon Islands and Timor Leste	2009-2012	USD 2.3 m	<ul style="list-style-type: none"> • Knowledge Management, • State of Coral Triangle Report • Payment of Ecosystem Services • Environmental Economics • Sustainable Financing
Coral Reef Rehabilitation and Management Phase II	ADB	Indonesia - six districts in Riau, North Sumatra, and West Sumatra	2004 - 2009	ADB Loan: USD 33 m	<ul style="list-style-type: none"> • Institutional Strengthening; • Community-based and Collaborative Management; • Public Awareness, Education and Sea-partnership
Strengthening Coastal and Marine Resources Management in the Coral Triangle – Southeast Asia (forthcoming)	ADB	Sulawesi ecoregion of Indonesia, Malaysia and Philippines	TBA	USD 12.2 m	<ul style="list-style-type: none"> • Policy and institutional reform • Climate Change Adaptation; • Sustainable financing • Institutional Strengthening
Arafura and Timor Seas Ecosystem Action Program	UNDP	Indonesia and Timor-Leste	2009 - 2013	GEF: \$3.0 m, Total: \$8.4 m	<ul style="list-style-type: none"> • Transboundary diagnostic analysis • Strategic action programming • Pilot project demonstration activities • Institutional strengthening and collaboration enhancement
Sulu-Celebes Sea Large Marine Ecosystem and Adjacent Area Sustainable Fisheries Management	UNDP	Indonesia, Malaysia, Philippines	2009 - 2013	GEF: \$3.3 m, Total \$6.8 m	<ul style="list-style-type: none"> • Best fisheries management practices demonstration • Transboundary diagnostic analysis • Regional governance reform • Institutional strengthening
West Pacific-East Asia Oceanic Fisheries Management Project	UNDP	Indonesia, Philippines, Viet Nam	2009 - 2011	GEF: \$1.1 m, Total: \$3.3 m	<ul style="list-style-type: none"> • Monitoring data enhancement and fishery assessment • Policy institutional strengthening and fishery management
Strategies for Fisheries Bycatch Management	FAO	Indonesia, Papua New Guinea, Philippines, Viet Nam, Thailand	2011 - 2014	GEF: \$3.4 m Total: \$10.2 m	<ul style="list-style-type: none"> • Policy and decision framework • Development and demonstration of bycatch management • Monitoring and evaluation • Roll out of bycatch management • Communication, awareness learning and dissemination of lessons learned
Integrated Natural Resources and Environmental Management Sector Project	ADB	Philippines	2010 - 2015	US\$102 m	<ul style="list-style-type: none"> • Natural resources management planning • Effective management of conservation and protected areas

Project	Donors	Coverage	Time frame	Budget	Components
					<ul style="list-style-type: none"> • Sustainable livelihoods and microenterprise development • Institutional strengthening and Policy development
Philippines Integrated Coastal Resources Management	ADB	Philippines	2007 - 2013	US\$33.8 m	<ul style="list-style-type: none"> • Policy and institutional strengthening and development • ICRM and biodiversity conservation • Enterprise development and income diversification • Social and environmental services and facilities
Coral Reef Rehabilitation and Management Phase III	ADB	Indonesia	For 2012 approval	USD 500 k	<ul style="list-style-type: none"> • Resource rehabilitation and management; • Local capacity building; • Coral reef ecosystem conservation and management • Institutional strengthening
Climate futures, ecosystem services and livelihood adaptation strategies in Kimbe Bay	AusAID	Papua New Guinea	2011	AUD 500 k	<ul style="list-style-type: none"> • Economic valuation; • Climate change vulnerability assessments and adaptation planning
Strengthening in-country tropical marine resources management training capacity	AusAID with The Nature Conservancy	Papua New Guinea			<ul style="list-style-type: none"> • Curriculum development
Development activities for the Centre for Locally Managed Areas	AusAID with Conservation International	Papua New Guinea			<ul style="list-style-type: none"> • Local capacity building and strengthening
Advancing Successful Approaches for Locally-based Marine Management	AusAID	Papua New Guinea			<ul style="list-style-type: none"> • Human resource development
Strengthening in-country tropical marine resources management training capacity	AusAID with The Nature Conservancy	Solomon Islands			<ul style="list-style-type: none"> • Curriculum development
Marine Surveys on Tetepare Island	AusAID	Solomon Islands			<ul style="list-style-type: none"> • Marine survey
Strengthening Locally Management Marine Area activities in Central Islands Province	AusAID	Solomon Islands (Gela, Russels and Savo Islands)			<ul style="list-style-type: none"> • Community education • Community awareness raising • Leadership training • Socio-economic surveys • Local capacity building
Mangrove Mapping in the Solomon Islands	AusAID	Solomon Islands			<ul style="list-style-type: none"> • GIS
Economic valuation of coral reefs and development of sustainable financing option	WorldFish	Solomon Islands			<ul style="list-style-type: none"> • Economic valuation
Mapping and assessment of coastal-marine habitats	AusAID	Timor-Leste			<ul style="list-style-type: none"> • Broad scale mapping • Field surveys

Project	Donors	Coverage	Time frame	Budget	Components
					<ul style="list-style-type: none"> • GIS • Capacity building
Assessing potential climate change impacts and adaptation options for Timor-Leste's coastal economy	WorldFish	Timor-Leste			<ul style="list-style-type: none"> • Climate change vulnerable ecosystem identification • Economic, technical and institutional feasibility of climate change adaptation options • Capacity building

D. This Report

42. This is the Inception Report of the Program Management Consultants (PMC) for TA 7753. The objectives of the Inception Report are to:

- (i) Present the highlights and proceedings of the Inception Workshop for TA 7753 held in Nadi, Fiji on 22-24 November 2011;
- (ii) Present our understanding of the roles and responsibilities of the PMC vis-à-vis the overall TA;
- (iii) Provide a progress report on PMC activities since mobilization;
- (iv) Report on the initial activities in the five Pacific Coral Triangle countries during the inception period, and to present a way forward for the country program activities and the PMC; and
- (v) Identify issues and recommend measures to improve PMC and overall TA implementation.

II. TA 7753 (REG) – STRENGTHENING COASTAL AND MARINE RESOURCES MANAGEMENT IN THE CORAL TRIANGLE OF THE PACIFIC (PHASE 2)

A. Objectives, Outcomes and Outputs

43. In 2009, ADB with co-financing from the Government of Finland and the Global Environment Facility (GEF) supported a Phase 1 Regional Technical Assistance for Strengthening Coastal and Marine Resources Management in the Coral Triangle Initiative of the Pacific (RETA 6471-REG). Phase I designed a four-year plan for a GEF/ADB Full Scale Project on coastal and marine resources management covering the five Pacific Coral Triangle Initiative (CTI) countries.

44. The aim of TA-7753 (REG) - Strengthening Coastal and Marine Resources Management in the Coral Triangle Initiative of the Pacific (Phase 2) is to strengthen coastal and marine resource management in the Coral Triangle region, particularly in the five participating countries, in order to increase the resilience of their coastal and marine ecosystem, and subsequently contribute to food and livelihood security for the five Pacific countries. The expected outcome is increased resilience of coastal and marine ecosystems through effective and sustainable coastal and marine management practices being implemented in the five participating countries. Achievement of the impact will be indicated by the quality of coastal habitats and their productivity in terms of biomass and biodiversity.

45. TA 7753 (alternatively referred to in this report as **Phase 2 TA** or **TA**) will assist Papua New Guinea, Solomon Islands, and Timor-Leste in fulfilling their CTI-related objectives and in engaging with Fiji Islands and Vanuatu in these efforts.

46. The Phase 2 TA is structured around four outputs for building an effective coastal and marine resource management in the Pacific Coral Triangle region specifically designed for the five participating countries. The expected outputs of the TA are:

- *Capabilities of national and local institutions strengthened in sustainable coastal and marine resources management;*
- *Coastal communities experience in applying best practices in ecosystem-based management and climate change adaptation;*
- *Resilience of coastal ecosystems to climate change enhanced; and*
- *Effective program management established by ADB and the participating governments.*

47. **Table 2** lists the main activities that are proposed to be implemented in each of the five Pacific Coral Triangle countries, grouped by output. This came from the Phase 1 Project Design Document, and the priorities were re-confirmed by the respective Governments during the initial ADB pre-implementation missions.

Table 2. Main Activities by Output by Country

	Output 1: Capabilities of national and local institutions strengthened for sustainable coastal and marine resource management	Output 2: Coastal communities experienced in ecosystem-based management and climate change adaptation	Output 3: Climate change resilience of coastal ecosystems enhanced
PNG	<ul style="list-style-type: none"> • Development of a PNG marine policy • Development of a joint National Fisheries Authority (NFA) and DEC policy review linked to reform of <i>beche de mer</i> marketing to support fisheries closures as an example of economically sustainable economic growth • Policy and legal review of sustainable financing institutional arrangements with a study of specific options linked to the demonstration sites • Strengthening of legal capability and the 	<ul style="list-style-type: none"> • Demonstration of 'ridge to reef' and ICRM in Kimbe Bay linked to a forest management initiative 	<ul style="list-style-type: none"> • EBFM/ICRM demonstration in Manus Province with climate change adaptation integrated within planning systems

	Output 1: Capabilities of national and local institutions strengthened for sustainable coastal and marine resource management	Output 2: Coastal communities experienced in ecosystem-based management and climate change adaptation	Output 3: Climate change resilience of coastal ecosystems enhanced
	<p>capacity to draft laws that are also economically efficient</p> <ul style="list-style-type: none"> • Review of institutional models for ICRM at the provincial and local levels • Strengthening of the Department of Environment and Conservation (DEC)'s Sustainable Environment Wing with organizational restructuring and capacity building • Building sub-national capacity, especially at the community level, in MMA, EBFM, and ICRM principles • Building information systems for coastal environments 		
Solomon Islands	<ul style="list-style-type: none"> • Strengthening of the Ministry of Environment and Coastal Management (MECM) in the area of ICRM and coastal environments • Strengthening of the Inshore Fisheries Division of the Ministry of Fisheries and Marine Resources (MFMR), especially with respect to EBFM and rural livelihoods • Integration of EBFM principles within MFMR strategies and CBNRM programs • Strengthening of provincial legal frameworks and provision of community paralegal training • Building MECM and MFMR data bases and the introduction of a data sharing program 	<ul style="list-style-type: none"> • Awareness and training of provincial stakeholders on the importance of coastal resources and the 'ridge to reef' and ICRM concepts • Eco-regional prioritization for Isabel and Malaita Provinces to target priority ecosystems for management and conservation • Demonstration of decentralized ICM and EBFM in Isabel and Malaita Provinces 	<ul style="list-style-type: none"> • Building the MECM Climate Change Unit to develop knowledge products for linking climate change adaptation priorities to eco-regional prioritization and CBNRM
Timor-Leste	<ul style="list-style-type: none"> • Enactment of a National Environment Policy and National Marine Biodiversity Conservation Policy • Enactment of an updated coastal fisheries policy with necessary legal and regulatory reforms to the Environment and Fisheries Acts • Restructuring of National Directorate for Fisheries and Aquaculture (N DFA) into a fisheries management-focused organization • Capacity building in EBFM and ICRM in the fisheries and other government sectors • Building baseline information on fisheries through strengthening of the census survey, conducting a socioeconomic survey of coastal communities, support for Provincial Fisheries Officers to undertake field fish catch surveys, and definition of a coastal fisheries livelihood strategy • Building resource information capability with support from AIMS • Studies to understand the scope of land-based threats • Policy review for moving into sustainable financing through market mechanisms and possibly payment for ecological 	<ul style="list-style-type: none"> • Demonstration of ICRM and EBFM management systems in Atauro Island and Batugede (north coast international border with Indonesia), including habitat mapping, MMAs through spatial zonation, threat management, and livelihood strategies • Marine biodiversity network planned for northern Timor-Leste 	<ul style="list-style-type: none"> • Developing capacity in climate change adaptation to generate local knowledge products on scenarios, vulnerability, and adaptation for planning at multiple scales

	Output 1: Capabilities of national and local institutions strengthened for sustainable coastal and marine resource management	Output 2: Coastal communities experienced in ecosystem-based management and climate change adaptation	Output 3: Climate change resilience of coastal ecosystems enhanced
	services (PES)		
Vanuatu	<ul style="list-style-type: none"> • Support to, and strengthening of, the newly established Environment Department • Capacity development in both ICRM and EBFM in both government agencies and nongovernment organizations • Sustainable financing policy and options linked to tourism levies, cruise ship visitation, and possible coastal rural subdivision levies • Support for developing an coastal and inshore fisheries management strategy that is consistent with the Environment Act in the management of Community Conservation Areas • Formation of the National Advisory Committee (NAC) on Biodiversity and Planning for Marine Conservation based on habitat priorities • Development of a spatial data base with portal access to the environment and fisheries sectors and the production resource management maps for field programs 	<ul style="list-style-type: none"> • Preparation of a draft ICM plan for North West Efate that will demonstrate the integration of ICM with island-wide spatial planning programs starting in 2010-2011 • Support for the Efate Land Management Area (ELMA) program to include management of land-based threats to the coastal zone • Introduction of remote sensing habitat management and EBFM linked to ELMA and four provinces 	<ul style="list-style-type: none"> • Climate adaptation for broad-scale spatial planning and for specific responses in highly vulnerable islands
Fiji	<ul style="list-style-type: none"> • Support for national ICM committee • Definition of ICRM legal and regulatory roadmap • Setting up coastal databases within the Department of Lands 	<ul style="list-style-type: none"> • Support for development of a national ICM plan • Support for 'ridge to reef' demonstration in RA Province through linkages to CI and Fiji Water Ltd programs for upper catchment management 	<ul style="list-style-type: none"> • Definition of climate change adaptation processes for a high island environment and coral atoll

Source: Briefing Notes for Contract Negotiation from Graham Walter, International Program Coordinator, Oct. 2011

48. Since October 2011, and following the conduct of the Inception Workshop in Fiji in November, certain variations have occurred notwithstanding that core tasks have remained. For example, for Fiji its original three outputs remain but based on its most recent draft work plan the scope of specific activities needed to realize the outputs has, not unexpectedly, grown. It is therefore necessary to reassess identified activities and finalize a work plan based on (i) available program resources, and (ii) prioritizing inputs.

49. In comparing the tasks contained on the schedule with the most recent draft work plans presented by the Pacific Coral Triangle countries, it is evident that some activities exceed the current scope and resources available under the TA. In this respect, **Table 2** reflects a sound baseline from which to prioritize and structure ensuing activities. What is apparent is that early in 2012 it will be necessary to review the draft country work plans, establish necessary priorities and then match available resources to agreed activities. If there is an underlying concern it is that the full extent of the work needed, especially in the area of ensuring an appropriate and enabling institutional and legislative framework, has been underestimated.

50. A number of the tasks can be tackled as discrete initiatives. Ultimately these will be incorporated into the wider program. For example, the work by The Nature Conservancy (TNC) and WorldFish at Isabel and Malaita, respectively, can continue; the work of developing sustainable financing options can commence and some of the legislative review work to be undertaken by IUCN can begin as soon as specific needs are identified. Much of the remaining work however is especially

demanding on resources and expertise. Developing policy frameworks (a marine policy in PNG and a national environment policy in Timor Leste) and undertaking institutional capacity building (a coastal and inshore fisheries management strategy in Vanuatu and restructuring the National Directorate for Fisheries and Aquaculture in Timor Leste) are demanding activities requiring widespread consultation, stakeholder consensus and considerable expertise. These are not tasks that can be undertaken easily or quickly.

51. The task of reconciling the earlier work plans with those developed since the Inception Workshop and then agreeing an implementation program along with allocating appropriate resources to ensure the agreed tasks are successfully completed, is now a priority.

B. Contract Packages under TA 7753

52. The Phase 2 TA will be implemented through a **Program Management Consultant (PMC)** with responsibility for the provision of day-to-day technical and administrative support to the national program management units in the participating countries in program implementation. The main responsibilities of the PMC are: (i) detailed work planning, (ii) coordinating demonstration implementation, (iii) procurement of goods and services, (iv) financial management, and (v) documentation and reporting. ANZDEC Limited (New Zealand) in association with Tanorama Limited (Papua New Guinea) was contracted by ADB as PMC for TA 7753 for a period of 4 years (31 October 2011 – 30 October 2015).

53. ADB has also entered into single source contracts with the International Union for Conservation of Nature (IUCN), the WorldFish Center, and the International Food Policy Research Institute (IFPRI). All three contracts are now in force and will run for two years.

54. **Regional Law and Learning Program, IUCN, Oceania.** IUCN will support the development of legal capability in the CTI Pacific countries as part of the wider IUCN Environmental Law Commission Program. This covers: (1) the strengthening of environmental law and facilitated regional learning through (i) building public and private sector environmental law capacity through a regional public sector legal network linked to a regional networks and through awareness building and training, and (ii) supporting the strengthening of legal governance through development of Environmental Law associations; and (2) development of a regional learning forum that will compare progress and performance across countries and then synthesize these into best practices.

55. **Climate Change Adaptation Knowledge Program, The WorldFish Center (WorldFish), Penang, Malaysia.** WorldFish will develop knowledge products to support climate change adaptation and provide training and technical support. The products to be developed include (i) guidelines and training materials for the development of future climate scenarios using integrated risk characterization; (ii) guidelines and training materials for multi-scale vulnerability assessment; and (iii) procedures for climate change adaptation including, policy, planning, and implementation.

56. **Climate Change, Development Strategy and the CTI-Pacific Coastal Communities - IFPRI, USA.** IFPRI will carry out a study on the economic impacts of climate change on coastal and marine resources and use the results of the economic analysis to prepare a development strategy for coastal communities in the Pacific Coral Triangle countries.

57. One of the key tasks in the early part of 2012 is to better identify and prioritize actual work needs in the draft country work plans and where possible match them to TA resources available under the PMC and from IUCN, WF and IFPRI.

III. TA IMPLEMENTATION ARRANGEMENTS

A. Overall TA Implementation Arrangements

58. The ADB is the executing agency for the TA. The Pacific Regional Department (PARD) will exercise overall responsibility for the coordination, supervision, and implementation of all TA activities.

59. TA 7753 will be implemented through a program management system consisting of (i) a TA Coordination Unit (TCU) within ADB's PARD; (ii) a Regional Program Management Office (RPMO) to be based at the Department of Environment and Conservation (DEC) in Port Moresby, Papua New Guinea; and (iii) national program management units (NPMUs) in each of the five Pacific Coral Triangle countries.

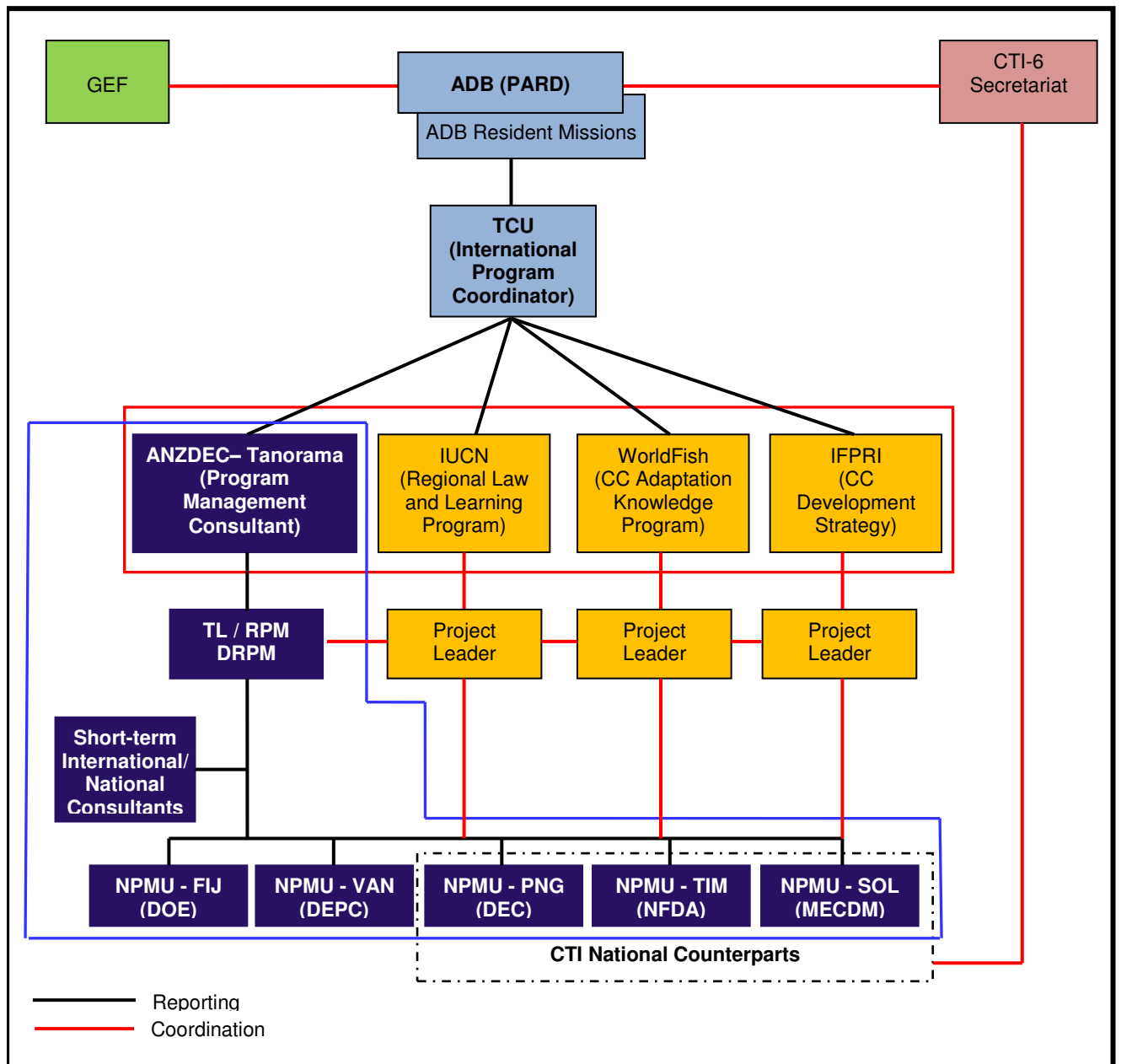
60. The **TCU** will comprise core professional staff, support staff services and an International Program Coordinator (**Mr Graham Walter**) who will oversee the day-to-day implementation of the TA on behalf of ADB. The TCU will liaise with other relevant ADB units and/or offices, particularly the South Pacific Subregional Office, Pacific Liaison and Coordination Office, the PNG Resident Mission, Special Office in Timor-Leste and focal points concerned in the Regional and Sustainable Development Department and the Southeast Asia Department.

61. The in-country activities of the TA will be implemented through a **Program Management Consultant (PMC)**, namely ANZDEC Limited (New Zealand) in association with Tanorama Limited (Papua New Guinea). A Regional Program Management Office (RPMO) is being set up at the Department of Environment and Conservation (DEC) in Port Moresby. **Mr. Simon Tiller** is the PMC Team Leader/Regional Program Manager (TL/RPM) and **Ms. Junne Cosmas** is the PMC Deputy Regional Manager. Five National Program Management Units (NPMUs) are being set up in each of the five Pacific Coral Triangle countries – Papua New Guinea, Timor-Leste, Solomon Islands, Vanuatu and Fiji – which will be led by Senior Program and Finance Managers.³

62. **Figure 1** depicts the management structure for the entire TA. This is a simplified depiction of the fundamental working relationships that govern the implementation of the TA to ensure effective program delivery and outcomes.

³ The Senior Program and Finance Manager for Fiji will also take the role of Procurement Manager.

Figure 1. Overall TA Management Structure



63. **Table 3** presents the country-level coordination and implementation arrangements for the TA.

Table 3. Country-level Coordination and Implementation Arrangements

Country	TA Program Coordination & Supervision	Implementing Agency/ies	Location of the NPMU
PNG	National Coordination Committee (NCC) – overall policy and advisory committee; coordination of TA program activities including IUCN, IFPRI and WFC	Sustainable Environment Programs, Department of Environment and Conservation (DEC)	Marine Division, DEC [NPMU reporting to the Executive Manager, Marine Division]
Solomon Islands	National Coordinating Committee (NCC) - ongoing advisory and guidance committee; coordination of TA program activities including PMC, IUCN, IFPRI and WFC Oversight Committee of Senior Officials (comprising Permanent Secretaries of MECDM and MFMR)	Ministry of Environment, Climate Change, Disaster Management and Meteorology (MECDM) Ministry of Fisheries and Marine Resources (MFMR)	MECDM [NPMU reporting to the joint program coordinators from MECDM and MFMR]
Vanuatu	National Advisory Committee on Climate Change (NACCC) - coordination of TA program activities including IUCN, IFPRI and WFC	Department of Environmental Protection & Conservation (DEPC) , Ministry of Lands and Natural Resources	DEPC [NPMU reporting to the Director, DEPC]
Timor-Leste	National Coordination Committee (NCC) - coordination of TA program activities including IUCN, IFPRI and WFC	National Directorate of Fisheries and Aquaculture (NDFA) , Ministry of Agriculture and Fisheries Secretariat of State for Environment (SoSE)	NFDA [NPMU reporting to CTI national focal point based in NDFA, and SoSE designated climate change focal point]
Fiji	National Environment Council (NEC) – for overall policy and advisory support Integrated Coastal Management Committee (ICMC) – coordination of TA program activities including IUCN, IFPRI and WFC	Department of Environment (DOE) , Ministry of Local Government, Urban Development, Housing and Environment	Resource Management Unit (RMU), DOE [NPMU reporting to the Principal Environment Officer, RMU]

B. The Program Management Consultants (PMC)

64. ANZDEC Limited (New Zealand), in association with Tanorama Limited (Papua New Guinea), are the Program Management Consultants (PMC) for the TA.

65. During contract negotiations with ADB in October 2011, ADB emphasized that the role of the PMC is to “*take the project downstream*” by facilitating the implementation of TA activities in each of the five Pacific Coral Triangle countries. This necessitates establishing working relationships with the Government focal agencies and counterparts and national level officials. The PMC in-country teams will need to develop good working relationships with their respective focal agencies and in parallel, will need to keep other parties informed, including ADB Manila and the ADB Resident Missions, among others.

1. PMC Approach

66. The PMC will act largely as a guiding hand. The need for interventions as envisaged by the TA is clear but what is perhaps less clear is the methodology for introducing and applying the necessary inputs needed to eventually produce a successful outcome. Whilst each country has its

own view as to what it expects from the TA there remains a considerable gap between words and deeds. In this regard, the PMC will primarily assist the countries to identify their requirements and to then work with them to structure an arrangement that converts aspirations into the prospect of an acceptable outcome. What needs to be stressed however is that aspirations need to fall within the wider framework of developing a regional response for dealing in the longer term with the consequences of climate change, population growth and the need to ensure proper management of scarce coastal resources.

67. Such aspirations have surfaced in the past but they have in the main been piecemeal rather than national or in this case regional in their approach. Furthermore there is no shortage of examples where attempts to deal with serious issues faltered and failed soon after the completion of external support. Based on these lessons it is critical that this TA be supported by:

- sensible and pragmatic design and implementation initiatives,
- a process of comprehensive consultations and awareness raising,
- widespread “buy in” at the community and political level, and
- competent in-country management arrangements.

68. In this regard the PMC is intent on ensuring that its contribution to the TA centers on supporting in-country endeavors as identified in each work plan. The PMC has a pool of resources available to it and it will work closely with all countries to ensure that the available resources are allocated to where they can accomplish the best outcomes. The PMC role is therefore primarily one of coordination and support with an overriding objective of putting in place practices that are sufficiently flexible and focused to endure.

69. The approach involves using experience gained over many years in the region with similar programs. What appears to be a relatively common theme with such interventions is that the design seeks to deal with a specific set of issues which have been determined as inhibiting development. What tends to emerge however is that the programs languish and then fail often quite soon after the conclusion of inputs. On closer analysis it is frequently found that the program dealt with symptoms rather than causes and that the underlying causes were often quite removed from the target of the intervention. For example, an institutional strengthening program, of which there have been countless in the region, tends to work at a Ministry or Department level when the real problem is almost invariably failings within the wider structure of the Public Service.

70. In this instance the design has recognized that the problems now facing both governments and communities are unlikely to be mitigated or overcome without comprehensively involving core stakeholders, including governments. What this TA does is set in train a series of initiatives based around a composite response from core stakeholders. In essence the intent is to ensure that responsibility for acting is attributed to or devolved to those stakeholders best able to act.

71. Governments, whilst accomplished at policy development are often far less accomplished at policy implementation. Furthermore it is increasingly likely that governments will have less and less capacity to fund the necessary interventions and alternate means of ensuring adequate responses to critical issues such as those addressed by this TA must be found. Getting the structure right and then ensuring ongoing funding is the single greatest challenge confronting the TA.

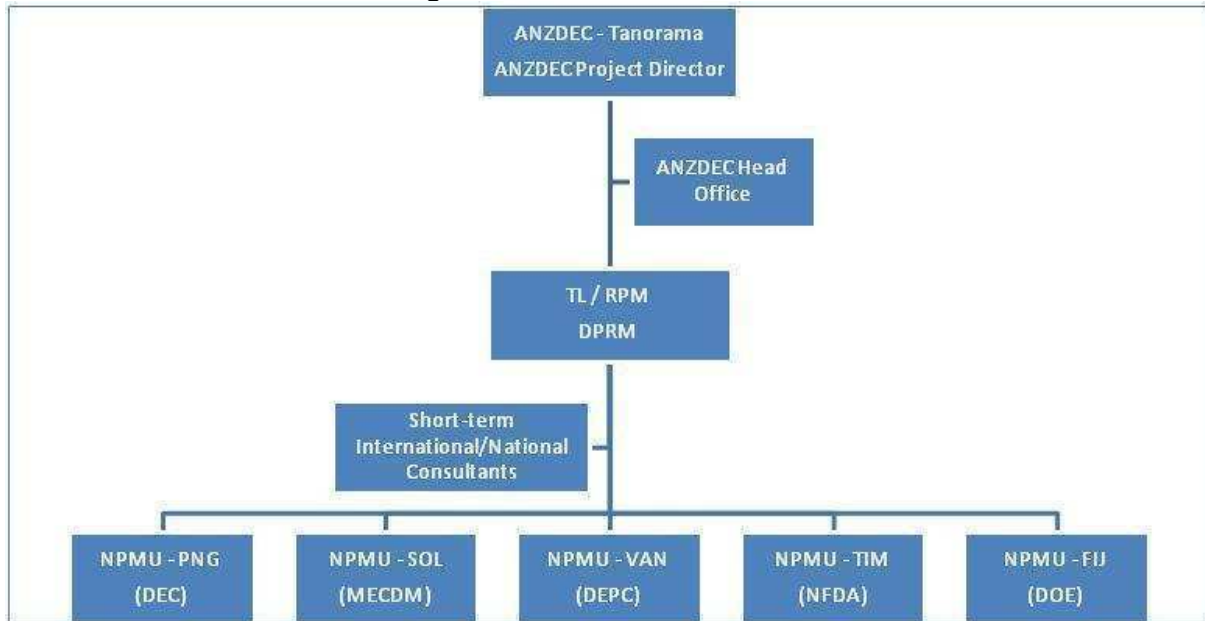
72. What is also expected as an outcome is at the very least some acknowledgment of the need to fund future interventions. Clearly governments are unlikely to be able to fund such an undertaking from fiscal revenues so there is a need for an alternate source of funding. One of the current ideas is the establishment of either one or more trust funds, ring fenced by a set of robust governance protocols able to withstand the most determined attempts at abuse. This matter whilst of the utmost importance is one that can be worked on behind the scenes without necessarily attracting undue resources in the early phases of the TA.

73. It is expected that by the close of the program core stakeholders will have a basis for both cooperating and coordinating their responses so as to better deal with issues as they arise.

2. PMC Roles and Responsibilities and Reporting Lines

74. **Figure 2** depicts the internal structure for the PMC. This is a slice from the overall TA management structure presented in Figure 1.

Figure 2. PMC Internal Structure



75. **Table 4** presents a division of roles and responsibilities and lines of reporting amongst the key PMC actors. The PMC has responsibility for the provision of day-to-day technical and administrative support to the NPMUs in the participating Pacific Coral Triangle countries in program implementation. The PMC will in particular be responsible for:

- Detailed work planning,
- Coordinating demonstration implementation,
- Procurement of goods and services,
- Financial management, and
- Documentation and reporting.

76. The delineation of PMC roles and responsibilities presented in **Table 4** is largely based on the RETA Paper supplemented by the discussions at the Inception Workshop in Nadi. The only departure is with respect to the role of the RPMO in terms of financial accountability for all country program activities. We believe that this will be best handled at ANZDEC's head office bearing in mind ADB's rigorous requirements for cash advance, reimbursement and procurement requests; prior approval for workshops, training, studies, subprojects, etc.; submission of statements of expenses, liquidation of advances, and financial reports.

Table 4. PMC Roles and Responsibilities and Reporting Lines

PMC	Key Roles and Responsibilities	Reporting to
TL/RPM DRPM (RPMO)	<ul style="list-style-type: none"> • Coordination with, and support to ADB PARD and TCU in overall TA implementation • Overall supervision of TA activities in the 5 countries in close consultation with national level coordination committees and IAs in each country • Coordination with other contract packages under the TA (WFC, IUCN and IFPRI) and other regional partners • Coordination and supervision of program inputs under the PMC contract • Consolidation of country reports and documents 	<ul style="list-style-type: none"> • ADB TCU International Program Coordinator (programmatic) • ANZDEC (contractual)
NPMUs (Senior Program & Finance Managers, Procurement Managers, & Training & Knowledge Coordinator)	<ul style="list-style-type: none"> • Facilitate implementation of TA activities, including training and knowledge products • Work planning and coordination of TA activities with IAs, other agencies and programs, and the respective national coordination committee in each country • Monitoring of contracted activities/ subprojects; progress reporting (physical and financial) • Administration support to subcontractors, including procurement, cash advance requests, physical and financial reporting, liquidation of advances, statement of expenses, etc. 	<ul style="list-style-type: none"> • TL/RPM (programmatic) • ANZDEC (contractual, administrative)
International/ national experts (short-term)	<ul style="list-style-type: none"> • Per specific TORs by country of assignment 	<ul style="list-style-type: none"> • TL/RPM (programmatic) • NPMUs (in-country coordination) • ANZDEC (contractual)
ANZDEC Project Director Head office in Auckland	<ul style="list-style-type: none"> • Head contract management, including submission of deliverables, overall financial reporting, contract variations, other contractual obligations, etc. • Contracting and mobilization of PMC consultants; management of consulting inputs; reporting • Administrative support to NPMUs - cash advance and procurement requests to ADB for contracted activities/subprojects; processing and submission of financial reports, statement of expenses or liquidation of advances • With TL/RPM, proactive responses to emerging issues, risks and problems in TA implementation in each country 	ADB PARD and TCU (contractual)

77. The full composition of the PMC is presented in **Appendix 4** including the individual TORs for each consultant.

IV. PMC MOBILIZATION AND INCEPTION PHASE ACTIVITIES

A. TL/RPM Mobilization and Initial Country Visits to Papua New Guinea and Solomon Islands

78. The Team Leader/Regional Program Manager (TL/RPM) mobilized on the 7th November 2011. He flew to Port Moresby to meet with senior officials within the Marine Unit of the Environment Wing of the Department of Environment and Conservation (DEC), the implementing agency for the TA in Papua New Guinea and the host agency providing office space for the RPMO and NPMU.

79. The TL/RPM visited Papua New Guinea from the 8th to 12th November 2011. In Papua New Guinea, he met the Director of DEC, Ms Yvonne Tio, and Mr. Bernard Suruman, one of the managers involved in the program. In Papua New Guinea, DEC is one of three entities involved in the program. The other two are the National Fisheries Authority (NFA) and the Office of Climate Change. The three offices coordinate their efforts through the National Coordinating Committee (NCC), of which DEC is the Secretary and Co-Chair along with NFA.

80. During the discussions, Ms Tio expressed interest in reviewing the policy and legislative matters affecting implementation of the TA and suggested a review of the issues as a priority in the work plan. At present, there are three Acts covering the area affected by the program - Fauna Protection, Conservation Areas and National Parks - and there was a possible question over their compatibility.

81. The TL/RPM then flew to Solomon Islands from the 14th to 18th November 2011 and met with the Permanent Secretary of the Ministry of Environment, Climate Change, Disaster Management and Meteorology, MECDM (Mr. Rence Sore), the Permanent Secretary of the Ministry of Fisheries and Marine Resources, MFMR (Dr. Chris Ramofafia), the Regional Program Manager of WorldFish (Dr. Anna Schwartz), and the Regional Director of The Nature Conservancy (Mr. Willie Atu). MECDM and MFMR co-chair the National Coordinating Committee (NCC).

82. Both Permanent Secretaries identified the need for the program to support Provincial governments, which they felt lacked sufficient capacity to adequately support aspects of implementation. Like Papua New Guinea, both also felt that there was a need to review the appropriateness of the various pieces of legislation affecting the program. It was specifically noted that enabling ordinances at the Provincial level were either incomplete or no longer relevant. MFMR has almost concluded the drafting of a new Fisheries Act, which both recognizes and enables the type of arrangements needed to ensure the program succeeds with its intent. The PS for MECDM felt that the Acts under which the Ministry operated were adequate but that nevertheless they would need review.

83. The TL/RPM also met with representatives from Tanorama Limited, the local partner in Papua New Guinea which will field all the PNG national consulting roles under the TA.

84. Office sites have been inspected, one in Papua New Guinea at DEC, and the other in the Solomon Islands at the MECDM. Both are basic but with modest expenditures can be made into suitable accommodation. It has been arranged for the in-country NPMU managers of both countries to inspect the premises and recommend suitable equipment and changes sufficient to make the offices productive. Both need furniture (desks, chairs) and equipment (telephones, internet, computer(s), printers, etc.). Communications is likely to prove awkward and it is planned to ensure that each of the five country offices has access to the internet. The NPMU managers have been instructed to identify and cost specific office equipment needs and national procurement processes and to then seek approval from ANZDEC's PMU in Auckland before proceeding with procurement.

85. The TL/RPM then flew to Nadi, Fiji for the Inception Workshop held between Tuesday, 21st November and Thursday, 24th November 2011.

B. Inception Workshop in Nadi, Fiji (22-24 November 2011)

86. During contract negotiations at ADB for the PMC package, the ADB proposed an Inception Workshop for the entire TA 7753, including participants from ADB as the EA for the TA, GEF, the PMC,

country-specific implementing agencies, the single-source contractors (IUCN, WorldFish and IFPRI) and other ongoing programs in the region. From the PMC's perspective, the Inception Workshop was seen as an opportunity to clarify the scope of work and detailed workplans of the other contract packages under TA 7753 as well as providing the first opportunity for the PMC team to meet and discuss as a team and to touch base with key officials of the focal agencies in the respective countries.

87. ANZDEC was tasked to provide the administrative support to the Inception Workshop, and worked under the close supervision of TCU in ensuring preparations are in place for a successful workshop in Nadi. ANZDEC undertook the following tasks: (i) finalized travel arrangements for all participants including booking of airfares, visa arrangements, etc.; (ii) provided information to the participants prior to travel, and during the workshop, of ADB approved entitlements (e.g., miscellaneous travel expenses, transit arrangements, per diems, etc.) and submission of documentation requirements; (iii) payments to participants based on ADB approved entitlements; and (iv) coordination with the hotel on venue arrangements prior to and during the workshop and settlement of all venue-related expenses.

88. Papua New Guinea and WorldFish were not able to participate in the Inception Workshop. WorldFish however submitted a copy of their planned presentation at the Workshop, including their workplan.

89. The Inception Workshop provided an opportunity for the PMC to clarify aspects of the TORs for which there was no assigned TA input (e.g., climate change adaptation). The Inception Workshop served to clarify the scope of work and proposed workplans of the other TAs and in the individual countries.

90. The key matters of relevance to the country activities that were discussed at the Inception Workshop are taken up and commented on in several places in this report where these are relevant.

91. **Appendix 5** contains the Inception Workshop Report. The report provides an annotation of the workshop process, and the full complement of country, agency and program presentations made at the Inception Workshop as well as the list of participants and agenda.

C. NPMU Establishment

92. Since the Inception Workshop in Nadi in late November, ANZDEC has been progressively working to establish the NPMUs in the respective countries. **Table 5** presents a status report on the process of establishing the NPMUs in each country at the time this report was produced.

Table 5. Status of NPMU Establishment, as at 13 February 2012

Key Start-up Activities	PNG	SOL	VAN	TIM	FIJ
Mobilization of national consultants					
• Deputy Regional Program Manager (DRPM)	√				
• Senior Program & Finance Managers (SPFM)		√	√	√	√
• Procurement Manager (PM)		√	√		
• Training & Knowledge Coordinator (TKC)		√	√	√	√
Orientation and briefing					
• Consultant's Briefing Notes (CBNs)	√	√	√	√	√
• ANZDEC Project Administration Manual		√	√	√	√
• ADB Procurement Guidelines		√	√	√	√
• M&E processes (NPMU, subprojects)					
NPMU Office set-up					
• Confirmation of allocated office with furniture	√	√	√	√	
• NPMU office equipment requirements identified	√	√	√	√	
• Proposal for procurement of office equipment				√	

submitted to ANZDEC, for onward submission to ADB for prior approval					
• Opening of PMC bank account					
Initiation of Working Arrangements with Implementing Agencies					
• Introduction to IAs and focal persons	√	√	√	√	√
• Reporting arrangements clarified (e.g., between the PMC/NPMU and the respective countries' focal agencies and Ministries of Finance)					

93. The mobilization of the national consultants for the NPMUs has proceeded in conjunction with the ADB process of sending the CVs of the long-term positions to the respective focal agencies in the five countries on a no-objection basis. This has affected the mobilization of the long-term consultants in PNG, Fiji, and VAN.

94. Just over a month has lapsed since the Inception Workshop in late November (not counting the period over Christmas) and the in-country arrangements in the Solomon Islands and Vanuatu have progressed. The long-term national consultants – in particular, the critical Senior Program and Finance Managers (SPFM) - have mobilized and initiated the work. The SPFM for SOL (Mr Peter Ramohia) was contracted in time for the Inception Workshop in Nadi and has carried on working to establish the NPMU since. The SPFM for VAN was a replacement for ANZDEC's original nominee following concerns by DEPC over the originally nominated consultant which were officially raised with ADB. The replacement SPFM for VAN (Mr Reginald Tabi Gerian) mobilized in December and has been working to establish the NPMU in VAN.

95. In Timor-Leste, the stand-in SPFM (Ms. Ma. Odete do Ceu Guterres) was engaged in November to initiate TA activities as ANZDEC's proposed SPFM (Mr. Carlos Alexander Jesus) could not start until February 2012. However the NDFA, the TA's implementing agency in Timor-Leste, has requested for an extension for Ms Guterres until end February 2012 and proposed that she be replaced by Mr Aleixo Amaral who currently serves as CTI Focal Point working for the NDFA. ANZDEC have clarified to the NDFA that ADB guidelines rule out Mr Amaral from being appointed a consultant on the TA as he is currently employed with the agency that is implementing the TA. The NDFA submitted a letter to ADB providing justification for Mr Amaral's nomination and seeking an exemption from ADB rules on the grounds that there is very limited human resources in Timor-Leste to fill such a critical role. ANZDEC has written ADB in support of the NDFA's position.

96. In Papua New Guinea, the national consultants are being provided by Tanorama Limited. A sub-consultancy contract was concluded with Tanorama in early November 2011 and arrangements were made for the two long-term consultants, the DRPM (Ms. Junne Cosmas) and SPFM (Ms. Minnie Kila), to attend the Inception Workshop in Fiji. However, the SPFM dropped out and a replacement has been identified by Tanorama but we opted to defer submission of the replacement CV to ADB in view of the still pending no-objection from DEC to the third long-term position, the Procurement Manager (Ms. Bernadette Koae). This role is critical in organizing the equipment support to the RPMO and NPMU in Port Moresby. Tanorama has signed up the DRPM who needed to give a month's notice to her current employer, and she will start officially on the PMC on 13 Feb. 2011. The DRPM has nevertheless been in contact with the DEC to provide support to the preparation of Papua New Guinea's draft country workplan.

97. In Fiji, the long-term SPFM/PM role was finally filled by Ms Mafa Wilson who was confirmed by the Department of Environment in early February 2012 and whose nomination was subsequently approved in principle by ADB.

98. In the background, ANZDEC have been working with the NPMUs in SOL, VAN, and TIM to establish an office, determine the equipment requirements to make the NPMUs functional, plan for the national inception workshops (subject to discussions and agreement with the focal agencies), and initiate other activities on the workplan, among others. Consultant's Briefing Notes have been issued to the national consultants providing background information, Terms of Reference, and contact details of the PMC team, ANZDEC, ADB, the Executing Agencies and Implementing Agencies, etc. The

national consultants have also been briefed on ANZDEC's administration requirements with respect to their individual inputs – e.g., instructions for timesheets and expenses claims reporting requirements and report format details in line with ADB guidelines. The NPMUs in SOL, VAN and TIM have likewise been provided ANZDEC's Project Administration Manual and ADB Procurement Guidelines to prepare them for the next stages of administering TA activities in-country (e.g., training, demonstration projects, etc.). The orientation and briefing has been intense in the past few months and is highly interactive through real-time communication (on Skype and e-mails) between the ANZDEC Project Director and the SPFMs and this is expected to continue into the next few months as the TA activities roll out in the five countries.

99. Over the next couple of months, it is anticipated that office equipment procurement will be completed for SOL and VAN NPMUs. With the TL/RPM scheduled to undertake a round of country visits in Feb./March, bank accounts will be opened in all countries and the reporting arrangements clarified between the PMC/NPMU and the respective countries' focal agencies and Ministries of Finance.

D. Monitoring and Evaluation (M&E) Specialist Mobilization

1. Draft M&E Framework

100. The international M&E Specialist (Mr Cesar Umali) mobilized in December to initiate the work of designing an M&E Framework for the TA. The M&E Specialist had initial meetings at ADB PARD with the International Program Coordinator (Mr. Graham Walter) and the International Project Planning and Monitoring Specialist (Ms Haezel Barber) to discuss the scope of the M&E activity under the PMC and map out the next steps towards establishing an operational system by the end of the first quarter of 2012. The Proposed Monitoring and Evaluation Framework for the National Program Management Units (NPMUs) (updated to 31 January 2011) and M&E Implementation Start-up Plan are included in this report as **Appendix 3**.

101. The draft M&E framework clearly establishes that it will only cover monitoring and evaluation of performance of in-country activities carried out through the NPMUs. The framework does not encompass the activities under TA 7753 of IUCN, WFC and IFPRI.

102. The development of the draft M&E framework was broadly informed by the discussions at the Inception Workshop in November on existing M&E frameworks for coastal and marine resources management and climate change. These include the GEF Pacific Integrated Water Resources Management Project carried out by Secretariat of the Pacific Community (SPC/SOPAC), the CTI M&E framework, the GEF Evaluation Unit and USAID's Integrator Framework.

103. The Design and Monitoring Framework (DMF) for the TA formed the basis for developing the draft M&E framework. The draft M&E framework presents the following essential elements:

- M&E objectives
- Target users
- Key performance indicators
- Standard formats
- Data collection and analysis
- Mechanisms, schedule and frequency of reporting and feedback.

104. At country level, the starting point for M&E will be the country annual and overall (4-year) workplans which should indicate detailed targets that will be tracked and assessed over time. The current versions of the draft country workplans however are not yet elaborated down to this level of detail. However, during the period of January to March 2012, the TL/RPM will undertake a series of country visits to assist with further detailing of the country workplans in terms of: (i) refining priorities based on available resources as well as timelines; (ii) setting clear targets; and (iii) determining the required resources (in terms of implementation budgets and TA inputs).

105. The major M&E activities under the PMC's responsibility are:

- Baseline data collection
- Monthly Activity Tracking (Form No. 1)
- Quarterly Physical and Financial Progress Reporting (Form No. 2)
- Semi-Annual Results Reporting (Form No. 3)
- Year-End Participatory Stakeholder Program
- Country-Specific Independent Monitoring and Evaluation

106. The draft M&E Framework have identified the expected roles the TCU, NPMU, RPMO and other TA stakeholders will play in country level program implementation, and following from that, their respective roles in program M&E.

2. Next Steps

107. With the view towards having a functional M&E system for in-country activities in place by the end of the first quarter of 2012, the following steps will be undertaken:

Table 6. Key Activities in the M&E Implementation Start-up Plan

Activity	Countries	Timing	Who
Pilot Workshop (to test the framework and then further refine the M&E forms)	Solomon Islands	week of 27 Feb.	TL/RPM, M&E Specialist, SPFM for SOL
NPMU M&E training-workshops	All 5 countries	week of 5 March	M&E Specialist; SPFMs, Deputy RPM (DRPM)
Roll-out of M&E framework and start of formal reporting	All 5 countries	end of March 2012	TL/RPM, DRPM, all SPFMs

108. The purpose of the pilot workshops is to discuss, test and refine the M&E forms and procedures, and prepare the baseline data collection plan. This is proposed to be carried out in Solomon Islands to coincide with the scheduled visit of the TL/RPM.

109. The M&E framework will be refined and finalized after the pilot workshop. This will then be presented and discussed at an M&E Training-Workshop for all NPMUs. Ideally it would be better to have all the SPFMs attend one training workshop to foster shared learning. However if this is not practical given the challenges of arranging travel for PNG and TIM NPMU staff, a workshop could be organized for SOL, VAN and FIJ SPFMs, and then one-on-one training could be provided by the M&E Specialist to the DRPM and SPFMs in PNG and TIM.

V. INITIATION OF COUNTRY PROGRAMS

A. Background

110. The TA envisages a change in the way coastal and marine resources management is undertaken. The change is in response to imperatives arising from climate change, increasing population growth, and in some cases the prospect of stagnating or at best modest increases in both fiscal revenue and economic prospects. Unless addressed, such events are likely to converge and cause varying degrees of hardship for the participating countries. Not unexpectedly, there are variances both in the countries' ability to act and in their institutional preparedness. More specifically the growing emphasis on integrated coastal zone management (ICZM) practice, as envisaged by the TA, requires an enabling policy and legislative environment, which in itself requires considerable capacity and insight if it is to be realized successfully. The likely institutional demands arising from such a change need to be carefully identified, assessed, and provided for within the country programs.

111. At the Inception Workshop in Nadi, the countries, with the exception of Papua New Guinea, tabled their first draft work plans. Papua New Guinea submitted their draft workplan just before submission of this report. After discussions at the Inception Workshop, the draft work plans were amended and the revised drafts were accepted as the basis for developing subsequent inputs and in-country work plans. **Appendix 1** presents the draft versions of the country workplans for all five countries (including Papua New Guinea) for 2012-2015.

112. With the TA running over four years but with much of the practical on-ground work needing to occur or at least be initiated within the first 12 to 18 months, the draft work plans have become the basis for planning PMC inputs. These inputs would center on two aspects of the TA: (i) assessing, and where necessary, strengthening the capacity of those agencies involved with implementation to support and sustain inputs; and (ii) giving effect to on-ground demonstration projects able to reflect the consequences of the new implementation arrangements. The second half of the TA should then be available for consolidation.

113. Although the TA is still in its infancy, it is becoming apparent that some of the activities envisaged during the design phase may need to be reconsidered. For example, the provision for support in the drafting of the Solomon Islands Fisheries Act has, to some extent, been overtaken by events. Much of the drafting work has since been completed under another program. Nevertheless, the provision of a highly experienced legal specialist within the PMC is a valuable factor able to be utilized within other areas of the TA. Very likely, there is a similar need for legal work primarily to ensure that the legislative frameworks in the other countries supports the shift in management practices envisaged by the program. The specialist's extensive experience in the region adds considerable value to the presence of IUCN within the TA.

114. All participating countries are currently managing projects, both institutional strengthening and community based, in areas where the TA intends working in. A key task of the PMC and the in-country NPMUs will be to ensure that this TA complements and augments existing initiatives. Knowing what concurrent programs entail and accommodating these within the respective work plans is the responsibility of the PMC and the in-country NPMUs. Nothing could be worse than to have wasteful duplication and competition in such an important area.

115. The need to ensure proper awareness of the TA's objectives is fundamental. Solomon Islands has established a National Planning Unit comprising interagency and stakeholder representatives. Other countries have either a similar arrangement or are about to establish them. Of particular importance is the need to ensure that awareness has a universal dimension and extends across all constituencies, from community to political levels. In this respect the PMC and NPMUs will work closely with in-country agencies to ensure such awareness raising occurs.

B. Inception Activities

116. Inception activities to date have centered on assessing work plans and the status of the five countries to undertake initiatives under the TA. This evaluation is the basis for setting priorities and allocating resources, especially technical advisory inputs under the PMC contract in the early stages

of the TA. Such an assessment is important as some countries are further advanced in their planning and individual needs in each country vary. By assessing likely needs and priorities it should be possible to better understand how best to apply available program resources (funding and TAs) to ensure their productive utilization.

117. What soon became apparent in the lead up to and at the Inception Workshop was the disparity in both capacity and preparedness amongst countries. This matter is commented on elsewhere but what is relevant at this point is the likely requirement for inputs to diverge from those envisaged in the design document. Whilst it may not be necessary to expand the TA it may well be helpful to be able to allocate inputs beyond the bounds envisaged in the design. Realistically it will likely be towards the end of the first quarter of 2012 before actual needs are known but already it is apparent that some changes or additional inputs will be required.

118. There is a parallel need to ensure that TA inputs under the PMC contract can be accommodated. For example, whilst a country may be technically able to undertake its proposed pilot projects, it is equally important to ensure that such projects are supported by an appropriately enabling institutional, policy, and legislative environment. In some cases, it is evident that the necessary degree of complementary support is not available and the steps needed to rectify the situation need to be identified and provided for early in the TA.

119. The key role of the PMC is to ensure that activities in the five countries proceed according to agreed plans. This entails ensuring that work plans are doable in the country context and that appropriate levels of technical and funding support are on-hand when required. In-country day-to-day program management work will fall heavily on the shoulders of the NPMUs, which in turn must have the support of the TL/RPM and other members of the PMC team. Establishing the basis for such a working arrangement is a primary task for the TL/RPM.

C. Meetings and Country Visits

120. During the Inception Workshop in Fiji, the TL/RPM met with representatives from the four countries and sought to better understand their respective work plans. The TL/RPM also met with IUCN, IFPRI, and The Nature Conservancy, but was unable to meet with WorldFish as its representative was unable to attend the Inception Workshop. Despite this the TL/RPM had earlier met with WorldFish representatives in Solomon Islands who had been closely involved in developing WorldFish's work plan so it was possible to factor in their role in some of the country work plans.

121. Whilst the Inception Workshop occurred soon after ADB had given the notice for the PMC services to proceed, it was nevertheless possible to begin reviewing the institutional and logistical issues associated with an early 2012 start up for the TA. In all probability, late January to February will be the most likely practical commencement date. Many officials in the Pacific take the opportunity of Christmas break to return to their homes, which are often on outlying islands or at least in more remote areas. From a planning point of view, it is sensible to anticipate late January to early February to resume TA program activities on the ground.

122. At the ensuing discussions at the Inception Workshop it was found that the type of issues identified in Papua New Guinea and Solomon Islands were in various ways reflected as common threads within the proposed work plans of Timor Leste, Fiji, and Vanuatu. Accordingly, although with the exception of Papua New Guinea which was absent from the Inception Workshop, draft work plans were reviewed and adjusted to better reflect the type of work necessary to lessen implementation difficulties.

D. Awareness of the TA

123. There is considerable awareness of the TA although much of the awareness arises from the program's proximity in name and intended outcome with the larger and more extensive Coral Triangle Initiative which encompasses more countries. Additionally, the scale of the program together with the publicity that accompanied its announcement some four years ago led many to hold expectations that in the context at the time were understandable. Nevertheless, it has been difficult realigning country views and expectations with the actual purpose and capacity of the TA.

124. For many the TA was seen as an alternate means of funding programs that for various reasons have been difficult to fund through conventional recurrent budget arrangements. The tendency to see the program as a source of project funds rather than as a basis for establishing new ways whereby governments and core stakeholders could interact in mitigating the consequences of climate change and population growth and at the same time provide for food security now appears to have diminished. Perhaps, and somewhat reluctantly, the countries are now beginning to acknowledge the TA's actual intent.

E. Country Program Initiation

125. Within the five countries there are variations in capacity and resources. What would be fair to say however is that at present none have the requisite level of resources or institutional adeptness to sustain the purpose of the program beyond the initial four-year period envisaged by this TA. This is a funding and institutional capacity issue and a theme that must be developed and examined quite early in the program if the issue of program sustainability is to be successfully tackled.

126. The Inception Workshop was valuable as a means of bringing focus to the issues that need to be dealt with, but what became clear is that there is still considerable work to be done in the area of allocating technical and funding resources and establishing timelines. Identifying the nature and extent of this work is still largely dependent on completion of each country's final work plan.

127. Once the final work plans are agreed it is possible to firm up on the allocation and timing of technical inputs. There are two dimensions with the allocation of inputs: (i) ensuring early commencement, or in some cases continuation of work that had begun or been planned prior to the program, and (ii) the need to provide capacity building support sufficient to ensure that work is underpinned by an appropriate and resilient institutional environment. These activities can occur in parallel and it is likely that the period late January to February 2012 will be largely devoted to identifying and initiating a number of such activities.

128. As such, one of the main tasks for early 2012 will entail assessing the capacity of the various Ministries and agencies to absorb the inputs envisaged under the PMC. This is likely to be a demanding task as notwithstanding many years of capacity support in the region nearly all such programs focused on strengthening existing forms of service delivery, which in the regional context meant government/public sector delivery. The TA however foresees a greater role for communities and civil society in the management of resources, a fact that is not adequately provided for within existing legislation or within the public sector culture.

129. In addition to instigating TA activities, there is the need to implement program administrative support arrangements. This so-called back-office work is already well in hand but has been slowed somewhat both by the onset of Christmas and delays in recruiting NPMU staff, many of whom having had to resign from current positions to take up new positions with the PMC. Establishing the necessary level of in-country support will entail opening bank accounts, equipping offices and establishing appropriate administrative systems and practices.

130. In this regard and despite initial indications, it is unlikely that the TL/RPM will spend much of his time at the designated location of the RPMO in Port Moresby. Instead, it appears from discussions during the Inception Workshop that the TL/RPM could be more productively utilized by working with the respective in country NPMUs in an enabling and facilitating role.

131. It appears from preliminary discussions that certain project work can commence almost immediately in Papua New Guinea, Solomon Islands, and Timor-Leste. In effect, this is work that has already begun or more specifically can continue within the TA framework. What this means is that the work will likely continue in anticipation of its inclusion in the work plan.

1. PMC Start-up Challenges

132. During the mobilization phase it became apparent that there were degrees of uncertainty regarding the scope of the program and more specifically what the program could contribute towards the in-country initiatives. This uncertainty was reflected in the expectations of individual countries with

their expectations tending to exceed available program resources or at least resources provided in the manner of the program document. The uncertainty appears to have arisen from misunderstandings over the program's scope that arose during the design phase. The Inception Workshop in Nadi contributed significantly towards better realigning expectations with what was possible within the scope of the program and drew attention to the likely need to reassess initial inputs to better support prevailing institutional capacity.

133. It was also apparent that some misunderstandings had occurred as to the methodology and responsibility for appointing national consultants and members of the in-country NPMU. These matters are in the process of being resolved.

134. There are certain disparities among the five countries regarding their respective abilities to act. The issue of heterogeneity within a wider framework of regional common interests and purpose will require careful management, especially in the early stages of the TA.

135. Given the varying degrees of capacity and to a lesser extent varying degrees of familiarity with the scope of the program, much of the early work undertaken by the PMC will center on working closely with the respective countries to identify what is doable within their respective contexts. This will also encompass structuring technical advisory inputs to support agreed in-country initiatives. The latter issue is important because, and especially in the early stages of the TA, it is quite likely that the demand for technical support could require the setting of priorities in the allocation of available technical support.

2. Other Issues

136. The scope of the program must therefore be multi-faceted if the fundamentals for ensuring sustainability are to be met. For example, and notwithstanding many years of capacity building and institutional strengthening throughout the region, it is difficult to gauge any substantive improvement in institutional capacity. This perplexing situation cannot easily be explained although it does appear that the origin has more to do with inappropriate management processes or models than any lack of personnel capacity. In other words, good people find themselves working within ineffective systems. In this regard the TA, by restructuring the process for introducing and applying integrated coastal zone management, may be able to improve the resilience of outcomes.

137. In their own way each country has relative strengths and weaknesses, but a great deal of work is still required if all five countries are to reach a stage within four years where, and provided there is ensuing funding from whatever source, they can advance their own objectives under the TA.

138. The underlying purpose of the TA stems from a number of realities. These include climate change, population growth, and in many instances stagnating economic prospects with consequent diminishing ability of Governments to adequately fund programs they may previously have fully participated in.

139. This points to the need for a series of coordinated responses addressing specific country needs, sustainable funding requirements and institutional matters. And within the broader arrangements is the need for quite specific action on individual projects and institutional and capacity building initiatives that highlight and better enable the nature of change.

140. So whilst the TA has a common regional purpose there is also the need for a series of country specific responses able to ensure that each country gains the necessary skills and capacity to maintain the application of concepts launched with the TA long after the TA has concluded.

141. Clearly, this will call for a high degree of coordination and cooperation now and into the future in managing the program and the ensuing consequences of the TA.

142. This program is intended to identify alternate ways of managing what will become a vitally important part of small Pacific Island countries' response to climate change and growing competition for resources. One of the significant issues for the program to address is the predicament governments will likely find themselves in as they struggle to fund their recurrent programs in the face

of competitive demands for what may well be diminishing fiscal revenues in future. When the program concludes in four years' time, and in the unlikely event that governments can continue to fund the program, it is clear that alternate and sustainable funding arrangements will need to be found. Therefore, one of the less obvious but certainly vitally important themes of the TA is to evaluate alternate and sustainable means of funding the ongoing resource needs of the countries.

143. More specifically, and to each country's benefit there is a history of communities working together to manage their own resources often in a relatively informal capacity. In many respects this is almost a default position because governments, both national and provincial, have often struggled to provide the requisite level of services. Recognizing this by formalizing and then supporting the improvement of outcomes from what are essentially informal processes should go a long way towards better dealing with likely events in the region.

144. At the Inception Workshop the matter of sustainable financing was briefly raised by GEF's Ms. Nicole Gineur. One of the options discussed was the relevance or otherwise of a regional trust fund as the basis for funding ongoing program related activities. Notwithstanding the somewhat problematic governance issues often raised by trust funds the matter needs much closer scrutiny. In this respect the principle of trusts remains valid although the methodology of application and management is somewhat fraught.

145. One of the less apparent issues that will be addressed by the TA is the increasing role of core stakeholders in the management of coastal resources. The application of integrated coastal zone management (ICZM) practices is not just a means of ensuring sound practices in applying principles reflected in "ridge to reef" and "ecosystems" based management but also a means of devolving management responsibility for outcomes across a wider spectrum of core stakeholders. Devolution when matched with good governance offers a promising alternative approach for ensuring sustainable management practices especially in the face of diminishing capacity and at times inclination by governments to fund such activities from recurrent expenditure.

146. However one of the potential risks from what appears an otherwise promising option is the capacity of core stakeholders. Shifting management responsibility from the domain of the public sector to encompass a wider cross-section of stakeholders needs to be accompanied by a program that ensures management competence and proper governance.

147. Stakeholders interests are not always aligned, too. Seeking wider participation in the management process is invariably accompanied by issues of self-interest, factions and accountability. These problems can however largely be dealt with through proper consultation and awareness raising processes. Furthermore, and notwithstanding a widespread culture of dependence, there are many instances where communities and civil society have successfully provided services. For example, in Solomon Islands there are more than 30 community managed marine protected areas notwithstanding that these are informal.

3. Risks

148. Over the course of meetings with various country and civil society representatives the following matters emerged as key factors that will affect the implementation of the TA:

- Logistics will play an important role in implementing the TA. There are five countries spread in an arc across the region. Travel and communications is difficult. More specifically in country programs face more daunting logistical problems. The design and implementation of projects must fully recognize the fundamental constraint imposed by difficult and at times uncertain travel and communications.
- Political change can occur quickly. This is often accompanied by a change in Minister and officials which have often impacted unfavorably on programs in the past.
- There is limited infrastructure which can impose difficulties with both implementation and operations.

- Inadequate institutional or policy frameworks.

4. Implementation Process Overview

149. The approach to provision of PMC services is in part process driven and in part outcomes driven. Clearly, there is a need for the PMC to initially establish systems and practices that enable the application of TA resources, both funding and personnel, in a manner that is productive and meets the criteria of good governance and accountability. In this respect the PMC has a responsibility to ensure that NPMUs and in country agencies have the opportunity to access resources as and when the need arises. Much of this initial work is reflected in the current draft country work plans.

150. As a priority the NPMUs will be established and staffed. This is in the nature of back-office work. Some staff have already been named whilst others are in the process of transitioning from their current positions to ones within the newly established NPMUs. It is anticipated that all in country NPMU positions will be staffed by early February 2012. ANZDEC has developed a Project Administration Manual for guiding NPMU staff in the necessary administrative and procurement processes.

151. Notwithstanding the Inception Workshop it was evident that some countries were less prepared than others. As such the Inception Workshop could really only focus on broader intentions rather than the specifics of actual implementation. Whilst the opportunity for participants to interact was invaluable, the outcome of the Inception Workshop tended to raise more questions than answers. It became clear that considerable work needs to be done to bring the various countries to a point where the resources of the TA can be beneficially applied.

152. During February and March, it is intended to commence PMC inputs where such inputs can contribute to realizing program outcomes. Some of this work however will necessarily entail working with countries to finalize their work plans thereby better enabling the allocation of program resources. So whilst some countries will likely be able to proceed with the implementation of their work plans over the next few months others will likely need additional support finalizing their work plans.

F. PMC Support to the Country Programs

1. National Inception Workshops

153. At the Inception Workshop for the TA in Nadi, the countries represented had expressed keen intent to hold National Inception Workshops in their respective countries. Table 7 reports on the status of arrangements for holding these country-level workshops in the five countries.

Table 7. Indicative Schedule of National Inception Workshops

Country	Indicative Timeframe	Remarks
Papua New Guinea	March/April 2012	Provincial consultations in WNB and Manus provinces planned for February, following which will be an Inception Workshop for national and provincial stakeholders.
Solomon Islands	29 February 2012	To follow the first scheduled CTI NCC meeting on 23 Feb. 2012
Vanuatu	22-23 February 2012	Indicative dates
Timor-Leste	17 February 2012	Confirmed
Fiji	February 2012	Indicated as an Inception Meeting with stakeholders and ICMC

2. TA Inputs to Country Workplans

154. More specifically, each country has identified at least some of the issues needing to be addressed in the early stages of the TA. As such initial technical inputs have been drafted with a view to ensuring that each country has some TA activity occurring within the first quarter of 2012.

Timor-Leste

155. Timor-Leste's workplan for 2012 reflects a realistic grasp of what is required to advance its program. In support of this, it is intended to deploy **John Cumberford (Change Management Specialist)** in early February 2012 to assist Timor-Leste review its institutional arrangements. He will spend approximately four weeks in Timor-Leste evaluating the intended program and the associated institutional capacity within government, communities and civil society. Much of his work is in the nature of due diligence in preparing his own future inputs and as a prelude to formulating inputs from **Helen Sinclair (Corporate Systems Specialist)**. In the second quarter of the year and after Cumberford's initial input it is planned to deploy **Loiusa Hodge-Kopa (Legal and Policy Review Specialist)**, with the task of evaluating policy development and application. Her work will highlight the likely direction of any legislative changes that may be needed and contribute to Sinclair's work of devising appropriate systems and organizational structures.

156. It is also possible that the TL/RPM will visit Timor-Leste in March as a first step towards building a program around intended pilot projects and other work that may be required. It is likely that much of the initial work in Timor-Leste will center on ensuring a suitable institutional and policy environment.

Papua New Guinea

157. Papua New Guinea submitted its draft work plan just before this report was issued. Papua New Guinea has clearly indicated its commitment to the TA and has already recognized that it will need support, both on the institutional front and in the area of policy and legislative support. One of the first inputs under the program for Papua New Guinea will be a review of legislation affecting DEC's capacity to implement and administer ICZM practices. At the outset it appears that some existing legislation will need to be reviewed and either amended or replaced. This aspect of the work will likely involve IUCN however it may also be helpful if **Dr. Judith Swan (Fisheries Lawyer)** initially reviewed the existing legislative arrangements and in conjunction with IUCN then developed a capacity building framework for legislative needs. Dr. Swan has had extensive experience in the region with natural resource legislation. It should be noted that Dr. Swan's input for Solomon Islands may be redundant given that Solomon Islands draft Fisheries Act has only recently been reviewed by an expert panel and is now poised for parliamentary consideration. This could well release Dr. Swan to undertake inputs in Papua New Guinea. This possible use of Dr. Swan's time needs to be raised as an item for contract variation with ADB.

158. It is also intended to review Papua New Guinea's two pilot projects at Manus and Kimbe. Both are apparently in need of fresh impetus and the TL/RPM intends working with participants to assist in identifying appropriate inputs. Furthermore, Papua New Guinea has expressed interest in utilizing a Geographical Information Systems (GIS) as a means of capturing baseline data and subsequent changes as a means of collating and later disseminating such data. Much the same idea has been expressed by Vanuatu and Solomon Islands. In this regard, one of the TL/RPM's tasks in Papua New Guinea will be to broadly assess the relevance of GIS. Following the TL/RPM's initial assessment it is likely that **Rick Tatlonghari (GIS specialist)** will be deployed to more specifically assess the prospects for GIS. This is likely to occur approximately in March 2012 although the actual date of input will depend on Papua New Guinea's work plan and the evident capacity available.

159. Soon after the TL/RPM's visit to Papua New Guinea (planned for mid February) it is probable that **John Carter (Organizational Assessment Specialist)** will be deployed to Port Moresby to work closely with DEC to ensure sufficient institutional capacity exists or can be developed to enable DEC to undertake its responsibilities. His work can then feed into the work proposed for **Helen Sinclair (Organizational Systems Specialist)** who initially will be deployed in Timor Leste but who should be able to undertake Papua New Guinea inputs by late March. This will also be about the time it may be possible to deploy **Louisa Hodge-Kopa (Policy Specialist)** in both Papua New Guinea and Timor Leste.

Solomon Islands

160. Solomon Islands appears to be quite well placed with its work plan. Both TNC and WorldFish (respectively, Isabel and Malaita) have identified programs and have expressed a willingness to proceed further with these from early in 2012. TNC has access to a GIS database but would like to see it expanded to capture data from the program's work in Solomon Islands. This idea has considerable merit especially since there is initial support for the idea from both MEC and MFMR, both of whom have previously identified the need for such a management tool. In fact, TNC has access to a regional GIS database and it is likely that **Robinson Wood (Remote Sensing Specialist)** will be deployed to Solomon Islands in March 2012 to assist with further evaluation. Should his findings indicate sensible prospects for GIS, then his inputs can proceed to include initial preparation for expanding the scope of GIS in country.

161. In preliminary discussions, MECDM has identified the likely need for legislative amendments to enable it to better meet its future activities. At present, it is apparent that the legislative framework under which MECDM works falters at the interface with Provincial Ordinances and also with its provisions for community inclusion in the management process. Although Dr. Swan had been tasked to assist MFMR with its review of the draft Fisheries Act it appears that the Act has now been completed and that Dr. Swan may now be able to work with MECDM reviewing its legislation requirements. This is work she could undertake in conjunction with IUCN.

162. It is unlikely that any capacity building will be required for MFMR which continues to benefit from an ongoing New Zealand Aid Programme funded capacity building program since 2007. It is however likely that MECDM will require some inputs as its responsibilities have grown over recent times. During the visit in February, the TL/RPM intends working with MECDM to assess its institutional needs and if necessary proposing means whereby the needs can be met.

163. There is also a well established civil society and community ethos in Solomon Islands. Both TNC and WorldFish have a history of working closely with all stakeholders to produce meaningful outcomes. WorldFish have recently used its previous experience to launch a new community based program for ICZM on Malaita and TNC have expanded an existing and similar program at Isabel.

164. Nevertheless it is anticipated that some of the elements necessary to ensure the program's longer term sustainability are deficient and that, as recognized in the Solomon Islands draft work plan, there needs to be an assessment of the respective capacities of the various stakeholders and participants with a view to identifying subsequent inputs to mitigate such deficiencies. The TL/RPM in conjunction with officials from MFMR, MECDM, TNC and WorldFish will attempt to more specifically identify actual needs and suitable responses in February and March. By quickly identifying such needs it should then be possible to begin phasing specific inputs thereby better realizing the intent of SOL's work plan.

Vanuatu

165. Vanuatu has encountered some problems with staffing and office accommodation. These are far from insurmountable but it has impeded the development of the work plan. The draft work plan presented by Vanuatu is quite detailed and it initially implies considerably more work than can immediately be undertaken by the program or with the institutional capacity available from within Vanuatu. During a proposed visit in February, the TL/RPM intends working closely with officials to better align the draft work plan with available program resources. Almost certainly this will result in a diminished but clearly focused scope of work.

166. The TA provides support to Vanuatu for gauging the role of remote sensing, biodiversity and carbon forestry. It is likely that some of the initial work associated with this will commence early in 2012 but until the institutional capacity to absorb and sustain such initiatives is better identified the initial work over February and early March will concentrate on assessing the prospect for such activities.

167. During his intended visit to Vanuatu in February/March, the TL/RPM will largely concentrate on better assessing the institutional capacity of the various stakeholder organizations. These findings will then be incorporated into the revised work plan.

168. Like a number of the other participating countries it is expected that there will be certain institutional and more specifically legislative and policy constraints affecting implementation of the TA and these will likely need to be dealt with if the intended outcomes are to be realized. The likelihood of this points towards the possible need for some specialized inputs not yet allocated to Vanuatu; possibly involving a capacity building specialist, a policy development specialists and a legal specialist. This is a matter that can be more thoroughly examined after the TL/RPM's visit.

Fiji

169. Fiji has prepared a large work plan; one that clearly exceeds current resources as allocated under the TA for Fiji. To resolve the discrepancy it will be necessary to meet with officials and align inputs with available resources. The TL/RPM will likewise visit Fiji during the round of country visits in February/March.

3. Concluding Remarks

170. What tends to emerge from the above is that despite the shared interest in managing coastal and marine resources, the respective capacities and priorities in each country vary considerably. As such there is little common ground and each and every intervention will need to be tailored for the specific needs of the intended recipient. Nevertheless there are common themes, namely the need to include stakeholders in the management process if some of the more stubborn institutional problems are to be ameliorated and the need to ensure a coherent and conducive policy and legislative environment as the basis for underpinning pragmatic responses.

171. Perhaps the key to achieving a sensible response is awareness. There is clearly a need for a comprehensive and readily accessible information service, not only for government officials but for stakeholders and especially those living on, or near to, the coast and those dependent on coastal resources. Providing such information comprises a number of facets including, multi media (print, radio, television, electronic), community-based groups and the work of civil society. It also implies that the accepted role of government as the sole provider of many services will likely have to change, a situation that many officials and politicians are sometimes reluctant to acknowledge. This leads to recognition that whilst the motives of the program are well intentioned the actual task of accomplishing the changes needed to realize the intended outcomes is likely to be fraught with difficulty.

172. Without doubt, one of the key issues confronting the program is sustainability on both the institutional and financial fronts. It is quite unlikely that any of the five countries will have sufficient domestic (fiscal) resources over the longer term to sustain the level and type of inputs needed to ensure the intended outcomes of the program are sustained and an alternative to or some means of augmenting government funding must be found. Correspondingly, it is likely that for relatively modest sums long term financing arrangements could be developed (reference the earlier section on the possible role of trust funds and carbon credits) that could enable outcomes of the type envisaged. The fundamental issue however is governance and whilst the current focus is on successfully establishing the program the so-called elephants in the room are sustainability and governance.

VI. PMC WORKPLAN IN 2012

173. With the current status of the country workplans still very much in draft form necessitating further detailing in terms of (i) refining priorities based on available resources as well as timelines; (ii) setting clear targets (for M&E); and (iii) determining the required resources (in terms of implementation budgets and TA inputs), the critical task for the PMC in the immediate term is to support the countries in this effort. The TL/RPM will undertake a round of country visits in February-March to support the NPMUs and Implementing Agencies in the respective countries to achieve more detailed workplans that reflect agreed priorities and are in line with available resources by country. This is in line with agreement reached during the Inception Workshop in Nadi to undertake further detailing of the country workplans during the period, January-March 2012.

174. Another immediate-term priority for the PMC is the establishment of the RPMO/NPMU in PNG and the NPMU in Fiji. It is nevertheless anticipated that the PMC will, during 2012, work closely with the RPMO/NPMU in PNG and the NPMUs in 4 countries to ensure timely management, programmatic and administrative support to the countries in implementing their respective workplans under the TA.

175. Of similar urgency is the roll-out of M&E procedures at country-level for which a draft M&E framework has already been prepared and is planned for testing and piloting in one NPMU (Solomon Islands) in late February 2012. The final M&E framework is expected to be ready for implementation by end March.

176. The fielding of the short-term international and national experts under the PMC will begin in February based on an early indication of TA requirements from the draft country workplans. The subsequent deployment of the short-term experts will depend to a large extent on the in-country arrangements being finalized and on specific requirements at country level.

177. The workplan for the PMC in 2012 is presented in **Table 8** below and the overall PMC work plan up to 2015 is presented in **Appendix 2**.

Table 8. PMC Workplan, 2012-2015

PMC Work Plan, 2012-2015	2011		2012												
	Month/Quarter	1	2	1	2	3	4	5	6	7	8	9	10	11	12
Inception Phase (3 months)															
Establish the RPMO at DEC in PNG & NPMUs in SOL, VAN, TIM and FIJ															
Initial meetings with DEC in PNG and MECMD & MFMR in SOL															
In coordination with ADB, organize & conduct a TA Inception Workshop in Nadi															
Mobilize national consultants for NPMUs, briefings & orientation, office set-up; initiation of working arrangements w/ IAs															
Prepare Draft Inception Report; finalize report after ADB comments															
Draft M&E Framework for country-level activities; pilot country workshops in SOL & VAN to test the M&E forms & procedures															
Inter-NPMU training-workshop on final M&E framework, forms & procedures; plan for baseline data collection															
Effective program management (PMC)															
Management and administrative support to RPMO & NPMUs to implement country workplans															
Timely deployment of short-term international/national consulting inputs according to country requirements															
Conduct baseline data collection; reporting															
Roll out of Monthly Activity Tracking, Quarterly Physical & Financial Progress Reporting, Semi-Annual Results Reporting, etc.															
Year-end Participatory Stakeholder Program															
Ongoing coordination with TCU, ADB PARD, IAs, national coordination committees, etc.															
PMC reporting to ADB, IAs & Ministry of Finance in the 5 countries, etc.															
Upload project information & documents on various websites															
PMC Reporting and Workshops															
Inception Report															
TA Inception Workshop															
PMC Quarterly Progress Reports															
Annual Participatory Stakeholder Workshops															
Draft Final Report (DFR)															
Final Report (FR)															

LEGEND:

✘ Workshops

◆ Reports

178. The revised PMC Staffing Schedule is presented in **Appendix 2**. This is consistent with the initial assessment of immediate country requirements for the short-term technical experts (international and national) as discussed in the previous section. Based on the draft country workplans and on the discussions at the Inception Workshop, it has possible to firm up initial inputs for some of the short-term experts. However subsequent inputs will very much depend on the findings of the initial missions of the individual consultants as well as the other consultants. The revised staffing schedule

likewise reflects responses to some of the issues that will be discussed in the next section (e.g., the need for home inputs for the TL/RPM and M&E Specialist).

VII. ISSUES AND RECOMMENDATIONS

A. Achievement of TA Outcome and Outputs

179. In the earlier sections of the report, we have discussed the key issues that we believe will affect the achievement of the expected outcome and outputs from the TA. These are summarized herein.

1. TA Implementation

180. It has already been recognized that other organizations can contribute towards augmenting the work of the program. IUCN, WFC and IFPRI are already participants in the program and based on their respective fields of expertise and regional experience they represent invaluable resources. Their experience has already been attributed to some specific activities but it is inevitable that as the program progresses they will be asked to contribute further.

181. What needs to be swiftly determined is the extent and duration of contribution available from these organizations. Whilst the program's outcomes are compelling, the inputs needed to achieve them are formidable and demanding and largely centre on institutional strengthening and capacity building initiatives. The work needed to ensure community "buy in", legislative enablement at all levels including at provincial or equivalent level, and the establishment of appropriate institutional systems and practices is time consuming and technical. Comparable work in the region has been the subject of extensive technical support from agencies and donors for 20 years or more. For example legislative changes, which feature as likely activities in a number of countries under the program, are likely to require extensive community consultation processes, adroit legal drafting plus approval by parliament. Such processes rarely occur quickly.

182. The point that emerges from the presence of numerous agencies and organizations working in related fields is the need to ensure good working relations with all of them. Each has a valuable contribution to make and with careful structuring of inputs and initiatives, it should be possible for all to benefit from their participation.

183. Nevertheless much of the work is especially demanding on resources and expertise. Developing policy frameworks (a marine policy in PAPUA NEW GUINEA and a national environment policy in Timor Leste) and undertaking institutional capacity building (a coastal and inshore fisheries management strategy in Vanuatu and restructuring the National Directorate for Fisheries and Aquaculture in Timor Leste) are demanding activities requiring widespread consultation, stakeholder consensus and considerable expertise. These are not tasks that can be undertaken easily or quickly as they will likely require both concessions and change on the part of all participants. Orchestrating the necessary interventions able to produce sought after outcomes will require tolerance and goodwill.

184. One of the key tasks in the early part of 2012 is to better identify and prioritize actual work needs in the draft country work plans, recognize the likely constraints, notably the policy environment and institutional capacity, and where possible match them to TA resources available under the PMC and from IUCN, WFC and IFPRI.

185. The role of the PMC is to "*take the project downstream*" by facilitating the implementation of TA activities in each of the five Pacific Coral Triangle countries. This necessitates establishing working relationships with the Government focal agencies and counterparts and national level officials. The PMC in-country teams will need to develop good working relationships with their respective focal agencies and in parallel, will need to keep other parties informed, including ADB Manila and the ADB Resident Missions, among others.

186. The PMC must also develop rigorous financial management practices. Almost certainly each country will seek to apply individual arrangements for managing the source and distribution of funds. Wherever possible these arrangements need to be standardized and will be best handled at ANZDEC's head office bearing in mind ADB's rigorous requirements for cash advance, reimbursement and procurement requests; prior approval for workshops, training, studies, subprojects, etc.; submission of statements of expenses, liquidation of advances, and financial reports.

2. PMC Approach and Methodology

187. The need for interventions as envisaged by the TA is clear but what is perhaps less clear is the methodology for introducing and applying the necessary inputs needed to eventually produce a successful outcome. Whilst each country has its own view as to what it expects from the TA there remains a considerable gap between words and deeds. In this regard, the PMC will primarily assist the countries to identify their requirements and to then work with them to structure an arrangement that converts aspirations into the prospect of an acceptable outcome. What needs to be stressed however is that aspirations need to fall within the wider framework of developing a regional response for dealing in the longer term with the consequences of climate change, population growth and the need to ensure proper management of scarce coastal resources.

188. Such aspirations have surfaced in the past but they have, in the main, been piecemeal rather than national or in this case regional in their approach. Furthermore there is no shortage of examples where attempts to deal with serious issues faltered and failed soon after the completion of external support. Based on these lessons it is critical that this TA be supported by sensible and pragmatic design and implementation initiatives; a process of comprehensive consultations and awareness raising; widespread “buy-in” at the community and political level, and competent in-country management arrangements.

189. In this regard, the PMC is intent on ensuring that its contribution to the TA centers on supporting in-country endeavors as identified in each work plan. The PMC has a pool of resources available to it and it will work closely with all countries to ensure that the available resources are allocated to where they can accomplish the best outcomes. The PMC role is therefore primarily one of coordination and support with an overriding objective of putting in place practices that are sufficiently flexible and focused to endure.

190. Although the TA is still in its infancy it is becoming apparent that some of the activities envisaged during the design phase may need to be reconsidered. For example, the provision for support in the drafting of the Solomon Islands Fisheries Act has to some extent been overtaken by events. Much of drafting work has since been completed under another program. Nevertheless the provision of a highly experienced legal specialist within the PMC is a valuable factor able to be utilized within other areas of the TA. Very likely there is a similar need for legal work primarily to ensure that the legislative frameworks in the other countries supports the shift in management practices envisaged by the program. The specialist's extensive experience in the region adds considerable value to the presence of IUCN within the TA.

191. All participating countries are currently managing projects, both institutional strengthening and community based, in areas where the TA intends working in. A key task of the PMC and the in-country NPMUs will be to ensure that this TA complements and augments existing initiatives. Knowing what concurrent programs entail and accommodating these within the respective work plans is the responsibility of the PMC and the in-country NPMUs.

192. Fortunately some of the key donors in the region are participants in this program and in some instances their intended contributions reflect an extension of existing activity. The fact that they have working relationships with core stakeholders is extremely helpful. Perhaps an area that will need close oversight, support and coordination is at the interface where new initiatives encounter existing activities. For example, IUCN's role will certainly bring it into direct contact with National and Provincial governments, communities and donors engaged in CZM programs, a number of which were instigated prior to the commencement of the program. This is probably an area best accommodated within the domain of the National Coordinating Councils (NCCs).

3. TA Outcomes and Effectiveness

193. Achievement of an acceptable outcome will be best indicated by the subsequent quality of coastal habitats and their productivity in terms of biomass and biodiversity. In many respects this is an M&E issue and one which points towards the need for an initial qualitative benchmark adequate to measure changes in coastal habitats. But any attempt to gauge success will need to incorporate more

than merely a measure of change in coastal habitat. An acceptable outcome must be enduring and affect people's wellbeing.

194. Almost certainly success will also be evidenced by firstly, recognizing and secondly, by dealing with the lack of institutional and policy insight prevalent in the region. All too often programs aimed at improving governance falter and fail simply because they seek to improve existing practices without appreciating that many existing practices have contributed significantly to the problems in the first place. Too many interventions deal with symptoms rather than causes and it will be a measure of this program's effectiveness if there is wider acknowledgement and acceptance of a modest change for the better in accomplishing good and lasting governance.

195. One of the less apparent issues that will be addressed by the TA is the increasing role of core stakeholders in the management of coastal resources. The application of integrated coastal zone management (ICZM) practices is not just a means of ensuring sound practices in applying principles reflected in "ridge to reef" and "ecosystems" based management but also a means of devolving management responsibility for outcomes across a wider spectrum of core stakeholders; in essence to ensure that responsibility for acting is attributed to or devolved to those stakeholders best able to act. Devolution when matched with good governance offers a promising alternative approach for ensuring sustainable management practices especially in the face of diminishing capacity and at times inclination by governments to fund such activities from recurrent expenditure.

196. However one of the potential risks from what appears an otherwise promising option is the capacity of core stakeholders. Shifting management responsibility from the domain of the public sector so as to encompass a wider cross section of stakeholders needs to be accompanied by a program that ensures management competence and proper governance.

197. In this regard stakeholders' interests are not always aligned. Seeking wider participation in the management process is invariably accompanied by issues of self-interest, factions and accountability. These problems can however largely be dealt with through proper consultation and awareness raising processes. Furthermore, and notwithstanding a widespread culture of dependence, there are many instances where communities and civil society have successfully provided services. For example, in Solomon Islands there are more than 30 community managed marine protected areas notwithstanding that these are informal.

198. These underlying issues, when coupled with a tendency by governments to see the programs as a supplementary source of funds rather than as a basis for establishing new CZM practices, means that perhaps there will be some problems with perception and even implementation.

199. Nevertheless achieving a shift in perception is important as whilst Governments may be accomplished at policy development they are often far less accomplished at policy implementation. Coupled with this is the realization that increasingly governments will have less and less capacity to fund the necessary interventions and responses to critical issues such as those addressed by this TA. Getting the structure right and then ensuring ongoing funding is the single greatest challenge confronting the TA.

B. PMC Services

200. In various places in the report, we have highlighted some issues that we believe will affect the provision of services under the PMC. We summarize these issues in this section and offer some recommendations for further discussion and consideration.

201. **Need for an RPMO.** The original implementation arrangements for the TA include an RPMO to be located in the DEC offices in Port Moresby. We believe that a fully staffed RPMO may not be necessary based on how things have unfolded in the last few months. An NPMU in PNG could host the TL/RPM when in country as well as the DRPM. The TL/RPM as it happens, may well have to be a roving TL for the five countries, rather than being based in PNG. The envisaged back-office role of the RPMO in compiling statements of expenses for the PMC as a whole is also not practical – this function is best covered by ANZDEC's head office in Auckland which has the systems and the capability to meet ADB's stringent requirements for financial accountability of the TA funds.

202. **Input of the TL/RPM.** As the past couple of months have shown, there is already a high demand for ongoing coordination of country-level activities. This is a time-intensive function that the TL/RPM needs to perform even while he is not in the field. There is therefore a high likelihood that the TL/RPM will need additional inputs towards the last two years of the PMC contract. The revised Staffing Schedule shows the TL/RPM engaged under the TA for five months in 2012 and about the same level of input in 2013.

203. **Flexibility in providing the TA services under the PMC contract.** A lot have changed since the design phase in terms of in-country requirements. For example, the Fisheries Lawyer input in SOL may now be overestimated given latest developments in legislation in SOL, whilst there is a clear need for legal input into the PNG work plan. There may be value in assessing the role of the DRPM – perhaps this could be rolled into the SPFM role in PNG - as we believe it would be difficult for a DRPM to effectively coordinate activities in the four other countries without the benefit of one-on-one interaction with the respective country's NPMUs and IAs that regular country visits allow. There is also a need for home inputs for the international consultants (e.g., post approval for home inputs for the TL/RPM and the M&E Specialist). This would mean the current distribution of TA resources across countries will change and would thus necessitate more than the usual contract variation.

204. **Unaffordable accommodation in PNG and SOL.** This has been raised informally with ADB at the Inception Workshop in Nadi. Based on the recent experience of the TL/RPM who deployed to PNG and SOL in November prior to the Inception Workshop, the cost of satisfactory hotel accommodation far exceeds the head contract provision for per diems in PNG and SOL. An option could be a reduction in field inputs for PNG and SOL to allow for higher per diems to be paid, and the balance of inputs being provided from home.

ADB TA 7753-REG Strengthening Coastal and Marine Resources Management in the Coral Triangle of the Pacific (Phase 2)
Inception Report

TA-7753 (REG) - VAN Work Plan, 2012-2015											2012												2013			2014			2015			RESOURCING
Month	2011		2012												2013			2014			2015											
	11	12	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	1	2	3	4	1	2	3	4						
VANUATU																																
NPMU establishment, procurement of required office equipment, other set-up arrangements																																
Output 1: Capabilities of national and local institutions strengthened for sustainable coastal & marine mgt.																																
1. Recruitment of Sr. Program and Finance Manager																																
2. Building awareness with stakeholders about the project and building team relationship (meetings/info. dissemination)																																
3. Organizational development- organize training																																
4. Specialist mentoring program (legal skills in natural resource management/Government Administration)																																
5. Individual training to DEPC Staff, provincial and NGO representatives																																
6. Capacity development in both ICRM and EBFM in both government agencies and non-government organizations																																
7. Develop sustainable financing policy and options linked to tourism levies, cruise ship visitation, possible coastal rural subdivision levies																																
8. Support for developing coastal and inshore fisheries management strategy that is consistent with the Environment Act in the management of Community Conservation Areas (legislative and policy reform)																																
9. Development of a spatial data base with portal access to the environment and fisheries sectors and the production of resource management maps for field programs																																
Output 2: Coastal communities experienced in ecosystem-based management and climate change adaptation																																
1. Preparation of a draft ICM plan for North West Efate that will demonstrate the integration of ICM with island-wide spatial planning programs starting in 2010-2011 (include ICM Plan for Paama, Epi and Santo)																																
2. Support for the Efate Land Management Area (ELMA) program to include management of land-based threats to the coastal zone																																
3. Introduction of remote sensing habitat management and EBFM linked to ELMA and four provinces																																
4. Initiate an ICM Development Plan for Northern Efate and 7 coastal islands																																
5. Develop an Ecosystems based coastal fisheries plans including livelihood improvement programs of ELMA Communities, East Santo and Epi islands providing the basis for implementing ICM at these sites in the future																																
6. Develop and prioritize coastal habitats registered under the Environment Management and Conservation Act (2002) as Community Conservation Areas and gazette them under Marine Reserve provisions of the revised Fisheries Act																																
7. Develop Coastal habitat maps and skills to complete coastal habitat mapping and coastal resource assessments																																
8. Develop and demonstrate livelihood options for environmentally sustainable economic development in 21 communities using approximately 60% of local resources																																
9. Develop community education materials supporting ICM, ELMA and EAFM that targets community leaders, land users and community leaders and community resources - Contract to Live and Learn																																
10. Develop best management practices to define a national ICM framework for land-based threat management																																
Climate Change Adaptation Preparation and Adaptation																																
11. Organize & develop training awareness for communities in demonstration areas to organize themselves & improve resilience																																
12. Undertake assessment of hot spots identified and use to target climate change interventions																																
13. Prepare adaptation scenarios to integrate with ICM plans at community, district council and provincial development plans																																
14. Develop and identify best management practices to define a climate change framework and integrate with National Advisory Council for Climate Change (NACCC) programs																																
15. Prepare & organize a National level learning forum/awareness of climate change adaptation responses (stakeholder forum)																																
Climate Change Adaptation																																
16. Organize Climate Change Adaptation Program to be implemented by a regional contractor to work in partnership with NACCC and the NACCC core technical team EA/IA																																
17. Plan & integrate climate change adaptation program for N/Efate ELMA demonstration site & offshore islands																																
18. Conduct Vulnerability Analyses using conceptual framework of IPCC and computer generated models of NACCC built on SLIMCLIM software using social databases, climate data, DEM & aerial photography																																
19. Hire Climate Change Contractor to work with NACCC to prepare work plan for building on past work on Paama Island																																
20. Complete a National Review of climate change programs from National climate change programs, ELMA demonstration site & most vulnerable island pilot case study																																
Ecosystems Approach to Fisheries Management Demonstrated																																
21. Develop habitat mapping in the Efate ELMA Demonstration Site, to train and supervise the RS Program (contractor)																																
22. Contract FD Team to undertake EAFM for Santo and Epi program focusing on technical mentoring for image interpretation																																
23. Contract RS Expert for Coastal/Marine Habitat mapping based on satellite imagery, field ground truthing																																
Sustainable Program Financing																																
24. Develop policy paper covering the raising of fees and revenues, options for fund management, mechanisms for fund distribution																																
25. Design carbon project program for forestry expert and ELMA to assist the GoV seek international market for carbon offset sale																																
26. Conduct feasibility analyses of introducing user-pay systems linked to coastal resources																																
Output 3: Climate Change resilience of coastal ecosystems enhanced																																
1. Under regulatory reform, undertake multi-sector process to develop national strategy for managing coastal resources using EAFM																																
2. Produce high level management maps for coastal environment of Vanuatu to support implementation of EAFM in Vanuatu																																
3. Established NAC Advisory Council for biodiversity in consultation with DEPC Act for effectiveness																																
4. Collaborate with DEPC & DoF to review legal basis for creating MPA using data identified by PoWPA Project																																
5. Develop and Initiate Climate adaptation for broad-scale spatial planning and for specific responses in highly vulnerable islands.																																
6. Work with Lands Dept to provide access to data for data digitizing and incorporation to GIS platform (Data support program)																																

APPENDIX 3: PROPOSED MONITORING AND EVALUATION FRAMEWORK FOR THE NATIONAL PROGRAM MANAGEMENT UNITS (NPMUS)

Proposed Monitoring and Evaluation Framework for the National Program Management Units (NPMUs)

for

ADB TA 7753: Strengthening Coastal and Marine Resources Management in the Coral Triangle of the Pacific (Phase 2)

31 January 2012
(third draft)

OPERATIONALIZATION OF THE MONITORING AND EVALUATION (M&E) FRAMEWORK AT THE NPMU LEVEL FOR TA 7753

A. SCOPE

1. The M&E framework will cover only monitoring and evaluation of performance of the National Program Management Units within the context of the “Overall M&E Framework”. It will not include the IUCN, WFC and IFPRI.

B. M&E COMPONENTS

2. Operationally, M&E at the NPMU level will consist of **six core activities**: (i) baseline data collection; (ii) monthly activity tracking; (iii) quarterly physical and financial progress reporting; (iv) semi-annual results reporting; (5) year-end participatory stakeholder program; and (6) independent monitoring and evaluation. These core activities will be planned and synchronized with the ADB’s standard performance reviews; mid-term evaluation; and Project Completion Report (PCR). The six core activities will also complement the GEF’s annual Project Implementation Report, mid-term evaluation, and final terminal evaluation.

1. Major Activity No. 1: Baseline Data Collection

3. One persistent **negative lesson** learned from many projects is the lack of complete and reliable data on the pre-project and start-of-project conditions. Thus, there is no solid basis for performance measurement and as a result, project achievements tend to be unfairly underreported and under-recognized. Sometimes, the situation is compounded by overlapping – and probably conflicting – data on specific parameters, while gaping data holes exist in others. Considering the nature of TA 7753 targets, **not all of the baseline data will be quantitative**. For most output level indicators in particular, the baseline will need to be descriptive.

4. An **indicative** format for a summary presentation of baseline data per country, based on the DMF, is shown in the Table 1 below. Some of the listed performance parameters will be relevant to all NPMUs, for instance, “skills upgrading for trainees from relevant government agencies and NGOs completed (by 2014)” (Output No. 1). Other parameters, however, **will not**, depending on country-specific implementation strategies and activities, to be contained in approved work plans. For example, the first target under Output No. 2 is not relevant to all countries.⁴ Each NPMU will need to ensure that baseline data to be collected will be adequate in scope and level of detail to support country level performance tracking and measurement based on the approved work plan.

⁴ This target is: “3 biodiversity conservation plans for Malaita and Isabel Provinces in Solomon Islands and for Kimbe Bay in PNG completed (by 2013)”.

Table 1. Summary Presentation of Baseline Data

Performance Parameters	Baseline Value – or Condition – and Year	Sources of Baseline Data	Performance Targets and Year (as reference)
DMF Impact Level			
Area of: <ul style="list-style-type: none"> ▪ mangrove forests, ▪ seagrass beds ▪ live coral cover 			10% increase in area of mangrove forests, seagrass beds, and live coral cover (by 2020)
Biomass of coral reef fishes in managed areas			10% increase in biomass of coral reef fishes in managed areas (by 2020)
Total supply of: <ul style="list-style-type: none"> ▪ fish ▪ other seafood 			10% increase in total supply of fish and other seafood (by 2020)
DMF Outcome Level			
Area designated as managed areas: <ul style="list-style-type: none"> ▪ coral reefs, ▪ seagrass beds ▪ mangrove forests 			10%–30% of coral reefs, seagrass beds, and mangrove forests designated as managed areas (by 2014)
Kilometers of ICRM			1,000 km of ICRM (by 2014)
DMF Output Level			
1. Capabilities of national and local institutions strengthened in sustainable coastal and marine resources management			1.1 Policy, legal, and regulatory framework for institutionalizing effective ICRM and EBFM established (by 2013)
			1.2 Coastal and marine resource management policy guidelines and legal and regulatory instruments drafted (by 2013)
			1.3 Coastal and marine resource management policy guidelines and legal and regulatory instruments approved by national/local government authorities (by 2014)
			1.4 Organizational reform and

Performance Parameters	Baseline Value – or Condition – and Year	Sources of Baseline Data	Performance Targets and Year (as reference)
			retooling of government agencies concerned completed (by 2014)
			1.5 Skills upgrading for about 1,000 trainees from relevant government agencies and NGOs completed (by 2014)
2. Coastal communities experienced in applying best practices in ecosystem-based management and climate change adaptation			2.1 Three biodiversity conservation plans for Malaita and Isabel provinces in Solomon Islands and for Kimbe Bay in PNG completed (by 2013)
			2.2 Forty-eight community pilot demonstration projects implemented (by 2014)
3. Resilience of coastal ecosystems to climate change enhanced			3.1 Habitat maps and climate change vulnerability assessments for 2,200 km of coastline prepared (by 2014)
			3.2 Adaptation measures to increase the resilience of coastal and marine ecosystems demonstrated in 15 communities
			3.3 Climate change adaptation measures integrated in ICRM plans of 2–3 districts (by year?)
4. Effective program management established by ADB and the participating governments			4.1 Program implementation completed on time and within budget (continuing)
			4.2 M&E system developed and established in NPMUs and aligned with CTI M&E (by 2012)
			4.3 Project information documents uploaded onto the CTI website (by

Performance Parameters	Baseline Value – or Condition – and Year	Sources of Baseline Data	Performance Targets and Year (as reference)
			2014) 4.4 Regular coordination meetings conducted with NCCs, CTI secretariat, and other CTI regional projects (continuing)

^a For some of the parameters, Year 2010 baseline specified in the DMF may need to be adjusted, in order to account for current conditions, e.g., capacities of target trainees in relevant government agencies and NGOs (Output No. 1).

Source: ADB. 2010. Technical Consultant's Report for Strengthening Coastal and Marine Resources Management in the Coral Triangle of the Pacific (Phase 2). Appendix 1, Design and Monitoring Framework.

5. Baseline data will need to be collected in early 2012 by each NPMU for their respective countries. As in any data collection effort, the NPMU will maximize use of all available (secondary) data. Thus, one priority step will be to first inventory and assess all existing data/info, before designing any primary data/info collection instrument. The NPMU will involve the country level focal agencies that have access to available country level data. Another priority step, linked to minimizing if not totally avoiding unnecessary duplication of efforts, will be for NPMU baseline data collection planning activities and plans to be closely coordinated with the GEF, CTI, IFPRI, IUCN and WFC – all of which are maintaining databases and will likewise be collecting their own baseline data for TA 7753. The M&E Specialist will guide the in-country teams in substantiating the baseline conditions in their respective countries.

2. Major Activity No. 2. Monthly Activity Tracking

6. Monitoring and evaluation on the one hand, and work plan preparation on the other hand, are quite mutually-reinforcing activities. On Year 1 of implementation, M&E will kick in immediately after the life-of-program and annual NPMU work plans are approved. The immediate assistance to be rendered by M&E to the NPMUs will be to help them track the implementation of work plan activities and in particular to: (i) identify where particular activities are lagging; (ii) propose time-bound remedial measures; and (iii) specify responsibility for executing such measures. Form No. 1 “Activity Tracking Report” format, adapted from preparatory work done by the TCU will show Year 1 activities of the NPMUs that are expected to be similar to those itemized in the DMF. For Year 2 and subsequent years, however, the NPMU work plan will be based more on actual implementation experience and lessons learned.

NPMU: (specify country)
TA 7753: Strengthening Coastal and Marine Resources Management in the Coral Triangle of the Pacific (Phase 2)
Form No. 1: Monthly Activity Tracking Report
For the period ending: (specify month and year)

Question answered: What is the status of activities contained in the approved work plan?
Objective: to identify (a) where particular activities are lagging; (b) time-bound remedial measures; and (c) responsibility for executing such measures.

Prepared by: (include agency/department)

Date:

Outputs and Activities/Milestones ^a	Original deadline for accomplishing (per work plan) ^b	When actually accomplished (indicate if not yet)	Reasons for deviation	Proposed remedial measure/s & new deadline	Responsibility for remedial measures
Output No. 1. Capabilities of national and local institutions strengthened in sustainable coastal and marine resources management					
1.1 Conduct institutional assessment of national and local government agencies concerned with mandates in ICRM and EBFM to identify areas for strengthening	Month 12				
1.2 Evaluate the institutional capacity and capability of local NGOs to support government in the management of ICRM and EBFM initiatives	Month 12				
1.3 Review current mechanisms for government-non-government agency coordination in ICRM and EBRM	Month 12				
1.4 Review existing policy, legal and regulatory framework for ICRM and EBFM in the five countries to identify areas for enhancement or strengthening	Month 16				
1.5 Implement organizational restructuring and reform systems in government agencies concerned based on prior needs assessment	Month 24				
1.6 Draft a sustainable financing policy for submission to government decision makers	Month 28				

Outputs and Activities/Milestones^a	Original deadline for accomplishing (per work plan)^b	When actually accomplished (indicate if not yet)	Reasons for deviation	Proposed remedial measure/s & new deadline	Responsibility for remedial measures
1.7 Develop and implement policy reform and legal roadmap for ICRM and EBFM in the five countries	Month 36				
1.8 Draft provincial legal frameworks for ICRM and EBFM (i) PNG (ii) SOL	Month 36				
1.9 Provide training and capacity building to environmental law societies (i) FIJ (ii) SOL (iii) TIM (iv) VAN	Month 36				
1.10 Design, develop, and deliver para-legal training in support of the provincial legal frameworks (i) PNG (ii) SOL	Month 40				
1.11 Conduct various short-term courses, overseas study tours, exchange programs, and other capacity-building activities for national and local government staff and NGO personnel	Months 19 to 48				
1.12 Develop a CTI Pacific best practices and lessons learned manual	Month 45				
Output No. 2. Coastal communities experienced in applying best practices in ecosystem-based management and climate change adaptation					
2.1 Review available data on resource status and ongoing ICRM and EBFM programs and projects in the five Pacific CTI countries	Month 12				
2.2 Conduct environmental and socioeconomic baseline surveys, connectivity studies, and climate change risk and vulnerability assessment in identified priority seascapes in the Pacific Coral Triangle region	Month 24				

Outputs and Activities/Milestones^a	Original deadline for accomplishing (per work plan)^b	When actually accomplished (indicate if not yet)	Reasons for deviation	Proposed remedial measure/s & new deadline	Responsibility for remedial measures
2.3 Conduct remote sensing and ground truthing of marine habitats in about 2,200 km ² of coastal ecosystem	Month 24				
2.4 Develop national ICRM planning procedures integrating climate risk assessment and climate adaptation for adoption by all stakeholders concerned	Month 24				
2.5 Develop a coastal sector database and management information system (i) VAN (ii) TIM (iii) PNG (iv) SOL	Month 30				
2.6 Prepare biodiversity conservation plans for Malaita and Isobel provinces in SOL	Month 30				
2.7 Prepare 8 ICRM plans for selected demonstration areas in the five countries, covering an area of 280,000 hectares, based on the national ICRM planning guidelines developed earlier	Month 36				
2.8 Prepare marine conservation plans (i) TIM (ii) VAN	Month 44				
2.9 Prepare marine management plan for the Kimbe Bay marine management area (PNG)	Month 30				
2.10 Review policy and institutional arrangements for sustainable financing and design and establish pilot sustainable financing programs (i) PNG (ii) TIM (iii) VAN	Month 40				
2.11 Develop and implement 48 community-level demonstration ICRM projects in five countries	Month 44				

Outputs and Activities/Milestones^a	Original deadline for accomplishing (per work plan)^b	When actually accomplished (indicate if not yet)	Reasons for deviation	Proposed remedial measure/s & new deadline	Responsibility for remedial measures
2.12 Design and implement public awareness programs on ICRM and EBFM at national and local levels in the five countries	Month 44				
Output No. 3. Resilience of coastal ecosystems to climate change enhanced					
3.1 Conduct remote sensing and ground truthing of marine habitats in about 2,200 km ² of coastal ecosystem	Month 24				
3.2 Conduct climate change risk and vulnerability assessment in identified seascapes	Month 24				
3.3 Formulate adaptation measures in collaboration with local and provincial governments	Month 30				
3.4 Incorporate adaptation measures in local planning and demonstrate those at local scales	Month 44				
3.5 Document and disseminate lessons learned to provincial and national governments and upload on the IW:LEARN website	Month 44				
Output No. 4. Effective project management established by the participating governments					
4.1 Set up adequately staffed and equipped TA coordination unit, RPMO and NPMUs at ADB, PNG, and in the 5 Pacific CTI countries	Month 2				
4.2 Procure required goods and services, including consultants and various contracts	Month 6				
4.3 Develop project performance management system consistent with the CTI M&E framework and train NPMU staff on its use	Month 12				
4.4 Establish linkages with the CTI Secretariat and other CTI projects in Southeast Asia and the Pacific	Month 12				

Outputs and Activities/Milestones^a	Original deadline for accomplishing (per work plan)^b	When actually accomplished (indicate if not yet)	Reasons for deviation	Proposed remedial measure/s & new deadline	Responsibility for remedial measures
4.5 Conduct baseline survey of beneficiary households	Month 12				
4.6 Conduct regular M&E of project activities	Month 48				
4.7 Upload project information and documents on the IW:LEARN website	Month 48				
4.8 Conduct midterm review of the project	Month 24				
4.9 Prepare quarterly progress reports	From months 4 to 48				
4.10 Prepare TA completion report	Month 48				

^a Activities and milestones will vary by NPMU. Relevant activities and milestones will be identified and confirmed based on country-specific work plans.

^b Specific deadlines will be confirmed by each NPMU based on the country work plan.

7. In order to streamline the flow of reports and information and avoid “short-circuiting” the info system, the NPMUs will submit the filled out Form 1 reports directly to the Team Leader/Regional Program Manager (TL/RPM) (and not to the other program operating units), **within one week after the close of the month.**⁵ Form 1 will provide a comparison between planned and actual accomplishments; a brief analysis of reasons for any delay in implementation; proposed measures and new deadlines for delayed activities; and the responsible unit/staff for executing remedial measures. The TL/RPM will review the forms submitted vis-à-vis the physical and financial progress summary/highlights to be reported in Form 2 that will be introduced in the next section below.

8. “Exception reporting” on filled-out forms will be included in the agenda for monthly coordination meetings at the NPMU level. To optimize use of limited time, the discussions will focus on delayed activities, the main factors causing the delay, recommendations for delayed activities to catch-up and be accomplished on or before a new deadline, and institutional accountability for ensuring that catch-up measures are indeed executed according to plan. An **illustrative filled-out Form 1** is provided in Annex A.

3. Major Activity No. 3. Quarterly Physical and Financial Progress Reporting

9. Linked closely to Form 1, Form 2 “Physical and Financial Progress Report” with Key Performance Indicators (KPIs) is to be submitted by the NPMUs to the TL/RPM within two weeks after the end of each quarter. The form will **summarize and assess cumulative physical and financial accomplishments** as of end of the quarter. Compared to Form 1, the added value of Form 2 is to enable a “matching” between: (i) physical targets and accomplishments; (ii) financial targets and accomplishments; and (iii) physical and financial accomplishments. It will also enable a comparison of overall financial disbursements with the total elapsed time under the project. Owing to different units of measure of physical targets, an “overall physical” target cannot be derived and compared with total time elapsed.

10. The form is comprised of two parts. Part A is the **Data Box** in which physical and financial targets and accomplishments will be shown. This is the conventional format of progress reports. The table is organized in accordance with the four TA outputs. [Throughout this M&E Framework, the numbering of outputs 1 to 4 will be consistently used as “identification codes”, along with sub-codes (1.1, 1.2, etc.) to denote activities, process indicators, etc. corresponding to each output.]. Essentially, Form 2 will answer the questions: (i) “what resources (consultants, training, conferences, etc.) are needed by the NPMU to carry out the activities per output and activity/milestone listed in Form 1?”; and (ii) “what is the status of delivery of such resources?”.

11. Part B is the **Interaction Box** where operational problems, issues and recommendations (e.g., on procurement delay) will be summarized by the NPMU, **based on and consistent with the reasons for deviation and other relevant information reported in Form 1**; and feedback will be provided by TCU, TL/RPM, and other target report users. The Interaction Box will vest practical meaning to the contents of the Data Box. This is one suggested innovation in the M&E system; a dynamic feedback process between and among report preparers and report users can later be carried out as well on-line.

12. The illustrative KPIs shown on the template below are based on the TA 7753 DMF. **The KPIs will expectedly vary by country**, and will depend on the approved annual work plans to be prepared by the NPMUs. Form 2 will have **two data sources**: (i) the NPMU for

⁵ The TCU can also transact directly with the NPMUs.

physical targets and accomplishments; and (ii) the TL/RPM for updated financial information. The TL/RPM will need to provide the NPMUs with updated financial information **in the required format** within **one week after the end of each quarter**, to enable the NPMU to submit to the TL/RPM the filled out report within the **second week following the close of the quarter**.⁶

13. In the interest of streamlining the flow of reports and information and avoid “short-circuiting” the info system, the NPMUs will submit the Physical and Financial Progress Report directly to the TL/RPM, and not to the other program operating units. The TL/RPM in turn will “process” the reports prior to circulating the same to other target readers/users. Report processing will include (i) checking for completeness and accuracy of data/information; (ii) highlighting prevalent/recurring implementation concerns across two or more countries; and (iii) providing feedback in the Interaction Box. As “service standard”, the TL/RPM will provide initial feedback to the NPMUs within two weeks after report submission. Additional feedback from TCU, RPMO and other target report users will be provided within the same timeframe through the TL/RPM.⁷ An **illustrative filled-out Form 2** is provided in Annex B.

14. Discussion of the operational problems, issues and recommendations summarized in the quarterly report and consistent with Form 1 should be included (“mainstreamed”) in the agenda for the quarterly coordination meetings at the NPMU level, rather than discussed in a separate forum. The discussion will focus on comparing targets and actual financial and physical performance using simple “degree of deviation” analysis. Accomplishments will be assessed in terms of (i) effectiveness as to what extent is the NPMU able to execute its work plan; and (ii) timeliness of **country level implementation**, including the main reasons and remedies for delays, as and when these occur. The need to review and assess Forms 1 and 2 side-by-side had been earlier noted. During coordination meetings, the TL/RPM will synthesize and communicate feedback and guidance, coming from the TCU, RPMO, and other concerned units, in response to specific implementation problems and issues cutting across the NPMUs, e.g., timeliness of fund releases. NPMU-specific issues, e.g., delay in contracting, can be more effectively discussed in “one-on-one” or “door-to-door” meetings between and among the TL/RPM/TCU and the concerned NPMU.

⁶ In view of the required two different data sources, one alternative considered was to break up Form 2 into two parts. This, however, will negate the purpose of the report, which is to directly compare physical and financial targets and accomplishments, as well as push for closer interaction between each NPMU and the PMC.

⁷ The TCU can also transact directly with the NPMUs.

NPMU: (specify country)
TA 7753: Strengthening Coastal and Marine Resources Management in the Coral Triangle of the Pacific (Phase 2)
Form No. 2: Quarterly Physical and Financial Progress Report
For the period ending: (specify month and year)

Basic questions addressed: (a) What resources are required to implement the activities contained in the approved work plan (organized in accordance with each of the Outputs in the DMF)? (b) What is the status of delivery of said resources?
Objective: to assess cumulative physical & financial performance based on annual targets, and identify implementation constraints and actions needed.
Percent total time elapsed: __ Percent total disbursements: __

Prepared by: (include agency/department)
Date:

Part A: Data Box							
Code	Key Performance Indicators ^a (specify unit of measure)	Annual Targets		Accomplishment as of (end-of-period)			
		Physical	Financial ^b (US\$)	Physical	As Percent of Annual Target	Financial (US\$)	As Percent of Annual Target
Output No. 1. Capabilities of national and local institutions strengthened in sustainable coastal and marine resources management							
1.1 Consultants							
	International (person-months)						
	National (person-months)						
	International travel (person-days)						
	Local travel (person-days)						
1.2 Training and similar events							
	Training-workshops (no. of events)						
	Seminars (no. of events)						
	Conferences (no. of events)						
1.3 Research							
	Surveys (no.)						
	Studies (no.)						
1.4 Equipment (specify what)							
	Sub-Total, Output No. 1		\$		%	\$	%
Output No. 2. Coastal communities experienced in applying best practices in ecosystem-based management and climate change adaptation							
2.1 Consultants							
	International (person-months)						
	National (person-months)						

Part A: Data Box							
Code	Key Performance Indicators ^a (specify unit of measure)	Annual Targets		Accomplishment as of (end-of-period)			
		Physical	Financial ^b (US\$)	Physical	As Percent of Annual Target	Financial (US\$)	As Percent of Annual Target
	International travel (person-days)						
	Local travel (person-days)						
2.2 Training and similar events							
	Training-workshops (no. of events)						
	Seminars (no. of events)						
	Conferences (no. of events)						
2.3 Research							
	Surveys (no.)						
	Studies (no.)						
2.4 Equipment (specify what)							
	Sub-Total, Output No. 2		\$		%	\$	%
Output No. 3. Resilience of coastal ecosystems to climate change enhanced							
3.1 Consultants							
	International (person-months)						
	National (person-months)						
	International travel (person-days)						
	Local travel (person-days)						
3.2 Training and similar events							
	Training-workshops (no. of events)						
	Seminars (no. of events)						
	Conferences (no. of events)						
3.3 Research							
	Surveys (no.)						
	Studies (no.)						
3.4 Equipment (specify what)							
	Sub-Total, Output No. 3		\$		%	\$	%
Output No. 4. Effective project management established by the participating governments							
4.1 Consultants							
	International (person-months)						
	National (person-months)						

Part A: Data Box							
Code	Key Performance Indicators ^a (specify unit of measure)	Annual Targets		Accomplishment as of (end-of-period)			
		Physical	Financial ^b (US\$)	Physical	As Percent of Annual Target	Financial (US\$)	As Percent of Annual Target
	International travel (person-days)						
	Local travel (person-days)						
4.2 Training and similar events							
	Training-workshops (no. of events)						
	Seminars (no. of events)						
	Conferences (no. of events)						
4.3 Research							
	Surveys (no.)						
	Studies (no.)						
4.4 Equipment (specify what)							
	Sub-Total, Output No. 4		\$		%	\$	%
Part B: Interaction Box							
Key <u>operational</u> problems, issues and corresponding recommendations for the reporting period: (to be filled out by the NPMU; space may be added if needed)				Feedback to the NPMU: (from TCU, TL/RPM and other target report users, etc.; space may be added if needed)			
				Prepared by: Date:			

^a The KPIs will vary by country, depending on the country-specific strategies and activities specified in the approved work plan of the NPMU.

^b The TL/RPM will provide the required updated financial information to the NPMUs

4. Major Activity No. 4. Semi-Annual Results Reporting

15. While the Physical and Financial Progress Report will focus on the activities and milestones specified in the approved country work plans, the complementary Form 3 “Results Monitoring Report” will dwell on **performance targets specified in the output level** of the DMF. Said output targets will serve as “guidepost” to steer properly the expectedly numerous activities of the NPMUs. Without such guideposts, program implementers could “focus too much on the trees and lose sight of the forest”.

16. Similar to Form 2, the results monitoring form is comprised of two parts. Part A is the **Data Box** in which output level performance targets and accomplishments will be shown. Part B is the **Interaction Box** where strategic problems, issues and recommendations will be indicated by the NPMU; and timely feedback provided by TCU, TL/RPM, GEF, CTI and other target report users. Unlike the Form 2 Interaction Box focusing on operational concerns (“are we doing things right?”), Form 3 will dwell on “strategic concerns” (“are we doing the right things?”). Best management practices and lessons learned will also be covered in Form 3.

17. The contents of the first two columns are lifted from the TA DMF and should not be changed by the NPMUs. The NPMUs will need to identify one to three “**process milestones**” that when achieved will indicate progress towards the corresponding performance target. “Process milestones” **may be an event, document, or some other simple and clear evidence of progress towards achieving targets** specified in Column B of Form 3. Milestones must to the extent possible be **measurable and time-bound**. They may be drawn from the NPMU’s work plan and Form 1; however process milestones *per se* are **not activities but rather the result of activities**. They should be limited to a few, i.e., two or three per target. More detailed monitoring can be done instead as part of Form 2, Physical and Financial Progress Report.

18. Process milestones are needed basically to serve as means to determine the extent to which activities are progressing towards achieving the output targets. For example, a target of “policy, legal, and regulatory framework for institutionalizing effective ICRM and EBFM established by 2013” will not just happen on its own. Activities on how to achieve targets must be carefully planned as early as possible and accordingly, milestones will help in determining the effectiveness of such activities. If the identified process milestones are achieved as scheduled, it is an indication that we are **moving closer to our target**. On the other hand, there is trouble if the process milestones are not being achieved, and thus, remedies need to be identified to resolve implementation lapses.

19. Process milestones will expectedly **vary from country to country**, considering the different baseline conditions and implementation strategies in each country. Said milestones will also vary from one reporting period to another: once achieved; a milestone will be dropped and replaced with some other “more advanced” milestones to be tracked during the next six-month reporting period. Consider for instance the first output level performance target of “policy, legal, and regulatory framework for institutionalizing effective ICRM and EBFM established by 2013”. What process milestones could best reflect progress towards this target during the first semester of TA implementation? The process milestones for the first six months in a particular country might include: (a) terms of reference for technical assistance reviewed by the NPMU; (b) contractor in place; and (c) study initiated. For the succeeding six months, the process milestones might be: (a) draft report submitted; and (b) initial round of stakeholder consultations completed. Each NPMU will decide what process milestones **that fall under its areas of responsibility** can best reflect progress towards each relevant target.

20. Similar to Form 1, the NPMUs will submit the Results Monitoring Report direct to the TL/RPM, and not to the other program operating units, **within one month after the end of the semester.**⁸ The TL/RPM in turn will “process” the reports prior to circulating the same to other target readers/users. Report processing will include: (i) checking for completeness and accuracy of data/information; (ii) highlighting recurring/prevalent strategic (as opposed to operational) concerns; and (iii) providing feedback in the Interaction Box. As service standard, the TL/RPM will provide initial feedback to the NPMUs within two weeks after receiving the report. Additional feedback from TCU, RPMO, GEF, CTI and other target report users will be provided through the TL/RPM within the same timeframe. An **illustrative filled-out Form 3** is provided in Annex C.

21. Emerging results at the output level will be assessed on the basis of (i) continued relevance to the overall TA impact and outcome, and (ii) efficiency, i.e., the ability of a “maturing project” to produce target outputs within a shorter period of time and/or with less resources/inputs compared to the first year of implementation. Issues to be raised in results monitoring reports will be discussed during TA assessment workshops at the NPMU level, including meetings that may be organized in relation to the performance reviews by ADB. As in all types of reporting, the main challenge is how to package brief but clear reports for busy managers to act upon.

22. One key innovation in results monitoring and evaluation is shown on the last column in Form 3 which seeks to operationalize the **self-assessment** feature previously described in the “Overall M&E Framework”, defined in terms of the likelihood of achieving Column B targets/indicators in the same form. This last column asks each NPMU to reflect on and grade its own performance during the reporting period with particular reference to its own targets. The simplified rating scale ranges from “1” for “low” likelihood up to “4” for “very high” likelihood. It is possible to compare ratings by NPMU over time, as well as across NPMUs, as long as care is taken not to convey a *false sense of statistical precision*.

**Self-Rating Scale on Likelihood
of Achieving Output Targets on Time**

1 = low
2 = fair
3 = high
4 = very high

⁸ The TCU can transact directly with the NPMUs.

NPMU: (specify country)
TA 7753: Strengthening Coastal and Marine Resources Management in the Coral Triangle of the Pacific (Phase 2)
Form No. 3: Semi-Annual Results Monitoring
For the period ending: (specify month and year)

Basic question addressed: To what extent is the NPMU progressing towards achieving the Output level performance targets contained in the DMF?
Objective: to ensure and sustain relevance and effectiveness of implementation strategies and processes, i.e., each NPMU activity must directly and significantly contribute towards achieving output level targets contained in the DMF

Prepared by: (include agency/department)
Date:

Design Summary ^a	Output Level Performance Targets	Process milestones achieved last six months (specify months & year) ^b	Process milestones to be achieved next six months (specify months & year)	Likelihood of achieving Col. B targets on time (check one) ^c			
				1	2	3	4
(Col. A)	(Col. B)	(Col. C)	(Col. D)				
1. Capabilities of national and local institutions strengthened in sustainable coastal and marine resources management	1.1 Policy, legal, and regulatory framework for institutionalizing effective ICRM and EBFM established by 2013	(all <u>relevant</u> cells in this column will be filled out by each NPMU)	(all <u>relevant</u> cells in this column will be filled out by each NPMU)				
	1.2 Coastal and marine resource management policy guidelines and legal and regulatory instruments drafted by 2013						
	1.3 Coastal and marine resource management policy guidelines and legal and regulatory instruments approved by national/local government authorities by 2014						
	1.4 Organizational reform and retooling of government agencies concerned completed by 2014						
	1.5 Skills upgrading for about 1,000 trainees from relevant government agencies and NGOs completed by 2014						
2. Coastal communities experienced in applying best	2.1 By 2013: 3 biodiversity conservation plans for Malaita						

Design Summary ^a	Output Level Performance Targets	Process milestones achieved last six months (specify months & year) ^b	Process milestones to be achieved next six months (specify months & year)	Likelihood of achieving Col. B targets on time (check one) ^c			
				1	2	3	4
(Col. A)	(Col. B)	(Col. C)	(Col. D)				
practices in ecosystem-based management and climate change adaptation	and Isabel provinces in Solomon Islands and for Kimbe Bay in PNG completed						
	2.2 By 2014: 48 community pilot demonstration projects implemented						
3. Resilience of coastal ecosystems to climate change enhanced	3.1 By 2014: Habitat maps and climate change vulnerability assessments for 2,200 km of coastline prepared						
	3.2 Adaptation measures to increase the resilience of coastal and marine ecosystems demonstrated in 15 communities						
	3.3 Climate change adaptation measures integrated in ICRM plans of 2–3 districts						
4. Effective program management established by the participating governments	4.1 Program implementation completed on time and within budget						
	4.2 M&E system developed and established in NPMUs and aligned with CTI M&E						
	4.3 Project information documents uploaded onto the CTI website						
	4.4 Regular coordination meetings conducted with NCCs, CTI secretariat, and other CTI regional projects						
Key <u>strategic</u> problems, issues, corresponding recommendations, and best management practices/lessons during the reporting period: (to be filled out by the NPMU; space may be added if needed)		Feedback to the NPMU: (from TCU, TL/RPM, RPMO, GEF, CTI and other target report users, etc.; space may be added if needed)					

ADB TA 7753-REG Strengthening Coastal and Marine Resources Management in the Coral Triangle of the Pacific (Phase 2)
 Inception Report

Design Summary^a	Output Level Performance Targets	Process milestones achieved last six months (specify months & year) ^b	Process milestones to be achieved next six months (specify months & year)	Likelihood of achieving Col. B targets on time (check one) ^c			
(Col. A)	(Col. B)	(Col. C)	(Col. D)	1	2	3	4
			Prepared by: Date:				

^a Columns A and B are taken from the TA Design and Monitoring Framework.

^b Columns C and D will be filled in by each NPMU with process milestones leading towards the achievement of the relevant targets in Col. B. Milestones will vary by NPMU, as a reflection of the NPMU-specific strategy and activities. Each performance target is anticipated to have one to three process milestones to firmly gauge progress towards results. The process milestones will be based on the approved work plan and Form 1.

^c Rating scale: 1= low; 2 = fair; 3 = high; 4 = very high

23. A summary of the three **inter-related** periodic M&E reports discussed in the preceding sections is provided below. These forms will be formatted in Excel worksheets to facilitate preparation, analysis and consolidation.

Table 2. Summary List of Forms

Title of Report	Content	Frequency and Deadline
Form 1. Monthly Activity Tracking Report	Status of implementation of individual activities specified in the approved work plans, incl. proposed remedial measures for delayed activities	One week after the end of each month
Form 2. Quarterly Physical and Financial Progress Report	Status of achievement of physical and financial targets in work plans, incl. <u>operational</u> problems, issues and corresponding recommendations	Two weeks after the end of each quarter
Form 3. Semi-Annual Results Monitoring Report	Status of achievement of performance targets at the output level of the DMF, incl. <u>strategic</u> problems, issues, corresponding recommendations, and best management practices/lessons learned	One month after the end of each semester

5. Major Activity No. 5. Year-End Participatory Stakeholder Program

24. Preparation of the first annual work plan by the NPMUs will be “relatively easy” because activities and milestones have been described in detail in the DMF, which can be used as template for work planning. Succeeding annual work plans, however, will have to build on actual implementation lessons and experiences, both positive and negative. In this regard and in preparation for the yearly exercise of formulating updated work plans, program performance at the country level during the previous year will need to be assessed during the Year-End Participatory Stakeholder Program at the country level. The assessment criteria will include: (i) strategic relevance, defined to mean the extent to which individual activities funded by the program contribute directly and significantly towards achieving output and outcome level performance targets; (ii) effectiveness of implementation, which is understood to mean the degree to which agreed targets have been achieved; and (iii) overlaps and gaps in activities in order to ensure that a complete and proportionate package of activities can be implemented to realistically achieve targets. A four-point **qualitative but “objectivized” rating system** similar to that used in the last column of Form 3, will be provided by the M&E Specialist to guide the NPMUs in systematically assessing their annual performance.

25. The main input documents for the year-end assessment will be (i) Form 3, (ii) the country-specific portion of the GEF Project Implementation Report (PIR), and (iii) special studies that might be conducted, for example, to document and analyze emerging best management practices in a particular country. The strategic assessments will be benefitted from the “Best Practices, Innovative Approaches and Areas for Replication” section of the GEF PIR. Performance assessment results will serve as input for the ensuing year’s work plans, as well as for ADB project tracking. **Mid-year assessment workshops** can also provide a firm basis for NPMUs to introduce timely interim adjustments into their work plans.

26. In effect, two types of internal assessments (in contrast to the independent evaluation to be discussed under Major Activity No. 6 below) will be planned and conducted during the course of program implementation, namely: (i) quarterly operations assessments linked to

monthly activity reporting and quarterly physical and financial progress reporting (Forms 1 and 2); and (ii) annual strategic evaluations. The operations assessments which will form part of Major Activity No. 2 will measure the effectiveness and efficiency of implementation of activities (as detailed in work plans), and which are designed and implemented precisely to achieve target outputs. Operations assessment discussions will be held as part of the quarterly coordination meetings on the latest Physical and Financial Progress Reports.

27. On the other hand, the year-end strategic assessment workshops which are part of Major Activity No. 5, will focus on the degree to which the country program is likely to achieve the TA outcome (“increased resilience of coastal and marine ecosystems attained in the five Pacific countries”), and on the factors that are facilitating or hindering such achievement. While operations assessments take the current set of project activities and their cause-and-effect relationships as “given”, strategic assessments will take a more critical stance in reviewing the relevance, mix and proportionality of activities intended to achieve the TA outcome. Following completion of an assessment, for example, new activities might be added, and/or other previous activities could be dropped. Strategic assessments play an even greater role in view of the TA’s emphasis on the continual synthesis, documentation and sharing of best management practices and lessons learned.

6. Major Activity No. 6. Country-Specific Independent Monitoring and Evaluation

28. Evaluations will revisit the key factors – from a fresh perspective – facilitating or hindering implementation progress. Evaluations will recommend how facilitative factors can be further enhanced, and hindering factors mitigated if not eliminated. Indicative **evaluation guide questions** will include the following:

- (a) To what degree is the participating country moving forward in terms of achieving the expected outcome specified in the DMF? If the outcome is not yet visible, to what extent will emerging outputs be able to support achievement of the outcome by the end of the country program in 2014? Under what conditions?
- (b) What factors are enhancing or constraining generation of country level outputs specified in the approved work plan? What specific and concrete measures should be carried out to enhance output generation? By whom, when and how?
- (c) How effective is the flow/delivery of resources (e.g., short-term technical assistance) down to the level of the operating units in each country? This question will address the “vertical processes” of delivering inputs. Such processes will include the review and approval of terms of reference, procurement/sub-contracting, and funds flow.
- (d) What is the level and quality of participation/support of key offices within the national government, local government units, private sector, civil society organizations (CSOs), and community organizations? How can this participation be further enhanced?
- (e) What priority policy, design and/or implementation/operational issues remain to be addressed? How?
- (f) What organizational and/or management adjustments at the country level are required, if any?
- (g) To what extent are the assumptions and risks stated in the DMF still valid from the particular country’s perspective? Which assumptions and risk statements need to be updated? Why?

- (h) How do country initiatives under the TA support those of the CTI and GEF? What implementation adjustments can be adopted to further enhance linkages and synergy?
- (i) How do country initiatives contribute to or support the ADB Climate Change Implementation Plan for the Pacific (2009-2015)?⁹
- (j) What key lessons learned are emerging from TA implementation in the particular country, and how can these be applied in: (i) the ensuing year of implementation; and (ii) across countries?
- (k) What if any adjustments can the NPMU recommend to improve the M&E framework including the performance monitoring plans, indicators, targets and/or evaluation questions?

C. M&E INSTITUTIONAL ARRANGEMENTS

29. The following table describes the expected roles the TCU, NPMU, PMC, RPMO and other TA stakeholders will play in country level M&E operationalization.

⁹ ADB Pacific Studies Series, "Mainstreaming Climate Change in ADB Operations: Climate Change Implementation Plan for the Pacific 2009-2015" (2009).

Table 3. M&E Institutional Roles

Major Stages of M&E	NPMU	RPMO	TCU	PMC	Others
1. Collection of baseline and updated data/info	<ul style="list-style-type: none"> ▪ Setting up of performance management system as “overall context” ▪ Coordination with IFPRI, IUCN and WFC ▪ Actual data collection 	<ul style="list-style-type: none"> ▪ Cross-country sharing of data collection methods and means to resolve implementation issues ▪ Identification of data/info from regional level sources to be shared with NPMUs 	<ul style="list-style-type: none"> ▪ Provision of technical advice and guidance to the PMC and NPMUs, as necessary. 	<ul style="list-style-type: none"> ▪ Facilitation of activities across countries and provision of technical guidance to countries 	<ul style="list-style-type: none"> ▪ IFPRI, IUCN and WFC: coordination with NPMU to share common data and reduce if not completely avoid duplication of effort
2. Preparation and timely submission of periodic M&E reports	<ul style="list-style-type: none"> ▪ Report preparation in consultation with in-country stakeholders ▪ Action on feedback received from target users of reports 	<ul style="list-style-type: none"> ▪ Cross-country sharing of effective report preparation approaches ▪ Identification of issues and lessons cutting across two or more countries 	<ul style="list-style-type: none"> ▪ Provision of technical advice and guidance to the NPMUs and RPMO, as necessary. 	<ul style="list-style-type: none"> ▪ Technical support to NPMUs in report preparation ▪ Checking for timeliness, completeness and accuracy of reports 	<ul style="list-style-type: none"> ▪ IFPRI, IUCN and WFC: providing NPMUs with relevant inputs
3. Review, feedback and action on reports	<ul style="list-style-type: none"> ▪ Consideration of feedback received from TCU, TL/RPM, RPMO, etc. 	<ul style="list-style-type: none"> ▪ Review of reports and provision of timely feedback to the concerned NPMU through the TL/RPM ▪ Sharing of feedback relevant to two or more countries 	<ul style="list-style-type: none"> ▪ Review of reports and provision of timely feedback to the concerned NPMU through the TL/RPM 	<ul style="list-style-type: none"> ▪ Highlighting recurring/prevalent concerns across countries ▪ Review of reports and provision of timely feedback to the concerned NPMU 	<ul style="list-style-type: none"> ▪ Review of reports and provision of timely feedback to the concerned NPMU
4. Year-end operational and	<ul style="list-style-type: none"> ▪ Preparation of country-specific 	<ul style="list-style-type: none"> ▪ Preparation of regional level 	<ul style="list-style-type: none"> ▪ Review and comment on the 	<ul style="list-style-type: none"> ▪ Drafting and refinement of the 	<ul style="list-style-type: none"> ▪ Provide inputs to workshop design,

Major Stages of M&E	NPMU	RPMO	TCU	PMC	Others
strategic assessments	presentations based on sub-national consultations	presentations based on consultations with NPMUs	workshop design, program of activities and presentations	workshop design and program <ul style="list-style-type: none"> ▪ Packaging of lessons learned 	program and presentations
5. Independent monitoring and evaluation	<ul style="list-style-type: none"> ▪ Support in preparing M&E TORs from the country level perspective ▪ Data/info and logistical support 	<ul style="list-style-type: none"> ▪ Input in preparing TORs from the regional (cross-country) perspective ▪ Data and logistical support 	<ul style="list-style-type: none"> ▪ Review and comment on the TORs ▪ Conduct independent M&E, or otherwise provide technical inputs 	<ul style="list-style-type: none"> ▪ Drafting and refinement of the TORs ▪ Logistical support to the independent monitors and evaluators 	<ul style="list-style-type: none"> ▪ Data/info support to the independent monitors and evaluators

IFPRI = International Food Policy Research and Institute, IUCN = International Union for Conservation of Nature, M&E = monitoring and evaluation, NPMU = NPMU = National Program Management Unit, PMC = Program Management Consultant, RPMO = Regional Program Management Office, TCU = TA Coordination Unit, TOR = terms of reference, WFC = World Fish Center.

Annex A (Illustrative Example Form 1)

NPMU: Solomon Islands
TA 7753: Strengthening Coastal and Marine Resources Management in the Coral Triangle of the Pacific (Phase 2)
Form No. 1: Monthly Activity Tracking Report (based on presentation for Inception Workshop on 22-24 Nov. 2011)
For the period ending: Feb. 2012

Question answered: What is the status of activities contained in the approved work plan?
Objective: to identify (a) where particular activities are lagging; (b) time-bound remedial measures to address reason/s for delay; and (c) responsibility for executing measures.

Prepared by: _____
Date: 2 March 2012

Outputs and Activities/Milestones	Original deadline for accomplishing (month & year)	When actually accomplished (month & year; indicate if not yet)	Major reason/s for deviation	Proposed remedial measure/s & new deadline (month & year)	Responsibility for remedial measure/s
Inception Phase					
a. Set up adequately staffed NPMU in MECDM	Jan.-Feb. 2012	Feb. 2012			
b. NCC Consultation	Jan.-Feb. 2012	Feb. 2012			
c. Provincial consultation (Isabel & Malaita)	Jan.-Feb. 2012	Not yet	Availability of participants	March 2012	Deputy Program Manager
d. National Inception Workshop	Jan.-Feb. 2012	Not yet	Delay in provincial consultation as preliminary (input) activity	March 2012	Senior Program Manager
Output No. 1. Capabilities of national and local institutions strengthened in sustainable coastal and marine resources management					
1.1a Review and assess status of ICM & EAFM as stated in NPoA in relation to MECDM functions & mandate and key non- & government partners (NCC members), esp. MECDM capacity to apply these practices	2012				
1.1b Recommend policy and strategic frameworks based on the reviews and assessments	2012				
1.1c Conduct specific training for national and local institutions (staff, key implementing partners, NCC)	2012				
1.2a Review and assess status of EAFM	2012				

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Outputs and Activities/Milestones	Original deadline for accomplishing (month & year)	When actually accomplished (month & year; indicate if not yet)	Major reason/s for deviation	Proposed remedial measure/s & new deadline (month & year)	Responsibility for remedial measure/s
application, CBRM and livelihood in Inshore Fisheries Division, Provincial Development Program and key non-govt and govt partners (NCC members)					
1.2b Recommend policy and strategic frameworks based on the reviews and assessments	2012				
1.2c Conduct training for national and local institutions (staff, key implementing partners, NCC)	2012				
1.3a In consultation with Province & MPGIS, review existing ordinance for Isabel	2012-2013				
1.3b In consultation with Province & MPGIS, develop relevant ordinance for Malaita	2012-2013				
1.3c Identify national paralegal provider to support provision of community paralegal training	2012-2013				
1.3d Cooperate closely with IUCN and Australia CTI Support Program	2012-2013				
1.4a Identify hosting agency with MFMR and MECDM	2012-2013				
1.4b Assess data needs and tools and develop joint data base program	2012-2013				
1.4c Integrate with existing/relevant database systems	2012-2013				
Output No. 2. Coastal communities experienced in applying best practices in ecosystem-based management and climate change adaptation					
2.1 Conduct awareness and training workshop for Isabel and Malaita (including SILMMA)	2012				
2.2 Support TNC to conduct Eco-regional prioritization workshop in Isabel and Malaita	2012				
2.3 Initiate and test CBRM Spread Model in Isabel and Malaita	2012				
2.4 Design and implement awareness	2012-2014				

Outputs and Activities/Milestones	Original deadline for accomplishing (month & year)	When actually accomplished (month & year; indicate if not yet)	Major reason/s for deviation	Proposed remedial measure/s & new deadline (month & year)	Responsibility for remedial measure/s
programmes for ICM and EAFM					
2.5 Link to national communication platforms	2012-2014				
2.6 Conduct community level demonstration	2012-2014				
Output No. 3. Resilience of coastal ecosystems to climate change enhanced					
3.1 Provide V&A training at Provincial and local target communities (Malaita and Isabel)	2012-2013				
3.2 Conduct adaptation planning and demonstration at community level	2012-2013				
3.3 Share lessons learnt	2012-2013				
4. Effective project management established by ADB and the participating governments					
4.1 Develop project performance management system consistent with the CTI M&E framework and train NPMU staff on its use					
4.2 Conduct baseline survey					
4.3 Conduct regular M&E of project activities					
4.4 Upload project information and documents on the IW:LEARN website					
4.5 Prepare monthly and quarterly progress reports					

Annex B (Illustrative Example Form 2)

NPMU: Solomon Islands
TA 7753: Strengthening Coastal and Marine Resources Management in the Coral Triangle of the Pacific (Phase 2)
Form No. 2: Quarterly Physical and Financial Progress Report (builds on Table A3 in Technical Assistance Report)
For the period ending: March 2012

Basic questions addressed: (a) What resources are required to implement the activities contained in the approved work plan (organized in accordance with each of the relevant outputs in the DMF)? (b) What is the status of delivery of said resources?
Objective: to assess cumulative physical & financial performance based on annual targets, and identify implementation constraints and actions needed.
Percent total time elapsed = **25%** Percent total disbursements = **15%**

Prepared by: _____
Date: 6 April 2012

Part A: Data Box							
Code	Key Performance Indicators (specify unit of measure)	Annual Target		Accomplishment as of March 2012			
		Physical	Financial ^a (US\$)	Physical	As Percent of Annual Target	Financial (US\$)	As Percent of Annual Target
Output No. 1. Capabilities of national and local institutions strengthened in sustainable coastal and marine resources management							
1.1 Consultants (person-months)							
	Fisheries socio-economist (international)	0.25 p-month	2,500	0	0.00%	0	0.00%
	Fisheries lawyer (international)	1.25 p-month	12,500	0	0.00%	0	0.00%
	M&E specialist (international)	0.50 p-month	5,000	0.25	0.50%	2,500	0.50%
1.2 Training and similar events (no. of events)							
	Training-workshops	4	4,000	0	0.00%	0	0.00%
	Consultations	0	0	0	0.00%	0	0.00%
	Conferences	2	2,000	0	0.00%	0	0.00%
1.3 Research (number)							
	Studies	1	2,000	0	0.00%	0	0.00%
1.4 Equipment (specify what)							
	Laptop (unit)	1	2,000	1	100.00%	2,000	100.00%
	Sub-Total, Output No. 1		\$30,000			\$4,500	15.00%
Output No. 2. Coastal communities experienced in applying best practices in ecosystem-based management and climate change adaptation							
2.1 Consultants (person-months)							
	Training & knowledge coordinator (national)	2.0 p-months	10,000	0.00	0.00%	0	0.00%
2.2 Training and similar events (no. of events)							
	Training-workshops	4	4,000	1	0.25%	2,000	0.50%
	Consultations (no. of events)	2	2,000	2	0.50%	1,500	0.75%

Part A: Data Box							
Code	Key Performance Indicators (specify unit of measure)	Annual Target		Accomplishment as of March 2012			
		Physical	Financial ^a (US\$)	Physical	As Percent of Annual Target	Financial (US\$)	As Percent of Annual Target
	Conferences (no. of events)	0	0	0	0.00%	0	0.00%
2.3 Research (number)							
	Studies	1	2,000	0	0.00%	0	0.00%
2.4 Equipment (specify what)							
	Sub-Total, Output No. 2		\$18,000			\$3,500	19.00%
Output No. 3. Resilience of coastal ecosystems to climate change enhanced							
3.1 Consultants (person-months)							
	Remote sensing specialist (international)	0.25 p-month	1,250	0.00	0.00%	0	0.00%
	Sustainability indicators specialist	0.25 p-month	1,250	0.00	0.00%	1,250	100.00%
3.2 Training and similar events (no. of events)							
	Training-workshops	2	4,000	0.00	0.00%	0	0.00%
	Consultations	2	4,000	0.00	0.00%	0	0.00%
	Conferences	1	2,000	0.00	0.00%	0	0.00%
3.3 Research							
	Studies (no.)	0	0	0	0.00%	0	0.00%
3.4 Equipment (specify)							
	Sub-Total, Output No. 3		\$12,500			\$1,250	10.00%
Output No. 4. Effective project management established by the participating governments							
4.1 Consultants (person-months)							
	Sub-Total, Output No. 4						
	TOTAL, OUTPUTS 1- 4		\$60,500			\$9,250	15.00%
Part B: Interaction Box							
<p>Key <u>operational</u> problems, issues and corresponding recommendations for the reporting period: (to be filled out by the NPMU; space may be added if needed)</p> <p>With 25% of time elapsed during the year, the disbursement rate is only 15%. This is mainly because many consultants are not yet due to be mobilized. Disbursements are expected to accelerate next quarter. There has also been a slight delay in the conduct of some training-workshops scheduled for the first quarter, as reported in Form 1.</p> <p>The expenses for training-workshops and consultations under output 2 have exceeded the budget due to a larger than expected number of participants. The NPMU recommends that additional funds be provided due to the importance of upcoming training-workshop and</p>				<p>Feedback to the NPMU: (from TCU, TL/RPM, RPMO, and other target report users; space may be added if needed)</p> <p>Prepared by:</p>			

ADB TA 7753-REG Strengthening Coastal and Marine Resources Management in the Coral Triangle of the Pacific (Phase 2)
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Part A: Data Box							
Code	Key Performance Indicators (specify unit of measure)	Annual Target		Accomplishment as of March 2012			
		Physical	Financial ^a (US\$)	Physical	As Percent of Annual Target	Financial (US\$)	As Percent of Annual Target
consultation activities.				Date:			

Annex C (Illustrative Example Form 3)

NPMU: Solomon Islands
TA 7753: Strengthening Coastal and Marine Resources Management in the Coral Triangle of the Pacific (Phase 2)

Form No. 3: Semi-Annual Results Monitoring

For the period ending: June 2012

Basic question addressed: To what extent is the NPMU progressing towards achieving the output level performance targets contained in the DMF?
Objective: to ensure and sustain relevance and effectiveness of implementation strategies and processes, i.e., each NPMU activity must directly and significantly contribute towards achieving output level targets contained in the DMF

Prepared by: _____

Date: 6 July 2012

Design Summary ^a	Output Level Performance Targets	Process milestones achieved last six months (Jan.-June 2012) ^b	Process milestones to be achieved next six months (July-Dec. 2012)	Likelihood of achieving Col. B targets on time (check one) ^c			
				1	2	3	4
(Col. A)	(Col. B)	(Col. C)	(Col. D)				
1. Capabilities of national and local institutions strengthened in sustainable coastal and marine resources management	1.1 Policy, legal, and regulatory framework for institutionalizing effective ICRM and EBFM established by 2013	<ul style="list-style-type: none"> ▪ TORs formulated, reviewed and approved Feb. 2012 ▪ Consultant/s engaged March 2012 	<ul style="list-style-type: none"> ▪ Draft Framework July 2012 ▪ Stakeholder consultations on draft Framework Dec. 2012 				√
	1.2 Coastal and marine resource management policy guidelines and legal and regulatory instruments drafted by 2013	<ul style="list-style-type: none"> ▪ TORs formulated, reviewed and approved Feb. 2012 ▪ Consultant/s engaged March 2012 	<ul style="list-style-type: none"> ▪ Draft guidelines & instruments July 2012 ▪ Stakeholder consultations on draft guidelines & instruments Dec. 2012 				√
	1.3 Coastal and marine resource management policy guidelines and legal and regulatory instruments approved by national/local government authorities by 2014		<ul style="list-style-type: none"> ▪ Multi-media presentation materials prepared Aug. 2012 ▪ Consultations with national/local govt authorities initiated Dec. 2012 		√		
	1.4 Organizational reform and retooling of government agencies concerned completed by 2014		<ul style="list-style-type: none"> ▪ TORs formulated, reviewed and approved July 2012 ▪ Organizational assessment completed Dec. 2012 				√
	1.5 Skills upgrading for about (no.) trainees from relevant government agencies and NGOs completed by 2014		<ul style="list-style-type: none"> ▪ TORs formulated, reviewed and approved July 2012 ▪ Training needs assessment completed Dec. 2012 				√

Design Summary ^a	Output Level Performance Targets	Process milestones achieved last six months (Jan.-June 2012) ^b	Process milestones to be achieved next six months (July-Dec. 2012)	Likelihood of achieving Col. B targets on time (check one) ^c			
				1	2	3	4
(Col. A)	(Col. B)	(Col. C)	(Col. D)				
2. Coastal communities experienced in applying best practices in ecosystem-based management and climate change adaptation	2.1 By 2013: 3 biodiversity conservation plans for Malaita and Isabel provinces completed	<ul style="list-style-type: none"> ▪ TORs formulated, reviewed and approved April 2012 ▪ Consultant/s engaged June 2012 	<ul style="list-style-type: none"> ▪ Plan Framework drafted Aug. 2012 ▪ Stakeholder consultations on draft Framework Dec. 2012 				√
	2.2 By 2014: 48 community pilot demonstration projects implemented	<ul style="list-style-type: none"> ▪ TORs formulated, reviewed and approved June 2012 	<ul style="list-style-type: none"> ▪ NGO/s engaged Aug. 2012 ▪ Projects packaged Oct. 2012 ▪ Projects implemented in initial sites Dec. 2012 				√
3. Resilience of coastal ecosystems to climate change enhanced	3.1 By 2014: Habitat maps and climate change vulnerability assessments for 2,200 km of coastline prepared	<ul style="list-style-type: none"> ▪ TORs formulated, reviewed and approved April 2012 ▪ Consultant/s engaged June 2012 	<ul style="list-style-type: none"> ▪ Remote sensing of marine habitats initiated July 2012 ▪ Initial set of maps and vulnerability assessments completed Dec. 2012 				√
	3.2 By 2014: Adaptation measures to increase the resilience of coastal and marine ecosystems demonstrated in (no.) communities	<ul style="list-style-type: none"> ▪ TORs formulated, reviewed and approved April 2012 ▪ Consultant/s engaged June 2012 	<ul style="list-style-type: none"> ▪ Adaptation measures designed Aug. 2012 ▪ Adaptation measures field tested Oct. 2012 ▪ Demo in initial communities completed Nov. 2012 				√
	3.3 By 2014: Climate change adaptation measures integrated in ICRM plans of (no.) districts		<ul style="list-style-type: none"> ▪ Report/study on adaptation measures finalized Dec. 2012 				√
4. Effective program management established by the participating governments	4.1 Program implementation completed on time and within budget	<ul style="list-style-type: none"> ▪ Physical and financial progress matched (quarterly) 	<ul style="list-style-type: none"> ▪ Physical and financial progress matched (quarterly) 				√
	4.2 By 2012: M&E system developed and established in NPMU and aligned with CTI M&E	<ul style="list-style-type: none"> ▪ NPMU M&E system finalized April 2012 ▪ NPMU training completed April 2012 ▪ Periodic M&E reports submitted and discussed (starting April 2012) 	<ul style="list-style-type: none"> ▪ Baseline data collected July 2012 ▪ Periodic M&E reports submitted and discussed in program coordination meetings (continuing) 				√
	4.3 By 2014: Project information documents uploaded onto the CTI website		<ul style="list-style-type: none"> ▪ Action plan for uploading documents prepared, reviewed and finalized Dec. 				√

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Design Summary ^a	Output Level Performance Targets	Process milestones achieved last six months (Jan.-June 2012) ^b	Process milestones to be achieved next six months (July-Dec. 2012)	Likelihood of achieving Col. B targets on time (check one) ^c			
				1	2	3	4
(Col. A)	(Col. B)	(Col. C)	(Col. D)				
	4.4 Regular coordination meetings conducted with NCCs, CTI secretariat, and other CTI regional projects	<ul style="list-style-type: none"> ▪ Design for coordination meetings prepared Feb. 2012 ▪ Regular meetings conducted (starting March 2012) 	2012 <ul style="list-style-type: none"> ▪ Regular meetings conducted (continuing) 				✓
Key <u>strategic</u> problems, issues, corresponding recommendations, and best management practices/lessons during the reporting period: (to be filled out by the NPMU; space may be added if needed) The performance target under Output No. 1, “Coastal and marine resource management policy guidelines and legal and regulatory instruments approved by national/local government authorities by 2014” is achievable but will require the engagement of a highly experienced Communications Specialist, not currently included in the TA roster. The NPMU recommends the hiring of a specialist by Aug. 2012.			Feedback to the NPMU: (from TCU, RPMO, GEF, CTI and other target report users, etc.; space may be added if needed) Prepared by: Date:				

^a Columns A and B are taken from the TA Design and Monitoring Framework.

^b Columns C and D will be filled in by each NPMU with process milestones leading towards the achievement of the relevant targets in Col. B. Milestones will vary by NPMU, as a reflection of the NPMU-specific strategy and activities. Each performance target is anticipated to have one to three process milestones to firmly gauge progress towards results. The process milestones will be based on the approved work plan and Form 1.

^c Rating scale: 1= low; 2 = fair; 3 = high; 4 = very high.

References

- ADB. 2011. Brochure on *Strengthening Coastal and Marine Resources Management in the Coral Triangle of the Pacific (Phase II)*. Manila.
- ADB. 2010. Design and Monitoring Framework (Appendix 1 to the Technical Assistance Report for Strengthening Coastal and Marine Resources Management in the Coral Triangle of the Pacific (Phase 2)). Manila.
- ADB Pacific Studies Series. 2009. *Mainstreaming Climate Change in ADB Operations: Climate Change Implementation Plan for the Pacific 2009-2015*. Manila.
- ADB. 2010. *Technical Assistance Report for the Strengthening Coastal and Marine Resources Management in the Coral Triangle of the Pacific (Phase 2)*. Manila.
- Country Presentations of Fiji, Timor-Leste, Solomon Islands and Vanuatu during Inception Workshop of TA 7753 on 22-24 November 2011 in Nadi, Fiji.
- CTI Regional Monitoring and Evaluation Framework.
- GEF. Project Implementation Report for the PRC-GEF Partnership – Management and Policy Support to Combat Land Degradation in Dryland Ecosystems (sample PIR).
- GEF. Project Implementation Report for the Sanjaing Plain Wetlands Protection Project (sample PIR).
- Proposed Monitoring and Evaluation Plan prepared by the TCU. 2011.
- Draft Quarterly Review Report Format prepared by the TCU. 2011.
- Program Work Plan for the *Technical Assistance on Strengthening Coastal and Marine Resources Management in the Coral Triangle of the Pacific (Phase 2)*, July 2011. Manila.

Draft as of 04 December 2011

**TA 7753: Strengthening Coastal and Marine Resource Management in the Coral Triangle of the Pacific (Phase 2)
M&E IMPLEMENTATION START-UP PLAN: DEC. 2011-MARCH 2012**

Objective of the M&E Implementation Start-up Plan: building on preparatory and inception work, to formulate M&E mechanics for the full implementation of the M&E system by the end of March 2012

Major Activities	December				January				February				March				Requested Participants	Outputs
	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4		
1. Identify, compile & review references: ▪ Project design documents ▪ Draft M&E and work plans ▪ Related M&E systems: GEF, CTI, etc.																	Document sources: ▪ ADB ▪ ANZDEC	M&E design and implementation questions/issues
2. "Scoping meetings" with the ADB																	▪ TCU ▪ RDSS ▪ PARD	Well-defined scope: what to (& what not to) cover & prioritize
3. Verify data/info requirements of target M&E users																	▪ TCU ▪ RPMO ▪ NPMU	Foundation for decision/action-oriented M&E
4. Draft initial M&E mechanics ▪ Initial formats ▪ Data sources, collection, analysis ▪ Feedback protocol																	None	Draft M&E manual
5. Vet initial draft mechanics ▪ Face-to-face meetings ▪ Virtual meetings																	▪ TCU ▪ RPMO ▪ NPMU	Comments & suggestions to enhance system
6. Present draft M&E mechanics to ADB																	▪ TCU ▪ RDSS ▪ PARD	Comments & suggestions to enhance system
7. Refine M&E system																	None	Revised M&E manual
8. Prepare for orientation workshop																	ANZDEC Home Office logistical	Training materials

Major Activities	December				January				February				March				Requested Participants	Outputs
																	support	
9. Launch M&E system during orientation workshop																	M&E staff of TCU, RPMO and NPMUs	M&E system in place

Notes:

1. Results- cum learning-oriented M&E system to cover all levels of the DMF; to include process and sustainability indicators
2. M&E system will involve a “cascading” set of forms: TCU, RPMO and NPMUs
3. Equal emphasis on the “E” of “M&E”
4. M&E system to provide for interaction mechanisms between data/info sources and report users
5. M&E system to allow for qualitative self-assessment by implementing units
6. M&E system itself subject to periodic assessment and refinement

References

A. Inception Workshop Materials:

1. Country Presentations (PowerPoint)
 - Coastal and Marine Resource Management in the Republic of Fiji
 - Solomon Islands by the Ministry of Fisheries and Marine Resources and Ministry of Environment, Climate Change, Disaster Management & Meteorology
 - Timor Leste CT Pacific
 - Vanuatu
 - Coral Triangle Initiative Workplan (Word document)
2. Eddie Allison, WorldFish Center, Draft work-plan: Building Capacity to Assess Vulnerability and Adapt to Climate Change in the Pacific CTI (PowerPoint presentation)
3. Etika Rupeni (IUCN Oceania Regional Coordinator), Facilitated Regional Learning for the Roundtable for Nature Conservation in the Pacific Islands (PowerPoint presentation)
4. GEF Pacific IWRM, CTI Phase 2 Planning (PowerPoint presentation)
5. International Food Policy Research Institute (IFPRI), Sustainable Solutions for Reducing Poverty and Ending Hunger and Malnutrition (pdf)
6. International Union for Conservation of Nature (IUCN), Environmental Law Component R-CDTA 7753: Strengthening Coastal and Marine Resources Management in the Coral Triangle of the Pacific (Phase 2) (PowerPoint presentation)
7. Mahfuz Ahmed (Principal Natural Resources and Agriculture Economist Pacific Department), Strengthening Coastal and Marine Resources Management in the Coral Triangle of the Pacific (Phase 2) (PowerPoint presentation)
8. Work Plan and Milestones – IFPRI, IUCN, WorldFish Center, PMC – October 2011- October 2012

B. Others:

1. ADB, Proposed Program Monitoring and Evaluation Plan (for TA 7753, draft)
2. ADB, Strengthening Coastal and Marine Resources Management in the Coral Triangle of the Pacific (Phase 2), Program Workplan as of 25 July 2011 (Excel)
3. ADB, Technical Assistance Report for the Strengthening Coastal and Marine Resources Management in the Coral Triangle of the Pacific (Phase 2), Nov. 2010
4. ADB, Technical Assistance Consultant's Report for the Strengthening Coastal and Marine Resources Management in the Coral Triangle of the Pacific (Phase 1), May 2010
5. ANZDEC, Full Technical Proposal for TA 7753 Project Management Consultant, Sept. 2011
6. CTI, Regional Monitoring and Evaluation Framework
7. Program Brief for Strengthening Coastal and Marine Resources Management in the Coral Triangle of the Pacific (Phase 2), Nov. 2011
8. Quarterly Review Report Format – GEF
9. UNIQUEST PTY LTD, Final Report for RETA 6471 Strengthening Coastal and Marine Resources Management in the Coral Triangle of the Pacific Phase 1 (three volumes)

APPENDIX 4: TERMS OF REFERENCE FOR THE PROGRAM MANAGEMENT CONSULTANTS (PMC)

The program management consultant will be recruited to supply international and national consulting services to support in-country program management and implementation in the five Pacific countries. The program management consultant (firm) will provide the services of the following consultants: (i) a regional program manager and a deputy program manager and/or principal training coordinator, to be based at the regional program management office in Papua New Guinea, to coordinate program inputs and ensure consolidation of country reports and documents (including country work plans, progress and financial reports, and statement of expenses) and reporting these to the international program coordinator; (ii) five country program management teams with two staff: a senior financial manager and a procurement and/or contracts manager; and (iii) short-term technical specialists, both international and national, who will provide specialized inputs in the conduct of studies and various technical analyses. The program management consultant (firm) will also be responsible for the (a) management and administration of various training programs, workshops, conferences, and surveys, including subcontracting of various service providers such as training institutions, local nongovernment organizations, and community-based organizations; and (b) conduct of regular coordination meetings conducted with NCCs, CTI secretariat and other CTI regional projects. Table 1 provides a summary of the consulting services required from the project management consulting (firm) during TA implementation and the type of technical services and/or specialist inputs to be provided depending on the specific requirements of the countries.

The following are required from the program management consultant (firm):

- (i) Expertise: with strong technical skills and proven program management experience.
- (ii) Total inputs: 91.5 person-months of international and 423 person-months of national consulting services to support in-country program management and implementation in the five Pacific countries.

The detailed tasks and activities by expertise are described as follows. The extent of work for short-term technical specialists that are common to the five countries will vary as it will depend on the specific requirements of the countries.

Regional Program Manager (RPM):

- (a) Responsible for the overall supervision of the Regional Program Management Office (RPMO) and TA activities in the five countries;
- (b) Establish coordination between the NPMUs in the countries and CTI regional secretariat based in Indonesia, as well as between the NPMUs and the TCU based in PARD.
- (c) Responsible in ensuring the preparation and submission of regular progress reports to the CTI coordination committee and senior officials' meeting; and
- (d) Coordinate program inputs and ensure consolidation of country reports and documents (including country work plans, progress and financial reports, and statement of expenses) and reporting these to the international program coordinator.

Deputy Program Manager (DPM)/Principal Training Coordinator:

- (a) Assist the RPM in the supervision of the RPMO;
- (b) Design a monitoring and evaluation framework for each country that links the quality and strategy review team program with a wide monitoring system;
- (c) Undertake quarterly program monitoring and evaluation;
- (d) Responsible for the management, administration and coordination of various training programs, workshops, and conferences related to the program;
- (e) Develop annual work plans of the RPMO;
- (f) Support the implementing agencies to coordinate ICRM demonstration site activities and assist in developing relationship building and information and resource sharing among countries; and
- (g) Manage technical expert inputs and work plans;

Senior Program and Finance Manager

- (a) Work closely with the RPM and DPM to ensure that work planning, financial management and program reporting are consistently applied using an agreed format and timelines;
- (b) Prepare a consolidated work plan based on country-specific work plans;
- (c) Review work plans and budget and endorse to the RPM/DPM for approval;
- (d) Prepare budgets and cost breakdowns for program subcontracts;
- (e) Liaise with implementing agencies on the tracking and forecasting of sub-contract expenditure;
- (f) Disburse funds to contractors and implementing agencies, and maintain a set of consolidated program accounts;
- (g) Track, forecast, and report program expenditures;
- (h) Review procurement documentation to ensure consistency with approved work and financial plans;
- (i) Prepare regular reports to the RPM/DPM based on agreed schedules of reporting; and
- (j) Provide administrative support for the ADB funds with financial management and other reporting requirements.

Procurement Manager

- (a) Develop a consolidated procurement plan based on country specific work plans, and consult the five countries on said plan;
- (b) Handle the procurement and contracting requirements of the project according to ADB Guidelines, and coordinate with service providers;
 - terms of reference for program subcontracts,
 - request for proposals for subcontractors,
 - subcontract agreements,
 - invoices
 - request for payments based on subcontract milestones, and others
- (c) Liaise with program implementing agencies on subcontract progress;
- (d) Provide the Senior Program and Finance Manager with cost and billing records; and
- (e) Prepare procurement reports based on agreed reporting schedules; and
- (f) Develop a system to ensure that quality goods/services are delivered.

Organizational assessment specialist:

- (a) Review current organizational set-up and/or mechanism for integrated coastal resource management (ICRM) and ecosystem-based fisheries management (EBFM);
- (b) Identify and recommend priority areas for strengthening and work with the Department of Environment and Conservation (DEC) in PNG to identify needs and approaches; and
- (c) Coordinate and work with the organizational systems specialist, organizational change mentor, organizational charter expert, and organizational strategic planner on the results of review.

Organizational systems specialist

- (a) Assess organizational weaknesses, threats and opportunities along with a program of priority action;
- (b) Prepare modules for organizational procedures, train staff and oversee introduction of procedures;
- (c) Prepare a Corporate Services Manual for the DEC in PNG; and
- (d) Coordinate and work with the organizational assessment specialist, organizational change mentor, organizational charter expert, and organizational strategic planner in preparing the modules, training programs, and manual.

Organizational change mentor

- (a) Mentor DEC staff and identify institutional mechanisms for ICRM and EBFM;
- (b) Implement organizational restructuring and reform systems based on prior needs assessment; and
- (c) Coordinate and work with the organizational assessment specialist, organizational systems specialist, organizational charter expert, and organizational strategic planner on the organizational restructuring and reform systems developed.

Organizational charter expert

- (a) Prepare an organizational strengthening plan for the DEC in PNG;
- (b) Review current systems and identify areas for strengthening; and
- (c) Coordinate and work with the organizational assessment specialist, organizational systems specialist, organizational change mentor, and organizational strategic planner on the organizational strengthening plan of the DEC.

Organizational strategic planner

- (a) Define institutional needs and specify institutional options for demonstration programs in PNG;
- (b) Prepare an implementation plan, budget, and training requirements; and
- (c) Coordinate and work with the organizational assessment specialist, organizational systems specialist, organizational change mentor, and organizational charter expert on the plan, budget and training requirements for demonstration programs.

Policy expert

- (a) Review current policy settings with respect to the marine and coastal policy, legal frameworks and regulations;
- (b) Define policy objectives for the marine policy and develop consensus on the content of the marine policy;
- (c) Train DEC staff in policy development, policy analysis, policy concept and option papers through a mentoring and supervision program; and
- (d) Prepare a policy development work program, assigned tasks, define timelines and responsibilities, and agree on approach methods.

Legal draftsman

- (a) Develop a legal framework for ICRM and EBFM;
- (b) Draft provincial environmental and sustainable development legal frameworks;
- (c) Draft provincial ordinances that support the revised Fisheries Act; and
- (d) Prepare a draft pre-forma for community by-laws that support the revised Fisheries Act (pending) in consultation with communities.

Marine management planner

- (a) Review the current Kimbe marine resource management plans and needs;
- (b) Prepare a plan for creating a Kimbe Bay Marine Management Area and specify management rights and responsibilities; and
- (c) Finalize proposal and ensure legal status and prepare a time bound implementation plan.

Remote sensing/Habitat mapping specialist

- (a) Specify imagery requirements for remote sensing of coastal habitats;
- (b) Complete interpretation of imagery and supervise local staff in the interpretation of imagery;
- (c) Train staff in mapping overlays and complete mapping overlays and in addition for PNG and SOL, their integration within the eco-regional assessment;
- (d) Provide training to government staff;
- (e) Prepare habitat maps for demonstration ecosystems in VAN; and
- (f) Link habitat mapping to ground truth field transects data sets, particularly for VAN.

Beche-de-mer production specialist

- (a) Define best management practices for beche de mer management;
- (b) Link management practices to the proposed certification requirements and proposed marketing systems; and
- (c) Prepare training programs and train trainers.

Beche-de-mer marketing specialist

- (a) Investigate and define standardized processing systems for beche-de-mer;
- (b) Describe and define market structures, value chains and market returns;
- (c) Establish quality management and certification systems;
- (d) Identify production data, marketing data, product and certification data and product traceability; and
- (e) Design a management information system.

Sustainable financing specialist

- (a) Review policy options for raising fees and revenues from natural resource users or beneficiaries for the financing of coastal management programs;
- (b) Complete a SWOT alternative approaches of raising fees and revenues;
- (c) Review of legislation to ascertain existing or required authority for levying of local fees;
- (d) Design and test feasibility of the introduction of a fee/revenue program based on a tourism and/or real estate levy for VAN, coastal resource use for TIM, and coastal resource use for the two demonstration site areas for PNG; and
- (e) Prepare a policy report.

Resource economist

- (a) Complete a detailed analysis of coastal management regimes and incentives for sustainable management;
- (b) Complete an institutional economic review of proposed marine policy;
- (c) Identify management systems that provide incentives for sustainable development; and
- (d) Assess economic trade-offs and distribution costs.

Resource economist

- (a) Complete a detailed analysis of the coastal management and incentives for livelihood development;
- (b) Identify management systems that provide incentives for livelihood development;
- (c) Complete an institutional review of proposed marine policy as it affects livelihood development; and
- (d) Assess economic trade-offs and distributions costs.

Monitoring and evaluation specialist

- (a) Design, monitor and evaluate the DMF for their respective countries to ensure links to the overall project-wide monitoring system;
- (b) Organize and implement evaluation meetings to identify country specific lessons learned and prepare the corresponding report/s; and
- (c) Consolidate country-specific lessons learned into a manual of best management practices for each country.

Training and knowledge coordinator

- (a) Design training modules on ICRM and EBFM;
- (b) Organize and implement training programs cum workshop to share lessons learned;
- (c) Prepare an annual lessons learned report;
- (d) Consolidate annual lessons into a manual of best management practices; and
- (e) Develop knowledge products on ICRM and EBFM including best management practices.

Fisheries socio-economist

- (a) Define the social survey population, sample frame and survey forms;
- (b) Train enumerators and pilot test survey;
- (c) Oversee the initial field survey implementation;
- (d) Design and train staff in data management and analysis;
- (e) Complete an institutional economic review of proposed fisheries policy; and

- (f) Assess economic trade-offs and distribution costs.

Fisheries lawyer

- (a) Draft provincial ordinances that support the revised Fisheries Act;
- (b) Provided awareness training in the legal framework;
- (c) Review the capability of each province to adopt and implement their own fisheries ordinances;
- (d) Prepare a draft pre-forma for community by-laws that support the revised Fisheries Act (pending); and
- (e) Provide awareness and technical training for the adoption of by-laws within the ICRM program being implemented by Ministry of Fisheries and Marine Resources.

Sustainable indicators specialist

- (a) Define parameters that are required for reporting purposes;
- (b) Review field programs to define monitoring indicators;
- (c) Define baseline on indicators; and
- (d) Design data collection programs for measuring the status of coastal environments.

Integrated coastal resource management specialist

- (a) Develop awareness and building ICRM skills of all stakeholders;
- (b) Identify and develop consensus on ICRM principles, processes and scope;
- (c) Develop a work plan for implementing ICRM processes;
- (d) Supervise work programs;
- (e) Review policy, law and regulatory frameworks for ICRM; and
- (f) Develop and integrate ICRM within other Government planning procedures.

Carbon forestry project development specialist

- (a) Develop a work plan for the preparation of data and a project design document; for the sale of carbon rights within the forested areas of the Efate Land Management Area (ELMA) land program in VAN;
- (b) Train staff to collate and identify data gaps;
- (c) Select methodology for collecting missing data;
- (d) Report on the costs and benefits of alternative carbon trading systems;
- (e) Compile carbon trade document; and
- (f) Provide training and awareness.

Corporate systems specialist

- (a) Conduct organizational strengthening based on TIM's Ministry of Agriculture and Fisheries corporate service plans and its implementation and on the needs identified for TIM's National Directorate of Fisheries and Aquaculture (NDFA);
- (b) Review current systems and identify areas for strengthening;
- (c) Work with managers of NDFA to identify needs and approaches;
- (d) Develop modules for organizational procedures; and
- (e) Prepare an implementation program and a Corporate Services Manual for NDFA.

Change management specialist

- (a) Develop NDFA strategic planning work plan;
- (b) Implement a strategic planning process;
- (c) Develop an internal communication program on the institutional strengthening program;
- (d) Work with senior staff to implement procedures;
- (e) Design and implement MIS; and
- (f) Prepare NDFA work plans including performance indicators and budgets.

Legal and policy review specialist

- (a) Review current policy settings with respect to ICRM and spatial zonation and planning;
- (b) Review the legal framework for ICRM and EBFM; and
- (c) Prioritize a reform program for ICRM and EBFM.

Marine biodiversity planner

- (a) Design a Marine and Protected Area Network using MARXAN
- (b) Provide training in the use of MARXAN
- (c) Support the development of Timor-Leste spatial models
- (d) Lead a planning process to develop conservation priorities

Table 1: Breakdown of Project Management Consulting Services

Consultant	Number of Person-Months		
	International	National	Total
Regional program manager	12.0		12.0
Deputy program manager/principal training coordinator		36.0	36.0
Senior program and finance manager (1 person x 5 countries x 45 months)		225.0	225.0
Procurement manager (1 person x 4 countries x 20 months) ^a		80.0	80.0
Subtotal	12.0	341.0	353.0
Short-Term Technical Specialists			
Papua New Guinea			
Organizational assessment specialist	2.0		2.0
Organizational systems specialist	6.0		6.0
Organizational change mentor		6.0	6.0
Organizational charter expert		3.0	3.0
Organizational strategic planner		14.0	14.0
Policy expert	2.0	2.0	4.0
Legal draftsman		3.0	3.0
Marine management planner		2.0	2.0
Remote sensing specialist	6.5		6.5
Beche-de-mer production specialist	2.0		2.0
Beche-de-mer marketing specialist	2.0		2.0
Sustainable financing specialist	2.0		2.0
Resource economist (sustainable development)		3.0	3.0
Resource economist (livelihood development)		2.0	2.0
Monitoring and evaluation specialist	2.7		2.7
Training and knowledge coordinator		9.0	9.0
Solomon Islands			
Fisheries socio-economist	1.0		1.0
Fisheries lawyer	5.0		5.0
Remote sensing specialist	2.0		2.0
Monitoring and evaluation specialist	1.8		1.8
Training and knowledge coordinator		9.0	9.0
Sustainability indicators specialist		2.0	2.0
Vanuatu			
Integrated coastal resource management specialist	7.0		7.0
Remote sensing/habitat mapping specialist	6.0		6.0
Carbon forestry project development specialist	3.0		3.0
Sustainable financing specialist	1.0		1.0
Monitoring and evaluation specialist	1.5		1.5
Training and knowledge coordinator		9.0	9.0
Timor-Leste			
Corporate systems specialist	10.0		10.0
Change management specialist	10.0		10.0
Legal and policy review specialist	1.0		1.0

Consultant	Number of Person-Months		
	International	National	Total
Marine biodiversity planner	1.5		1.5
Sustainable financing specialist	1.0		1.0
Monitoring and evaluation specialist	1.5		1.5
Training and knowledge coordinator		9.0	9.0
Fiji Islands			
Monitoring and evaluation specialist	1.0		1.0
Training and knowledge coordinator		9.0	9.0
Subtotal, short-term technical specialists	79.5	82.0	161.5
Total	91.5	423.0	514.5

a= Except for the Fiji Islands, where one person will handle both finance and procurement matters.

Source: Asian Development Bank estimates.

APPENDIX 5: INCEPTION WORKSHOP, NADI, FIJI (22-24 NOVEMBER 2011)