

MONITORING AND EVALUATION INDICATORS:

**STRATEGIC PARTNERSHIP FOR A SUSTAINABLE
FISHERIES INVESTMENT FUND IN THE LARGE MARINE
ECOSYSTEMS OF SUB-SAHARAN AFRICA**

**DISCUSSION PAPER FOR THE SECOND CONSULTATIVE
WORKSHOP IN TANZANIA IN JUNE 2005**

MAY 2005

Disclaimer

This document has been prepared by Graeme Macfadyen under contract to the Food and Agriculture Organization (FAO) of the United Nations. The views expressed in the document are those of the author and do not necessarily reflect those of FAO.

TABLE OF CONTENTS

1	BACKGROUND AND INTRODUCTION.....	1
2	THE PURPOSE OF MONITORING & EVALUATION INDICATORS AND SOME RELATED REQUIREMENTS	3
2.1	THE PURPOSE OF MONITORING AND EVALUATION.....	3
2.2	DIFFERENT TYPES OF INDICATORS	3
2.3	REQUIREMENTS FOR EFFECTIVE COLLECTION AND USE OF INDICATORS	5
2.3.1	<i>Logical/Results Framework.....</i>	<i>5</i>
2.3.2	<i>M&E Plan.....</i>	<i>6</i>
2.3.3	<i>Baseline data.....</i>	<i>7</i>
2.3.4	<i>M&E processes.....</i>	<i>7</i>
3	GEF IW INDICATORS AND REQUIREMENTS.....	8
3.1	KEY ASPECTS OF THE GEF IW INDICATOR FRAMEWORK	8
3.1.1	<i>GEF objectives.....</i>	<i>8</i>
3.1.2	<i>Time-periods required.....</i>	<i>9</i>
3.1.3	<i>Indicators can not be formulaic.....</i>	<i>9</i>
3.1.4	<i>Geographical and institutional levels involved.....</i>	<i>9</i>
3.1.5	<i>Transboundary diagnostic analysis (TDA) as a starting point.....</i>	<i>9</i>
3.1.6	<i>Key types of indicators.....</i>	<i>9</i>
3.2	M&E PRACTICES	12
4	POVERTY INDICATORS.....	13
5	PROPOSED INDICATORS FOR THE STRATEGIC PARTNERSHIP AND ITS PROJECTS/ACTIVITIES	19
5.1	INTRODUCTION.....	19
5.2	STRATEGIC PARTNERSHIP INDICATORS	20
5.2.1	<i>Goal and Objectives.....</i>	<i>20</i>
5.2.2	<i>Realistic achievements in sustainable resource use and poverty alleviation.....</i>	<i>21</i>
5.2.3	<i>Strategic Partnership SFIF Performance Indicators.....</i>	<i>21</i>
5.2.4	<i>Strategic Partnership SFIF scalar indicators.....</i>	<i>24</i>
5.3	PROJECT SPECIFIC INDICATORS	26
6	CONCLUSIONS AND RECOMMENDATIONS.....	32
APPENDICES		
	APPENDIX A: POSSIBLE INDICATORS PROPOSED AT THE DAKAR MEETING	33
	APPENDIX B: TERMS OF REFERENCE	36
	APPENDIX C: REFERENCES	37
	APPENDIX D: GEF PROCESS OUTCOME, STRESS REDUCTION AND ENVIRONMENTAL STATUS INDICATORS	38
	APPENDIX E: TYPES OF COUNTRY-LEVEL PROJECTS TO BE SUPPORTED BY THE STRATEGIC PARTNERSHIP	44
	APPENDIX F: ELIGIBILITY CRITERIA FOR PROJECT BRIEFS	45

TABLES AND FIGURES

TABLES

TABLE 1: LOGICAL FRAMEWORK TEMPLATE	6
TABLE 2: IDA, MDG, USMCA, AND DFID PSA INDICATORS, AND INCLUSION OF IDA INDICATORS IN PRSPs...	13
TABLE 3: INDICATORS FOR THE MDGs	14
TABLE 4: INDICATORS FOR MONITORING GROWTH AND POVERTY REDUCTION STRATEGY IN CAPE VERDE	17
TABLE 5: STRATEGIC PARTNERSHIP SFIF PERFORMANCE INDICATORS	22
TABLE 6: STRATEGIC PARTNERSHIP SCALAR PROCESS INDICATORS	25
TABLE 7: STRATEGIC PARTNERSHIP SCALAR INDICATORS OF MONITORING AND REPORTING ON STRESS REDUCTION	25
TABLE 8: STRATEGIC PARTNERSHIP SCALAR INDICATORS OF MONITORING AND REPORTING ON CHANGES IN ENVIRONMENTAL STATUS	26
TABLE 9: SPECIFIC PROJECT PERFORMANCE INDICATORS	27
TABLE 10: PROCESS OUTCOME INDICATORS FOR TDAS	38
TABLE 11: PROCESS OUTCOME INDICATORS FOR SAPs	39
TABLE 12: SCALAR PROCESS OUTCOME INDICATORS FOR JOINT INSTITUTIONAL ARRANGEMENTS	40
TABLE 13: PROCESS OUTCOME INDICATORS FOR INTER-MINISTRY COMMITTEES	41
TABLE 14: INDICATORS FOR MOBILISATION OF RESOURCES	42
TABLE 15: PROCESS OUTCOME INDICATORS FOR DEMONSTRATION ACTIVITIES	42
TABLE 16: INDICATORS OF MONITORING AND REPORTING ON STRESS REDUCTION	42
TABLE 17: INDICATORS OF RELATIVE SUCCESS IN ACHIEVING STRESS REDUCTION OBJECTIVES	43
TABLE 18: INDICATORS OF MONITORING AND REPORTING ON CHANGES IN ENVIRONMENTAL STATUS	43
TABLE 19: INDICATORS FOR RESULTS OF SCIENTIFIC ASSESSMENTS	43

FIGURES

FIGURE 1: 'PRESSURE - STATE - RESPONSE' FRAMEWORK	5
---------------------------------------------------------	---

Acronyms

CAADP	Comprehensive African Agriculture Development Program	MPA.....	Marine Protected Area
CBD	Convention on Biological Diversity	NEPAD	New Partnership for Africa's Development
CCRF	Code of Conduct for Responsible Fisheries	OP	Operational Program
COFI	Committee on Fisheries	PDF	Project Development Fund
COP	Conferences of the Parties	PRSP	Poverty Reduction Strategy Paper
EAF	Ecosystem Approach to Fisheries	PSA	UK DFID Public Service Agreement
FAO	Food and Agriculture Organization of the United Nations	PSR	Pressure, State, Response
GEF	Global Environment Facility	RFO	Regional Fisheries Organization
IDA	International Development Association	SAP	Strategic Action Plan
IFI.....	International Financial Institution	SFIF	Sustainable Fisheries Investment Fund
IPOA	International Plan of Action	SSA	Sub-Saharan Africa
IUU	Illegal, Unreported and Unregulated (Fishing)	TDA	Trans-boundary Diagnosis Analysis
IWTF.....	International Waters Task Force	UNDP	United Nations Development Programme
LF.....	Logical Framework	UNEP.....	United Nations Environment Programme
LME.....	Large Marine Ecosystem	WSSD	World Summit on Sustainable Development
MCA	US Millennium Challenge Account	WTO	World Trade Organization
MCS	Monitoring, Control and Surveillance	WWF	World Wildlife Fund
MDG	Goals of the Millennium Declaration		

1 BACKGROUND AND INTRODUCTION

In Sub-Saharan Africa, marine fisheries resources provide an important contribution to both poverty alleviation and food security. However throughout the region, exploitation of fish stocks is on the increase, and the number of overexploited and depleted stocks is rising. This casts doubt on the future contribution that these resources will be able to make to food security and poverty reduction in the region. At the same time, both regional and global demand for fish continues to grow, intensifying pressures on marine resources.

In order to address this emerging crisis and bolster efforts to reduce poverty and improve world food security - in Africa as well as globally - the World Summit on Sustainable Development (WSSD) in 2002 called on all nations to maintain or restore their fish stocks to sustainable levels by 2015. In particular, WSSD urged international institutions to support developing countries in meeting these goals. The situation of an imbalance between the demand and supply of fish was also recently highlighted by the New Partnership for Africa's Development (NEPAD), as part of the Comprehensive African Agriculture Development Program (CAADP) agenda.

In response, and mindful of increasing concerns over the sustainability of fisheries in Sub-Saharan Africa, in 2003 the Global Environment Facility (GEF) asked the World Bank to explore options for creating a funding mechanism to facilitate support to countries in that region. Based on internal discussions as to what type of funding mechanism would be feasible within the World Bank's institutional framework, by mid-2003 the Bank submitted a draft plan for a *Strategic Partnership for a Sustainable Fisheries Investment Fund in Sub-Saharan Africa* to the GEF.

According to this draft plan, the GEF would create a *Sustainable Fisheries Investment Fund* (SFIF or 'the Fund') of US\$ 60 million, which would be disbursed in three tranches over a ten-year period. This Fund (the amount of which is still under review) would be available to co-finance, along with the World Bank and any other interested donors, country-level projects aimed at assisting Sub-Saharan African countries in meeting the fisheries and poverty reduction targets set by the WSSD and achieve sustainability in their marine fisheries.

The concept also suggests that the Fund would be advised by a Strategic Partnership of representatives and stakeholders from African countries, donor nations, international technical agencies and regional and international partner organizations. In addition to providing advice on Fund management, this Strategic Partnership would also help promote learning exchanges and cooperation between countries with projects being supported by the Fund.

The Bank is now working together with the Food and Agriculture Organization of the United Nations (FAO) and the World Wildlife Fund (WWF), to develop its proposal and evaluate options for progressing it.

In January 2005, FAO, the World Bank and WWF convened the first consultative workshop of the Strategic Partnership in Dakar, Senegal. It was attended by 66 participants from 23 coastal countries of Sub-Saharan countries, NEPAD, sub-regional fisheries management organizations, donor countries, LME programmes, SFLP, GEF, UNDP and the three planning partners.

The Dakar Meeting attained broad agreement on the goals and objectives of the Strategic Partnership and its operating principles as presented below.

Goal: Within a regional context, encourage country-level investments aimed at: (i) building the capacity of countries in Sub-Saharan Africa to implement policy and institutional reforms needed at national level in order to meet the fisheries targets of the WSSD and contribute to the achievement of the poverty reduction targets (e.g. halving by 2015 the proportion of the people in the world who suffer from hunger), and (ii) promoting the sustainable management of fisheries resources in the large marine ecosystems (LMEs) of Sub-Saharan Africa. The intended result would be sustainable fisheries achieved in at least 10 countries by 2015 and an enhanced contribution from the fisheries sector within these countries to meeting the UN Millennium Goals.

Objectives:

- Encourage country-level investments in order to support individual coastal countries in Sub-Saharan Africa to undertake the necessary governance (i.e. policy, legal, and institutional) reforms and sector adjustments to sustainably manage their fisheries in a way that ensures a distribution of benefits that will contribute to poverty reduction and food security.
- Assist individual coastal countries to build the capacity to participate in the ongoing GEF-led Large Marine Ecosystem (LME) projects and other regional and sub-regional initiatives as well as collaborate through these projects to implement management measures for the marine ecosystems and the transboundary fisheries resources that would be more appropriate at the sub-regional scale (e.g. sub-regional monitoring, control and surveillance (MCS) systems, management of fishing capacity, sub-regional research initiatives, networks of marine protected areas (MPAs), etc.); and
- Promote learning, information exchange and capacity building at the regional level, to ensure that the lessons from successes and failures of country and LME level investments are adequately disseminated.
- Provide direct financial support to the fisheries sector in order to meet the sustainable development objectives in fisheries and a reduction in poverty

The Dakar Meeting also agreed the project eligibility criteria and the types of projects to be supported by the Investment Fund, and made several recommendations on further requirements during the planning phase. One such recommendation was the preparation of a set of Monitoring & Evaluation (M&E) indicators for the Strategic Partnership, both at the regional level (i.e. that the country-level projects in aggregate would help meet) as well as for projects at the country level. These indicators would be based on the objectives of the Strategic Partnership and the WSSD poverty reduction and fisheries targets. The Dakar Meeting noted that the specific project-level indicators would need to be derived from the specific goals, objectives and expected outcomes of country-level projects, and that wherever possible, indicators should seek to measure the outcome of projects rather than the level of inputs provided. The meeting elaborated a list of possible indicators and recommended that the planning partners further develop them for consideration at the second consultative workshop. The list of possible indicators is provided in Appendix A.

The purpose of this paper is therefore to present some background, and propose a series of indicators for further discussion and agreement by stakeholders at the second consultative workshop, based on the Terms of References (see Appendix B).

2 THE PURPOSE OF MONITORING & EVALUATION INDICATORS AND SOME RELATED REQUIREMENTS

2.1 THE PURPOSE OF MONITORING AND EVALUATION

Monitoring is the continuous or periodic process of collecting and analyzing data to measure the performance of a program, project, or activity. An integral part of project/programme management, monitoring provides managers and stakeholders with regular feedback on implementation and progress towards the attainment of key objectives. Monitoring provides the basis for evaluation. **Evaluations** are defined as: *systematic and independent assessments of ongoing or completed projects or programs, their design, implementation, and results with the aim of determining the relevance of objectives, development efficiency, effectiveness, impact, and sustainability*. Both monitoring and evaluation processes employ indicators. **Indicators** are quantitative or qualitative statements that can be used to (i) describe situations that exist and (ii) measure changes or trends over a period of time.

As a starting point for this paper, it is useful to consider/review in general terms both the different types of M&E indicators, or results indicators as they are now sometimes known, and the main requirements for an effective M&E system.

2.2 DIFFERENT TYPES OF INDICATORS

The terminology for discussing indicators is varied and can be confusing. When reading this paper a number of different categorizations of indicators are presented and so an ‘up-front’ summary is provided here to inform the reader about how the different types of indicators relate to each other.

Indicators can be referred to as being:

- Monitoring or Evaluation indicators
- Process or Performance indicators
- Pressure, State or Response indicators (performance indicators under the Pressure State Response (PSR) framework – see below)
- Process, Environmental Stress, Environmental Status, or Scientific Assessment indicators (used by GEF)

These categorizations are generally (but not exclusively) related as follows:

- Process indicators = monitoring indicators
- Performance indicators = evaluation indicators (with further sub-categories of pressure/stress, state/status and response)

It should be noted however that:

- A response indicator can be both process and performance; it may be a specific short-term (process) response i.e. create five new fishery officer posts, or it may be a long-term (performance) policy/societal response i.e. a reduction in CO₂ production by 10% over a 10 year period (resulting from a short-term intervention).
- For GEF purposes a) some process indicators can be used as evaluation indicators, and b) scientific assessment indicators are process indicators

A little more detail is provided below on some of the different types of indicators.

Monitoring indicators are used for the process (typically monthly, quarterly, semi-annual or annual) of collecting and analyzing data to measure the performance of the programme, project or activity. Generally, indicators are used as part of, and by, the management of the programme, project or activity itself to assess implementation and progress. Monitoring indicators are then used to take corrective action on the programme, project or activity through appropriate feedback mechanisms for

management decision-making. In GEF parlance, monitoring indicators can be considered equivalent to 'project implementation indicators' (GEF, 2003), but can also be viewed as process indicators.

Evaluation indicators on the other hand are used by independent assessments of ongoing or completed programmes or projects. As such they are used less frequently, and typically at mid-term stage of a programme/project, on its completion, and at specified periods (e.g. 5 yrs) after project completion to assess continuing programme/project impacts/benefits. Importantly evaluation indicators also consider the programme/project design, its implementation and the results, and are used to help answer a number of important evaluation questions relating to the:

- **Efficiency/value for money** (assesses the outputs in relation to inputs, looking at costs, implementing time, and economic and financial results).
- **Effectiveness** (measures the extent to which the objective has been achieved or the likelihood that it will be achieved).
- **Impact** (measures both the positive and negative, foreseen and unforeseen, changes to and effects on society caused by the project(s) or program(s) under evaluation).
- **Relevance and coherence** (does it satisfy the needs of the various interest groups and gauges the degree to which the project or program at a given time is justified and fits within the global and national/local environment and development priorities).
- **Sustainability** (measures the extent to which benefits continue from a particular project or program after GEF assistance/external assistance has come to an end); and
- In the GEF context, evaluation indicators also determine contributions to global environmental benefits and the transboundary water improvements.

Given that evaluations indicators are used during mid-term evaluations to assess program/project design, implementation and results up to date, they can also be crucial in providing the basis for any necessary re-design of the programme/project. In GEF parlance, evaluation indicators can be considered equivalent to 'project impact indicators' (GEF, 2003) and are primarily performance indicators, although in certain instances some evaluation indicators can also be process indicators.

Another way of looking at indicators is one based on the concept of causality, using a '**Pressure, State, Response**' (PSR) framework. The inter-relationships between natural and social processes have been demonstrated by many studies and summarized in the following way: human activities exert *pressures* on the environment (natural and human) and change the *state* of the environment while society responds to these changes through environmental, economic, and sectoral policies (the social *responses*).

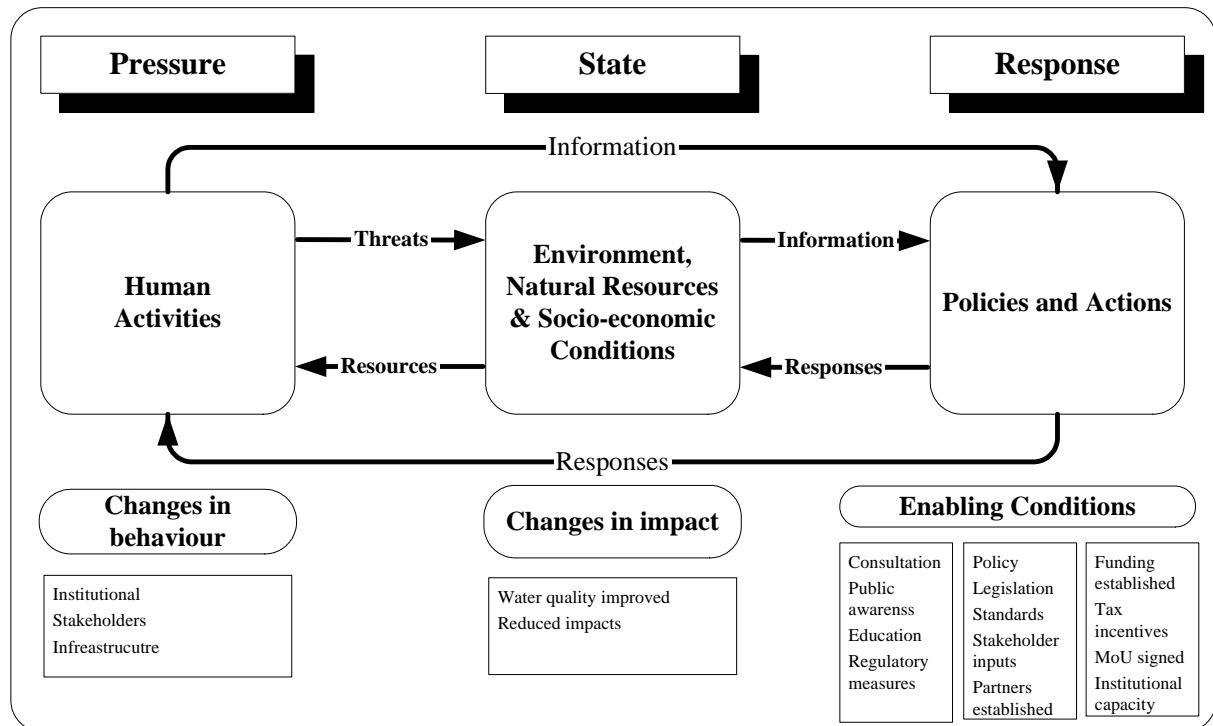
Pressure is the underlying force driving environmental degradation or other key social causes of concern and may include pollution discharge, fishing effort, sedimentation and coastal development. Indicators of environmental pressures describe pressures caused by human activities.

State is the target area's environmental or social status particularly as it is affected by human activities, for instance water quality, fish stock status, coral reef biodiversity, livelihood status, etc. Indicators of environmental and social state may comprise environmental quality, and aspects of quantity and quality of natural resources and livelihoods.

Response is the measures taken to improve the target environment and social status, or to mitigate their degradation. These can be at different levels including project activities in terms of physical improvement but are more likely to include the capacity of institutions to make environmental and social improvements and the political will and momentum available to pursue these. Response indicators, in the context of the PSR framework, refer only to societal (not ecosystem) responses.

These ideas about the PSR framework can be displayed graphically as shown below.

Figure 1: 'Pressure - State - Response' Framework



Also of note in the context of the PSR model is the recent work by the World Bank (Shyamsundar, 2002) to consider indicators that can be used to assess poverty environment interactions. This World Bank study examines how resource loss i.e. fish as a result of overfishing, can affect the well being of the poor. In exploring this relationship, the study draws on and expands the PSR model by adding a fourth dimension, poverty, making it a **Pressure-State-Poverty-Response (PSPR)** model. In this approach, indicators should not only examine pressures acting on the environment, but also the impact on the poor and thereafter, the responses to those environmental and poverty problems.

2.3 REQUIREMENTS FOR EFFECTIVE COLLECTION AND USE OF INDICATORS

2.3.1 Logical/Results Framework

The starting point for thinking about indicators for any specific project should be a logical framework (LF), or results template. The LF is the tool for developing appropriate indicators based on a logical relationship between inputs, outputs, objectives and goals. LFs are not generally used for programmes, due in part to the difficulty of specifying inputs, activities and outputs at the design stage, but programme approaches should also specify a goal and related objectives based on logical relationships.

A summary template for a LF is provided in Table 1:

The key points to completing a Logframe are that it should be:

- simple and concise
- a 'stand-alone' document – comprehensive yet immediately understandable;
- not just a design tool – it should be maintained as a primary M&E tool through-out the project.
- a 'living document' – it should be reviewed regularly during the project

Table 1: Logical Framework Template

Narrative Summary	Measurable indicators	Means of verification	Assumptions
Goal	Evaluation/ impact indicators	Relevant sources of information	What external factors are necessary for sustaining objectives in the long run?
Objectives / Purposes (to achieve goal)	Evaluation/ impact indicators	Relevant sources of information	(Purpose to Goal): What conditions external to the project are necessary if achievements of the project's purpose is to contribute to reaching the project goal?
Outputs (to achieve project objectives/purpose)	Monitoring/ implementation indicators	Relevant sources of information	(Output of Purpose): What are the factors not within the control of the project which, if not present, are liable to restrict progress from outputs to achievements of project purpose?
Activities (to accomplish outputs) <ul style="list-style-type: none"> • Components and specific activities under each component 	Inputs: Monitoring/ implementation indicators (component budgets)	Financial out- turn report as agreed in financing documents, workplans, physical progress reports	(Activity to Output): 1) What external factors must be realized to obtain planned outputs on schedule? 2) What kind of decisions or actions outside the control of the project are necessary for inception of the project?

Column 1 provides a narrative summary, which defines the project structure. Column 2 should contain indicators to be used that must be susceptible to measurement, or qualitative judgment, or both. Of note is that Column 3 should set out how, and from what sources of information, each of the indicators in the previous column will be quantified or assessed. Column 4 should record the important assumptions on which the success of the project depends, and the risks that have been considered.

2.3.2 M&E Plan

With increasing emphasis being placed on monitoring and evaluation, and the indicators used to assess programme/project progress and performance, it is essential that detailed M&E plans be developed both for the Strategic Partnership Sustainable Fisheries Investment Fund, and for the specific projects to be funded under it. These plans should contain:

- information on the logical framework (in the case of the projects)
- detailed information on the indicators
- the frequency and timing separately for a) monitoring and b) evaluation reports,
- specific monitoring and evaluation responsibilities to all relevant parties i.e. who should be reporting to who.
- the activities required to complete the M&E requirements (e.g. stakeholder consultation, fieldwork, regular reporting)
- methods and tools to be used to collect information/data necessary for different indicators i.e. the means of verification
- technical issues related to specific indicators and their means of verification, and

- dissemination components and techniques

Typically it is important that the M&E plan contain a requirement both for monitoring systems to be established prior to the programme/project starting, and for the programme/project itself to facilitate the mid-term and final evaluations by preparing a detailed up-to-date report on project activities and progress, prior to the evaluations taking place.

The M&E plan should also contain detailed information on the feedback mechanisms for monitoring and evaluation outputs to be used to make changes either to programme implementation, or its overall design. And it might also contain a supervision plan for donors specifying the periodicity and make-up of supervision mission teams.

2.3.3 Baseline data

Baseline data and indicators provide the starting point against which all programme/project inputs, outputs, objectives and goals are measured. The baseline is the situation that exists at the beginning of the programme/project, prior to any activities, in terms of inter-governmental institutional arrangements, human activities that degrade the environment, or environmental status.

It is important to remember that indicators should not be proposed for which no baseline data is available, as there would be no way to measure the progress of the programme/project. In many cases it is often easier to think of a wide range of indicators than to obtain the related baseline data for them. Only if baseline data is available for a particular indicator, should it be included in the M&E plan.

This requirement for baseline data to be available, may have particular important implications for the Strategic Partnership and projects funded under the SFIF – the general paucity of data in many Sub-Saharan African countries must be recognized, and may create problems in terms of establishing base lines and using quantitative indicators.

2.3.4 M&E processes

Monitoring and evaluation practices must ensure the credibility, impartiality, transparency, and usefulness of their outputs. Three key mechanisms can help to ensure that this is the case:

- Wide stakeholder consultation (e.g. with the scientific community, NGOs, governments, etc)
- The use of standard practices in M&E processes
- Installation of management information systems

Given these requirements, and the comments made above about M&E plans and baseline data, thinking about M&E in the context of both the Strategic Partnership and specific country-level projects may itself play an important role in helping to clarify current gaps/weaknesses in information systems in Sub-Saharan African countries.

3 GEF IW INDICATORS AND REQUIREMENTS

Given that a significant part of funds for the Strategic Partnership are expected to come from GEF, and from the Waterbody-Based Operational Programme (OP8) in particular and to a lesser extent from the Coastal, Marine, and Freshwater Ecosystems Operational Programme (OP 2) (FAO/WB/GEF, 2005), it is important to review the related GEF requirements for M&E. GEF have prepared and published an indicator framework (Duda, 2002) for OP8 and OP9 (Water Multiple Focal Area Operational Programme) based on work started in 1996 by the former GEF International Waters Task Force (IWTF) and completed by the GEF Corporate Monitoring and Evaluation Team. Also important is the GEF paper (2003, GEF/C.22/Inf.8) on programme performance indicators for GEF International Waters Programs, as it would certainly be helpful for GEF if indicators used in the Strategic Partnership are consistent with their own, so that they are able internally to aggregate (where possible), the combined impacts of their activities.

3.1 KEY ASPECTS OF THE GEF IW INDICATOR FRAMEWORK

A number of key aspects are highlighted in the indicator framework that are worth reviewing, as they are likely to impact on the indicators to be used by the Strategic Partnership¹.

3.1.1 GEF objectives

The International Waters Operational Strategy of GEF itself, and its objectives, should be borne in mind when thinking of indicators for the Strategic partnership, as GEF will want to see indicators adopted that they can use to assess overall GEF programme performance. The overall thrust of GEF-funded IW activities is to meet the agreed incremental costs of:

- Assisting groups of countries to better understand the environmental challenges of their international waters and work collaboratively to address them;
- Building the capacity of existing institutions (or if appropriate, developing the capacity through new institutional arrangements); and
- Implementing measures that address priority transboundary environmental concerns.

For OP8, the goal is to assist countries in modifying the ways that human activities are conducted in a number of sectors so that a particular water body and its international drainage basin can sustainably support human activities. The long-term objective is to help countries to work collaboratively in achieving changes to sectoral policies and activities so that transboundary environmental degradation to specific water bodies can be addressed.

OP2 responds to guidance from the Convention of Biological Diversity (CBD) and is aimed at promoting the conservation and sustainable use of threatened coastal and marine resources, especially via coastal area management frameworks. It is also fundamentally based upon the use of the ecosystem-based management approach. The objective of sustainable use is to be secured through a combination of biodiversity conservation, production and socio-economic goals. As guided by the GEF Operational Strategy, this Operational Program is designed to be implemented in conjunction with the International Waters Focal Area, where the approach is to be implemented through LMEs based on distinct biogeographical provinces and other relevant scales

¹ This section, and the related tables in Appendix D, draw heavily on the paper by Duda, 2002 (GEF), and the GEF paper (2003, GEF/C.22/Inf.8) on programme performance indicators for GEF International Waters Programs

3.1.2 Time-periods required

The GEF Council has adopted an Operational Strategy that recognizes that the reversal of environmental degradation in complex transboundary freshwater or marine situations may take decades. As a result, it is recognized that different types of M&E indicators are needed for IW programmes/projects to show step-by-step progress towards improved management regimes, reforms, capacity development etc, rather than necessarily achieving them.

The implication of the time period required for change also means that the indicators that are agreed upon should typically stay in use beyond GEF-funded interventions.

3.1.3 Indicators can not be formulaic

GEF recognize that it is neither possible, nor indeed desirable, to describe a single, static set of indicators that could be employed in all circumstances given the number of countries and regions participating in GEF projects. Thus appropriate indicators may need to vary considerably according to the waterbody type, ecosystem setting, nature of interventions utilized, scientific and governance capacity, and specific stresses produced by sectoral activities that result in transboundary degradation.

3.1.4 Geographical and institutional levels involved

The GEF indicator framework acknowledges the need, where transboundary basins are involved, to work at different geographical and institutional levels: multi-country, national inter-ministerial, and sub-national/community levels. This in turn has the implication that different indicators are required to assess implementation and impacts at these different levels.

3.1.5 Transboundary diagnostic analysis (TDA) as a starting point

Typically GEF IW projects begin with fact-finding work to identify key problems, and their root causes. This work then becomes the starting point for developing and determining priorities for action subsequently contained in a Strategic Action Plan (SAP). Equally, the TDA can be used to inform the Logical Framework and the overall shape of the programme, and as such can have a major bearing on the indicators ultimately selected.

3.1.6 Key types of indicators

GEF have identified a series of three types of indicators as important elements of OP8 projects. These are described below.

Process indicators

Process indicators measure the progress of project activities typically in terms of inputs (procurement and production of goods, physical structures and services), and outputs (see Table 1). They also measure capacity and human resource development and stakeholder involvement. In the GEF context, process indicators are also adopted to reflect the extent, quality, and eventual on-the-ground effectiveness.

Given the time periods required to affect meaningful changes under GEF projects, process indicators can also be used to assess programme impacts, rather than just implementation. In this context, given the step-by-step nature of progress, process indicators assist in tracking the domestic and regional institutional, policy, legislative and regulatory reforms necessary to bring about change.

Examples of process indicators are:

- Establishment of country-specific inter-ministerial committees to reduce sectoral stresses
- Completion of a country-endorsed TDA
- Documentation of stakeholder involvement in preparation and creation of a stakeholder involvement plan for the project
- Completion of a SAP containing both regional and country specific actions
- Ministerial declarations

- Adoption of a M&E plan during project preparation
- Country-specific reforms to legislation or policy, institutions or standards

As noted above in Section 3.1.4, process indicators may be needed at multi-country level, or at single-country level. In addition, demonstration projects may be undertaken by a number of countries together, or by individual countries. Because these actions are fundamentally different to other actions that need to be assessed by indicators, GEF recommend a separate set of indicators for the evaluation of the process, quality and effectiveness of such projects.

Process indicators can either be scored on the basis of yes or no answers (e.g. has a regional treaty been ratified); but for some actions (at multi-country or individual country level) they will provide a measure of success of actions on a scale rather than just recording whether an action was taken or not. In such cases, indicators should measure a) how effective the process was in contributing to addressing the problem, and b) the extent to which the process meets criteria for i) adequate government involvement, ii) stakeholder participation, and iii) availability of varied sources of information. Scalar indicators are based on a range of possible outcomes in terms of effectiveness or quality, and the different levels of process quality may also represent different stages of the development of a project – thus the scalar indicators of government involvement, stakeholder participation and access to sound information, may be changed at different stages of the project.

Scalar indicators are typically used by GEF to assess process results and process quality for four key processes: TDAs; SAPs; joint institutional arrangements; and inter-ministry committees. Process outcome indicators for these four processes are presented in Table 10, Table 11, Table 12, and Table 13 in Appendix D.

In addition, another important indicator for individual countries is the financing available to carry out necessary investments identified as priorities by the TDA and the SAP processes. The scalar measurement of the effectiveness of this follow-up action is based on the proportion of the funds needed and identified in the SAP that are obtained. A scalar measure of the effectiveness can then be used as shown in Table 14 in Appendix D.

Finally, and as noted above, GEF propose separate indicators for demonstration projects which seek to interest local and regional authorities with similar conditions and problems in replicating techniques and approaches that are shown to bring about the desired results. The scalar indicators of effectiveness of demonstration activities are shown in Table 15 in Appendix D.

Stress reduction indicators

Stress reduction indicators relate to which project activities have resulted in specific on-the-ground changes in sectoral activities by the collaborating countries. They are measures of the degree of success achieved by the project in reducing the human behaviors that are known to contribute to the degradation of international waters. Whereas process indicators relate to the needed reforms, stress reduction indicators represent documentation that on-the-ground action occurred.

Examples of stress reduction indicators are:

- Point source pollution reduction investment completed
- Non-point source pollution programmes implemented
- Amount of water area placed in non-fishing zones or marine protected areas (MPAs)
- Amount of fishing fleet capacity removed
- Larger mesh fishnet policy and other fishing regulations enforced

Given the wide range of IW projects, GEF do not specify a group of standard indicators to be used across different projects, but six distinct categories of threats are highlighted as being: transboundary pollution, over-fishing, habitat loss, water availability and water withdrawals, land degradation, and vulnerability of human populations. Indeed GEF recommend that stress reduction indicators only be used for those projects where stress reduction is an actual project objective.

Programme performance indicators related to stress reduction under GEF recommendations/requirements, relate to a) the extent to which projects have properly identified,

monitored and reported on stresses, and b) the extent to which the project has succeeded in meeting its own objectives in regard to stress reduction (proxy indicators may also be used). As with process outcome indicators, GEF propose scalar indicators for both, as shown in Table 16 and Table 17 in Appendix D.

Environmental status indicators

Environmental status indicators are measures of the change in the state of the environment, but social indicators may also be appropriate to measure whether communities and stakeholders benefit from changes in the environmental conditions brought about by the project. This is especially important for the Strategic partnership that it has a strong focus on poverty and food security issues, as well as on sustainable management of resources.

For many transboundary systems, years may go by before a sufficient number of countries have implemented sufficient stress reduction measures to enable a change to be detected, although at the national/sub-national level, the time required to measure change may be less. The important thing is for collaborating countries to harmonize their sampling, laboratory and analysis methods so that they all agree on what water quality, quantity, or ecosystem parameters (living resources) should be sampled to track progress towards a goal.

Examples of environmental status indicators are:

- Improvements in trophic status
- Improved recruitment classes of target fish species, diversity, or keystone species
- Changes in local community income and social conditions
- Increased stakeholder awareness and documented stakeholder involvement.

As far as GEF is concerned, the indicators are most relevant to waterbodies that benefit from a “programmatic approach”, where several projects support the same waterbody, with projects implemented in stages over a time period that allows for the possibility of adopting strategic targets for environmental quality.

In terms of GEF IW programme performance, GEF use the same scalar indicators as for stress reduction to reflect stages of development (see Table 18 in Appendix D) to assess the level of monitoring and reporting on changes, but do not assess the appropriateness of the environmental indicator chosen or the progress towards achieving a strategic target.

Indicators for results of scientific assessments

Finally, GEF finances some IW projects to conduct scientific surveys and assessments. Unlike TDAs, such assessments are not expected to result in a SAP or a specific action programme, but rather to focus more generally on issues of global or regional importance to generate information to help with the understanding of global environmental threats.

For such projects, GEF propose a set of indicators based on the quality of the results and the methodology used, rather than on the processes. As shown in Table 19 in Appendix D indicators relate to the accessibility of outcomes to relevant decision makers, the usefulness of outcomes to relevant policy or programme issues, the quality of the assessment outcome, and the rigor of the methods used.

3.2 M&E PRACTICES

A number of different methods are needed to answer questions of processes and institutional development as well as environmental impact. GEF recommend² that a mix of methods be employed, such as quasi-experimental design methods for time series analyses, implementation surveys, structured interviews, process analyses, and qualitative approaches (participatory evaluations and beneficiary assessments). These alternative approaches to monitoring and evaluation can be employed separately or together to provide differentially conclusive but complementary evidence on programme and project performance and impact. The methods employed need to be determined for each of the monitoring and evaluation exercises. As a general rule, GEF strongly encourages the active inclusion and involvement of all key stakeholders in all monitoring and evaluation activities.

GEF, in accordance with the requirements laid out in Section 2 of this report, also require a logical framework to be used, suggest the use of PSR frameworks, and view feedback and dissemination of the analyses, findings, recommendations, and lessons learned as essential and integral part of monitoring and evaluation. This calls for clearly identified tasks, resources for their implementation, designated dissemination responsibilities, and identification of the needs of the end users.

Specifically, GEF view the main components of dissemination as being:

- Transparency in the availability of information from monitoring and evaluation activities
- Ease of access to relevant monitoring and evaluation information, as required by decision-makers and other users, including full disclosure of non-confidential information
- Special initiatives to engage policy and operations decision-makers and program stakeholders in internalizing the lessons from experience and best practices
- Requirements for the use of lessons and best practices in the development of new policies and projects
- Systematic action on the follow-up of findings and recommendations that flow from the M&E program
- Specific dissemination programs for Partner Agencies and country focal points.

Dissemination techniques can include: preparation of reports, summaries, and abstracts; electronic information systems; management and staff review sessions; wide participation in project review processes by project staff, task managers, and intended beneficiaries; special analyses of experience in project documents; and country and regional seminars and workshops and reference services.

² GEF, January 2002. Monitoring and Evaluation Policies and Procedures

4 POVERTY INDICATORS

It is clear from the background documents on the Strategic Partnership initiative that there is strong intention for the activities and benefits related to any funds dispersed not just to focus on sustainable resource use, but to place a strong emphasis on poverty alleviation. Of course activities promoting sustainable resource use can themselves be expected to make contributions towards poverty alleviation, and activities alleviating poverty may reduce stresses on the environment i.e. the poverty-environment nexus. But the SFIF may also wish to fund activities that are specifically poverty-orientated in their focus. As a result, and in addition to the GEF indicators discussed above, it may be helpful for the participants at the next consultative workshop in Tanzania to have in mind more poverty-specific indicators that might be used/adapted for both the Strategic Partnership as a whole, or for specific projects to funded by the SFIF. Some important poverty indicators are available for:

- The IDA Results Measurement System: Recommendations for IDA14 (IDA, 2004)
- The Millennium Development Goals
- The United States Millennium Challenge Account (MCA)
- The United Kingdom's Department for International Development Public Service Agreement (PSA)
- Specific Poverty Reduction Strategy Papers (PRSPs) in individual countries

The different indicators used are summarized in the table below, showing how the IDA indicators relate to those used by others.

Table 2: IDA, MDG, USMCA, and DFID PSA indicators, and inclusion of IDA indicators in PRSPs

IDA indicator	MDG indicators	US MCA list	DFID PSA list	% of PRSPs that include indicator ^{/1}
1. Proportion of population below US\$ 1/day poverty line	Yes	No	Yes	14
2. Prevalence of underweight children under five years of age	Yes	No	No	44
3. Under-5 mortality	Yes	No	Yes	75
4. Proportion of 1-year old children immunized against measles	Yes	Yes	No	11
5. HIV/AIDS prevalence rate of women age 15-24	Yes	No	Yes	6
6. Proportion of births attended by skilled health personnel	Yes	No	Yes	55
7. Ratio of girls to boys in primary and secondary education	Yes	No	Yes	64
8. Primary school completion rate	Yes	Yes	No	30
9. Proportion of population with sustainable access to an improved water source	Yes	No	No	86
10. Fixed lines and mobile telephones per 1,000 inhabitants	Yes	No	No	33
11. Formal cost required for business start up	No	Yes	No	3
12. Time required for business start up	No	Yes	No	11
13. Public financial management	No	No	No	0
14. Agricultural value added	No	No	No	19
15. GDP per capita	No	No	No	39
16. Access of rural population to an all-season road	No	No	No	14
17. Household electrification rate	No	No	No	28
18. Proportion of households using solid fuels	Yes	No	No	11

Source: IDA, 2004

/1 No. of countries with full PRSPs was 36 as of March 2004

IDA note that “not all these indicators are recommended for use as targets. Some, such as HIV prevalence and public sector management, lack adequate data for measuring trends over time. Others are based on data that are often more than three years old, or are subject to considerable fluctuations due to exogenous factors such as droughts or other natural causes. So while indicators are important for monitoring progress, they are not suitable for setting targets.”

The proportion of the population living on \$1/day is perhaps the most well known indicator of poverty, and may appear to be a ‘simple’ indicator. However, it can be extremely difficult to collect the necessary information in a timely fashion. Typically such information has to come from income and consumption surveys, which are generally only infrequently carried out at the national level, with the frequency of reporting typically being varied between countries. These problems are reflected in the fact that only a small proportion of PRSPs actually use such an indicator. A large number of countries now use proxy indicators for poverty such as the proportion of houses with timbered/hard floors, households owning a goat, households with a radio, and so on. Such proxy indicators are clearly very country-specific.

For the Millennium Development Goals a framework of 8 goals, 18 targets and 48 indicators to measure progress towards the has adopted by a consensus of experts from the United Nations Secretariat and IMF, OECD and the World Bank, as shown below.

Table 3: Indicators for the MDGs

Targets	Indicators
Target 1. Halve, between 1990 and 2015, the proportion of people whose income is less than one dollar a day	1. Proportion of population below \$1 (1993 PPP) per day (World Bank) 2. Poverty gap ratio [incidence x depth of poverty] (World Bank) 3. Share of poorest quintile in national consumption (World Bank)
Target 2. Halve, between 1990 and 2015, the proportion of people who suffer from hunger	4. Prevalence of underweight children under five years of age (UNICEF-WHO) 5. Proportion of population below minimum level of dietary energy consumption (FAO)
Target 3. Ensure that, by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling	6. Net enrolment ratio in primary education (UNESCO) 7. Proportion of pupils starting grade 1 who reach grade 5 (UNESCO) 8. Literacy rate of 15-24 year-olds (UNESCO)
Target 4. Eliminate gender disparity in primary and secondary education, preferably by 2005, and in all levels of education no later than 2015	9. Ratio of girls to boys in primary, secondary and tertiary education (UNESCO) 10. Ratio of literate women to men, 15-24 years old (UNESCO) 11. Share of women in wage employment in the non-agricultural sector (ILO) 12. Proportion of seats held by women in national parliament (IPU)
Target 5. Reduce by two thirds, between 1990 and 2015, the under-five mortality rate	13. Under-five mortality rate (UNICEF-WHO) 14. Infant mortality rate (UNICEF-WHO) 15. Proportion of 1 year-old children immunized against measles (UNICEF-WHO)
Target 6. Reduce by three quarters, between 1990 and 2015, the maternal mortality ratio	16. Maternal mortality ratio (UNICEF-WHO) 17. Proportion of births attended by skilled health personnel (UNICEF-WHO)

Targets	Indicators
Have halted by 2015 and begun to reverse the spread of HIV/AIDS	18. HIV prevalence among pregnant women aged 15-24 years (UNAIDS-WHO-UNICEF) 19. Condom use rate of the contraceptive prevalence rate (UN Population Division) 19a. Condom use at last high-risk sex (UNICEF-WHO) 19b. Percentage of population aged 15-24 years with comprehensive correct knowledge of HIV/AIDS (UNICEF-WHO) 19c. Contraceptive prevalence rate (UN Population Division) 20. Ratio of school attendance of orphans to school attendance of non-orphans aged 10-14 years (UNICEF-UNAIDS-WHO)
Target 8. Have halted by 2015 and begun to reverse the incidence of malaria and other major diseases	21. Prevalence and death rates associated with malaria (WHO) 22. Proportion of population in malaria-risk areas using effective malaria prevention and treatment measures (UNICEF-WHO) 23. Prevalence and death rates associated with tuberculosis (WHO) 24. Proportion of tuberculosis cases detected and cured under DOTS (internationally recommended TB control strategy) (WHO)
Target 9. Integrate the principles of sustainable development into country policies and programmes and reverse the loss of environmental resources	25. Proportion of land area covered by forest (FAO) 26. Ratio of area protected to maintain biological diversity to surface area (UNEP-WCMC) 27. Energy use (kg oil equivalent) per \$1,000 GDP (PPP) (IEA, World Bank) 28. Carbon dioxide emissions per capita (UNFCCC, UNSD) and consumption of ozone-depleting CFCs (ODP tons) (UNEP-Ozone Secretariat) 29. Proportion of population using solid fuels (WHO)
Target 10. Halve, by 2015, the proportion of people without sustainable access to safe drinking water and sanitation	30. Proportion of population with sustainable access to an improved water source, urban and rural (UNICEF-WHO) 31. Proportion of population with access to improved sanitation, urban and rural (UNICEF-WHO)
Target 11. By 2020, to have achieved a significant improvement in the lives of at least 100 million slum dwellers	32. Proportion of households with access to secure tenure (UN-HABITAT)
Target 12. Develop further an open, rule-based, predictable, non-discriminatory trading and financial system. Includes a commitment to good governance, development and poverty reduction - both nationally and internationally Target 13. Address the special needs of the least developed countries. Includes: tariff and quota-free access for least developed countries' exports; enhanced programme of debt relief for heavily indebted poor countries (HIPC) and cancellation of official bilateral debt; and more generous ODA for countries committed to poverty reduction Target 14. Address the special needs of landlocked developing countries and small island developing States (through	Official development assistance (ODA) 33. Net ODA, total and to LDCs, as percentage of OECD/Development Assistance Committee (DAC) donors' gross national income (GNI)(OECD) 34. Proportion of total bilateral, sector-allocable ODA of OECD/DAC donors to basic social services (basic education, primary health care, nutrition, safe water and sanitation) (OECD) 35. Proportion of bilateral ODA of OECD/DAC donors that is untied (OECD) 36. ODA received in landlocked developing countries as a proportion of their GNIs (OECD) 37. ODA received in small island developing States as proportion of their GNIs (OECD) Market access 38. Proportion of total developed country imports (by value and excluding arms) from developing countries and from LDCs, admitted free of duty (UNCTAD,

Targets	Indicators
<p>the Programme of Action for the Sustainable Development of Small Island Developing States and the outcome of the twenty-second special session of the General Assembly)</p> <p>Target 15. Deal comprehensively with the debt problems of developing countries through national and international measures in order to make debt sustainable in the long term</p>	<p>WTO, WB)</p> <p>39. Average tariffs imposed by developed countries on agricultural products and textiles and clothing from developing countries (UNCTAD, WTO, WB)</p> <p>40. Agricultural support estimate for OECD countries as percentage of their GDP (OECD)</p> <p>41. Proportion of ODA provided to help build trade capacity (OECD, WTO)</p> <p>Debt sustainability</p> <p>42. Total number of countries that have reached their Heavily Indebted Poor Countries Initiative (HIPC) decision points and number that have reached their HIPC completion points (cumulative) (IMF - World Bank)</p> <p>43. Debt relief committed under HIPC initiative (IMF-World Bank)</p> <p>44. Debt service as a percentage of exports of goods and services (IMF-World Bank)</p>
<p>Target 16. In cooperation with developing countries, develop and implement strategies for decent and productive work for youth</p>	<p>45. Unemployment rate of young people aged 15-24 years, each sex and total (ILO)</p>
<p>Target 17. In cooperation with pharmaceutical companies, provide access to affordable essential drugs in developing countries</p>	<p>46. Proportion of population with access to affordable essential drugs on a sustainable basis (WHO)</p>
<p>Target 18. In cooperation with the private sector, make available the benefits of new technologies, especially information and communications</p>	<p>47. Telephone lines and cellular subscribers per 100 population (ITU)</p> <p>48. Personal computers in use per 100 population and Internet users per 100 population (ITU)</p>

PRSPs in individual countries are also potentially of great concern, as both the Strategic Partnership and individual projects/activities to be funded should ensure coherence with national PRSPs. Such coherence could potentially be enhanced if indicators used by the Strategic Partnership and by specific projects are aligned with those indicators used in PRSPs.

An example of the indicators used in a PRSP, for the Cape Verde Growth and Poverty Reduction Strategy Paper (GPRSP) of 2004, is provided overleaf.

Table 4: Indicators for monitoring Growth and Poverty Reduction Strategy in Cape Verde

PILLAR 1					
PROMOTE GOOD GOVERNANCE, REINFORCING EFFECTIVENESS AND GUARANTEEING EQUITY					
MACROECONOMIC INDICATORS		FORECAST			
		2004	2005	2006	2007
1	Per capita GDP growth rate	3.6%	4.1%	4.5%	5.0%
2	Real GDP growth rate	5.5%	6%	6.5%	7%
3	Inflation rate	1.0%	2%	2%	2%
4	Budget deficit (% of GDP)	-4.3	-7.6	-7.3	-6.1
5	International reserves (in months of imports)	2	2.3	2.5	2.8
Other indicators of good governance		BENCHMARKS			
		Base	2005	2006	2007
6	Poor (% of population)	36.7			
7	Very poor (% of population)	19.7			
8	MTEF drafted and approved by Ministries	3	4	5	
9	Environmental expenditures (% of National Budget)		3%	4%	4%
10	Education expenditures (% of National Budget)	20%	22%	22.5%	23%
11	Health expenditures (% of National Budget)	6.3%	6.5%	7%	7%
PILLAR 2		BENCHMARKS			
PROMOTE COMPETITIVENESS TO FOSTER ECONOMIC GROWTH AND JOB CREATION		Base	2005	2006	2007
12	Direct investment (net, US\$ million)	1,484	3,648	5,465	6,066
13	Unemployment rate	17.3			
14	Homes connected to power grid (%)		70%	75%	78%
15	Number of overnight stays / tourist	832,000			
PILLAR 3		BENCHMARKS			
DEVELOP AND UPGRADE HUMAN CAPITAL		Base	2005	2006	2007
Education					
16	Nr. of people with professional training	7,453			
17	Adult literacy rate (15 to 49 year old)	86.4%	88.5%	89.2%	90%
		F	83.4%	85.5%	86.2%
18	Early childhood coverage rate (0 – 5 years old)	MF	54%	58%	62.5%
		F	52%	59%	63.5%
19	Proportion of children completing basic education within 6 years		44.6%	46.6%	47.3%
20	Secondary education gross admission rate		81.5%	82%	82.5%
21	Proportion of secondary education students attending the technical branch		7.4%	8.5%	10.1%
			9.2%		
Health					
22	% of population with easy access to health facilities		35%	47%	76%
23	Infant mortality rate (per 1,000)		28.2		

24	Maternal mortality rate (per 100,000)	7.6			
25	Immunization rate (% of children under 1 year old)		80%	85%	90%
26	Change in occurrence of infectious and parasitical disease (reduction)		3%	6%	10%
27	Occurrence of HIV/AIDS on attended pregnant women		1.1%	1.1%	1%
28	Children underweight (under 5, per 10,000)	55,4%			
PILLAR 4		BENCHMARKS			
IMPROVE AND DEVELOP BASIC INFRASTRUCTURE, PROMOTE LAND USE PLANNING, AND PROTECT THE ENVIRONMENT		Base	2005	2006	2007
29	Proportion of families connected to water grid	25%	50%	65%	80%
30	Percentage of families connected to power grid	58.5%			
31	Proportion of families with access to sewerage grid	11.5%	30%	50%	65%
32	Population with access to solid waste collection system		40%	50%	55%
33	Area covered by micro-irrigation infrastructure (% of total irrigated area)		15%	20%	25%
34	Number of watersheds with operational plans		5%	10%	15%
PILLAR 5		BENCHMARKS			
IMPROVE THE EFFECTIVENESS AND SUSTAINABILITY OF THE SOCIAL PROTECTION SYSTEM		Base	2005	2006	2007
35	Population covered by a social protection system (% of total population)		10%	20%	30%
36	Number of Minimum Social Security pensioners	6,514	7,600	8,600	9,500
37	Number of Social Solidarity pensioners	9,373	12,500	14,200	16,000

In another example, this time from Senegal, the PRSP establishes clear medium and long-term goals for poverty reduction outcomes with outcome and performance indicators, *inter alia*, for education (attendance and enrolment rates, literacy, state expenditure), health (immunization against different communicable diseases, infant mortality, access to drinking water, state expenditure), nutrition (rates of stunting, wasting rates), gender disparities, rural/urban income gaps, and indicators of economic growth.

5 PROPOSED INDICATORS FOR THE STRATEGIC PARTNERSHIP AND ITS PROJECTS/ACTIVITIES

5.1 INTRODUCTION

This section turns more specifically to the indicators that might be used for the Strategic Partnership. In this context it is important to raise a number of questions, the answers to which will strongly determine the appropriateness and selection of indicators to be used.

Firstly, what is it reasonable to assume could be achieved by the Strategic Partnership, and specific projects, given the funds available? Without careful articulation of the answer, indicators are likely to be unrealistic, and where over-ambitious, evaluations will then deem the Strategic Partnership and specific projects to have failed.

Secondly, to what extent should indicators be process-orientated, as opposed to being results/performance orientated i.e. impacting on environmental stresses and environmental status? As noted above in Section 3, GEF take a strongly process-orientated approach to IW indicators given the time often involved in making meaningful change. The Bank on the other hand, and indeed many other donors and countries involved in the Strategic Partnership, may desire a stronger emphasis on results/performance. Such indicators may be especially important in light of the recent re-engagement of the Bank with the fisheries sector after a number of years in which there has been relatively little fisheries activity – in order to sustain the Bank’s interest in the sector, it is likely to be important to show that the funds spent have resulted in measurable results.

Thirdly, what is going to be the cost of collecting information/data necessary in relation to different indicators? Some specific budget allocation must be made for M&E under the Strategic Partnership as a whole, as well as by all individual projects, and a balance must be struck whereby sufficient information is generated to monitor and evaluate activities, without placing an undue burden on resources leaving limited monies available for actual project activities. Overall, and to the extent possible in allowing for meaningful M&E, the following proposals attempt to keep indicators simple.

Fourthly, and perhaps most importantly, to what extent are different indicators appropriate for a) the Strategic Partnership as a whole, and b) for specific project activities? To answer this question we should note that a) the Dakar Meeting noted that specific project-level indicators would need to be derived from the specific goals, objectives and expected outcomes of country-level projects, and b) the consultant is of the view that the draft indicators proposed at the Dakar Meeting and contained in Appendix A, are primarily related to both activities/inputs and outputs at the Strategic Partnership level and not to overall objectives.

Given the importance of being clear about whether indicators relate to the Strategic Partnership or to specific projects, Sections 5.2 and 5.3 consider separately indicators for the Strategic Programme and for individual projects. In both sub-sections, the intention is to merge the general requirements for indicators and a successful M&E programme (see Section 2) with:

- GEF M&E requirements (see Section 3), given that a significant proportion of funds for the Strategic Partnership are likely to come from GEF
- MDG and PRSP indicators (see Section 4), given the strong emphasis of the Strategic Partnership on poverty alleviation
- The preliminary ideas of the Dakar Meeting with regard to indicators (see Appendix A),
- Country-level projects to be supported by the Strategic Partnership (see Appendix E), and
- The eligibility criteria agreed at the Dakar Meeting (see Appendix F)

The latter two points are considered especially important, as while the exact detail of country-level projects is not yet known, the eligibility criteria and country-level projects agreed in Dakar provide a very clear indication of the type of activities that will be supported.

Finally by way of introduction to the indicators proposed, two additional points are made.

Firstly, given the different types of terminology used for different forms of indicators as discussed at the beginning of this paper (see Section 2.2), it was thought helpful for the eventual M&E if the indicators proposed are clearly defined/identified by type. As a result the following text uses a key for each indicator to demonstrate whether it is an indicator relating to process outcomes (P), or performance i.e. stress reduction (S), or environmental status (ES).

Secondly it is not within the terms of reference for this paper to develop a full M&E plan for the Strategic Partnership or for specific projects, but these will need to be prepared prior to any funding. These M&E plans will need to contain all the items and detail as suggested in Section 2.3.2 as being normal components of such plans.

5.2 STRATEGIC PARTNERSHIP INDICATORS

5.2.1 Goal and Objectives

The introduction to this section stressed the need for indicators to be simple, and noted that indicators should be based on what is realistic in terms of project impacts/benefits. A key starting point for assessing what is realistic is an examination of the goal and objectives of the Strategic Partnership SFIF within the context of a logical/results framework (see Table 1 in Section 2.3.1) – but the goal and objectives should also themselves be informed by what it is realistic to hope the SFIF might achieve (see Section 5.2.2 below).

The consultant believes that the goal and objectives as presented in the report of the Dakar Meeting require a little re-organization in terms of their exact specification although not in terms of their overall intention, and this specification clearly has an important bearing on the indicators proposed.³ Programme design must stem from the overall goal, and in reviewing the goal(s) as stated in the Dakar report it appears that *the overall goal of the project is the fulfillment of WSSD targets*. These targets were, respectively for poverty and food security, to reduce by half the proportion of people living on less than a dollar a day and to reduce by half the proportion of people who suffer from hunger. In fisheries, the overarching commitment at WSSD was to develop sustainable fisheries. Within this commitment, key objectives are to:

- Maintain or restore stocks to levels that can produce the Maximum Sustainable Yield (MSY) by 2015
- Establish representative networks of Marine Protected Areas (MPAs) by 2012
- Put into effect the IPOA on the *management of fishing capacity* by 2005
- Put into effect the IPOA to *prevent, deter and eliminate Illegal, Unreported and Unregulated (IUU) Fishing* by 2004
- Encourage the application of the Ecosystem Approach by 2010
- To progressively eliminate subsidies

This goal points to *two key objectives of the project*:

1. *Sustainable use of fisheries resources in the large marine ecosystems (LMEs) of Sub-Saharan Africa*. Sustainable use of fisheries will *de facto* ensure fulfillment with WSSD

³ A programme or project should only have one goal not multiple goals, and some of the objectives specified in the Dakar report appear to relate more closely to outputs, rather than objectives. The goal and objectives provided above are informed by the Dakar Meeting report and discussions with staff at FAO, WB and WWF during the preparation of this paper.

targets on sustainable fisheries exploitation. But it will also contribute to both poverty alleviation (and food security) through ensuring a productive resource on which people in Sub-Saharan Africa can depend. This resource can then be used for generation of wealth at individual, household, local, national and regional levels resulting in both poverty reduction and poverty prevention, and for food security (both direct and indirect⁴) again at individual, household, community, and national levels.

2. **Poverty alleviation and food security in sub-Saharan Africa.** The overall emphasis since the conception of an idea for a Sustainable Fisheries Investment Fund and a Strategic Partnership programme, has been strongly premised on the fact that alleviating poverty in the region should be a primary focus of the project. This necessitates an approach that is strongly 'people- and poverty-focused' in its orientation.

5.2.2 Realistic achievements in sustainable resource use and poverty alleviation

It is likely that the SFIF will be used to fund around 10-12 projects. The relatively small number of projects, and the potential level of funds available should combine to ensure that meaningful impacts can be achieved.

Activities/projects focusing on sustainable resource use may be expected to make differences at a national level to fisheries management and stock status, but it is unlikely that activities/projects focusing on poverty alleviation will make differences at a national level to poverty. As a result, indicators for specific poverty-focused activities/projects should focus on impacts in the project area i.e. in the communities that are beneficiaries.

A key factor in terms of overall impacts will therefore be the extent to which funds are used on activities related to sustainable resource use, as opposed to poverty alleviation. Some activities for example may focus specifically on issues of capacity building for fisheries management or governance of the fisheries sector through improved legislation and policy; other activities may support post-harvest initiatives aimed at increasing value-added and have little to do directly with fisheries management.⁵

5.2.3 Strategic Partnership SFIF Performance Indicators

The following performance indicators are proposed for the Strategic Partnership objectives. Some notes are provided following the table with additional information/justification on specific indicators.

While the eligibility criteria and country-level projects to be supported by the Strategic Partnership provide a clear idea about the type of projects to be funded under the SFIS, the fact that specific goals, objectives, outcomes and activities of country-level projects are not yet known raises certain problems, which are reflected in the table:

1. The lack of certainty about what exactly will be funded under the SFIF makes it impossible to specify indicators for activities/outputs for the Strategic Partnership. Thus it is only possible at this stage to propose overall indicators for the Strategic Partnership's/SFIF's objectives. (But see Section 5.3 for project-specific indicators which might end up becoming output indicators for the Strategic Partnership)
2. However, even at the objective level the lack of knowledge about the detail of what may end up being funded means that it is also not possible to specify quantitative objective indicators for impacts at the overall regional level e.g. area of MPA in sub-Saharan Africa increased by/to X%, CPUE for key species increased by X%, etc. For example, it is not certain whether

⁴ Fish resources can contribute *directly* to food security through the supply of the fish itself (i.e. through subsistence mechanisms). But can also contribute *indirectly* to food security through the revenues which are generated from production and related processing and marketing activities which can then be used to purchase food.

⁵ The poverty-environment nexus is noted here, and means that increases in sustainable resource use could lead to poverty alleviation while poverty alleviation could lead to more sustainable resource use.

any specific country projects will chose to focus on MPAs at all. This means that it may be most useful at the programme level to use indicators that assess the % of projects fulfilling their own objectives relating to sustainable resource use and/or poverty alleviation, and assess the performance of the Strategic Partnership based on the performance of the specific country-level activities.

In the table below the majority of indicators propose that “100% of projects....”. The implicit implication of this is that all such indicators should be considered as ‘core indicators’ in the sense of being a minimum requirement for specific projects. The relatively long list of indicators clearly also has implications in terms of the cost of data collection. The forthcoming workshop in Tanzania will therefore need to carefully consider whether to a) amend the percentages in the table to different levels agreed by stakeholders, and/or b) remove specific indicators. In relation to the latter, as noted in Section 2.3.2 and the introduction to this section, M&E is being considered increasingly important and sufficient budget allocations must therefore be made for M&E under the Strategic Partnership as a whole, as well as by all individual projects. Many of the Strategic Partnership indicators in the table below would be derived from the M&E outputs of individual projects so would not pose an undue burden on M&E at the Strategic Partnership level. And given the potential size of individual projects, it is not thought that the indicators proposed would pose a significant problem for them. Furthermore, M&E requirements in the context of both the Strategic Partnership and specific country-level projects may themselves play an important role in helping to improve information systems in Sub-Saharan African countries. Given the large sums of money that will ultimately be deployed under the SFIF, and while recognising the need to keep indicators simple, the consultant would warn against excessively reducing the number of indicators used.

Table 5: Strategic Partnership SFIF Performance Indicators

Objective	Indicators	Means of Verification	Assumptions
<i>Sustainable use of fisheries resources in the large marine ecosystems (LMEs) of Sub-Saharan Africa</i>	<ul style="list-style-type: none"> 100% of projects focusing on sustainable resource use have disseminated key findings and lessons learned to all other countries in the region as part of project activities (P) /1 100% of projects benefiting from funding under the SFIF with sustainable resource use as an objective can demonstrate improvements in sustainable resource use at the national level through achievement of their project specific targets related to at least one of the following: /2 Increases in stock biomass for key species (ES); Catches moving towards MSY for key species being over-exploited (S); CPUE for key fleet segments increased (S); Average fish length for key species increased (ES); Average fish weight for key species increased (ES); other as specified by individual projects 100% of countries benefiting from funding under the SFIF with sustainable resource use as an objective have published a long-term strategy for sustainable resource use, following appropriate stakeholder consultation. /3 (P) 100% of projects benefiting from funding under the SFIF with sustainable resource use as an objective have participated in ongoing or planned regional GEF LME programmes and other regional initiatives, where such programmes/initiatives have identified transboundary problems involving the country concerned. /4 (P) 100% of demonstration activities are replicable with interest shown by other countries/areas (P) 100% of scientific assessments are relevant and useful to policy makers, of high quality, and employed rigorous methods (P) 100% of projects and all their components, conform to defined eligibility criteria (P) 	<ul style="list-style-type: none"> Documentation of specific country-level projects, workshop reports Individual project M&E reports based on landings data, stock assessment surveys, boat numbers Published strategy plans and records of processes used for their development and stakeholder consultation Records of government participation, and project records from regional programmes /initiatives Project reports Project report Project proposals 	<p>Willingness to share results regionally</p> <p>Exogenous environmental factors don't negatively impact on resources</p> <p>Countries accept sustainable resource use as a key priority and basis on which to manage stocks</p> <p>Regional problems identified and countries willing to participate in regional initiatives</p>

Objective	Indicators	Means of Verification	Assumptions
<i>Poverty alleviation and food security in sub-Saharan Africa</i>	<ul style="list-style-type: none"> 100% of projects focusing on poverty alleviation and/or food security have disseminated key findings and lessons learned to all other countries in the region as part of project activities (P) 100% of projects benefiting from funding under the SFIF which have poverty alleviation and/or food security as an objective can demonstrate poverty alleviation and/or increases in food security in the project area, based on achievement of project specific targets related to at least one of the following: % of people living on less than \$1/day /5 (ES); Increases for fishing households in the total income received from, and/or the total number of people receiving their income from, sustainable fish practices and/or increases in non-fishing activities (ES); Local employment multipliers from the fisheries sector are increased (ES) /6; GDP from the fishing sector increased (ES); No. of people vulnerable/extent of vulnerability in fishing communities decreased (ES); Reduction in gender differences in poverty (ES); Prevalence of underweight children under five years of age (ES); Proportion of population below minimum level of dietary energy consumption (ES); other as specified by individual projects X% of projects benefiting from funding under the SFIF which have poverty alleviation as an objective have succeeded in getting fisheries considered/incorporated into PRSPs or national poverty reduction strategies, where PRSPs or strategies are developed during the course of project activities. /7 (P) 100% of projects benefiting from funding under the SFIF which have poverty alleviation and/or food security as an objective have objectives, outputs and indicators which are coherent with PRSPs or national poverty reduction strategies. /8 (P) 100% of demonstration activities are replicable with interest shown by other countries/areas (P) 100% of projects and all their components, conform to defined eligibility criteria 	<ul style="list-style-type: none"> Documentation of specific country-level projects, workshop reports Specific project M&E reports, based on: <ul style="list-style-type: none"> household surveys /9 studies on the number of people engaged in, and income generated from, upstream and downstream (post harvest) activities <ul style="list-style-type: none"> National statistics Vulnerability assessments Demographic and health surveys /10 PRSPs and national poverty reduction strategies PRSPs and national poverty reduction strategies Project reports Project proposals 	<p>Willingness to share results regionally</p> <p>Exogenous environmental, social and economic factors don't negatively impact on poverty and food security</p> <p>Fisheries considered high enough importance relative to other sectors</p> <p>Indicators in PRSPs relevant to specific projects</p> <p>Similar problems and conditions occurring elsewhere</p>

- /1 The Dakar Meeting report stated as a key objective that the Strategic Partnership should “Promote learning, information exchange and capacity building at the regional level, to ensure that the lessons from successes and failures of country and LME level investments are adequately disseminated”. Such dissemination can be viewed as an important starting point for improvements in sustainable resource use and poverty alleviation.
- /2 A range of ways to demonstrate improvements in sustainable resource use are provided to allow for the fact that countries may have different data available for baseline requirements and may themselves select different indicators of performance. It is not thought possible or sensible to specify the specific project targets relating to CPUE, stock biomass etc, and these will need to be defined by the projects themselves based on what they think is realistic given project design and local conditions. In addition, and in relation to this indicator, demonstration activities and scientific assessments should not be expected to result in changes at the national level.
- /3 Formalized and published long-term strategies are felt to be a pre-requisite for sustainable management, but to be successful must themselves be based on extensive consultation to ensure

'buy-in' by stakeholders. It could thus be considered important for all projects in countries where such strategies are absent to ensure some funding for their development. However, it is also noted that very few countries may have such strategy documents in place already, so the figure of 100% may need revising to a more realistic level.

- /4 While there has been some criticism of GEF programmes during recent evaluations, the SFIF funding mechanism is intended primarily for country-level projects that would complement other ongoing and planned regional GEF LME programmes and other initiatives in the region. LME programmes are being implemented or are in preparation for: Benguela Current; Gulf of Guinea; Canary Current and Somali & Agulhas. Participation in regional initiatives is therefore suggested as a pre-requisite for sustainable resource in countries where transboundary issues are highlighted as being of concern, and the SFIF would provide the means for countries to engage in regional initiatives whereas otherwise they may not have the means. For example, if a regional shared stock is considered badly over-exploited, specific country-level projects might be expected to include at least some measures/components to address the problem with support from the SFIF.
- /5 Section 4 discussed some of the problems of the apparently 'simple' \$/day indicator. This means that if such an indicator was used by the Strategic Partnership or by a specific project, both the baseline data and any changes to it, may not be available from existing government data collection programmes at the time required, and other proxy indicators might need to be used. In addition, and in relation to this indicator, demonstration activities should not be expected to result in changes at the project area level.
- /6 It is considered unlikely that sufficient baseline data will be available to include income multipliers in the indicators used but could of course be included
- /7 The incorporation of the fisheries sector in PRSPs or national poverty reduction strategies is likely to provide a two-way benefit. Firstly, given the significant contribution that fisheries can make to poverty alleviation at local, regional and national levels, such inclusion can be expected to alleviate poverty. Secondly, such inclusion will help to raise the profile of the fisheries sector, thereby resulting in poverty alleviation and sustainable resource use in fishing communities.
- /8 Coherence is considered an important criterion of evaluation and will increase the likelihood of specific projects achieving their objectives/targets.
- /9 Ideally proof of impacts on poverty should be verified through the use of 'control' areas i.e. areas or villages not covered by the project but with similar characteristics, so as to be able to assess the relative changes in poverty in project and non-project areas. However where this is not possible due to cost or other issues, more qualitative methods could be used to ascertain whether changes are viewed to be a result of the project or not. In either case, household surveys can be costly and should be designed and implemented by specific TA with relevant experience, so should be budgeted for in all relevant projects
- /10 These might allow for disaggregation at village level

5.2.4 Strategic Partnership SFIF scalar indicators

In addition to the performance indicators proposed above, it is strongly suggested that a number of scalar indicators be used related to process, as well as M&E of stress and environmental status. Scalar indicators related to demonstration activities and scientific indicators should be used by specific projects. The use of scalar indicators is important given both a) the paucity of data in many countries in Sub-Saharan Africa which may impede the use of quantitative performance indicators (see 2.3.3), but also due to the time that it may take for changes brought about by funding to be reflected in quantitative performance indicators (see 3.1.2).

Using the GEF model it is suggested that scalar indicators concentrate on a) the degree of government support, b) the degree of stakeholder involvement, c) the degree to which a process has been established to access the best available information, and d) the extent of the effectiveness of the quality and outcome of the process.

For all scalar indicators proposed in the tables below, it is recommended that rows be completed to provide an appropriate banding/range of percentages felt to be acceptable (see Appendix D), e.g. row one might be 100% of projects, row 2 less than 100% but more than 80%, row 3 less than 80% but more than 50%, and row 4 less than 50%.

As with the indicators proposed in Section 5.2.3 above, the workshop will need to consider whether all the scalar indicators are desirable given the likely costs of collection.

It is noted that a number of the scalar indicators are somewhat subjective in nature. This is not necessarily a problem if experienced evaluation experts are involved in evaluations and back up their key findings with appropriate evidence/justification.

Table 6: Strategic Partnership scalar process indicators

Government Involvement	Stakeholder Participation	Sound Information	Process Results
Degree to which governments from countries with projects funded under the SFIF support and endorse the concept of sustainable resource use and poverty alleviation	Degree to which the process incorporates stakeholders	Degree to which a process has been established to access the best available information	Degree to which projects analyze specific causes and options for addressing them
Percentage of countries in region participating in specific projects that have provided appropriate levels of staffing and financial resources	Percentage of projects in which stakeholders have been, or are being, adequately involved.	Percentage of projects which incorporate most recommendations and information from stakeholders and provides feedback to them. Percentage of countries in which projects are funded that have established appropriate mechanisms to obtain sectoral information and ensure cross-sectoral collaboration as part of project formulation, and to disseminate of findings	Percentage of country projects which address root causes of unsustainable resource use, poverty and/or food insecurity Percentage of country projects which identify realistic options for addressing root causes of unsustainable resource use, poverty and/or food insecurity
Banding/ranges of percentages to be agreed	Banding/ranges of percentages to be agreed	Banding/ranges of percentages to be agreed	Banding/ranges of percentages to be agreed
Banding/ranges of percentages to be agreed	Banding/ranges of percentages to be agreed	Banding/ranges of percentages to be agreed	Banding/ranges of percentages to be agreed
Banding/ranges of percentages to be agreed	Banding/ranges of percentages to be agreed	Banding/ranges of percentages to be agreed	Banding/ranges of percentages to be agreed

Table 7: Strategic Partnership scalar indicators of monitoring and reporting on stress reduction

% of specific projects where plans for monitoring stress reduction have been established	% of specific projects where monitoring plans for stress reduction have been established, data gathering responsibilities are clearly defined, and adequate staff and budget are provided	% of specific projects where monitoring systems established, and where monitoring plans for stress reduction are under implementation but no data have been reported	% of specific projects where monitoring systematically gathers and reports data related to the baseline and where data has been documented and analyzed.
Banding/ranges of percentages to be agreed	Banding/ranges of percentages to be agreed	Banding/ranges of percentages to be agreed	Banding/ranges of percentages to be agreed
Banding/ranges of percentages to be agreed	Banding/ranges of percentages to be agreed	Banding/ranges of percentages to be agreed	Banding/ranges of percentages to be agreed
Banding/ranges of percentages to be agreed	Banding/ranges of percentages to be agreed	Banding/ranges of percentages to be agreed	Banding/ranges of percentages to be agreed

Table 8: Strategic Partnership scalar indicators of monitoring and reporting on changes in environmental status

% of specific projects where plans for monitoring environmental status reduction have been established	% of specific projects where monitoring plans for environmental status reduction have been established, data gathering responsibilities are clearly defined, and adequate staff and budget are provided	% of specific projects where monitoring systems established, and where monitoring plans for environmental status reduction are under implementation but no data have been reported	% of specific projects where monitoring systematically gathers and reports data related to the baseline and where data has been documented and analyzed.
Banding/ranges of percentages to be agreed	Banding/ranges of percentages to be agreed	Banding/ranges of percentages to be agreed	Banding/ranges of percentages to be agreed
Banding/ranges of percentages to be agreed	Banding/ranges of percentages to be agreed	Banding/ranges of percentages to be agreed	Banding/ranges of percentages to be agreed
Banding/ranges of percentages to be agreed	Banding/ranges of percentages to be agreed	Banding/ranges of percentages to be agreed	Banding/ranges of percentages to be agreed

5.3 PROJECT SPECIFIC INDICATORS

This paper is only intended to provide indicators for the Strategic Partnership as a whole - the Dakar Meeting noted that the specific project-level indicators would need to be derived from the specific goals, objectives and expected outcomes of country-level projects. And as noted above it is not possible to suggest detailed indicators for outputs of the Strategic Programme, only objectives. However, given that the Dakar Meeting has already suggested some indicators that may be relevant to specific projects, the following table provides some additional input and clarification to these indicators. These specific project indicators may end up being utilized in the output indicators for the Strategic Partnership.

The table below, in addition to the goal and objectives of the Strategic Partnership, should be useful for specific projects as they develop their own detailed logical/results frameworks. For example it is likely that many of the specific projects may include a number of different components covering some of the outputs proposed below. If this turns out to be the case, then logical/results frameworks for specific projects could merge column 1 in Table 5 with column 1 in Table 9 (but with outputs not relevant being deleted) to form the narrative of the project structure for a specific project.

For all outputs it is recommended that in addition to the indicators proposed below (which principally focus on quantifiable results achieved), individual projects also consider a number of scalar indicators in line with the format used by GEF (see Appendix D and the section above). These would need to be adapted and tailored for specific projects as they are proposed.

Table 9: Specific project performance indicators

<p>Potential outputs of the Strategic Programme which could be either outputs or objectives of specific projects</p> <ol style="list-style-type: none"> 1. A long-term strategy for sustainable management of the fisheries sector 2. Improving fisheries sector governance 3. Effective MCS and legal/administrative systems acting as deterrent to potential offenders 4. Strengthening government capacity to negotiate equitable and sustainable fishing agreements 5. Increased financial viability of sector 6. Increased access to micro-finance 	<ol style="list-style-type: none"> 1. <ol style="list-style-type: none"> a. Have countries put in place long term strategies for sustainable management in place (P) b. Have countries got national codes, laws and regulations compatible with sustainable fisheries 2. Have countries put in place new policy, legal, and institutional reforms and sector adjustments that are in accordance with the Code of Conduct (P) 3. <ol style="list-style-type: none"> a. % of inspections resulting in infringements detected (S) b. level of MCS budgets maintained or increased (P) c. catches made by IUU vessels (S) d. Stakeholder views of deterrent effect and changes in activities of industrial vessels inshore (P) 4. <ol style="list-style-type: none"> a. Compensation payments per tonne of resource extracted is increased (P) b. Have countries established units and trained staff to negotiate fishing agreements (P) c. No. of trained staff in the countries actively engaged in negotiating agreements (P) d. Number of seminars/course organized on fishing agreements (P) e. Principles of sustainability in national codes and laws are taken into account in fishing agreements (P) 5. <ol style="list-style-type: none"> a. increase in domestic value-added (net profit plus wages) from catching, processing and marketing sectors per tonne of fish landed/processed/sold (S) 6. <ol style="list-style-type: none"> a. Amount of money saved resulting from project initiatives (P) b. Increase in no. of people paying into savings schemes (P) c. Amount of money lent as a result of project initiatives (P) d. No. of beneficiaries (P) e. Number of fishers with access to micro-finance (S) f. No. of training courses and/or number of people trained in micro-finance activities (P) 	<p><i>NB The means of verification provided below do not include those means to verify scalar indicators.</i></p> <ol style="list-style-type: none"> 1. Strategy documents. National codes, laws and regulations 2. New policy documents, legislation and regulations, Ministerial decrees and statements on sector policy 3. Government records of budgets, inspections, infringements, arrests, prosecutions, and sanctions imposed. Surveys of fishermen 4. Agreements, Government records of negotiation processes for agreements, records of unit, records of training courses and seminars 5. Sub-sector costs and earnings surveys/data. 6. Savings and credit records of banks, village organizations, etc 	<p><i>(Output of Purpose): What are the factors not within the control of the project which, if not present, are liable to restrict progress from outputs to achievements of project purpose?</i></p> <p><i>To be completed by specific projects</i></p>
----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

<p>7. Capacity development to increase ability of countries to participate in ongoing GEF-led Large Marine Ecosystem (LME) projects and other regional and sub-regional initiatives</p> <p>8. Effective co-management measures in place</p> <p>9. Increased implementation of rights-based fisheries management (to reduce IUU)</p> <p>10. Where overcapacity exists, fishing capacity and effort reduction</p> <p>11. Effective networks of marine protected areas that assure benefits to coastal communities</p> <p>12. Conservation of ecologically important areas</p>	<p>7. a. Have countries made inputs to, and adopted, TDAs and SAPs under other GEF projects (P) b. Have countries ratified sub-regional initiatives (P)</p> <p>8. a. Do countries have zones or fisheries under co-management (S) b. No. of zones or fisheries under co-management (S) c. Have countries formally adopted co-management as part of fisheries policy (P) d. Capacity of artisanal fishers to engage in co-management increased (P)</p> <p>9. a. % of vessels fishing licensed (S) b. Have countries adopted rights-based systems (P)</p> <p>10. a. No. of vessels in each fleet exploiting a stock (S) b. Mean catch rates for each fleet (S) c. Amount of time actually spent fishing by each fleet relative to the maximum possible if there were no constraints on fleet operation (S) d. a weighting of key vessel attributes (e.g. length, breadth and power) (S) e. potential catch of fleet relative to TAC, or minimum number of vessels required to catch TAC compared to actual numbers (S) f. Have countries put in place capacity reduction measures (P)</p> <p>11. a. Have countries created new MPAs (P) b. area of MPAs (S) c. No. of MPAs (S) d. Catch rates of fishers nearby in and outside of MPAs (S) e. Change in income levels in nearby communities (from fishing and tourism) resulting from MPAs (ES)</p> <p>12. a. Identification of ecologically important areas for fisheries including spawning and nursery areas and migration routes (P) b. regulations put in place to promote conservation (P)</p>	<p>7. Project reports from other projects. Government reports</p> <p>8. Policy/government documents.</p> <p>9. Government records. Licensing records.</p> <p>10. Government records on staffing and finance allocated, fishermen surveys</p> <p>11. Government records. GIS. Maps. Legislation on MPAs. Community surveys. Scientific reports and records of local knowledge on ecologically important areas for fisheries</p> <p>12. Research reports or documentation of local knowledge highlighting important areas. Regulations. Gov records of infringements</p>	
-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--

13. Successful promotion of alternative sources of income	c. records of infringements of related regulations (S)	13. Project records, surveys	
14. Strengthening of fisheries research capacities	13. a. No. of fishers that have shifted to other activities (S) b. Average % of fishing household income from fishing (ES) c. increases in production and employment in other activities e.g. aquaculture (S)	14. Research reports, records of research institutes/agencies. Surveys of researchers and stakeholders	
15. Improved knowledge of fishery resources	14. a. No. of research reports produced in response to stakeholder needs (P) b. Have research outputs become more relevant to stakeholder/sector needs (P) c. No. of research projects/proposals undertaken/submitted jointly between researchers and NGOs/stakeholders (P) d. Improved ability to write research proposals (P) e. No. of research proposals/projects involving interdisciplinary activities (P) f. Incorporation of 'local knowledge' in research design and analysis increasingly recognized (P) g. Total research funding accessed (P) h. Results accessible and relevant to decision makers (scalar see Table 19) (P) i. Quality of outputs (scalar see Table 19) (P) j. Rigor of methods used (scalar see Table 19) (P)	15. Scientific reports and documented local knowledge	
16. Enhanced communication on importance of, and links between, sustainable fisheries and poverty alleviation issues	15. a. No. of research cruises undertaken (P) b. Results accessible and relevant to decision makers (scalar see Table 19) (P) c. Quality of outputs (scalar see Table 19) (P) d. Rigor of methods used (scalar see Table 19) (P) e. local knowledge documented and providing new information (P)	16. Project records. Web records. Media monitoring. Communication plans. PRSPs	
17. Strengthening of fisheries management capacity	16. a. Web site developed (P) b. No. of bulletins issued (P) c. No. of website visits (P) d. No. of media reports/articles (P) e. Number of communication plans developed and implemented (P) f. Does country have fisheries as integral part of PRSP (P)	17. Capacity development strategy documents.	
17. Strengthening of fisheries management capacity	17. a. Has country developed/adopted a human capacity development strategy (P) b. Does strategy and its implementation focus on non-fisheries specific skills as well as fisheries-specific ones		

	Measures in place to protect threatened species (P) c. Does strategy include development of regional capacity networks (P) d. Does strategy include a focus on capacity development of civil society organizations as well as government (P)		
18. Enhanced capacity of civil society organizations working in fisheries	18. Number of NGOs, associations of fishworkers and environmental organizations supported by the Investment Fund (P)	18. Project and NGO records	
19. Protection of threatened species	19. Laws have been developed and programmes implemented to strengthen the protection of threatened species (P)	19. Legislation and regulations	
20. Reduction of bycatches	20. a. Fishing methods have been adopted that allow for the reduction of bycatches (P) b. Legislation relating to bycatch has been put in place and enforced e.g. Obligation to use TEDs (P) c. Bycatch is utilized on shore (P) d. Ratio of target to unintended catch (S)	20. Observers, legislation, landings records, MCS reports, processors/marketing reports	
21. Integration of fisheries into poverty reduction strategies	21. Fisheries highlighted as key sector in PRSPs or national poverty strategies (P)	21. PRSPS or strategy papers	
22. Minimizing adverse impacts of other sectors on fisheries	22. Cross-sectoral strategies for minimizing impacts have been identified, agreed and are being implemented (P)	22. Strategy documents and reporting/implementation records, research reports on sectors impacting fisheries	
23. Promotion of integrated management	23. a. Integrated coastal resources management plans have been adopted and are being implemented (P) b. Cross-sectoral committees established and meeting regularly (P)	23. Plans, meeting records	
24. Fisheries development measures in countries where fishery resources are under-exploited	24. a. Catches of identified species increasing (S) b. Incomes (catching and processing) from previously under-exploited fisheries increasing (ES)	24. Landings records, costs and earnings surveys	
25. Reduction of post-harvest losses	25. a. Infrastructure established that allow reduction of post-harvest losses (P) b. Training of fishermen in fish preservation and processing (P)	25. Surveys, landings/market data, training records	
26. Improving safety at sea	26. a. Reduction in the number of accidents and loss of life (ES). b. Weather reporting service for fishers (P) c. Training of fishers and provision of appropriate safety equipment (P/S)	26. Government/community records of accidents, reports of weather service, training records, observation/inspection of equipment	
27. Conservation of the marine environment	27. a. Rapid response measures are taken to forestall severe impacts on the environment (S)	27. M&E reports, government records, community reports/surveys	

<p>28. Improvement in product quality for domestic sale and export</p>	<p>b. Monitoring systems have been put in place e.g. use of biological monitoring indicators to assess the status of the marine environment (P) c. The relevant instruments of the International Maritime Organization (IMO), notably the MARPOL conventions have been implemented including national plans to combat oil pollution. d.. Offshore oil exploration and exploitation methods have been adopted that avoid and minimize adverse impacts on the marine environment (S) f. Grass-roots initiatives to conserve the marine environment are being supported (P)</p> <p>28. a. Change in first point of sale price b. Change in ratio of average domestic export prices per kg to world prices c. Change in proportion of fish tested by labs deemed to be 'good', 'poor', 'reject' d. Change in export price/kg</p>	<p>28. Landings/Market data, lab reports, export data</p>	
<p>Activities (to accomplish outputs)</p> <p>Specific country-level, regional or demonstration activities to achieve the outputs listed above will be specified once countries start to make applications to the Strategic Partnership for funding, with individual applications and associated logframes containing the detail of proposed activities included.</p>	<p>Inputs:</p> <p>Monitoring/ implementation indicators will take the form of individual project budgets, broken down by sub-activity, and will be specified once countries start to make applications to the Strategic Partnership for funding</p>	<p>Financial out-turn report as agreed in financing documents, workplans, physical progress reports</p>	<p><i>(Activity to Output):</i> 1) <i>What external factors must be realized to obtain planned outputs on schedule?</i> 2) <i>What kind of decisions or actions outside the control of the project are necessary for inception of the project?</i></p>

6 CONCLUSIONS AND RECOMMENDATIONS

This final section draws together a number of conclusions and recommendations, which are presented in bullet form.

Conclusions:

- The importance of monitoring and evaluation is increasingly recognized. Indicators are quantitative or qualitative statements used by both monitoring and evaluation processes, to i) describe situations that exist, ii) measure changes or trends over a period of time, and iii) inform corrective action on the programme, project or activity through appropriate feedback mechanisms.
- The terminology for characterizing different types of indicators is varied and can be confusing, but indicators can perhaps most usefully be thought of as relating either to process, or performance.
- Indicators must be specified in the context of a goal and related objectives, outputs and activities, based on logical relationships as presented in a logical/results framework.
- Baseline data and indicators provide the starting point against which all programme/project inputs, outputs, objectives and goals are measured. Indicators should not be proposed for which no baseline data is available, and this may present certain problems for the SFIF given the general paucity of data in many Sub-Saharan African countries.
- M&E requirements in the context of both the Strategic Partnership and specific country-level projects may themselves play an important role in helping to understand weaknesses, and subsequently improving information systems in Sub-Saharan African countries.
- GEF indicators used for the International Waters programme are strongly process-orientated, recognising the long time-periods required to measure change. This means they focus more on showing step-by-step progress towards improved management regimes, reforms, capacity development etc, rather than necessarily achieving them.
- Poverty alleviation and food security indicators relating to the Millennium Development Goals, and used by IDA, DFID and various PRSPs are generally more performance orientated.

Recommendations:

- Detailed M&E plans should be developed both for the Strategic Partnership Sustainable Fisheries Investment Fund, and for the specific projects to be funded under it, and a strong emphasis should be given to M&E as reflected by specific and appropriate budget lines for such activities.
- The indicators proposed in this paper should be discussed and modified as felt necessary at the workshop in Tanzania, with the following needs kept in mind:
 1. A sufficient range/number of indicators given the large sums of money to be spent, but with indicators being simple and cost-effective to collect.
 2. A balance of process and performance indicators.
 3. Indicators to be based on what it is perceived to be realistically possible for the SFIF to achieve.
 4. The different specification of indicators necessary for the Strategic Partnership as opposed to country-level projects.

Appendix A: Possible Indicators Proposed at the Dakar Meeting

Types of projects/activities	Indicators
1. A long-term strategy for the fisheries sector	1.1. The SSA coastal countries benefiting from the Investment Fund have developed and put in place a long-term strategy for sustainable fisheries.
2. Improving fisheries sector governance	2.1. Number of countries that have implemented measures in accordance with the Code of Conduct for Responsible Fisheries.
3. Effective legal and administrative framework and related human resources, capacity-building	3.1. Existence of a critical mass of experts to assure sustainable fisheries 3.2. National codes, laws and regulations have been adopted in accordance with the objectives of sustainable fisheries.
4. Strengthening the capacity to negotiate equitable fishing agreements	4.1. Availability of a unit with trained staff to negotiate fishing agreements 4.2. Number of trained staff in the countries who are actively engaged in negotiating fishing agreements. 4.3. Number of seminars organized on fishing agreements. 4.4. Principles of sustainability in national codes and laws are taken into account in fishing agreements.
5. Measures to enable increased domestic value-added for fishery products	5.1. Number of firms and persons engaged in fish processing and quantities processed. 5.2 Number of women trained in value-addition of fishery products.
6. Co-management measures	6.1. The zones assigned for co-management and the number of involved communities. 6.2. The fisheries sector is integrated into poverty reduction strategies and processes. 6.3. Number of countries that have adopted co-management into their fishery sector policy.
7. Strengthening the capacity of artisanal fishers and fishworkers to participate in co-management schemes.	
8. Rights-based fisheries management	8.1. Number of countries which have adopted rights-based management systems.
9. Fisheries monitoring, control, surveillance and law enforcement measures	9.1. Reduction/elimination of IUU fishing.
10. Where overcapacity exists, fishing capacity and effort reduction measures	10.1. Number of countries which have taken measures to reduce overcapacities.
11. Effective networks of marine protected areas that assure benefits to coastal communities	11.1. Number of countries which have put in place MPAs and number of MPAs.
12. Promoting the conservation of ecologically important areas for fisheries	12.1. Identification and protection of ecologically important areas for fisheries including spawning and nursery areas and migration routes.

13. Promotion of alternative sources of income	13.1. Development of aquaculture as an alternative activity. 13.2. Number of fishers that have shifted to other activities. 13.3. Diversification of types of fisheries. 13.4. Number of value-added fishery products.
14. Strengthening of fisheries research and fisheries management capacities	14.1. Number of research cruises undertaken. 14.2. Development of human resources. 14.3. Number of countries that have prepared fisheries management plans.
15. Assessment of fishery resources	15. Number of countries with reliable data bases.
16. Enhancing communication skills and capacities	16.1. Development of a web site. 16.2. Bulletins issued. 16.3. Number of communication plans developed and implemented.
17. Strengthening fisheries administrations	
18. Enhancing the capacity of civil society organizations	18.1. Number of NGOs, associations of fishworkers and environment organizations supported by the Investment Fund across the SSA countries.
19. Protection of threatened species	19.1. Laws have been developed and programmes implemented to strengthen the protection of threatened species.
20. Reduction of bycatches	20.1. Fishing methods have been adopted that allow for the reduction of bycatches. 20.2. Bycatch is utilized. 20.3. Obligation to use TEDs
21. Assistance to product quality improvement and exports	21.1. Quantity of fishery products with international market access. 21.2. Adoption and implementation of HACCP.
22. Integration of fisheries into poverty reduction strategies	22.1. The fishery sector is addressed in Poverty Reduction Strategy Papers (PRSPs).
23. Enhancing the financial viability of the fisheries sector	23.1. Appropriate credit schemes have been put in place.
24. Minimizing adverse impacts of other sectors on fisheries	24.1. Studies on the environmental impacts have been undertaken.
25. Promotion of integrated management	25.1. Integrated coastal resources management plans have been adopted and are being implemented.
26. Fisheries development measures in countries where fishery resources are under-exploited	26.1. Introduction of new fishing methods for increased fish production. 26.2. Investment promotion 26.3. Infrastructure development
27. Reduction of post-harvest losses	27.1. Infrastructure established that allow reduction of post-harvest losses. 27.2. Training of fishermen in fish preservation and processing.

Appendix B: Terms of Reference**GCP/INT/ 956/WBG - Strategic Partnership for a Sustainable Fisheries Investment Fund in the Large Marine Ecosystems (LMEs) of Sub-Saharan Africa (SSA)****TERMS OF REFERENCE**

FAO has been asked to take the lead in preparing a set of M & E indicators for the Strategic Partnership for a Sustainable Fisheries Investment Fund in the Large Marine Ecosystems (LMEs) of Sub-Saharan Africa (SSA), both at the regional level (i.e. that the country-level projects in aggregate would help meet) as well as for projects at the country level. These indicators would be based on the objectives of the Strategic Partnership and the WSSD poverty reduction and fisheries targets.

The Consultant is required to elaborate and substantiate a draft set of M & E indicators for submission and discussion at the second consultative workshop of the Strategic Partnership for a Sustainable Fisheries Investment Fund, to be held in Dar Es Salaam, Tanzania, 22-24 June 2005. In her/his work, the Consultant should be guided by the following:

- The outcome and recommendations on M & E indicators of the first consultative workshop of the Strategic Partnership for a Sustainable Fisheries Investment Fund, Dakar, Senegal, 18-20 January 2005.
- The 2003 programme performance indicators for the GEF international waters programmes and, in particular, its conceptual framework.
- The Strategic Partnership Operating Principles and Eligibility criteria as agreed by the first consultative workshop.

Appendix C: References

Duda, A. November 2002. Monitoring and Evaluation Indicators for GEF International Waters Projects: Monitoring and Evaluation Working Paper 10

Duda, A., Uitto, J., Chen, S., and Sklarew, D. September 2002 International Waters Managers' Insights Regarding the Global Environment Facility (GEF) International Waters Program Study: Transboundary Analyses, Demonstrations, Sustainability and Lessons Learned

GEF Office of Monitoring and Evaluation. October 2004. Program Study On International Waters (GEF/ME/C.24/Inf.3)

GEF Office of Monitoring and Evaluation. October 2003. Program Performance Indicators for GEF International Waters Programs (GEF/C.22/Inf.8)

FAO, World Bank, WWF, 2005. Report of the First Consultative Workshop of the Strategic Partnership for a Sustainable Fisheries Investment Fund in Sub-Saharan Africa, Dakar, Senegal, 18 – 20 January 2005. Rome & Washington. 2005

Juha Uitto presentation:

www.iwlearn.net/event/presentations/iwc2002/28sept/plenary3/juitto_gefmepolicies.ppt

GEF, January 2002. Monitoring and Evaluation Policies and Procedures.

IDA, July 7, 2004. IDA results measurement systems: recommendations for IDA14

Shyamsundar, P. 2002. Poverty-environment indicators. Environmental economics series. Paper no 84. World Bank.

Appendix D: GEF Process Outcome, Stress Reduction and Environmental Status Indicators

Taken from GEF Office of Monitoring and Evaluation. October 2003. Program Performance Indicators for GEF International Waters Programs (GEF/C.22/Inf.8)

Table 10: Process outcome indicators for TDAs

Government Involvement	Stakeholder Participation	Sound Information	Process Results
Degree to which governments support and endorse the TDA	Degree to which the process incorporates stakeholders	Degree to which a process has been established to access the best available information	Degree to which TDA analyzes specific causes and options for addressing them
For concluded TDA's the TDA process has proof of agreement of all participating governments. -For ongoing TDA processes in which all governments have provided necessary staff and funding for the country's TDA-related activities.	TDA process was/is carried out under the leadership of local scientists with the support and advice of expatriate consultants- All significant stakeholders consider they are being (for ongoing TDAs) or have been (for finished TDAs) adequately involved.	-A interministry committee or other similar mechanism is established to ensure access to best available inter-sectoral information from all relevant sources. It has adequate resources and meets regularly. -TDA process incorporates most recommendations and information from stakeholders and provides feedback to them.	-TDA addresses the root causes of trans-boundary environmental degradation, specifying sectors, socio-economic sources, and locations, and identifies a realistic set of options for addressing them allowing a distinction between domestic and transboundary contributions to the problem.
- For concluded TDA's, the TDA process has proof of agreement of TDA results of less than 100 percent or more than 80 percent of the participating governments -For ongoing TDA processes in which less than 100 percent but more than 80 percent of participating governments have provided the resources necessary for their TDA-related country activities.	- TDA process was carried out or is being carried out under the leadership of expatriate consultants with systematic involvement of local scientists and stakeholders. -All but a few key stakeholders feel they have been adequately involved.	-A interministry committee, or other mechanism to obtain inter-sectoral information is established but resources are inadequate or meetings are sporadic. -TDA process incorporates some recommendations and information but does not provide feedback.	-TDA analyzes the causes of environmental degradation, specifying sectors, socio-economic sources, and locations, and identifies a realistic set of options for addressing them. -TDA does not allow distinction between domestic and transboundary contributions to the problem.
- For concluded TDA's, the TDA process has proof of agreement of TDA results of less than 80 percent but more than 50 percent of the participating governments.- For ongoing TDA processes in which less than 80 percent but more than 50 percent of participating governments have provided the resources necessary for their TDA-related .	-TDA process was carried out or is being carried out under strong leadership of expatriate consultants with occasional inputs from local scientists and stakeholders.-A large number of key stakeholders consider they have not been adequately involved.	-A interministry committee, or other mechanism is established to obtain inter-sectoral information but have few resources or seldom meet. -TDA process do not incorporate recommendations and provides no feedback.	-TDA analyzes root causes, specifying sectors, socio-economic sources, and locations, but does identify a set of options for addressing problems.
- For concluded TDA's, the TDA process has proof of agreement of TDA results of less than 50 percent of participating governments.- For ongoing TDA processes in which 50 percent or more of the participating governments have not provided necessary staffing and/or financial support for the country's TDA-related activities.	TDA process was carried out, or is being carried out mainly by expatriate consultants with little involvement of local scientists and other relevant stakeholders. -Most stakeholders consider they have not been adequately involved.	-No inter-ministry committee, or other mechanism for access to available inter-sectoral information is established.	-TDA does not address root causes of trans-boundary environmental degradation.

Table 11: Process outcome indicators for SAPs

Government Involvement	Stakeholder Participation	Sound Information	Process Results
Degree to which governments support the SAP	Degree to which the process incorporates stakeholders	Degree to which a process has been established to access the best available information	Specificity of commitments to policy/regulatory reform
<p>- For concluded SAPs the SAP process has been formally endorsed by all participating governments.</p> <p>-For ongoing SAPs processes in which all governments have provided necessary staff and funding for the country's SAP-related activities.</p>	<p>-Stakeholder analysis has been carried out and has identified all significant stakeholders.</p> <p>-Detailed public plan for stakeholder participation is implemented.</p> <p>-All significant stakeholders feel they have been adequately consulted and that their concerns are adequately reflected in the SAP.</p>	<p>-SAP fully reflects information and analysis in TDA.</p> <p>-Advisory group or other mechanism is established to ensure access to information from all relevant sources which is incorporated into the SAP.</p>	<p>The SAP consists of a set of manageable set of actions including specific commitments to quantitative targets, timetables for policy/regulatory reform, investments and other pertinent actions to address to address root causes identified during the TDA.</p>
<p>- For concluded SAP's, the SAP has formal endorsement of less than 100 percent or more than 80 percent of the participating governments</p> <p>-For ongoing SAP processes in which less than 100 percent but more than 80 percent of participating governments have provided the resources necessary for their SAP-related country activities.</p>	<p>-Stakeholder analysis carried out but has not identified all significant stakeholders.</p> <p>-Not all of stakeholder participation plan is implemented and documented</p> <p>-All but a few stakeholders feel they have been adequately consulted and that their concerns are adequately reflected in the SAP.</p>	<p>-SAP reflects most information and analysis in TDA.</p> <p>-Advisory group or other mechanism is established and some information is incorporated into the SAP.</p>	<p>- SAP commitments to policy /regulatory reform, investments and other actions have specific targets and timetables but do not address critical root causes identified in the TDA or fails to concentrate on a manageable set of priority issues.</p>
<p>- For concluded SAP's, the SAP has the endorsement of less than 80 percent but more than 50 percent of the participating governments.</p> <p>-For ongoing SAP processes in which less than 80 percent but more than 50 percent of participating governments have provided the resources necessary for their SAP-related .</p>	<p>-Stakeholder analysis carried out but has not identified several significant stakeholders.</p> <p>-Much of the stakeholder participation plan is not implemented or documented.</p> <p>-A number key of stakeholders feel they have not been adequately consulted and that their concerns are not adequately reflected in the SAP.</p>	<p>-SAP fails to incorporate TDA information and analysis on several important points.</p> <p>-Advisory group or other mechanism is established but little of the information is incorporated into the SAP.</p>	<p>-SAP Commitments to policy /regulatory reform, investments or other actions proposed do not have specific targets or timetables.</p>
<p>- For concluded SAP's, the SAP has the endorsement of less than 50 percent of participating governments.</p> <p>For ongoing SAP processes in which 50 percent or more of the participating governments have not provided necessary staffing and/or financial support for the country's SAP-related activities.</p>	<p>-Stakeholder analysis has not been carried out.</p> <p>-Governments have not published a detailed plan for stakeholder participation.</p> <p>-Most stakeholders feel they have not been adequately consulted and that their concerns are not adequately reflected in the SAP.</p>	<p>-SAP fails to reflect most information and analysis in TDA.</p> <p>-No advisory group or other mechanism for access to best available information is established.</p>	<p>-SAP does not include specific commitments to actions addressing the problems identified in the TDA.</p>

Table 12: Scalar process outcome indicators for joint institutional arrangements

Government Involvement	Stakeholder Participation	Sound Information	Process Results
Degree to which governments support the JIA	Degree to which the process incorporates stakeholders	Degree to which a process has been established to provide the best available info.	Credibility and influence among member governments
-All member governments: -Allocate staff resources to the JIA. - Assign high level officials to the JIA. - Have line items for support of the JIA in their budgets.	.-Advisory group or other consultative mechanism is established to ensure access to best available information from all relevant sources (including local scientists). -Mechanism has adequate stakeholder representation. -Meets regularly.	-JIA systematically incorporates information from a variety of stakeholders into its operations and has properly functioning mechanisms that provide information and feedback to relevant stakeholders.	-JIA consistently influence policies or actions member states.
Less than 100 percent but more than 80 percent of member governments do not: -Allocate staff resources in support of the JIA. -Assign high level officials to the JIA. -Have a line item in its budget for the JIA.	-Advisory group or other consultative mechanism is established but lacks clear mandate. -Mechanism has the representation of most relevant stakeholders -Meets irregularly.	-JIA incorporates some information from a variety of stakeholders into its operations but provides little or no feedback and has not established mechanisms to provide information and feedback to stakeholders.	-For JIAs in which which have developed credibility and consistently influences policies and actions of less than 100 percent but more than 80 percent of member governments .
Less than 80 percent but more than 50 percent of member governments do not: -Allocate staff resources. -Assign high level officials. -Have a line item in its budget for the JIA.	-Advisory group or other consultative mechanism is established but seldom meets. -Mechanism lacks representation of various key stakeholder stakeholders.	-JIA sporadically incorporate recommendation into its operations from stakeholders other than the formal government representatives in the JIA and provides little or no feedback to other stakeholders.	--For JIAs in which which have developed credibility among less than 80 percent of member governments to influence on the policies.
More than 50 percent of member governments do not: -Allocate staff resources. -Assign high level officials. -Have a line item in their budget for the JIA.	-No advisory group or other consultative mechanism for access to best available information is established	-JIA does not incorporate recommendations from stakeholders other than the formal government representatives in the JIA.	-For JIAs in which which have developed credibility among less than 50 percent of member governments to influence on the policies

Table 13: Process outcome indicators for inter-ministry committees

Government Involvement	Stakeholder Participation	Sound Information	Process Results
The degree to which relevant ministries have given political support to the process	Degree to which the process incorporates stakeholders	The degree to which mechanisms are established to provide the best available information and analysis	Specificity of commitments to policy/regulatory reform, investments and other actions included in the SAP
In all participating countries, the relevant ministries support the process by: -allocating staff resources -assigning a high level official -collaborating in the implementation of a plan.	-Advisory group or other consultative mechanism is established to ensure access to best available information from all relevant sources (including local scientists). -Mechanism has adequate stakeholder representation. -Meets regularly.	-IMC systematically incorporates information from a variety of stakeholders into its operations and has properly functioning mechanisms that provide information and feedback to relevant stakeholders.	IC has been instrumental in the timely achievement of most agreed upon targets to address root causes identified in the SAP or action plan.
In up to 80 percent of participating countries, relevant ministries: -allocate staff resources -assign high level officials - are collaborating well in implementation	-Advisory group or other consultative mechanism is established but lacks clear mandate. -Mechanism has the representation of most relevant stakeholders -Meets irregularly.	-IMC incorporates some information from a variety of stakeholders into its operations but provides little or no feedback and has not established mechanisms to provide information and feedback to stakeholders.	-Expected outcomes have not yet been partially achieved and process is in time and IC coordinates well with various ministries by adopting targets and timetables for most priority actions identified in the SAP.
In up to 50 percent of participating countries, relevant ministries: a -allocate staff resources. -assign high level officials. - are collaborating well in implementation	-Advisory group or other consultative mechanism is established but seldom meets. -Mechanism lacks representation of various key stakeholder stakeholders. -Rarely meets	-IMC sporadically incorporate recommendation into its operations from stakeholders other than the formal government representatives in the IMC and provides little or no feedback to other stakeholders.	IC adopts commitments to priority actions identified in the SAP but expected outcomes are significantly delayed or no targets and timetables are specified.
In less than 50 percent of participating countries relevant ministries tend to: -allocate staff resources -assign high level officials - are collaborating well in implementation	-No advisory group or other consultative mechanism for access to best available information is established	-IMC does not incorporate recommendations from stakeholders other than the formal government representatives in the IMC.	-IC has not made clear contributions to the process nor does it adopt specific commitments, targets or timelines to priority actions identified in the SAP.

Table 14: Indicators for mobilisation of resources

(Least to most effective)

Financing found for few needed investments (<25%)	Financing found for less than half of investment needs (<50%)	Financing found for most of investment needs (>75%)	Financing found for all investment needs (100%)
---------------------------------------------------	---------------------------------------------------------------	-----------------------------------------------------	-------------------------------------------------

Table 15: Process outcome indicators for demonstration activities

Replication Strategy	Criteria for Success	Monitoring and Evaluation
Degree of success of replication strategy	Appropriateness and measurability of criteria for successful demonstration	Effectiveness of monitoring and evaluation of success
Replication strategy is in place and elicits strong interest by stakeholder. Significant replication is taking place.	Criteria for success are both appropriate and measurable	Plan for monitoring and evaluation of success results and replication has been implemented and data has been collected and analyzed
Replication strategy or plan is in place and elicits interest by stakeholders in replication, but minimal or no replication taken place.	Criteria for success are appropriate but not measurable	Plan in place for monitoring and evaluation of success and replication is under implementation, data is collected but there is no analysis or reporting.
Replication strategy has been developed and adopted but elicits no interest in replication from stakeholders.	Criteria for success are not appropriate or measurable	Plan for monitoring and evaluation of success is drafted but not under implementation.
No strategy or plan has been developed aimed at encouraging Replication or no significant actions have been taken to adopt plan or strategy	No criteria for success of demonstration are adopted	No plan for monitoring and evaluation of success is drafted

Table 16: Indicators of monitoring and reporting on stress reduction

(in ascending order of desirability)

No plan for monitoring stress reduction has been established	Monitoring plan for stress reductions has been established data gathering responsibilities are clearly defined, and adequate staff and budget provided	Monitoring system established. Monitoring plan for stress reduction is under implementation but no data have been reported	Monitoring systematically gathers and reports data related to the baseline. Data has been documented and analyzed.
--------------------------------------------------------------	--------------------------------------------------------------------------------------------------------------------------------------------------------	----------------------------------------------------------------------------------------------------------------------------	--------------------------------------------------------------------------------------------------------------------

Table 17: Indicators of relative success in achieving stress reduction objectives

Progress towards achieving stress reduction objectives is significantly behind targets or are not well documented	Progress in achieving stress reduction are well documented and on target.	Project has achieved or is close to achieving and has documented the expected targeted stress reduction .	Project has documented stress reduction improvements significantly beyond the targets.
-------------------------------------------------------------------------------------------------------------------	---------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------------------	----------------------------------------------------------------------------------------

Table 18: Indicators of monitoring and reporting on changes in environmental status
(in ascending order of desirability)

No plan for monitoring has been established or it lacks adequate staff and budget	Monitoring plan has been established with adequate staff with budget but has not been implemented	Monitoring plan is under implementation but no data have been reported	Monitoring systematically gathers, reports, documents and analyses data related to the baseline
-----------------------------------------------------------------------------------	---------------------------------------------------------------------------------------------------	------------------------------------------------------------------------	-------------------------------------------------------------------------------------------------

Table 19: Indicators for results of scientific assessments

Accessibility of outcome to relevant decision makers	Usefulness of outcome to relevant policy or programming issues	Quality of assessment outcome	Rigor of methods used
All or nearly all decision makers are aware of and clearly understand key findings of the assessment	Assessment has been cited or used extensively in discussing and making decisions	The assessment carried out a comprehensive analysis that included consideration of all critical factors and issues, and presented convincing evidence..	Assessment is scientifically sound and draws on state of the art concepts and methods
Most decision makers are aware and understand key findings of the assessment	Assessment has been cited and used in several instances in discussing or making decisions.	The assessment carried out a comprehensive analysis, includes evidence, but not all critical factors and issues are included	Concepts and knowledge and overall rigor are state of the art. Rigor of methodologies used are debatable
A number of decision makers are unaware of or did not clearly understand key findings of the assessment	Assessment has rarely been cited or used in discussing or making decisions, but only slightly	The assessment carried out a is not comprehensive analysis, or fails to consider some critical factors and issues, or has some gaps in the evidence presented.	Concepts and knowledge are not state of the art. Rigor of methodologies used are debatable
Most decision makers are not aware of or did not understand key findings of the assessment	Assessment has not been cited or used at all in discussing and making decisions	The assessment has major gaps, or fails to consider critical factors and issues, or evidence presented is weak and not convincing.	Assessment definitely did not use state of the art knowledge and methods.

Appendix E: Types of Country-Level Projects to be Supported by the Strategic Partnership

The workshop agreed that country-level projects to be supported by the Strategic Partnership should address the following areas:

- A long-term strategy for the fisheries sector
- Improving fisheries sector governance
- Effective legal and administrative framework and related human resources, capacity-building
- Strengthening the capacity to negotiate equitable fishing agreements
- Measures to enable increased domestic value-added for fishery products
- Co-management measures
- Strengthening the capacity of artisanal fishers and fishworkers to participate in co-management schemes
- Rights-based fisheries management
- Fisheries monitoring, control, surveillance and law enforcement measures
- Where overcapacity exists, fishing capacity and effort reduction measures
- Effective networks of marine protected areas that assure benefits to coastal communities
- Promoting the conservation of ecologically important areas for fisheries
- Promotion of alternative sources of income
- Strengthening of fisheries research and fisheries management capacities
- Assessment of fishery resources
- Enhancing communication skills and capacities
- Strengthening fisheries administrations
- Enhancing the capacity of civil society organizations
- Protection of threatened species
- Reduction of bycatches
- Assistance to product quality improvement and exports
- Integration of fisheries into poverty reduction strategies
- Enhancing the financial viability of the fisheries sector
- Minimizing adverse impacts of other sectors on fisheries
- Promotion of integrated management
- Fisheries development measures in countries where fishery resources are under-exploited
- Reduction of post-harvest losses
- Improving safety at sea
- Conservation of the marine environment

Appendix F: Eligibility Criteria for Project Briefs

Applicability	Criteria
A. Criteria based on Operational Principles of Partnership	A.1 Fisheries sector strategies contribute to national development and contributes to poverty reduction (see also B 5)
	A.2 Contribute to the strengthening of regional cooperation
	A.3 Addresses long-term sustainable livelihoods and gender equity in coastal communities
	A.4 Contributes to capacity building of public and civil society institutions and professional organizations
	A.5 Addresses over-exploitation of fisheries
	A.6 Conserves critical habitats and threatened species
	A.7 Creates sustainable market opportunities
	A.8 Enhances transparent and collaborative management structures
	A.9 Contributes to food security
	A.10 Consistent with relevant international and regional instruments
B. Cross-cutting Criteria	B.1 Clear description of project goals, objectives, outputs and outcomes
	B.2 Ability to leverage development assistance
	B.3 Implementation capacity in-place and/or enabled
	B.4 Potential for replication
	B.5 Consistent with national policy, plans & agreements
	B.6 Contain M&E and adequate reporting requirements
	B.7 Access & transfer of technology
	B.8 Demonstrably sustainable project benefits
	B.9 Development of innovative implementation mechanisms
	B.10. Identification of stakeholders and their involvement in design and implementation
	B.11 Integration of social dimension esp. poverty
	B.12 Financing plan (incl. non-incremental costs, instruments, etc)
	B.13 Cost effective solution to the problems to be addresses
C. International Waters (OP 8)	C.1 Responds to a transboundary threat
	C.2 Recognized severity of threat
	C.3 Threat potentially irreversible
D. Biodiversity (OP 2)	D.1 Fulfills national priority status & CBD obligations
	D.2 Strengthens national ecosystem management
	D.3 Promotion of sustainable use of biological diversity
	D.4 Conservation and sustainable use of endemic species