

**“Ecologically and socio-economically sound
coastal ecosystem rehabilitation and conservation in tsunami-
affected countries of the Indian Ocean” Project
BMZ 87003-000**

Report of the Mid Term Review

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List of Abbreviations

ADB	Asian Development Bank
AI	Appreciative Inquiry
ARO	Asia Regional Office of IUCN, Bangkok
BMZ	Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung
CBO	Community Based Organisation
CCD	Coast Conservation Department, Sri Lanka
CRMG	Coastal Resources Management Group, IUCN, Sri Lanka
DAC	Development Achievement Committee
DFAR	Department of Fisheries and Aquatic Resources, Sri Lanka
DMCR	Department of Marine and Coastal Resources, Thailand
ELG-2	Ecosystems and Livelihoods Group – 2, IUCN, Asia
GIS	Geographical Information System
IUCN	International Union for the Conservation of Nature and Natural Resources
M&E	Monitoring and Evaluation
MBA	Masters in Business Administration
MEA	Millennium Ecosystem Assessment
MFF	Mangroves for the Future Initiative
MSC	Most Significant Change
MTR	Mid-Term Review
NCB	National Coordinating Body
NGO	Non-Governmental Organisation
NSC	National Steering Committee
OECD	Organisation of Economic Cooperation and Development
PPM	Project Planning Matrix
PMU	Project Management Unit
RPC	Regional Program Coordination Unit, IUCN ARO
RPMU	Regional Project Management Unit, BMZ Project
SL	Sri Lanka
THA	Thailand

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E c c l e s i a s t i c

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The project was delayed by around six months due to various reasons with the original workplans intending to have developed investment plans and conservation management plans a year and a half after the start of implementation. It seems now that the project will reach this point by the end of 2008, exactly a year and a half after the actual start in May-June 2007. This indicates that the project is on track, which signifies the efficiency of the project as well. However, this has reduced the overall timeframe for implementing the investment plans to 12 months, to end in December 2009. This may have consequences on the overall effectiveness and sustainability of the interventions.

The review assessed the design of the project, its four components and its finances, focusing on what worked and what could be improved. It reflected on the relevance and effectiveness of the project's processes. The way forward recommended by the mid-term review is perhaps the best way to assess the relevance and effectiveness of the project because it holds up a mirror to what the project did well, what it could improve and how, and what it should be doing during the rest of the project. The following seven sections suggest the way forward for the BMZ Project.

Development of an Exit Strategy: The BMZ Project having set out to pilot innovative investment initiatives and conservation management plans, a set of viable strategies, approaches and methods in which countries, donors and private sector could invest in should figure as its primary result. This implies that the project should as an exit strategy have a component that on the basis of its learning advocates amongst countries, donors and the private sector to foster investments. The BMZ Project was designed within the context of the MFF initiative and is its learning platform. MFF needs to consider leveraging the learning from the project to develop similar initiatives in other tsunami-affected countries and BMZ may want to consider investing in it. The success for such a strategy hinges on building a case for future investment.

Appraisal of and Decision on Investment Plans and Conservation Management Plans: The investment plans and conservation management plans the project identifies and invests in, therefore, not only have to reflect and address the intent of the project but also have a high probability of success in order to generate options that can be offered to others to invest in. To guarantee proper selection of investment plans and conservation management plans for investment, the MTR recommends that the country components undertake comprehensive and thorough appraisals of their investment options and conservation management plans in both programmatic and financial terms by recognizing and using the guidance provided by the regional project management unit in its investment guidelines. To enhance the credibility further and add a sense of rigour, the MTR also recommends that investment committees be established in each country representing the country programmes, ELG-2, relevant government representatives, and independent, experienced and responsible individuals with development and financial appraisal competencies to decide on the investment proposals & conservation management plans.

Design and Implement a Due Diligence & Risk Management Process to feed into the Exit Strategy: In all likelihood, given its timeframe, the project may not be able to achieve its sub-results entirely, and might only be able to show some trends towards achieving the immediate purpose. In view of this, the MTR recommends that the project adopt a due diligence and risk management process to identify the probabilities of success and the risks and to track the specific investments in real time. As opposed to a traditional due diligence, the process should track potential

returns on investment that are not just economic or financial but also aesthetic, spiritual, cultural and human well-being related.

Continuous and Concerted Capacity Building of Community Organisations and Institutions to Enable Implementation of Investment Plans and Conservation Management Plans: The MTR suggests that the project needs to be engaged in continuous capacity building efforts related to community organizations and institutions through a process of hand-holding, capacity strengthening, awareness creation and also support any technical capacity needs during the implementation of the investment plans and the conservation management plans. This will contribute significantly to the sustainability of the initiatives beyond the project period. In order to perform the above, the Project's field personnel may require to have their capacity strengthened through motivation and training.

Enabling extraction, synthesis, documentation and sharing of the project's learning: The only tangible output of a pilot, process oriented effort is its learning.

2. Approach & Methodology

The Terms of Reference of the Mid-Term Review required the project's design and its implementation, as per the original project document, to be assessed and recommendations be provided for mid-course changes, if required, to give direction to the remaining period of the project, in order to enhance the performance and impact of the project. The Terms of Reference of the Mid-Term Review is attached as Annex 1.

The review aimed at assessing the relevance and effectiveness of the achievements in the light of the planned strategy by reviewing what worked well and what did not work as originally planned, and explore the root causes of both successes and shortcomings in order to explore new avenues for future programming and to formulate recommendations for e

The review attempted to be as inclusive as possible, with the reviewers taking on primarily a facilitative role and enabling collective stock-taking, analysis and reflection processes that would help the stakeholders to surface their particular perceptions and assumptions, which gave direction to and drove the processes of the projects. It was hoped that such inclusion would enable the stakeholders to evolve the way forward and commit and buy into the processes of change that they themselves had helped develop. The process included dialogues at every stage of the review to discuss findings, conclusions and the way forward with stakeholders to triangulate the review's findings and recommendations and to learn from the experience and knowledge of the stakeholders. The timeline of the Mid Term Review is included as Annex 2. The persons met by the mid term review team in Thailand and Sri Lanka are listed in Annex 3 and Annex 4, respectively.

3. Review of Project Processes and Achievements

The MTR found the management arrangements of the project to be complicated in terms of the processes involving two country components in Sri Lanka and Thailand and also two regional-level management units, i.e., the Regional Project Management Unit based in ELG-2 based in Colombo and the Regional Program Coordination Unit, based in IUCN Asia Regional Office, in B

reach the objectives. The relevance and effectiveness of the deliverables will be assessed in the next chapter.

Participation in Inception Report Meeting Mar 2007 **Project Inception Report**

Participation in Discussions & Negotiation with Government

Agreed on draft Regional Memorandum 2007

Participation in Start-up discussions in Bangkok

Draft Regional Workplan

Knowledge-base + secondary information analysed

Guidelines developed in inception report

Identification of Coastal stretch to be targeted

UCN Study

UCN study to be in consultation with CEDS/DEAR

Technical Advisory Committee formed

UCN study to be based on PMU/FAO

Coastal stretch to be assessed determined

Field Project Manager appointed Aug 2007

Guidelines and assessment methodology based on MEA provided by PMU/FAO

Pre-assessment visits to 15 sites in selected coastal stretch

UCN study to be completed by Dec 2007

UCN

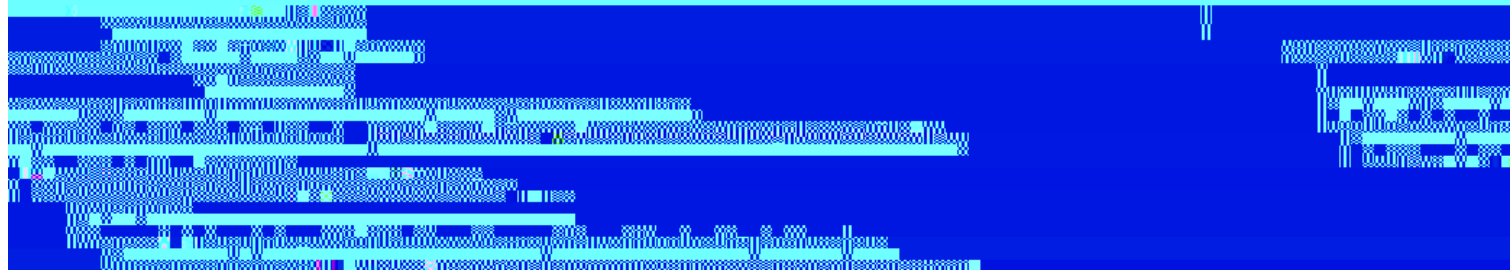
UCN staff

UCN

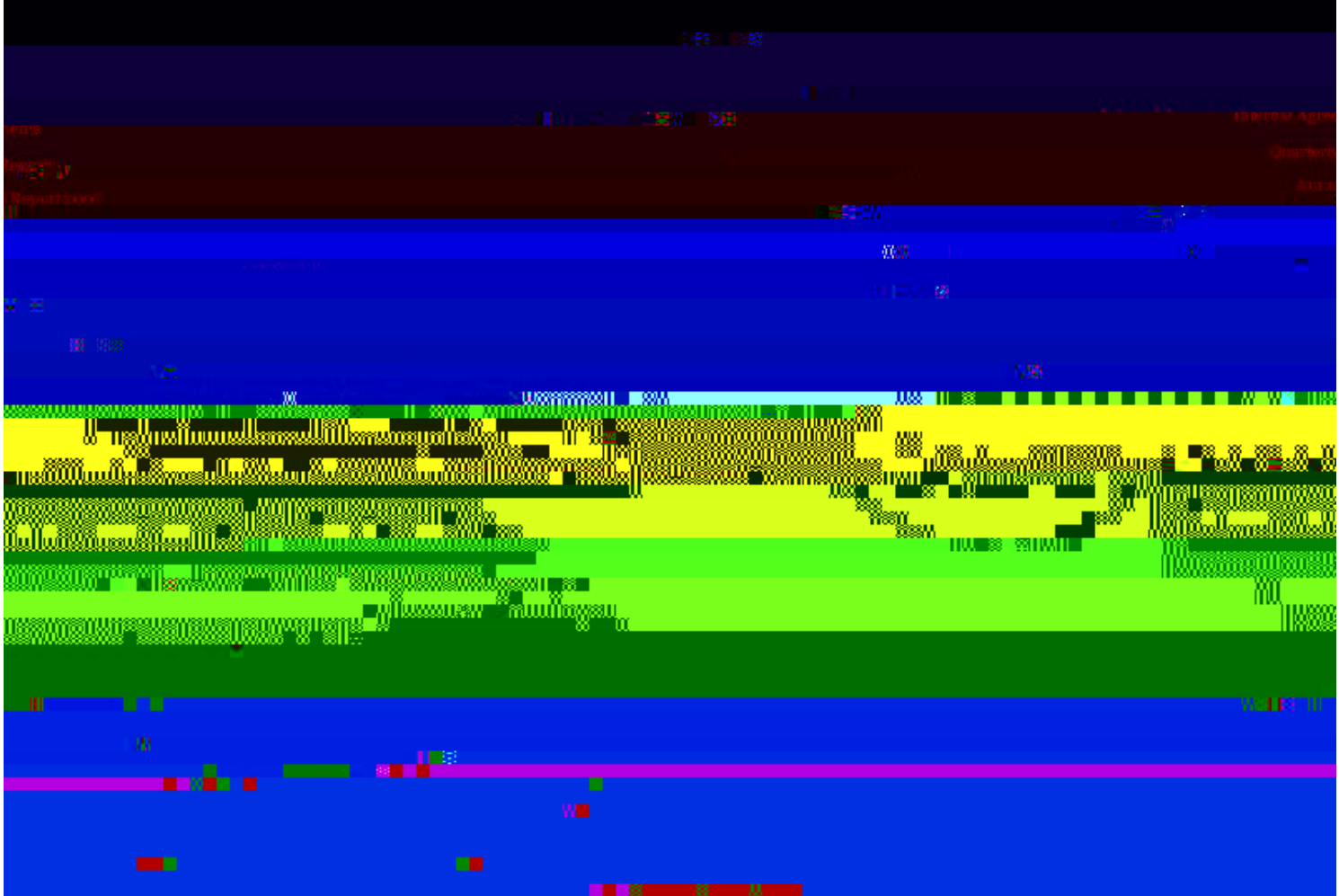
UCN

New Project

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Development of the **1990s** **1990s** **1990s**





4. Review: Analysis & Assessment around Evaluative Questions

BMZ Project

attract governments, civil society and donors to judiciously invest to replicate and up-scale the successful 'pilots' tested by the project.

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additional spatial and other criteria to ensure that they would 'fit' the intent of the project's pilot orientation.

The MTR in reviewing the Thailand component suggested several ways of strengthening and enhancing the quality of their efforts. The first was to speed up the appraisal and endorsement consultations to gain as much time as possible for the implementation. The second was to adopt a due diligence and risk management process to build a case for replicability and up-scalability. A third was to strengthen learning from the project. The fourth was to get the project to look into bringing the private sector particularly to partner in ecotourism, or increasing connectivity and interaction through innovative use of mobile phone platforms and community radio.

The Thailand component was found to be very relevant to the project's intent in its activities. It was effective, particularly in getting communities, civil society, government and researchers to work together. It was efficient in terms of time but there were questions about the cost efficiency of the effort, which is addressed in the section on Financials. The project may have contributed to the sustainability of the effort by being inclusive and participatory. It also built in sustainability by explicitly building on the Government of Thailand's commitment to involve local communities in conservation and natural resources management, as expressed in the New Thai Constitution.

Regional Project Management Unit

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Table 1: Financial Analysis without investment plan related costs (Figures in USD)

**Categories of
Expenditure/Budget
Heads**

Budgets as Per Inception Report

**Actual Expenditure as of August
2008**

**Budget Balance till the end of the
project**

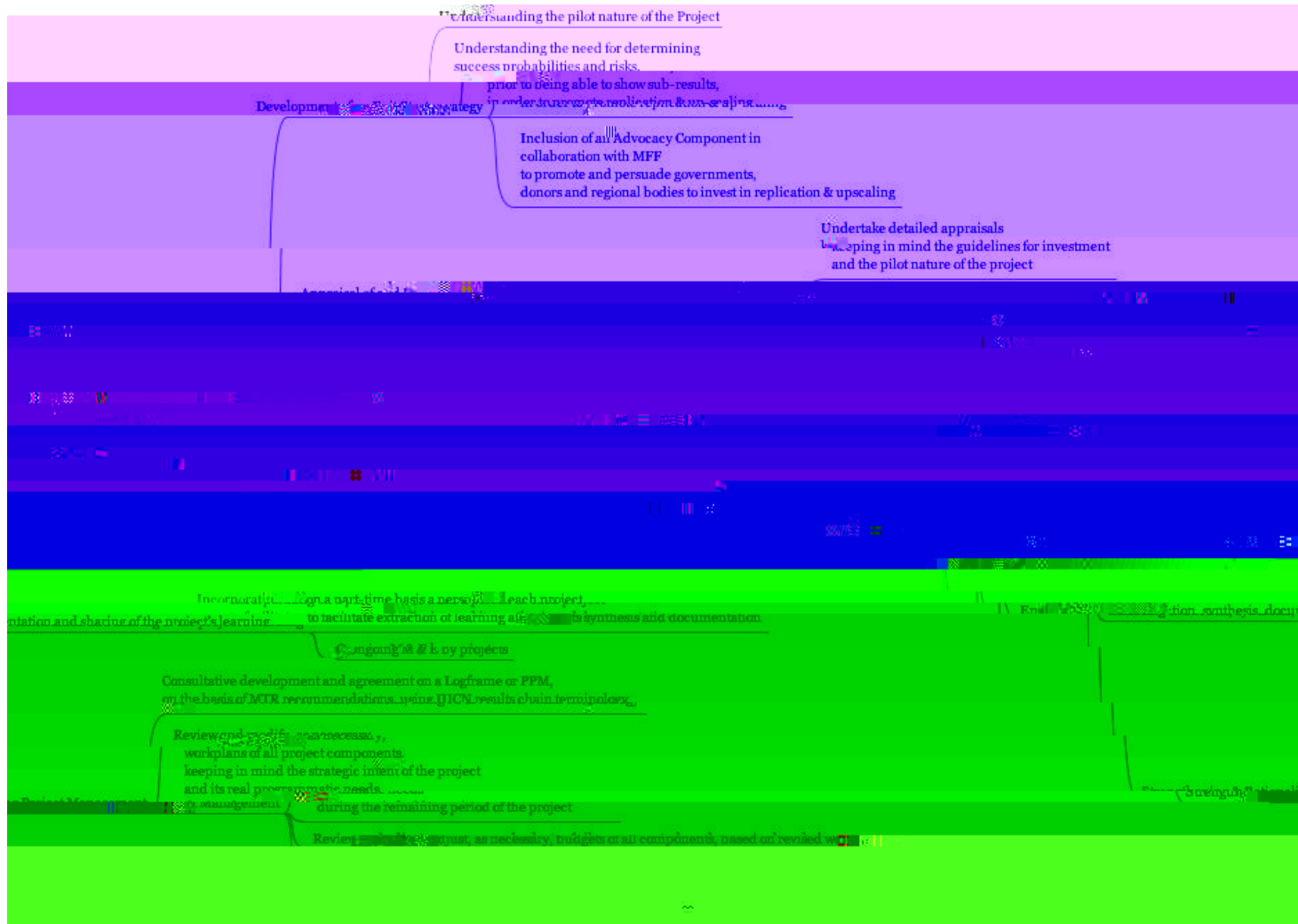
<i>M n g e e n d</i>			181,446				57,951				123,495	
<i>A d n s r o n F e e</i>												
Total	<i>n</i>	<i>3 n</i>	<i>5n4</i>	<i>n</i>	<i>43,845</i>	<i>n35</i>	<i>3 n</i>	<i>n 3</i>	<i>n45</i>	<i>4 184</i>		

Table 2: Expenditure from Jan 2007 till August 2008 on the BMZ Project without investment plan related costs

Categories of Expenditure/Budget Heads	Expenditure against budget (%)			
	Sri Lanka	Thailand	RPMU	RPC
Per De	81%	103%	38%	N/A
Loc Fed ppor	52%	89%	0	N/A
technic E per s	25%	64%	0	N/A
con r c s for G M p	66%	83%	0	N/A
Prn ng nd P c on	14%	19%	N/A	N/A
D og es	0	21%	N/A	N/A
Leg e per se	34%	84%	N/A	N/A
Fed Personne	0	0	N/A	N/A
Add on technic E per for con r c s	98%	43%	N/A	N/A
Pro.ec M n ge en Personne	4%	N/A	45%	N/A
Co p ers nd Office Eq p en	N/A	N/A	67%	N/A
Add on r e	95%	110%	N/A	N/A
Office Ren nd es	6%	15%	N/A	N/A
eh ce Re ed Cos s	62%	22%	52%	N/A
Co n c ons ppor	78%	63%	N/A	N/A
M E ppor	21%	5%	N/A	N/A
Prod c on of Repor s	N/A	N/A	N/A	25%
Ad nd B n ch rges	N/A	N/A	16%	N/A
Md er Re e	N/A	N/A	7%	N/A
End of Pro.ec E on	N/A	N/A	N/A	14%
M n ge en nd Ad nsr on Fee	N/A	N/A	32%	N/A
Total	55	54	4	3

5.

the budgets. The MTR recommends that the Project reviews and modifies the workplans as necessary, keeping in mind the strategic intent of the project and its real, programmatic needs during the remaining period of the project. This will be necessary to strengthen the case for replicability of the project interventions and also to effectively



Annex I: Terms Of

3. The long-term sustainability of coastal ecosystem rehabilitation in pilot sites is strengthened through local benefit-sharing and financing mechanisms; and
4. The project is managed and operating successfully.

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- Are the assumptions and risks correctly reflected in the logframe or otherwise do they need to be updated to enhance the relevance of the project to addressing external factors?
- Are the proposed implementation arrangements of the project appropriate and do they require any further adjustments?
- Determine whether any mid-term corrections are required to make the project more relevant to the context
- Assess the relevance of the project to the programmes of work and strategic objectives of the Mangroves For the Future (MFF) Initiative

Effectiveness

- Assess the quality of the Logical Framework and of the planning tools, indicators

- Assess whether the planned inputs are efficient resulting in implementation of activities
- Assess whether the activities implemented are efficiently contributing to realizati

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Annex II: MTR Timeline

29-31/08

Annex III: List Of Persons Met In Thailand

1. Raji Dhital, Programme Officer, Regional Programme Coordination, IUCN, Asia Regional Office, Bangkok
2. Sonjai Havanond, Coastal & Mangrove Resources Management Expert, Department of Marine and Coastal Resources, Bangkok
3. Janaka A. De Silva, Programme Coordinator, Thailand Programme, IUCN, Bangkok
4. Michael Dougherty, Regional Communications Coordinator, IUCN, Asia Regional Office, Bangkok
5. Minna Epps, Communication Officer, Mangroves for the Future Secretariat, IUCN, Asia Regional Office, Bangkok
6. Zakir Hussain, Director, Constituency Development & Coordination, IUCN, Asia Regional Office, Bangkok
7. Kent Jingfors, Regional Programme Coordinator, IUCN, ANC

- 20.** Representative of Kasetsart University Field Research Station in Ranong, at BMZ-IUCN Project Office
- 21.** Representative of Ministry of Natural Resources and Environment of Thailand at the provincial level at their office in Phang Nga Provincial Office
- 22.** Annika Harrison, Fieldwork Intern, Mangroves for the Future, MFF Secretariat, IUCN, Asia Regional Office, Bangkok

Annex IV: List Of Persons Met In Sri Lanka

1. Ali Raza Rizvi, Regional Group Head, Ecosystems and Livelihoods Group, IUCN Asia, Colombo
2. Maeve Nightingale, Coordinator, Regional Coastal & Marine Programme, Asia, Ecosystems & Livelihoods Group, IUCN Asia, Colombo
3. Ranjith Mahindapala, Country Representative, IUCN – Sri Lanka, Colombo
4. A. Hettiarachchi, Project Coordinator, BMZ-IUCN Project, Sri Lanka, Colombo
5. Shamen P. Vidanage, Coordinator, Coastal Resources Management Group, Sri Lanka Country Office, IUCN, Colombo
6. Roshanara De Croos, Group Finance Manager, Sri Lanka Country Office, IUCN, Colombo
7. Anuradha Wickramasinghe, Chairman, H D L U Nirodhawardene, Director Programmes, Douglas Tissera, Programme Officer, Small Fishers Association, Pambala, Chilaw
8. Aruna Dissanayake, Managing Director & Chinta Vithana, Aquaculturist, Regional Resources Development Authority, Northwest Provincial Council, Pambala, Chilaw
9. Saman Navaratne, Field Project Manager, BMZ-IUCN Project, Sri Lanka, Puttalam
10. Women and a few men of Soththupitiya Village, including the Grama Niladari, Mrs Amaradeva
11. Members of the Thehelliya Society, a community based fisher organization of Thillamote Village, including Mrs Liyanarachchi, the Grama Niladari
12. WMS Wijeratne, Director, AKN Agricultural Services Private Ltd., at his farm near Thirikkapallama Village
13. Men and Women of Thirikkapallama Village
14. L M P Bandara, Additional District Secretary, Puttalam District Secretariat
15. D Kingsly Fernando, District Secretary, Puttalam District Secretariat
16. Kapila Gunarathne, Head, Coastal Livelihoods & Policy Unit, Coastal Resources Management Group, IUCN – Sri Lanka, Colombo
17. Asanka Abayakoon, Coordinator, Business & Biodiversity Programme, IUCN – Sri Lanka, Colombo