



# United Nations Environment Programme

## Terminal Evaluation of the UNEP/GEF PROJECT: “MAKING OCEAN LIFE COUNT”



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Cover photo credits: Galatée Films

Disclaimer: The views and opinions expressed in this report are solely those of the author, and do not reflect official positions of Galatée Films, the United Nations Environment Programme, or the Global Environment Facility.

## Acknowledgements

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## Note from the Evaluator

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Before readers begin their review of this Terminal Evaluation Report, it is essential to provide clarification on one very important point. In considering how to evaluate the project, “Making Ocean Life Count,” it was necessary to make a distinction between (1) the film, *ΩCEANS*, as the main resource tapped by the Project, and (2) the main Project activities, as defined in the project document prepared for the Global Environment Facility (GEF), and carried out by Galatée film as the Executing Agency in cooperation with the United Nations Environment Programme (UNEP) as the Implementing Agency.

It was not the purpose of this evaluation to assess the quality or the impact of the *ΩCEANS* film. Instead, it was the job of the evaluator to determine how successfully the GEF- and UNEP-supported Project (i) accomplished its objectives for reaching additional audiences who may not have otherwise viewed the film; (ii) facilitated and supported the development of related new media and educational products; and (iii) developed other materials and activities to be used for outreach and public education.

Thus, readers of this report are urged to keep this distinction in mind, as they read this evaluation. The fact that the evaluation is critical of various aspects of Project implementation and management, should not be taken to reflect on the film itself—the film continues to stand on its own merits, independent of the GEF/UNEP Project. By any and all accounts, *ΩCEANS* is a spectacular cinematographic achievement of the highest caliber—it fully deserves the recognition that it has received internationally, in both cinematographic and scientific circles, and the success that it has enjoyed as one of the most widely seen documentary films ever.

The understanding of all readers and reviewers in accepting this important distinction is very much appreciated.

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## List of acronyms & abbreviations

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A	Assumption (ToC/ROtI)
ADB	Asian Development Bank
BD	Biodiversity
BSP	Bali Strategic Plan
CBD	Convention on Biological Diversity
COP	Conference of Parties
DCPI	Division of Communications and Public Information (UNEP)
DEPI	Division of Environmental Policy Implementation (UNEP)
GEF	Global Environment Facility
ID	Impact Driver (ToC/ROtI)
IEC	Information, Education, and Communications
IS	Intermediate State (ToC/ROtI)
IW	International Waters
M&E	Monitoring and evaluation
METT	Management Effectiveness Tracking Tool
MSP	Medium-size Project
OPO	Operational Program “Zero”
PCA	Project Cooperation Agreement
PFR	Project Final Report
PIR	Project Implementation Report
ROtI	Review of Outcomes to Impacts
SMART	Specific, Measurable, Achievable, Relevant, Time-bound (indicators)
SSC	South-South Cooperation
TE	Terminal Evaluation
TER	Terminal Evaluation Report
ToC	Theory of Change
TOR	Terms of Reference
UNEP	United Nations Environment Programme



Table 1: Project Identification Table

GEF Project ID:	4256	IMIS Number:	GFL-2328-2712-4B62
Focal Area(s):	International Waters	GEF OP #:	OP "0"
GEF Strategic Priority / Objective:	IW-, GEF-4 The approved CEO document does not link the project to any GEF SP/Objective.  Communication Strategy (C32.8) – indicates Objective 3 (based on PIR, 1 July 2010 to 30 June 2011)  Multi-Focal Area, as listed in the GEF website	GEF Approval Date:	14 May 2010
UNEP Approval Date:	7 October 2010	First Disbursement:	19 October 2010
Actual Start Date:	19 October 2010	Planned Duration:	1 year
Intended Completion Date:	May 2011	Actual or Expected Completion Date:	May 2011
Project Type:	MSP	GEF Allocation:	US\$ 650,000.00
PDF GEF Cost:	N/A	PDF co-financing:	N/A
Expected MSP / FSF Co-Financing:	US\$ 10,300,000.00 according to the approved Project Document. Estimates of the production of the feature film cost vary from app. USD65M- USD78.8MM; production of the TV series approx USD2.2MM (€1.62MM) (Annex 10: quarterly Expenditure Statement, Oct-Dec 2010); also reported as US\$75million in GEF Document	Total Cost:	US\$ 10,950,000.00
Mid-term Review / Evaluation (planned date):	none	Terminal Evaluation (actual date):	May 2013-July 2014
Mid-term Review /	N/A	No. of Revisions:	N/A

Evaluation (actual date):			
Date of last Steering Committee meeting:	N/A	Date of Last Revision:	N/A
Disbursement as of 31 December 2012:	US\$ 630,000.00	Date of Financial Closure:	
Date of Completion:	August 2011 based on PIR and the Project Financial Report)	Actual Expenditures Reported as of 31 December 2012:	US\$ 630,000.00
Total co-financing realized as of 31 December 2012:	US\$ 10,300,000.00	Actual Expenditures entered IMIS as of 31 December 2012	US\$ 630,000.00
Leveraged financing:	<p>50 million euro (US\$80 million)</p> <p><u>From final report:</u> Specifically for "The Kingdom of the Oceans" (TV series):</p> <ul style="list-style-type: none"> <li>-France Television: € 720,000.00</li> <li>-Pathé (as sales agent and video distributor): € 350,000.00</li> <li>-Arte: € 240,000.00</li> <li>-CNC (State subsidies): € 200,000.00</li> <li>Total: € 1,510,000.00</li> </ul>		

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## Executive summary

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### Introduction

“OCEANS” is a documentary film about the incomparable and priceless biodiversity resources of the world's oceans, and the critical role that oceans play in sustaining all life on Earth. The film was produced by Galatée Films, with the support of the Alfred P. Sloan Foundation, and directed by Jacques Perrin and Jacques Cluzaud. The Galatée team worked closely with researchers affiliated with the Census of Marine Life, to ensure the scientific accuracy of the film.

In late 2010, the Global Environment Facility (GEF) provided funding for a project titled “Making Ocean Life Count.” The Project, with the United Nations Environment Programme (UNEP) serving as the GEF Implementing Agency, had as its main goal to “raise awareness on the health and status of the world’s ocean ecosystems, through the dissemination of the film OCEANS and development/dissemination of media and educational products.”

The Project was divided into three components: (i) dissemination of the OCEANS film at major GEF events, followed by technical seminars aimed to raise awareness among decision-makers and delegates on the state of the world’s oceans; (ii) development of by-products, which included (among others) a short film that presents GEF’s and UNEP’s message on marine biodiversity and ecosystem health, which can be used in future work of UNEP and the GEF; and (iii) further development of public education and outreach materials for use by UNEP and GEF development partners.

### Scope, Objectives and Methods

#### Scope and Objectives

This Terminal Evaluation (TE) has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, the GEF, and their partners. Therefore, the evaluation identifies not only the degree to which the Project achieved its objectives, but also, lessons of operational relevance for future project formulation and implementation.

The evaluation focuses on the following key questions, based on the Project’s intended outcomes:

- To what extent did the Project succeed in raising awareness about the health and status of the world’s ocean ecosystems?
- Was the target audience the best possible to ensure the effectiveness of the awareness-raising activities?
- Did the Project have a communication / information dissemination strategy, and was it effective in raising the awareness of ocean ecosystems?
- What actions did the Project take to ensure that the awareness-raising and public information activities would contribute towards changed behavior of the stakeholders in terms of ocean conservation and sustainable management of marine resources?

In addition, at the request of UNEP, the TE addresses the following issues:

- What would be the added value to UNEP from similar cooperation arrangements in the future, and how could UNEP make the best possible use of such future arrangements?
  - At the end, the Project was more concentrated on communication and public awareness than making use of the scientific and technical aspects of the film. However, is there a way UNEP could more efficiently capitalize on the film
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and the by-products, for example, how could UNEP make more use of the technical elements of the film in the various environmental assessments conducted within the organization?

## Methods

The methodology used to conduct the evaluation was straightforward. It consisted primarily of (i) a desk study that included background methodological research using GEF and UNEP evaluation guidelines, review of key project documents, and online research, and (ii) consultations and communication with key informants through telephone (Skype) calls and e-mail. However, the initial consultations conducted yielded only limited information, since only a very small number of informants had been identified by UNEP. Furthermore, most of the key contacts identified were within UNEP itself, or among the staff of GEF or Galatée Films. Virtually no parties outside the Project, who could provide unbiased feedback on their personal opinion about the Project's impacts, benefits, and effectiveness (e.g., audience members who attended project-sponsored film screenings), were identified.

Therefore, to supplement the limited feedback provided by the few respondents initially contacted, arrangements were made to conduct two special events, to provide additional data for the evaluation. These consisted of two screenings, organized by the Evaluation Consultant, that were held at the Asian Development Bank (ADB) headquarters in Manila, Philippines, in March 2014, in conjunction with two GEF IW:LEARN Workshops. Following the screenings, questionnaires were distributed to viewers to solicit their feedback about the OCEANS film, its by-products, and provide a proxy measure for the relative success of the dissemination of these materials, as supported under the Project.<sup>1</sup> Results of the questionnaire surveys are incorporated within this Terminal Evaluation Report (TER). It should be noted that the OCEANS film itself was not a product of the project.

Also, during the Inception Phase of the evaluation, in order to get an idea of whether this Project would be likely to meet its desired goal of "raised awareness on the health and status of the world's ocean ecosystems", a Theory of Change (ToC) analysis, using the Review of Outcome to Impact (ROtI) approach, was applied. The results of the ROtI analysis are presented within the report.

Following guidance presented in the UNEP and GEF evaluation guidelines, a set of minimum evaluation criteria, grouped into the following four categories, were used as the main yardstick in assessing the Project: (i) Assessment of Project Objectives and Planned Results; (ii) Assessment of Sustainability and Catalytic Role; (iii) Assessment of Processes Affecting Attainment of Project Results; and (iv) Complementarities with UNEP Strategies and Programs. Most of the criteria/indicators used were rated according to a standard six-point scale rating system.

## Summary of the main evaluation findings

Overall, the project was rated **MODERATELY UNSATISFACTORY (MU)**. A summary of the evaluation findings that led to this rating, by assessing the prescribed evaluation parameters, follows:

- a) **Attainment of Objectives and Planned Results:** This is an aggregate rating based on consideration of Project relevance, effectiveness and efficiency (see below). The rating is **MODERATELY SATISFACTORY (MS)**.
- (i) **Relevance:** Though the Project cannot be characterized as fitting into conventional GEF operational programs, nonetheless it is consistent with and supportive of GEF IW and BD focal areas, Communications and Outreach Strategy, and UNEP's 2010-13 Medium-Term Strategy Ecosystem Management Objective, and Programme of Work, 2010/2011 and 2012/2013: **SATISFACTORY (S)**
  - (ii) **Effectiveness:** While media and educational products developed and disseminated through the project seem to have been effective in raising awareness about ocean ecosystems, the lack of a monitoring

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<sup>1</sup> The screening activities in Manila are reported at: <http://www.pemsea.org/sites/default/files/proceedings-of-the-2nd-iw-regional-workshop-for-asia-and-pacific.pdf>

system made it impossible to verify, measure, or document project effectiveness. Results of the ROtI analysis were also inconclusive. Given the importance of having proper documentation and adequate evidence on which to base the assessment of project effectiveness, it was not possible to give a higher rating: **MODERATELY SATISFACTORY (MS)**

- (iii) **Efficiency:** Leveraging of GEF funds for this Project was extremely high, so it should be expected that, at least on that basis, the utilization of GEF funds was quite efficient. However, it was difficult to determine whether the financial resources provided for the Project were adequate, and efficiently used, given that the quality of financial information provided was limited. Details needed to confirm expenditures and to assess financial performance more accurately were not available. This included lack of detailed account statements, and receipts for expenditures. Therefore the rating assigned for this criterion is: **MODERATELY UNSATISFACTORY (MU)**

- b) **Sustainability:** The overall rating given for sustainability cannot be higher than the lowest rating for any of its component dimensions, since all are critical (which see below): **MODERATELY UNLIKELY (MU)**

- (i) **Financial:** While there are a number of potential avenues that would be available to financially sustain this or similar media/communications projects, none were recommended or planned for within the Project design or during implementation: **MODERATELY UNLIKELY (MU)**
- (ii) **Socio-Political:** Some evidence is provided to suggest that the educational and media products disseminated under the Project could be an instrument for influencing decision-makers to advocate or adopt policies to strengthen ocean conservation: **MODERATELY LIKELY (ML)**
- (iii) **Institutional:** No effort was made under the Project to forge institutional linkages that might over time lead to partnerships, networks, regional and community programs, and even transboundary agreements that could sustain Project benefits, despite the fact that the Project could have created opportunities to do so: **MODERATELY UNLIKELY (MU)**
- (iv) **Environmental:** Because the Project was not aimed at implementing interventions within the biophysical environment, its sustainability was not affected by any environmental factors. Thus there is no rating for this criterion: **NOT APPLICABLE (N/A)**

- c) **Catalytic Role and Replication:** While there was no specific strategy outlined that would contribute to catalytic replication of the Project, it seems that some scaling up of film screenings, and production of the TV series DVD occurred spontaneously. Any catalytic impact from the use of some of the products has been ad-hoc and opportunistic: **SATISFACTORY (S)**

- d) **Stakeholder Participation / Public Awareness:** No plan for stakeholder participation was articulated within the Project, and no effort was apparently made to engage with various key stakeholders. However, people who might have an influence on ocean policy formulation and planning were the primary target group of stakeholders for screening of the OCEANS film although such influence would be quite limited as it would be extremely indirect: **MODERATELY UNSATISFACTORY (MU)**

- e) **Country Ownership / Driven-ness:** The Project is not a country-based initiative, thus this criterion is **not applicable: (N/A)**

- f) **Achievement of Outputs and Activities:** For this Project, there is a dichotomy between (1) the delivery of *planned* outputs and outcomes as defined and agreed in the Project design framework, vs. (2) delivery of *actual* outputs and outcomes. The Project fell short in delivery of results according to the plan presented in the Project framework. In contrast, the Project achieved measurable success in delivering actual outputs that could contribute to achievement of the overall Project objective. Separate ratings are provided for these two aspects as follows: Planned outputs/activities: **UNSATISFACTORY (U)** and Actual outputs/activities: **SATISFACTORY (S)**

- g) **Preparation and Readiness:** The strength or weakness of a Project's preparation and readiness is closely tied to the quality of the Project design—weaknesses in project design often emerge as weaknesses in preparation and readiness, which can further compromise the attainment of desired Project results. For this Project, several weaknesses in Project design were

identified and reported in the Inception Report, as follows: (i) near-complete absence of a reliable means to monitor results (i.e., no mechanisms for gathering baseline data, or feedback to measure results); (ii) confusion of outcomes and outputs; and (iii) no targets or mechanisms established for replication, scaling-up, or sustainability. These weaknesses led to some of the problems that were observed in project preparation and readiness. According to UNEP, at the request of the GEF Secretariat, processing of the Project was fast-tracked. The rapid schedule left little opportunity for adequate preparation, especially in terms of the design of the Project, and in making sure that adequate monitoring mechanisms were incorporated. GEF must bear much of the responsibility for the poor preparation, having accepted the project design with the deficiencies noted here: **UNSATISFACTORY (U)**

- h) **Implementation Approach:** In general, Galatée met the output targets satisfactorily. However, based on the very weak M&E framework, it would not have been possible to employ an adaptive approach in project implementation in any organized and deliberate way—there was no feedback loop that would have made information available that could have been used for making recommended adjustments to the implementation plan. Despite this, it appears that changes were made in some of the specific planned outputs. It is not clear how or by whom decisions were taken to change the project delivery plan (e.g., whether through a Steering Committee, on an ad hoc basis, etc.). Therefore, for this criterion, the Project was rated: **MODERATELY UNSATISFACTORY (MU)**
- i) **Financial Planning and Management:** The fact that many Project outputs apparently were accomplished even prior to release of GEF funds, makes attribution of Project accomplishments quite challenging. This aspect should have been (but was not) explained in Project financial statements. Galatée failed to submit adequate quarterly reports of financial standing. However an audited final financial report of the Project was eventually made available. UNEP, perhaps assuming that the funds granted to Galatée were correctly managed and transparently accounted for, failed to enforce the reporting requirements: **HIGHLY UNSATISFACTORY (HU)**
- j) **Monitoring and Evaluation (M&E):** The rating for M&E is based on three separate aspects, which are described and rated here. (i) Design: Although standard language was included about M&E in the Project Document, it was not elaborated how M&E would actually be carried out. Rating: **UNSATISFACTORY (U)**; (ii) Implementation: Critical sections on "Monitoring and Evaluation" in the Project reporting documents were left blank. There was no plan put into effect for monitoring and evaluating this Project. Rating: **HIGHLY UNSATISFACTORY (HU)**; (iii) Funding: Funds were only provided for this TE, not for other M&E functions. Rating: **UNSATISFACTORY (U)**
- k) **UNEP Supervision and Backstopping:** One of UNEP's main supervisory and backstopping roles was to provide support to Galatée in fulfilling its reporting commitments, especially in the area of project financial management reporting and overall project performance reporting. Because Galatée lacked prior experience working with GEF or UNEP, they might not have fully understood the reporting requirements, and failed to deliver progress reports and financial reports of acceptable quality. UNEP's role in supervision and backstopping may have been further weakened due to a reduced sense of ownership for this Project. Possibly this was due to the fact that (according to UNEP sources) the Project was being strongly promoted by the GEF Secretariat, with little room being made for meaningful inputs into Project conceptualization or design by UNEP. While UNEP put in significant effort to provide adequate supervision and backstopping to an Executing Partner that lacked prior experience working with GEF or UNEP, it was not possible to correct many of the shortcomings in this non-standard Project: **MODERATELY SATISFACTORY (MS)**

#### Lessons Learned

Presented here, in abbreviated form, are the key lessons learned from this TE:

- a. It is difficult to work with an Executing Partner or Agency lacking prior experience with GEF or UNEP projects. For non-traditional GEF/UNEP projects such as this, where such partners are engaged, much closer supervision should be provided (in project preparation, implementation, and monitoring), and, such non-typical projects should not be prepared in unrealistically short timeframes.

- b. Media products such as the *ΩCEANS* film can reach broad audiences and help to promote increased environmental awareness.
- c. It takes time before the impact of awareness-raising projects such as this can be felt or measured. The Theory of Change (ToC) and Review of Outcomes to Impact (ROtI) analytical approaches need to be applied in such cases to determine the likelihood that desired project impacts will be achieved.
- d. Appropriate selection of language and format for media products can facilitate reaching a larger audience.

#### Recommendations

A number of the lessons that are described above lead quite naturally to identification of corresponding recommendations for actions that could be taken to strengthen and improve the outcomes of the Project, and these are presented below. In addition, recommendations are also presented for the purpose of helping to identify ways in which the *ΩCEANS* film, and the other rich media and educational products based upon it, and made accessible to UNEP and GEF through the Project, could be put to better use in the future:

- a. One of the stated objectives of the Project was to more widely disseminate information to improve knowledge and awareness of the importance of preserving the world's ocean ecosystems. However, this objective was hampered by the selection of media formats that are inherently infeasible, difficult, or costly to disseminate. To ensure that the *ΩCEANS* film, and other related media by-products (such as the 4-part TV series) would be accessible to the widest audience, these products should have been (i) produced in more accessible formats (e.g., on conventional DVDs, rather than in Blu-Ray format); (ii) produced in various languages (especially English, Chinese, and other widely used languages), either through dubbing or subtitling; and made available free of charge. Also proper credits should have been given to GEF and UNEP (through inclusion of logos and labelling), on a more consistent basis-this would have ensured better branding and recognition of GEF and UNEP as supporters of the project. For similar future projects with a strong focus on awareness-raising and information dissemination, that are being considered for GEF funding, these basic recommendations should be applied.
- b. UNEP should make better use of the internet for dissemination of knowledge products to viewers, at no cost, that could strengthen environmental awareness and recognition of the UNEP and GEF 'brands'. This should include: (i) placement of the *ΩCEANS* film or related videos and still photos on the IW:LEARN website; (ii) periodic online press releases announcing various activities that are related to the Project; and (iii) posting or linking materials to popular media websites such as YouTube.
- c. UNEP's Division of Communications and Public Information (DCPI) should investigate the expansion or establishment of networks or partnerships with other organizations and individuals, who are engaged in organizing activities such as film festivals or similar events, especially if they are environmentally- or ecologically-themed.

Finally, in its terminal evaluations, it is recognized that typically UNEP considers as recommendations only those suggestions that specifically can be applied to improving the subject project or similar projects. However, other findings emerged from this Project that could be applied in a broader, programmatic sense. In this category is the finding that this Project would have benefited if the ToC approach would have been applied not only in the evaluation phase, but already ***in the design of the project***. Doing so would have led to the identification of important intermediate states that could have been selected as accomplishment targets that might have led more naturally to the achievement of desired project impacts. Therefore, it is recommended that GEF, in close consultation with its partner institutions, should consider the possibility of not only using the ToC approach for project evaluation, but also of integrating the ToC process together with processes that are used during the project design phase, in developing the framework of all projects in its overall program of work.

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## 1. INTRODUCTION

### 1.1 Description of the Project

#### Rationale

1. World oceans host rich biodiversity, they are significant carbon sinks and they cover nearly three-quarters of the earth's surface. The UNEP/GEF project "Making ocean life count" was designed to promote the importance of the world's ocean ecosystems through contributing to awareness raising and public education. The idea behind the project was to use media to reach key audiences and to engage with 'champions' who can further promote awareness about the importance of protection and sustainable use of coastal and marine resources. The awareness raising was done by cooperating with a film production company the Galatée Film Productions and by using their film "OCEANS" directed by Jacques Perrin and Jacques Cluzaud, supported by the Alfred P. Sloan Foundation and the Census of Marine Life scientists. The Galatée Film Productions made the OCEANS film to bring into the light the ocean life with scientific accuracy, in order to rise enthusiasm about marine ecology. The film concentrated on presenting the diversity of marine fauna found in the euphotic zone (depths up to 50 meters) within protected marine areas and priority was given to pelagic species. Scientific accuracy of the film was ensured through cooperation with the Census of Marine Life. Shooting of the documentary was conducted in 54 locations around the world and the documentary was released worldwide, receiving nominations for three "Cesars" (the French "Oscars").
2. The UNEP/GEF project 'Making ocean life count' was an unusual approach, born different from the 'standard' UNEP/GEF project development processes. Following exchange between GEF and the movie producers, a decision was taken by the GEF to provide funding of US \$650,000 to support the film and UNEP was selected as the most suitable GEF implementing agency to formulate the cooperation into a project form. In return, UNEP/GEF received rights to use the film in awareness-raising activities and to extract still pictures from the film, among others. UNEP used the OCEANS documentary film and related media and educational products to raise awareness and initiate discussions on the state of the world's oceans. The project aimed to bring together decision-makers, scientists, NGOs, representatives from marine industries, journalists and students in international events where the film would be screened and follow-up debates or seminars would be hosted by the film producer and other world-renowned scientists.

#### Objectives

3. The project objective was stated as to '*Raise awareness on the health and status of the world's ocean ecosystems, through the dissemination of the film OCEANS and development/ dissemination of media and educational products*'. The project attempted to meet this objective through screenings of the documentary film in relevant events, through creating awareness raising products for different target audiences, and through raising awareness about the ecosystem health of world's oceans.

#### Components

4. The project was divided into three components; the first component focused on the dissemination of the film OCEANS in GEF and UNEP events, followed by technical seminars aimed to raise awareness among decision makers and delegates on the state of the world oceans. The second component was focused on the development of by-products, such as a short film on GEF and UNEP's message on marine biodiversity and ecosystem health to be used in future work of UNEP and the GEF. The third component was focused on the development of public awareness and educational material for use by the partners.
  5. The project document listed the three components and the subsequent expected outcomes, as follows:
-

- Component 1: Dissemination at major GEF events of the film  $\Omega$ CEANS by Jacques Perrin.
    - Outcome 1: Increased awareness amongst decision-makers, delegates and others on the state of the world's oceans.
  - Component 2: Development of new products.
    - Outcome 2: New by-products available for different audiences.
  - Component 3: Outreach material development and public education.
    - Outcome 3: Increased awareness and understanding of the Oceans and film making techniques.
6. It was envisaged that the film and other knowledge products developed could be used in other GEF and UNEP marine projects, such as the Regional Seas and IW:LEARN programmes, to forecast the future of marine populations and ecosystems, therefore having important spin-off potential. UNEP/GEF received rights to use still pictures of the film in any publications, and the film was developed into a TV series with the GEF funding. However, the project was designed to be a one-off activity only, and hence was not meant to be replicated.

#### **Target groups**

7. The project worked in the area of awareness-raising and public information. The project document did not identify stakeholders. However, considering the project design, immediate stakeholders could include decision makers, delegates scientists, NGOs, media and other participants in the GEF and UNEP events where the project and the film  $\Omega$ CEANS was presented.

#### **Partners and executing arrangements**

8. The GEF implementing agency of the project was UNEP/DGEF, and after the DGEF was dismantled the UNEP Division of Policy Implementation (DEPI). The implementing agency was responsible of liaising between UNEP and the GEF Secretariat and ensuring that the project was carried out in accordance with UNEP and GEF policies, criteria and procedures. The implementing agency was also responsible of providing project oversight, reporting on the progress against milestones to the GEF Secretariat, and ensuring that the project objectives and expected outcomes were achieved. Galatée Films, a France based film production company, and producer of the film  $\Omega$ CEANS, was the project executing agency and responsible of the delivery of the project outputs, e.g. arrangements and success of the events where the film was screened and discussions were held. Galatée Films was also responsible of delivering timely progress and financial reports to the implementing agency. UNEP's Division of Communications and Public Information (DCPI) was an internal partner and co-financier to the project, providing in-kind support in terms of preparation of knowledge products.

#### **Financing (amounts and sources)**

9. Summary of the project costs are presented in Table 2, below.

Table 2. Project Costs

Costs	US \$	%
1. Cost to the GEF Trust Fund	650,000	5.9

2. Co-Financing		
<b>Cash</b>		
UNEP-DCPI	25,000	0.2
<b>Sub-total</b>	25,000	0.2
<b>In-kind</b>		
Galatée Films	10,000,000	91.3
UNEP-DCPI	275,000	2.6
<b>Sub-total</b>	10,275,000	93.9
<b>Total</b>	10,950,000	100.0

### **Implementation issues**

10. The project was a new approach in the league of “traditional” GEF projects and therefore the concept and the way the project got started differed considerably from the majority of UNEP implemented GEF projects. The actual project planning and development was done in response to a request from the GEF Secretariat and followed a streamlined Medium Sized Project (MSP) development process. Given the nature of the project and its focus on communication, both the MSP implementation and execution have been rather unique.

### **1.2 Context and Introduction to the Project**

11. “OCEANS” is a documentary film about the incomparable and priceless biodiversity resources of the world's oceans, and the critical role that oceans play in sustaining all life on Earth. The film was produced by Galatée Films, with the support of the Alfred P. Sloan Foundation, and directed by Jacques Perrin and Jacques Cluzaud. The Galatée team worked closely with researchers affiliated with the Census of Marine Life, to ensure the scientific accuracy of the film.
12. In late 2010, the Global Environment Facility (GEF) provided funding for a project titled “Making Ocean Life Count.”<sup>2</sup> The origination and evolution of the Project was unique. Instead of the usual careful process of proposal preparation and submission by a GEF agency, and the subsequent deliberate review of the proposal by GEF prior to approval, in this case, the process was the reverse: the concept for the Project originated through the GEF Secretariat, who urgently conveyed to UNEP its interest in approving the Project for funding. This led to the expedited processing of the Project, with approval granted in a much shorter timeframe than usual. While the processing was very efficient in terms of processing time, it also led to several significant design flaws, and subsequent weaknesses in implementation, which are discussed at length in this report.
13. The approval timeline of the project was broadly as follows: The GEF CEO met with Galatée and promised funding (~Feb 2010). The UNEP GEF Coordinator was approached to support the design of a fast track MSP and started dialogue with Galatée who had great difficulties in understanding business with UNEP and the GEF (~March 2010). The designated project Task Manager was tasked, whilst on mission travel, to have an MSP design document ready over a weekend period of three days. The GEF CEO approved the MSP immediately upon receipt, no review sheet for the project was ever issued by the GEF Secretariat.
14. The Project, with the United Nations Environment Programme (UNEP) serving as the GEF Agency, had as its main goal to “raise awareness on the health and status of the world’s ocean ecosystems, through the dissemination of the film OCEANS and development/dissemination of media and educational products.”
15. “Making Ocean Life Count” represented a new approach that differed significantly from most UNEP-implemented GEF projects. The Project was planned and designed in response to a request from the GEF Secretariat, and followed a

<sup>2</sup> In this report, the terms “the Project,” “OCEANS project,” and “Making Ocean Life Count” are used interchangeably—all refer to the GEF-UNEP-supported project.

streamlined Medium-Sized Project (MSP) development process.

16. The Project was divided into three components:

- (i) dissemination of the OCEANS film at major GEF events, followed by technical seminars aimed to raise awareness among decision-makers and delegates on the state of the world's oceans;
- (ii) development of by-products, which included (among others) a short film that presents GEF's and UNEP's message on marine biodiversity and ecosystem health, which can be used in future work of UNEP and the GEF; and
- (iii) further development of public education and outreach materials for use by UNEP and GEF development partners.

### **1.3 Evaluation Objectives, Scope and Methodology**

17. The Terminal Evaluation (TE) for "Making Ocean Life Count" was initiated in May 2013. The TE has been conducted following guidance found in UNEP's Evaluation Policy, the UNEP Evaluation Manual, and the Guidelines for GEF Agencies in Conducting Terminal Evaluations. It has been undertaken to assess the performance of the Project in terms of its relevance, effectiveness and efficiency. The TE also evaluates project outcomes and impacts (actual and potential), including their sustainability. The Consultant's Terms of Reference (TOR) for the evaluation are found in Annex 1.

#### **Objectives and Scope**

18. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, the GEF, and their partners. Therefore, the evaluation identifies not only the degree to which the Project achieved its objectives, but also, lessons of operational relevance for future project formulation and implementation.

19. The evaluation focuses on the following key questions, based on the Project's intended outcomes:

- (i) To what extent did the Project succeed in raising awareness about the health and status of the world's ocean ecosystems?
- (ii) Was the target audience the best possible to ensure the effectiveness of the awareness-raising activities?
- (iii) Did the Project have a communication / information dissemination strategy, and was it effective in raising the awareness of ocean ecosystems?
- (iv) What actions did the Project take to ensure that the awareness-raising and public information activities would contribute towards changed behavior of the stakeholders in terms of ocean conservation and sustainable management of marine resources?

20. In addition, at the request of UNEP, the TE addresses the following issues:

- (v) What would be the added value to UNEP from similar cooperation arrangements in the future, and how could UNEP make the best possible use of such future arrangements?
- (vi) At the end, the Project was more concentrated on communication and public awareness than

making use of the scientific and technical aspects of the film. However, is there a way UNEP could more efficiently capitalize on the film and the by-products, for example, how could UNEP make more use of the technical elements of the film in the various environmental assessments conducted within the organization?

### **Methodology**

21. This TE was carried out in close coordination with, and under the supervision and direction of, the UNEP Evaluation Office in Nairobi, Kenya.
22. As part of an initial desk review, key project documents reviewed were (among others): (a) the UNEP Project Document; (b) the GEF Request for Funding; (c) the Project Cooperation Agreement (PCA) that outlines the general framework on how the Project will be implemented; (d) Project Implementation Report (PIR); and (e) Project Final Report (PFR). Online research was also conducted to meet secondary data- and information-gathering needs. Principle documents and references utilized in the course of the evaluation are listed in Annex 3.
23. The Project focused on communications, and thus its design, implementation and execution were unique, necessitating an “adaptive” evaluation process that could accommodate the special requirements of the Project. Nonetheless, this TE still assesses the strengths and weaknesses of the approach, and provides lessons for other similar undertakings. As UNEP owns the rights for agreed by-products and support materials based on the OCEANS film, the TE also assesses how these materials could best be used in the future.
24. A participatory-consultative approach was also applied in soliciting feedback about the Project. As part of this process, information was gathered through interviews conducted via telephone discussions over Skype, and by email. However, this approach yielded only limited information, since only a very small number of informants had been identified by UNEP, and their names and contact details provided to the Evaluation Specialist. Furthermore, most of the key contacts identified were within UNEP itself, or among the staff of GEF or Galatée Films. Virtually no parties outside the Project itself, who could provide unbiased feedback on their personal opinion about the Project’s impacts, benefits, and effectiveness (e.g., audience members who attended project-sponsored film screenings), were identified.
25. Therefore, to supplement the limited feedback provided by the few respondents initially contacted, arrangements were made to conduct two special events, to provide additional data for the evaluation. These consisted of two screenings, organized by the Evaluation Consultant, that were held at the Asian Development Bank (ADB) headquarters in Manila, Philippines, on 10 March and 20 March 2014, in conjunction with two GEF IW:LEARN Workshops.<sup>3</sup> Following the screenings, questionnaires were distributed to viewers to solicit their feedback about the OCEANS film, its by-products, and the relative success of the dissemination of these materials, as supported under the Project. Results of the questionnaire surveys are incorporated within this Terminal Evaluation Report (TER).
26. The names of persons contacted, including those who responded to questionnaires during post-screening surveys, are found in Annex 2.
27. During the Inception Phase of the evaluation, in order to get an idea of whether this Project could meet its desired goal of “*raised awareness on the health and status of the world’s ocean ecosystems*”, a Theory of Change (ToC) analysis, using the Review of Outcome to Impact (ROtI) approach, was applied. The analysis identifies various conditions and factors (or elements) that may help determine the likelihood of achieving the Project’s desired impact (or goal)—even if this might occur long after the conclusion of the Project.

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<sup>3</sup> The two workshops where screenings were conducted were (respectively): “The 2nd GEF IW Regional Workshop for Asia and the Pacific: Transforming Good Practices from Demonstration Projects into Scaled-Up Investments and Financing in IWRM and ICM” and “GEF-IW:LEARN Information and Communications Technology Workshop in Spatial Data Management for Asia and the Pacific.”

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28. Following the guidance set forth in the UNEP and GEF evaluation guidelines, a set of minimum evaluation criteria, grouped into the following four categories, were used as the main yardstick in assessing the Project:

- (i) Assessment of Project Objectives and Planned Results
- (ii) Assessment of Sustainability and Catalytic Role
- (iii) Assessment of Processes Affecting Attainment of Project Results
- (iv) Complementarities with UNEP Strategies and Programs

29. Most of the criteria/indicators used were rated according to a standard six-point scale rating scheme.<sup>4</sup> Further details of the evaluation rating system and procedure are found within the TOR (see Annex 1).

30. The UNEP Evaluation Office notes that comments on the draft evaluation report from key UNEP informant were received more than a year after they were requested. However, once received, the comments were comprehensive and included additional documentary evidence, such as a financial audit report. The Evaluation Office notes that the evaluation consultant duly incorporated the comments regardless of the considerable period of time from report preparation.

## 2. PROJECT PERFORMANCE AND IMPACT

### 2.1 Attainment of Project Objectives and Results

31. This section presents the evaluation of attainment of Project objectives and results, and includes discussion of outputs and activities, as well as Project relevance, effectiveness and efficiency. According to guidance provided in UNEP's description of the evaluation rating process, the overall rating for attainment of objectives and results will be based on consideration of the Project's relevance, effectiveness, and efficiency. This aggregated rating is not a simple average of the separate ratings given to these evaluation criteria, but reflects the overall judgement of the Evaluation Consultant. Relevance and effectiveness, however, will be considered as critical criteria. This means that the aggregated rating for attainment of objectives and results may not be higher than the lowest rating on either of these two criteria.

32. Accordingly, the Project is rated **MODERATELY SATISFACTORY (MS)** in the attainment of its stated objective and expected results. Details of the evaluation that led to this rating are provided below.

### 2.2 Achievement of Outputs and Activities

33. As stated, the Project's main objective was to "raise awareness on the health and status of the world's ocean ecosystems, through the dissemination of the film OCEANS and development/dissemination of media and educational products." The Project attempted to meet this objective through:

- *Screenings of the documentary film at relevant international and national events;*
- *Creating awareness-raising products for different target audiences; and by*
- *Raising awareness about the ecosystem health of the world's oceans.*

34. The discussion within this section presents an explanation about accomplishment of the outputs and activities under the

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<sup>4</sup> The six-point scale is: Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), and Highly Unsatisfactory (HU).

three main project components as identified in the Project Document.<sup>5</sup> However, it is important to note that most of these outputs and activities were actually completed ahead of the commencement of the Project (i.e., prior to the date of initial funds disbursement, on October 19, 2010). The achievements reported in Project documents as attributed to the Project, but actually accomplished prior to the start of the Project, are indicated by underscoring of the dates given below.

**Project Component 1: Dissemination of the OCEANS Film at Major GEF Events**

35. The film OCEANS was originally planned for screening during at least two major international events, i.e., a meeting of the GEF General Assembly and a Biodiversity Conference of Parties (COP). There is no discussion in the PIR or Project Final Report (PFR) of reasons why a screening was not carried out at the COP. However, the OCEANS film was shown during GEF Assembly at Punta del Este, Uruguay in May 2010; another UNEP GEF Meeting, organized by Monaco held in New York in October 2010.
36. Likewise, in the Project Document, another targeted output was for screening of the OCEANS film in at least 8 national events. However, this was reportedly accomplished only in six countries, namely: (1) Indonesia, May 5, 2010; (2) South Korea, July 28, 2010; (3) Mexico, May 21, 2010; (4) Brazil (no date mentioned); (5) South Africa, September 23, 2010; and (6) China, August 12, 2011. **It was only in China where the screening was actually held within the timeframe of the Project.** No mention was made whether the screening scheduled in India (and in unspecified “other countries”) actually pushed through, despite the fact that some funds were budgeted for the purpose. Since no further mention is made in the PFR regarding the India screening, it is assumed that this did not materialize. The sequence of events thus raises the issue of whether ‘meaningful supervisory guidance’ was possible since, it would appear that many project activities happened even before project formal inception.
37. It is reported in the PIR that the first theatrical release of the OCEANS film was held in France on January 27, 2010. It was mentioned that subsequently, the film was released in **40 countries** – until the final release in China. Not all 40 screenings were listed in the Project documents;<sup>6</sup> the ones that were reported were: Germany, February 25, 2010; Austria, March 19, 2010; Belgium, January 27, 2010; Spain, April 23, 2010; Greece, April 15, 2010; Iceland, March 9, 2010; Japan, January 23, 2010; Lithuania, April 16, 2010; Reunion Island, February 10, 2010; Netherlands, April 22, 2010; and USA, April 22, 2010. **It is important to reiterate that all these screenings were held prior to the commencement of the Project.**
38. Regarding further screenings, in communications from UNEP to GEF dated 14 July 2011,<sup>7</sup> plans were mentioned for showcasing the OCEANS film or other media products in conjunction with the following international events: GEF International Waters (IW) Conference, Dubrovnik (and a GEF IW conference in Dubrovnik in October 2011; CBD COP11, New Delhi (October 2011); Expo 2012 “Living Ocean and Coast”, Korea (2012); RIO+20 Summit (2012); TUNZA International Children and Youth Conference, Indonesia (September 2011). No confirmation was found in any documents, and spot-checking on the internet could not verify, that any of these events transpired. The Task Manager, however, reports organizing a screening at the GEF 20<sup>th</sup> anniversary Gala in Washington DC in May of 2011 and that a screening also took place at the GEF IW Conference in Dubrovnik.
39. As to where and on what occasions any other screenings were conducted, none of the Project documents report any further details. However, online research (via YouTube, Google Search, etc.) provided some evidence that there were indeed other screenings done in other countries, but with no specific details available that could add substance for the purpose of this evaluation.

<sup>5</sup> Five Project components are included in the Project framework. In addition to the three implementation components discussed in this section, the other two components included in the framework are Component 4, monitoring and evaluation, and component 5, Project management.

<sup>6</sup> The Box Office Mojo website lists releases in 32 countries: <http://www.boxofficemojo.com/movies/?page=intl&id=oceans.htm>

<sup>7</sup> Memo from Ms. Maryam Niamir-Fuller, Director, UNEP GEF coordination Office, to Ms. Monique Barbut, CEO, GEF.

40. As described in the Project document, many of the national screening events were to have been non-commercial activities conducted for the purposes of information dissemination and awareness-raising. However, as later reported, the events that took place appear to have been simply the launching of the OCEANS film for commercial release in various countries. In this sense, these specific expected outputs were not accomplished.
41. According to the Project documents, more than 10 million viewers from all over the world (excluding China), have watched the film.<sup>8</sup> Despite the fact that the PFR reports that audiences were “awed and amazed” by the film’s cinematography and emotional message, regrettably, no data were gathered in any organized manner, to accurately gauge the impact that the film may have had on its viewers, in terms of raising awareness or changing attitudes or behavior regarding matters relating to conservation of the world’s ocean ecosystems and biodiversity.
42. Another target output of the Project was the implementation of technical and educational seminars and discussions following each screening of the film. The PIR briefly mentions that this was accomplished under the leadership of the Census of Marine Life, but with no specific elaboration as to the number of seminars and lectures delivered, and whether these activities resulted in raising the awareness of the audience and changing their behavior or attitudes regarding marine conservation.
43. The GEF document states that part of this output was intended to “screen videos or movies along with a debate or seminar hosted by the producer Jacques Perrin and a world-renowned scientist.” No definite information (e.g., concerning times, dates, locations,) is provided in the Project documents, to demonstrate that the intended discussion sessions actually occurred, and whether Mr. Perrin or well-known scientists participated in any such discussions. No audio or video recordings, transcripts, minutes, press releases, attendance sheets, or reports of any discussion sessions were made available to the Evaluation Consultant. The Task Manager reported that despite attempts to organize such events neither Mr. Perrin nor scientists from the Census of Marine Life were ever available to attend.
44. Nonetheless, the PIR reports that after film screenings... “Almost each spectator was deeply moved and asked for more information about sea life and its protection. Many people were more convinced and moved by the film’s beautiful images than by a good scientific speech, and asked Galatée team how they could act” (underscore added). Despite this assertion, no evidence is provided that would help to substantiate this claim.
45. Had the content of post-screening discussions been well documented, this information could have shed light on the effectiveness and impact of activities supported by UNEP and GEF, in bringing about the project objective. This would have greatly benefited the conduct of the Terminal Evaluation.
46. In an effort to gather further information, the Consultant made an inquiry with Galatée Films regarding lectures or discussion sessions. In their response, Galatée reported some 20 screening events had taken place in conjunction with a variety of conferences and lectures held in different countries.<sup>9</sup> Of the 20, only six were held during the project timeframe; the remainders were held prior to the beginning of the project. No further information regarding the content of lectures or discussions conducted with the screenings, or the personnel presenting them, was available.
47. The PIR and PFR gave no details concerning accomplishment of the target of using the DVD of the film in UNEP and GEF non-commercial events. It was just mentioned that this particular activity was fully accomplished, again, with no evidentiary support. It is worth noting that according the Task Manager the GEF paid little attention to the Oceans PIR and the GEF IW focal area never reflected it in its cohort of projects. Nor did the project feature in the focal area report of the GEF Annual Monitoring Report.

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<sup>8</sup> The Quarterly Progress Report for Jan-Mar 2011 reports 9,536,924 viewers, mostly in France, Japan, and the USA (the latter viewed the DisneyNature version of the film).

<sup>9</sup> E-mail from Ms. Nathalia Mikhalkov, Galatée Films, dated 23 April 2014.

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**Project component 2: Development of New Products**

48. The target to produce a short 5-minute high impact film specifically tailored to GEF and UNEP requirements, with text in at least 2 UN languages (English and French) was fully accomplished (although it was reported that this took longer to deliver than anticipated). No further elaboration about this accomplishment was provided.
49. Project documents state that more than 400,000 copies of the DVD version of the film were produced and sold in France, with funding provided under the GEF grant. In the absence of further detailed accounting, it is not possible to ascertain whether all of these DVDs were actually produced through this funding.
50. Another new product, a one-hour film about "*The Making of*" the OCEANS film, was completed and this is included as a bonus feature on the OCEANS Blu-Ray DVD.
51. One of the most significant products supported by the project, in terms of its educational value, and the wide distribution that it enjoyed, is the 4-part TV series (consisting of four 1-hour episodes), that was created utilizing extra footage that was shot in the process of making the OCEANS film. The TV series was licensed for airing on major broadcasting networks (including the National Geographic channel in the U.K., NatGeo Wild in the United States, and France TV and Arte in France). The series was also released on a Blu-Ray DVD. According to the results reported in the project progress reports, broadcasts of this TV series reached millions of viewers; Germany, China and Japan also acquired (or were about to acquire) the distribution rights for the TV series.
52. While this was one of the project's important and successful outputs in terms of dissemination, the 'branding'—through the use of GEF/UNEP logos, or credits shown at the beginning of films and videos—showed some inconsistencies. The French-language version of the DVD for the four-part TV series, entitled *Le Peuple des Océans*, has logos on the packaging, as well as credits for GEF and UNEP at the beginning of the TV episodes. However, the English-language version of the TV series DVD, entitled *The Kingdom of the Oceans*, has no credits or logos for GEF/UNEP (though many other sponsors are recognized). Since GEF support was given through the UNEP project for the creation of the TV series, the fact that the English-language version lacks the credits, seems to be either a careless oversight, or a circumvention of the agreement between GEF/UNEP and the film-makers. Further details concerning the legality of ownership rights of various products, which may have been a factor in this instance, were not researched by the Evaluation Consultant.
53. Online research conducted as part of the TE suggests that the inconsistency in branding observed on the DVDs also carried through to the wider distribution of the TV series. On several websites, National Geographic's presentation of "*Kingdom of the Oceans*" is announced.<sup>10</sup> Some of these sites feature impressive still photos and video clips from Galatée. However, no credits for GEF or UNEP are found on any of the sites. Another site announces the airing of the series in the U.K. and U.S.<sup>11</sup> Interestingly, this site also neglects to credit UNEP and GEF, but mentions that:

*"The series generously acknowledges the Census of Marine Life and the Alfred P. Sloan Foundation. The series offers great opportunities for education about the oceans and marine life, for example, panel discussions or question-and-answer sessions, after viewing the segments."*

**Project Component 3: Outreach Material Development and Public Education**

54. The PIR and the PFR provide only limited information on the various activities accomplished under Component 3 of the project, for Public Education. It was reported that agreements on the extraction of materials from the film footage and

<sup>10</sup> See <http://abcnews.go.com/Technology/slideshow/national-geographics-kingdom-oceans-18685830/image-18687003>, <http://natgeotv.com/uk/kingdom-of-the-oceans>, and <http://www.broadwayworld.com/bwwtv/article/Nat-Geo-Wild-to-Premiere-KINGDOM-OF-THE-OCEANS-Today-20130309#.Ux7SkYV7Tgw>.

<sup>11</sup> <http://phe.rockefeller.edu/news/archives/1622>. The series was first aired in the UK in December 2012 and on US TV in March 2013.

rushes were reached. But there are no specific details on the content of these agreements, and how the film footage was used. Similarly, agreement was reached on the procedures to extract 50 still images/pictures from the film materials. However, apart from an indication of use in two UNEP and GEF publications, there is no information provided about how these still images were utilized. Only three (3) copies of the 52-minute video “The Making of” were given to UNEP and GEF for their use in two workshops. More copies were requested, and the Task Manager reported that a few additional copies were sent to UNEP and distributed to GEF projects and various stakeholders.

55. Although the 5-minute film, still images, and other minor media products were handed over to UNEP, their further dissemination and utilization were extremely limited. The 5-minute video is posted online on a UNEP-linked website.<sup>12</sup> Minor usage of stock video footage and still photos by UNEP may be found at other websites.<sup>13</sup> It is surprising that apart from these few examples, more use was not made of the high-quality visual products that were generated by Galatée and made available to UNEP. One obvious example of this shortcoming is the absence of, or highly unnoticeable use of OCEANS-related products on the IW:LEARN website. Within the Project design document, the IW:LEARN website is specifically targeted and identified as one of the key avenues for dissemination of OCEANS media and educational products. The website has links to over a hundred and twenty videos, many of them dealing with other ocean conservation initiatives (e.g., in the Coral Triangle, Lake Baikal, the Mediterranean, etc.). However there are no links to the OCEANS film, or any other related video products, on the IW:LEARN website. Similarly, there are over 400 still photos on the IW:LEARN website, but again, none of the still photos that were made available to UNEP as part of the Project’s deliverables are included or linked there. The only mention of the OCEANS film, or the Project, that was found on the IW:LEARN website is a very basic project profile outline.<sup>14,15</sup>
56. Finally, the PIR mentions that the GEF grant contributed to the production of all the images that were used in making books, a website, the TV series, photo exhibition, and a video game. Again, it is important to note that most of these educational materials and activities either were actually accomplished **prior to the date when this GEF grant-assisted Project was initiated**, or never realized.<sup>16</sup>

### **Theory of Change (ToC) Analysis**

57. As mentioned earlier, a ToC/ROtI analysis was used to help determine the likelihood of achieving the Project’s desired impact (or goal)—even if this might occur long after the conclusion of the Project. A diagrammatic representation of the ToC analysis is presented in Figure 1. The analysis of the key conditions and factors (or elements) that were identified using the ROtI approach, and the findings regarding the likelihood of achieving the desired project impact, are discussed below.
58. **Awareness-Raising Outcome:** The PIR and PFR do not present any information to document possible achievement of the identified Intermediate State of *increased contributions, from government and non-government institutions, to awareness-raising campaigns about the need to conserve global ocean ecosystems*. Similarly, no discussions in the PIR and PFR link the achievement of the Impact Driver (*target audience – including authorities involved in project planning and policy-making – are reached and their knowledge and perception about ocean conservation improved*) and Assumption (*event organizers’ support provided for screening*).
59. **New Products Outcome:** According to the PIR and PFR, the OCEANS film and its educational by-products reached millions of

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<sup>12</sup> <http://vimeo.com/23683313>

<sup>13</sup> <http://www.spain-unepporpas.org/cbd-lifeweb.html> and <http://marinebiodiversityseries.org/> as referenced in a Memo dated 14 July 2011 from Ms. Maryam Niamir-Fuller, Director, UNEP GEF Coordination Office, to Ms. Monique Barbut, CEO, GEF. <http://iwlearn.net/iw-projects/4256>

<sup>15</sup> According to sources within UNEP’s Evaluation Office, marine life imagery made available to UNEP through the OCEANS project could have been utilized in the preparation of the “Fifth Global Environmental Outlook” (GEO-5) report, but this was not done.

<sup>16</sup> Of the activities cited, there is no reporting in the Project file to indicate whether or not the photo exhibition was ever held, or if a video game was ever produced.

audience members and viewers all over the world. This implies that the identified Intermediate State—"large target audiences and large numbers of stakeholders are reached by additional information, education, and communications (IEC)/dissemination materials on the health and status of the world's oceans"—was achieved for this outcome. While certainly both the film *OCEANS*, and the four-part TV series, reached a very wide audience, there is still a question about how much of the success in disseminating this information can be attributed to the Project.<sup>17</sup> While it is quite difficult to distinguish this aspect, still, there is sufficient evidence from external sources (e.g., internet websites) to suggest that this Intermediate State was reached.

60. Concerning the corresponding Impact Driver and Assumption: *Other key stakeholders reached by additional IEC/dissemination materials* (impact driver) and *events organizers' support provided for screenings* (assumption), these are merely suggestions that are not founded on factual, empirical data. More information is needed to verify the accomplishment of these conditions.
61. **Public Education Outcome:** The Project documents contain statements to indicate that *educational materials were used in GEF and non-GEF projects* (intermediate state), but these were very general statements. Once again, it would have been desirable if more solid, verifiable data had been provided to support such statements, as well as other similar statements that appear to indicate that the impact driver (*target audiences-including filmmakers, educators, journalists, etc., were reached and have utilized the Project's educational materials*) and assumption (*adequate resources were made available for disseminating the products to target groups*) conditions were satisfied.
62. As is indicated in the foregoing discussion, based on the Project documents that were available for review by the Consultant, it is extremely difficult to determine whether or not the preconditions required for eventual achievement of desired Project impacts may have been established. While it is certainly possible that such preconditions could have been established, it is simply the case that, based on the paucity of information that was made available, it is not possible to determine this with any degree of confidence.

#### **Results of Viewer Feedback: Screenings at Asian Development Bank**

63. It has already been mentioned that there was very little hard data presented in any of the Project documents, which could be used to back up very general statements made, and conclusions reached, concerning the effectiveness of the Project in achieving its objective. Furthermore, names and contact details of only a few Project "insiders" were provided as possible key informants for the evaluation. In an effort to remedy the lack of usable information from these two different sources, the Consultant organized two screening events specifically for the purpose of gathering more concrete data that could contribute to the evaluation. These events were held at the Asian Development Bank headquarters in Manila, Philippines, in March 2014, in conjunction with two IW:LEARN workshops.<sup>18</sup> Two of the four one-hour TV episodes from "Kingdom of the Oceans" were used for the screenings. Following the screenings, questionnaires were distributed to viewers to solicit feedback about the *OCEANS* film, its by-products, and the relative success of the dissemination of these materials, as supported under the Project.
64. A total of 42 participants from the IW:LEARN workshops viewed the film and completed the questionnaires.<sup>19</sup> As would be expected for participants of an IW:LEARN event, the audience members, consisting of representatives from government

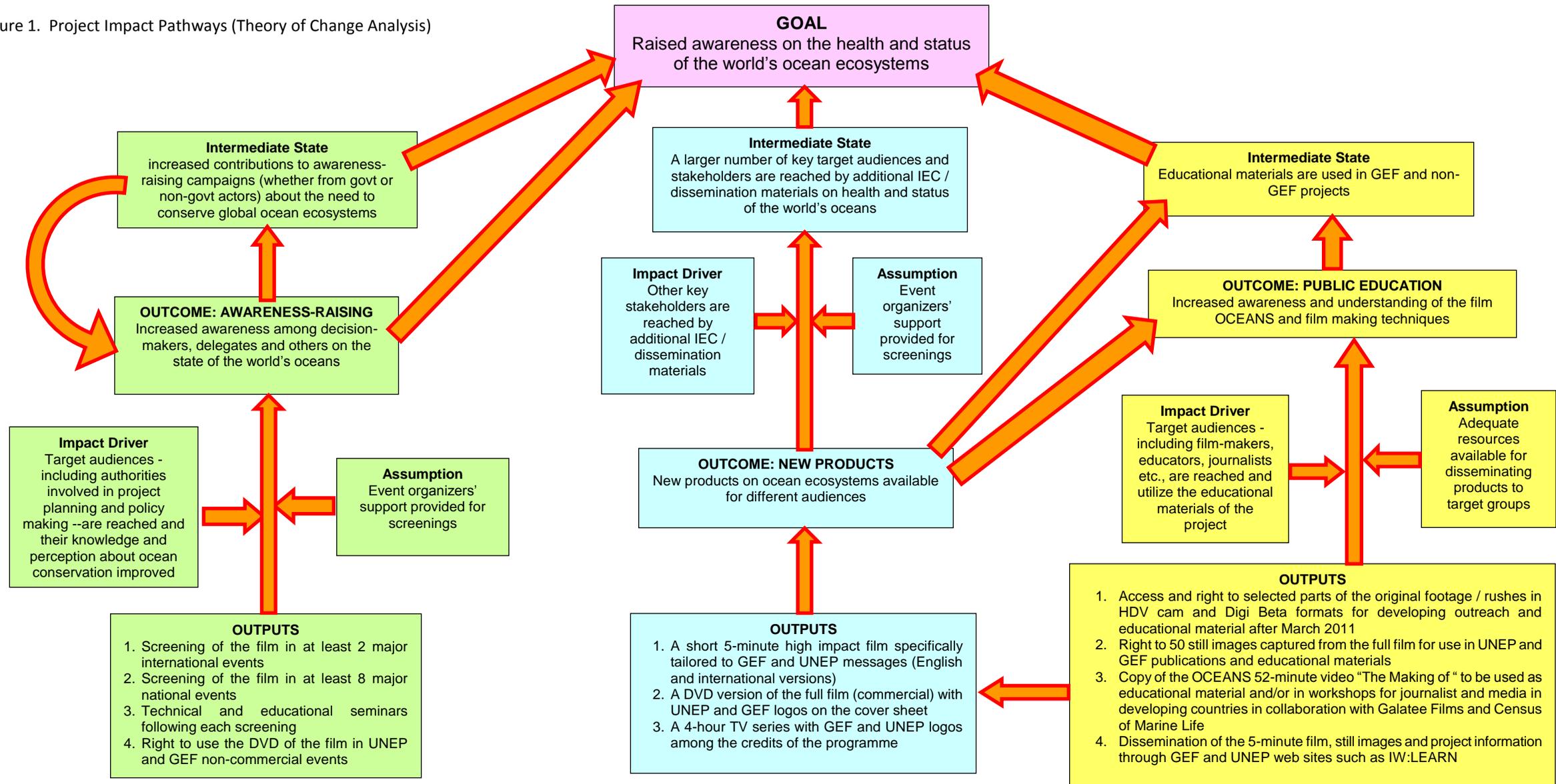
<sup>17</sup> Distribution rights for the *OCEANS* film and the 4-part TV series were sold to various parties. For example, a modified version of the film was produced by Disney under the DisneyNature brand, and this reached a wide audience in the U.S. A complete list of distributors in other countries can be found at: <http://www.boxofficemojo.com/movies/?page=intl&id=oceans.htm>

<sup>18</sup> Screenings were held in conjunction with the following two events, on March 10 and March 20, 2014, respectively: (i) "The 2nd GEF IW Regional Workshop for Asia and the Pacific: Transforming Good Practices from Demonstration Projects into Scaled-Up Investments and Financing in IWRM and ICM" and (ii) "GEF-IW:LEARN Information and Communications Technology Workshop in Spatial Data Management for Asia and the Pacific."

<sup>19</sup> See Annex 2 for a listing of the screening participants/respondents.

agencies, development partners, academia, and NGOs, were quite knowledgeable about environmental issues generally, and more specifically, about issues pertaining to effective information dissemination, as well as to ocean ecosystems and conservation. The survey questionnaire, a tabulation of the questionnaire responses, and a narrative summary of the results of the questionnaire survey, are presented in Annex 4. Key highlights from the questionnaire responses, that are most useful and relevant for the TE, are summarized below:

Figure 1. Project Impact Pathways (Theory of Change Analysis)



- i. More than half of the respondents reported that prior to the screenings, they had not seen or heard of the OCEANS film or any related educational and informational materials produced from it. This was somewhat surprising, given the fact that the viewers fit the profile for the audience targeted by the Project.<sup>20</sup>
  - ii. A clear majority (35 out of 42) of respondents were highly appreciative to have seen the TV series episodes, indicated that the screened materials conveyed valuable environmental lessons, and said that it would be important to share the OCEANS media materials with others. Respondents indicated that they felt that the media and educational materials that had been presented could be used by government agencies, NGOs, other multi-lateral organizations, and for initiatives working on marine ecosystem and oceans.
  - iii. To improve dissemination, respondents suggested (i) that the film and related media and educational products should be made available at no cost via free viewing and downloading from the internet; (ii) to distribute the materials through schools; (iii) to have the materials translated into local languages and dialects;<sup>21</sup> (iv) that screenings be presented in poor coastal communities who depend upon ocean resources for their livelihood; and (v) to air materials on television and through social media.
  - iv. To strengthen the “branding” and identification of the Project with GEF and UNEP, respondents suggested that the affiliation of GEF and UNEP with the educational products could be mentioned by presenters during screening events, and that GEF and UNEP logos could appear within the film and videos themselves.<sup>22</sup>
  - v. The majority of participants (total of 79%) agreed that the media materials presented could be used as a tool to persuade leaders and decision makers to adopt stronger measures to protect the oceans, and a total of 88% felt that that the materials were highly consistent with and supportive of GEF and UNEP objectives to preserve global biodiversity and protect the environment.
65. All the information described in the foregoing discussion contributed to the rating of the Project’s performance in achieving the targeted outputs and activities. Key activities under each of the three implementation components were generally accomplished. While the ToC analysis is inconclusive (due to gaps in information and substantive evidence upon which to base a determination), it does show that targets for at least some component intermediate states were reached, and could conceivably support achievement of the Project objective over time.
66. UNEP has recently developed a new TOR template which separates the evaluation of the criterion for achieving Project outputs and activities into two parts: (1) to assess the delivery of planned outputs/outcomes, vs. (2) delivery of actual outputs/outcomes as accomplished within the Project and as further projected in the ToC analysis.
67. For this Project, there is indeed a clear dichotomy between (1) the delivery of outputs and outcomes as defined, planned, and agreed in the Project design framework, vs. (2) delivery of actual outputs and outcomes. The delivery of results according to the plan presented in the Project framework was extremely difficult to assess and verify, and it is felt that on this basis alone, the Project fell short. Other factors also contributed to the failure of the Project to conform to the planned framework. Therefore, for attainment of planned results, a rating of **UNSATISFACTORY (U)** is given to the Project. In contrast, it must be recognized that overall, the Project achieved measurable success in delivering actual outputs, and that many of these could contribute to achievement of the overall Project objective. Therefore, a rating of **SATISFACTORY (S)** is

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<sup>20</sup> The tabulation from the questionnaires may not have been completely accurate, due to some confusion in the way the question was phrased and subsequently interpreted by respondents. When asked to indicate their prior awareness of the film and its products by a show of hands, only 5 or 6 participants raised their hands.

<sup>21</sup> One respondent specifically mentioned the importance of translating the materials into local languages. Quoting a famous remark made by Nelson Mandela, he said: “If you talk to a man in a language he understands, that goes to his head. If you talk to him in his language, that goes to his heart.” Thus, by being accessible in local language, the film and videos would be far more effective in reaching viewers on an emotional level, to convey important conservation messages.

<sup>22</sup> The English-language version of the TV series episodes that were shown, lacked GEF and UNEP credits or logos.

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given for this aspect.

### 2.3 Relevance

68. Not belonging clearly to any of GEF's standard Operational Programs (and referred to as an "OP0" project), The Project represented a new approach that differs considerably from the majority of UNEP-implemented GEF projects. Despite this, the Project remains a relevant undertaking.
69. In the PIR, the Project is categorized under the International Waters (IW) focal area, while on the GEF website, it is classified under the Multi-Focal Area heading. Reviewing the Project's objectives and implementation strategies, it is apparent that the Project is consistent with strategic priorities and operational programs under both the IW and Biodiversity (BD) focal areas, and, that it also supports the objectives described within GEF's Communications and Outreach Strategy.
70. The Project's media and educational products, including the 4-part TV series, DVDs, short film and other educational materials, clearly can help to further the GEF's IW Focal Area goal (under the GEF 5), which is "*the promotion of collective management for transboundary water systems and subsequent implementation of the full range of policy, legal, and institutional reforms and investments contributing to sustainable use and maintenance of ecosystem services.*" Similarly, the project can support BD Focal Area goal: "*conservation and sustainable use of biodiversity and the maintenance of ecosystem goods and services.*" In addition, the outputs and the activities accomplished under the Project are highly consistent with the GEF Communications and Outreach Strategy. In particular, the Project is relevant with respect to Objective 1 and Objective 3 of the Strategy, which are (respectively): "*To create a clear GEF corporate identity*" and "*to position GEF as a leader on the global environment.*"
71. With regard to the UNEP Medium Term Strategy (2010-2013), specifically under the Ecosystem Management objective, the Project, in its effort to disseminate the strong emotional message of the film *ΩCEANS*, can encourage national authorities to adopt an ecosystem approach to ocean management that may help enhance the socio-economic well-being of people dependent on marine resources. The Project also contributes to the Programme of Work of the Environmental Governance Sub-programme (2010/2011 & 2012/2013) in terms of keeping the state of the environment under review. Specifically, the Project supports Expected Accomplishment "D" during both biennia 10/11 & 12/13. The Expected Accomplishment is formulated as "Access by national and international stakeholders to sound science and policy advice for decision-making is improved".
72. It must be pointed out here, that there is a distinction to be drawn between the relevance of the Project's objective and rationale, and relevance of the Project approach: while the Project objective and rationale are highly relevant, the approach is less so; in fact, the approach was found to be weak and deficient. Based on available evidence, the evaluation consultant was forced to conclude that Project support was unnecessary to achieve many of the claimed Project outputs. The dissemination of the *ΩCEANS* film and related media products would likely have occurred anyway, and these products would likely have reached their intended audience, even without the Project.
73. Giving appropriate weight to all the above considerations, the overall rating for the relevance of the Project is **SATISFACTORY (S)**.

### 2.4 Effectiveness

74. The various products that relate to this Project, especially the *ΩCEANS* film and the 4-part TV series, have certainly raised the level of awareness on the status of the world's ocean environment, for the millions of viewers who saw them. State-of-the-art cinematography, the high level of technical quality, and a style that evoked emotional as well as intellectual response, certainly heightened their effectiveness in this regard. However, due to the lack of concrete information that catalogues the results of the international and local / national screenings and other events organized under the UNEP-GEF

intervention, it is quite difficult to say with certainty whether or not the Project was effective in this regard. Likewise, due to the same lack of information, the results of the ROTI analysis proved inconclusive.

75. Nonetheless, extrapolating from the positive responses that were recorded during the screening events organized at ADB as part of this evaluation—and assuming that most audiences would have a similar positive reaction—it is possible to conclude, with some level of confidence, that indeed, audiences participating in Project-supported screenings would come away with greater awareness on the health and status of the world’s ocean ecosystems. Therefore, the effectiveness of the Project in achieving this objective is rated **MODERATELY SATISFACTORY (MS)**.

## 2.5 Efficiency

76. A Summary of Co-Finance Information and Statement of Project Expenditures, by Activity, is presented in Annex 5. Leveraging of GEF funds for this Project was extremely high, so it should be expected that, at least on that basis, the utilization of GEF funds was quite efficient. However, it was difficult to determine whether the financial resources provided for the Project were adequate, and efficiently used, given the limited financial accounting information that was available. Galatée provided no detailed account statements, receipts, or lists of expenditures, to accurately report on the utilization of funds; it simply stated in its brief PFR that all the expected outputs were accomplished.
77. Likewise, no Final Statement of Account, duly audited by an independent audit authority, was made available<sup>23</sup>. Hence, it is not possible to make an informed evaluation of the efficiency of use of funds, relative to project implementation and management. For this reason, and because important financial documentation was not provided, a rating of **MODERATELY UNSATISFACTORY (MU)** is given for the efficiency criterion. Further information concerning Project financial arrangements is provided in a separate “Financial Planning and Management” section, below.

## 2.6 Sustainability and Catalytic Role

### 2.6.1 Sustainability

78. The PIR is virtually silent on the subject of sustainability and replicability, and no clear strategy was put forward, that could help to sustain the Project’s outputs, outcomes, and accomplishments in the future. It should however be emphasized that the project was a ‘one-off’ – linked to the release of a film, the outcomes to be sustained were ‘raised awareness’, and the project design did not foresee prolonged attempts to sustain this awareness with the products produced by the project and the limited resources at its disposal.
79. A more detailed explanation is given in the following discussion of the component dimensions of sustainability that in combination contributed to the overall sustainability rating. It is noted that, according to the GEF Office of Evaluation, all the dimensions of sustainability are deemed critical. Therefore, the overall rating for sustainability will not be higher than the lowest rating on the separate dimensions. Taking these factors into account, the sustainability of the Project is rated **MODERATELY UNLIKELY (MU)**.

### *Financial*

80. The Project reports were silent on how to provide a sustainable source of financing that would be required to support awareness-raising about ocean conservation issues in the future. The PFR did not recommend any strategy or measures on securing sustainable funding support for an awareness-raising campaign.
81. While GEF has allotments for communications initiatives that could be tapped to support this or similar media production

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<sup>23</sup> An audit report was made available more than a year after report preparation.

and dissemination efforts, such avenues are not a sure window for long-term funding support—such funds are usually short-term in nature, and there are stringent requirements for funding approval.

82. Given that for this project, UNEP was cooperating with a private commercial entity (Galatée Films), several other options for securing sustainable financing for awareness-raising might have been explored. These could have included (i) Galatée seeking support from other partners (e.g., Sloan Foundation and others who had provided substantial support for the production of the *OCEANS* film in the first place); or (ii) UNEP securing a commitment from Galatée to use a portion of the commercial proceeds from the film, TV series, and other products, to be used for further pro bono awareness-raising activities. However, these options were not suggested or explored, the various project participants seemed to have regarded this project as a one-off with sustainability issues taking a low priority. Largely because no definite plan was made for securing long-term financing, the Financial Sustainability for this Project is rated **MODERATELY UNLIKELY (MU)**.

### ***Socio-political***

83. There is no doubt that dissemination of the *OCEANS* film, the TV series, and other media products generated heightened awareness, and a greater interest in ocean ecosystems among viewers. However, this does not automatically lead to the conclusion that such interest could transform into sustainable socio-political action or support. The Project did not provide any defined mechanism or strategy for behavior change, that would translate the awareness generated into tangible steps that could lead to conservation and protection of marine resources. There are some indications, though, that the film has moved some viewers. For example, some evidence of this is found in the responses of viewers who attended the ADB screenings—they reported not only that they were personally moved by the production, but also, their opinion that such media products could also move key decision-makers to take positive action. Therefore, this is a good starting point to inspire strengthened socio-political support for ocean conservation. Thus, the socio-political sustainability for this Project is rated **MODERATELY LIKELY (ML)**.

### ***Institutional framework***

84. The PCA clearly outlines the roles of UNEP (as GEF Implementing Agency) and Galatée Films (as the Executing Partner) relative to Project implementation and financial arrangements. However, no mention is made about how Project results can be carried forward in the future. Institutional arrangements and governance should not be formed only from the top. Local authorities, organizations, communities, and other “grass-roots” stakeholders can and should likewise play a role in providing an institutional framework to sustain such projects. However, for this Project, such a mechanism, to effectively engage with stakeholders at various levels, is lacking.
85. Given the broad appeal of the products being disseminated, there should have been opportunities, at many levels, for the Project to begin to form institutional linkages that might over time lead to partnerships, networks, regional and community programs, and even transboundary agreements. However, these opportunities were not seized, and the Project failed to provide the direction to pursue them. Hence, the rating provided for this sustainability criterion is **MODERATELY UNLIKELY (MU)**.

### ***Environmental***

86. The intent of the Project was to disseminate messages about the importance of preserving the ocean environment and protecting its unique biodiversity. An “OPO” project such as this, which has as its primary goal to improve knowledge and awareness through information dissemination, must be distinguished from other projects that aim to more directly affect the physical and biological state of the world’s oceans (e.g., through establishment of protected areas, prevention of pollution etc.). Thus this Project is several stages removed from engendering ecological and environmental sustainability. Because the Project was not aimed at implementing interventions directly affecting the biophysical environment, its sustainability was not affected by any environmental factors. Thus there is no rating for this criterion: **Not Applicable (N/A)**.

## 2.6.2 Catalytic Role

87. Catalytic processes may apply not only to replication, but also, in terms of scaling up. GEF and UNEP made a significant contribution in this regard, by helping to support the production of DVDs of the OCEANS film that could be distributed, and especially, in the production of the 4-part TV series. Evidence that scaling up occurred, beyond the scope of the Project, is found in the fact that, in addition to the French-language version of the 4-part TV series initially produced on BluRay DVD, subsequently, an English-language version of the TV series DVD was also produced and distributed.<sup>24</sup> During the course of the evaluation, another example wherein the OCEANS film was used for educational and awareness-raising purposes, was also discovered.<sup>25</sup> It seems clear that further scaling up could have occurred, had this been more clearly articulated as an objective within the project design framework, and had the various media products been more effectively utilized and disseminated on the internet. Taking into account the factors presented here, the rating given for the catalytic role of the Project is **SATISFACTORY (S)**.

## 2.7 Processes Affecting Attainment of Project Results

### 2.7.1 Preparation and readiness

88. In the Inception Report for this TE (21 August 2013), the various factors, conditions and other processes that are needed to ensure adequate Project preparation and readiness were described. These included: (i) establishing clear and feasible objectives, (ii) assessing the capacity of the executing agency, (iii) formulating an effective partnership agreement, (iv) evaluating counterpart resources, and (v) defining appropriate project management arrangements. The Inception Report stressed that these aspects needed to be very well considered in project design to ensure readiness in attaining Project results. As is described in this section, the Project fell short in meeting most of these conditions.

89. The strength or weakness of a Project's preparation and readiness is closely tied to the quality of the Project design—weaknesses in project design often emerge as weaknesses in preparation and readiness, which can further compromise the attainment of desired Project results. For this Project, several weaknesses in Project design were identified and reported in the Inception Report, as follows: (i) near-complete absence of a reliable means to monitor results (i.e., no mechanisms for gathering baseline data, or feedback to measure results); (ii) confusion of outcomes and outputs; and (iii) no targets or mechanisms established for replication, scaling-up, or sustainability. These weaknesses led to some of the problems that were observed in project preparation and readiness.

90. Despite the fact that the roles and responsibilities that UNEP and Galatée should have performed in project implementation were clearly defined in the PCA, both parties were remiss in their obligations. Galatée was not familiar with the UNEP and GEF project implementation processes, and failed to submit the required progress and financial reports. There was no capacity assessment undertaken and Galatée had never been an EA for UNEP. Even the final report which Galatée submitted did not follow the required template. UNEP, on the other hand, failed to effectively supervise the implementation of the Project, as manifested by the kinds of outputs delivered by Galatée, always remembering that opportunities for such supervision were limited as many of the project outputs had been delivered before the project was formally active. UNEP project managers should have perceived that Galatée, as a commercial filmmaker not familiar with development projects, would require closer supervision to deliver the required documentation for the Project. The Task Manager reported having spent considerable time liaising with Galatée and that this proved challenging.

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<sup>24</sup> Unfortunately, while the French version of the TV series DVD has GEF and UNEP logos on the packaging, and credits at the beginning of each episode, the English-language version does not.

<sup>25</sup> The evaluator learned that the DisneyNature version of the film was screened during the Borneo Eco Film Festival (BEFF) in Kota Kinabalu, Sabah, Malaysia, in 2013. The festival organizer obtained permission from Disney to screen the film and to add Malaysian language subtitling (personal communications, Ms. Agnes Agama, BEFF Coordinator).

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91. Possibly, this problem could be ascribed to the very unusual way in which the Project was designed and prepared. In contrast to the usual modus for GEF projects-wherein authorized GEF Executing Agencies approach the GEF for funds-in this instance a reverse process occurred. GEF assigned the project to UNEP, and this appears to have caused a 'disconnect' between UNEP and GEF, which in turn resulted in a lack of ownership by UNEP for the project. This lack of ownership then led to a situation wherein UNEP apparently was more lax on enforcing the terms of the PCA than they should have been.
92. It appears that the processing of the Project was fast-tracked, reportedly at the urging of the GEF CEO.<sup>26</sup> This fast-tracking may have led to or intensified the problems described here. In addition, it is noted (and discussed in greater detail in the M&E section which follows) that the only allowance made for M&E within the budget was to cover the costs of this TE. This clearly suggests that there was no plan put into effect for monitoring and evaluating this Project. Having accepted the Project proposal with this clear deficiency, GEF itself must bear some responsibility for the problems that subsequently arose as a result. These factors had a significant negative impact that affected the monitoring of the Project's target results. Because the executing partner was unprepared to fulfill a number of key commitments under the cooperation, and the GEF implementing agency was not able to improve this, an **UNSATISFACTORY (U)** rating is provided for this evaluation criterion.

### 2.7.2 Implementation approach and adaptive management

93. The Project framework that is incorporated within the GEF document guided the implementation of the Project. Within the Project framework, the components, activities, expected outputs and outcomes, and financial requirements are well defined. Galatée, the Executing Partner, carried out the activities as planned, and easily achieved the targeted outputs (although, as already reported, many of the achieved targets were already reached even before the Project funds were received, and thus their implementation did not require Project support). During implementation, no obstacles that could have derailed the attainment of project results were reported. And given this, there was no adjustment made in the overall project implementation processes; the procedures that were applied remained the same until the completion of the Project.
94. The Project was managed by UNEP's DEPI in Washington, D.C., and Nairobi, in collaboration with UNEP's DCPI in Nairobi, Kenya. Since the project was strongly linked to communication, the project management role would have been better fitted with DCPI, but due to relatively low experience of DCPI in managing GEF funded projects the main responsibility of project management was given to DEPI with DCPI providing support on substantial issues. Under the circumstances, this arrangement was probably the best from the options available. The respective roles and responsibilities of these entities for the management of the Project are not well defined in any project reports. However, important guidance regarding Project supervision and adaptive management is provided in the Project document as follows:

*"Project supervision will take an adaptive management approach. The Task Manager will develop a project supervision plan at the inception of the project which will be communicated to the project partners during the inception workshop. The emphasis of the Task Manager supervision will be on outcome monitoring but without neglecting project financial management and implementation monitoring. Progress vis-à-vis delivering the agreed project global environmental benefits will be assessed with the Steering Committee at agreed intervals. Project risks and assumptions will be regularly monitored both by project partners and UNEP. Key financial parameters will be monitored quarterly to ensure cost-effective use of financial resources."*

95. With regard to the above:

- a project supervision plan was not developed at the inception of the project;

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<sup>26</sup> This aspect was not explained in Project reports or documents, however, it was mentioned in the Consultant's TOR for this evaluation.

- an inception workshop did not take place, given the timeline it was deemed unfeasible;
  - a Steering Committee was not formed, it was deemed unnecessary and unfeasible; and
  - key financial parameters were regularly monitored in quarterly expenditure reports.
96. In the course of implementing the project, changes were made in delivering some outputs. For example, some of the film screening events that were targeted, and specifically mentioned in the project document, were not accomplished. In some of these cases, it appears that screening events in other locations were substituted to compensate for the ones originally targeted. In another instance, the project document mentions the target of including information about OCEANS on the IW: LEARN website, as a means for further disseminating information. However, this was achieved only in the most limited sense; apparently no further effort was made to strengthen the presentation of the OCEANS film and products on the website.
97. These observations open the door for several additional questions that relate to the implementation and adaptive management of the project. Specifically, how were decisions made regarding any changes in project targets? How were decisions made about whether or not to try to improve project outputs?
98. Again, neither the project document, nor any subsequent reports, contains any explanation about how decisions were made for the project-whether a steering committee was created, and played an active role, are not known. In the absence of clear information about the existence of any defined mechanism, it can only be concluded that important decisions about the implementation of the project may have been made on an ad hoc basis.
99. As pointed out in earlier sections of this TER, an additional problem lay in the poor compliance of Galatée in submitting quarterly financial reports and a final audited financial report. For its part, in response to the failure of Galatée to provide these required documents, UNEP should have been more diligent in investigating any underlying problems, and ensuring that the necessary information was eventually submitted. However, this did not occur. In the absence of these reports, both Galatée and UNEP deprived themselves of the opportunity to undertake an adaptive management approach, since the information required to assess implementation difficulties, and to make needed adjustments, was lacking.
100. Despite the fact that Galatée achieved some success in meeting its output targets, the poor implementation approach led to an apparent failure to complete the project in an adaptive manner. Overall, this criterion is rated as **MODERATELY UNSATISFACTORY (MU)**.

### **2.7.3 Stakeholder participation and public awareness**

101. The objective of the project, to improve knowledge and understanding about the importance and the state of the world's ocean ecosystems, could certainly be categorized as a public awareness-raising activity. It is surprising, then, that little was done to identify, engage, or consult with key stakeholders, or to gather feedback from them, at any stage of project design or implementation. This is significant, since public awareness is only effective if targeted to known groups of stakeholders. A belated attempt was made to partially rectify this, by gathering participant feedback through the ADB screenings that were conducted as part of the evaluation process, even though this was not included in the project monitoring and evaluation (M&E) framework, or in the TORs for the TE.
102. In identifying various parties who had some involvement in the project, the PFR only goes so far as listing those partner entities who provided financing (Alfred P. Sloan Foundation, Fondation Bettencourt, Principauté de Monaco, Abu Dhabi Foundation, Fondation Total, Association Electra), or were involved in the sales and distribution of the OCEANS film and other products (Pathé, DisneyNature, Notro Filmes, JMH, Canal+, France Télévisions), or (as in the case of the Census of Marine Life), who had a role in providing scientific fact-checking and similar technical advice. No specific mention was made of the involvement of any other national or local government agencies, NGOs, community groups, or academic institutions,

who might have played a role in the design or implementation of the Project.

103. The only aspect of the project design, where there appeared to be consideration given for targeting a specific group of stakeholders, was in the identification of the audiences for viewing of the *OCEANS* film. Because it was intended that a number of the screenings would be held in conjunction with GEF- or UNEP-sponsored events, such audiences included people representing government, civil society, multi-lateral development partner institutions, and similar entities. It might be supposed that the typical “demographic” for members of such audiences would most likely include people who were well-educated, well-informed on environmental and conservation issues, and in a good position to influence decision-making processes for ocean policy formulation and planning at the national and international level. However, the project again fell short in documenting both the identity and experience of audience participants, and, in assessing the impact that the screenings of the film had upon them.

104. Because of the extremely limited efforts made to engage with stakeholders and obtain feedback from them, or to carry out a more comprehensive public awareness campaign, the project is given a rating of **MODERATELY UNSATISFACTORY (MU)** for stakeholder participation.

#### **2.7.4 Country ownership and driven-ness**

105. The production and distribution of the *OCEANS* film and related media and educational products, was primarily a private-sector venture, which was not carried out for ownership by GEF, UNEP or national government institutions. Distribution rights for certain media products associated with the Project were granted to commercial interests (e.g., broadcasting networks) in numerous countries. GEF and UNEP were granted the use rights to specified environmental /educational by-products, but the two agencies have not yet determined how these products could best be employed to deliver desired messages about marine environmental protection and biodiversity conservation. Because the project was not oriented toward country ownership, this particular aspect is not considered relevant for the TE analysis, and no rating is given, thus this criterion is **NOT APPLICABLE (N/A)**.

#### **2.7.5 Financial planning and management**

106. A total of USD 630,000 was disbursed to Galatée Films in two tranches: the first payment for USD 420,000 was made on 19 October 2010, and a second payment, for USD 210,000, was made on 23 February 2012.

##### Cofinancing

107. It is not clear how the cofinancing for the project was accounted for. In the GEF Project Document, cofinancing was indicated as USD 10,300,000.00. However, in other reports in the project file, it is stated that production of the feature film cost approximately USD 78.8 million (€57 million), and that production of the TV series cost approximately USD 2.2 million (€1.62 million). Thus there are significant disparities in the cofinancing figures, that have not been resolved.<sup>27</sup>

##### Leveraged Resources

108. Despite the disparities in accounting for cofinancing, by any estimation, it is very clear that this Project was highly leveraged. Comparing the GEF funding of USD 650,000 with the low-end reported cofinancing amount (USD 10,300,000) yields a multiplier of 1,585%, while comparing the GEF funding with the high-end cofinancing amount (of USD 78,800,000) yields an astonishing multiplier of 12,123%.

##### Financial Planning and Management: Evaluation

<sup>27</sup> Refer to Annex 10 of the quarterly Expenditure Statement, Oct-Dec 2010, and the GEF Project Document, for cited cost figures.

109. Financial documentation in the reports provided to the evaluation consultant only gave what appeared to be an approximate overview of how funds were expended. No receipts or other evidence to substantiate the actual expenditures or utilization of funds were provided. An audited final financial report was made available after a considerable period of time after preparation of the draft evaluation report. A summary of expenditures, drawn from Quarterly Expenditure Statements, is presented in Table 3.

Table 3. Summary of Reported Project Expenditures

Reporting Period		Expense Item / Description	Amount	Remaining Balance
From	To			
		(amount of GEF financing to Galatée)		\$630,000
10-May-10	31-Dec-10	Galatée - Production of Film, DVD and TV Series	\$415,000	\$215,000
10-May-10	31-Dec-10	Training/Dissemination: GEF Assembly	\$5,000	\$210,000
10-May-10	31-Dec-10	Training/Dissemination: CBD COP	\$5,000	\$205,000
10-May-10	31-Dec-10	Training/Dissemination: National Event - Indonesia	\$5,000	\$200,000
10-May-10	31-Dec-10	Training/Dissemination: National Event - South Korea	\$5,000	\$195,000
10-May-10	31-Dec-10	Training/Dissemination: National Event - Mexico	\$5,000	\$190,000
10-May-10	31-Dec-10	Training/Dissemination: National Event - Brazil	\$5,000	\$185,000
10-May-10	31-Dec-10	Training/Dissemination: National Event - South Africa	\$5,000	\$180,000
10-May-10	31-Dec-10	Training/Dissemination: National Event - China	\$5,000	\$175,000
10-May-10	31-Dec-10	Training/Dissemination: National Event - India	\$5,000	\$170,000
10-May-10	31-Dec-10	Training/Dissemination: National Event - Other countries	\$5,000	\$165,000
10-May-10	31-Dec-10	Development of public Awareness and Educational Materials	\$100,000	\$65,000
1-Jan-11	31-Mar-11	Development of public Awareness and Educational Materials	\$65,000	\$0

110. In the PIR, under Project Management, “financial management” is identified as a risk factor. Both the Project Manager and the Task Manager rated this factor as “low risk” stating that the UNEP-GEF funds that were granted to Galatée “were assumed to be correctly managed and transparently accounted for” (underscore added). However, Galatée failed to comply with one very important provision of the PCA on submission of adequate financial reports. Galatée submitted only one quarterly report (covering the period 01 January 2011 to 31 March 2011). No quarterly financial reports were submitted for the periods covering October to December 2010 and April to June 2011. No specific data on expenditures (i.e., actual costs of international and national screening events, production costs for the TV series and other educational and media materials) were provided in the single quarterly report, or otherwise. Thus the reported assumption that funds were correctly managed and transparently accounted for, remained only that-an assumption.

111. In light of the failure in meeting the requirement for submitting regular financial reports the Project was rated **HIGHLY UNSATISFACTORY (HU)** for this evaluation criterion.

#### **2.7.6 UNEP supervision and backstopping**

112. There are definite indications that “Making Ocean Life Count” was not a typical GEF-supported project within the UNEP portfolio. The Project focused on communications, not fitting into any of the standard GEF Operational Programs, and leading to its designation as an “OPO” (OP zero) project. It appears that the processing of the project was fast-tracked, leading to several key design elements being overlooked. The timeline of the project, with outputs being delivered prior to inception, was such that supervisory inputs were always going to be of limited effectiveness. The considerable time and effort the Task Manager and FMO report as having been spent on the project was disproportionate to its monetary value and the limited benefits this afforded to the project in terms of ‘adaptive management’. Also, for this Project, UNEP provided grant support to a private company, as Executing Partner, that had no prior experience working with GEF or UNEP. The very fact that the project was atypical, and the fact that the Executing Partner was not familiar with GEF and UNEP requirements and procedures, should have been reason enough for UNEP to reject the project from the outset. The fact that the project was pursued by UNEP at all was possibly due to the fact that (according to UNEP sources) the project was being strongly promoted by the GEF Secretariat / GEF CEO, with little room being made for meaningful inputs into project conceptualization or design by UNEP. These factors prevented adequate supervision and backstopping support being provided. The scanty information provided in both the PIR and PFR, and the non-submission of quarterly work and financial reports by the Executing Partner, are proof of the limited possibilities for effective supervision over the project despite the efforts made by the TM and the FMO. For this reason, the performance of UNEP in a supervisory and backstopping role is rated as **MODERATELY SATISFACTORY (MS)**.

#### **2.7.7 Monitoring and Evaluation**

113. The assessment of Project Monitoring and Evaluation is intended to address three aspects: i) M&E design; ii) M&E implementation; and iii) Funding for M&E. For design, the GEF Project Document uses standard language to describe the M&E design:

*“The project will follow UNEP standard monitoring, reporting and evaluation processes and procedures. Substantive and financial project reporting will be required on a quarterly basis using the templates provided in the UNEP legal Enabling Activity Template – December 2008 instrument to be signed by the executing agency and UNEP. Day-to-day project monitoring is the responsibility of the project management team.”*

114. For implementation, the PD goes on to describe that “project supervision will take an adaptive management approach. The Task Manager will develop a project supervision plan at the inception of the project...” but it was not possible to ascertain whether or not such a plan was ever developed, or followed.

115. In all the Project reporting documents, the sections on "Monitoring and Evaluation", specifically on the M&E design, and its planned implementation, are completely blank.

116. As far as M&E funding, the only allowance made for M&E within the budget was to cover the costs of this TE. Without a commitment of added financial resources for M&E functions, it seems unlikely that it would be possible to apply an adaptive management approach, wherein information gathered during earlier stages of implementation could be used to strengthen areas where there were weaknesses, thus improving subsequent implementation. In addition, the lack of feedback about the relevance or effectiveness of the project in delivering its intended outcomes, creates a gap in information that could have otherwise been used to guide the design and implementation of similar GEF/UNEP initiatives in the future.

117. The GEF document included a Project framework where indicators, baselines, targets, means of verification, risks and assumptions are indicated for the various outcomes. However, the evaluator feels that the indicators that were selected do not enable measurement of outcomes, but only determination of whether or not the Project outputs were accomplished. As such, the indicators are not results-oriented, and different indicators should have been selected in order to conform to the “SMART” (Specific, Measurable, Achievable / Attributable, Relevant, Time-bound) approach. Since all three of the stated project outcomes include “increased awareness”, at least one indicator should have been included in the framework to directly measure this (e.g., through pre- and post-film surveys).
118. It is noted that the roles of concerned agencies and officials for monitoring functions are defined both in the GEF document and PCA.
119. The screenings conducted at ADB as part of this TE<sup>28</sup> were undertaken to solicit, via questionnaires, first hand (primary) data from viewers on how and what they felt about the film, its by-products, and the dissemination of information under the Project. The screenings were a belated and only very partial remedy for the shortcomings in the Project M&E design and implementation.
120. In terms of reporting, the various documents contained in the Project file were very brief and lacked detail. As mentioned above, in many cases, some critical sections of the reports (especially pertaining to M&E) were entirely lacking.
121. In view of these factors, the three elements comprising Project M&E are given the following ratings: M&E design: **UNSATISFACTORY (U)**; M&E implementation: **HIGHLY UNSATISFACTORY (HU)**; and M&E funding: **UNSATISFACTORY (U)**.

## 2.8 Complementarity with UNEP Programs and Strategies

### 2.8.1 Relationship to and links with UNEP’s Expected Accomplishments and Programme of Work

122. In UNEP’s *Medium-term Strategy 2010-2013*, special emphasis is given to management of ecosystems, as a cross-cutting, thematic priority. Clearly the management of the world’s ocean ecosystems is a key component of this priority area. Also, the *Strategy* mentions the importance of awareness-raising, outreach and communications in supporting the thematic priorities. The Project enriches UNEP’s knowledge base, specifically for marine ecosystems, necessary to continue to catalyze an integrated approach to ecosystem management. Also, the Project’s by-products that are authorized for use by UNEP and GEF have a “branding” function, allowing a wider audience to identify with and understand the UNEP and GEF missions. These products can continue to serve these functions in the future. Implemented as a knowledge dissemination initiative, the Project helps to catalyze greater appreciation for more effective management of ocean ecosystems on a broad scale. Thus the Project is highly consistent with the priorities and implementation approaches that are set forth in the *Medium-term Strategy*.

### 2.8.2 Alignment with Bali Strategic Plan and Engagement in South-South Cooperation

123. The Bali Strategic Plan (BSP) is an inter-governmental agreement and framework for strengthening the capacity of governments in developing countries and countries with economies in transition, to coherently address their needs, priorities and obligations in the field of the environment. While the objective of “Making Ocean Life Count” is simply to raise the level of awareness on the status and health of the world’s ocean ecosystems by screening the film in several international and national environmental events, and by disseminating and sharing its educational by-products to relevant users, still this TE finds the Project has contributed to environmental awareness raising and capability building, for ocean and marine conservation and protection. While the Project provides some support to the BSP, it is not considered that the

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<sup>28</sup> 1. This effort, undertaken as part of the independent evaluation of the Project, should not be construed in any way to be a part of the planned M&E activities of the Project itself.

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Project makes any significant contribution, either direct or indirect, to furthering the goals for South-South Cooperation.

### 2.8.3 Consideration of Gender (in Project Design, Implementation and Monitoring)

124. The project documents are generally silent on the issue of gender. In the PIR template, the proponent of any UNEP-GEF project is required to report on “conditions necessary to achieve global environmental benefits,” including gender equity. However, no discussion whatsoever on this subject was included, either in the PIR or the PFR. There is no evidence to suggest that any effort toward gender sensitivity was made in planning, producing, or presenting the project’s medial materials. As an example, no women are portrayed in any of the by-products produced with GEF-UNEP support to illustrate the role of women in ocean conservation. Other possible ways in which consideration of gender might have been incorporated into the project include such actions as ensuring gender balance among viewing audiences, or inviting prominent women ocean scientists to speak during discussion sessions associated with film or TV episode screenings.

## 3. CONCLUSIONS, LESSONS LEARNED AND RECOMMENDATIONS

### 3.1 Conclusions

125. Generally, the project did fairly well in achieving its desired objective ‘to raise the awareness on the health and status of the world’s ocean ecosystems’, through the dissemination of the film *OCEANS* and development/dissemination of other related media and educational products (this is reflected in the **MS** rating given for attainment of project objectives and results).

126. However, a range of other factors are taken into account, in order to arrive at the overall rating of project performance. The PFR stated that 100% of the target outputs were accomplished. However, all Project reports were lacking in detail, and only minimal factual evidence was presented to substantiate the findings. In addition, the majority of the accomplishments attributed to the project, as reported in key project documents, had already been completed ahead of the commencement of the project, suggesting that project support was unnecessary to achieve many of the outputs or that agreements to do these things had been reached with GEF prior to project approval. The dissemination of the *OCEANS* film and related media products would likely have occurred anyway, and these products would likely have reached their intended audience, even without the project.

127. The Project did not adequately comply with the process of documentation and submission of reports and their quality, required as a condition of UNEP and GEF assistance, largely because of the unusual nature of the project and that the executing partner for the Project was not familiar with the administrative procedures of multilateral development institutions. Further, UNEP was not diligent in ensuring that reports to the required standard were produced. As mentioned above, this created significant gaps in the information that were made available to the evaluator, and these in turn led to significant difficulties in carrying out the evaluation. Apart from limited information in a PIR the data gathered in conjunction with the two screening events that were organized as part of this TE (and thus outside of the Project activities), virtually no empirical data was available to back up the reported accomplishments under the Project. Compounding the weaknesses of this unconventional Project was the fact that processing of the project was fast-tracked and therefore several key design elements were overlooked. With outputs being delivered prior to inception, project supervision was always going to be of limited effectiveness.

128. Because of the multiple factors cited above, the overall performance rating given for the Project, as determined through this TE, is **MODERATELY UNSATISFACTORY (MU)**. A summary of the ratings for the component evaluation criteria for the Project, with corresponding brief comments, is presented in Table 4, below.

Table 4. Summary of Terminal Evaluation Results

<b>Criterion</b>	<b>Summary Assessment</b>	<b>Rating</b>	<b>Evaluation Office rating</b>
<b>OVERALL PROJECT RATING</b>		<b>MU</b>	<b>MU</b>
<b>A. Attainment of project objectives and results</b>	This is an aggregate rating based on Project Relevance, Effectiveness and Efficiency (see below)	<b>MS</b>	<b>MS</b>
1. Effectiveness	Media and educational products developed and disseminated through the project were effective in raising awareness about ocean ecosystems but this was not well documented; results of the ROTI analysis were inconclusive	<b>MS</b>	<b>MS</b>
2. Relevance	Though the Project cannot be characterized as fitting into conventional GEF operational programs, nonetheless it is consistent with and supportive of GEF IW and BD focal areas, Communications and Outreach Strategy, and UNEP's 2010-2013 Medium-Term Strategy Ecosystem Management Objective. The Project also contributes to the UNEP Programme of Work of the Environmental Governance Sub-programme. However, relevance of the Project is called into question due to the finding that in many cases, accomplishments attributed to the Project would likely have been achieved anyway, even without Project support. The "S" rating assigned for this criterion takes all these disparate factors into account.	<b>S</b>	<b>S</b>
3. Efficiency	Leveraging of GEF funds was extremely high, however, potential value of the GEF investment, and advantages accruing to UNEP as a result of its efforts in supporting the project, were largely unrealized	<b>MU</b>	<b>MU</b>
<b>B. Sustainability of project outcomes</b>	The project was a 'one-off' – linked to the release of a film, the outcomes to be sustained were 'raised awareness', and the project design did not foresee prolonged attempts to sustain this awareness with the products produced by the project and the limited resources at its disposal.  The overall rating given for sustainability cannot be higher than the lowest rating for any of its component dimensions, since all are critical (see below)	<b>MU</b>	<b>MU</b>
1. Financial	While there are a number of potential avenues that would be available to financially sustain this or similar media/communications Projects, none were recommended or planned for within the Project design or during implementation	<b>MU</b>	<b>MU</b>
2. Socio-political	Some evidence is provided to suggest that the educational and media products disseminated under the Project could be an instrument for influencing decision-makers to advocate or adopt policies to strengthen ocean conservation	<b>ML</b>	<b>ML</b>
3. Institutional framework	No effort was made under the Project to forge institutional linkages that might over time lead to partnerships, networks, regional and community programs, and even transboundary agreements that could sustain Project benefits, despite the fact that the Project could have created opportunities to do so	<b>MU</b>	<b>MU</b>
4. Environmental	The project was not aimed at implementing interventions directly affecting the biophysical environment, thus this criterion does not apply	<b>(N/A)</b>	<b>(N/A)</b>
<b>C. Catalytic role</b>	While there was no specific strategy outlined that would contribute	<b>S</b>	<b>S</b>

<b>Criterion</b>	<b>Summary Assessment</b>	<b>Rating</b>	<b>Evaluation Office rating</b>
	to catalytic replication of the Project, it seems that some scaling up of film screenings, and production of the TV series DVD occurred spontaneously		
<b>D. Stakeholders involvement</b>	No plan for stakeholder participation was articulated within the Project, and no effort was apparently made to engage with various key stakeholders. However, people who might have an influence on ocean policy formulation and planning were the primary target group of stakeholders for screening of the OCEANS film	<b>MU</b>	<b>MU</b>
<b>E. Country ownership / driven-ness</b>	The Project is not a country-based initiative, thus this criterion is not applicable	<b>(N/A)</b>	<b>(N/A)</b>
<b>F. Achievement of outputs and activities</b>	For this Project, there is a dichotomy between (1) the delivery of <b>planned</b> outputs and outcomes as defined and agreed in the Project design framework, vs. (2) delivery of <b>actual</b> outputs and outcomes. The Project fell short in delivery of results according to the plan presented in the Project framework. In contrast, the Project achieved measurable success in delivering actual outputs that could contribute to achievement of the overall Project objective	<b>U</b> <b>(planned outputs/ activities)</b> <b>S</b> <b>(actual outputs/ activities)</b>	<b>U</b> <b>(planned outputs/ activities)</b> <b>S</b> <b>(actual outputs/ activities)</b>
<b>G. Preparation and readiness</b>	Possibly due to fast-tracking during project processing, no clear provision was made for M&E funding, nor was any M&E plan described in detail. Galatée was not familiar with the UNEP and GEF project implementation processes, and failed to submit the required work and financial reports. Even the final report which Galatée submitted did not follow the required template. Part of the responsibility for the poor rating for this criterion must be ascribed to GEF itself, since the Project was approved without M&E and reporting mechanisms being clearly established in the Project framework	<b>U</b>	<b>U</b>
<b>H. Implementation approach</b>	Although Galatée met all output targets satisfactorily, most of the reported targets were accomplished even prior to the receipt of Project funding support, suggesting that this support was not necessary to the achievement of the stated objective. Also, it was not possible to employ an adaptive approach in project implementation—because of the weak M&E framework, no information was available that could have been used for making recommended adjustments to the implementation plan	<b>MU</b>	<b>MU</b>
<b>I. Financial planning and management</b>	Only one QER was available, financial documentation only gave what appeared to be an approximate overview of how funds were expended. Most outputs were delivered ahead of commencement of the project	<b>HU</b>	<b>HU</b>
<b>J. Monitoring and Evaluation</b> <sup>29</sup>			
<b>(i) Design</b>	Although standard language was included about M&E in the Project Document, it was not elaborated how M&E would actually be carried out	<b>U</b>	<b>U</b>
<b>(ii) Implementation</b>	Critical sections on "Monitoring and Evaluation" in the Project reporting documents were left blank. There was no plan put into effect for monitoring and evaluating this Project	<b>HU</b>	<b>HU</b>

<sup>29</sup> Evaluation for this criterion combines the assessment of M&E design, M&E Plan Implementation, and budgeting and funding for M&E activities.

<b>Criterion</b>	<b>Summary Assessment</b>	<b>Rating</b>	<b>Evaluation Office rating</b>
<b>(iii) Funding</b>	Funds only provided for this TE, none for other M&E functions	<b>U</b>	<b>U</b>
<b>K. UNEP supervision and backstopping</b>	UNEP put in significant effort to provide adequate supervision and backstopping to an Executing Partner that lacked prior experience working with GEF or UNEP. However, since the Project was non-standard in many respects, it was not possible to correct many of the project's shortcomings, despite the support provided	<b>MS</b>	<b>MS<sup>30</sup></b>

129. In bringing this report to its conclusion, the evaluator also felt that it would be helpful to revisit the queries in the TOR and at the beginning of this TER, that had been presented as guide questions for the evaluation process. Brief responses to those key questions are presented here.

**(i) To what extent did the Project succeed in raising awareness about the health and status of the world's ocean ecosystems?**

It is very clear that the OCEANS film and its by-products were very effective vehicles for raising the awareness of a large audience regarding the state of the world's oceans and ecosystems, and the challenges to be faced in preserving their biodiversity and functionality. What is less clear, was how effective the Project was, in advancing these same goals. Due to the fact that no organized effort was made to capture, document, and verify the responses of audiences who were the subject of the Project's information dissemination activities, audience, it is nearly impossible to assess the extent to which the Project succeeded in this regard.

**(ii) Was the target audience the best possible to ensure the effectiveness of the awareness-raising activities?**

In the GEF Project document, the target audience is described as consisting of "decision makers, scientists, negotiators and others." Indeed, such an audience would be expected to be the most appropriate for accomplishing the objectives of the Project's awareness-raising activities, since this target audience would be in a good position to influence the formulation and implementation of policies and programs related to ocean protection and conservation. However, for the screenings that were planned in conjunction with UNEP and GEF conferences and similar events, once again, documentation and verification of the actual audience composition is lacking in the Project documents.

The audience composition for the other media and educational products that were disseminated would be quite different. The most significant of these is the audience who would have viewed episodes of the four-part TV series—it is assumed that this audience would include a broad cross-section of the general public across all the countries where the series was broadcast. Raising the awareness of such an audience could be an important contribution to overall global advocacy for preservation of the ocean environment, and marine biodiversity conservation. However, the impacts arising from heightened awareness of this audience, starting at the grass-roots, might take quite a long time to materialize.

**(iii) Did the Project have a communication / information dissemination strategy, and was it effective in raising the awareness of ocean ecosystems?**

<sup>30</sup> The project was being strongly promoted by the GEF Secretariat / GEF CEO, with little room being made for meaningful inputs into project conceptualization or design by UNEP. These factors prevented the supervision and backstopping support provided, from being as effective as it otherwise might have been.

The production of educational and media products, and the communications and information dissemination activities, were the core of the Project. However, perhaps part of the difficulty attributed to the Project was due to the fact that there was no “strategy” per se in how these products could be used most effectively, and how their dissemination could be coupled with other supporting actions to generate the most meaningful response for the audiences that were targeted.

More strategic planning in the design of the Project, intended to produce more meaningful results, may have led to the discovery of a variety of mechanisms for achieving those results more effectively. As just one simple example, producing versions of the OCEANS DVD in other languages besides French, would have enabled the materials to reach a wider audience.

**(iv) What actions did the Project take to ensure that the awareness-raising and public information activities would contribute towards changed behavior of the stakeholders in terms of ocean conservation and sustainable management of marine resources?**

Some supporting activities were planned that could have backed up or reinforced the messages of the OCEANS film, DVD, and TV series for stakeholders, in order to catalyze changes in attitude and behavior. Primarily, these were the post-screening seminars and discussion sessions referred to in the Project documents. However, perhaps one of the major weaknesses of the Project is the fact that there is no solid documentation that any of these activities took place. There are no records, transcripts, recordings, attendance sheets, etc., that verified or captured the content of such activities. Assuming that such activities did take place, if they had been more carefully recorded and monitored, this might have provided a rich source of information that could have led to an in-depth exploration of pathways for attitudinal and behavior change.

Beyond such seminars or discussion sessions, the Project design did not include provision for any other means of encouraging behavioral change among stakeholders. This could have been promoted by including other special events and activities of a more participatory nature. By heightening the level of involvement of stakeholders, a stronger sense of ownership, responsibility, and commitment to the concept of ocean conservation might have been fostered.

**(v) What would be the added value to UNEP from similar cooperation arrangements in the future, and how could UNEP make the best possible use of such future arrangements?**

Despite its shortcomings, it is clear that this Project, and ones of a similar nature that might be undertaken in the future, offer tremendous potential to add value for UNEP and GEF initiatives for marine conservation in the IW and BD focal areas. As far as the OCEANS project is concerned, its value-added derived from the fact that the OCEANS film and other related media products provided an opportunity for UNEP and GEF to disseminate powerful messages about protection of the ocean environment and conservation of marine biodiversity, reaching millions of people. UNEP could have done much more to explore ways in which to better capitalize on this unique opportunity.

Because of its focus on communications and awareness-raising, the value-added of the Project was related directly to the objectives articulated in the GEF Communications and Outreach Strategy. As mentioned earlier in this report, the Project is especially relevant to two Objectives of the Strategy, which are: “To create a clear GEF corporate identity” (Objective 1) and “to position GEF as a leader on the global environment” (Objective 3). The very same benefits mentioned here for GEF would also apply for UNEP.

In order for UNEP to more effectively capitalize on such opportunities in the future, any new projects of this nature need to be more carefully designed. Because these types of projects are fairly innovative and somewhat unconventional, extra care needs to be taken to include very strong mechanisms to supervise and monitor their implementation, to enable adaptive management mechanisms to be applied as needed.

**(vi) At the end, the Project was more concentrated on communication and public awareness than making use of the scientific and technical aspects of the film. However, is there a way UNEP could more efficiently capitalize on the film**

***and the by-products, for example, how could UNEP make more use of the technical elements of the film in the various environmental assessments conducted within the organization?***

The “technical elements” referred to in this question are perhaps of two different types: (1) the taxonomic and biogeographical background research, and scientific validation work, that went into the selection of filming sites and the species of marine organisms to be represented in the OCEANS film, and (2) the specially-designed, purpose-built cinematographic equipment and techniques, that were used to capture the unique and spectacular imagery presented in the film. Regarding information on taxonomy, biogeography, and marine ecology, which might be helpful for future environmental assessment work carried out by UNEP, no doubt much of this is accessible through standard scientific journals and similar reference sources. In the case of gaining access to specialized cinematographic equipment, this would certainly be very valuable if UNEP had plans to produce any other films about the ocean environment in the future. In that case, it would be necessary for UNEP to enter into new partnering agreements with Galatée, since the film company is undoubtedly the principal entity having control over the use of this equipment.

### 3.2 Lessons Learned

130. The evaluation of this Project was a challenging process, and a number of valuable lessons have emerged. It is hoped that these lessons, which are described below, may help to inform the processes by which UNEP may conceptualize, plan, implement, and evaluate other such projects in the future.

- a. It is difficult to work with an Executing Partner or Agency lacking prior experience with GEF or UNEP projects: In the course of the evaluation, it became very clear that Galatée, as a commercial media enterprise, lacked familiarity with UNEP and GEF project implementation procedures, processes, objectives, and requirements, despite the Project Cooperation Agreement that they forged with UNEP. This caused some negative repercussions, as the reports they submitted were incomplete and not consistent with the prescribed templates. This posed several problems, especially in evaluating the Project, and enabling lessons to be drawn that could help for designing and implementing better projects in the future. For “non-typical” GEF-assisted projects such as this, more hands-on supervision and backstopping is needed to ensure proper monitoring and evaluation and reporting.
- b. Media products such as the OCEANS film can easily help to promote increased environmental awareness: The main objective of the film OCEANS, and its related media products, was to immerse viewers in the remarkable ocean environment, in order to awaken their curiosity and arouse their appreciation for the need to preserve ocean ecosystems and the remarkable array of creatures that inhabit them. Project reports stated that, in discussions after screenings, viewers were deeply moved and asked for more information about marine life and how to protect it. Feedback following the screenings conducted independently by the consultant at ADB as part of this TE, corroborated these findings.
- c. It takes time before the impact of awareness-raising projects such as this can be felt or measured: It is a fact that education and awareness-raising campaigns are necessary to build environmental consciousness. But it is very difficult to evaluate the impact of such actions, since they may only become evident long after the activities themselves have been concluded. According to the PIR...

*“Anyway, a year after the release in France and after more than hundred public seminars following each screening, we can say that the effect is strong in France. Many spectators ask us how to act to preserve our common ocean. What to do to diminish their impact? What to do against individual pollution?”<sup>31</sup>*

<sup>31</sup> Like so many statements in the Project documents, this one is not substantiated by any documentation that reports measurable results.

This report is quite anecdotal in nature, and furthermore, in other countries, no reports of similar reactions were mentioned. In comparison to the statement made above, perhaps, it is more plausible to expect that, while viewers responded on both an emotional and intellectual level to the film, the manifestation of their behavioral action relative to this response, may take a longer time to emerge. In order to properly measure the impact, it is necessary to put in place well-structured mechanisms to gather and analyze feedback. This should be done, at a minimum, during the life of the project. To measure impact beyond the life of the project (in the absence of a long-term monitoring program) a Theory of Change approach can be applied to assess the likelihood of achieving the desired project impact.

- d. Appropriate selection of language and format for media products can facilitate reaching a larger audience: The original OCEANS film was produced in French, and, presumably to maintain the highest technical quality, the DVDs of the film were produced only in Blu-Ray format. No dubbed or subtitled versions of the film were produced in other languages, and no standard (non-Blu-Ray) DVDs were produced. Since French is only the 12<sup>th</sup> most frequently-spoken language globally,<sup>32</sup> and since Blu-Ray format DVDs are used much less widely than conventional DVDs, making versions available in other languages and formats, would have greatly increased the possibility of enabling the film to reach a wider audience.

### 3.3 Recommendations

131. A number of the lessons that are described above lead quite naturally to identification of corresponding recommendations for actions that could be taken to strengthen and improve the outcomes of the Project, and these are presented below. In addition, recommendations are also presented for the purpose of helping to identify ways in which the OCEANS film, and the other rich media and educational products based upon it, and made accessible to UNEP and GEF through the Project, could be put to better use in the future.

- a. Monitoring and Evaluation of Non-standard GEF Projects: It has already been mentioned that the unusual nature of the Project, as evidenced by its unique processing path, streamlined design, and somewhat lax adherence to normally rigorous standards applied in conducting accounting and reporting processes, has made the evaluation difficult. Also, it was clear that Galatée was unfamiliar with the UNEP and GEF procedures in project implementation. For similar projects in the future, it is suggested that one of the two following options be followed, especially if the Executing Partner is not familiar with the requirements for implementing and administering GEF-funded activities:
  - (i) ***Much closer supervision should be provided, in project preparation, implementation, and monitoring.*** This will ensure that mechanisms are incorporated to promote project sustainability and replicability. It will also help to ensure that results are properly reported, funds are properly accounted, and information is effectively gathered as a basis to guide decisions that may be required to make improvements in management of the project, and to inform the design of future projects.
- b. Re-formatting of products for wider dissemination in order to strengthen conservation awareness and recognition of the mission of UNEP and GEF: *The OCEANS film, and other related media by-products (such as the 4-part TV series) should be reproduced in more accessible formats (e.g., on conventional DVDs, vs. in Blu-Ray format), in various languages (especially English, Chinese, and other widely used languages,*<sup>33</sup> either through dubbing or subtitling), and

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Given the early launch of the film in France (27 January 2010), it also seems likely that many or most of the activities cited may have been carried out prior to the start-up of the GEF-UNEP Project.

<sup>32</sup> [http://en.wikipedia.org/wiki/List\\_of\\_languages\\_by\\_total\\_number\\_of\\_speakers](http://en.wikipedia.org/wiki/List_of_languages_by_total_number_of_speakers) Based on total number of speakers of French as either a primary or secondary language.

<sup>33</sup> One of the most interesting comments that emerged from the screening events organized at ADB, came from one viewer who said that "if a film is seen in a viewer's second language, it will reach the mind, but if it can be seen in the viewer's mother tongue, it will reach the heart." The statement highlights the fact that, if films or videos are shown in the native language of a target audience, the impact will be greater.

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*with proper credits given to GEF and UNEP (through inclusion of logos and labelling) on a more consistent basis.*

- c. More effective use of internet, social media, and other mechanisms: ***UNEP should make better use of the internet for dissemination of knowledge products to viewers, at no cost, that could strengthen environmental awareness and recognition of the UNEP and GEF 'brands'.*** Several specific suggestions in this regard are as follows:
- (i) For the Project, placement of the OCEANS film or related videos and still photos on the IW:LEARN website was a clear target, that was not accomplished. It would still be a relatively simple matter, that could be accomplished at little or no cost, to upload the TV series to the internet, and provide links to the episodes through the IW:LEARN website (even now that the Project will be closed).
  - (ii) Periodic online press releases could be placed on the UNEP website, announcing various activities that are related to the Project (e.g., an announcement about the Borneo Eco Film Festival screening, might have increased audience attendance. Announcements about other events of this nature could yield similar benefits).
  - (iii) Opportunities for placement of the OCEANS film, the four TV episodes, the 5-minute short video, and other such products onto popular websites should be investigated. One of the most popular of these is YouTube.com, and placement of official GEF/UNEP versions of these materials on the YouTube website would dramatically enhance the exposure of these products to a large audience.
- d. Strengthening existing networks (or creation of new ones) for dissemination of multi-media knowledge products: It is interesting to note that the screening of the English-language DisneyNature version of the OCEANS film at the Borneo Eco Film Festival (with Malay subtitles) was only discovered fortuitously by the Consultant during the course of the evaluation. The fact that such an event was organized without the knowledge of personnel at UNEP who were closely involved in the OCEANS Project, suggests two things: firstly, that scaling-up of information dissemination has been occurring spontaneously, outside the sphere of the Project, and secondly, that there is tremendous potential to develop partnerships that would encourage such scaling up to continue and even to accelerate, in the future. Therefore, it is recommended that ***UNEP (and especially its DCPI) should investigate the expansion or establishment of networks or partnerships with other organizations and individuals, who are engaged in organizing activities such as film festivals or similar events, especially if they are environmentally- or ecologically-themed.*** Creating or strengthening such networks could lead to numerous opportunities to disseminate UNEP's environmental knowledge products more widely, more effectively and efficiently, and more sustainably.
132. Finally, in its terminal evaluations, it is recognized that typically UNEP considers as recommendations only those suggestions that specifically can be applied to improving the subject project or similar projects. However, other findings emerged from this Project that could be applied in a broader, ***programmatic*** sense. In this category is the finding that this Project would have benefited if the ToC approach would have been applied not only in the evaluation phase, but already during the design of the project.
133. As currently used, the ToC and ROTI "predict" how successful a project might be in achieving its desired impact at some time in the future, by evaluating the achievement of measurable "intermediate states". If it were possible to identify such intermediate states (along with impact drivers and assumptions) beforehand (i.e., during the project design phase), and if these were incorporated into the project results framework (as deliberate targets to be achieved during the life of the project), then this might result in the design of a project that would lead more predictably to success in ultimately achieving the desired impact.
134. In the course of evaluating the OCEANS Project, it became apparent that the Project was not designed to create or generate some of the intermediate states that might lead to achievement of the desired project impact. For example (referring to the intermediate states identified in the ROTI analysis in Figure 1), no target was incorporated into the Project design to create

mechanisms for generating sustainable financing for awareness campaigns, and no strong effort was made to focus on using the Project’s media products to raise the awareness of high-level decision-makers, as a key target audience who could influence ocean policy. Had these elements been more clearly defined at the outset, and incorporated into the Project design as targets, the probability that the Project could in the end produce the desired impact might have been strengthened.

135. Therefore, it is recommended that UNEP, in close consultation with GEF and other GEF partner agencies, should consider the possibility of integrating ToC processes together with processes that are used during the project design phase, in developing the project framework. This would be somewhat analogous to establishing a project baseline, and then using it for subsequent monitoring, similar to what is done by using GEF tracking tools (e.g., METT<sup>34</sup>) at the beginning, mid-term, and conclusion of projects.

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<sup>34</sup> Management Effectiveness Tracking Tool.

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## **ANNEXES**

1. Evaluation TORs
2. Persons Consulted
3. Bibliography
4. Post-Screening Survey Questionnaire, Tabulation of Results, and Narrative Summary
5. Summary of Co-Finance Information and Statement of Project Expenditures, by Activity
6. Brief CV of Consultant

## ANNEX I. TERMS OF REFERENCE FOR THE EVALUATION

**TERMS OF REFERENCE*****Terminal Evaluation of the UNEP/GEF project on  
“Making Ocean Life Count”***

## PROJECT BACKGROUND AND OVERVIEW

## Project General Information

Table 1. Project summary

<b>GEF project ID:</b>	4256	<b>IMIS number:</b>	GFL-2328-2712-4B62
<b>Focal Area(s):</b>	International Waters	<b>GEF OP #:</b>	N/A
<b>GEF Strategic Priority/Objective:</b>	IW-1, GEF -4 Objective 3	<b>GEF approval date:</b>	14 May 2010
<b>UNEP approval date:</b>	7 October 2010	<b>First Disbursement:</b>	19 October 2010
<b>Actual start date:</b>	19 October 2010	<b>Planned duration:</b>	7 months
<b>Intended completion date:</b>	May 2011	<b>Actual or Expected completion date:</b>	May 2011
<b>Project Type:</b>	MSP	<b>GEF Allocation:</b>	US\$ 650,000.00
<b>PDF GEF cost:</b>	N/A	<b>PDF co-financing*:</b>	N/A
<b>Expected MSP/FSP Co-financing:</b>	US\$ 10,300,000.00	<b>Total Cost:</b>	US\$ 10,950,000.00
<b>Mid-term review/eval. (planned date):</b>	N/A	<b>Terminal Evaluation (actual date):</b>	
<b>Mid-term review/eval. (actual date):</b>	N/A	<b>No. of revisions:</b>	0
<b>Date of last Steering Committee meeting:</b>	N/A	<b>Date of last Revision:</b>	N/A
<b>Disbursement as of 31 December 2012:</b>	US\$ 630,000	<b>Date of financial closure:</b>	N/A
<b>Date of Completion:</b>	31 May 2011	<b>Actual expenditures reported as of 31 December 2012:</b>	US\$ 630,000
<b>Total co-financing</b>	US\$ 10,300,000.00	<b>Actual expenditures</b>	US\$ 630,000

realized as of 31 December:		entered in IMIS as of 31 December 2012:	
Leveraged financing:	None		

## Project Background<sup>35</sup>

### Project Rationale

- 1 World oceans host rich biodiversity, they are significant carbon sinks and they cover nearly three-quarters of the earth's surface. The UNEP/GEF project "*Making ocean life count*" was designed to promote the importance of the world's ocean ecosystems through contributing to awareness raising and public education. The idea behind the project was to use media to reach key audiences and to engage with 'champions' who can further promote awareness about the importance of protection and sustainable use of coastal and marine resources. The awareness raising was done by cooperating with a film production company the Galatée Film Productions and by using their film "ΩCEANS" directed by Jacques Perrin and Jacques Cluzaud, supported by the Alfred P. Sloan Foundation and the Census of Marine Life scientists. The Galatée Film Productions made the ΩCEANS film to bring into the light the ocean life with scientific accuracy, in order to rise enthusiasm about marine ecology. The film concentrated on presenting the diversity of marine fauna found in the euphotic zone (depths up to 50 meters) within protected marine areas and priority was given to pelagic species. Scientific accuracy of the film was ensured through cooperation with the Census of Marine Life. Shooting of the documentary was conducted in 54 locations around the world and the documentary was released worldwide, receiving nominations for three "Cesars" (the French "Oscars").
- 2 The UNEP/GEF project Making ocean life count was an innovative approach, born different from the 'standard' UNEP/GEF project development processes. Following exchange between GEF and the movie producers, a decision was taken by the GEF to provide a funding of US \$650,000 to support the film and UNEP was selected as the most suitable GEF implementing agency to formulate the cooperation into a project form. As return, UNEP/GEF received rights to use the film in awareness raising activities and to extract still pictures from the film, among others. UNEP used the ΩCEANS documentary film and related media and educational products to raise awareness and initiate discussions on the state of the world's oceans. The project aimed to bring together decision makers, scientists, NGOs, representatives from marine industries, journalists and students in international events where the film would be screened and follow-up debates or seminars would be hosted by the film producer and other world-renowned scientists.

### Project objectives and components

- 3 The project objective was stated as to '*Raise awareness on the health and status of the world's ocean ecosystems, through the dissemination of the film ΩCEANS and development/ dissemination of media and educational products*'. The project attempted to meet this objective through screenings of the documentary film in relevant events, through creating awareness raising products for different target audiences, and through raising awareness about the ecosystem health of world's oceans.
- 4 The project was divided into three components; the first component focused on the dissemination of the film ΩCEANS in GEF and UNEP events, followed by technical seminars aimed to raise awareness among decision makers and delegates on the state of the world oceans. The second component was focused on the development of byproducts, such as a short film on GEF and UNEP's message on marine biodiversity and ecosystem health to be used in future work of UNEP and the GEF. The third component was focused on the development of public awareness and educational material for use by the partners.

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<sup>35</sup> Sources : UNEP/GEF Project Document "*Making Ocean Life Count*"; A look at marine life – ΩCEANS – a film by Jacques Perrin and Jacques Cluzaud, produced by Galatée Film Productions. Documentary brochure. ([http://www.coml.org/comlfiles/press/GalateeBrochure\\_14January2010.pdf](http://www.coml.org/comlfiles/press/GalateeBrochure_14January2010.pdf))

- 5 The project document listed the three components and the subsequent expected outcomes, as follows:
- Component 1 : Dissemination at major GEF events of the film *OCEANS* by Jacques Perrin.
    - Outcome 1 : Increased awareness amongst decision-makers, delegates and others on the state of the world's oceans.
  - Component 2 : Development of new products.
    - Outcome 2 : New by-products available for different audiences.
  - Component 3 : Outreach material development and public education.
    - Outcome 3 : Increased awareness and understanding of the Oceans and film making techniques.
- 6 It was envisaged that the film and other knowledge products developed could be used in other GEF and UNEP marine projects, such as the Regional Seas and IW:LEARN – programmes, to forecast the future of marine populations and ecosystems, therefore having important spin-off potential. UNEP/GEF received rights to use still pictures of the film in any publications, and the film was developed into a TV-series with the GEF funding. However, the project was designed to be a one activity only, and hence was not meant to be replicated.

### Project area and main stakeholders

- 7 The project worked in the area of awareness raising and public information. The project document did not identify stakeholders. However, considering the project design, immediate stakeholders could include decision makers, delegates scientists, NGOs, media and other participants in the GEF and UNEP events where the project and the film *OCEANS* was presented.

### Executing Arrangements

- 8 The GEF implementing agency of the project was UNEP/DGEF, and after the DGEF was dismantled the UNEP Division of Policy Implementation (DEPI). The implementing agency was responsible of liaising between UNEP and the GEF Secretariat and ensuring that the project was carried out in accordance with UNEP and GEF policies, criteria and procedures. The implementing agency was also responsible of providing project oversight, reporting on the progress against milestones to the GEF Secretariat, and ensuring that the project objectives and expected outcomes were achieved.
- 9 The Galatée Films, a France based film production company, and producer of the film *OCEANS* was the project executing agency and responsible of the delivery of the project outputs, e.g. arrangements and success of the events where the film was screened and discussions were held. The Galatée Films was also responsible of delivering timely progress and financial reports to the implementing agency. UNEP DCPI was an internal partner and co-financier to the project, providing in-kind support in terms of preparation of knowledge products.

### Project Cost and Financing

- 10 Summary of the project costs are presented in the table below.

Table 2. Project costs

Cost of the project	US \$	%
Cost to the GEF Trust Fund	650,000	5.9
Co-Financing		
Cash		

UNEP-DCPI	25,000	0.2
<b>Sub-total</b>	<b>25,000</b>	<b>0.2</b>
In-kind		
Galatée Films	10,000,000	91.3
UNEP-DCPI	275,000	2.6
<b>Sub-total</b>	<b>10,275,000</b>	<b>93.9</b>
<b>Total</b>	<b>10,950,000</b>	<b>100</b>

### Project Implementation Issues

- 11 The project was a new approach in the league of “traditional” GEF projects and therefore the concept and the way the project got started differed considerably from the majority of UNEP implemented GEF projects. The actual project planning and development was done in response to a request from the GEF Secretariat and followed a streamlined Medium Sized Project (MSP) development process. Given the nature of the project and its focus on communication, both the MSP implementation and execution have been rather unique.

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## TERMS OF REFERENCE FOR THE EVALUATION

### Objective and Scope of the Evaluation

12 In line with the UNEP Evaluation Policy<sup>36</sup>, the UNEP Evaluation Manual<sup>37</sup> and the Guidelines for GEF Agencies in Conducting Terminal Evaluations<sup>38</sup>, the terminal evaluation of the Project “**Making ocean life count**” is undertaken after the completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. This evaluation is being undertaken more than a year after the project completion and will essentially consist of a desk evaluation as stipulated in the approved MSP document. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, the GEF and their partners. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation. It will focus on the following sets of **key questions**, based on the project’s intended outcomes, which may be expanded by the consultants as deemed appropriate:

- 1) To what extent did the project succeed in raising the awareness of the health and status of the world’s ocean ecosystems?
- 2) Was the target audience the best possible to ensure the effectiveness of the awareness raising activities?
- 3) Did the project have a communication / information dissemination strategy and was it effective in raising the awareness of ocean ecosystems?
- 4) What actions did the project take to ensure that the awareness raising and public information activities would contribute towards changed behaviour of the stakeholders in terms of ocean conservation and sustainable management of marine resources?

13 Since the project can be regarded as an unconventional UNEP/GEF intervention, the evaluation should consider its potential as a pilot, if interest in replicating the approach should rise. The evaluation should assess the pros and cons of the approach and provide lessons for future similar interventions. In addition, considering that UNEP still owes the rights for the agreed material based on the *OCEANS* film, the evaluation should assess how to make best possible use of this material. Among others, the evaluator should consider the following questions:

- 1) What would be the added value to UNEP from similar cooperation arrangements in the future and how could UNEP make the best possible use of such future arrangements?
- 2) At the end, the project was more concentrated on communication and public awareness than making use of the scientific and technical aspects of the film. However, is there a way UNEP could more efficiently capitalize on the film and the by-products, for example, how could UNEP make more use of the technical elements of the film in the various environmental assessments conducted within the organization?

### Overall Approach and Methods

14 The Terminal Evaluation (TE) of the Project “*Making ocean life count*” will be conducted as a desk-based study by an independent consultant under the overall responsibility and management of the UNEP Evaluation Office (Nairobi), in consultation with the UNEP/ GEF Coordination Office (Nairobi), UNEP/DCPI and the UNEP Task Manager at UNEP/DEPI (Washington).

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<sup>36</sup> <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

<sup>37</sup> <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationManual/tabid/2314/language/en-US/Default.aspx>

<sup>38</sup> [http://www.thegef.org/gef/sites/thegef.org/files/documents/TE\\_guidelines7-31.pdf](http://www.thegef.org/gef/sites/thegef.org/files/documents/TE_guidelines7-31.pdf)

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- 15 The TE will be an in-depth evaluation using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used to determine project achievements against the expected outputs, outcomes and impacts.
- 16 The findings of the evaluation will be based on the following:
- 17 A **desk review** of project documents and others<sup>39</sup> including, but not limited to:
- Relevant background documentation, *inter alia* UNEP and GEF policies, strategies and programmes pertaining to marine and coastal management and conservation;
  - Project design documents; annual work plans and budgets or equivalent, revisions to the logical framework and project financing;
  - Project reports such as progress and financial reports; project and national Steering Committee meeting minutes (if any); annual Project Implementation Reviews, and relevant correspondence;
  - Documentation and material related to project outputs; the OCEANS film, the GEF-funded TV-series, and related by-products and outreach and education materials;
  - UNEP publications where the project material was used in.
- 18 **Interviews**<sup>40</sup> with:
- Project management and execution support at UNEP (Washington & Nairobi) and Galatée Films (France);
  - UNEP Task Manager and Fund Management Officer (Washington & Nairobi);
  - Relevant staff of UNEP/DCPI (Nairobi)
  - Directors of the OCEANS film - Jacques Perrin and Jacques Cluzaud;
  - Relevant scientists from the Census of Marine Life;
  - Selected participants to the project events (both international and national);
  - Selected participants to the technical and educational seminars;
  - Relevant staff of GEF Secretariat;

## Key Evaluation principles

- 19 Evaluation findings and judgements should be based on **sound evidence and analysis**, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) to the extent possible, and when verification was not possible, the single source will be mentioned<sup>41</sup>. Analysis leading to evaluative judgements should always be clearly spelled out.
- 20 The evaluation will assess the project with respect to a **minimum set of evaluation criteria** grouped in four categories: **(1) Attainment of objectives and planned results**, which comprises the assessment of outputs achieved, relevance, effectiveness and efficiency and the review of outcomes towards impacts; **(2) Sustainability and catalytic role**, which focuses on financial, socio-political, institutional and ecological factors conditioning sustainability of project outcomes, and also assesses efforts and achievements in terms of replication and up-scaling of project lessons and good practices; **(3) Processes affecting attainment of project results**, which covers project preparation and readiness, implementation approach and

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<sup>39</sup> Documents to be provided by the UNEP Task Manager are listed in Annex 5.

<sup>40</sup> Telephone, or through any other appropriate means of communication.

<sup>41</sup> Individuals should not be mentioned by name if anonymity needs to be preserved.

management, stakeholder participation and public awareness, country ownership/driven-ness, project finance, UNEP supervision and backstopping, and project monitoring and evaluation systems; and (4) Complementarity with the UNEP. The lead consultant can propose other evaluation criteria as deemed appropriate.

- 21 **Ratings.** All evaluation criteria will be rated on a six-point scale. However, complementarity of the project with the UNEP strategies and programmes is not rated. Annex 2 provides detailed guidance on how the different criteria should be rated and how ratings should be aggregated for the different evaluation criterion categories.
- 22 In attempting to attribute any outcomes and impacts to the project, the evaluators should consider the difference between **what has happened with** and **what would have happened without** the project. This implies that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. This also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.
- 23 As this is a terminal evaluation, particular attention should be given to learning from the experience. Therefore, **the “why?” question** should be at front of the consultants’ minds all through the evaluation exercise. This means that the consultants need to go beyond the assessment of “what” the project performance was, and make a serious effort to provide a deeper understanding of “why” the performance was as it was, i.e. of processes affecting attainment of project results (criteria under category 3). This should provide the basis for the lessons that can be drawn from the project. In fact, the usefulness of the evaluation will be determined to a large extent by the capacity of the consultants to explain “why things happened” as they happened and are likely to evolve in this or that direction, which goes well beyond the mere assessment of “where things stand” today.

## Evaluation criteria

### Attainment of Objectives and Planned Results

- 24 The evaluation should assess the relevance of the project’s objectives and the extent to which these were effectively and efficiently achieved or are expected to be achieved.
  - a) *Achievement of Outputs and Activities:* Assess, for each component, the project’s success in producing the programmed outputs, both in quantity and quality, as well as their usefulness and timeliness. Briefly explain the degree of success of the project in achieving its different outputs, cross-referencing as needed to more detailed explanations provided under Section 3 (which covers the processes affecting attainment of project objectives).
  - b) *Relevance:* Assess, in retrospect, whether the project’s objectives and implementation strategies were consistent with the UNEP mandate and policies at the time of design and implementation; and the GEF International Waters focal area, strategic priorities and the relevant operational program(s).
  - c) *Effectiveness:* Appreciate to what extent the project has achieved its **immediate objective** “to raise awareness on the health and status of the world’s ocean ecosystems” and its component outcomes. To measure achievement, use as much as appropriate the indicators for achievement in the Logical Framework Matrix (Logframe) of the project of the latest PIR, adding other relevant indicators as appropriate. Briefly explain what factors affected the project’s success in achieving its objectives, cross-referencing as needed to more detailed explanations provided under Section 3.
  - d) *Efficiency:* Assess the cost-effectiveness and timeliness of project execution. Describe any cost- or time-saving measures put in place in attempting to bring the project to a successful conclusion within its programmed budget

and (extended) time. Wherever possible, compare the cost and time over results ratios of the project with that of other similar projects. Give special attention to efforts by the project teams to make use of / build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency.

- e) *Review of Outcomes to Impacts (ROtI)*: Reconstruct the logical pathways from project outputs over achieved objectives towards impacts, taking into account performance and impact drivers, assumptions and the roles and capacities of key actors and stakeholders, using the methodology presented in the GEF Evaluation Office's ROtI Practitioner's Handbook<sup>42</sup> (summarized in Annex 6 of the TORs). Assess to what extent the project has to date contributed, and is likely in the future to further contribute to changes in stakeholder behaviour as regards: i) Awareness and understanding of the importance and benefits of protecting ocean ecosystems among politicians, decision makers and other relevant stakeholders, resulting in ii) the actual implementation of initiatives on marine protection and sustainable management of oceans. Estimate how these projects would lead to environmental benefits such as protection of biodiversity and reduced GHG emissions.

### Sustainability and catalytic role

25 **Sustainability** is understood as the probability of continued long-term project-derived results and impacts after the external project funding and assistance ends. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of benefits. Some of these factors might be direct results of the project while others will include contextual circumstances or developments that are not under control of the project but that may condition sustainability of benefits. The evaluation should ascertain to what extent follow-up work has been initiated and how project results will be sustained and enhanced over time. Application of the ROtI method will assist in the evaluation of sustainability.

26 Four aspects of sustainability will be addressed:

- (a) *Socio-political sustainability*. Are there any social or political factor that may influence positively or negatively the sustenance of project results and progress towards impacts? Is the level of ownership by the main national and regional stakeholders sufficient to allow for the project results to be sustained? Are there sufficient government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project? What is the project doing to ensure this socio-political sustainability of results and benefits?
- (b) *Financial resources*. To what extent are the continuation of project results and the eventual impact of the project dependent on continued financial support? What is the likelihood that adequate financial resources<sup>43</sup> will be or will become available to implement the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project? Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact? What concrete efforts is the project making to ensure financial sustainability of results and benefits?
- (c) *Institutional framework*. To what extent is the sustenance of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance? How robust is/are governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustaining project results and to lead those to impact on human behaviour and environmental resources? How is the project contributing to the sustainability of these institutional achievements?

<sup>42</sup> [http://www.thegef.org/gef/sites/thegef.org/files/documents/Impact\\_Eval-Review\\_of\\_Outcomes\\_to\\_Impacts-RotI\\_handbook.pdf](http://www.thegef.org/gef/sites/thegef.org/files/documents/Impact_Eval-Review_of_Outcomes_to_Impacts-RotI_handbook.pdf)

<sup>43</sup> Those resources can be from multiple sources, such as the public and private sectors, income generating activities, other development projects etc.

- (d) *Environmental sustainability*. Are there any environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits? How is the project dealing with these?

**27 Catalytic Role and Replication.** The *catalytic role* of GEF-funded interventions is embodied in their approach of supporting the creation of an enabling environment and of investing in pilot activities which are innovative and showing how new approaches can work. UNEP and the GEF also aim to support activities that upscale new approaches to a national, regional or global level, with a view to achieve sustainable global environmental benefits. The evaluation will assess the catalytic role played by this project, namely to what extent the project has:

- (a) *catalyzed behavioural changes* in terms of use and application by the relevant stakeholders of: i) technologies and approaches show-cased by the demonstration projects; ii) strategic programmes and plans developed; and iii) assessment, monitoring and management systems established at a national and sub-regional level;
- (b) provided *incentives* (social, economic, market based, competencies etc.) to contribute to catalyzing changes in stakeholder behaviour;
- (c) contributed to *institutional changes*. An important aspect of the catalytic role of the project is its contribution to institutional uptake or mainstreaming of project-piloted approaches in the regional and national demonstration projects;
- (d) contributed to *policy changes* (on paper and in implementation of policy);
- (e) contributed to sustained follow-on financing (*catalytic financing*) from Governments, the GEF or other donors;
- (f) created opportunities for particular individuals or institutions ("*champions*") to catalyze change (without which the project would not have achieved all of its results).

**28 Replication**, in the context of GEF projects, is defined as lessons and experiences coming out of the project that are replicated (experiences are repeated and lessons applied in different geographic areas) or scaled up (experiences are repeated and lessons applied in the same geographic area but on a much larger scale and funded by other sources). The evaluation will assess the approach adopted by the project to promote replication effects and appreciate to what extent actual replication has already occurred or is likely to occur in the near future.

Processes affecting attainment of project results

**29 Preparation and Readiness.** Were the project's objectives and components clear, practicable and feasible within its timeframe? Were the capacities of executing agencies properly considered when the project was designed? Was the project document clear and realistic to enable effective and efficient implementation? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation? Were counterpart resources (funding, staff, and facilities) and enabling legislation assured? Were adequate project management arrangements in place? Were lessons from other relevant projects properly incorporated in the project design? Were lessons learned and recommendations from Steering Committee meetings adequately integrated in the project approach? What factors influenced the quality-at-entry of the project design, choice of partners, allocation of financial resources etc.? Were GEF environmental and social safeguards considered when the project was designed<sup>44</sup>?

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<sup>44</sup> <http://www.thegef.org/gef/node/4562>

30 **Implementation Approach and Adaptive Management.** This includes an analysis of approaches used by the project, its management framework, the project's adaptation to changing conditions (adaptive management), the performance of the implementation arrangements and partnerships, relevance of changes in project design, and overall performance of project management. The evaluation will:

- (a) Ascertain to what extent the project implementation mechanisms outlined in the project document have been followed and were effective in delivering project outputs and outcomes. Were pertinent adaptations made to the approaches originally proposed?
- (b) Assess the role and performance of the units and committees established and the project execution arrangements at all levels.
- (c) Assess the extent to which the project implementation met GEF environmental and social safeguards requirements.
- (d) Evaluate the effectiveness and efficiency of project management at the UNEP and the country level. How well was the management able to adapt to changes during the life of the project. How was the relationship between UNEP, the executing agency and the project partners?
- (e) Assess the extent to which project management responded to direction and guidance provided by the Steering Committee and UNEP supervision recommendations;
- (f) Assess the extent to which the project management responded to findings and recommendations of the project mid-term evaluation;
- (g) Identify administrative, operational and/or technical problems and constraints that influenced the effective implementation of the project, and how the project partners tried to overcome these problems.

31 **Stakeholder<sup>45</sup> Participation and Public Awareness.** The term stakeholder should be considered in the broadest sense, encompassing project partners, government institutions, private interest groups, local communities etc. The assessment will look at three related and often overlapping processes: (1) information dissemination between stakeholders, (2) consultation between stakeholders, and (3) active engagement of stakeholders in project decision making and activities. The evaluation will specifically assess:

- (a) the approach(es) used to identify and engage stakeholders in project design and implementation. What were the strengths and weaknesses of these approaches with respect to the project's objectives and the stakeholders' motivations and capacities? What was the achieved degree and effectiveness of collaboration and interactions between the various project partners and stakeholders during the course of implementation of the project?
- (b) the degree and effectiveness of the public awareness activities that were undertaken during the course of implementation of the project; The evaluation will assess the attitude of the media, the general public, the politicians and decision makers and other stakeholders towards the project, the film *ΩCEANS*, its by-products and other outreach and public education material produced.

32 The ROTI analysis should assist the consultants in identifying the key stakeholders and their respective roles, capabilities and motivations in each step of the causal pathway from activities to achievement of outputs and objectives to impact.

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<sup>45</sup> Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or stake in the outcome of the project. The term also applies to those potentially adversely affected by the project.

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- 33 **Country Ownership and Driven-ness.** The evaluation will assess the performance of the project countries, namely:
- (a) in how the countries, including the relevant government bodies and other major stakeholders, have assumed responsibility for the project and provided adequate support to project execution, including the degree of cooperation received from the various contact institutions in the countries involved in the project and the timeliness of provision of counter-part funding to project activities;
  - (b) to what extent the political and institutional framework of the participating countries has been conducive to project performance;
  - (c) to what extent the Governments have promoted the participation of communities and their non-governmental organisations in the project; and
  - (d) how responsive the government partners were to Galatée Film Productions coordination and guidance, and to UNEP supervision.
- 34 **Financial Planning and Management.** Evaluation of financial planning requires assessment of the quality and effectiveness of financial planning and control of financial resources throughout the project's lifetime. The evaluation will look at actual project costs by activities compared to budget (variances), financial management (including disbursement issues), and co-financing. The evaluation will:
- (a) Verify the application of proper standards (clarity, transparency, audit etc.) and timeliness of financial planning, management and reporting to ensure that sufficient and timely financial resources were available to the project and its partners;
  - (b) Appreciate other administrative processes such as recruitment of staff, procurement of goods and services (including consultants), preparation and negotiation of cooperation agreements etc. to the extent that these might have influenced project performance;
  - (c) Present to what extent co-financing has materialized as expected at project approval (see Table 1). Report country co-financing to the project overall, and to support project activities at the national level in particular. The evaluation will provide a breakdown of final actual costs and co-financing for the different project components (see tables in Annex 3).
  - (d) Describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective. Leveraged resources are additional resources—beyond those committed to the project itself at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO's, foundations, governments, communities or the private sector.
- 35 **UNEP Supervision and Backstopping.** The purpose of supervision is to verify the quality and timeliness of project execution in terms of finances, administration and achievement of outputs and outcomes, in order to identify and recommend ways to deal with problems, which arise during project execution. Such problems may be related to project management but may also involve technical/institutional substantive issues in which UNEP has a major contribution to make. The evaluators should assess the effectiveness of supervision and administrative and financial support provided by UNEP including:
- (a) The adequacy of project supervision plans, inputs and processes;
  - (b) The emphasis given to outcome monitoring (results-based project management);

- (c) The realism and candour of project reporting and ratings (i.e. are PIR ratings an accurate reflection of the project realities and risks);
- (d) The quality of documentation of project supervision activities; and Financial, administrative and other fiduciary aspects of project implementation supervision.

36 **Monitoring and Evaluation.** The evaluation will include an assessment of the quality, application and effectiveness of project monitoring and evaluation plans and tools, including an assessment of risk management based on the assumptions and risks identified in the project document. The evaluation will appreciate how information generated by the M&E system during project implementation was used to adapt and improve project execution, achievement of outcomes and ensuring sustainability. M&E is assessed on three levels:

- (a) *M&E Design.* Projects should have sound M&E plans to monitor results and track progress towards achieving project objectives. An M&E plan should include a baseline (including data, methodology, etc.), SMART indicators and data analysis systems, and evaluation studies at specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified. The evaluators should use the following questions to help assess the M&E design aspects:
  - Quality of the project logframe as a planning and monitoring instrument; analyse/compare logframe in Project Document, revised logframe and logframe used in Project Implementation Review reports to report progress towards achieving project objectives;
  - SMART-ness of indicators: Are there specific indicators in the logframe for each of the project objectives? Are the indicators measurable, attainable (realistic) and relevant to the objectives? Are the indicators time-bound?
  - Adequacy of baseline information: To what extent has baseline information on performance indicators been collected and presented in a clear manner? Was the methodology for the baseline data collection explicit and reliable?
  - Arrangements for monitoring: Have the responsibilities for M&E activities been clearly defined? Were the data sources and data collection instruments appropriate? Was the frequency of various monitoring activities specified and adequate? In how far were project users involved in monitoring?
  - Arrangements for evaluation: Have specific targets been specified for project outputs? Has the desired level of achievement been specified for all indicators of objectives and outcomes? Were there adequate provisions in the legal instruments binding project partners to fully collaborate in evaluations?
  - Budgeting and funding for M&E activities: Determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

*M&E Plan Implementation.* The evaluation will verify that:

- the M&E system was operational and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period;
- annual project reports and Progress Implementation Review (PIR) reports were complete, accurate and with well justified ratings;

- the information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs;
- projects had an M&E system in place with proper training, instruments and resources for parties responsible for M&E.

### Complementarities with UNEP strategies and programmes

37 UNEP aims to undertake GEF funded projects that are aligned with its own strategies. The evaluation should present a brief narrative on the following issues:

- (b) *Linkage to UNEP's Expected Accomplishments and POW 2010-2011.* The UNEP MTS specifies desired results in six thematic focal areas. The desired results are termed Expected Accomplishments. Using the completed ROI analysis, the evaluation should comment on whether the project makes a tangible contribution to any of the Expected Accomplishments specified in the UNEP MTS. The magnitude and extent of any contributions and the causal linkages should be fully described. Whilst it is recognised that UNEP GEF projects designed prior to the production of the UNEP Medium Term Strategy (MTS)<sup>46</sup>/ Programme of Work (POW) 2010/11 would not necessarily be aligned with the Expected Accomplishments articulated in those documents, complementarities may still exist.
- (c) *Alignment with the Bali Strategic Plan (BSP)<sup>47</sup>.* The outcomes and achievements of the project should be briefly discussed in relation to the objectives of the UNEP BSP.
- (d) *Gender.* Ascertain to what extent project design, implementation and monitoring have taken into consideration: (i) possible gender inequalities in access to and the control over natural resources; (ii) specific vulnerabilities of women and children to environmental degradation or disasters; and (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation. Appreciate whether the intervention is likely to have any lasting differential impacts on gender equality and the relationship between women and the environment. To what extent do unresolved gender inequalities affect sustainability of project benefits?
- (e) *South-South Cooperation.* This is regarded as the exchange of resources, technology, and knowledge between developing countries. Briefly describe any aspects of the project that could be considered as examples of South-South Cooperation.

### The Evaluation Consultants' Team

38 One independent consultant will be hired for this desk-based evaluation. The consultant should have the following expertise and experience

- Master's degree or higher in biology or related environmental field with special focus on communication and media;
- At least 10 years of relevant working experience related to nature documentaries, public education, and outreach activities;
- Expertise in conducting project evaluations, preferably evaluation of large, multi-country, UN-implemented and GEF-funded environmental projects;
- Good knowledge of UNEP-GEF portfolio and areas of work;

<sup>46</sup> <http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf>

<sup>47</sup> <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

- Excellent communication skills, including fluency in written and spoken English and French.
- 39 The Consultant will be responsible for the data collection and analysis phase of the evaluation, and for preparing the evaluation report. (S)He will ensure that all evaluation criteria are adequately covered by the evaluation.
- 40 By undersigning the service contract with UNEP/UNON, the consultant certifies that (s)he has not been associated with the design and implementation of the project in any way which may jeopardize his(her) independence and impartiality towards project achievements and project partner performance. In addition, (s)he will not have any future interests (within six months after completion of the contract) with the project's executing or implementing units.

## Evaluation Deliverables and Review Procedures

- 41 The Consultant will, after an initial telephone briefing with the UNEP Evaluation Office and the UNEP Task Manager, conduct initial desk review work and prepare and submit a brief inception report to the UNEP Evaluation Office. The inception report should be approved by the UNEP Evaluation Office before starting fieldwork or desk based phone/email interviews.
- 42 The inception report lays the foundations for the main evaluation. Its purpose is to develop an evaluation framework that includes:
- a) Brief background and rationale of the project;
  - b) A review of the quality of project design to help identify how project design impacts on project implementation and performance (see annex 7);
  - c) analysis of the project's theory of change, creating a baseline which can be used to assess the actual project outcomes and impacts (expected and unexpected) during field visits and interviews;
  - d) A detailed plan for the evaluation process.
- 43 The outline of the inception report is presented in Annex 1(a).
- 44 **The main evaluation report** should be brief (no longer than 35 pages – excluding the executive summary and annexes), to the point and written in plain English. The report will follow the annotated Table of Contents outlined in Annex 1(b). It must explain the purpose of the evaluation, exactly what was evaluated and the methods used (with their limitations). The report will present evidence-based and balanced findings, consequent conclusions, lessons and recommendations, which will be cross-referenced to each other. The report should be presented in a way that makes the information accessible and comprehensible. Any dissident views in response to evaluation findings will be appended in footnote or annex as appropriate.
- 45 **Review of the draft evaluation report.** The Consultant will submit the zero draft report to the UNEP Evaluation Office on 3<sup>rd</sup> June 2013, and revise the draft following the comments and suggestions made by the Evaluation Office. The Evaluation Office will then share the first draft report with the UNEP Task Manager for review and comments. The UNEP Task Manager will forward the first draft report to the executing agencies in the pilot countries and other relevant project stakeholders. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. Comments would be expected within two weeks after the draft report has been shared. Any comments or responses to the draft report will be sent to the UNEP Evaluation Office for collation. The Evaluation Office will provide the comments to the Consultant in preparing the final draft report. The Consultant will submit the final draft report no later than 2 weeks after reception of stakeholder comments. The Consultant will prepare a **response to comments** that

contradict the findings of the evaluation team and could therefore not be accommodated in the final report. This response will be annexed to the MTE report to ensure full transparency.

46 Consultations will be held between the Consultant, Evaluation Office staff, the UNEP/GEF Coordination Office, UNEP/DEPI, UNEP/DCPI and key members of the project execution team. These consultations will seek feedback on the proposed recommendations and lessons.

47 **Submission of the final Terminal Evaluation report.** The final report shall be submitted by Email to:

Segbedzi Norgbey, Head  
UNEP Evaluation Office  
P.O. Box 30552-00100  
Nairobi, Kenya  
Tel.: (+254-20) 762 3387  
Email: [segbedzi.norgbey@unep.org](mailto:segbedzi.norgbey@unep.org)

48 The Head of Evaluation will share the report with the following persons:

Maryam Niamir-Fuller, Director  
UNEP/GEF Coordination Office  
P.O. Box 30552-00100  
Nairobi, Kenya  
Tel: (+254-20) 762 4686  
Email: [maryam.niamir-fuller@unep.org](mailto:maryam.niamir-fuller@unep.org)

Isabelle Vanderbeck  
Task Manager UNEP/DEPI  
900 17<sup>th</sup> Street, NW, Suite 506  
Washington D.C. 20006, USA  
Tel: (+1) 202 974 1314  
Email: [isabelle.vanderbeck@unep.org](mailto:isabelle.vanderbeck@unep.org)

49 The final evaluation report will be published on the UNEP Evaluation Office web-site [www.unep.org/eou](http://www.unep.org/eou) and may be printed in hard copy. Subsequently, the report will be sent to the GEF Office of Evaluation for their review, appraisal and inclusion on the GEF website.

50 As per usual practice, the UNEP Evaluation Office will prepare a **quality assessment** of the zero draft and final draft report, which is a tool for providing structured feedback to the evaluation consultants. The quality of the report will be assessed and rated against both GEF and UNEP criteria as presented in Annex 4.

51 The UNEP Evaluation Office will also prepare a **commentary** on the final evaluation report, which presents the Evaluation Office ratings of the project based on a careful review of the evidence collated by the evaluation consultant and the internal consistency of the report. These ratings are the final ratings that the UNEP Evaluation Office will submit to the GEF Office of Evaluation.

## Resources and Schedule of the Evaluation

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- 52 This Terminal Evaluation will be undertaken by an independent evaluation consultant contracted by the UNEP Evaluation Office. The consultant will work under the overall responsibility of the UNEP Evaluation Office and will consult with the Evaluation Office on any procedural and methodological matters related to the evaluation. It is, however, the consultant's individual responsibility to obtain documentary evidence, organize meetings with stakeholders and any other logistical matters related to the assignment. The UNEP Task Manager will provide logistical support (introductions, meetings, documentation etc.), allowing the consultant to conduct the evaluation as efficiently and independently as possible.
- 53 The consultant will be hired for 7 weeks spread over a period of 10 weeks. The contract will commence on 1<sup>st</sup> May 2013 and end on 12<sup>th</sup> July 2013.

### **Schedule of Payment**

- 54 The consultant will be hired under an individual Special Service Agreement (SSA) under the following contract option. No travelling will be involved.
- 55 Fee-only Option:
- The evaluator will receive an initial payment of 20% of the total amount upon acceptance of the inception report. A following 50% of the total amount will be received upon acceptance of the draft report. Final payment of 30% will be made upon acceptance and satisfactory completion of work. The fee is payable under the individual SSAs of the evaluator.
- 56 In case the consultant is not able to provide the deliverables in accordance with these TORs, in line with the expected quality standards by the UNEP Evaluation Office, payment may be withheld at the discretion of the Head of the Evaluation Office until the consultants have improved the deliverables to meet UNEP's quality standards.
- 57 If the consultant fails to submit a satisfactory final product to UNEP in a timely manner, i.e. within one month after the end date of their contract, the Evaluation Office reserves the right to employ additional human resources to finalize the report, and to reduce the consultants' fees by an amount equal to the additional costs borne by the Evaluation Office to bring the report up to standard.
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## ANNEX II. PERSONS CONTACTED

**A. Project Personnel**

The Table below lists those personnel from UNEP and Galatée who were contacted. Efforts were also made to contact other personnel within GEF and UNEP, but no further responses were received.

Name	Email Address/Other contact	Role and responsibility in the OCEANS Project	Contact Status
<b>UNEP</b>			
Tiina Piironen	<a href="mailto:Tiina.Piironen@unep.org">Tiina.Piironen@unep.org</a>	UNEP Evaluation Office (EO)- coordinator of TE	Contacted 7 May 2013 and subsequent (Skype calls)
Michael Spilsbury	<a href="mailto:Michael.Spilsbury@unep.org">Michael.Spilsbury@unep.org</a>	OIC, UNEP Evaluation Office	5 August 2013 and subsequent; via e-mails
Catherine Beltrandi	<a href="mailto:Catherine.Beltrandi@unep.org">Catherine.Beltrandi@unep.org</a>	UNEP Division of Communication and Public Information (Communication Office)-Project Manager	Contacted 27 June 2013 (Skype call)
Isabelle Vanderbeck	<a href="mailto:UNEPRep@oas.org">UNEPRep@oas.org</a>	UNEP Project Task Manager (Washington)	Contacted 7 May 2013 (Skype call)
Heidi Savelli	<a href="mailto:Heidi.Savelli@unep.org">Heidi.Savelli@unep.org</a>	Programme Officer at UNEP DEPI – helped prepare the 5 minutes video with a regional seas program message.	e-mail w/questionnaires sent 10/29/13; completed questionnaire received
Alberto Pacheco	<a href="mailto:alberto.pacheco@unep.org">alberto.pacheco@unep.org</a> Tel. +254 (20) 762 24591	Coordinator; Ocean field research	e-mail w/questionnaires sent 10/29/13; completed questionnaire received
Rodney Vorley	<a href="mailto:Rodney.Vorley@unep.org">Rodney.Vorley@unep.org</a>	Fund Officer for the project	Contacted 5 June 2013 (Skype call); subsequent e-mails
<b>Galatée and Partners</b>			
Nicolas Elghozi	<a href="mailto:nelghozi@galateefilms.fr">nelghozi@galateefilms.fr</a>	Galatée Project Manager	Communicated via e-mail
Jesse H. Ausubel	<a href="mailto:ausubel@mail.rockefeller.edu">ausubel@mail.rockefeller.edu</a>	OCEANS program manager, Alfred P. Sloan Foundation	Contacted by e-mail 12 April 2014 and subsequent
Nathalia Mikhalkov	<a href="mailto:nmikhalkov@gmail.com">nmikhalkov@gmail.com</a>	Project assistant, Galatée Films	Contacted by e-mail 22 April 2014 and subsequent

**B. ADB Screenings—Audience Members**

The Table below lists people who attended the screenings of episodes from the TV Series, “Kingdom of the Ocean” at the Asian Development Bank, Manila, Philippines, in March 2014. Each of the persons listed completed a survey questionnaire following the screenings.

	Name	Title/Position	Organization	Contact
<b>10 March 2014 Screening</b>				
1	Xiao Lei Yang	Agricultural Engineer	STESC	<a href="mailto:sh-f12345678@126.com">sh-f12345678@126.com</a>
2	Qian Yang	Senior Engineer, Foreign	Ministry of	<a href="mailto:yang.qian@mepfeco.org.cn">yang.qian@mepfeco.org.cn</a>

	Name	Title/Position	Organization	Contact
		Economic Cooperation Office	Environmental Protection, PRC	
3	Arun Abraham	NRM Specialist (consultant)	Asian Development Bank	<a href="mailto:aabraham.consultant@adb.org">aabraham.consultant@adb.org</a>
4	Emiliano P. Kempis	Chief, Environmental Impact Assessment Division	Department of Environment and Natural Resources Philippines	<a href="mailto:epkempisjr@galur.com">epkempisjr@galur.com</a>
5	Sergey Kudelya	Project Manager	UNOPS (Russia)	<a href="mailto:sergeyk@unops.org">sergeyk@unops.org</a>
6	Subhat Nurhakim	National Coordinator Indonesia	ATSE-GEF/UNDP Project	<a href="mailto:subhat_prpt@indo.net.id">subhat_prpt@indo.net.id</a>
7	Purevdorj Surenkhorloo	Freshwater Officer	WWF Mongolia	<a href="mailto:purevdorj@wwf.mn">purevdorj@wwf.mn</a>
8	Chris O'Brien	Regional Coordinator	FAO	<a href="mailto:chris.obrien@boblme.org">chris.obrien@boblme.org</a>
9	Isara Chanrachkij	Fishing Gear Technology Section Head	SEAFDEC	<a href="mailto:isara@seafdec.org">isara@seafdec.org</a>
10	Julija Zukova	Associate Director, Water and Urban Development	AECOM Philippines	<a href="mailto:julija.zukova@aecom.com">julija.zukova@aecom.com</a>
11	Gang Qin	Water and Sanitation Specialist	World Bank	<a href="mailto:gqin@worldbank.org">gqin@worldbank.org</a>
12	Yin Fei Liu		Shanghai Agriculture Broadcast and Television School	<a href="mailto:89269415@qq.com">89269415@qq.com</a>
13	Christine Ingrid Narcise	Country Manager (Philippines)	PEMSEA	<a href="mailto:cinarcise@pemsea.org">cinarcise@pemsea.org</a>
14	San Nguyen Van	Regional Coordinator, GEF	WWF Greater Mekong	<a href="mailto:san.nguyenvan@wwfgreatermekong.org">san.nguyenvan@wwfgreatermekong.org</a>
15	Patric Weiler	Project Officer	GEF IW:LEARN	<a href="mailto:patrick@iwelearn.org">patrick@iwelearn.org</a>
16	Vo Si Tuan	Director	Institute of Oceanography	<a href="mailto:vosituan@gmail.com">vosituan@gmail.com</a>
17	Dwight Ronan	Capacity Building and Communications Assistant	PEMSEA	<a href="mailto:dronan@pemsea.org">dronan@pemsea.org</a>
18	Ina Pranoto	Environmental Specialist	World Bank Jakarta	<a href="mailto:ipranoto@worldbank.org">ipranoto@worldbank.org</a>
19	Chan Won Lee	Professor	Kyungnam University	<a href="mailto:water@kyungnam.ac.kr">water@kyungnam.ac.kr</a>
20	Sungkwon Soh	Science Manager	WCPFC	<a href="mailto:sungkwon.soh@wcpfc.int">sungkwon.soh@wcpfc.int</a>
21	Reynaldo F. Molina	Consultant	UNEP COBSEA, Bangkok	<a href="mailto:molinar@un.org">molinar@un.org</a>
22	Ma Sakanan Plathong	Department of Biology	Prince of Songkla University	<a href="mailto:sakanan2004@yahoo.com">sakanan2004@yahoo.com</a>
23	Quan Wen	Research Professor	National Marine Environmental Monitoring Center, PRC	<a href="mailto:qwen@nmemc.gov.cn">qwen@nmemc.gov.cn</a>
<b>20 March 2014 Screening</b>				
24	Vedran Furtula	GIS Consultant	GEF/UNESCO/UNDP Diktas Project	<a href="mailto:estavel5@gmail.com">estavel5@gmail.com</a>
25	R. Tomi Supratomo	Asst. Deputy Secretary of DG MCSI	Ministry of Marine Affairs and Fisheries,	<a href="mailto:radentomi@gmail.com">radentomi@gmail.com</a>

	Name	Title/Position	Organization	Contact
			Indonesia	
26	Morton O. Saulo	Communication Specialist	KMFRI/KCDP, Kenya	<a href="mailto:mortonline2000@yahoo.com">mortonline2000@yahoo.com</a>
27	Raul G. Roldan	Deputy Team Leader, Philippines	Coral Triangle Initiative- GEF ADB	<a href="mailto:roldanrg@yahoo.com">roldanrg@yahoo.com</a>
28	Christine V. Casal	Database Management Specialist	Coral Triangle Initiative- GEF ADB	<a href="mailto:christinevcasal@gmail.com">christinevcasal@gmail.com</a>
29	Angelo Jose B. Lumba	Technical Coordinator	Coral Triangle Initiative- GEF ADB	<a href="mailto:ajblumba@gmail.com">ajblumba@gmail.com</a>
30	Ejna Saleh	Project Manager, Coral Triangle Initiative-Sabah	Universiti Malaysia- Sabah	<a href="mailto:ejsaleh@ums.edu.my">ejsaleh@ums.edu.my</a>
31	Mark Tupas	Assistant Professor	University of the Philippines, Coll. Of Engineering	<a href="mailto:marxtupas@gmail.com">marxtupas@gmail.com</a>
32	Bishwa Pandey	Sr. Database Mgmt. Specialist	World Bank	<a href="mailto:bpandey@worldbank.org">bpandey@worldbank.org</a>
33	Hyunjung Lee	Energy Economist	Asian Development Bank	<a href="mailto:hjlee@adb.org">hjlee@adb.org</a>
34	Elijah Mutuku Munyao	Consultant	UNEP (Kenya)	<a href="mailto:elijah.munyao@unep.org">elijah.munyao@unep.org</a>
35	R. Rizki Andhitya Yunanto	Program in Communication Officer	Coral Triangle Initiative- CFF Indonesia	<a href="mailto:ncc.indonesia@cticff.org">ncc.indonesia@cticff.org</a>
36	Jean Jordaan	IT Specialist	IW:LEARN	<a href="mailto:jean.jordaan@gmail.com">jean.jordaan@gmail.com</a>
37	Dr. Melckzedeck Knight Osore	Researcher, Ecology and Systematics	Kenya Marine and Fisheries Research Institute	<a href="mailto:mosore@kmfri.co.ke">mosore@kmfri.co.ke</a>
38	Dana Rose Salonoy	Knowledge Management Assistant	Coral Triangle Initiative- GEF ADB	<a href="mailto:salonoydanarose@gmail.com">salonoydanarose@gmail.com</a>
39	Namfon Imsamrarn	IT Officer	SEAFDEC	<a href="mailto:namfon@seafdec.org">namfon@seafdec.org</a>
40	Siriporn Pongsorn	Fishing Ground Information Scientist	SEAFDC	<a href="mailto:psiriporn@seafdec.org">psiriporn@seafdec.org</a>
41	Khristine Eustodio- Gudczinski	Component Manager	GEF IW:LEARN	<a href="mailto:khristine@iwlearn.org">khristine@iwlearn.org</a>
42	Nishan Sugathadasa	Technical Officer	BOBLME	<a href="mailto:ns@boblme.org">ns@boblme.org</a>

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**ANNEX III. BIBLIOGRAPHY**

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***Project Documents***

E-mail from Ms. Nathalia Mikhalkov, Galatée Films, dated 23 April 2014

GEF CEO Endorsement Letter dated 14 May 2010

Memo dated 14 July 2011 from Ms. Maryam Niamir-Fuller, Director, UNEP GEF Coordination Office, to Ms. Monique Barbut, CEO, GEF

Project Cooperation Agreement

Project Document (UNEP Request for Funding [Medium-Size Project] dated 27 Apr 2010)

Project final report (5 pages)

Quarterly Expenditure Statement, 01 Jan-31 Mar 2011

Quarterly Progress Report, 01 Jan-31 Mar 2011

Remittance advice, 19 Oct 2010

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UNEP. 2008. Budget and programme of work for the biennium 2010–2011 and the Environment Fund and other budgetary

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matters. Proposed biennial programme and support budgets for 2010-2011. UNEP/GC.25/12. 7 October 2008.  
UNEP. March 2008. Evaluation Manual. Evaluation and Oversight Unit

### Websites

Website/Subject	Link
Box Office Mojo website (lists releases of OCEANS film in 32 countries)	<a href="http://www.boxofficemojo.com/movies/?page=intl&amp;id=oceans.htm">http://www.boxofficemojo.com/movies/?page=intl&amp;id=oceans.htm</a>
Census of Marine Life website-project page for "Making Ocean Life Count"	<a href="http://www.coml.org/about-census">http://www.coml.org/about-census</a>
Census of Marine Life website-project page for "Making Ocean Life Count"	<a href="http://www.coml.org/news/oceans-movie-2010">http://www.coml.org/news/oceans-movie-2010</a>
Census of Marine Life website-project page for "Making Ocean Life Count" publication	<a href="http://www.coml.org/results-publications/oceansfilm">http://www.coml.org/results-publications/oceansfilm</a>
Galatée Films brochure for OCEANS film	<a href="http://www.coml.org/comlfiles/press/GalateeBrochure_14January2010.pdf">http://www.coml.org/comlfiles/press/GalateeBrochure_14January2010.pdf</a>
GEF website-project page for "Making Ocean Life Count"	<a href="http://www.thegef.org/gef/project_detail?projID=4256">http://www.thegef.org/gef/project_detail?projID=4256</a>
Global prevalence/use of major languages	<a href="http://en.wikipedia.org/wiki/List_of_languages_by_total_number_of_speakers">http://en.wikipedia.org/wiki/List_of_languages_by_total_number_of_speakers</a>
IW:LEARN website-project page for "Making Ocean Life Count"	<a href="http://iwlearn.net/iw-projects/4256">http://iwlearn.net/iw-projects/4256</a>
Kingdom of the Oceans TV airing information for U.S. and U.K.	<a href="http://phe.rockefeller.edu/news/archives/1622">http://phe.rockefeller.edu/news/archives/1622</a>
NatGeo programming information for U.K.	<a href="http://natgeotv.com/uk/kingdom-of-the-oceans">http://natgeotv.com/uk/kingdom-of-the-oceans</a>
National Geographic's 'Kingdom of the Oceans'	<a href="http://abcnews.go.com/Technology/slideshow/national-geographics-kingdom-oceans-18685830/image-18687003">http://abcnews.go.com/Technology/slideshow/national-geographics-kingdom-oceans-18685830/image-18687003</a>
National Geographic's 'Kingdom of the Oceans'	<a href="http://www.broadwayworld.com/bwwtv/article/Nat-Geo-Wild-to-Premiere-KINGDOM-OF-THE-OCEANS-Today-20130309#.Ux7SkYV7Tgw">http://www.broadwayworld.com/bwwtv/article/Nat-Geo-Wild-to-Premiere-KINGDOM-OF-THE-OCEANS-Today-20130309#.Ux7SkYV7Tgw</a>
Program mentioning OCEANS screening at Plenary of the Group on Earth Observations (GEO), Beijing 16-17 Nov 2010	<a href="http://ocean-partners.org/attachments/712_platt-geo-ministerial.pdf">http://ocean-partners.org/attachments/712_platt-geo-ministerial.pdf</a>
Report of screening activities conducted for the TE, at ADB Headquarters, Manila	<a href="http://www.pemsea.org/sites/default/files/proceedings-of-the-2nd-iw-regional-workshop-for-asia-and-pacific.pdf">http://www.pemsea.org/sites/default/files/proceedings-of-the-2nd-iw-regional-workshop-for-asia-and-pacific.pdf</a>
Spain UNEP CBD LifeWeb site using OCEANS still photos	<a href="http://www.spain-unepporpas.org/cbd-lifeweb.html">http://www.spain-unepporpas.org/cbd-lifeweb.html</a>
UNEP 'Oceans' short video	<a href="http://vimeo.com/23683313">http://vimeo.com/23683313</a>
World Marine Biodiversity Day video	<a href="http://marinebiodiversityseries.org/">http://marinebiodiversityseries.org/</a>

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ANNEX IV. POST-SCREENING SURVEY QUESTIONNAIRE, TABULATION OF RESULTS AND NARRATIVE SUMMARY

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**Survey Questionnaire**

**AUDIENCE QUESTIONNAIRE FOR TERMINAL EVALUATION OF THE GEF/UNEP PROJECT, "MAKING OCEAN LIFE COUNT"**

Your responses on the questionnaire that follows will be used only for the purpose of evaluating the GEF-supported UNEP project, "Making Ocean Life Count." All personal information will be kept confidential.

Respondent Name:	
Organization:	
Title/Position:	
Contact Details:	
e-mail:	
telephone:	
Please describe the context in which educational and informational materials produced and disseminated by the project might be of interest to you (e.g., as a cinematographer, ocean scientist, environmental advocate, government authority/policy maker, communications specialist, lay person, etc.):	
May we contact you by phone or e-mail, to ask further questions about your reaction to the educational and informational materials produced by the project?	

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No.	Question	Response
1a.	<b>Before today</b> , have you previously seen or heard about any of the products (educational and informational materials) produced by Galatée Films about ocean conservation (e.g., feature film, TV series, short video, etc.)? If YES, please specify.	
1b.	<p>If you have heard about the GEF/UNEP project, or viewed the OCEANS film or related products <b>before today</b>, please indicate where (circle your selection):</p> <ul style="list-style-type: none"> <li>a. I attended a screening in conjunction with a GEF-organized event (where?)</li> <li>b. I attended a screening in conjunction with another environment-related or media event (non-GEF: where?)</li> <li>c. I saw it on TV</li> <li>d. I saw it on the IW:LEARN website</li> <li>e. I saw it elsewhere on the internet</li> <li>f. I heard about it from other colleagues</li> <li>g. I purchased or own a copy of the DVD.</li> <li>h. I have not heard of the project, film or by-products before today.</li> </ul>	(provide further explanation here if needed:)
2a.	Did the film/video raise your appreciation and awareness of the importance of ocean conservation?	
2b.	If YES, using a scale of 1 (lowest) to 10 (highest), how would you rate the level of appreciation and awareness you derived from these materials?	
3.	What specific new information did you learn from these educational and informational products?	
4.	Would you be able to use the knowledge and information from these educational and media materials in your line work? If YES, in what way? If NO, why not?	
5.	Will you promote the use of these materials by other relevant institutions, offices, or individuals, who have a stake in ocean conservation? Who are these other stakeholders?	
6.	Do you know of other organizations, besides GEF and UNEP, that have used or could use these materials? Please describe.	
7.	What do you consider are the main strengths of these educational and informational materials? Please be specific.	
8.	What do you consider are the main weaknesses of these educational and informational materials? Please be specific.	
9.	How could the distribution or the dissemination of these materials be improved, and in what other contexts could they	

No.	Question	Response
	be utilized?	
10.	Do you feel that these materials are clearly “branded” as being supported by GEF and UNEP? How could branding and identification with GEF and UNEP be strengthened?	

		Rating						
		Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	Don't Know	Not Applicable
<p><b>In relation to the video or film that you viewed today, for each statement below, to the best of your knowledge and ability, please indicate the response that describes your opinion, by checking the appropriate box in the columns to the right.</b></p>								
1.	The materials viewed today, and other related materials produced by the project, are well-publicized, and are familiar to the general public.							
2.	These materials are only well-known among a select audience of specialists involved in ocean science and conservation.							
3.	These materials are well-known to both the general public, and to scientists and other specialists.							
4.	These materials are scientifically accurate.							
5.	The materials are very informative.							
6.	The educational and informational materials produced by the project are visually appealing.							
7.	The materials have strong emotional impact.							
8.	The educational and informational products are successful in promoting a strong desire among viewers and users to preserve the world's oceans and ocean life.							
9.	The materials could be used as a tool to persuade leaders and decision-makers to adopt stronger measures to protect the ocean.							
10.	The materials are highly consistent with, and supportive of, the objectives of GEF and UNEP to preserve global biodiversity and protect the environment.							
11.	The materials are very accessible to a wide audience, in several languages.							

Please provide any other ideas, suggestions or comments you may have about the educational and informational materials produced by the "Making Ocean Life Count" project, especially regarding how they could be better disseminated and employed in the future, to improve awareness about the ocean environment, and to promote strengthened ocean conservation (*continue on the back if necessary*).

***Thank you for your cooperation!***

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## Tabulated Responses to Questionnaires

**1a.** Have you previously seen or heard about any of the products (educational and informational materials) produced by Galatée Films about ocean conservation?

	Frequency	Percent
Yes	20	47.62
No	22	52.38
Total	42	100

**1b.** If you have heard about the GEF/ UNEP project or viewed the OCEANS film or related products previously, where?

	Frequency
I attended a screening in conjunction with a GEF-organized event	8
I saw it on TV	3
I saw it on the IW: LEARN website	2
I saw it elsewhere on the internet	4
I heard about it from other colleagues	2
I purchased or own a copy of the DVD	1
Total	20

**2a.** Do these materials raise your appreciation and awareness of the importance of ocean conservation?

	Frequency	Percent
Yes	41	97.62
No response	1	2.38
Total	42	100

**2b. Rating (Level of Appreciation; 1=lowest, 10=highest)**

Average Rating =8.48 Std. Dev. =1.49

Rating	Frequency	Percent
4	1	2.38
5	2	4.76
6	2	4.76
7	2	4.76
8	9	21.43
9	16	38.10
10	10	23.81
Total	42	100

**3. What specific new information did you learn from these educational and informational products?**

	Frequency	Percentage
Nothing new as I work in this field/ aquatic biodiversity	3	7.14
Biodiversity under the sea	12	28.57
Behaviour of marine species	8	19.05
Prey/ predator relationship/ food chain/ natural ecological processes	12	28.57
Human intervention/ hunting	1	2.38
Amazing cinematic film	2	4.76
No response	4	9.52
Total	42	100

**4. Would you able to use the knowledge and information from these educational and informational materials in your line of work?**

	Frequency	Percent
Yes	34	80.95
No	6	14.29
No Response	2	4.76
Total	42	100

If Yes, in what way?

	Frequency	Percentage
Overall advocacy work/ awareness campaign about the ocean	11	32.35
for students to enhance learning about the ocean	6	17.65
for research purposes (SEAFDEC)	1	2.94
share to colleague of similar work	5	14.71
No Response	11	32.35
Total	34	100

If NO, Why NOT?

	Frequency	Percent
different sector	1	16.67
I'm not concerned about this	1	16.67
long distance from the ocean	1	16.67
technical person	1	16.67
Unlikely	2	33.34
Total	6	100

5. Will you promote the use of these materials by other relevant institutions, offices, or individuals, who have a stake in ocean conservation?

	Frequency	Percent
Yes	35	83.33333
No	3	7.142857
No response	4	9.52381
Total	42	100

Who are these other stakeholders?

	Frequency	Percentage
Colleague at the government institutions working on marine/ ocean/ policy makers	10	35.71
Fellow researcher	1	3.57
NGO/ Academic/ Universities/ teachers/ students/ youth	9	32.14
Combination of the above	8	28.57
Total	28	100

**6. Do you know of other organizations, besides GEF and UNEP that have used or could use these materials?**

	Frequency	Percentage
Yes	19	45.24
No	14	33.33
No response	9	21.43
Total	42	100

Please describe

	Frequency	Percentage
Multi-lateral org/ International org (ADB, UNDP, FAO)	3	
Government/ Local Government	6	
NGO (WWF, CI)	4	
Projects (CTI, PEMSEA, SEAFDEC)	3	
Combination	3	
Total	19	100

**7. What do you consider are the main strengths of these educational and informational materials? Please be specific**

	Frequency	Percentage
Cinematography, technical quality, visualization, nice shots	13	30.95
Message/ theme on ocean life/ biodiversity	14	33.33
Impressive footage/ narrative	5	11.90
Touching scenes/ breathtaking documentary	7	16.67
No response	3	7.14
Total	42	100

**8. What do you consider are the main weaknesses of these educational and informational materials?**

	Frequency	Percentage
None	3	7.14
Cannot just be accessed (expensive, hard to download, etc.)	4	9.52
Too long/ not properly edited/ sequences not arranged	5	11.90
Title not coherent with the body of the film	1	2.38
Language (trends); no subtitle	5	11.90
Other important issues/ threats (not captured) / construction of ecosystems/ anthropogenic impacts/ no interviews	10	23.81
No response	14	33.33
Total	42	100

9. How could the distribution or the dissemination of these materials be improved, and in what other contexts could they be utilized?

	Frequency	Percentage
Distribute through school/ academic institutions	6	14.29
Translate into local language for easy understanding	6	14.29
Have free download in the web/ internet ad/ easy access	10	23.81
Broadcast in TV and other social media	5	11.90
Reduce film into shorter (30 min) episode	3	7.14
Distribute through NGO other organizations	1	2.38
No response	11	26.19
Total	42	100

10. Do you feel that these materials are clearly "branded" as being supported by GEF and UNEP?

	Frequency	Percent
Yes	9	21.43
No	20	47.62
No response	13	30.95
Total	42	100

How could branding and identification with GEF and UNEP be strengthened?

	Frequency	Percentage
Embed logos in the screen (say in the corner of the monitor)	4	9.52
Flash or have the logos at the start and end of the film	2	4.76
If logos are missing in the film, organized fora or in school promote the film/ by-products are partly produced by UNEP-GEF	9	21.43
Can't think of strategy/ did not see logos	7	16.67
Tie-up with other initiatives/ need more info	2	4.76
No response	18	42.86
Total	42	100

## Rating

1. The materials viewed today, and other related materials produced by the Project, are well-publicized, and are generally familiar to the public

	Frequency	Percent
Strongly Agree	3	7.14
Agree	4	9.52
Neutral	8	19.05
Disagree	15	35.71
Strongly Disagree	6	14.29
Don't Know	5	11.90
Not Applicable	1	2.38
Total	42	100

2. These materials are well-known among a select audience of specialists involved in ocean science and conservation

	Frequency	Percent
Strongly Agree	3	7.14
Agree	19	45.24
Neutral	4	9.52
Disagree	7	16.67
Don't Know	7	16.67
Not Applicable	2	4.76
Total	42	100

3. These materials are well-known, either to the general public or to scientists and other specialists

	Frequency	Percent
Strongly Agree	3	7.14
Agree	9	21.43
Neutral	7	16.67
Disagree	14	33.33
Strongly Disagree	3	7.14
Don't Know	5	11.90
Not Applicable	1	2.38
Total	42	100

## 4. These materials are scientifically accurate

	Frequency	Percent
Strongly Agree	7	16.67
Agree	24	57.14
Neutral	6	14.29
Strongly Disagree	1	2.38
Don't Know	2	4.76
Not Applicable	1	2.38
No response	1	2.38
Total	42	100

## 5. The materials are very informative

	Frequency	Percent
Strongly Agree	21	50
Agree	17	40.48
Neutral	3	7.14
Don't Know	1	2.38
Total	42	100

## 6. The educational and informational materials produced by the Project are visually appealing

	Frequency	Percent
Strongly Agree	27	64.29
Agree	12	28.57
Neutral	3	7.14
Total	42	100

## 7. The materials have strong emotional impact

	Frequency	Percent
Strongly Agree	8	19.05
Agree	21	50.00
Neutral	5	11.90
Disagree	5	11.90
Strongly Disagree	1	2.38
Don't Know	1	2.38
No response	1	2.38
Total	42	100

8. The educational and informational products are successful in promoting a strong desire among viewers and users to preserve the world's oceans and ocean life

	Frequency	Percent
Strongly Agree	17	40.48
Agree	18	42.86
Neutral	6	14.29
Don't Know	1	2.38
Total	42	100

9. The materials could be used as a tool to persuade leaders and decision-makers to adopt stronger measures to protect the ocean

	Frequency	Percent
Strongly Agree	15	35.71
Agree	18	42.86
Neutral	6	14.29
Disagree	2	4.76
Strongly Disagree	1	2.38
Total	42	100

10. The materials are highly consistent with, and supportive of the objectives of GEF and UNEP to preserve global biodiversity and protect the environment

	Frequency	Percent
Strongly Agree	16	38.10
Agree	21	50
Neutral	3	7.14
Don't Know	2	4.76
Total	42	100

11. The materials are very accessible to a wide audience, in several languages

	Frequency	Percent
Strongly Agree	2	4.762
Agree	5	11.90
Neutral	8	19.05
Disagree	6	14.29
Strongly Disagree	6	14.29
Don't Know	13	30.95
Not Applicable	1	2.381
No response	1	2.38

12. Please provide any other ideas, suggestions or comments you may have about the educational and informational materials produced by "Making Ocean Life Count"

Ideas, Suggestions, Comments	Frequency
Local language versions would expand coverage and appeal	1
circulate widely through social networks/partner websites	1
Congrats and thank you for giving me the opportunity to appreciate the nature, so beautiful film, for sure i would like to let many other people to know how beautiful is our oceans with its biodiversity	1
Create a website with auxiliary material linking to data as deep as possible (maps, organizations)	1
Disseminate to schools and fisher folk communities	1
I wish to volunteer to translate the material into my local Kiswahili language at no personal cost	1
If the video series can be sourced freely for dissemination (not for commercial purposes obviously) then it can create a huge impact among our target beneficiaries, particularly local chief executives, school children, and even fisher folk groups who we are encouraging to be more active in resource management and protection	1
It can be broadcast and shown in much more occasion	1
it is very similar to BBC Planet Earth without the soothing voice	1
Make more wide distribution of this file to all level and make it in	1
Need several versions for different audiences.	1
Partner with regional or national bodies engaged in conserving marine life.	1
Please do some documentary related with finishing practice/cooperation and how people can be part of conservation	1
Please provide subtitles in different languages/dialects	1
Please translate to the coastal languages in the world. When you speak in a foreign language, you speak to the head. When you speak in the mother language, you speak to the heart.	1
to make same type of film showing all variety of not only ocean but any water body life and also impact to human life	1

Ideas, Suggestions, Comments	Frequency
translation	1
Unbelievable catch of moment in the ocean! Great job!	1
We should start from the basic educational institutions for example: in the school for children so they can be aware from the start	1
create shorter version	1
Should be downloadable	1
I teach at University part time and manage a community project under World Bank/GEF support Kenya Coastal Development Project based at KMFRI, Kenya.	1
Much shorter version needed for "decision makers"	1
Partner with other GEF products to disseminate material	1
Please disseminate by whatever your tool is	1
should increase discussion of ocean plight	1
Avail material in YouTube and other online programs	1
Distribute bundled with HD TV purchases. Get chains to use the film as demo material on the shop floor.	1
focus on tighter theme e.g. pollution reduction; better fisheries management, conserving "x" species etc.	1
Produce small clips to highlight longer version with unique footage. Distribute widely and openly.	1
The coastal community would appreciate it if the narration would be in our own language	1
Have champions who engage in discussions on reddit,ask.metafilter.com,twitter,stock exchange,quora.com,linking back to relevant material on website	1

## Narrative Summary

The paragraphs below present a further summary and explanation of the responses obtained through the post-screening questionnaires.

- i. A little over 50% of the viewers had not seen or heard of any of the educational and informational materials produced from the OCEANS film. Of the 20 viewers who had seen or heard of the film and/or related products, 8 saw this during screenings organized or held in conjunction with GEF-organized events. Others saw or learned about these products elsewhere—on the internet (4 viewers), on TV (3), from the IW:LEARN website (2), from colleagues (2), or from having their own copy of the DVD (1).
- ii. Except for one person, all the viewers stated that the film materials raised their appreciation for and awareness of the importance of ocean conservation. More than 80% of them gave the film materials a rating from 7 to 10, on a scale of 1 to 10. Only one gave a below-average rating of 4.
- iii. With regard to new information learned from the viewings, top responses were: *biodiversity under the sea* (cited by 12 viewers); *prey/predator relationships/food chain/natural ecological processes* (12 viewers); and *behavior of marine species* (8 viewers). Three respondents claimed they learn nothing new, as their line of work was already in this field (marine biodiversity). Four participants did not provide any response.
- iv. Thirty-four viewers disclosed that the knowledge and information they gained from the TV episodes would be useful to them; only six responded the opposite. Those who answered positively said that the information would be

useful specifically for: their advocacy work and ocean awareness campaigns (11); for their students (6); for their colleagues (5); and for research work (1). Eleven viewers did not provide any elaboration on how the information could be used.

- v. When asked if they would share information about the educational and informational materials with others, 35 answered affirmatively, with the majority elaborating further on . And these will be shared to their colleagues in the government service (10); in the academe and NGOs (9); fellow researchers (1); and combination of the above (8).
- vi. Nineteen viewers said that there are other organizations that have used or could have used these materials besides GEF and UNEP. Fourteen respondents gave a negative answer, and nine provided no response. Among those who answered positively, the organizations indicated that could use the learning materials were government agencies (6), NGOs (4), multi-lateral organizations (3), projects on marine ecosystem and oceans (3), and a combination of these (3).
- vii. Consistent with the information provided in the PIR and PFR, the viewers believed that the main strengths of these educational and informational materials are in: the message of the film (and materials), which is biodiversity conservation of ocean ecosystems (14 viewers); the cinematography, technical quality, and visualization (13); breathtaking scenes that have emotional impact (7); and impressive footage and narrative (5). On the other hand, the weaknesses are: failure to highlight the threats to ocean ecosystems (10); lack of sub-titles, lack of versions available in other languages (5); presentation too long, and poorly edited (5); difficulty to access/download the videos(4). Fourteen respondents did not cite any weakness, while three explicitly said “none.”
- viii. When asked their opinion on how the dissemination of these materials could be improved and in what context, ten suggested to have free downloads from the Internet. Six said that the materials should be distributed to schools; another six suggested having the materials translated into local language and dialect; five indicated that materials could be disseminated via TV and social media; and one mentioned dissemination through NGOs. Three viewers suggested shortening the film and educational materials. Eleven viewers did not provide any suggestions.
- ix. When asked whether the materials were properly “branded” (as being supported by GEF and UNEP), close to half of the respondents said “No”, 13 had no response, and only nine said “Yes.” To strengthen the “branding” and identification of the Project with GEF and UNEP, nine respondents suggested to organize more screenings in schools and mention GEF and UNEP as funders; four thought that embedding the logos in the screen would strengthen branding; two responded that logos should be shown at the start and end of the film.
- x. The general awareness of the respondents, using the Likert-scale of 10 perception statements, showed they had a clear understanding of the information presented. A large number (35%) disagreed with the statement that the materials are well-publicized and familiar to the general public. More than 45%, stated that these materials are known among selected audiences and specialists who are involved in ocean science and conservation; that they are scientifically accurate (57% agreed); that they are very informative (50% strongly agreed and 41% agreed); that they are visually appealing (64% strongly agreed and 29% agreed); and that they have strong emotional impact (19% strongly agreed and 50% agreed). Strong agreements were also generated to the statements that the educational and informational materials are: successful in promoting strong desire to preserve the world’s oceans and ocean life (40% strongly agreed and 43% agreed); they can be used as tools to persuade leaders and decision makers to adopt stronger measures to protect the oceans (36% strongly agreed and 43% agreed); and they are highly consistent, and supportive of the objectives of GEF and UNEP to preserve global diversity and protect the environment (38% strongly agreed and 50% agreed). Meantime, varied responses were generated for the accessibility of the materials to a wide audience, and in several languages. More than 35% of the viewers couldn’t provide a specific opinion. However, 29% felt that the materials were not accessible to a wide audience, while 16% did. Eight viewers were neutral on the statement.

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ANNEX V. BRIEF CV OF CONSULTANT

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**James T. Berdach** is an international consultant with over 20 years of experience in the formulation, implementation, monitoring, and evaluation of natural resources- and environment-related development projects. Mr. Berdach has worked in the capacity of project manager/team leader and technical specialist, and has experience on projects involving the management of coastal/marine resources, forest lands and watersheds; protected area planning and management; biodiversity conservation; environmental policy; environmental safeguards and environmental assessment; climate change; ecotourism planning; and environmental awareness-raising, training, and capacity-building. He has worked extensively in countries throughout Asia and the Indo-Pacific region including Philippines, Indonesia, Malaysia, Vietnam, Myanmar, China, Georgia, Bhutan, Sri Lanka, Maldives, Republic of South Africa, Papua New Guinea, Vanuatu, Solomons, Fiji, Tuvalu, Palau, Federated States of Micronesia, Mariana Islands, and the U.S. Mr. Berdach's applied technical knowledge is based on a strong foundation of academic training and field studies in the biological and botanical sciences. His extensive international experience has facilitated the successful completion of challenging assignments within a variety of cultural settings, each with its own unique constraints and opportunities.

Of particular relevance to this assignment, Mr. Berdach has been involved in the design and implementation of numerous projects funded by the Global Environment Facility (GEF), and has completed terminal and mid-term evaluations of several GEF-supported projects.