



REPORT FOR

Review of Maritime Activities

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About SLL and the team

Solomon Leonard Limited (SLL) is a Wellington-based consultancy firm, owned by Rob Solomon (Executive Director), Kirsty Burnett and Ben Schultz (shareholding directors). SLL has extensive international experience in designing activities, implementing, monitoring and reviewing development assistance, and providing institutional capacity building for public sector and economic reform programs primarily in Asia and the Pacific. SLL is a client focussed organisation and values its reputation and modus operandi. It sees its primary clients as the people and organisations who will be impacted by their interventions. To respond to specific Terms of References (ToR) we assemble teams, from amongst our directors, associates, individuals and organisations we sub-contract.

Kirsty Burnett has over 25 years of experience as an international development practitioner, she joined MFAT in 2005 and since 2013, Kirsty has worked as an independent consultant, primarily in the Pacific for a range of clients. These include: MFAT and other New Zealand government departments and agencies, the UK government (DFID), Crown Research Institutes (CRIs), the private sector, UN specialised agencies, NGOs and other non-for-profits, a District Health Board (DHB) and the private sector. Kirsty is on MFAT's Monitoring Evaluation Research and Learning (MERL) panel and was on the now-lapsed Activity Design Support Services panel and has undertaken numerous separate assignments (Statements of Work) under each Head Agreement. In 2014-2015 she was the Activity Design lead for the Pacific Regional Navigation Initiative (PRNI) and the Pacific Maritime Safety Programme (PMSP) Phase 2.

Rod Nairn started his professional career as a seaman officer and hydrographic surveying specialist in the Royal Australian Navy, developing his eye for detail and analysis as quality control officer at the Australian Hydrographic Office in the early 1980s. He commanded four navy ships, commissioned the world's first laser airborne depth sounder and has undertaken advanced naval training at the Royal Navy Staff College, Greenwich UK (1991), and the Australian College of Defence Strategic Studies (2004). His naval career culminated as Hydrographer of Australia from 2004 to 2013. As Hydrographer of Australia, he reviewed the national charting programme and provided a comprehensive report to government which resulted in a funding injection enabling the employment of private surveyors to augment navy hydrographic surveys, and the accelerated production of electronic navigational charts (ENCs) to meet the IMO's compulsory carriage of Electronic Chart Display and Information System (ECDIS) deadline. From 2013 to 2020 Rod was the CEO of Shipping Australia Limited and also operated a private maritime and hydrographic consultancy. His skills have been demonstrated as an independent arbitrator in a dispute between the Australian Maritime Safety Authority and a private survey company; analysis and reporting on an oil spill; preparing an expert witness report on a fisheries boundary dispute in New Zealand; and preparing an expert witness report on the grounding of an Australian Border Force patrol boat in the Great Barrier Reef. In 2019 Rod was appointed by the Minister of Agriculture (Australia) to a national biosecurity levy review committee which provided a report reviewing the implementation/outcomes of three earlier biosecurity reviews. For the past eight years Rod has also been the editor of Shipping Australia Magazine. Since the end of 2020 he continued his work as the managing director of Rod Nairn and Associates, consulting on maritime and hydrographic-related matters.

Tony Parr retired from the Royal New Zealand Navy in 2013 after a 33-year career serving extensively at sea and ashore in operational and strategic leadership roles. On retirement he joined Maritime New Zealand (MNZ) as adviser to MFAT's Pacific Maritime Safety Programme (PMSP) in its first phase. On leaving MNZ in 2016 he has remained engaged with the PMSP in its subsequent phases on a contracting basis. His career has involved deep involvement with the Pacific and its maritime sector from International Maritime Organisation (IMO) obligations and responsibilities to maritime safety amongst artisanal fishermen and recreational marine communities. He is currently Harbourmaster for Port Taranaki on a part-time basis. He has also recently completed work for the Ministry of Primary Industries providing maritime advice to an inquiry into the livestock export trade from New Zealand.

Elisabeth Poppelwell has 20 years' work experience in applied research and evaluation. Since 2014 Elisabeth has largely focused on International Development in the Pacific. From 2014-2016 Elisabeth worked as a Development Manager for MFAT in its Research & Evaluation Team, where her work involved managing country programme evaluations (including Cook Islands, Niue, Samoan Tokelau, and Tonga). Elisabeth has also undertaken two (Vanuatu and the Partnerships Fund) MFAT programme evaluations for Sapere Research Group (2017-2018). In 2020, Elisabeth worked with MFAT evaluators to pilot a new in-house rapid approach with the Infrastructure Review of five Activity evaluations, one of which was the Tuvalu Ship-to Shore project. Elisabeth is currently completing her PhD in Development Studies at Victoria University of Wellington.

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Acronyms

CROP	Council of Regional Organisations of the Pacific
DAC	Development Assistance Committee of the Organisation for Economic Co-operation and Development (OECD)
DST	Sustainable Development Sector and Thematic Division (MFAT)
DCI	Development Capability and Insights Division (MFAT)
ECDIS	Electronic Chart Display and Information System
EEZ	Exclusive Economic Zone
EPIRB	Emergency Positioning Indicator Beacons
ENC	Electronic Nautical Charts
GFA	Grant Funding Arrangement
GPS	Global positioning system
IMO	International Maritime Organization
LiDAR	Light Detection and Ranging
LINZ	Land Information New Zealand
MARPOL	Marine Pollution (term used in relation to the International Convention for the Prevention of Pollution from Ships)
MERL	Monitoring, Evaluation, Research and Learning
MFAT	Ministry of Foreign Affairs and Trade (New Zealand)
MNZ	Maritime New Zealand
M&E	Monitoring and Evaluation
MSI	Maritime Safety Information
MOU	Memorandum of Understanding
NZD	New Zealand dollars
ODA	Official Development Assistance
PCA	Primary Charting Authority
PICTs	Pacific Island Counties and Territories
PIDSS	Pacific Islands Domestic Shipping Safety
PIF	Pacific Islands Forum
PLB	Personal Locator Beacon
PMSP	Pacific Maritime Safety Programme
PRNI	Pacific Regional Navigation Initiative
RMT	Results Measurement Table
RCCNZ	Rescue Coordination Centre (New Zealand)
SAR	Search and rescue
SDG	Sustainable Development Goals
SPC	Secretariat of the Pacific Community (now The Pacific Community)
SOLAS	Safety of Life at Sea
SPREP	Secretariat of the Pacific Regional Environmental Programme
SWPHC	South-West Pacific Hydrography Commission
VHF	Very high frequency
ToR	Terms of Reference

Executive Summary

Purpose of the Review

The New Zealand Ministry of Foreign Affairs and Trade (MFAT) is facing a new funding cycle at the end of a triennium (from 1 July 2021) and a year of delivery in 2020 that was greatly disrupted by the COVID-19 pandemic. This presents an opportunity to reflect on the current maritime portfolio and its fit with MFAT's broader goals and aspirations for the maritime safety sector. The purpose of the Review of MFAT's current maritime portfolio is to help inform the future direction of the programme.

Conduct of the Review

This Review was undertaken between January and May 2021 using a mixed methods approach comprising documentary research and stakeholder interviews primarily conducted by video conference. The interviews were guided by Key Review Questions (KRQ) aligned to the review scope and approved by MFAT. The Review team interviewed or received written responses from 26 groups comprising more than 60 people covering seven countries and the partner implementing agencies.

Engagement

The level of engagement from the stakeholder groups varied from excellent for the Activity implementation partners, realm states (Cook Islands, Niue and Tokelau) and Samoa and Tuvalu through to more challenging for Kiribati and Tonga. For Kiribati and Tonga, the Review team relied more on interview notes from Post staff and documented reports on the Pacific Maritime Safety Programme (PMSP) and Pacific Regional Navigation Initiative (PRNI), and evidence from the implementation partners.

Findings

In the absence of definitive quantitative performance indicators, the effectiveness of MFAT's portfolio of maritime activities could only be gauged by responses from key informants and relevant documentation. The Review found that the MFAT maritime programme consisting of PMSP, PRNI and Pacific Islands Domestic Shipping Safety (PIDSS) is highly relevant to the needs of the target Pacific Island countries and territories (PICTs)¹ and is aligned with their domestic priorities as they are highly dependent on maritime transport. The PICTs are recipients of various international development assistance packages and sometimes found it difficult to differentiate between what support has been provided by which development assistance agency under various programme titles. This Review raised the level of awareness of New Zealand MFAT's maritime sector portfolio. The phasing of the Activities across different PICTs means that some had received more support and achieved more progress than others. Tangible outcomes such as development of new governance rules under PMSP and the conduct of hydrographic surveys and delivery of new charts under PRNI have made the greatest impact, though maritime safety community awareness programmes were also highly acclaimed. Overall, where the programme delivery had progressed sufficiently, the portfolio of Activities was found to be effective in improving maritime safety by delivering safer charting products,

¹ Term also used interchangeably with PIC – Pacific Island Countries. PICTs are Pacific countries with formal links to France, New Zealand and the United States.

improving maritime safety governance, and influencing maritime safety behaviours. However, there is still a long way to go to consolidate a true maritime safety culture across the PICTs.

The deliverables of the PRNI were highly valued, and where hydrographic surveys had been undertaken or data made available it was often found to have multiple value-adding uses (i.e., marine management or inundation modelling) in addition to improved nautical charts. The focus areas of the PMSP are very broad. Most respondents recognised and valued the need for strong governance improvements to lock in the progress that had been made through community engagement initiatives. Most respondents also identified the need for ongoing support for their maritime training institutions, however the Review team found that the funding resources that would be required to support these schools would likely exceed the entire maritime portfolio allocation and recommends that support for these schools be discontinued (or taken up by bilateral programmes). The Pacific Community (SPC) efforts in the maritime sector were recognised and appreciated by many respondents, though they were not always clearly linked to improvements to domestic vessel safety. PIDSS support was identified as having less of a regulatory focus than PMSP3 activities. The Review team's assessment of feedback was that informants were generally supportive of both approaches but that the improvements in governance and regulations obtained through the MNZ approach was more likely to lock in safety improvements.

The Review noted that other New Zealand government initiatives impacting the maritime sector were being implemented in the Pacific. It found that there was a lack of strategic level planning and governance encompassing the full scope of the maritime portfolio activities, which has contributed to an uneven delivery of the programme across the PICTs. Such a plan should provide clearly defined and measurable goals and be socialised across all New Zealand delivery agencies to ensure more coherent activities.

The modes of delivery within the programme were generally found to be appropriate, though there is clearly a misalignment between the philosophies and safety standards of SPC and Maritime New Zealand (MNZ) with regards to the process of enhancing domestic shipping safety. This impacts on the harmonisation of work by these two implementing partners and needs to be resolved. The PRNI has been delivered with minimum overheads by a small team from Toitū Te Whenua Land Information New Zealand (LINZ) who have virtually absorbed their management overheads into their normal activities. While commendable, this has been challenging for the LINZ team and would not be sustainable in the longer term. In contrast, for PMSP3 the delivery by MNZ is sustainable but has a relatively high administrative overhead cost. In normal times this might not be significant and could even support the expansion of the programme without further administrative costs thus improving the cost effectiveness of delivery. Due to the major constraint of travel restrictions caused by COVID-19 these overheads have reduced the value for money of delivering outcomes. The Review team notes that MFAT is contracting MNZ (with funding from PMSP3) to support the bilateral Tuvalu *MV Manu Folau* project. Additionally, MNZ's process of customising the PMSP delivery to specifically suit the needs and capabilities of each PICT and providing reach-back support once relationships have been established has been well regarded and effective.

Both the development of stronger maritime governance legislation in some PICTs under PMSP, and the delivery of modern nautical charts to the PICTs which New Zealand is the Primary Charting Authority (PCA) under PRNI, are considered step changes in maritime safety that are already locked in place. The community engagement and maritime safety programmes delivered under PMSP are still in their infancy and will require continued investment to deliver maritime safety behavioural changes which can take a generation. There are also other aspects of the PMSP, such as provision of safety grab bags, which need to be transitioned to a sustainable footing.

Future Directions

Improving maritime safety and consolidating a strong maritime safety culture across a range of PICTs, some of which have traditionally accepted high levels of loss of life at sea, is a long-term undertaking. Like the introduction of seatbelts in cars, ingraining an automatic response to wear a lifejacket and carry a personal locator beacon (PLB) will take education, governance, logistic support, and persistence. The PRNI has been a highly successful Activity which is nearly complete. It has provided an essential infrastructure of safe and compliant nautical charting that will underpin ongoing improvements in maritime safety. In conjunction with the delivery of updated charts, LINZ has strengthened the maritime safety information (MSI) network across the PICTs and should now be able to maintain those charts within its budget appropriation (possibly adjusted to recognise New Zealand PCA responsibilities for a large area of the Pacific).

The future delivery of the PMSP should be weighted towards education, community engagement, strengthening governance (including navigational aid maintenance), and developing in-country partnerships with 'champions' that are able to sustain the safety initiatives that have been delivered under the programme. The importance of strong governance cannot be overstated; supporting PICTs to implement appropriate maritime safety regulations and management systems should be prioritised. Governance is seen as the keystone which locks in the gains in maritime safety awareness and behaviours developed through education and community engagement activities. Longer-term funding allocations and planning horizons would be needed.

The highest risk areas for loss of life are unsuitable, overloaded, and poorly maintained and operated domestic ferries, and persons being lost at sea in or from the thousands of small canoes and runabouts that are widely used in the Pacific. These are the areas that are being targeted for risk reduction through the programmes delivered under PIDSS and PMSP3. PMSP3 Output 3 relates to the support of maritime training schools, however the funds required to restore and maintain these schools would likely exceed the entire maritime portfolio allocation and cannot be justified.

While the concept of an improved very high frequency (VHF) network with repeater capability and remote monitoring in New Zealand to provide more effective offshore and remote area search and rescue (SAR) is supported in principle, a higher priority should be given to incident prevention measures. These would provide better value for money and potentially lives saved for the official development assistance (ODA) dollars invested.

The areas of climate change and marine pollution are also of key interest to the PICTs and some aspects of these could be included within the educational and community

engagement activities of the PMSP. However, any expansion in scope should not be allowed to divert from the primary focus of the programme to enhancing maritime safety and saving lives.

Recommendations

At portfolio level the Review team recommends that MFAT:

1. Prepares and promulgates a long-term strategy for the maritime sector (within the Transport sector) that includes agreement on an intervention logic (Theory of Change) which all maritime investment 'falls under', underpinned by improved governance
2. Continues to provide ODA funding for the maritime sector beyond MFAT's triennium cycle, guided by the long-term strategy to lock in successes and deepen interventions with continued effort in current countries before expanding geographic reach
3. Continues to ensure that its maritime initiatives align with work in the Pacific undertaken by regional agencies and other development partners, e.g. ADB and World Bank, through dialogue and funding contributions
4. Maintains a multi-pronged approach and suite of initiatives, customised to the needs of participating countries, and involves said partner countries in decision making complemented by a risk-based approach (especially for domestic vessel safety)
5. Ensures implementing partners undertake monitoring against Results indicators to track progress and then use the monitoring data to make informed investment decisions. This would also include reviewing the results frameworks of each Activity to ensure the data gathered can report on the effects the activities are having on beneficiaries, and can be measured against the national development plan indicators and progress in meeting SDG indicators²
6. Communicates achievements more effectively including within MFAT, to the Minister, and to partner countries to improve visibility and to raise the profile of the maritime sector.

Based on the evidence available, at Activity level the Review team recommends that MFAT:

PRNI

1. Secures funding for the remaining charts for Samoa and one for Tonga (Ha'apai Group) and for the rebranding work
2. Recognises the importance of LINZ maintaining charts developed under PRNI, and supports LINZ to leverage any ongoing hydrography capacity building for the NZ5, including through the SWPHC
3. Notes that new initiatives which collect hydrographic information will lead to the need for new nautical charting to be funded
4. Ensures any MFAT investment for new ports/harbours, or similar developments, considers and addresses hydrographic requirements
5. Supports any approaches that lead to legislative change recognising LINZ's responsibilities as the PCA for the NZ5.

² Note that MFAT may need to provide support in developing tools and providing training in their use.

PMSP

1. Designs an adequately funded Phase 4 that targets its focus more clearly and is underpinned by a stronger MERL Framework
2. Recognises that MFAT has a long-term commitment to improving maritime safety in the Pacific and that an exit strategy is premature
3. Continues a strong focus on community engagement, regulatory frameworks and SAR/MARPOL aimed at preventing/minimising maritime incidents, with the weighting of effort determined in conjunction with partner governments
4. Reviews delivery of 'kit' based on sustainability, including development of supply chains and defining an end-state for 'wrap around' support
5. Separates 'domestic shipping safety' and 'infrastructure'³ in Output 3 into two separate outputs and implementing agencies (support to the regulator to sit with MNZ and support to operators to sit with SPC)
6. Discontinues support to maritime training institutes
7. Hastens engagement with Samoa country assessment
8. Remains focused on current countries and scope before considering expansion (unless a geographic expansion is justified on a risk-assessment basis and can be adequately resourced).

PIDSS

1. Continues a funding contribution to SPC's broader maritime safety efforts
2. Supports SPC to work in PICTs that MFAT, through New Zealand-based partners, cannot realistically reach
3. Supports any proposal to use a risk assessment approach to determine where best to focus efforts to improve domestic ferry safety in the context of the PIDSS programme, including consideration of appropriate risk controls for domestic ferry safety
4. Identifies ways to better manage aspects of the SPC and MNZ's relationship.

³ Infrastructure includes Communications and IT equipment, e.g. maritime VHF radio networks, aids to navigation, some wharf based ship to shore structures where operations may be hazardous and sea survival technologies included in grab-bags.

1. Introduction

The New Zealand Ministry of Foreign Affairs and Trade (MFAT) is facing a new funding cycle at the end of a triennium (from 1 July 2021) and a year of delivery in 2020 that was greatly disrupted by the COVID-19 pandemic. This presents an opportunity to reflect on the current maritime portfolio and its fit with MFAT's broader goals and aspirations for the maritime safety sector. The purpose of the Review of MFAT's current maritime portfolio is to help inform the future direction of the programme.

The Review is not an evaluation of all MFAT's maritime activities, but a strategic Review that used learnings from the maritime sector Activities to inform future investment. Each Activity was not evaluated in great depth, but enough information was gathered to enable analysis to draw conclusions, and make evidence-based recommendations. The evaluative component is considered sufficient to meet the requirements for evaluation of the PMSP programme, noting it is now in a phase 3.

In December 2020 Solomon Leonard Ltd (SLL) and MFAT signed a contract for service to undertake a Review of maritime activities as per Terms of Reference (ToR) prepared by MFAT. The Review team acknowledges MFAT's considerable commitment to the maritime sector and provides evidence-based recommendations for future investment.

SLL provided a four-person team and conducted the work between January and May 2021. The Review team is most grateful to the generous contributions from a wide range of key informants and MFAT officials who helped facilitate interviews and provided documents and feedback.

Box 1: Maritime safety: The Review team reminds readers that maritime safety can never be an absolute. There can be no 100% solutions because the nature of maritime activity is such that there will always be combinations of extreme conditions and circumstances which will transcend reasonable risk controls. The best that can be hoped for is to reduce the risk of incidents, and the risk of casualties should there be an incident to as low as reasonably practicable through the use of a combination of rules and regulations, technologies, practices and techniques across the maritime sector.

2. Background to MFAT's aid investment in maritime

Overview

MFAT has supported a range of activities in the Pacific maritime sector as part of its official ODA programme. Domestic cargo and passenger shipping as well as artisan/subsistence fishing is a key part of life for Pacific people; be it for trade, economic, social, educational, health care, and/or cultural purposes. Supporting safe, reliable shipping in the Pacific is therefore considered very important.

Geographically New Zealand is a group of Pacific islands and has well established linkages, cultural, social, political and economic, in the Pacific. Based on the last census results, approximately 7.5 percent of New Zealand's population identify with the Pacific Peoples ethnic group. There has historically been a lot of travel to and from and within Pacific Islands by New Zealanders, for family, tourism, work/trading and other reasons. New Zealand's ODA has a strong emphasis on the Pacific. It has some constitutional responsibilities for the realm countries (the Cook Islands, Niue, and Tokelau) whose people have dual citizenship with New Zealand⁴, and there is a Treaty of Friendship with Samoa. New Zealand is a PCA for the Cook Islands, Niue, Samoa, Tokelau, and Tonga (referred to in this Report as the NZ5). New Zealand has regional responsibility for SAR in the south-west Pacific and works closely with Australia, Fiji, France, and the USA on Pacific SAR.⁵ Through membership of the Secretariat of the Pacific Regional Environmental Programme (SPREP) New Zealand has responsibility for providing assistance to Pacific Island countries for marine oil spill pollution response.

MFAT's activities in the maritime sector over the past 10 years total nearly NZD40 million, with interventions focusing on agreed targeted participating PICTs. MFAT's strategy in the maritime sector has involved several activities which target improving safety and reducing the risk of accidents. Over the years, this portfolio of activities, delivered by MNZ, LINZ, SPC, and other New Zealand and local providers, has been implemented with a focus on different aspects of safety, including:

1. working with PICT regulators on legislation, regulatory oversight, and training;
2. working on ship safety management systems and maintenance with vessel owners and operators, including domestic passenger ferries;
3. working with operators of small artisanal fishing and pleasure boats, providing equipment (such as lifejackets and Personal Locator Beacons), skills training (e.g. engine maintenance) and education for operators;
4. working in communities with families and in schools on water safety;
5. improving charting and navigation for safer vessel operations; and
6. working with government agencies on emergency maritime communication systems, SAR training (and provision of SAR vessels) and marine oil spill prevention (around compliance with the International Convention for the Prevention of Pollution from Ships, MARPOL).

⁴ For children born in these countries, if at least one of the parents is a NZ citizen or resident when the child is born.

⁵ <https://www.maritimenz.govt.nz/about/what-we-do/safety-and-response/documents/PACSARStrategicPlan.pdf>.

To date there has been a weighting towards preventative and educational work. The COVID-19 pandemic significantly impacted implementation from early 2020 and while there are 'travel bubbles' being implemented these impacts will be ongoing with travel restrictions expected to be in place for most of calendar year 2021 until vaccination programmes are fully rolled-out.

Rationale for MFAT's aid investment in maritime safety

MFAT's portfolio of maritime safety interventions has responded to maritime incidents in the Pacific, in combination with other concerns and characteristics of the Pacific Island maritime sector which are outlined in the following paragraphs.

i. High number of maritime events, e.g. domestic ferry incidents

The last decade has seen a number of significant maritime incidents involving a large number of fatalities. This includes, in 2009: *MV Princess Ashika* ferry sinking, in Tonga, death toll 87; *MV Uean Te Raoi* Inter-island ferry capsizing, in Kiribati, death toll 33; and the grounding of the oil tanker, *Forum Samoa II*, in Apia. In 2012: *MV Rabaul Queen* ferry sinking, in Papua New Guinea, death toll at least 171 people. In 2018: *MV Butiraoi* ferry sinking, in Kiribati, death toll 95; *MV MGY*, in Vanuatu, death toll 4; and *LC Urata*, in Vanuatu, crew and passengers safe.

ii. Age of vessels and number of 'old' vessels

There are an estimated 1,800 to 2,000 vessels of varying size throughout the Pacific, run by a variety of government, state-owned enterprise, and commercial operators. While many vessels are aged and have seaworthiness issues, the need for interisland ferry services is a national imperative where governments are obliged to ensure safe and reliable marine ferry transport services to outer islands. Maritime transport needs to be affordable, safe, and reliable. Meeting and maintaining requirements for vessel safety based on international standards means that regulatory compliance is costly in terms of maintenance expense, time, and regulatory administration. Passing these costs on to consumers is not easy.

iii. Operation of unsuitable vessels

In some cases, Pacific Island government development partners have 'donated' or subsidised the cost of acquisition of vessels. These vessels are not always suitable and may have potential seaworthiness issues. Nevertheless, it is difficult for PICTs to decline such offers, or to ask for a vessel that is built for purpose and suited to PICT conditions and intended use. There are other instances of the purchase of unseaworthy/unsuitable vessels being made by private owners and governments as well as concerns with ongoing maintenance challenges. It is also critical that the vessel is compliant with International Maritime Organization (IMO) and Classification Society safety standards, and can be operated and maintained in circumstances where access to ship maintenance facilities may be remote.

iv. Lack of appropriate legal and regulatory frameworks and compliance capacity

This covers statutory and regulatory frameworks that are relevant to contemporary global maritime codes, practices and guidelines. These have been generated principally by the IMO conventions to which countries are signatory, for example Safety of Life at Sea (SOLAS). The absence or inadequacy of statutory and regulatory frameworks together

with a lack of capacity and capability for enforcement is problematic. Furthermore, there are challenges with the lack of political will and resourcing/funding, and a lack of trained personnel to enable adequate compliance.

v. Attitudes to maritime safety and time it takes to change behaviour

Understanding of risk in maritime activity varies from country to country. There are often cultural influences which determine practices and protocols for maritime activity, be it for artisanal fishermen, commercial fishing operations, or domestic ferry operators. These local practices may not always be consistent with internationally-accepted maritime safety standards and may be seen to increase the likelihood of maritime incident or disaster. Behaviour embedded in culture takes time to change because it is social in nature and must be universally accepted before change can happen. Consequently, maritime safety programmes need to be considered over the medium to long term, extending to several years. Attitudes to maritime safety vary across the Pacific from more 'fatalistic' to those with a good understanding of risk assessment and controls/compliance. Therefore, behavioural change strategies, and use of appropriate technology and equipment, need to be developed to suit the specific context.

vi. Use of technology not well-understood

Internationally-accepted maritime safety standards are largely driven by the introduction, distribution, and use of technologies, mainly for communication, but also extending to vessel design and construction. In more remote PICTs there is often little knowledge, understanding, or use of maritime safety technologies which have become commonplace elsewhere. People do not always understand or comply with safety measures, such as safety equipment and new technologies.

vii. Lack of good safety practice and/or a culture of safety

This is linked to above and issues range from maintenance of vessels and availability of safety equipment such as lifejackets and Emergency Positioning Indicator Beacons (EPIRB). First comes understanding and knowledge of maintenance requirements for a vessel (any vessel), followed by development of and adherence to a maintenance plan.

viii. Limited local capability for search and rescue

National-level policy for SAR and MARPOL response is the first stage in building PICT capability for provision of emergency response services. Noting that a response is often beyond the capability of the national plans and resources, and assistance is often required from countries such as New Zealand and Australia. Therefore, close working relationships between New Zealand agencies (MNZ's Rescue Coordination Centre (RCCNZ) and Marine Pollution Response Service) and their Pacific Island country counterparts are essential and include participation in regular 'exercise' programmes.

ix. Paucity of data and lack of knowledge

This point relates not just to incidents, but also to maritime safety information (MSI) and reporting and having a central repository for information and data, and how to use data to inform investment in maritime safety. Without knowledge about maritime safety, people (operators or passengers) cannot expect or demand better practices (of regulatory compliance) or be sure of the extent of problems; from anecdotal information this is concerning and suggests a widespread issue. There is also a lack of data on the number

of small artisan fishing vessels of 1-2 crew that get 'lost' or face engine 'breakdowns'; many are resolved without loss of life or are not reported. Others involve SAR interventions which can be large scale and involve deployments for Australia, Fiji, and the USA.

x. Use of out-of-date nautical charts that would not support modern navigation

Many of the maps and charts in the Pacific were very old and contained information that was out-of-date, of poor quality, and was based on uncertain position and depth datums. Coastal states have an obligation under SOLAS V, regulation 9, to provide charts and nautical information to enable safe navigation. However, most PICTs do not have the knowledge or resources to meet these obligations without assistance. Most rely on the support of larger countries such as Australia, New Zealand, France, the United Kingdom, or the USA to act as their PCA and provide this information on their behalf.

xi. The role of the PCA and its obligations and limitations, and the need for PICTs to be able to fulfil their international obligations

LINZ is the PCA for New Zealand, certain areas of Antarctica, and five countries and territories in the South-west Pacific and is thus responsible for maintaining up-to-date charts. However, LINZ does not receive specific funding earmarked for its work in the Pacific and must prioritise home waters to meet New Zealand's own SOLAS obligations. In 2012, SOLAS regulation 19.2 was changed, phasing in the requirement for international shipping to use electronic chart display and information systems (ECDIS) that use Electronic Navigational Charts (ENC) as their primary means of navigation in place of traditional paper charts. This change was phased in between 2012 and 2018 with passenger vessels greater than 500 gross tons and new cargo ships greater than 3,000 gross tons required to use ECDIS from 2014. Without ENC much of the cruise ship industry and cargo shipping in the Pacific would have collapsed as there was not the in-country capacity or capability to respond. As many of the old paper charts in the Pacific were not suitable for conversion to ENC, substantial survey and evaluation work was required to ensure that horizontal positions were correctly linked to the global positioning system (GPS) datum, that depths were related to the correct tidal datum, and to assess the quality of all the chart data so it can be interpreted by computerised navigation systems. Realising the essential requirement for reliable charting to support maritime safety and commerce led MFAT to fund hydrographic survey and charting work in the Pacific, based on priorities determined through a risk analysis process. In the long term PCAs cannot be expected to fulfil all aspects of SOLAS for the PICTs, and the PRNI and PMSP recognised this through emphasis on greater engagement and ownership, awareness raising, development of national governance structures, and capacity building.

3. Review purpose, scope and approach

Purpose

The purpose of this Review is to provide an independent assessment of MFAT's portfolio of maritime activities, and to recommend support for future programme design and funding decisions on maritime investments based on available evidence. The Review is expected to contribute to resourcing and other decisions on the upcoming 2021-2024 triennium's investment in maritime activities, particularly with regard to the key Activities that are described in Section 4.

A detailed design for the Review was set out in a workplan submitted to MFAT in February 2021. It is attached in Appendix D (the workplan's appendices with proposed timeline, deliverables for payment, and list of proposed stakeholders are not included).

Scope

MFAT's focus for its maritime activities has been the Cook Islands, Kiribati and Tonga until 2014. Thereafter Niue, Samoa, Tokelau, and Tuvalu were added. In addition, MFAT has had some impact and an ongoing interest in Fiji, the Solomon Islands, and Vanuatu.

This Review covers MFAT's existing portfolio of activities in the maritime sector, and how their impacts align with intended development and policy outcomes, with a view to addressing challenges and opportunities in future development assistance investments in the maritime sector.

The Review objectives are:

- Objective 1 – To examine the effectiveness of MFAT's maritime portfolio, for the activities of interest as well as across the entire portfolio;
- Objective 2 – To review the suitability of MFAT's approach and ways of working to deliver the programme (Delivery models);
- Objective 3 – To assess the sustainability and resilience of the maritime portfolio to inform future direction;
- Objective 4 – To inform the future direction of MFAT's maritime investments (Options for the future).

Other considerations within the scope of this Review include:

- Ensuring sufficient emphasis on PMSP3, which is a central component to the maritime portfolio;
- An analysis of how effective various approaches (e.g. community empowerment, training and certification, technology solutions) are in achieving maritime safety outcomes;
- Assessment of the relative merits of a technology-based maritime emergency communication solution for SAR; and
- Examination and advice on the current approach to addressing domestic ferry safety, how effective the current approach is, and options on how to improve future delivery in this area.

Section 5 outlines the findings against the key review questions (KRQs) and sub-questions.

Approach

The Review team has drawn on documents and interviews with relevant stakeholders (n=63) from implementing partners (New Zealand agencies and a regional agency), MFAT officials based in Wellington and at Post, partner governments (including regulators), local operators, local NGOs, New Zealand-based suppliers (as sub-contractors) and other relevant personnel and/or service providers. A list of key reference documents referred is set out in Appendix B, and a list of key informants is set out in Appendix C. The Review team conducted interviews with groups that ranged in size from 1 to 5 informants, some of which also provided written responses. Some organisations only provided responses to written questions.

The Review used two qualitative approaches for data gathering that best match the review questions. Qualitative methodology is an exploratory scientific method of observation to gather non-numerical data. Data was gathered through in-depth face-to-face, Zoom interviews, and responses to written questions, and a review of relevant literature. Due to the lack of comprehensive monitoring data, other relevant proxy data has been used where applicable. The in-depth interviews are based on key informant experiences and perspectives of one or more of MFAT's maritime sector activities, and thematic analysis was applied based on the Review's objectives. Analysing and citing primary and secondary data along with interview data provides reliability and validity to the findings.

The approach taken by the Review team in this report was to draw on each Activity selectively to illustrate a particular issue, to provide examples of effective practice or to explain where improvements could be made. In line with the direction provided by MFAT there is a strong emphasis on PMSP3.

DAC criteria summary

The Development Assistance Committee (DAC) of the Organisation for Economic Co-operation and Development (OECD) sets out five criteria for evaluating development assistance; relevance, effectiveness, efficiency, impact, and sustainability. This Review has drawn on the evaluation criteria set out in the diagram below as an assessment tool.



Diagram 1: OECD DAC evaluation criteria

In Sections 6's Conclusions, each Activity is rated based on the Findings discussed in Section 5. The ratings score below is based on the Activity Monitoring Assessment (AMA) and Activity Completion Assessment (ACA) definitions:

- Very good = all on track/likely to achieve/deliver better than originally planned results.
- Good = all on track/likely to achieve/deliver as planned with any challenges overcome.
- Adequate = mostly on track/likely to achieve/deliver as planned, challenges largely overcome.
- Inadequate = only achieve/deliver some of what was planned, with some challenges remaining.
- Poor = not expected to achieve/deliver as planned, with either negative effects and/or serious unresolved challenges.

Limitations to overall approach and methodology used

The Review was limited by the lack of quantitative monitoring data and information and the uneven engagement across stakeholders and with some PICTs, although the mixed level of participation in the Review does not necessarily infer that the work is not valued and used. The Review team noted different perspectives of the different audiences within MFAT, from the perspective of MFAT's policy of reviewing Activities with a greater total spend of NZD10 million, through to senior management, and from Activity managers seeking guidance on future investment priorities and modality decisions.

The Review team also became increasingly aware of the inter-connectedness and complexity of other considerations such as wider foreign policy and diplomacy, maritime security, links to the environment and climate change, and the range of New Zealand-based players involved – from government to the private sector as well as non-for-profit organisations (NGOs).

4. Summary of each Activity

MFAT's portfolio of investment in the maritime sector has focused mainly on three Activities, which are briefly summarised below.

Pacific Maritime Safety Programme (PMSP)

This Activity had its origins in two inter-island ferry disasters in mid-2009; the capsizing of the *Uean Te Raoi II* in Kiribati in July 2009, and the sinking of the *MV Princess Ashika*, a vessel built in 1972 that sank in August 2009 a month after it arrived in Tonga; as well as the grounding of the oil tanker *Forum Samoa II*, in Apia in August 2009. There have been other maritime incidents that have contributed to New Zealand's interest and support for Pacific maritime safety.

Phase 1 of the Activity commenced in 2011, with three years of investment focusing on the Cook Islands, Kiribati and Tonga. A second phase commenced in 2015 with the additional participating PICTs of Niue, Samoa, Tokelau, and Tuvalu. A third phase (PMSP3) represents NZD12.5 million of investment over a three-year period, which has now been extended to end in mid-2022. PMSP clearly plays a key role in MFAT's maritime sector portfolio. Since 2016 it has been implemented by Maritime New Zealand (MNZ). In addition, MNZ is contracted (by MFAT) to provide country-specific funding support e.g. to Tuvalu in relation to the *MV Manu Folau*, a 19 year old passenger and cargo ship used for domestic service in Tuvalu.

Total investment to date: Phase 1 (approx. 2012/15) = NZD6 million; Phase 2 (approx. 2015/18) = NZD8 million; Phase 3 (approx. 2018/21) = NZD9.5 million + \$3 million for 2021/22.⁶

Pacific Regional Navigation Initiative (PRNI)

This Activity also had its origins in the above-mentioned incidents, which led to MFAT funding the South-West Pacific Regional Hydrography programme from the beginning of 2012. This sought to improve navigational and maritime safety in the South West Pacific, focusing on the expansion of the cruise ship industry.⁷ Over 60 old paper charts held by LINZ were converted into ENCs, and MFAT provided NZD773,000 of funding.

The PRNI commenced in early 2015, implemented by LINZ. The Pacific Community (SPC) was also contracted in 2015 for two years to support specific activities in relation to data discovery and capacity building. The Activity has been providing updated maritime navigational resources including seafloor mapping and charts, which support safe navigation and economic development opportunities for participating PICTs. New Zealand is the Primary Charting Authority (PCA) for the Cook Islands, Niue, Samoa, Tokelau, and

⁶ This includes Contracts for Service with project managers for the first 2 phases, and Contract with MNZ and GFAs with partner countries.

⁷ An assessment of economic impact of cruise ships to Vanuatu (report referred to in Appendix C), estimated that for every \$1 spent on hydrography that there is a \$91 return in ongoing economic activity. (Note that benefits will vary across the Pacific).

Tonga. The funding allocation and contractual arrangements total NZD7.2 million and the current Activity is scheduled to end in August 2021.

Pacific Inlands Domestic Shipping Safety Programme (PIDSS)

MFAT's support for this programme commenced in 2018, however SPC has been working with regulators and operators in PICTs to improve maritime safety standards and practices through a programme that commenced in 2010. The funding allocation and contractual arrangements between MFAT and SPC total NZD2.25 million and the current support is scheduled to end in mid-2021.

Proposal for the introduction of Maritime Communication Services with the Pacific Islands community

In addition to conducting a review of the three above-mentioned Activities, MFAT also asked the Review team to consider the proposal entitled 'Pacific Maritime Safety: Proposal for the introduction of Maritime Communication services with the Pacific Islands community'.

This proposal offered to upgrade the coverage of VHF radio across PICTs to support safer maritime communications and streamline SAR. The original proposal from 2018 has twice been re-scoped, and it is now proposed that it cover only three PICTs at a cost of approximately NZD20 million. This amount is greater than MFAT's total support for maritime safety, so while this is a useful proposal, funding would need to be sought elsewhere.

5. Key Findings

To achieve the review objectives, the Review focused on five KRQs against the OECD DAC criteria.

5.1 Effectiveness

In this section, we present our findings regarding KRQ one: *To what extent has NZ's development investment within the maritime sector been effective? (e.g., has been of high quality, based on assessment of the three Activities - PMSP3, PRNI, PIDSS).*

The response to this question is informed by the following sub-questions:

- What have been the outcomes achieved with respect to MFAT's strategic goal of safe, reliable transport for the Pacific?
- How coherent and well aligned is the mix of activities within the maritime portfolio to maximise achievement of identified priorities?
- What has been the contribution of MFAT's suite of activities to these outcomes?

All those who were interviewed said there was a high quality of technical assistance, sound advice, and relevant equipment, products and service delivery provided across all three Activities. In-country key informants were full of praise for advice on regulations, training and safety exercises, communications materials on safety, nautical charts, equipment such as grab bags, personal locator beacons (PLBs) and emergency position indicator radio beacons (EPIRBs), and lifejackets, as well as for the new vessels (specifically in Niue and Tokelau).

Activities are contributing to MFAT's goal of safe and reliable transport for the Pacific

There is a lack of monitoring data so it is not possible to fully assess whether effective work at output level has led to the intended outcomes of fewer incidents, reduced risk of loss of life, and reduced marine pollution. Through the review of documents, the Review team was able to assess that the Activities contributed to achievement of MFAT's goals of safe, environmentally-friendly, internationally-compliant maritime transport in the Pacific. The results diagrams and some commentary on each Activity is provided in Appendix A.

MFAT's maritime portfolio is focused on seven countries, which are all at different stages of 'best practice' across the five PMSP outputs, so a cautious approach to determining effectiveness is required. The realm countries have shown enthusiasm for embracing the offerings from LINZ and MNZ⁸. All in-country key informants provided tangible evidence of greater maritime safety awareness through changed behaviour by officials, private sector operators, and citizens. This ranged from adopting regulations and ensuring compliance; using PLBs and EPIRBs; wearing lifejackets; to using a wider lens to see the importance of good survey and charting work for marine protected areas and new port developments; making the linkage between communities having improved water skills; and using knowledge to make decisions and change practices.

⁸ Informant interviews #6, #8 and #10.

Partnership approach

The partnership approach adopted by MNZ signifies a strong and mature relationship.⁹ The realm countries have small populations and are thus highly dependent on specific efforts of a limited number of people. When they change jobs continuity is at risk. However, examples showed that when people do take up new roles, it is usually within the overall maritime sector (for example, moving from a government role to the private sector) and the skills are put to good use with further improvements in good practice rippling out to these other organisations. For example, the close relationship between TransTok and Samoa Shipping Ltd is due to staff movement between the two organisations.

Approach taken by PMSP

The PMSP approach has been to identify needs in consultation with individual participating¹⁰ governments and then to tailor programmes that fit within PMSP output parameters. This has been a key element of the partnership approach taken by MNZ. A second element known as 'wrap around support' (for example, training, maintenance, consumables) has also been key to success, and dedicated individuals within the MNZ team draw on other expertise in MNZ or from external providers (for example the Royal New Zealand Coastguard for small boat safety training, and Izard Weston¹¹ for legislative drafting). This means that investments in maritime safety are not 'one shot' projects but include ongoing technical assistance, training, and maintenance programmes, as well as some monitoring for effectiveness well after initial implementation.

The combination of partnership and wrap-around approaches also lend themselves well to the establishment of partnering relationships with key government and industry people in individual PICTs. The Review team heard evidence of operators noting and appreciating the strengthened role of the regulator. National and regional networks and forums for the provision of ongoing assistance and advice are also important mechanisms for achieving this.

Overcoming barriers to effectiveness through inclusive development

Barriers to effectiveness in some participating countries are multiple and inter-linked. The Review found attitudinal issues, resource constraints (people and funding), connectivity challenges, and a mixed level of appreciation (as in understanding and some resistance to change) of the need for greater maritime safety. These issues were juxtaposed with an overall desire to persevere because change can take time and it can be a case of getting over the inertia to change before actions 'snow-ball' and become the 'new normal'. For example, training the teachers in Niue about water safety led to increased pride in their skills and empowerment to use them in their teaching practice.

Taking a 'one-size-fits-all' approach to investment across participating PICTs is not efficient. Entry points are different and there may be a longer journey to success; this was recognised in the design of the Activities. For example, the provision of the SAR vessel for Niue became a whole-of-island affair, with government officials from police, fire service,

⁹ Pacific Maritime Safety Programme: Strategic context – phase 3, 2018/19–2020/21.

¹⁰ 'Participating' is used to refer to countries that are named as participants in the particular Activity. The approach used is 'partnership' and so the term 'partner country' is also used.

¹¹ <https://www.izardweston.co.nz/>

fisheries etc, as well as community members being trained in the operation and maintenance of the vessel. This training contributed to maritime safety conversations and improved practices such as wearing lifejackets. MNZ followed this up with sub-contracting Swimming New Zealand to run 'water for life' skills training. Feedback from stakeholders impressed the need to be patient and keep trying.

Key informants referred to the greater use of champions of change and showcase successes, i.e. engaging in 'south: south' dialogue (for example, Samoa talking to Tokelau, a practice that could be extended)¹². The demonstration of good examples and improved practice ripple through the Pacific, with change not always taking place in a linear manner or with full development partner awareness and appreciation.¹³

The Review team was often reminded that New Zealand still has maritime incidents (especially with small operators for personal use), and that not using car seatbelts still leads to deaths, despite strong legal compliance requirements and public campaigns over many decades. The *MV Butiraoui* inter-island ferry sinking in January 2018 in Kiribati is a reminder of the importance of persevering with maritime safety.

MFAT's maritime portfolio is broadly aligned with partner country priorities

MFAT's maritime portfolio is well-aligned at a regional and international level with the Framework for Action of Transport Services (SPC, 2011-20) and the Sustainable Development Goals (SDGs), although maritime 'safety' is not a specific indicator. Based on our document review the portfolio is broadly in line with the national development strategies and plans of participating countries. However, these documents do not specify the 'how' of improving maritime safety.

MFAT's efforts to set out a broad suite of offerings, under outputs by each Activity that are interconnected and also stand-alone, is highly commendable. From the outset, MFAT did not specify or require a 'one-size-fits' all' approach; indeed it has given participating countries a range of options and opportunities to engage. Some have embraced this approach more than others, but all in-country informants said they do not have the knowledge or resources to meet their maritime-related international obligations without assistance.

Coherence and alignment within MFAT is not consistent

The three Activities are aligned with MFAT's goal. However, it was not always clear from the document review how each Activity was aligned with the MFAT 4-year plans at the bilateral level. The challenges of alignment and prioritisation between multi-country Activities and bilateral programmes would be resolved through improved oversight and visibility within the organisation. MFAT informants all regard maritime safety work as highly relevant, and that even limited improvement is evidence of some degree of effectiveness. They also spoke of varying degrees of in-country capacity and capability, and of issues of political will and attitudes that impact effectiveness.

¹² Informant interview #10.

¹³ Informant interview #6.

MFAT has missed a crucial opportunity to provide better governance across all the maritime sector Activities. This impacts effectiveness, for example, greater formal recognition that hydrography forms the foundation of maritime safety. This point needs to be better linked to wider maritime safety work, including emphasising the importance to MSI of maintaining and strengthening hydrography work through expanding the risk assessment work or additional survey work. At Activity level the use of steering committees was not consistently applied.

Informants noted that supporting a better regulatory environment, improving awareness, and encouraging the demand for safer and better maritime services are relevant, and it is acknowledged that behaviour change across all sectors that MFAT supports take time. High-profile disasters do not signal a failing of MFAT's investment but they do signal there is an ongoing need to encourage and actively support improved practice.

MFAT support for maritime safety was described by one informant as 'pure gold' for New Zealand's diplomatic policy objectives in the Pacific, well aligned to broader foreign policy outcomes under the 'Pacific Reset'. Numerous examples were provided to the Review team from the success of: community engagement in Niue and the Cook Islands leading to Vaka¹⁴ crew wearing lifejackets, as well as the targeted group of fishers and tourist operators; regulatory support to TransTok contributing to Tokelau's successful operation of three vessels and people actively seeking to work onboard and crew demonstrating compliance (including head counts and being prepared to risk disappointing potential passengers in order to not overload the vessel); and hydrographic considerations now being a required aspect of any new port development in Niue, Samoa, and Tonga.¹⁵

Box 2: Success story: Tokelau is an exemplar for the provision of ferry and interisland services with the formation of a domestic shipping line administered under international standards and provided by the Tokelau Department of Transport, TransTok. In addition to the MFAT bilateral programme-funded *MV Mataliki*, TransTok's fleet includes a landing craft cargo vessel (*MV Kalapanga* constructed in Malaysia) that Tokelau purchased, an inter-island transport vessel, and a school vessel funded under PMSP.

The range of specific interventions has contributed to raising the importance of maritime safety

The Review team heard consistent messages that community engagement is very effective, for example the increase in numbers of people wearing lifejackets and conversations about water/maritime safety issues in Niue in particular. The importance of using local champions, local messages (adapted from New Zealand and elsewhere), finding the right entry points into communities, and the medium of communication were all mentioned. Having outsiders doing this is not as successful. Key in-country informants and implementing partners spoke of the importance of creating the demand for improvements (in this case to maritime safety) but also providing the resources to be able to 'action it'. For example, boat safety courses highlight the need for lifejackets but there needs to be reliable access to a supply.

¹⁴ Outrigger canoe, varying types found across the Pacific.

¹⁵ Informant interviews #8, #13 and #21.

According to MNZ reporting, there has been little progress on legislative and regulatory frameworks in Tuvalu, Tokelau, and Tonga and none in Samoa, but the Cook Islands, Kiribati and Niue are progressing well. The 4th Pacific Regional Energy and Transport Ministers' meeting held in Samoa in September 2019 requested the support of development partners to increase resources for policy, legal advisory, and drafting tasks.

The provision of communications technology (EPIRBs, VHF radios), and other sea survival technologies in 'grab-bags', has been received with mixed success. These interventions are about firstly creating awareness of technologies and practices, generating demand for these, provision of appropriate 'kit' and access to services, training in operation and maintenance, and mentoring for effect and improvement. It needs to be simple and to be sustainable, for example, the provision of lifejackets needs to include the supply chain for repairs and maintenance and (affordable) replacement, locator beacons have finite battery lives, require registration and so on. Yet while regulations and support to the enabling environment is important, regulators, operators and users need to have the wherewithal for compliance. Getting the community behind improving safety and encouraging the demand is important (and not costly) and over time this will increase pressure to require vessels to have safety 'kit'; i.e. it will become the norm.

Effectively addressing domestic ferry and cargo vessel safety, using a two-pronged approach of New Zealand regulator (MNZ) and a regional agency (SPC),¹⁶ shows an understanding of different 'horses for courses'. For example, MNZ is reticent about supporting the regulators in some partner countries where the reality is that raising compliance standards amongst operators is more complex and will be slower; yet it has been successful in supporting regulators in realm countries. Engagement of Pasifika¹⁷ people to work with Pacific operators to facilitate maritime safety improvements represents a realistic operating context. Informants from implementing partners and also in-country spoke to this point; better acknowledgement and strengthening of this two-pronged approach would be valuable.

The provision of assistance to maritime schools and training institutions has had mixed success. It has peripheral relevance to the objectives in MFAT's maritime portfolio of Activities, having a place in education rather than maritime transport portfolios. Significantly, the funding required to properly support and sustain these maritime training schools would exceed that likely to be available through the PMSP. Also, the benefits are largely seen as economic, where seafarer graduates employed internationally have contributed significantly to remittance economies, in the past at least. There can be a positive maritime safety outcome, albeit delayed, if some of those seafarers return home and work in the domestic maritime sector. There are several providers in countries across the Pacific which deliver education and training for young Pacific Islanders as international seafarers. Some have been more successful than others, for example, Kiribati and Samoa (neither funded by PMSP), while others have languished for want of funding and staff

¹⁶ SPC is a member of Council of Regional Organisations of the Pacific (CROP) agency, headquartered in Noumea, with an office in Suva.

¹⁷ Term used here to refer to people from PICTs, whether or not they have migrated to New Zealand.

resourcing. The Kiribati Marine Training Centre has been well-supported by the private sector, the Government of Kiribati and MFAT (outside the PMSP).

In 2020 Samoa merged its two maritime schools¹⁸; the Samoa Shipping Maritime Academy with the School of Maritime at the National University of Samoa, and a grant from China was used to fund the new facility at the Mulinu'u Peninsula. Similar institutions in some other PICTs have not been well-enough funded or managed to be successful and now face significant reestablishment, ongoing operating and capital costs, as well as provision of quality leadership in key positions. Alternative ways for training Pacific Island seafarers in greater numbers, including other MFAT sources of funding such as the Short-term Training Scholarships (STTS) scheme for New Zealand-based training, should be investigated and administered at a bilateral level.

The PMSP's output to strengthen Pacific Island country capabilities in SAR and MARPOL response sits well with MNZ's mandate to deliver these services in New Zealand. MNZ bears regional responsibility for these services in the Pacific under international convention (SAR) and membership of the Secretariat of the Pacific Regional Environment Programme (SPREP)¹⁹ for marine pollution. The PMSP has served as a vehicle for New Zealand to deliver against these obligations where MNZ has been able to deliver assistance for the development of national plans and the conduct of bilateral exercises. The success of this has been significantly dependant on the establishment of networks and partnerships amongst officials so that in the event of a requirement for regional response, key operators and the resources at their disposal are known to each other.

The need for modern, reliable, up to date nautical charts was generally recognised by informants as a fundamental requirement for maritime safety. MFAT's hydrographic intervention under PRNI had a fairly sequential provision and focused on the five countries for which LINZ is the PCA. This commenced with data discovery (searching for existing information across whole Pacific), preparing bilateral arrangements²⁰ with four of the NZ5 (excluding Tokelau), conducting a hydrographic risk assessment and targeted mitigation measures (survey and charting). Capacity building and training across the wider Pacific continued in parallel with the specific country efforts. The work was well aligned with international requirements, not just for turning paper charts to ENC's (SOLAS requirement) but also for improving the overall quality of charts as many of the charts were based on information dating back decades and sometimes centuries. Informants also made mention of appreciating LINZ's efforts to explain the impacts of hydrography on village in-shore and foreshore environments as part of community engagement work.

Initially the PRNI Activity had a 5th Output around building partnerships (largely to be MFAT implemented) but this was dropped in 2017. From the outset of the PRNI there was a lack of higher-level engagement at both the domestic and international levels. This included Ministers and senior officials not setting the scene for the provision of strong governance, through to a lack of organisational support and not having implementing partners participate in steering committees. Had this been in place it would have allowed

¹⁸ <https://www.samoobserver.ws/category/article/66406>.

¹⁹ <https://www.sprep.org/>.

²⁰ These arrangements are not time-bound and will remain in place once PRNI has ended.

better implementing partner alignment, engagement, and overall coordination. At the international level, a lack of engagement about the Activity at the strategic (Minister to Minister) level effectively left it to the LINZ implementation team to make contact with the senior officials and/or Ministers in the partner countries (with some support from MFAT at Post) to explain the Activity and gain local support. Despite these deficiencies the strong commitment of the LINZ PRNI team was successful in delivering the PRNI and enhancing the understanding and governance of hydrography in the partner countries.

5.2 Relevancy

In this section, we present our findings regarding KRQ two: *How relevant was NZ's maritime aid programme to the needs of partner governments in the Pacific? How well does it align with partner country's strategic plan for the sector?*

The response to this question is informed by the following sub-question:

- How well do the objectives, design and mix of investments across the maritime portfolio respond to, and continue to remain relevant to the strategic objectives and vision of the NZ Aid Programme; Partner Governments' needs, policies and priorities and development outcomes that are equitable, inclusive and meets MFAT's commitment to SDG aspirations to 'leave no one behind'?

The maritime sector is the foundation of Pacific transport, and plays a key role in ensuring connectivity, enabling trade (domestic, import, and export of goods), facilitating the tourism industry, and enabling the delivery of social services including education and health, and external development assistance (including in times of an adverse event). The sea is the means of transport for many children to get to school, and for families to access health services, employment opportunities, and to stay connected. Air transport, where possible in the island countries, is expensive, characterised by small aircraft and low volume cargo. For example, Tuvalu only has an airport in Funafuti, and the Tokelau atolls are totally reliant on sea transport. Yet many PICTs face political and economic pressures from operating old and poorly maintained vessels which pose risks to lives, livelihoods, and the environment. Given these factors, support to the maritime sector is considered a highly relevant component of the New Zealand Aid programme.

Maritime transport is thus crucial for ensuring quality of life, and economic growth and prosperity. But it must be safe. Maritime incidents are under-reported, especially if only a few people are involved, and boats are found without loss of life. Major events involving loss of life and environmental damage make headlines²¹ and have political, social, and economic impacts. MFAT's involvement in the sector is thus viewed positively and has

²¹ <https://www.rnz.co.nz/international/pacific-news/400530/litany-of-failures-led-to-kiribati-ferry-tragedy-inquiry-report>;
https://dailypost.vu/news/ship-grounding-highlights-threat-to-marine-environment/article_97f40d08-e40c-11e9-9e46-1b6b309963a3.html;
<https://www.rnz.co.nz/international/pacific-news/185876/new-zealand-marine-pollution-experts-sent-to-samoa-after-ship-grounding>;
<https://www.rnz.co.nz/international/programmes/datelinepacific/audio/2018690876/solomons-oil-spill-inevitable-given-broken-system-academic>.

enhanced New Zealand's diplomatic standing because it is 'not just 'talking' about change, it's very hands-on'.²²

Design and mix of investments were relevant to MFAT's overarching strategic priorities

The Review found all stakeholders considered the MFAT maritime initiatives very relevant, and the multi-pronged approach was appreciated, i.e., range of Activities and their country-specific implementation. An MFAT strategy for the maritime sector would contribute to improved line of sight of the investments across MFAT's business units.

MFAT's strategic direction for 2015-2019 (in the early days of these Activities) states that the purpose of New Zealand's aid is to develop shared prosperity and stability in our region and beyond, drawing on the best of New Zealand's knowledge and skills. MFAT's support for the maritime sector is highly relevant to this, as transport, including maritime, is critical for Pacific countries and the Activities have drawn on New Zealand's skills, knowledge, and leadership, as well as supporting a regional CROP agency that it is a member of.

In terms of MFAT's bilateral country programme strategies the maritime sector is not a stated priority in strategies and/or country programmes; maritime safety and transport was only mentioned as country investment priorities for 2015/16 to 2018/19 in Tonga, Tokelau, and Tuvalu. Only Tokelau's bilateral programme allocated funding for maritime safety-related activities (for example, the new ferry and the ship-to-shore initiative). Of note, Tonga's bilateral programme fisheries support includes work on maritime safety for fishing vessels, which SPC is assisting to implement. This demonstrates a lack of consistency across programmes and strategies and provides an opportunity for improvement.

Maritime work is covered positively in Tonga's country programme evaluation (2016). It was not mentioned in Vanuatu's country programme evaluation (2017), although Tourism is and the hydrographic work in 2013-14 was crucial to tourism. It is not mentioned in Tuvalu's country programme evaluation (2017) but has become a priority more recently, and it is not mentioned in Fiji's (2018) evaluation. Country programme strategies in Cook Islands, Niue, and Samoa have mentioned transport and tourism, but 'maritime safety' not specifically articulated. While Tokelau's bilateral programme allocated MFAT funding to investment in maritime transport and the new *MV Mataliki* was launched in 2015, MFAT's maritime investment was not covered in the 2015 country programme evaluation. Despite very limited PMSP engagement with Samoa, their officials consider it highly relevant to promote maritime safety as there are increasing numbers of foreign vessels entering their Exclusive Economic Zone (EEZ) as well as an increase in small fishing vessels for commercial use that require monitoring and regulatory compliance.

There appears to be a lack of recognition in bilateral country programmes of maritime safety and its important role²³, despite huge investments in tourism, vessels, and other forms of transport infrastructure and aviation. Maritime transport is an enabler for tourism, trade, access to markets, education, health, and other social and economic services. MFAT

²² Informant interviews #6.

²³ Implementing partners do not engage with MFAT officials on bilateral desks, yet are known to have offered briefings. Informants referred to in-country awareness and support.

staff have commented in previous evaluations on the use of MFAT regional/sectoral programmes to fill needs not being met through the bilateral programme. It is not apparent why maritime does not appear to have the profile that air and land transport have, especially in countries with a developed tourism industry and local population highly reliant on maritime transport for their livelihoods. This disconnect could be addressed if there was an overall MFAT/New Zealand Inc²⁴ strategy to support transportation and safety in the Pacific. MFAT could operate in the enabling space of regulations, capacity building, and community engagement, and liaise with other partners that mainly focus on infrastructure or resourcing of vessels to make them more compliant and safer. MFAT could work on better coordination and partnerships across the sector, i.e., the strategy could clarify what MFAT will support and where there are gaps that need to be filled. This would avoid duplication of effort and identify opportunities to improve institutional knowledge and enable resources to be more efficiently used and learnings shared.

MFAT's maritime portfolio is highly relevant to wider international, regional and participating country national plans

In terms of regional plans, the above mentioned SPC Framework for Action on Transport Services 2011-20 provides some strategic guidance. This is a response to PIF leaders' calls for "improved coordination and delivery of safe, secure and competitive regional transport services" set out in the 2004 Apia declaration entitled 'Forum Principles on Regional Transport Services'. SPC's response of an activity to support domestic shipping safety has not been adequately funded, indeed New Zealand only funded half of what was requested²⁵; this contributes to the ambition in the declaration not being fully recognised.

The above-mentioned 4th Pacific Regional Energy and Transport Ministers' meeting specifically requested development partners to support the development and adoption of a good maritime governance framework for maritime administrations of PICTs. The meeting supported more integrated approaches to accessibility, safety, and energy/fuel efficiency; and that they should come as a package. SPC has signalled the need for an integrated approach involving several donors providing funded streams that are less projectised and time bound.

The National development plans and strategies for each participating country mention the maritime sector, for example *Te Kaveinga Niu* National Sustainable Development Plan, 2016-20, page 30 states that "Transport is a crucial issue in our remote and widely dispersed island nation. There is a need for frequent and reliable linkages between islands. This is central to the concept of nationhood and impacts the livelihoods of our people". However, maritime safety is often lost in wider discussion of transport connectivity and infrastructure plans and priorities.

In terms of the SDGs, SDG 11.2 for transport states that: "By 2030, provide access to safe, affordable, accessible and sustainable transport systems for all, improving road safety, notably by expanding public transport, with special attention to the needs of those in vulnerable situations, women, children, persons with disabilities and older persons". It

²⁴ New Zealand Inc. includes other Government departments and agencies, crown-owned entities, crown research institutes, businesses, NGOs and organisations interested in furthering New Zealand's interests and responsibilities.

²⁵ Initial proposals were amended and MFAT funding did not commence until 2018.

does not single out maritime transport, but it does clearly state the need to focus on the more vulnerable. MFAT's support has endeavoured to provide some targeted support for children, such as water for life skills for teachers and school children in Niue, and planned for the Cook Islands, and the provision of a vessel that gets children to school in Tokelau.²⁶ In the future there is opportunity for social inclusion whereby community engagement programmes have greater focus on women, elderly, disabled people, and so on. SDG 14: Life Below Water includes marine pollution so work on MARPOL is highly relevant.

The important role of hydrography is well understood at a strategic level

Investment in hydrography, implemented by New Zealand's PCA, was necessary for upgrading the underlying maritime infrastructure in recognition that good charts are at the foundation of maritime safety. Recognising that the potential demand for hydrographic survey work was enormous, LINZ correctly worked on a standardised risk assessment model to identify the most crucial work and provide best return on investment. While there are differing views on aspects of the methodology, it is broadly regarded as valid and was not the subject of detailed analysis by the Review.

LINZ noted that the NZ5 have different needs and ongoing responsibilities in terms of charting and operational requirements (such as MSI and capacity building) that require greater engagement and buy-in. Samoa has recently joined the IHO, using their own funds, and created a national hydrographic committee. This shows an ongoing regulatory commitment to hydrography and means they now have access to IHO Capacity building training. Samoa has been proactive in providing maritime safety information to LINZ to issue Notices to Mariners or sharing with RCCNZ for promulgation under NAVAREA XIV.²⁷ Samoa has also stated their awareness about the need for hydrographic surveying and new nautical charts with regard to upcoming redevelopment plans for the main international port area, and that this will be communicated to the Port Authority.

The Cook Islands has appointed a hydrographer and established a national hydrographic committee. Tonga has had the most direct hydrographic survey investment and is a member of the IHO, and Niue's understanding of the importance of charting the Beveridge reef area in terms of work for the marine protected area, are excellent examples of partner countries understanding and embracing the MFAT-funded hydrography investment.

Further social inclusion work is required

The fatality count of many passenger vessel disasters is disproportionately women and children, indeed of the 54 survivors aboard the *Princess Ashika* all were male, and some 74 women and children died, along with 13 men.²⁸ When artisanal fishers are lost at sea it is the wives and children who then bear the economic consequences of the loss of a breadwinner, noting that most Pacific countries have a more traditional demarcation of gender roles and employment. Maritime losses disrupt families, with a ripple effect of grief and socio-economic impacts on the next generation.

²⁶ <https://www.rnz.co.nz/international/pacific-news/411661/nz-govt-announces-new-boat-for-tokelauan-school-children>.

²⁷ <https://services.maritimenz.govt.nz/navigational-warnings/>.

²⁸ <https://www.theaustralian.com.au/news/death-toll-in-sinking-of-princess-ashika-reaches-87/news-story/1d6eb88a00d0128c428e8e3ec0cde1c7>.

It is not clear that implementing partners have used a risk-assessment/vulnerability lens to determine interventions, but the Review team suggests that this could be further pursued in the future. Focusing community engagement work on the next generation can be expected to improve the equitable inclusion of stakeholders and ensure that best practice development principle of 'leave no-one behind' is met.

Box 3: Success story: Samoa and Tonga are now (self-funded) full members of the IHO and the South-West Pacific Hydrographic Commission and along with the Cook Islands have functioning hydrographic committees. (Vanuatu is also an IHO member and is included because of previously MFAT-funded LINZ support). The Cook Islands, Kiribati, and Niue are now associate members of the South-West Pacific Hydrographic Commission. Their representatives are eligible to attend South-West Pacific Hydrographic Commission meetings and capacity building training (Phase 1 - re maritime safety and hydrographic governance). Approximately 60 ENC's (19 brand new) and 30 (12 brand new) paper charts (including those with new information from survey work, have been published and are in the process of being branded for each country. Final chart-issuing work for Samoa is scheduled to take place. The NZ5 are now compliant with international obligations for provision of electronic nautical charts and improved accuracy. Countries are also using the LiDAR data and improved charting for a wider range of purposes, such as the management of marine protected areas, port developments, and oceanic strategies.

5.3 Efficiency of delivery model

In this section, we present our findings regarding KRQ three: *To what extent was MFAT's delivery model suitable for its maritime programme?*

The response to this question is informed by the following sub-questions:

- To what extent has the maritime portfolio:
 - Utilised the most effective and efficient modalities to achieve desired results in a timely way?
 - Successfully engaged with and influenced Partners on key issues? How well are the relationships working?
 - Effectively prioritised and balanced investments to achieved desired results?
- What has constrained or enhanced the maritime portfolio's ability to deliver the desired results and how can these be addressed or strengthened for the future?

MFAT's maritime portfolio has been delivered by implementation partners using different models: a Grant Funding Arrangement (GFA) to SPC to fund part of a wider programme (PIDSS); an MOU with LINZ to deliver specified outputs with a minimal management fee; and an MOU with crown-owned entity MNZ (governed by a board appointed by the Minister of Transport) to establish a dedicated team to deliver outputs that have a wide ranging scope, where the management cost is fully funded. A full value for money study and comparison is not in the scope of this Review, but the following comments are offered.

PMSP phase 1 and initially phase 2 were managed by MFAT using contracted project managers. Phase 1 covered three countries and the output workplans were fully implemented by two project managers, drawing on input from MNZ. A new project

manager was appointed in 2015 for Phase 2, but this arrangement did not get sufficient traction and MFAT approached MNZ to become the implementing agency. GFA, based on costed workplans submitted to MFAT, are signed with participating countries.

Phase 3 has continued to be implemented by MNZ, with a component of Output 4 (on domestic ferry safety) passed over to SPC to implement under the GFA for PIDSS. Establishing a dedicated team within MNZ is a more costly model, with MFAT making payments for staff resources and management overheads regardless of delivery against outputs or workplans. Much of the specialised work is outsourced to other technical experts, for example, legislative writing to Izard Weston, Water for Life skills training to Swimming New Zealand, in-country SAR training by Coastguard New Zealand, VHF installation by Infratel and so on. Recent progress has been hampered by COVID-19's travel restrictions, but there have also been some notable successes, such as the Royal New Zealand Coastguard doing remote training and supporting trainers in the Cook Islands on small boat safety. MNZ has been able to leverage the momentum of activities that were in train before COVID-19 travel restrictions, but the longer the travel restrictions are in place the greater the challenges for programme delivery. Box 6 on page 43 describes the valuable assistance provided to the Tuvalu bilateral programme for the *MV Manu Folau*.

In 2018 MFAT agreed to fund approximately half of what SPC requested in term of the PIDSS, leaving the Activity insufficiently resourced for a large number of participating countries (several of which are outside those that MFAT's maritime portfolio is focused on, for example, PIDSS has done a lot of work in RMI). SPC reports on the programme as a whole with more limited information by country and output, making it harder to determine efficiency of the model and overall impact.

At the outset of PRNI, MFAT prepared an MOU with LINZ and a GFA with SPC. SPC was contracted in the first two years of the Activity to support outputs pertaining to data discovery and capacity building in conjunction with LINZ, that included the wider Pacific (i.e., not just the NZ5). There is insufficient information available to be able to comment on the effectiveness of this approach or value for money. SPC has a hydrographic capability that could be utilised, and key informants from countries interviewed outside the NZ5 were not specifically aware of the hydrographic work supported by SPC, despite the work of their GeoScience Division.²⁹

As per the MOU requirements, LINZ has provided very clear information in annual progress reporting on the use of funds across each output, with an annual management fee of NZD28,446. LINZ has not appointed additional staff, and current hydrography staff undertake the work on top of their New Zealand-centric work, with the costs of finance, procurement, and administration largely absorbed by the agency. This is good value for money from MFAT's perspective but has created stresses within LINZ and would not be sustainable in the long term. As with the PMSP there is a need to strengthen governance, ideally through an annual (or similar) meeting linked to an overarching maritime strategy.

²⁹ https://www.surveyspatialnz.org/Attachment?Action=Download&Attachment_id=5117.

In summary, the different delivery models each have strengths and weaknesses, and the Review team's view is that heightened awareness of and working to the strengths and mitigating the weaknesses of, said approaches is most appropriate. Delivery models do not need to be consistent across the portfolio per se, but they need to be resourced in line with the business requirements of the implementing partner.

The maritime portfolio used a range of delivery models effectively, but efficiency and sustainability could be improved

LINZ worked successfully with the delivery model provided by MFAT and sought no change since the start of PRNI in early 2015. However, as mentioned above the lack of dedicated project management and limited buy-in from senior executive levels has created stresses within LINZ and would not be sustainable in the longer term. PRNI did experience strong support from within their Business Group, Location Information (2nd tier management within LINZ). While the implementation team would have welcomed greater senior-level support and buy-in across the whole of the organisation and found the internal disconnect frustrating, key staff found ways to implement output tasks around their New Zealand-based work because PRNI was for a fixed period. While this was a more affordable option for MFAT, it is not sustainable for future hydrographic work.

To formalise the PCA relationship and enable countries to demonstrate to the IMO that they are able to meet international obligations under the SOLAS Convention, LINZ sought bilateral arrangements with participating countries. These were successfully negotiated with the Cook Islands, Niue, Samoa, and Tonga (exact dates can be found in LINZ's progress reports).

LINZ worked steadily through a progression of data discovery, risk assessment, capacity building, survey, and charting work, with clear reporting and meeting of targets against agreed output indicators. SPC was involved in PRNI's data discovery and capacity building that included the wider Pacific, but it is less clear from the reporting what SPC was able to achieve and/or what was actually done, for example how much information was held and whether the portal has been kept up to date.³⁰ The reporting from LINZ indicates an expectation of better input and/or coordination (led by MFAT) with the New Zealand Defence Force (NZDF) in relation to the survey work; however, this was limited to Tokelau and is another example of where having an MFAT-led strategy for the maritime sector and high-level governance would have been helpful.

LINZ met output targets and short-term outcomes. LINZ also reported on meeting medium-term objectives but is not resourced to gather data for long-term outcomes. At the time of the Activity design, long-term outcomes were acknowledged to be somewhat aspirational and implementing partners were not really expected to be able to measure their contribution. The successful confirmation of arrangements for the PRNI recipients to collect and report MSI to LINZ will at least allow the new charts and ENCs delivered under the Activity to be maintained in a safe condition.

³⁰ There are more opportunities to share information for seabed mapping, but exploring this is outside the scope of this Review <https://seabed2030.org/>.

Enhanced national responsibility for hydrography is an important consideration. The efforts of LINZ and participating countries to become full members of the IHO (relevant to Samoa and Tonga, not the realm countries) means they can access IHO capacity building funding which should help to maintain current levels or improve their levels of hydrographic knowledge. The rebranding of PICT charts with each country's prefix and unique numbering raises the national awareness for each Pacific Island country of their responsibility for ownership of nautical charts. It also makes it easier for users to identify the charts they need (previously the charts were prefixed with "NZ").

MNZ used a different delivery model to implement PMSP and established a dedicated PMSP team. MNZ requires staff costs to be recovered irrespective of amount of work being done, including during the COVID-19 pandemic. The size of team is not fully commensurate with PMSP's funding level. It was out of scope for the Review team to examine details of country workplan achievements. While the MNZ Board is supportive of the PMSP, the project management overhead ensured a dedicated team was properly resourced. In contrast, LINZ did not have a dedicated PRNI team, LINZ's hydrographers undertook the work with support from existing finance, procurement, and other colleagues in addition to the normal duties. In-country informants spoke positively about having a key person at MNZ loosely assigned to them. Where the person was a good fit (i.e., applied the appropriated approach within the cultural context, along with relevant technical skills), there was strong praise from partner countries.

MNZ's scope of work under the outputs of PMSP is broad, and the Review found that MNZ has responded well to the priorities of partner countries, i.e., it has not taken a 'one-size-fits-all' approach and this has been appreciated by these countries. For example, work in Tokelau with TransTok was well regarded and was seen as a 'game-changer' in terms of the way government regulators and operators usually work. This needed to be prioritised with the arrival of the *MV Mataliki* and then the *Te Kaniva*. The *Taupulenga* (atoll village councils) in Tokelau play a role in maritime safety, including what is effectively the granting of operating licences for fishermen based on their knowledge and experience, and deciding when boats can leave shore. The community engagement work under Output 1 of PMSP offered by MNZ was slower to be initiated. Consultation work in December 2019 was well received but has stalled due to the impact of COVID-19 on travel restrictions, and the procuring and delivery of 'kit', which requires face-to-face training before being handed over. Similar community engagement work in Niue and the Cook Islands has been equally successful, having been adapted for specific needs by building on existing community organisations and associations. These examples indicate that finding the right point of entry is key and the Review team considers that MNZ has for the most part done this very well.

To progress the implementation of output activities agreed with partner countries based on a work planning process, GFA were prepared and subsequently managed by MNZ.

SPC has a different model for the implementation of its programme, and it is not sufficiently resourced to provide the appropriate-level expertise. Therefore, it is not possible to make comparisons with MNZ which has a larger dedicated team. SPC has an integrated model of assistance to PICT maritime sectors which includes port security, vessel emission controls, and navigational safety. It follows that PMSP partnership and

support to the PIDSS programme alone does not sit well with the SPC approach. SPC is engaged with 13 PICTs while MNZ engages with 7. SPC also has a significant doctrinal difference in approach to vessel safety, preferring the Safe Ship Management regime to the more widely accepted hazard and risk-based Safety Management System that MNZ subscribes to. These factors combined to frustrate the relationship between MNZ and SPC in the delivery of the PIDSS programme.

It is also hard to make comparisons as MNZ is covering a wide range of outputs from the regulatory environment to community engagement, and from training to equipment/infrastructure, while SPC's work is focused on improving domestic ferry safety. SPC has only been supported from 2018 and received about half its requested amount to focus on domestic vessel safety (targeted at operators, which in some cases is also the government requiring it to navigate challenging politics) across many participating countries. Its approach focuses on operators rather than on regulators, and it is difficult for MNZ to work with operators who are not operating at the same standards as New Zealand operators. SPC also works within the cultural context of each country and this works very well for Kiribati. SPC uses incentivisation as a project management implementation tool, for example operators are able to acquire kit under the PIDSS if they demonstrate appropriate behaviours.

Relationships generally working well but some room for improvement

With regard to the relationship between MFAT and implementing partners, the Review team found the relationship with LINZ working well, with sound work planning and compliant progress reporting and little 'back and forth'; indeed MFAT 'left them to it'. The relationship with MNZ is fairly strong but falters on unmet expectations, complexity of players, and reporting problems linked to the results framework. Both the relationship and the delivery of PMSP would be helped by more structured steering group meetings as many meetings seem to primarily deal with emergent issues rather than progress against workplan reporting. It is noted that the meeting, and the minutes, from late 2020 are well presented, indicating an improving reporting structure and a stronger relationship. This needs to be consistent and ongoing. MFAT's relationship with SPC needs to be improved to clarify and reach agreement on workplans and reporting expectations. Comments on slower than expected delivery (even pre-COVID) by MNZ (for example Samoa) and SPC were made by key informants.³¹

Elsewhere the Review report has commented on the strength of the positive relationships between implementing partners and partner governments, evidenced by the PMSP's partnership approach model and people being 'named' with praise. GFAs are a sign of well-functioning relationships and are in place for all those PMSP countries where costed work plans have been submitted to MFAT (Kiribati, Niue, and Tokelau); Cook Islands and Tuvalu work plans are with MFAT for approval, and Tonga is on hold.

Poor relationships between implementing partners are not conducive to successful programming; the Review team heard evidence of frustration but also a willingness to

³¹ Informant interviews #2 and #16.

seek improvement.³² Strengthened governance and shared membership on steering committees would assist with clarifying and where necessary separating roles and responsibilities.

Key enhancers for success include strong enduring relationships and clarity of purpose

A number of people-related factors enhanced the ability of the maritime portfolio to deliver the desired results. This includes having the right people involved and actively engaged within implementing partners, in-country stakeholders, sub-contractors, and so on; specifically, the tenacity and commitment of the New Zealand implementing partners was greatly appreciated. The national and senior hydrographers at LINZ were specifically mentioned by name by all those interviewed from the NZ5.

In addition to the technical competence of people, goodwill and going the 'extra mile' enhanced results and was acknowledged by key informants.³³ Some individuals were singled out with high praise, and while there will be issues of people being a good fit, personalities and cultural issues are always at play.

Informants commented that SPC is spread thinly across too many countries to make impact or to be an agency that can engage sufficiently.³⁴ As previously discussed, SPC primarily focuses at the operator level (as opposed to MNZ which tends to operate at the regulator level) and has different operating tools to MNZ (such as the use of incentives). In addition, it is underfunded and has priorities in the maritime sector that do not fully align with MFAT's. Nevertheless, while there is recognised value in being involved with a regional organisation, the relationship with SPC needs to be redesigned. This could include finding a mechanism whereby MNZ broadens its involvement with SPC to better suit SPC's integrated approach, or a finding an approach that would no longer require MNZ to work with SPC's PIDSS programme.

Success is enhanced when there is good permission space from all parties, i.e., aligned with participating country plans and priorities, and contracts in place to implement against well-designed workplans. The role of New Zealand High Commissions (known as 'Post') was commented on by implementing partners³⁵; where Post was 'on-board' and were engaged and proactive, their help with introductions, key messaging, and facilitating and managing relationships was invaluable.³⁶ The Review team recognises staff resourcing constraints, and issues pertaining to the tension between managing multi-country and bilateral programmes.

The quality of communications and connectivity systems and approaches is variable across the Pacific. Those countries and individuals with good access to IT, and who are more familiar with remote working and communicating remotely to seek advice and review documents, have been more successful in enhancing results. A positive outcome of the COVID-19 pandemic is the rapid growth and acceptance of video conferencing and its

³² Informant interviews #1, #2 and #14.

³³ Informant interviews #6, #8, #10 and #17.

³⁴ Informant interviews #9 and #12.

³⁵ Informant interviews #1, #2 and #14.

³⁶ In addition Post staff were very helpful linking the Review team with the key stakeholders.

effective utilisation for discussions, introductions, training, and support. There are cultural and language barriers with some countries, but persevering and working at a slower pace for in-country stakeholders has been important. For example, the Review team heard evidence of Post working closely with the regulator and operator in Tuvalu and Kiribati.

Delivery was enhanced where participating countries had country-specific strategies, GFAs, other agreements or well-prepared workplans. For example, the implementation of securing a new vessel for Tokelau took a good consultative approach and had strong buy-in from the Tokelauan government and community, including those living in Christchurch where the vessel was built. The 'Water for Life' skills programme in Niue, implemented by Swimming New Zealand through a sub-contract to MNZ, engaged with Niue's Ministry of Education as well as with the community and children. By training teachers and providing relevant resources, there was evidence of strong uptake. Indeed, after just three visits to Niue, the model is deemed so effective that it will soon be rolled out to the Cook Islands. Linked to having well-defined strategies and plans is evidence of a clear need, for example countries with a cruise-ship-based tourism industry need ENCs to comply with SOLAS. Countries with scheduled IMO audits are keen to be compliant as no country wants to receive a critical audit.

Key constrainters include weak governance and the impact of COVID-19

Several factors constrained the ability of the maritime portfolio to better deliver on expected results. These include the lack of an overarching MFAT-led strategy for maritime safety and prioritisation for maritime safety. Locking in a well-consulted strategy would provide visibility of the issue and identify maritime safety as critical to Pacific development.

MFAT's maritime portfolio needs to take a programmatic approach with clear and consistent roles and responsibilities, and governance structures. It is not clear who holds the full picture of the status of Pacific Islands maritime safety because information is dispersed across New Zealand and international agencies. For example, LINZ knows about nautical charts, Rescue Coordination Centre of New Zealand (RCCNZ) presumably collects some data from MSI and logs SAR events, and IMO audits will know about regulatory compliance but releasing information impacts sovereignty issues. A robust and comprehensive governance structure would set the scene, provide oversight, strategic planning, and clear direction, which would lead to decision-making that is based on the agreed allocation of resources. Improving the governance around New Zealand's maritime investment in the Pacific would help with overall performance, stability, and potentially identify and make better use of new opportunities and partners. It would also help address issues that stem from weak and poorly established relationships and be less dependent on specific people. However, if MFAT is committed to improving governance and adopting a more programmatic approach through a strategy, it needs to be resourced and supported to do so. This means senior-level buy-in at both Ministerial and organisation level, and also senior-level buy-in from participating countries; this may need to be spearheaded by MFAT.

COVID-19's travel restrictions since early 2020 have meant no in-country travel and no regional in-person training and meetings. The pandemic has greatly impacted the economies of most participating countries, which means their governments have serious funding constraints and competing priorities. For example, in countries such as the Cook Islands that are heavily dependent on tourism, many of the population are leaving to

pursue work opportunities in New Zealand, and it is unclear if this is temporary or will become more permanent. It is too early to comment on the impact on regulators and operators, but the need for maritime travel to be safe remains constant. On the positive side, travel restrictions have influenced countries to 'get on with it', use advice that can be talked through over video conferencing, adopt measures that are low/no cost, be well-prepared for when travel bubbles are in place, and generally be more self-reliant in making the necessary changes. Clearly this works better in cases where relationships between implementing partners and key people in participating countries are mature and where connectivity is good. The Review heard numerous examples of where this has worked well, including the training work by Royal New Zealand Coastguard, and the technical advice being provided to TransTok.

Changes in personnel, with people moving on, is not always a constraint, as in many cases they move on to other relevant roles within the country or region and take with them the skills and knowledge gained. Therefore, it is important for all implementing partners to take time to develop relationships with a wide range of local champions. All implementing partners spoke of their approach to this, and the goal of 'partnership' is specifically stated as being at the core of PMSP. Travel restrictions that are enduring will negatively impact forming and maintaining relationships and connections, which is not good for long-term sustainability. One way to address capacity and capability gaps in-country or in certain roles, is to encourage 'south:south' dialogue, whereby champions in a role can be encouraged and/or funded to support others, for example, the Samoan Shipping Corporation Ltd has sought advice from TransTok. This could include attendance at workshops (in-person or remotely), through to implementing partners brokering direct engagements to share experiences.

Box 3: Success story: The Royal New Zealand Coastguard was contracted by MNZ to implement coastguard training courses in Niue and the Cook Islands under PMSP. The Coastguard's training work is designed to prevent maritime incidents and also teach operators and fishermen how to survive if and when they do occur, as well as how to undertake search and rescue. Following two successful training programmes in Niue the Coastguard team went the Cook Islands in 2019 to run a Train the Trainer course out of the Cook Islands Tertiary Training Institute (CITTI). The team planned to return to the Cook Islands to observe further training, but COVID-19 travel restrictions meant that options for remote training were needed. In 2020 the Coastguard team worked with the CITTI and opted for a blended model of remote training with support for one of the trainers. This included training for personnel who would provide training for people based in the Northern Cook Islands.

Insufficient funding and its duration (usually three-year allocations based on projects) for the maritime portfolio has been a constraint for planning and implementation. For example, LINZ requires the necessary funding to complete the agreed charting work for Samoa (and one chart in Tonga) and re-branding of charts, and SPC is under-funded against its work programme. MNZ has successfully secured funding against agreed workplans and for management costs. This success may be linked to its corporate approach, and/or because its work has the high-level buy-in of their Board. The limitation of the three-year funding cycle and usual three-four year duration of GFAs and MOUs, means that staff contracted by implementing partners for specific tasks lack job security and may make employment decisions accordingly, leading to a lack of continuity. It takes

time to mobilise, and potentially be ready to scale back depending on decisions regarding extensions or new phases, and this is not an efficient way to operate.

It is unclear how the Pacific Reset fits together for other government agencies or other agencies in the maritime sector. Unless there is a future overarching MFAT maritime strategy and governance mechanism for resolving issues at Ministerial and head of agency (CEO) level, siloed priorities will likely continue.

5.4 Sustainability and Resilience

In this section, we present our findings regarding review question four: *To what extent was MFAT's maritime programme sustainable and resilient to inform the future direction of the programme?*

The response to this question is informed by the following sub-question:

- What evidence exists to demonstrate that the development outcomes achieved by the maritime portfolio and the activities contained within it are or likely to be:
 - Sustainable
 - Resilience i.e. withstand shocks and protects the environment, ecology and resource based
 - Continued beyond the lifetime of the investment?

Sustainability requires a well-planned and resourced exit strategy

In terms of MFAT's investment in hydrography, participating country involvement with the South-West Pacific Hydrographic Commission (SWPHC) supports the sustainability of PRNI through training and capacity building. Hydrographic-related (for example, bathymetric and LiDAR) data has been shared with other PCAs, and in some case have been used for updating the charts that the Australian, Fijian, UK, and USA hydrographic offices are responsible for.³⁷ It is outside the scope of New Zealand's investment to ensure that other PCAs undertake updated charting work. The Review team is aware that the Australian Hydrographic Office now has responsibility for the Solomon Islands, as well as for Papua New Guinea. Survey and charting work in countries that have a large geographic area with a lot of islands is particularly challenging.

Geospatial data can have multiple uses and ideally it should be gathered once and used many times across various programmes for maximum value and impact. The Review learned that the Samoan LiDAR data used for PRNI chart updates was gathered by the Ministry of Natural Resource and Environment for climate change inundation modelling purposes; discovering this data and its collection quality allowed it to be reprocessed at low cost and used for hydrographic purposes. By comparison, in Niue the Beveridge Reef and Niue LiDAR survey commissioned through PRNI was used for updating nautical charts then also utilised by Niue for other purposes, such as marine park management, VHF coverage modelling, and a future port option study.

Nautical charts need to be continually updated as new information comes to hand to remain valid. This is why investment in a functioning maritime safety information (MSI) system as defined in the SOLAS Convention is so important as it provides a structured

³⁷ The Review team followed up ensuring LiDAR inundation mapping data pertaining to Tuvalu had been shared with their PCA, the UK Hydrographic Office.

conduit to collect information to maintain up-to-date charts. Even with structured MSI there is still an ongoing cost for the PCA to maintaining published charts and ENC. Ideally, this cost to update charts should be built into the normal operational budget of the PCA; thus LINZ should be funded through their Vote. Any new charting requirements that arise within the LINZ PCA countries should be funded separately by the infrastructure project (or similar) that creates the demand. Requests from countries where New Zealand is not the PCA should be directed to the appropriate hydrographic authority, for example to Australia for Papua New Guinea and the Solomon Islands, and the United Kingdom for Tuvalu and Vanuatu. Other than the above, it should be noted that the IHO is currently developing a new richer data product standard (S-100) for ENC which will replace the current S-57 data standard.³⁸ It is expected that all ENCs will need to be converted to this new standard within the next decade.

The bilateral arrangements between LINZ and four of the NZ5 provides a mechanism to strengthen relationships, and enables PICTs to tap into LINZ's technical advice which is important for sustainability. Rebranding charts increases ownership, again linked to improved sustainability once PRNI has formally ended.

The provision of equipment and infrastructure under PMSP, from grab-bag contents (including lifejackets) to navigation aids, is not sustainable unless there is systematic changed behaviour to maintain and sustain the investment. This will require a well-planned and resourced exit strategy. Key informants³⁹ spoke of the need to explain technology and provide ongoing education to embed a lasting understanding. Informants reported massive increases in lifejacket use, for example, in Niue from approximately 15 percent of canoe fishers and 40 percent of small boat operators, to now over 75 percent using lifejackets, and there is talk of making wearing lifejackets a legal requirement. The Niue Fishermen's Association has heavily subsidised the cost to their members. Items have also been heavily subsidised in Kiribati; but all equipment has a life expectancy, for example the canisters in lifejackets last between 5 and 10 years, depending on level of use. PICTs with a tourist industry could have the ability to cover safety equipment costs in the pricing of fares; this is not the case right throughout the Pacific. Key informants spoke of using a risk assessment approach to determine where best to focus efforts to improve domestic ferry safety.⁴⁰

PLBs and EPIRPs have finite battery lives and are required to be registered in their country of origin. This is relevant to the realm countries and part of Polynesia, where New Zealand, through MNZ's RCCNZ, has geographical responsibility and is expected to mount and support air-sea rescue operations over water. These are Category Two responses which are nationally coordinated and involve national or international resources. This compares with the Royal New Zealand Coastguard which has a resourcing role for Category One operations which are locally coordinated involving local resources and people who are familiar with an area. The Royal New Zealand Coastguard is a not for profit organisation, reliant on volunteers and fundraising so understandably has constraints. The Royal New Zealand Coastguard has received funding under PMSP to support MNZ's SAR training effort

³⁸ S-57 is the data format currently used for the transfer of digital hydrographic data between national hydrographic offices and for its distribution to manufacturers, mariners and other data users.

³⁹ Informants interviews #7, #8 and #17.

⁴⁰ Informant interviews #9 and #14.

under Output 3 in the Cook Islands and in Niue. This work has been very effective but like all training it needs to be kept up to date and involve new people.

The Review team heard consistent comments that all efforts that create greater demand for maritime safety are good investments whether they involve the government, private sector or communities, though realising and measuring the benefits of investment in a specified timeframe may not be possible. Community engagement initiatives will help with inter-generational change. This is based on similar models and approaches in New Zealand, but informants noted the need to translate to other languages and to trial in varying cultural contexts. Sustainability cannot always be tangibly measured over the lifetime of a particular development assistance intervention; stakeholders noted that systemic change requires ongoing efforts from all those affected by maritime safety, from community through to government Ministers. However, taking a two-pronged approach with government regulators and private sector operators (both commercial and artisanal) supports sustainability; for example, if there are good regulations in place, over time it is more likely they will be enforced.

The Review team considers that the greatest risk to maritime safety and potential loss of life at sea is domestic vessels, and that there are massive challenges around the stock of often old and poorly-maintained vessels run by both government and private sector operators. Many cannot afford compliance costs, be it equipment (for example, lifejackets and locator beacons) or regular scheduled repair and maintenance. This is why it is so important that the current portfolio approach of discrete activities is part of a wider MFAT-led strategy on maritime safety, coordinated with the work of other development partners (for example, World Bank⁴¹, Asian Development Bank and also International Association of Lighthouse Authorities – IALA⁴²) and participating countries themselves, as well as not being 'spread too thin or too wide'.

Resilience

Good nautical charting and training for vessel crew supports the natural environment through a positive impact on overall navigation, which should lead to fewer incidents for passengers and cargo. MARPOL training and response work is thus very important for protecting environment and livelihoods.

Resilience of MFAT's investment in maritime safety is enhanced by a whole of government and programmatic approach in partnership countries. For example stakeholders in Niue spoke about their understanding of the links between up-to-date charts, a sound regulatory environment with compliance measures in place, skills from SAR training, a responsive community eager to learn more about practical maritime safety and make the necessary behaviour changes, and a constructive relationship with New Zealand (in this case MNZ). This approach works best when participating countries themselves are not working in silos and take a whole of 'maritime sector' approach to making improvements.

⁴¹ MNZ has been approached by the World Bank with regards to work in Kiribati.

⁴² IALA is a non-profit, international technical association, established in 1957 to collect and provide nautical expertise and advice.

It may therefore be valuable to consider other initiatives that support sustainability, such as supporting regulators to make budget bids for resourcing, and lawyers to write regulations.

In terms of the participating PICTs, Kiribati, Tonga, Tuvalu, and Vanuatu are amongst the highest disaster prone or climate change impacted countries in the world. This highlights the need for resilience to be factored into maritime sector programming, such as providing storage facilities for spills and waste, recognising that storms damage ports and aids to navigation, and that earthquakes can alter seabeds and require charts to be updated.

Cook Islands' stakeholders were clearly proud of their own response during COVID-19 travel restrictions to a recent oil spill/pipe leak in Avatiu port, drawing on skills learned from MARPOL training provided by MNZ Marine Pollution Response Service staff.

Cook Islands and Samoa both highlighted the creation of National Hydrographic Committees (as recommended by the IHO) to ensure all sectors contribute to hydrographic information and prioritisation for new work.

The Review team heard evidence of sustainability and resilience in terms of depth of partnership between countries and implementing partners, where officials spoke of picking up the phone to discuss a technical issue: there is no price on the value of such relationships. The COVID-19 travel restrictions obviously impacted relationships but where there was already a maturity of dialogue and trust, arguably it enhanced local capacity and capability because they could not rely on something being done for them; they had to adapt and act on advice provided. The Review team observed a sense of pride, followed by a growing confidence to seek and act on further advice and resources.

Beyond lifetime of investment

There are clear successes that can be expected to be sustainable, for example TransTok (Tokelau), Samoa, and Niue examples already discussed, irrespective of funding from MFAT. All informants noted the need to understand that change takes time and to be patient and not give up, with two referring to...*"the seeds of maritime safety may take time to germinate, sprout and bloom"*.⁴³ This would require good long-term planning as part of any exit strategy, for example, fulfilling the wrap around approach adopted by MNZ for PMSP's implementation. Different tools need to be better explored for different audiences, such as carrots for community (reduced risk of losing a loved one) and sticks for operators (enforced fines for non-compliance).

Hydrography will continue to need ongoing MSI and capacity building training courses (which may be provided by IHO, IMO, or IALA under various training assistance initiatives) to ensure that MSI/chart updates are provided. PCAs (including LINZ) will need to commit to maintaining those charts. There is a loss of expertise through changes in roles of personnel, so regular training must be available. There is a limited pool of talent in the Pacific and people move into different roles (some of which are relevant and therefore the knowledge is not lost), but others leave the Pacific taking valued skills with them.

⁴³ Informant interviews #6 and #7.

PICTs and all development agencies need to ensure any proposed port development includes survey and charting work in the design and in implementation costings, and while there has been good groundwork done it needs to be maintained and embedded in changes of practice.

Box 4: Success story: The beacon aids to navigation at Betio, Maiana, and Abiang in Kiribati during PMSP Phase 1 have been highly successful, using existing telecommunications towers to mount beacons. This was inexpensive but well-received and is a strong visual contribution to the Kiribati maritime sector.

Approaches that support work to date could include: a twinning arrangement (or similar) with MNZ and participating government regulators and operators; use of training programmes such as a MFAT Short-term Training Scholarships (training with New Zealand tertiary providers for up to one year); engagement with other development programmes (SWPHC, IALA have been mentioned for hydrography) and use of south:south dialogue; the use of other facilities for mentoring models, such as volunteers from Australian Volunteers International (AVI) and/or Volunteer Services Abroad (VSA) and PACTAM (Pacific Technical Assistance Mechanism).

5.5 Lessons learned

In this section, we present our findings regarding KRQ five: *What are the lessons learned from the examination of the current maritime portfolio at both the strategic and activity level that could usefully?*

The response to this question is informed by the following sub-questions:

- What are the outcomes that the aid programme should be prioritising for investment for the future and why?
- What are the implications of this for MFAT's current suite of activities?
- What should be kept, ceased and/or changed to better respond to the needs of PICs and the sector?
- Should MFAT maintain focus on maritime safety, or should it be considering broader outcomes [relating to environment/climate or maritime security outcomes?]
- Within this, for example, should MFAT retain a focus on such sub-components as the maritime training schools; within environment/climate should the focus be on emissions reductions or other factors?
- Is MFAT targeting the areas of greatest risk and need? Is MFAT weighting its investments in PICs appropriately? Are there any opportunities for expanding the geographic scope of our work to additional PICs, or stepping back from the current engagement with any PICs?
- How can MFAT refine the design and delivery of our activities? Currently activities take a range of approaches to address issues around maritime safety (e.g. community engagement, regulations, education, technology). Which approaches are the most effective? Is there an ideal mix of approaches?
- Does MFAT have the best mix of suppliers to achieve its goals? Should the suppliers and their programmes be co-ordinated and changes made to

governance or other arrangements to ensure effective overall delivery of outcomes?

- What is the correct balance of preventative measures vs efforts to respond to failure in safety (e.g. search and rescue)? Within the areas of safety and search and rescue, what role does or can technological solutions play alongside other interventions, and what would be most effective/appropriate?
- Are there any unmet needs beyond maritime safety that MFAT's current programme structure could usefully incorporate e.g. maritime security at ports, emissions reductions from shipping and investments in more sustainable or renewable shipping?
- How has COVID-19 changed domestic and international shipping in the Pacific? How does it impact the ability to deliver development activities, and how should MFAT factor this into the design of the programme going forward?

Outcomes may not be achieved within a project cycle

The Review team cautions against linking investment solely to the long-term outcome of 'reduced risk of loss of life at sea', as there are many factors at play that cannot easily be influenced. The Kiribati ferry sank in January 2018, but it could be argued that there would be more such tragedies without MFAT's investment. The Activities are arguably 'reducing the risk' but there will still be maritime incidents in the Pacific, just as there are in New Zealand. Informants reminded the Review team of this, and sought ongoing support and encouragement.

Strategies can have a longer horizon than a particular funding cycle and signalling longer-term investment in the maritime sector is helpful for implementing partners, especially if they need to recruit and mobilise dedicated resources. The Review team heard MNZ and SPC speak of the challenges of managing short-term contracts for personnel. Noting previous comments on the importance of building relationships during initial inception stages, having staff on multi-year contracts and longer planning horizons for Activities supports efficiency.

Maritime safety is never an absolute; there will always be combinations or permutations of circumstances and events in maritime transport which will combine to bring about (at best) a near miss, or at worst a catastrophe. Contemporary doctrine is to aim to reduce risk to a specific activity to as low as reasonably practicable (ALARP). This starts with the identification of hazards and risks associated with the activity to inform a risk assessment, followed by the development and implementation of risk controls.

In terms of reducing risk and the scale of potential loss of life, domestic ferries that are poorly regulated, maintained, crewed, and equipped continue to pose risk. This was consistently stated by informants. Focusing on training for regulatory staff and vessel crews, and taking people on a journey and making improvements 'walking alongside' is recommended for further effort. The quality of maritime resources and administration varies greatly across the range of participating countries, so considering the best approaches, and combination of approaches, is important, for example, a combination of New Zealand's skilled technical regulator and better and more targeted resourcing for SPC. Investing in upgrading and modernising the portfolio of maritime charts and ENCs across the region is almost complete but there must be an ongoing (low level) commitment to

maintaining these products and it makes sense in terms of protecting the investment made to date. Investing in charting work for countries where New Zealand is not the PCA is hard to justify but LINZ should be encouraged to support the SWPHC efforts in Pacific capacity building, and Posts can continue messaging on the importance of hydrography in terms of Post development work. Noting the importance of nautical charting to underpin maritime safety and that many non-PCA PICTs have a large oceanic territory with many islands and large populations, Pacific-wide maritime safety does require greater investment in maritime charting. However, this is an issue for wider international aid agencies to consider, without New Zealand's ODA funding being.

MFAT's current suite of activities should be informed by a more thorough risk assessment

The main implication for MFAT's maritime portfolio is not to be overly aspirational and to understand that progress that requires behaviour change takes time.⁴⁴ Based on comments consistently made by informants, MFAT needs to 'stay the course', confident of a reduced risk of maritime accident, disaster, or catastrophe. However, MFAT should elevate understanding of the critical importance of maritime safety internally across the organisation, or at least appreciation of the sector as warranting engagement and funding. This could be supported by greater alignment of bilateral strategic planning with transport portfolio plans.

The Review team noted that PRNI followed a risk assessment process which enabled careful targeting of limited resources for maximum benefit; a similar undertaking should be applied to future phases of PMSP. This is not intended to contradict support for a multi-pronged approach, rather to suggest that future investment should combine this with a risk profile to prioritise the application of scarce resources.

An MFAT-led strategy for the maritime sector needs to provide an improved governance structure

The Review team found that effective governance of the portfolio was somewhat mixed. All implementing partners interviewed spoke of the need to improve governance, with comments about the need to better understand all the 'pieces of the puzzle' and the inter-connections between specific Activities. A well-defined strategy with clear goals, roles, and responsibilities, would improve governance and provide a foundation for stability and accountability for all stakeholders. Improved governance processes such as effective monitoring, measurement, and reporting would help MFAT hold implementing partners to account, support decision making, and support inclusive development through early and ongoing engagement with in-country stakeholders. The three Activities in MFAT's portfolio are related to maritime safety, and a strategy and governance structure for the maritime sector would enable implementing partners to see their role as part of a broader programme.

Retain focus on maritime 'safety' with a small expansion into security

The maritime sector underpins Pacific transport connectivity. Where there are limited funds safety aspects need to be the priority. Community well-being and connectedness, as well

⁴⁴ Indeed maritime deaths in New Zealand are predominantly linked to poor safety behaviours.

as ensuring remote island communities are provided with goods and services, especially where there is no air service available, should remain as the key focus.

While there are other funding streams for maritime security, a small expansion to include port safety/security work and assistance with PICT compliance with the International Ship and Port Facility Security (ISPS) code⁴⁵ could be considered. Certainly, there should be improved coordination and understanding around the connectedness of maritime security efforts. Hence the Review supports an overarching MFAT strategic approach and better linking up of regional and national plans with MFAT bilateral and multi-country programmes.

MFAT's investment in maritime training schools is not good value for money for PMSP

While relevant PICTs did raise issues around getting support for their maritime training schools, it is important to note that some either receive MFAT bilateral support (e.g. Kiribati MTC) and others have government and industry support (e.g. Samoa) so do not need support under PMSP. The funding required to properly support and sustain some regional maritime training schools would exceed that likely to be available through the PMSP and the benefits are mainly economic rather than maritime safety. There has been experience of 'boom-bust' cycles (e.g. Tonga) or insufficient commitment (e.g. Tuvalu). Options for a regional response to the provision of maritime safety and / or seafarer training for international and domestic roles, and possibly using New Zealand training opportunities, could be further explored. Again the above-mentioned point about an overarching strategic approach and better linking up of regional and national plans with MFAT bilateral and multi-country programmes is needed.

Other international players have responsibility for environment/climate change issues, but MNZ should continue to provide targeted technical assistance

Tackling energy efficiency and other environmental issues are driven by the IMO⁴⁶, but implementation and compliance can be costly. The Energy Efficiency Design Index (EEDI) for new ships aims at promoting the use of more energy efficient and less polluting equipment and engines. The EEDI requires a minimum energy efficiency level per capacity miles (tonne mile) for different ship type and size segments. Since 1 January 2013 new ship designs need to meet the reference level for the ship type that is incrementally increased; where the EEDI stimulates continuous innovation and technical development of all components to influence the fuel efficiency of a ship from its design phase.

MFAT does not generally fund new domestic vessels but MNZ may reasonably be requested by PICTs to provide technical advice on this topic. Reliable, fuel efficient engines are always a factor in any acquisition. In addition; consideration must also be given to their ability to burn low sulphur content fuels or, if they can't, then introducing 'scrubber' systems to take

⁴⁵ The International Ship and Port Facility Security (ISPS) Code is an amendment to the Safety of Life at Sea (SOLAS) Convention (1974/1988) on Maritime security including minimum security arrangements for ships, ports and government agencies.

⁴⁶ <https://www.imo.org/en/OurWork/Environment/Pages/Technical-and-Operational-Measures.aspx>.

out the sulphur entering the atmosphere. This is an element of SPC's technical assistance to the PICT maritime sector.

Supporting the IMO marine environmental work⁴⁷ is important, as it will reduce the risk of and improve response to oil and other marine-related spills, as demonstrated recently in the Cook Islands. Other support for MARPOL such as MARPOL Annex VI – Prevention of Air Pollution from Ships⁴⁸ needs to be tailored for those countries which have signed up to and ratified those conventions and codes. Again, it is the role of MNZ to provide advice in New Zealand, so expanding this to requests from PICTs is reasonably within the scope of MNZ, provided it is resourced accordingly. As MNZ has the lead in New Zealand for MARPOL and fuel efficiency initiatives, it could reasonably be expected to provide advice under PMSP, however costly interventions to address new initiatives would be out of scope. Key informants noted that the Pacific is part of a global community and therefore PICTs need to be well-prepared, and involvement in oil spill management training exercises is important.

Geographic outreach is linked to the level of funding available

MFAT does not have clearly stated geographic (country) priorities for its maritime investment. PCA responsibilities for the NZ5 provides direction for hydrographic priorities. PICTs participation had its origin in maritime vessel incidents (Kiribati and Tonga), and New Zealand has constitutional responsibilities for the three realm countries which led to prioritising PICTs under PMSP phases. Although PMSP included engagement with Samoa this has lagged, and work with regard to the *MV Manu Folau* (outside the scope of PMSP) has been the main focus for Tuvalu. Some support to the wider Pacific has been provided through SPC. For PRNI and PMSP, MFAT has used New Zealand-based-agencies, normally focused on New Zealand and its EEZ, who are willing to be funded to work further afield. However, there are limits to the geographic reach that such organisations can be expected to cover, including the required expertise and experience, as well as the funding available.

The Review team recognises the importance and ongoing priority that should be given to realm countries, despite comparatively smaller populations and generally lower risk, for example, a high baseline of engagement, compliance and awareness of issues. Informants also commented that being so small they are often overlooked by regional agencies and other development partners. One added that if you can '*nail it in smaller countries, then it can grow, but process needs constant and careful nurturing*'.⁴⁹

Samoa and Tonga have traditionally been priorities and Tonga has been involved from Phase 1 of PMSP. New Zealand has close social and economic ties with these countries and their populations, and both have demonstrating benefits from PRNI and to a more limited extent with PMSP and have engaged with the review. Targeted support should continue (details elsewhere) based on MNZ's ramping up engagement with Samoa (came into Phase 2 but little evidence of engagement by MNZ to date) and being available to support Tonga

⁴⁷ <https://www.imo.org/en/OurWork/Environment/Pages/Default.aspx>.

⁴⁸ MARPOL Annex VI, first adopted in 1997, limits the main air pollutants contained in ships exhaust gas, including sulphur oxides (SO_x) and nitrous oxides (NO_x), and prohibits deliberate emissions of ozone depleting substances (ODS).

⁴⁹ Informant interview #6.

(declined engagement since Phase 1). Informant consultations⁵⁰ with Samoa and Tonga provided details of the assistance they would appreciate.

Kiribati and Tuvalu were not participating countries for PRNI, but are getting support from SPC through the PIDSS, as well as PMSP and the Tuvalu bilateral programme. Kiribati was also part of PMSP Phase 1 and has been able to access benefits (for example, VHF telecommunications tower, SAR vessel, and community awareness support). However, the level of investment is not well demonstrated from sustained behaviour change and given events such as the January 2018 *MV Butiraoi* ferry disaster, the safety of domestic ferry vessels remains of concern. It would likely be worse without New Zealand support through PMSP and indeed key informants were very appreciative on New Zealand's efforts (through both PIDSS and PMSP).⁵¹

Fiji, Solomon Islands, and Vanuatu have large populations and many populated islands over a wider EEZ area; thus people and local economies have a high reliance on maritime transport. However, these countries have their own resources, (especially Fiji) and/or other development partners (Asian Development Bank (ADB) to the Solomon Islands and Vanuatu) who provide support in the domestic shipping sector. Australia is now the PCA for the Solomon Islands and the UK has retained this responsibility for Vanuatu. These countries have prioritised making requests for support from New Zealand, and maritime sector support is not included in bilateral programme 4-year plans. With limited funding, it is unlikely that MFAT could have any significant impact in these PICTs and it would stretch the reach and resources of MNZ.⁵² Ongoing support for SPC's PIDSS means support to a wider range and number of PICTs, which is covered in the Review's recommendations. If a specific request were made to MFAT from a country, the bilateral programme could consider using already established partners and mechanisms, for example Tuvalu's current engagement with MNZ.

So while there might be greatest risk and need in Melanesia, maintaining New Zealand's priority on current geographic reach is considered commensurate with resources potentially available and the ability to have positive impacts.

Using multi-pronged approaches has provided insights into what works best

Adopting a range of approaches mitigates risk of some being more successful than others, but it is important to be agile and respond positively to successes so as not to dilute impact, and to allow success to build on success. Balancing the creation of 'demand' for maritime safety and not supporting 'supply' may be counterproductive; for example, if community education leads to increased knowledge of importance of lifejackets and PLBs but operators can't afford them and/or there is no supply chain then this is potentially irresponsible. Finding a balance is the challenge, and needs to be based on robust consultation and evidence.

⁵⁰ Informant interviews #13 and #22.

⁵¹ Informant interviews #12 and #26.

⁵² Note that if funded accordingly MNZ has indicated that it could provide assistance beyond the current seven participating countries but that the threshold of the existing team would be stretched for anything apart of short-term specific assistance.

Balancing the use of New Zealand's regulator and also SPC (which works better in certain contexts with operators 'on a journey'), suggests that different approaches for different PICTs is wise. MNZ's focus on realm countries provides an exemplar for other countries who could then provide the permission space for regulatory initiatives to gain traction.

With regard to working with operators, SPC needs to be better resourced to provide support to their wider membership.

Using a range of suppliers has been effective and could be expanded

The Review team notes that implementing partners have engaged with a range of primarily New Zealand-based expertise to deliver discrete tasks, for example installing the VHF network, training operators in boat safety skills, publishing nautical charts, undertaking surveys, and conducting in-country community engagement tasks. Based on informant interviews⁵³ this has been well-managed and reduces MFAT contract management responsibilities. Implementing partners have demonstrated being able to tap into their networks to support the implementation of activities and this approach could be expanded. However, implementing partners need to be able to monitor the actions and performance of suppliers to be able to include monitoring information in progress reporting to MFAT. There is a role for MFAT to provide guidance and tools, such as simple surveys and data sheets, to support robust monitoring and active management.

There are unmet needs but funding is limited and needs to be focused

If resourcing were no object, many PICTs would benefit from new domestic cargo and passenger vessels, and slipways. These would be useful for improving safety but also for reducing pollution and the environmental harm of wreckage, refuelling, oil/chemical spills and contamination, and journeys to countries in the region with slipways (for example, Fiji, French Polynesia, and New Zealand). The Review team notes that there is other ODA funding available for support to port security, customs and biosecurity, and that realistically any broader scope is outside New Zealand ODA funding ability. However, an MFAT-led strategy for the maritime sector should include all matters relevant to the maritime sector so that their interconnectivity is understood and advocated for, even if not financially resourced.

The COVID-19 pandemic provided opportunities for innovation

Implementation of the PIDSS and the PMSP programme has slowed since early 2020 but there have been some innovative strategies put in place, and MNZ has been able to take on the major project to bring a Tuvalu ferry (*MV Manu Folau*) to New Zealand for urgently required docking and defect maintenance.

Travel restrictions mean that people stay in-country and are not away at regional meetings and training. A surprising amount can be achieved through Zoom (and similar platforms) but this is made easier if relationships have already been established, and initial training or equipment provided. Face-to-face conversations and relationships are very important in the Pacific. It is assumed that during calendar year 2021, that travel within the region will be increasingly possible.

⁵³ Informant interviews #18 and #23.

The economic impact and fiscal pressures of COVID-19 mean PICTs have less funding available to allocate to maritime safety measures, and private sector operators (especially those involved in tourism industry) are also negatively impacted; these challenges are expected to continue for some time. The Review team noted that the Cook Islands is endeavouring to use the time as an opportunity to make improvements in maritime safety to be ready for the return of tourists once travel restrictions are lifted.

Box 5: Success story: *MV Manu Folau* is a passenger vessel built in Japan in 2002. This 19-year-old vessel is one of Tuvalu's two domestic ferries and is in need of maintenance and repairs. Slippage in Fiji was effectively not possible due to the travel restrictions and so the vessel has been prepared for towage to New Zealand for the required work. MNZ has been contracted by the MFAT Tuvalu bilateral programme to provide technical support to enable the vessel to travel to New Zealand and to arrange for the necessary work. This is a good example for MNZ being able to step up and provide the technical assistance required.

6. Conclusions

The Review team assessed each Activity against OECD DAC Activity-level evaluation criteria, and concluded they achieved the following rating:

DAC Criteria	Portfolio-level	PMSP	PRNI	PIDSS
Relevance	Very good	Very good	Very good	Good
Coherence	Adequate	Good	Good	Good
Impact	Good	Good	Very good	Adequate
Effectiveness	Good	Good	Very good	Adequate
Efficiency	Good	Good	Very good	Adequate
Sustainability	Adequate	Good	Good	Adequate

Table 1: Summary of DAC evaluation criteria at portfolio and Activity level

Based on the Review findings, we can conclude the following at the Portfolio level:

New Zealand's support for the maritime sector is well received but future support needs to be underpinned by an MFAT-led strategy with longer planning horizons and indicative funding allocations for maritime activities in the Pacific. This more programmatic approach, with a focus on maritime safety, would need to be supported by improved governance oversight and mechanisms to measure and report on impact.

The poor standard of domestic ferry and cargo vessels still poses a big risk to loss of life at sea and environmental damage. However, some PICTs with the greatest risk may not always be the readiest for change. MFAT has an important role to engage with its Pacific partner countries about how to address the social, economic, and political barriers to operating newer and better-maintained vessels.

Overall, the maritime portfolio has delivered expected outputs and contributed to desirable outcomes. Assessing impact and social inclusion have been somewhat limited because the Review team was unable to undertake fieldwork, and also because of limited data gathering for monitoring purposes during the implementation of the Activities.

Different levels of engagement by Posts and bilateral desks impacts implementation. Maritime is a key enabler of connectivity and socio-economic development for PICTs and should be included in bilateral programming, noting that funding of specific interventions may come from other sources, for example multi-country sectoral projects.

Based on the Review findings, we conclude the following at the Activity level:

Activity management needs to be strengthened, through the use of well-focused steering committees, with the appropriate membership and well-circulated notes and action-originated minutes. Activity monitoring needs to be strengthened by embedding results frameworks into implementation and gathering data to make informed decisions. This may mean support to develop tools and training in their use.

Where there is more than one implementing partner per Activity, MFAT should ensure that implementing partners are sufficiently briefed otherwise coordination can be problematic. Roles and responsibilities need to be clear and well-understood. SPC, MNZ and LINZ have different priorities and processes that are not easily combined. For future programming it may be preferable for MFAT to contract one implementing partner per Activity.

Multi-pronged entry points of interventions support sustainability. MFAT's adoption of a one-size-does-not-fit-all approach with targeted interventions that are well-owned by participating countries is highly appropriate. Behaviour change must involve awareness of what is available, training in it, access to it, and seeing the value of making change. Imposing change externally, or providing equipment without an ongoing supply chain, is not conducive to sustained change.

Policy for SAR and MARPOL needs to include which government agency is the lead for these responses, with responsibility for the development of national plans and the provision of resources for the services. Where the circumstances of a response are beyond the capability of the national plans and resources, there needs to be understanding where a regional response might be required with assistance from countries such as New Zealand and Australia. For this reason, there must be close working relationships between New Zealand agencies (MNZ's RCCNZ and Marine Pollution Response Service) and their Pacific Island country counterparts. These relationships are fostered in a programme of assistance with national plans and a regular 'exercise' programme.

LINZ's Standardised Risk Assessment Approach is seen to be valid and generally successful, using some modifications as required for local circumstances. LINZ (and others) should continue to use this approach as nautical chart updates have been very successful and well received.

Consideration should be given to using a risk assessment approach to MFAT's overall investment in maritime safety. An assessment tool could be utilised to determine where to focus resources to address risks.

The impact of the COVID-19 pandemic has provided opportunities as well as challenges, pointing to the need to be flexible and apply different approaches. There is value in using a variety of connectivity tools, but this only works when good relationships are in place. Travel restrictions have undoubtedly had an impact, but good work has and will continue to occur as all parties were found to have positive attitudes. The pandemic has far-reaching major social and economic consequences and PICTs will face fiscal pressures, so this is not a time to reduce support for maritime safety. This is important in terms of commitments to 'leave no-one behind', as women, the elderly, children, and people with disabilities are disproportionately impacted. Addressing this has not been an explicit part of MFAT's maritime programme to date.

The Review team acknowledges that the new proposal for the introduction of Maritime Communication services within the Pacific Islands community has technical and other merits, and is potentially of interest and value to PICTs. However, it does not provide enough merit to draw maritime sector ODA funding away from future PMSP and PIDSS-type activities.

7. Recommendations

The Review team outlines recommendations for future investment at a portfolio and by Activity.

1. Prepares and promulgates a long-term strategy for the maritime sector (within the Transport sector) that includes agreement on an intervention logic (Theory of Change) which all maritime investment 'falls under', underpinned by improved governance
2. Continues to provide ODA funding for the maritime sector beyond MFAT's triennium cycle, guided by the long-term strategy to lock in successes and deepen interventions with continued effort in current countries before expanding geographic reach
3. Continues to ensure that its maritime initiatives align with work in the Pacific undertaken by regional agencies and other development partners, e.g. ADB and World Bank, through dialogue and funding contributions
4. Maintains a multi-pronged approach and suite of initiatives, customised to the needs of participating countries, and involves said partner countries in decision making complemented by a risk-based approach (especially for domestic vessel safety)
5. Ensures implementing partners undertake monitoring against Results indicators to track progress and then use the monitoring data to make informed investment decisions. This would also include reviewing the results frameworks of each Activity to ensure the data gathered can report on the effects the activities are having on beneficiaries, and can be measured against the national development plan indicators and progress in meeting SDG indicators⁵⁴
6. Communicates achievements more effectively including within MFAT, to the Minister, and to partner countries to improve visibility and to raise the profile of the maritime sector.

Based on the evidence available, at Activity level the Review team recommends that MFAT:

PRNI

1. Secures funding for the remaining charts for Samoa and one for Tonga (Ha'apai Group) and for the rebranding work
2. Recognises the importance of LINZ maintaining charts developed under PRNI, and supports LINZ to leverage any ongoing hydrography capacity building for the NZ5, including through the SWPHC
3. Notes that new initiatives which collect hydrographic information will lead to the need for new nautical charting to be funded
4. Ensures any MFAT investment for new ports/harbours, or similar developments, considers and addresses hydrographic requirements
5. Supports any approaches that lead to legislative change recognising LINZ's responsibilities as the PCA for the NZ5.

PMSP

1. Designs an adequately funded Phase 4 that targets its focus more clearly and is underpinned by a stronger MERL Framework

⁵⁴ Note that MFAT may need to provide support in developing tools and providing training in their use.

2. Recognises that MFAT has a long-term commitment to improving maritime safety in the Pacific and that an exit strategy is premature
3. Continues a strong focus on community engagement, regulatory frameworks and SAR/MARPOL aimed at preventing/minimising maritime incidents, with the weighting of effort determined in conjunction with partner governments
4. Reviews delivery of 'kit' based on sustainability, including development of supply chains and defining an end-state for 'wrap around' support
5. Separates 'domestic shipping safety' and 'infrastructure' in Output 3 into two separate outputs and implementing agencies (support to the regulator to sit with MNZ and support to operators to sit with PIDSS)
6. Discontinues support to maritime training institutes
7. Hastens engagement with Samoa country assessment
8. Remains focused on current countries and scope before considering expansion (unless a geographic expansion is justified on a risk-assessment basis and can be adequately resourced).

PIDSS

1. Continues a funding contribution to SPC's broader maritime safety efforts
2. Supports SPC to work in PICTs that MFAT, through New Zealand-based partners, cannot realistically reach
3. Supports any proposal to use a risk assessment approach to determine where best to focus efforts to improve domestic ferry safety in the context of the PIDSS programme, including consideration of appropriate risk controls for domestic ferry safety
4. Identifies ways to better manage aspects of the SPC and MNZ's relationship.

APPENDICES

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Appendix A: Activity level Results diagrams

Results Diagram for PRNI

Goal of the Activity: Safe, reliable maritime transport services in the Pacific that connect people to markets and services.

Long-term outcome(s)
(wider external influences and actors)

Economic development is supported through the maritime transport of people and goods.

Safer Pacific maritime transport that supports the well-being of all people and protects the environment.

Medium-term outcomes
(increasing PIC responsibility)

Improved navigation is enabled by accurate and adequate Pacific nautical charts.

PICs have improved hydrographic institutional capacity that contributes to maritime safety.

Short-term outcomes
(PRNI and PIC joint responsibility)

All relevant data is available to improve nautical charts. (Completed and removed from MOU signed in 2019)

PICs provide accurate and timely information to enable safe navigation.

Maritime navigation risk is reduced in prioritised areas.

PICs have improved awareness and understanding of navigational safety and hydrographic compliance obligations.

Outputs
(PRNI responsibility)

Output 1: Pacific-wide data discovery undertaken. (Completed and removed from MOU signed in 2019)

Output 2: Hydrographic risk assessments undertaken. (Sub-region). (Completed and removed from MOU)

Output 3: Pacific-wide capability building provided.

Output 4: Mitigation measures implemented, (including hydrographic surveys and nautical charting). (Sub-region)

Output 5: Pacific-wide partnerships developed. (Removed from MOU signed in 2019)

Note that the remaining 2 outputs were renumbered in the MOU of 2019.

Key Outcomes

Medium-term: See summary table below for evidence of increased capacity building, noting the PICTs that have achieved IHO CB Phase 1 standards re hydrography.

Short term: In 2015 there were 3 MSI events recorded across the NZ5, and by 2020 there were 21, thus evidence of increased MSI reporting (i.e. meeting the indicator target). There has been a 4-fold increase in charts sales (based on paper chart and ENC sales report from Blue Star (supplier of stock to chart retailers).

Outputs 1 and 2: Completed and met targets. LINZ received 14 datasets for the NZ5 (6 were useful for hydrography) and risk assessment in all the NZ5. By the end of the Activity there will be an estimated 24 terabytes of data available. SPC established a portal and provide data to other PCAs.

Output 3: Bilateral arrangements in place between LINZ and the NZ5 (so a total of 4, except Tokelau) and see table below for Progress of PICTs with regard to Phase 1 of IHO Capacity Building Strategy (as at mid-2020). SPC undertook capacity building work in Kiribati, Solomon Islands, and Tuvalu.

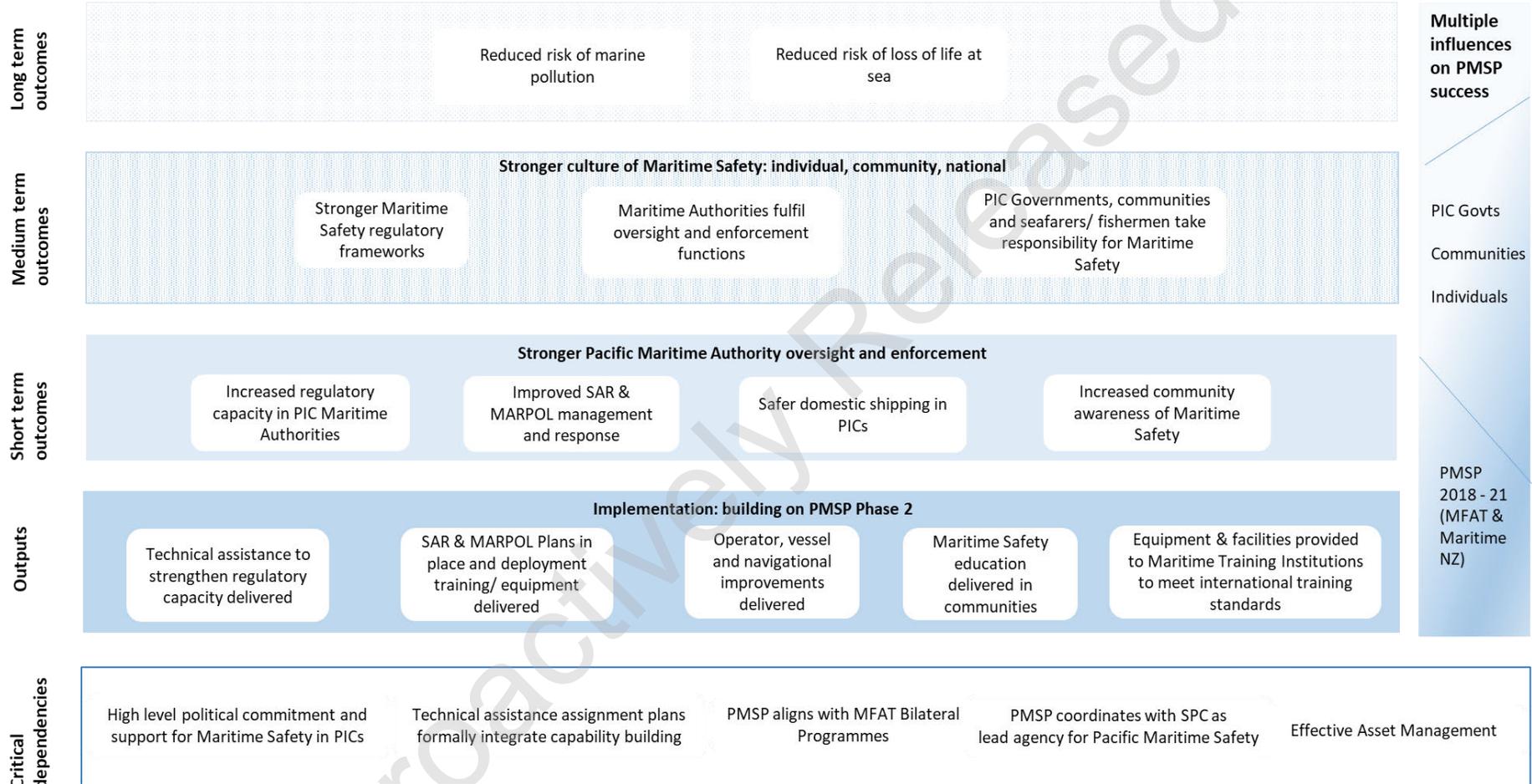
Output 4: Mitigation work - the survey work was completed in the NZ5 in May 2020, and by the end of the Activity a total of 63 ENCs and 30 paper charts have been produced which was well over double the target of 20. Samoa is yet to be completed and there is the proposed rebranding of the nautical charts

• Country	• Year	• SWPHC Status	• IHO Member	• Bilateral arrangement	• Hydrographic Governance	• National MSI Coordinator	• National Hydrographic Committee
• Cook Islands	• 2015	• Associate Member	• No	• No	• No	• No	• No
	• 2020	• Associate Member	• No	• Yes • (2016)	• Established June 2016. • National Hydrographic Office established under	• Appointed 2016. • Incumbent resigned 2018. • New appointment 2019.	• Established September 2016. • Meets as required to address maritime

					ICI; MSI under MoT. Legislation to follow.		issue, at least once/year.
• Niue	• 2015	• Observer	• No	• No	• No	• No	• No
	• 2020	• Associate Member (2016)	• No	• Yes • (2017)	• No • June 2019: Draft Marine Spatial Plan to Cabinet •	• Yes • June 2019: Through PMSP MOI to review Transport Act and consider including section on role & responsibility of National MSI Coordinator.	• No • June 2019: MOI to identify appropriate existing committee and amend TORs to facilitate NHCC.
• Samoa	• 2015	• Observer	• No	• No	• No	• No	• No
	• 2020	• Full Member (2019)	• Yes • (2019)	• Yes • (2018)	• NHCC in the process of their Workplan towards implementing the important provisions of the Shipping Act 1998 in relation to Hydrographic matters.	• A/CEO Ministry of Works, Transport & Infrastructure. Needs to be at operational level.	• Established May 2017, • To meet quarterly.
• Tokelau	• 2015	• Observer	• No	• No	• No	• No	• No
	• 2020	• Observer	• No	• No	• No	• No	• No
• Tonga	• 2015	• Full Member	• Yes	• No	• No	• Yes • Director of MPD	• Yes • (but not active)
	• 2020	• Full Member	• Yes	• Yes • (2019)	• Investigating funds to establish Governance.	• Yes • Marine Officer appointed to role in 2018.	• Yes • (meets when LINZ visits)

Results Diagram for PMSP3 (approved in March 2018)

PMSP Goal: Pacific maritime transport is safe, environmentally-friendly and meets international requirements



Notes

Reporting on PMSP includes progress reports from MNZ, as well on each GFA and partners do not always provide these in a timely or complete manner.

Outcomes: Reporting from MNZ that was made available to the Review team, did not include reporting at Outcome level.

Outputs: MNZ reports to MFAT by country on each output, this was summarised in a table prepared for the December 2020 Steering Committee meeting.

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Overall status dashboard

	Overall Status	Trend	Output 1	Output 2	Output 3	Output 4	Output 5	Comments/Highlights
Cook Islands								Engagement and delivery by Coast Guard New Zealand - positive result Engagement by MPRS; MARPOL equipment provided Continuing audit of small boats plus training Good progress with PIDSS/SPC at operational level with small commercial vessel audit & training Commenced support with legislative review
Kiribati								Continued engagement on Output 1 Continued operational level work with PIDSS/SPC
Niue								Legislative framework in place Niue continue to be the leaders in maritime safety New police chief has expressed concerns about Police's capacity for maritime search and rescue. PMSP has action plan to address this.
Samoa								Planned scoping visit deferred health reasons Engagement by MPRS - Marine Oil Spill Risk Assessment completed Sept 2019
Tokelau								Ongoing success with the ISM System Ongoing success of the Inter-atoll vessel Ongoing joint delivery with UN/FAO with the education and communication programme Tokelau schoolboat launched successfully and well received Legislative review commenced
Tonga								Scoping visit complete, report submitted to MFAT Engagement by RCCNZ Engagement by MPRS - Marine Oil Spill Risk Assessment completed Sept 2019 MARPOL equipment provided
Tuvalu								Domestic ferry safety still identified as high risk However, good progress being made with Manu Folau, and action plan in place for Nivaga III Christmas service
Legend	Exceeding expectations	On track	Further work needed	Not applicable or not started	Improving	Unchanged	No improvement	

Results Diagram for PIDSS

Objectives and Results

<p>Overall objective: To improve maritime safety and pollution prevention measures in Pacific domestic shipping through enactment and enforcement of relevant domestic maritime laws, harmonisation of safety standards and effective safety and pollution prevention management on board domestic ships.</p> <p>Indicator: Evidence of Pacific domestic shipping companies having improved safety and pollution prevention management on board their ships that comply with best standards.</p>		
<p>Programme purpose: The purpose of this programme is to assist Pacific Islands countries to improve the safety standards of domestic shipping through:</p> <ul style="list-style-type: none"> - Enactment and implementation of harmonised domestic safety laws aligned with the Pacific MoU instruments; - Introduction, training and technical assistance to domestic ships operators and crews on Safety Management Systems (SMS) including safe operational plans, policy, procedures and safe practices; - Training and qualification of maritime administration staff to monitor and audit the implementation of SMS and enforcement of relevant safety and pollution prevention regulations; and - Provision of equipment and survey to ensure best safety standards are implemented. 		
Expected Results	Indicators	Target
R1 PICTs have a domestic ship safety regulatory framework up to standards	<ul style="list-style-type: none"> • Number of countries enacting their national laws including SMS regulation and aligned with the Pacific MoU instruments 	By 2021 three countries have national laws aligned with the Pacific MoU instruments and include SMS regulation
R2 Safety is managed in Pacific Domestic Shipping in line with best safety standards	<ul style="list-style-type: none"> • Number of domestic vessels implementing SMS evidenced by successful audits 	By 2021 the number of audits has increased by 10% each year
R3 PICTs have the capacity to inspect/survey, audit and certify the compliance of domestic ships with best safety standards	<ul style="list-style-type: none"> • Number of maritime administration officers qualified and implementing skills to verify compliance with recognised safety standards 	By 2021 at least two officers in three countries (including one women) having adopted national laws or signed the Pacific MoU are qualified as Ship Safety Inspector
R4 Domestic ships are surveyed and adequately equipped and maintained in accordance with best safety standards	<ul style="list-style-type: none"> • Number of ships adequately equipped and required services provided according to recognized standards 	By 2021 equipment or services have been procured on board ships surveyed and where critical needs are identified

Notes

Reporting on PIDSS by SPC uses their terminology with regard to outputs, results, outcomes etc which makes comparison with the other 2 Activities in the portfolio more challenging. PIDSS covers 10 PICTs but the New Zealand funding has a particular (but not sole) focus on Kiribati and is intended to compliment work under the PMSP3.

The report at end of 2020 set out all of the cancelled activities across the PICTs, noting the work is only really continuing in Kiribati, FSM, RMI and Solomon Islands.

Outputs:

1. National laws in place – expect targets (for 3 countries) to be met – as work is in progress for Kiribati, FSM, RMI, with Fiji already done and work supporting Solomon islands and Vanuatu to commence.
2. Audits undertaken – hampered by COVID-19 travel restrictions, but webinar work underway and SOPs being developed – so good process in the Cook Islands, Kiribati, Solomon Islands, Tonga and Vanuatu.
3. Equipment and service procured for surveyed ships – pilot in Kiribati underway

Appendix B: List of reference documents and source materials

General documents	
	Pacific Island Domestic Shipping Safety Programme Review, MNZ, September 2019
	Domestic Passenger Ship Safety in the Pacific, Backgrounder for SPC Transport Officials meeting, MFAT, November 2015
	Transport – Maritime overview, MFAT A3, March 2021
	CONCEPT PAPER Improving Domestic Shipping, SPC, March 2015
	New Zealand Aid Programme, Strategic Plan, 2015-19
	MFAT Strategic Intentions, 2019-2023
	Framework for Action of Transport Services, SPC, 2011-20
	SPC, 4 th Pacific Regional Energy and Transport Ministers' Meeting, Apia, Samoa, September 2019, numerous documents including Resolution of Transport Ministers
	SPC Maritime Programmes Evaluation Report, 2019
	PIF 2050 Strategy for the Blue Pacific Continent
	MFAT, Fiji Country Programme Evaluation, 2018
	MFAT, Tokelau Country Programme Evaluation, 2015
	MFAT, Tonga Country Programme Evaluation, 2016
	MFAT, Tuvalu Country Programme Evaluation, 2017
	MFAT, Vanuatu Country Programme Evaluation, 2017
	IFC, SPC, AusAID Assessment of the Economic Impact of Cruise Ships to Vanuatu Report, August 2014
	RCCNZ data on tasked aircraft for SAR purposes (provided by Tony Parr)
	Kiribati: 20 Year vision 2016-2036
	Kingdom of Tonga: Tonga National Strategic Framework, 2015-2025
	Cook Islands National Strategic Development Plan 2016-20
	Niue National Strategic Plan 2016-26
	Tuvalu National Strategy for Sustainable Development, 2016-20
	Tuvalu National Strategy for Sustainable Development, 2021-30
	Govt of Samoa: Strategy for the Development of Samoa, 2016/17 to 2019/20
	Samoa Ministry of Works, Transport and Infrastructure, Corporate Plan 2019/20-2022/23
Pacific Maritime Safety Programme (PMSP)	
	PMSP2 Maritime safety outputs results diagram
	PMSP Phase Three Final PwC Business Case, MFAT, 14 November 2017
	Pacific Maritime Safety Programme Phase 3 ADD, MFAT, December 2017
	PMSP3 Minutes of Appraisal of ADD, MFAT, 13 December 2017
	PMSP3 Steering Committee, Foundational documents, 12 December 2018
	PMSP2 End of Project Status Report, 18 July 2018
	PMSP3 AMA for 2018/19, MFAT
	PMSP3 Results measurement table, revised, 2 February 2018
	PMSP3 Monitoring and evaluation Workplan, 2 February 2018
	PMSP3 Activity Results Framework, March 2018
	PMSP3 Maritime NZ weekly report, 24 May to 14 June 2018
	PMSP3 Strategic Context, MNZ, 30 July 2019
	PMSP3 extension MCGG minutes, 21 September 2020
	PMSP3 Extension Single Stage Business Case (rewrite) FINAL, July 2018
	PMSP3 Risk Register, October 2020
	PMSP3 Case studies of achievements in each PIC, MNZ

	PMSP3 Activity Progress Report, MNZ, June 2019 - July 2020
	PMSP3 Steering Committee Memo re Financial Position, MNZ, December 2020
	PMSP3 Steering Committee Meeting Minutes, MNZ, 23 September 2020
	PMSP3 supplementary paper re Pacific Domestic shipping, MNZ, 4 December 2020
	PMSP3 supplementary paper re Pacific Domestic shipping additional expenditure, MNZ, 4 December 2020
	PMSP3 Steering Committee Meeting Minutes, MNZ, 7 December 2020
	PMSP3 Programme Status, MNZ, 7 December 2020
	PMSP3 Summary Report, December 2020
	PMSP Steering Committee Pack, February 2020
Pacific Regional Navigation Initiative (PRNI)	
	PRNI outputs Results diagram
	Pacific Regional Navigation Initiative Activity Design Document, MFAT, 2015
	Pacific Regional Navigation Initiative ADD, Results Framework, MFAT, 2015
	Pacific Regional Navigation Initiative signed agreement, MFAT and SPC, 15 June 2015
	SCAN MOU - Pac Energy - Transport-Pacific Regional Navigation Initiative - Land Information NZ - MOU, March 2015
	MFAT - LINZ MoU 2018-2021 signed, March 2019
	PRNI signed agreement between MFAT and SPC, 15 June 2015
	LINZ Bilateral Arrangement Supporting hydrography - Tonga - Signed Jan 2019
	LINZ Bilateral Arrangement Supporting Hydrographic Services - Niue - Signed
	PRNI AMA for 2017/2018, MFAT
	PRNI AMA for 2015/2016, MFAT
	PRNI PAA approval, MFAT, August 2018
	PRNI LINZ revised risk register and results framework, 2018
	PRNI Annual Activity Progress Report, SPC, 2017-2018
	PRNI Costed Workplan Year 6, LINZ, October 2019
	PRNI Activity Completion Report, SPC, 2019
	PRNI Steering Committee Terms of Reference, MFAT, August 2018
	PRNI LINZ Activity Progress Report, 2019-20
Pacific Islands Domestic Shipping Safety Programme (PIDSS)	
	CONCEPT PAPER Improving Domestic Shipping, SPC, March 2015
	PIDSS PROJECT PROPOSAL, SPC, September 2017
	Revised Pacific Island Domestic Ship Safety Partners Proposal, SPC, May 2018
	PIDSS - Summary of SPC Partner's proposal by DM Transport, MFAT, May 2018
	Meeting with Thierry Nervale, SPC re PIDSS proposal, MFAT file note, 15 November 2017
	Pacific Island Domestic Shipping Scheme, Appraisal of SPC proposal, MNZ (not dated)
	PIDSS PROJECT PROPOSAL - Gender issues and Lessons learned, date
	Pacific Island Domestic Ship Safety (PIDSS) - MFAT Appraisal of SPC Partner's proposal, 31 May 2018
	Pacific Island Domestic Ship Safety (PIDSS) - MFAT Appraisal minutes, 6 June 2018
	Pacific Island Domestic Ship Safety (PIDSS) - Activity Design Approval, MFAT, June 2018
	Pacific Island Domestic Ship Safety PAA, MFAT, August 2018
	SPC PMSP PIDSS Approach, Domestic shipping support, 28 November 2019
	PIDSS Steering Committee Meeting draft, 28 November 2019
	Pacific Island Domestic Ship Safety (PIDSS) - AMA, (Year 1), MFAT
	PIDSS Activity Risk Register, MFAT, November 2019
	PIDSS SPENDING OVER THE NEXT 15 MONTHS - Partial Travel, August 2020

	PIDSS Q1 2020 meeting minutes
	PIDSS Maritime Risk Evaluation Matrix,
	PIDSS PROGRESS REPORT 2020_FINAL, 20 November 2020
	PIDSS Business Case, February 2020
Pacific Maritime Safety Proposal: Introduction of Maritime Communication Services	
	Kordia Pacific Maritime Safety Proposal – original, June 2018
	Kordia Pilot Project - Draft Heads of Terms, MFAT, no date
	The Pacific Project, Phase 1 - Introduction of Maritime Communication Services to Cook Islands, Samoa and Tonga, January 2020
	MNZ note re Kordia Pacific Proposal and Costing of Additional Requirements, 17 March 2020

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Appendix C: List of key informants

Names and role titles are provided, engagement through interviews and briefings were conducted in groups ranging between 1 and 5 participants, some informants also provided additional written responses (marked *) and some only provided written responses to questions (marked **)

Ministry of Foreign Affairs and Trade (MFAT)	
Ben McKenzie	Divisional Manager, DST (now known as DEVECO)
Paul Alexander	Unit Manager, DST
David Weinstein	Senior Adviser – Transport, DST
Ajay Ravindran	Policy Officer, DST
Beverley Palliser	Policy Officer, DST
Sarndra Hamilton	Senior Programme Adviser, PACREG
Ross Ardern	Administrator of Tokelau
John Claasen	Former Programme Manager, Kiribati
Sean Buckley	Former Programme Manager, Cook Islands
Measina Meredith	Senior Development Programme Coordinator, Apia
Okesene Moananu	First-Secretary Development, Rarotonga
Curtis Williams	Senior Development Programme Coordinator, Rarotonga
Marni Gilbert	First-Secretary Development, Tarawa
Semilota Finauga	Special Adviser, Tarawa
LaiLai TakFai	Development Officer, Tarawa
Ryan Brown	First-Secretary Development, Nuku'alofa
Kathrine Biggs	Programme Manager, Tonga
Andrea Tora	Development Programme Coordinator, Nuku'alofa
Samantha Morris	Programme Manager, Tuvalu
Nigel Ewels	First-Secretary Development, Niue
Atabi Ewekia	Senior Development Programme Coordinator, Funafuti
Meenakshi Sankar	Senior Adviser Monitoring, Evaluation and Research, DCI
Implementing partner	
s9(2)(a)	s9(2)(a)
s9(2)(a)	s9(s)(a)
s9(2)(a)	s9(2)(a)
Partner country stakeholders, government, private sector and community	
<i>Cooks Islands</i>	
s9(2)(a)	s9(2)(a)
s9(2)(a)	s9(2)(a)
s9(2)(a)	s9(2)(a)

s9(2)(a)	s9(2)(a)
<i>Kiribati</i>	
s9(2)(a)	s9(2)(a)
s9(2)(a)	s9(2)
<i>Niue</i>	
s9(2)(a)	s9(2)(a)
<i>Samoa</i>	
s9(2)(a)	s9(2)(a)
s9(2)(a)	s9(2)
s9(2)(a)	s9(2)(a)
<i>Tokelau</i>	
s9(2)(a)	s9(2)(a)
<i>Tonga</i>	
s9(2)(a)	s9(2)(a)
s9(2)(a)	s9(2)(a)
<i>Tuvalu</i>	
s9(2)(a)	s9(2)(a)
New Zealand-based sub-contractors and other stakeholders	
s9(2)(a)	s9(2)(a)

Appendix D: Review of Maritime Activities Workplan

Summary

Solomon Leonard Ltd (SLL) has been contracted to respond to the Terms of Reference (ToR) set out in a Request for Quotation (RFQ) issued by MFAT on 13 November 2020, relating to the above-mentioned assignment. The Contract for Service (CfS) was signed on 21 December 2020 and the work is to be undertaken in the period late January to June 2021. SLL is providing the services of four people: one of its Directors Kirsty Burnett and 3 sub-contractors of Rod Nairn, Tony Parr and Elisabeth Poppelwell (who together comprise the Team).

The contract has seven deliverables, namely:

1. An Inception Meeting
2. A Review plan (this document) for endorsement by MFAT's Steering Group (triggers a milestone payment)
3. Desk-top review of relevant documents (provided by MFAT)
4. Consultation process, and key stakeholder interviews (NZ and Pacific - remote) (triggers a milestone payment)
5. Workshop to present key findings and analysis (report to MFAT)
6. Draft Review Report (triggers a milestone payment)
7. Final Review Report (based on MFAT feedback) and a Contract Completion Report (triggers a milestone payment)

The successful delivery of this Review requires the active participation of the key MFAT officials (in Wellington and at Post), and other stakeholders.

The Review Plan provides conceptual, methodological and operational guidance for the strategic review of MFAT's maritime sector programme. This document pertains to the Services set out in the CfS, specifically to 'Prepare a Review plan'. Details on the other services and deliverables are set out below, with the Review Plan covering the time period February to June 2021. Early inception tasks started in late December and continued in January 2021. Note that the Scope of Contract Services (1-4) do not perfectly align with the payment schedule - so terminology in the Review Plan timeline may vary. To overcome this, the Review Plan is being framed around:

1. Introduction: development context, purpose, scope and key review questions, and initial tasks
2. Review Design and deliverables: approach and methodology
3. Management of the Review: roles/responsibilities across the Team, quality/ethical considerations (including conflict of interest) and governance
4. Stakeholder Engagement and Communication: list of people, snowballing and process.

1. Introduction

Development Context

The New Zealand Ministry of Foreign Affairs and Trade (MFAT) has supported a range of activities in the Pacific maritime sector as part of its aid and development assistance programme. With shipping and artisan/subsistence fishing being such a key part of Pacific societies, for trade, economic, educational, medical, and cultural purposes, it is not surprising that there is growing interest in supporting Pacific Island Countries (PICs) with safe, reliable shipping.

MFAT's activities in the maritime sector are worth nearly NZD40 million, with interventions primarily targeted at seven PICs. MFAT's strategy in the maritime sector has involved several activities which target improving safety and reducing the risk of accidents. Over the years, a suite of activities, delivered by Maritime New Zealand (MNZ), Land Information New Zealand (LINZ), the Pacific Community (SPC) and other New Zealand and local providers, have been implemented and focused on different aspects of safety, including:

1. working with PIC regulators on legislation, regulatory oversight, and training;
2. working on safe ship management systems and maintenance with vessel owners and operators, including domestic passenger ferries;
3. working with operators of small artisanal fishing and pleasure boats, providing equipment (such as lifejackets and Personal Locator Beacons), skills training (e.g. engine maintenance) and education for operators;
4. working in communities with families and in schools on water safety;
5. improving navigation and charting for safer vessel operations; and
6. working with government agencies on emergency maritime communication systems, search and rescue training (and provision of SAR vessels) and oil spill prevention.

Purpose

It is recognised that to date the balance of investments across these activities has been weighted towards preventative and educational measures. MFAT is now facing a new funding cycle at the end of a triennium (from 1 July 2021) and a year of delivery in 2020 that was greatly disrupted by the COVID-19 pandemic. This presents an opportunity to re-examine and reflect on the current maritime portfolio vis-à-vis MFAT's broader goals and aspirations for the sector. This Review of MFAT's current maritime portfolio is being seen as an opportunity to help set the future direction of the programme.

The Review is not a full Activity Evaluation of all the maritime activities. It is a strategic Review that uses the experiences of learnings of the maritime sector Activities to inform ongoing future investment. Therefore, each of the Activities will not be evaluated in great depth but enough to be able to analyse findings, draw conclusions, and make evidence-based recommendations. The evaluation component is considered sufficient to meet the requirements for evaluation of the PMSP programme, noting it is now in a phase 3.

Scope and Key Review Questions

The Review Team is cognisant that matters that are out of scope may arise but that the Review is to focus on maritime 'safety'. Therefore, issues of maritime security, fishing

monitoring and surveillance, EEZ, Port access/security, policing, border jurisdictions and so on are not within the Review in so far as the evaluation of past activities is concerned. We acknowledge that there may be some instances of overlap between safety and security and MFAT is interested to know the views of stakeholders on the breadth and scope of future maritime work. Therefore, any comments or information gleaned 'in conversation' with key stakeholders relating to maritime security will be provided to MFAT, in an annex (or similar) and this can be discussed with the Evaluation steering committee.

In similar vein, environmental and climate change issues are also out of scope, but again issues, e.g., pollution or oil spills, emissions and fuel efficiency, may arise and the Review Team will consider and integrate emerging issues in their analysis and advise to MFAT. If any other issues arise that would appear to be beyond the scope of the Review, this will be discussed with MFAT.

The Review Team will use the Key Review Questions posed under each of the ToR objective headings to prepare questions/sub-questions for each of the informant interviews. These will need to be adapted to the audience, e.g. implementing partner, MFAT officials, partner government officials, private sector operator, community group or a sub-contractor. Some questions are more relevant to each of the three Activities, others are overarching to the maritime sector.

A table setting out the Review Matrix, with questions, and assessment criteria against the Review objectives was also submitted. The ToR sets out 4 objectives as follows:

- Objective 1: To examine the effectiveness of MFAT's maritime portfolio, for the activities of interest as well as across the entire portfolio (Relevance and Effectiveness)
- Objective 2: To review the suitability of MFAT's approach and ways of working to deliver the programme? (Delivery models)
- Objective 3: To assess the sustainability and resilience of the maritime portfolio to inform future direction (Sustainability and Resilience)
- Objective 4: To inform the future direction of MFAT's maritime investments (Options for the future)

Initial tasks prior to formal inception that have fed into development of the Review Plan

Upon signing the Contract and submission of the Health and Safety (H&S) Plan, individual contracts between SLL and the Team were finalised. MFAT convened a pre-inception meeting on 21 December 2020, attended by David Weinstein, Paul Alexander and Daniel Toga (MFAT), and Kirsty Burnett, Tony Parr and Elisabeth Poppelwell (apology from Rod Nairn). The purpose of the meeting was to build a shared understanding of objectives and expectations. The Team introduced themselves and briefly explained their roles and responsibilities. Kirsty prepared and circulated notes to the team.

David provided a number of documents to Kirsty and she set up a folder in Google Drive and convened a Team meeting on 14 January 2021, and again on 21 January 2021. Kirsty met with the MFAT team (David Weinstein, Ajay Ravindran and Meenakshi Sankar) on 19 January and the Review Team met with MFAT for the formal inception meeting on 27 January 2021, timed to suit some initial reading and planning having taken place.

2. Review Design

2.1 Overall approach

Permission space

In January 2021 MFAT confirmed its communication with relevant stakeholders, e.g., MFAT Wellington, Post, MNZ, LINZ, SPC, and other key suppliers and stakeholders. MFAT shared a copy of the Formal Message (unclassified) and letter of introduction. Establishing clear protocols and lines of communication is very important, e.g., MFAT's use of Formal Messages to inform Posts, as it ensures their 'buy-in' and provides the permission-space for SLL to make contact and ask for assistance to initiate or set-up in-country consultations (such as through emails to partners that the Team can follow up on). It is anticipated that Posts will be able to direct the Team to the most relevant in-country stakeholders, noting from experience that some Posts and their staff tend to want more engagement than others. The Team is well aware that Post staff are busy and that there are some staffing gaps, in part due to the rotation cycle and also leave due to the COVID-19 pandemic.

Pre-Inception meetings

As discussed above a pre-inception meeting took place on 21 December 2021. Kirsty met with MFAT on 19 January and Kirsty and Elisabeth had a further discussion with Meenakshi on 26 January; all in order to ensure that everyone was well-prepared for the inception meeting. Kirsty has recorded notes from each meeting so that the Team can access as it works through the Review.

Inception meeting

The Team attended an inception meeting with MFAT on 27 January 2021, set up through Zoom as well as in person. Kirsty, Tony and Elisabeth attended in person at MFAT, and Rod joined by Zoom. In addition to the thorough briefing, further sharing of documents, responding to questions, there was discussion on:

- the names and contact information of key people - further details in sections below
- the key review questions - again further details in this document.

The Team found the inception stage invaluable as it 'set the scene', confirms what is 'doable' versus 'desirable', and sets out the timelines and communications. This enables the Team to divide up the work accordingly and agree on and confirm the details of the process for the other stages.

Desk-based review

The Team is familiarising itself with the documents provided by MFAT and key stakeholders, drawing on the following (and relevant additional) documents for the main maritime-related Activities:

- Pacific Regional Navigation Initiative (PRNI) Activity Design, reviews of Results Frameworks, steering committee (or similar) minutes, annual Activity Progress Reports and AMAs. This Activity has been implemented by LINZ, with the involvement of SPC on 2 of the Outputs.
- Pacific Maritime Safety Programme (PMSP) 1, 2, and 3 Activity designs, review of Results Frameworks, steering committee (or similar) minutes, business cases,

annual Activity Progress Reports, Completion Reports and AMAs and ACAs. Since PMSP2, this Activity has largely been implemented by MNZ.

- Pacific Island Domestic Shipping Safety Programme (PIDSS) reports, this Activity has been implemented by SPC, and MFAT has provided the original proposal and SPC reporting, along with some documents from MNZ.
- Kordia's proposal and MFAT's initial response.

Having reviewed all the key documents provided, the Team will now consider them in the context of an analytical framework (using Excel spreadsheet). The process to do this will be led by Elisabeth Poppelwell, to ensure good methodology, identify key themes, and to ensure interim findings are grouped in a manner which allows the Team to answer the Questions (or Objectives) set out in the ToR.

Stakeholder consultations

This is further discussed below, but the Team is working closely with MFAT to confirm the list of organisations and people to be interviewed. All informants will be sent an introductory letter of explanation and a consent form to sign and will be advised of the Objectives (4) for the review, the Key Review Questions (KRQ) and the names of the interviewers. The plan is for at least 1 subject matter expert from the Team and Kirsty (as note taker) to do the interviews and log responses into an excel spreadsheet coded by Objective and by KRQ. Wherever possible quotes from informants will be noted and used.

The Team will arrange (Zoom) calls and/or meetings with key stakeholders, and if they are in Wellington will arrange to meet in person. Contact names for stakeholder engagement have been suggested by the Team and/or MFAT, and it is expected there will be additional names through snowballing.

Note that the inability to go in-country to hold effective consultations with regulators, operators, small boat owners, fishers' associations, women's group and similar, present some challenges. It may be possible that relevant information can be gathered through Development Programme Coordinators at Post (noting workload constraints), or in-country consultants. The expenses line in the budget and the contingency could be used to ensure improved engagement and greater input from identified stakeholders; this will be discussed further with MFAT if required.

Note that due to the potential number of people to be interviewed and the time available, the process will need to be flexible, adaptable, rationalised and detailed feedback truncated, especially as key themes emerge. The key focus of these interview meetings is to balance listening to stakeholders to gain an appreciation of the key issues, and also to get answers to a set of key review questions so that the Team can complete the Review assignment. Where additional issues or need for further engagement is apparent the Team will raise this with MFAT, at the Steering Committee and in the Contract Completion Report.

The Team will write up notes, based on a template that Kirsty will provide to the Team. To ensure confidentiality, interview responses will not be shared with MFAT. Where possible, interviews will be undertaken by two team members to ensure stakeholder responses are accurately recorded. The Team will ensure no name attribution as

participants will be clearly advised that their responses can be 'free and frank'. Participation will be voluntary, what they say will remain confidential, and they won't be identified in the body of the report. If a quotation needs to be used an identifying number will be applied and interviewing best practice will be used at all times. A list of participating stakeholders will be added to the report's appendices.

Summary of limitations for the Review

This table sets out the key limitations (in some cases discussed elsewhere) and how the Review Team proposes to mitigate their impact.

Issues	Mitigation
Travel restrictions due to COVID-19	Conduct interviews using Zoom (or similar)
Availabilities - of Team and informants (discussed below in more detail)	Only offer times that Review Team members can meet, give reasonable notice, in some cases offer informants to join a different interview group, offer to provide written questions (if can't make an interview) and consider a secondary list (if essential to go back to).
Conflict of interest (also discussed below in more detail)	The composition of the Review Team will help mitigate possible conflict of interest (see 3.2). Review Team regards the Steering Committee as having an important role to avoid 'bias'.
Limitation of available information/data (internal documents not available to team and/or existing reports have insufficient information)	A mixed method approach using interviews and secondary data sources will be applied to fill any information gaps. Use the workshop to get greater clarity.

2.2 Methodology

Analytical framework

As described above, the Team is aware that the Review needs to answer the key review questions (agreed in this Review Plan) and respond to the agreed scope of this Review. Therefore, a mixed-methods approach is necessary. This allows for a richer and more nuanced understanding than might be achieved through the use of a single method alone. It is clearly understood that the Review needs to have a strategic focus to generate the evidence and provide insights on the four key areas of: relevance and effectiveness of the maritime portfolio in terms of delivering results; strengths and weaknesses of delivery modalities; overall coherence and alignment; and balancing the scope of the maritime development interventions.

As indicated above the Review will thus use a number of tools, including, interviews (either in-person, by telephone, or through alternative media such as Zoom, Skype or Teams), as well as a review of written documents. Interviews will be conducted with relevant individuals and agencies in the Pacific - as per list agreed with MFAT. The Team will continue to work closely with MFAT on identifying other key stakeholders, including at the in-country and community level that may emerge. However, MFAT is keen for the Review

Team to be as self-sufficient as possible, and indeed has selected Solomon Leonard LTD because of the skills set of the Team they presented.

Quantitative and qualitative analysis of key data sources will include Activity Design Documents (ADDs), Results Frameworks, Activity Monitoring Assessments (AMAs), Activity Completion Assessments (ACAs), Business Cases, country programme evaluations, and Activity Progress Reports (APR) from implementing partners will be undertaken, with MFAT making these available to the Team. Where possible other data and information will also be used, although the Team is aware that information is not always readily available in the Pacific. Qualitative information will be gathered and 'triangulated' or validated to ensure overall robustness. Some information is also available on-line and found through web-search or in conjunction with implementation partners.

Further thematic analysis, based on Key Review Questions (the ToR provides a useful guide) and the DAC criteria, will be undertaken with the interview data, relevant documentation and other data to develop key findings. It is understood that MFAT expects the Team to provide reporting that answers the questions of the Review, and has a logical progression from collecting relevant information from key stakeholders, analysing this against agreed criteria or measures of success, and then making observations and recommendations. Additional (or nice to have) information can be provided in Appendices.

Review plan

The Review plan sets the scene and will be an anchor document as the Review progresses. The Review covers 3 Activities as well as a proposal, across 7 primary and 3 additional countries, implemented by 3 implementing partners, plus additional sub-contractors. There is thus potential for diversions, going down rabbit-holes and similar actions which may require effort to bring the Review back onto a more Strategic course. Good communication (discussed under governance sector below) with MFAT is thus key.

Key findings paper and discussion on options and recommendations with MFAT

The key findings and recommendations that emerge from the consultation/interview process will be written up and aligned to the key Review questions and framed around issues relevant to the four objectives and confirmed with MFAT. This will be prepared with a view to facilitate a workshop with MFAT to discuss options and test the validity and robustness of the analysis.

The Team will engage closely with MFAT through said workshop (approx. 17 May 2021) to get a useful steer prior to the preparation of the draft Review Report. The Team is keenly aware that the Review needs to respond to the four objectives set out in the ToR and be clear about 'what we are measuring success against' e.g., the DAC criteria and also the Results Frameworks (or similar) in the Activity Designs.

Draft Report

The Team will prepare a Review Report using a framework that Kirsty has provided in advance and will facilitate the Team, all working remotely, to input in an efficient manner. The draft Review report will include observations, as well as consideration of possible options for further investment and the likely consequences/impact (and recommendations) and also factor in key risks and their mitigations. The Team will

consider all the DAC criteria but with a particular eye on impact and sustainability issues as this pertains to the long-term legacy of the investment.

Having completed numerous MFAT Activity Designs and having undertaken the Better Business Case course, Kirsty is well-placed to ensure that the Review Report also sets out reasoned recommendations based on options, rationale and evidence. All Team members have experience writing for MFAT and other similar audiences.

Final Review Report

The Team will attend (in person or virtually) a debrief meeting (with the Steering Committee) convened by MFAT in Wellington, to answer questions and to receive feedback. Based on collated written feedback from MFAT, the Team will make the required amendments and re-submit the final Review Report. A simple spreadsheet of feedback, comments and actions taken will be completed by Kirsty and also submitted. The Team will ensure that the final Review Report product is 'fit-for-purpose' and meets development best practice.

Completion Report

Kirsty will lead on preparing a Contract Completion Report with input from the Team. This will provide MFAT (as the client) with additional relevant information and accountability for the services provided. Of particular focus will be risks (and their mitigation), wider cross-cutting issues (especially gender, social inclusion, climate change and environmental issues) and other development issues, as well as an acquittal against the budget in the contract. Tony and Rod will draw upon their work experience with the Pacific maritime sector to provide MFAT with additional frank advice.

3. Evaluation Management

3.1 Roles and responsibilities

The Review Team has two subject matter experts, and Tony and Rod's primary task is to lead on the critical thinking on the technical aspects of the Review. Therefore, asking the right Questions (as sub-questions under the Key Review Questions) and being able to analyse responses, and the information from the desk-based document review is crucial from the outset. Constantly asking – what does this really mean, how does this response or information inform the Review's objectives and so on.

The Review Team also has two international development and/or evaluation experts. Elisabeth has undertaken MFAT reviews and evaluations and knows the required scope and standard of methodology. She will lead on how the Review is set up and have regular inputs into how it is conducted and progresses. She will attend inception and steering committee meetings, as required, and some interviews. She will review all deliverables to MFAT, to ensure that they are framed correctly, including that they respond adequately to the Review objectives.

Kirsty has some knowledge of the maritime sector from her role in the design of PRNI and PMSP2 and is well-known to LINZ and has some knowledge of MNZ and SPC. She is also known to the MFAT personnel, which is useful in the setting up of interviews, getting a

level of consistency of approach and detail, and being the key point of contact with MFAT and the steering committee.

Kirsty will lead on drafting/preparing:

- notes from all meetings (MFAT and within the Team), including action points and follow ups
- notes from the interviews with stakeholders (to be checked for accuracy by the subject-matter expert leading the interviews)
- templates for the desk-top review, interviews (based on MFAT's letter of introduction requesting participation), and interview guides with targeted questions)
- analytical framework. As discussed in Section 2.2, the team will conduct thematic analysis of data collected in the field and that collected through document analysis and quantitative sources assessed against the review questions and the DAC criteria
- workshop, in conjunction with the Team, but will present the key findings paper and facilitate who responds best to the specific questions
- an outline for the key findings paper, Report and Contract Completion Report.

She will be responsible for preparing the Review plan and the Contract Completion Report and will have substantive input in the key findings paper and Report. It is important that Kirsty provides a consistent point of contact.

This division of tasks and leadership will ensure that all members of the Team ask similar questions (as appropriate noting different audiences), capture written and oral information in a similar manner, analyse it through the lens of DAC criteria (relevance, efficiency, effectiveness, impact and sustainability), and are able to make clear and useful evidence-based recommendations. This will ensure coherency and consistency, avoid gaps and duplication of effort, and the Review's objectives (1 through 4, with an emphasis on Objective 4's 'options for the future'). Team members will be able to play to their strengths of relevant subject matter expertise.

3.2 Ethical considerations

Conflict of interest (COI)

Kirsty, Rod and Tony have all had some, but differing, involvement in the MFAT-funded maritime activities. For example, Rod was sub-contracted to LINZ re PRNI Output 2's analysis of the risk assessments model, Tony is sub-contracted to MNZ for specific tasks relating to the implementation of PMSP3, and Kirsty undertook Activity Design tasks for MFAT re PRNI and PMPS2 and has assisted LINZ with compliance annual progress reporting to MFAT. These experiences provide the team members with a unique and deep insights into the different activities that comprise the maritime portfolio.

Any the 'real' or perceived COI will be managed as follows:

- acknowledge that Team members are all senior professionals
- ensure that more than one person is doing each interview, with Kirsty taking notes
- peer review each other's work and triangulate findings and recommendations

- use Rod Nairn's skills to sense check both maritime as well as his strengths in hydrographical work
- use Tony Parr's knowledge, including from his naval days to sense check both the hydrographical as well as his more obvious strengths in wider maritime (safety) work
- ensure all recommendations are based on evidence (from documents and interviews)
- ensure that MFAT benefits from the knowledge and connections across the Team - especially in the context of COVID's travel restrictions, there would likely be a poor response to Questions from a Team less familiar to the stakeholders
- be upfront and disclose anything that MFAT should be aware of
- engage in robust, critical discussions with MFAT team to ensure rigour in the analysis
- build and use effective relationships to solicit thoughtful responses to questions.

The Review Team has four people, including an evaluation expert, to ensure quality and independence. This will minimise any personal bias as views will be contested within the Team. The Steering Group will also play an important role in mitigating potential COI.

Availabilities

Team members, MFAT personnel, implementing partners, in-country partners and others are all busy people with a range of responsibilities that include their availability. The Team has made an effort to get 'ahead' in January to mitigate various losses of time that will occur. The Review team is also aware that some countries have 'no-mission' period, that will impact consultation and that we are in the cyclone season. A number of factors may impact availability and where this becomes a matter of concern, either through delays or a sense we are missing out on information, MFAT will be promptly informed.

3.3 Governance

The Review has been commissioned by MFAT and the Review Team is accountable for its performance to MFAT. MFAT will establish a Steering Group to oversee the Review. This Steering Group will ensure that the review is fit-for-purpose and is delivered in line with the agreed plan and the Terms of Reference. Key responsibilities of the Steering Group include:

- approving the Review Plan (this document)
- participate in the analytical workshop to test the analysis
- approving the draft and final review report
- providing feedback and comment on outputs at key stages of the review process

Meenakshi Sankar, Senior Advisor from the Development Capability and Insights Unit (DCI), is the contract manager and will work closely with colleagues in DST and the Steering Group to ensure the Review is supported to deliver a high-quality product.

The Steering Group is:

- Paul Alexander (Chair), Unit Manager, DST
- Meenakshi Sankar, Senior Adviser Monitoring, Evaluation and Research, DCI
- David Weinstein, Senior Adviser, DST
- Ajay Ravindran, Policy Officer, DST
- Matt Broome, Policy Officer, PACMM

An indicative timeline for the Review was also provided.

4. Stakeholder engagement

4.1 Range of stakeholders

The Review team will interview the range of stakeholders from:

- Implementing partners
- Partner government officials
- MFAT Development Managers – thematic and bilateral
- MFAT staff at Post

As described above a proposed list of primary and secondary informants was also provided.

4.2 Snowballing

The Review team is well aware that additional people will emerge and that in many cases they do need to be added and interviewed, but that in some cases there is no 'value-add'. This will be discussed with MFAT's steering committee, and it may be necessary to vary the contract to provide for additional days. This possibility was included in the RFP response submitted by SLL.

4.3 Process

The process that the Review Team will use has been described above, but can be summarised as:

- Agree list of informants with MFAT
- Obtain contact details from MFAT, wherever possible, noting that Post can help in-country people, as can the implementing partners and Tony Parr
- Confirm with Post how best to approach in-country participants
- Email to introduce the Review, including letter prepared and circulated by David Weinstein, and ask for agreement to be interviewed
- Set up date and time, and be clear about participants
- Send and get signed the letter of consent (some key informants may prefer to give verbal consent)
- At least 2 people to conduct interviews, one to ask Questions and the other to write notes (which will be checked by the interviewer later)
- Offer to be available to receive any additional answers or information
- Write 'thank you' emails afterwards.