

Project Evaluation Series

**Mid-term evaluation of the project
“The coastal fisheries initiatives global partnership”
And the project
“Delivering sustainable environmental, social and economic
benefits in West Africa through good governance, correct
incentives and innovation”**

**Project codes: GCP/GLO/838/GFF and GCP/RAF/837/GFF
GEF IDs: 9128 and 9126**

Annex 1. Terms of reference

FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS

Rome, 2021

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Abbreviations and acronyms

BH	Budget holder
CI	Conservation International
CFI	Coastal Fisheries Initiative
EM	Evaluation Manager
ET	Evaluation Team
ETL	Evaluation Team Leader
FAO	Food and Agriculture Organization of the United Nations
FLO	Funding Liaison Officer
FPAT	Fisheries Performance Assessment Tool
GEF	Global Environment Facility
GCU	FAO GEF Coordination Unit
GSC	Global Steering Committee
LTO	Lead technical officer
LTU	Lead technical unit
MTE	Mid-term evaluation
OED	FAO Office of Evaluation
PIU	Project Implementation Unit
PIR	Project Implementation Report
PSC	Project Steering Committee
PTF	Project Task Force
ToC	Theory of Change
ToR	Terms of Reference

1. Background and context of the project

1. These Terms of Reference (ToR) provide a framework for the Mid-term Evaluations (MTEs) of two interconnected projects "The Coastal Fisheries Initiative Global Partnership" (GCP/GLO/838/GFF, the "global project") and "Delivering sustainable environmental, social and economic benefits in West Africa through good governance, correct incentives and innovation" (GCP/RAF837/GFF, the "regional" project). Two separate, but inter-related MTEs will be conducted.
2. In addition to briefly describing the projects, this ToR sets out the purpose and scope of the evaluations, outlines the methodological approach, the relationship between the two evaluations, roles and responsibilities, and proposes a timeline.

Box 1. Summary project information GCP/GLO/838/GFF (global project)

- | | |
|----|---|
| A. | GEF Project ID Number: 9128 |
| B. | Recipient countries: Indonesia, Peru, Ecuador, Cabo Verde, Cote D'Ivoire, Senegal |
| C. | GEF Implementing Agency: FAO |
| D. | Executing Agencies: UNDP, WWF, Conservation International, World Bank |
| E. | Focal Area: International Waters; Biodiversity |
| F. | GEF Strategy/operational program: Program 7 – Foster Sustainable Fisheries |
| G. | Date of CEO endorsement: 20 April 2017 |
| H. | Date of project start: 1 October 2017 |
| I. | Date of project completion (original NTE): 30 September 2021 |
| J. | Revised project implementation end date: 30 June 2022 |
| K. | GEF Grant amount: USD 2,652,294 |

Box 2. Summary project information GCP/RAF/837/GFF (regional project)

- | | |
|----|---|
| A. | GEF Project ID Number: 9126 |
| B. | Recipient countries: Cabo Verde, Cote D'Ivoire, Senegal |
| C. | GEF Implementing Agency: FAO |
| D. | Executing Agencies: Governments of CPV, CIV, SEN, and the Abidjan Convention Secretariat |
| E. | Focal Area: International Waters; Biodiversity |
| F. | GEF Strategy/operational program: IW3-PROGRAM 7: FOSTER SUSTAINABLE FISHERIES, AND BD4-PROGRAM 9: MANAGING THE HUMAN-BIODIVERSITY INTERFACE |
| G. | Date of CEO endorsement: 11 May 2017 |
| H. | Date of project start: 2 October 2017 |
| I. | Date of project completion (original NTE): 30 September 2021 |
| J. | Revised project implementation end date: 10 May 2022 |
| K. | GEF Grant amount: USD 6,133,027 |

1.1 Description of the project, project objectives and component

3. Coastal fisheries provide revenue and a healthy food source around the world. However, these activities also put a growing pressure on the marine environment, endangering aquatic species and threatening ecosystems. The Coastal Fisheries Initiative (CFI) is a global effort aimed to preserve marine resources and ensure that coastal fisheries can continue to play their crucial role in society.
4. Funded by the Global Environment Facility (GEF), the CFI is based on a partnership of six GEF agencies leading one or more of the three "child" projects covering six countries in three regions – Indonesia, Senegal, Cote D'Ivoire, Cabo Verde, Ecuador and Peru, plus the Challenge Fund and the Global Partnership Project. The six GEF agencies are FAO, Conservation International (CI), UNDP, UNEP, World Bank and WWF.

5. The FAO is the GEF Lead Agency for the CFI Program as well as the Executing Agency for the **Global Partnership Project (GCP/GLO/838/GFF)**. The CFI child projects with the project lead agencies and the six countries are:
 - i. Child 1: Ecosystem-based management and improved governance of coastal fisheries in the Southeast Pacific, implemented by UNDP in collaboration with WWF and CI;
 - ii. Child 2: Delivering sustainable environmental, social and economic benefits in West Africa (GCP/RAF/837/GFF), implemented by FAO in collaboration with UNEP;
 - iii. Child 3: Ecosystem approach to fisheries management in Eastern Indonesia, implemented by WWF in collaboration with CI;
 - iv. Child 4: The Challenge Fund, for sustainable marine resources management, implemented by the World Bank;
 - v. Child 5: Global Partnership project implemented by FAO in collaboration with the other CFI agencies and the University of Washington. No government co-financing was planned for the Global Partnership Project.
6. While each regional project is meant to be tailored to its own regional context, there are also some similar or common elements such as integrating ecosystem-based management into fisheries policies, promoting marine protected areas and furthering gender equality. The /outcomes of these elements are to be shared between projects via knowledge sharing activities.
7. The three regional projects are supported by the Challenge Fund Project (latter led by the World Bank), which aims to provide technical assistance for the development of a pipeline of investable projects, and a platform for interested investors to engage early and with adequate understanding of potential investment risks. The ultimate outcomes are private investments made in the fisheries of the three regions. The Challenge Fund aims to benefit the West Africa project by providing access to technical assistance for developing investable projects and ties to potential investors in the post-harvest sector and possibly empowering women's groups.
8. Coordination of CFI, including ensuring the projects are working together as a program, assessing fisheries management performance, conducting analyses of the four projects' outcomes and M&E activities, and sharing knowledge within and beyond the CFI Programme, is managed through the Global Partnership Project (one of the projects to be evaluated).
9. The financing plan for this project is presented below:

Financing Plan: GEF allocation:	USD 2,652,294
<u>Co-financing:</u>	
FAO (in-kind)	USD 9,200,000
UNEP (in-kind)	USD 150,000
University of Washington (grant and in-kind)	USD 2,500,000
Subtotal Co-financing:	USD 11,850,000
Total Budget:	USD 14,502,294

Source: Project Document.

Note: Provided the importance of M&E and knowledge sharing, for each project, a total of 25 percent of funds have been allocated to these components.

Delivering sustainable environmental, social and economic benefits in West Africa through good governance, correct incentives and innovation GCP/RAF/837/GFF

10. The overall regional project objective is to "Strengthen fisheries governance, management and value chains, through the implementation of an ecosystem approach to fisheries, of relevant international instruments and of innovative governance partnerships in three countries in West

Africa (Cabo Verde, Cote d'Ivoire and Senegal)." This objective was divided into a Global Environment Objective and a Development Objective:

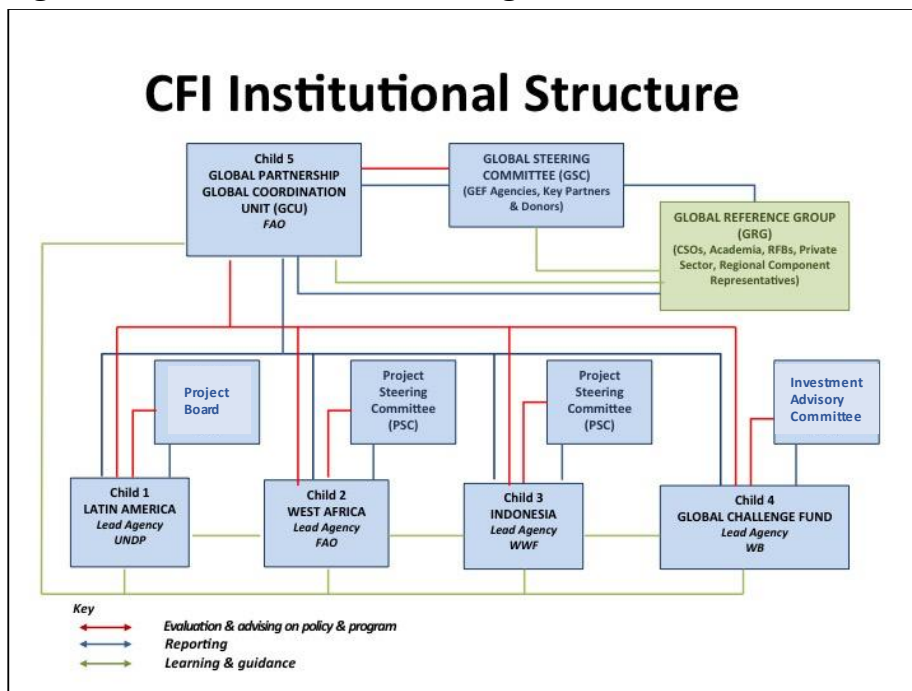
- i. Global Environmental Objective: To promote responsible fisheries governance and management leading to more sustainable coastal fishery resource utilization and safeguarding of marine ecosystems in three countries; and
 - ii. Development Objective: To support enhanced fisheries and value chain governance and management creating sustainable contributions to social and economic development.
11. The project consists of three interlinked components that aim to address the barriers described above in an integrated manner:
- i. Component 1: Improving fisheries governance and management
 - ii. Component 2: Strengthening the seafood value chain
 - iii. Component 3: Strategic communication, monitoring and evaluation, and upscaling best practices.
12. According to the Project Document, the first component of the West Africa project especially has been envisioned to align with the CFI Programme as a whole. It aims to strengthen institutional structures and processes with a focus on an Ecosystem Approach to Fisheries (EAF), including policy, legislation and institutions, co-management and access rights; and incorporate management and conservation of mangroves into fisheries management in the three countries. The second component is designed to be aligned to the CFI Programme by promoting sustainability incentives in the value chain, especially at the harvesting stage, and implementation of private-public partnerships and development of innovative market incentive systems. Finally, via its third component, the project aims to share best practices, promote collaboration and strengthen fisheries performances measures and assessments.
13. The financing plan for the project is presented below:

Financing Plan: GEF allocation:	USD 6,433,027
Co-financing:	
FAO (in-kind)	USD 27,000,000
UNEP (in-kind)	USD 150,000
Gov CPV (in-kind)	USD 3,000,000
Gov CIV (in-kind)	USD 6,000,000
Gov SEN (in-kind)	USD 5,000,000
Abidjan Convention (in-kind)	USD 1,000,000
NGO BirdLife International (in-kind)	USD 300,000
NGO Marine Stewardship Council (MSC) (in-kind)	USD 1,000,000
Industry group CONXEMAR (in-kind)	USD 2,000,000
CSOs Small-scale fisheries organisations (in-kind)	USD 101,500
Subtotal Co-financing:	USD 45,551,500
Total Budget:	USD 51,984,527

1.2 Project governance

14. As shown in the figure below, the CFI Program is guided by a Global Steering Committee (GSC) comprising representatives of the participating states, the GEF implementing and executing agencies, co-financing partners and other strategic stakeholders. The GSC role is to act as the main policy body overseeing the program execution (and also as the Project Steering Committee for the Global Partnership and Challenge Projects Fund), and accordingly, review and approve all technical documents, review budgets and financial reports and provide general strategic and implementation guidance to the Global Coordination Unit (GCU).

Figure 1. Structure of the CFI Programme



Source: CFI Programme documentation.

15. As shown in the figure, a Global Reference Group is envisioned as well. While steps were taken to set it up, to date it has not yet been operationalized or convened.
16. In the case of the Global Partnership Project (Child 5), the institutional structure has a dual purpose: first, at the program level, with FAO as coordinator of the CFI Program; and, second, at the project level, with FAO as executing agency of the Global Partnership Project. For this dual purpose, and as part of Component 1 of the Project, the GCU, under the authority of the Budget Holder, is in charge of coordinating the CFI Program as well as responsible for the implementation of the Global Partnership Project.
17. Each of the three CFI regional child projects (Latin America, West Africa and Indonesia), as well as the Challenge Fund, has its own institutional arrangements, including a Project Steering Committee. These arrangements are described in the respective project documents.

1.3 Project stakeholders and their role

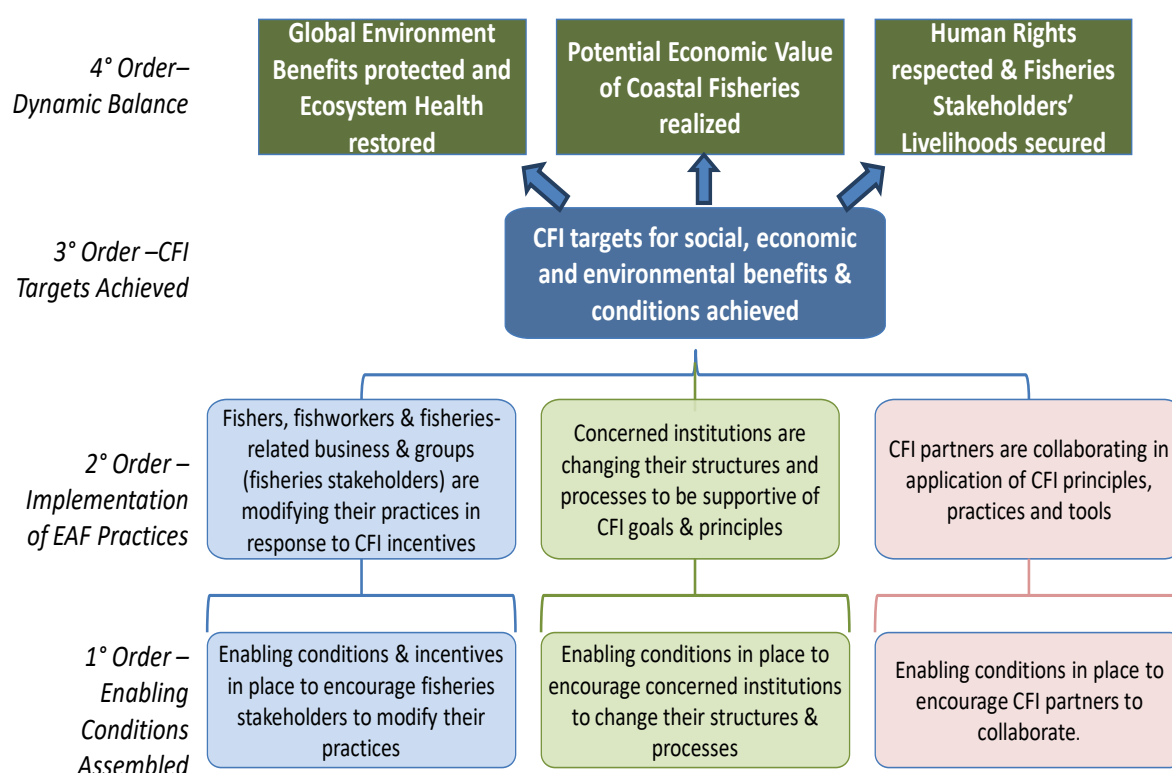
18. In addition to the governance bodies mentioned above, the CFI and its child projects encompass a number of key stakeholders.

19. **GEF Agencies:** The Food and Agriculture Organization (FAO) is the Lead Agency for the CFI Program as a whole. As such, its main responsibilities are to:
- i. Manage and disburse GEF funds in accordance with the rules and procedures of FAO;
 - ii. Enter into Execution Agreements, Letters of Agreement and/or UN to UN Agreements, with the CFI executing partners for the provision of services to the Program and Project;
 - iii. Oversee program and project implementation in accordance with the relevant documents;
 - iv. Provide technical guidance to ensure that appropriate technical quality is applied to all program and project activities;
 - v. Report to the GEF Secretariat and Evaluation Office on program and project progress.
20. The FAO is also the Executing Agency of a) the Global Partnership Project, and b) the West Africa regional child project. As such, it provides supervision and technical guidance services during program and project execution.
21. In the West Africa project, UNEP is also a GEF Agency and, through the Abidjan Convention, is directly responsible for the implementation of Output 1.2.2 with respect to mangroves in Cote d'Ivoire and Senegal. UNEP/the Abidjan Convention are also be part of overall project planning and implementation.
22. The other GEF agencies/partners involved in the CFI are UNDP, World Bank, WWF and Conservation International. An overview of their distribution among the child projects is presented in paragraph 4 above.
23. The **University of Washington**, as CFI Partner, has an Execution Agreement with FAO allowing for the purchase of goods, minor works, and services needed to execute its part of the planned activities (Component 3 of the Global Partnerships Project).
24. In the West Africa project, in addition to GEF agencies, project partners include: ECOWAS, the African Confederation of Artisanal Fishing Organizations (CAOPA), BirdLife International, the Marine Stewardship Council and the Spanish Association of Wholesalers, Importers, Manufacturers and Exporters of fish products and Aquaculture (CONXEMAR).
25. **The FAO Lead Technical Unit (LTU)** is the Department of Fisheries (NFI, FAO Rome office) of the Natural Resources and Sustainable Production stream of the FAO and a **Lead Technical Officer (LTO)** was appointed (same LTO for both FAO-led projects). The LTU, via the LTO, provides technical advice and backstopping to the project and supports particularly the development and roll out of the Fisheries Performance Assessment Tool (FPAT). The **FAO GEF Coordination Unit (CBC)** reviews and approves the projects' progress reports, financial reports and budget revisions. The FAO GEF Coordination Unit reviews and clears annual Performance Implementation Reports (PIRs) and undertakes supervision missions if considered necessary. The PIRs are included in the FAO GEF Annual Monitoring Review submitted to GEF by the FAO GEF Coordination Unit. The FAO GEF Coordination Unit participates in the mid-term and final evaluations and the development of corrective actions to mitigate eventual risks affecting the timely and effective implementation of the project. The FAO GEF Coordination Unit, in collaboration with the FAO Finance Division, requests transfer of project funds from the GEF Trustee based on six-monthly projections of funds needed.
26. In both projects, the **Project Task Force** is responsible for:

1.4 Theory of change

27. The CFI Program is informed by the CFI Theory of Change (Figure 2), which identified a series of tiered building blocks critical to achieving the program's outcomes. The child projects are expected to progress through these tiers starting with establishing necessary enabling conditions (Tier 1), which will lead to implementing changes in practices (Tier 2), achieving benefits to fisheries and stakeholders (Tier 3) and ultimately leading to system sustainability (Tier 4).

Figure 2. CFI Program Theory of Change



Source: Project Document.

28. The CFI Programme Results Framework (see Annex II) is meant to build upon this ToC and provides the structure that guides each of the child projects.
29. The Project Document of the West Africa regional project does not propose a separate ToC. The Results Matrix of the global and West Africa components can be found in Annexes III and IV of these TORs¹. As a result of the mid-term evaluations, the evaluation team may wish to suggest, in the evaluation reports, adjustments to the existing ToC or propose a separate ToC for the West Africa component.
30. For both the global and child projects, the impacts of COVID-19 have been evident. For instance, when management plans need validation by communities and stakeholders (some of these activities can be done remotely, but not all members of fishing communities are available for remote consultations). And, in cases where such plans are ready, it has not been possible to implement them on the ground, as movements during the pandemic are severely restricted.

¹ Annexes are attached separately.

2. Purpose of the mid-term evaluation

31. The Mid-Term Evaluation (MTE) is a requirement of the GEF and also demanded by the FAO for project monitoring and reporting purposes. It is being conducted for both accountability and learning purposes of GEF, FAO, and other participating institutions. The MTE is a valuable opportunity for improvement, and the project team will be able to review the results framework/the theory of change and make adjustment up to the outcome level.
32. These MTEs will document important lessons to guide the remaining phase of the projects and will serve as an input to improve its implementation. Likewise, they will present strategic recommendations in order to maximize the results of the project as well as its institutionalization and appropriation of the project's results by stakeholders and authorities that could benefit from it.
33. Two separate, but inter-related mid-term evaluations (MTEs) will be conducted: "The Coastal Fisheries Initiative Global Partnership" project (GCP/GLO/838/GFF, the "global" project) and "Delivering sustainable environmental, social and economic benefits in West Africa through good governance, correct incentives and innovation" (GCP/RAF837/GFF, the West Africa "regional" project).
34. The global project evaluation will prioritize the global cooperation and policy influence of the initiative, through its child projects. To gain and synthesize insights about each of the child projects' achievements and challenges, it will draw from the evaluation work conducted by the child projects separately, except in Indonesia.
 - i. The mid-term evaluation of the Latin America regional project will be concluded soon (final report in November 2020);
 - ii. The mid-term evaluation of the West Africa regional project is on-going in parallel with the global project evaluation.
 - iii. In the case of Indonesia, the project has not yet officially begun implementation due to negotiations between local partners and the government².
35. The main audiences and intended users of the mid-term evaluations are the following.
 - i. For the Global Partnerships Project:
 - The FAO (Department of Fisheries, GEF Coordination Unit, regional and project country offices, Project Management Team, members of Project Task Force), and the partner agencies for all the child projects (UNDP, the World Bank, the WWF, Conservation International, UNEP, and the University of Washington), who will use the findings and lessons identified in the MTE to continue and improve the child projects' activities and plan for sustainability of the results achieved;
 - The GEF who will use the findings to inform future strategic investment decisions concerning the Coastal Fisheries Initiative;
 - The regional, national and subnational counterparts who will use the evaluation findings and conclusions for future planning;
 - Project beneficiaries, such as the targeted local fishing communities; and
 - Other donors, organizations and institutions interested in supporting and/or implementing similar projects.

² Therefore, no evaluation fieldwork will take place in Indonesia.

- ii. For the West Africa regional project :
- The FAO (Regional Office for Africa; FAO Sub-regional Office for West Africa; FAO Country Offices in Senegal, Cote D'Ivoire, and Cabo Verde, Project Management Team, members of the Project Task Force), together with the partner agency UNEP, will use the findings and lessons identified in the MTE to continue and improve the project activities and plan for sustainability of the results achieved;
 - The GEF, who will use the findings to inform future strategic investment decisions concerning the Coastal Fisheries Initiative, the West Africa region, and Senegal, Cote D'Ivoire, and Cabo Verde;
 - The regional, national and sub-national counterparts who will use the evaluation findings and conclusions for future planning;
 - Project beneficiaries, such as the targeted local fishing communities; and
 - Other donors, organizations and institutions interested in supporting and/or implementing similar projects.

3. MTE scope

36. The MTE covers the projects' design stage and the implementation period since their start in October 2017, until November-December 2020, and will analyze each of the two projects' components. It covers all the geographical areas where the projects has been implemented, although only project locations in West Africa will be visited directly by the evaluation team (the project locations in Latin America have been visited by the respective evaluation managed by the UNDP).
37. The MTEs will also consider the pre-conditions and arrangements in place that have contributed to – or hindered - the adequate implementation of the planned activities, including linkages and/or partnerships between the project and other major relevant initiatives.

4. MTE objectives and key questions

4.1 MTE objectives

38. The objective of the mid-term evaluations is to assess the extent to which the projects have achieved their purpose to date and verify the actual conditions for their successful completion.
39. The specific objectives are:
- To assess and rate the achievements and shortcomings of the project to date, with regard to relevance, effectiveness, efficiency, sustainability of the project's outcomes under the four components, factors affecting the performance and delivery of the project results (detailed below), and the cross-cutting dimensions, including gender and equity concerns, Environmental and Social Safeguards (as appropriate).
 - To draw conclusions and lessons learned to be fed into the ongoing project implementation in order to improve the project's performance and to increase the prospects for achieving its objectives.

4.2 MTE questions

40. To achieve its objectives, the MTEs will answer the questions proposed in the two boxes below.

Box 3. Midterm Evaluation Questions for the CFI Global Project

1. Relevance (rating required)	<p>1.1 Are the project outcomes and objectives congruent with the GEF focal areas/operational program strategies; environmental priorities and the FAO Country Programming Frameworks in the six project countries?</p> <p>1.1 Has there been any change in the relevance of the project since its design, such as new national policies, plans or programs that affect the relevance of the project objectives and goals? Do each of the child projects continue to be relevant? Are there any changes that need to be made to the project/s to make it more relevant?</p> <p>1.2 Have the project results and achievements addressed key issues that constrain or facilitate sustainable fisheries management - as perceived by a broad range of fishery scientists, economists and sociologists; and by stakeholders on the ground targeted in the "child projects".</p>
2. Effectiveness achievement of project results (rating required)	<p>To what extent have the project outcomes and its objective to "Enhance multi-state cooperation and catalyse investments to foster sustainable fisheries, restore and protect coastal habitats, and reduce pollution of coasts and large marine ecosystems" been achieved to date, and how effective was the project in achieving them? The MTE can regard this question to the extent possible, considering, importantly, also the child projects' progress to date and the collaborative linkages between them.</p> <p>Sub-questions for each component:</p> <p>2.1 (Component 1) Has the project been able to, through strengthened coordination and adaptive management for the Coastal Fisheries Initiative, establish the institutional structures and methodological tools required for the efficient implementation, monitoring an evaluation of the CFI Program in general and the Global Partnership Project in particular? How effective have these been?</p> <p>2.2 (Component 2) Promotion of Policy Influence and Catalytic Role: Have knowledge management and outreach strategies, aimed at improving the broad sharing of information and knowledge among coastal fisheries as well as explicitly extending the communication</p>

	<p>outside of the CFI's geographic scope been implemented³? What methodologies and tools has the global project promoted among the child projects?</p> <p>2.3 (Component 3) Has a Fisheries Performance Assessment Instrument been developed and established? How relevant is the instrument to the priority needs of sustainable coastal fisheries? Does it complement or improve on other fisheries performance assessment instruments such as the Marine Stewardship Council's assessment framework? To what extent has the project, to date, provided technical support for the wide adoption of the Instrument, allowing for an effective coverage of the environmental, social and economic impacts of coastal fisheries? How have the CFI partners, academic and research networks been involved in this process? Is there any evidence as yet that the instrument has, or will, contribute to more sustainable coastal fisheries.</p> <p>Effectiveness of partnership arrangements: this project is a partnership between the donor (GEF), FAO, UNDP, the World Bank, the WWF, Conservation International, UNEP, and the University of Washington (USA), as well the governments of the six project countries. Are these partnerships operating according to expectations (i.e. Execution Agreements) to date in the project countries as well as at the global level? What are the strengths and challenges of the project's partnerships? How has the global project facilitated an exchange between the partners?</p> <p>Additionally:</p> <p>2.5 Are there any unintended results to date?</p> <p>2.6 (Likelihood of impact) Are there any barriers or other risks that may prevent future progress towards and the eventual achievement of the objectives of this project (with a view of the goals of the Coastal Fisheries Initiative as a whole)? In particular, the evaluation will comment on the COVID-19 crisis and its effects on the projects.</p>
3. Efficiency (rating required)	<p>3.1 To what extent has the project been implemented efficiently, cost-effectively, and management been able to adapt to any changing conditions to improve the efficiency of project implementation? How satisfactory is the project's expenditure rate to date?</p> <p>3.2 To what extent has the project built on existing agreements, initiatives, etc., and avoid duplication of similar activities of other groups? What steps has the project taken to maximize synergies and eliminate overlaps between its own "child" projects?</p>
4. Sustainability (rating required)	<p>4. Does the project include provisions to sustain its results and benefits (i.e. an exit strategy) and are these provisions being implemented? What are the key risks that may affect the sustainability of the project results and benefits (i.e. financial, socio-economic, institutional and governance, and environmental)?</p>
5. Factors affecting progress (rating required)	<p>5.1 (Project design) Is the project design appropriate for delivering the expected outcomes? Is the logic coherent and clear and are the theories of change of the "child" projects aligned to the overall goals of the programme? To what extent are the project's objectives and components clear, practical and feasible within the timeframe? Did the project identify capacity needs, especially at the regional, national institutional and local levels, as appropriate?</p> <p>5.2 (Project execution and management) To what extent did the project execution partners (particularly at the global level) effectively discharge their roles and responsibilities related to the management and administration of the project? What have been the main challenges in relation to the management and administration of the project and what changes are needed to improve delivery in the second half of the project?</p> <p>5.3 (Financial management and Co-financing) What have been the challenges related to the financial management of the project and to what extent has the pledged co-financing been delivered?</p> <p>5.4 (Project oversight, Implementing Agency role) To what extent has FAO delivered on project identification, concept preparation, appraisal, preparation, approval and start-up,</p>

³ This question relates closely to the communications and knowledge management question further below.

	<p>oversight and supervision? Were the Global Reference Group, the Global Steering Committee and the Global Coordination Unit set up and perform effectively?</p> <p>5.5 (Additional partnerships and stakeholder engagement) In addition to the main project partners, the Evaluation Team should note the extent of other stakeholders' involvement (progress to date), challenges and outcomes. What has been the effect of their involvement/non-involvement on the project results?</p> <p>5.6 (Communication and knowledge management) How effective has the project been in consolidating, communicating and promoting its key messages and results to partners, stakeholders and a general audience? How can this be improved? To what degree have new knowledge products enhanced, complemented or replaced previous products, such as the Guidance for small scale fisheries? To what degree have new knowledge products enhanced, complemented or replaced previous products, such as the Ecosystem approach to fisheries toolkit and Guidance for small-scale fisheries? The Evaluation Team should note which knowledge activities and products have been utilized in this project.</p> <p>5.7 (M&E design and implementation) Is the M&E plan practical and sufficient? Does the M&E system operate as per the M&E plan? Has the project been monitored effectively and efficiently?</p>
6. Cross-cutting dimensions	<p>6.1 (Gender and minority groups) To what extent were gender considerations taken into account in designing and implementing the project (i.e. did the project conduct a gender analysis, as planned)? Were women able to gain equal benefits from the project's activities? Overall, what is the progress on gender-responsiveness measures?</p> <p>6.2 (Environmental and social safeguards) To what extent were environmental and social concerns, including considering the effects of the project on the most vulnerable local populations, been taken into consideration in the design and implementation of the project?</p>

Box 4. Midterm Evaluation Questions for the CFI West Africa Project

1. Relevance (rating required)	<p>1.1 Are the four project outcomes and objectives congruent with the GEF focal areas/operational program strategies, environmental priorities of and FAO Country Programming Frameworks for Senegal, Cote D'Ivoire and Cabo Verde, as well as its regional priorities in West Africa?</p> <p>1.2 Has there been any change in the relevance of the project since its design, such as new national policies, plans or programs that affect the relevance of the project objectives and goals? If so, are there any changes that need to be made to the project to make it more relevant?</p>
2. Effectiveness achievement of project results (rating required)	<p>To what extent have the project outcomes and its objective to "Strengthen fisheries governance, management and value chains, through the implementation of an ecosystem approach to fisheries, of relevant international instruments and of innovative governance partnerships in three countries in West Africa" been achieved to date, and how effective was the project in achieving them? The MTE can regard this question to the extent possible, considering the project's progress to date.</p> <p>Sub-questions for each component:</p> <p>2.1 (Component 1) Has the project improved fisheries governance and management? If yes, in what manner (i.e. through supporting national policies and strategies)?</p> <p>2.2 (Component 2) Has the project been able to strengthen the seafood value chain through improved product quality and working conditions, make the value chains more efficient and incentivise sustainability?</p> <p>2.3 (Component 3) Has the knowledge generated and results achieved to date been communicated effectively with local, national and regional partners?</p> <p>What methods, experiences and lessons learned has the project been able to share with the global and child CFI projects? Similarly, how has the project learned and integrated learning from the other child projects?</p>

	<p>Is a functional M&E system in place and is the project being monitored effectively and efficiently?</p> <p>Effectiveness of partnership arrangements: Are these partnerships (i.e. with UNEP) operating successfully to date in the project countries? What are the strengths and challenges of the project's partnerships, as well as their interactions with the local fishing communities?</p> <p>Additionally:</p> <p>2.5 Are there any unintended results to date?</p> <p>2.6 (Likelihood of impact) Are there any barriers or other risks, in any of the three countries, that may prevent future progress towards and the eventual achievement of the project's objectives? In particular, the evaluation will comment on the COVID-19 crisis and its effects on the project.</p> <p>2.7 How has the project related to the other CFI projects?</p>
3. Efficiency (rating required)	<p>3.1 To what extent has the project been implemented efficiently, cost-effectively, and management been able to adapt to any changing conditions to improve the efficiency of project implementation? How satisfactory is the project's expenditure rate to date?</p> <p>3.2 To what extent has the project built on existing agreements, initiatives, data sources, synergies, complementarities with other projects and partnerships, etc., and avoid duplication of similar activities of other groups⁴?</p>
4. Sustainability (rating required)	<p>4. Does the project include provisions to sustain its results and benefits (i.e. an exit strategy) and are these provisions being implemented? What are the key risks that may affect the sustainability of the project results and benefits (i.e. financial, socio-economic, institutional and governance, and environmental)?</p>
5. Factors affecting progress (rating required)	<p>5.1 (Project design) Is the project design appropriate for delivering the expected outcomes? Is the logic coherent and clear? To what extent are the project's objectives and components, clear, practical and feasible within the timeframe? Did the project properly identify capacity gaps and needs?</p> <p>5.2 (Project execution and management) To what extent did the project execution partners effectively discharge their roles and responsibilities related to the management and administration of the project? What have been the main challenges in relation to the management and administration of the project and what changes are needed to improve delivery in the second half of the project?</p> <p>5.3 (Financial management and Co-financing) What have been the challenges related to the financial management of the project and to what extent has the pledged co-financing been delivered?</p> <p>5.4 (Project oversight, Implementing Agency role) To what extent has FAO delivered on project identification, concept preparation, appraisal, preparation, approval and start-up, oversight and supervision⁵?</p> <p>5.5 (Partnerships and stakeholder engagement) In addition to the main project partners, how have other partners, such as civil society, local fishing communities, and particularly the private sector (through the Challenge Fund), been involved in project design and implementation⁶? What has been the effect of their involvement/non-involvement on the project results?</p>

⁴ For information on synergies with other initiatives, see Appendix 12 of the Project Document.

⁵ For this project, this includes the Task Force, and the lead technical oversight provided by the Chief Technical Advisor.

⁶ The Evaluation Team should note the extent of these stakeholders' involvement (progress to date), challenges and outcomes.

	<p>5.6 (Communication and knowledge management) How effective has the project been in consolidating, communicating and promoting its key messages and results to partners, stakeholders and a general audience? How can this be improved⁷?</p> <p>5.7 (M&E design and implementation) Is the M&E plan practical and sufficient? Does the M&E system operate as per the M&E plan? Has the project been monitored effectively and efficiently?</p>
6. Cross-cutting dimensions	<p>6.1 (Gender and minority groups) To what extent were gender considerations taken into account in designing and implementing the project (including a gender analysis, gender responsive indicators and targets)? Were women able to gain equal benefits from the project's activities? Overall, what is the progress on gender-responsiveness measures?</p> <p>6.2 (Environmental and social safeguards) To what extent were environmental and social concerns, including considering the effects of the project on the most vulnerable local populations, been taken into consideration in the design and implementation of the project?</p>

⁷ The Evaluation Team should note which knowledge activities and products have been utilized in this project. This question closely relates to Component 3 question above.

5. Methodology

41. The MTEs should adhere to the UNEG Norms & Standards and be in line with the GEF Coordination Unit Mid-Term Review Guidance Document and annexes which details methodological guidelines and practices. The MTEs will adopt a consultative and transparent approach. Triangulation of evidence and information gathered will underpin their validation and analysis and will support the conclusion and recommendations.
42. Additionally, the COVID-19 health crisis is currently on-going globally. This introduces a major limitation on international and at times also domestic travel. As mentioned above, the global project evaluation will not include a field study component, instead drawing on the child projects' individual mid-term evaluations. The proposed methodology incorporates lessons from the joint guidance note (published by the OECD/DAC and UNDP) on good practices while conducting evaluations during the COVID-19 pandemic, and from the FAO Office of Evaluation's own experiences in 2020.
43. The methodologies proposed below are based on an initial assessment. Final decisions about the specific design and methods for the MTEs should emerge from consultations among the project team, the MTEs' consultants, and key stakeholders about what is appropriate and feasible to meet the MTEs purpose and objectives and answer the evaluation questions.

5.1 Global partnership project

44. The MTEs should adhere to the UNEG Norms & Standards⁸ and be in line with the GEF Coordination Unit Mid-Term Review Guidance Document and annexes which details methodological guidelines and practices. The MTEs will adopt a consultative and transparent approach. Triangulation of evidence and information gathered will underpin their validation and analysis and will support the conclusion and recommendations.
45. Additionally, the COVID-19 health crisis is currently on-going globally. This introduces a major limitation on international and at times also domestic travel. As mentioned above, the global project evaluation will not include a field study component, instead drawing on the child projects' individual mid-term evaluations. The proposed methodology incorporates lessons from the joint guidance note (published by the OECD/DAC and UNDP) on good practices while conducting evaluations during the COVID-19 pandemic, and from the FAO Office of Evaluation's own experiences in 2020.
46. The methodologies proposed below are based on an initial assessment. Final decisions about the specific design and methods for the MTEs should emerge from consultations among the project team, the MTEs' consultants, and key stakeholders about what is appropriate and feasible to meet the MTEs purpose and objectives and answer the evaluation questions.

5.2 West Africa regional project

47. The evaluation will include a desk review of existing project documents and reports (e.g. the Project Document, annual work plans, six-monthly progress reports, meeting minutes). An extensive review of documents produced by – or related to- the project's progress will be essential

⁸ <http://www.uneval.org/document/detail/21>

to answer the evaluation questions. It will also be a key source of information at the inception phase.

48. Semi-structured, remote interviews with key project stakeholders (involved in or affected by the project) – this includes stakeholders from the three project countries; the project coordination team (based in the sub-regional FAO office in Senegal); government officials; partners, etc. A time-bound schedule for the interview will be created, with help from the project's coordinators from the FAO. The interviews will be conducted by the Lead Evaluator of the CFI West Africa evaluation, with participation from the Evaluation Manager to select interviews. Skype or Zoom platforms will be utilized.
49. Field visits – the purpose of the field visits is to triangulate information from the desk study and remote interviews, assess and analyze project implementation and results (including capacity building) in the field. The national consultants will visit project sites on the ground (to the extent possible due to COVID-19 imposed limitations) and consult with the project's target groups (potentially through workshops), as well as perform direct observations of the project's outputs (and speak to persons responsible for these outputs) in Senegal, Cote D'Ivoire and Cabo Verde. Purposeful sampling strategies will be applied to identify and select information-rich cases, with a good mix between well and less-well performing project sites.
50. Similar to the Global Partnership Project evaluation, online questionnaires will be considered. For this evaluation, they can be prepared and sent out to key stakeholders who are not available to be interviewed for any reason.
51. This methodology is based on an initial assessment. Final decisions about the specific design and methods for the MTEs should emerge from consultations among the project team, the MTEs' consultants, and key stakeholders about what is appropriate and feasible to meet the MTEs purpose and objectives and answer the evaluation questions.

5.3 Synergies between the two MTEs

52. As mentioned, the MTEs are to be conducted in parallel and in close collaboration. Specifically, While the Global Partnership Project evaluation aims to identify what guidance (or common approach or methodology) exists and is being promoted to the "child" projects, the West Africa regional project evaluation will verify what (i.e. methods, experiences and lessons learned) and how the project is feeding into the programme-wide sharing and learning process. Similarly, the West Africa regional project evaluation will capture how the project has learned and integrated learning from the other child projects, and how it generally relates to the other child projects and to the Challenge Fund. All of this information will feed into the relevant findings of the Global Partnership Programme evaluation, which will also address how the global project has facilitated an exchange between the child projects.
53. The two Evaluation Team Leaders will exchange from the moment they join the Evaluation Team and throughout the evaluation process. For instance, finalizing the evaluations' questions is envisioned as a collective exercise between the Evaluation Manager and the Team Leaders. A common document repository will be created, so that both evaluations can have the most up to date access to the relevant documentation. The Team Leaders will also share with one another results of their data gathering, including the questionnaires/surveys, as applicable. Finally, where effective and relevant, scoping interviews will be conducted/attended by the two Lead Evaluators together, increasing efficiency and real-time knowledge sharing.

6. Roles and responsibilities

54. The Office of Evaluation (OED), in particular the Evaluation Manager (EM) are responsible for the finalization of the evaluation's ToR and the selection of the evaluation team members . The EM shall brief the evaluation team on the evaluation methodology and process and will review the final draft report for quality assurance purposes in terms of presentation, compliance with the ToRs and timely delivery, quality, clarity and soundness of evidence provided and of the analysis supporting conclusions and recommendations in the evaluation report. At the end of the evaluation, the OED has the responsibility of following up with the Budget Holder for the timely preparation of the Management Response and its follow-up.
55. The Budget Holder and project Lead Technical Officer assist the EM in preparing for the evaluation, in the identification of potential consultants and in the organization of interviews and evaluation missions. The BH is also responsible for leading and coordinating the preparation of the FAO Management Response and the Follow-up Report to the evaluation, fully supported in this task by the LTO and others members of the Project Task Force .
56. The Project Task Force (PTF), which includes the FAO Budget Holder (BH), the Lead Technical Officer (LTO), the Team of the projects to be evaluated, and the GEF Coordination Unit, are responsible for initiating the evaluation process, providing inputs to the first version of the Terms of Reference, especially the description of the background and context chapter, and supporting the evaluation team during its work. They are required to meet with the evaluation team, make available information and documentation as necessary, and comment on the terms of reference and draft reports. Involvement of different members of the PTF will depend on respective roles and participation in the project.
57. The Evaluation Team (ET) is responsible for further developing and applying the evaluation methodology, for conducting the evaluation, and for producing the evaluation report. All team members, including the two Evaluation Team Leaders (ETLs), should participate in briefing and debriefing meetings, discussions, field visits, and will contribute to the evaluation with written inputs for the final draft and final report.
58. The evaluation team will agree on the outline of the report early in the evaluation process, based on the template provided in Annex I of this ToR. The ET will also be free to expand the scope, criteria, questions and issues listed above, as well as develop its own evaluation tools and framework, within time and resources available and based on discussions with the EM, and consultations with the Budget Holder and Project Task Force where necessary.
59. The ETLs guide and coordinate the ET members in their specific work, discuss their findings, conclusions and recommendations and prepare the final draft and the final report, consolidating the inputs from the team members with his/her own.
60. The ET is fully responsible for its report which may not reflect the views of the concerned Government or of FAO. An evaluation report is not subject to technical clearance by FAO although OED is responsible for Quality Assurance of all evaluation reports.
61. For further details related to the tasks of the ETL and ET members, please refer to their specific job descriptions prepared at the time of their recruitment.

7. MTE team composition and profile

62. The MTE team will be composed of:
- i. Two international consultants (team leaders), one for each evaluation, with expertise in fisheries, sustainable coastal fishery management, international waters, good knowledge of GEF processes and procedures, experience in GEF project evaluations, including in the project countries, and a good knowledge of the stakeholders at government level, as well as of the institutional and environmental context in the project regions.
 - ii. For the West Africa project, two to three national consultants (team members) with experience in GEF project management M&E and mid-term reviews, and stakeholder management. In addition, a technical expertise in climate change including vulnerability and resilience, fishery, marine ecosystem management, pollution control, international waters, and climate change adaptation, natural resources management in Cabo Verde, Cote D'Ivoire and Senegal respectively.
63. In addition, the Evaluation Manager is expected to participate in key briefings and consultations of the evaluations.

8. MTE products (deliverables)

64. The key MTE products that the MTE Evaluation Team are accountable for producing are:

- i. **MTE Inception Reports.** The MTE team will prepare two MTE inception reports (one for each evaluation) before beginning the fully-fledged data collection exercise. It also serves as a useful tool for summarizing and presenting the MTE design and methodology for discussions with stakeholders. It details the GEF evaluation criteria/questions that the MTE seeks to answer (in the form of a matrix); data sources and data collection methods; analysis tools or methods appropriate for each data source and data collection method; and the standard or measure by which each question will be evaluated. The inception report should include a proposed schedule of tasks, activities and deliverables.
- ii. **Draft MTE Reports.** The project team and key stakeholders in the MTE should provide feedback on each of the two draft MTE reports to ensure accuracy and that the reports meet the required quality criteria through two rounds of feedback, one internal to the project and FAO followed by evaluation by key external partners and stakeholders.
- iii. **Final MTE Reports.** These should include an Executive Summary and illustrate the evidence found that responds to the MTE questions listed in the TOR. The report should be written in English for the GCP/GLO/838/GFF evaluation and in French for the GCP/RAF/837/GFF. If necessary, at least the Executive Summary of GCP/RAF/837/GFF should also be translated into Portuguese. Supporting data and analysis should be annexed to the reports when considered important to complement the main reports. Further guidance on the development of the MTE report is given in the MTE Guidance Document and annexes.
- iv. Participation **in knowledge sharing events**, e.g. stakeholder debriefings, as relevant.

9. Indicative MTE timeframe (for each evaluation)

Task	Dates (TBC)	Duration	Responsibility and remarks
Team identification	Already conducted, with the exception of national consultants in West Africa – to be completed Nov 2020		OED, with support, as applicable, by the project team
Team recruitment			OED
TOR preparation	Oct-Nov 2020		EM, with comments from the LTO, FLO, GCU MTE focal point, other project team members
TOR finalization	Nov 2020		EM
Reading background documentation	Oct – Nov 2020	2 weeks	MTE Team for preparation of the MTE
Briefing of MTE Team	Nov 4 2020	0.5 days	EM, key members of the project team
MTE inception Report	Nov 2020	2 weeks	MTE team
MTE remote interviews	Nov-Dec 2020	2 weeks	
MTE missions in West Africa – with prior confirmation of interviews, meetings and visits	Dec 2020 - Jan 2021	1-1.5 weeks in each country	MTE Team (national consultants) with support of PMU ⁹ .
Draft evaluation report	Jan 2021	2 weeks	MTE Team
Circulation and comments on the draft evaluation report	Jan 2021	10 days	EM, PMU, GCU MTE focal point, LTO for comments and quality control (organised by EM)
Participation in the Global CFI remote meeting	Week of Febr 22, 2021		
Production of final report	Febr-Mar 2021	1 week	MTE team
Management Response (MR)	1 month following final report	30 days	BH
Follow-up report to the evaluation	1 year following final report		BH

⁹ The missions will take place to the extent possible, in line with the national COVID-19 restrictions on travel and meetings.

Annex 2. CFI publications (2015-2021)

CFI Programme Publications and knowledge products as provided by the GPP Communications Coordinator January 2021

CFI Global Partnership

Name	Date	Link
Fact sheet CFI	February 2020	www.fao.org/documents/card/en/c/ca7994en
CFI in Indonesia	2020	http://www.fao.org/in-action/coastal-fisheries-initiative/activities/indonesia/en/
CFI in Latin America	2020	http://www.fao.org/in-action/coastal-fisheries-initiative/activities/latin-america/en/
CFI in West Africa	2020	http://www.fao.org/in-action/coastal-fisheries-initiative/activities/west-africa/en/
Global push to restore mangrove forests for fishing communities in West Africa	Dec 2019	http://www.fao.org/in-action/coastal-fisheries-initiative/news/detail/en/c/1245945/
Protecting coastal waters for local communities	November 2018	http://www.fao.org/in-action/coastal-fisheries-initiative/news/detail/en/c/1267750/
Promoting sustainable fisheries in coastal areas	October 2019	http://www.fao.org/in-action/coastal-fisheries-initiative/news/detail/en/c/1267815/
Developing investment opportunities for sustainable marine capture fisheries	Feb 2018	http://www.fao.org/in-action/coastal-fisheries-initiative/news/detail/en/c/1100389/
Celebrating the crucial role of women in fisheries on International Women's Day 2017	Mar 2017	http://www.fao.org/blogs/blue-growth-blog/celebrating-the-crucial-role-of-women-in-fisheries-on-international-womens-day-2017/en
Partners from around the globe gather near Rome to improve coastal fisheries	Feb 2016	http://www.fao.org/in-action/coastal-fisheries-initiative/news/detail/en/c/358018/

CFI Latin America

Name	Date	Link
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Saved by mangroves	Nov 2018	https://pnudperu.exposure.co/saved-by-the-mangroves
	Nov 2018	https://www.youtube.com/watch?v=8iV4NdLL-5Y&t=3s
GEF Coastal Fisheries Initiative	Dec 2018	https://news.iwlearn.net/gef-coastal-fisheries-initiative
Un anzuelo un Atún	Mar 2019	https://cfiamericalatina.exposure.co/un-anzuelo-un-atun
Connected with life below water	April 2019	https://cfiamericalatina.exposure.co/connected-with-life-below-water
Gender in the coastal fisheries initiative	April 2019	https://news.iwlearn.net/gender-in-the-gef-costal-fisheries-initiative
Una mujer que pesca	May 2019	https://pnudperu.exposure.co/una-mujer-que-pesca
Mujeres del Océano	June 2019	https://cfiamericalatina.exposure.co/mujeres-del-oceano https://news.iwlearn.net/women-of-the-ocean
Día internacional del manglar	July 2019	https://www.youtube.com/watch?v=yY82nfTGwaU
El manglar un vínculo de vida entre el mar y la tierra	Aug 2019	https://cfiamericalatina.exposure.co/el-manglar-un-vinculo-de-vida-entre-la-tierra-y-el-mar https://news.iwlearn.net/mangroves-a-bond-of-life-between-land-and-sea
Seminario Marino Costero Perú	Sept 2019	https://www.youtube.com/watch?v=o8zayTbt47o&t=8s
Planificación Espacial Marino Costera Ecuador	Sep 2019	https://www.youtube.com/watch?v=hxKDbKkuu5w
La veda del cangrejo: la armonía en el cangrejo del manglar	Jan 2020	https://cfiamericalatina.exposure.co/la-veda-del-cangrejo-rojo-armonia-en-el-manejo-del-manglar
Mujeres en la pesca de Ecuador	Feb 2020	https://cfiamericalatina.exposure.co/mujeresenlapesc a
Piloto de trazabilidad Dorado	Mar 2020	https://www.youtube.com/watch?v=R9QZcJgHcnA&t=2s
Quién dijo sexo débil. Catalina Viza	Mar 2020	https://www.pe.undp.org/content/peru/es/home/presscenter/articles/2020/-quien-dijo-sexo-debil-.html

Índice de Salud del Océano Ecuador	April 2020	https://www.youtube.com/watch?v=9DUmuS2NUtw
Una red solidaria para la pesca artesanal en tiempos de COVID-19	April 2020	https://pnudperu.medium.com/una-red-solidaria-para-la-pesca-en-tiempos-de-covid-19-5f6ed299250a
Ecuador and Peru join efforts to promote sustainable ocean management	June 2020	https://news.iwlearn.net/ecuador-and-peru-join-efforts-to-promote-sustainable-ocean-management
Día de las y los pescadores	June 2020	https://cfiamericalatina.exposure.co/dia-de-las-y-los-pescadores
Historia de Milagros Calero Petroche Peru	June 2020	https://www.facebook.com/1732490503517174/videos/281396543219688
The bans that protect the mangrove ecosystems of Peru and Ecuador	Aug 2020	https://cfiamericalatina.exposure.co/the-bans-that-protect-the-mangrove-ecosystems-of-peru-and-ecuador https://www.efeverde.com/noticias/las-vedas-que-pueden-salvar-los-ultimos-manglares-de-peru-y-ecuador/
Somos parte de una cadena que sostiene la vida	Aug 2020	https://www.youtube.com/watch?v=ZNeC0tujvMU
Manejo participativo del manglar en Perú	Dec 2020	https://www.youtube.com/watch?v=o8zayTbt47o&t=8s
Pescadores artesanales reactivan su economía	Dec 2020	https://www.pe.undp.org/content/peru/es/home/presscenter/articles/2020/pescadores-artesanales-reactivan-su-economia.html https://www.facebook.com/1732490503517174/videos/248373660263347

West Africa

Name	Date	Link
Study paves way to strengthen seafood value chains for sustainable development on Cabo Verde	Dec 2020	http://www.fao.org/in-action/coastal-fisheries-initiative/news/detail/en/c/1364612/

Ramping up resilience: door to door deliveries scheme helps vulnerable households	Nov 2020	http://www.fao.org/in-action/coastal-fisheries-initiative/news/detail/en/c/1331759/
Fact sheet CFI West Africa	September 2020	http://www.fao.org/3/cb1210en/CB1210EN.pdf
In Djirnda people are desperate to go back to fishing	June 2020	http://www.fao.org/in-action/coastal-fisheries-initiative/news/detail/en/c/1279353/
CFI Senegal: improving coastal fisheries and protecting the environment	April 2020	http://www.fao.org/in-action/coastal-fisheries-initiative/news/detail/en/c/1273506/
Cabo Verde: Making coastal fisheries sustainable	Feb 2020	http://www.fao.org/in-action/coastal-fisheries-initiative/news/detail/en/c/1267811/
Côte d'Ivoire: Restoring mangrove forests for fishing communities	Nov 2019	http://www.fao.org/in-action/coastal-fisheries-initiative/news/detail/en/c/1267812/
Why is Côte d'Ivoire losing its mangroves to fishing?	Jan 2020	http://www.fao.org/in-action/coastal-fisheries-initiative/news/detail/en/c/1257837/
CFI West Africa Inception Workshop, Dakar, Senegal	Sep 2018	http://www.fao.org/in-action/coastal-fisheries-initiative/news/detail/en/c/1153549/
Mainstreaming gender in West Africa's fisheries	Feb 2019	http://www.fao.org/blogs/blue-growth-blog/mainstreaming-gender-in-west-africas-coastal-fisheries-initiative/en/
Coastal Fisheries Initiative underway in West Africa	Feb 2019	http://www.fao.org/blogs/blue-growth-blog/coastal-fisheries-initiative-underway-in-west-africa/en/
Our Islands, Our Oceans - Cabo Verde	June 2017	http://www.fao.org/in-action/coastal-fisheries-initiative/news/detail/en/c/1267885/
Can strengthening fishing communities decrease migration?	Jun 2016	http://www.fao.org/blogs/blue-growth-blog/can-strengthening-fishing-communities-decrease-migration/en/
Challenges to coastal fisheries communities in Abidjan, Côte d'Ivoire	Dec 2015	http://www.fao.org/blogs/blue-growth-blog/challenges-to-coastal-fisheries-communities-in-abidjan-cote-divoire/en/
Helping to reduce bycatch in Latin America and the Caribbean	Dec 2015	http://www.fao.org/blogs/blue-growth-blog/helping-to-reduce-bycatch-in-latin-america-and-the-caribbean/en/

Spotlight on Abidjan: Dec 2015	http://www.fao.org/blogs/blue-growth-blog/spotlight-on-abidjan-strengthening-coastal-fisheries/en/
Strengthening coastal fisheries	
Improving livelihoods for Nov 2015	http://www.fao.org/in-action/coastal-fisheries-initiative/news/detail/en/c/383110/
coastal fishing communities	

Annex 3. Evaluation Matrix (simplified)

The following table presents the main evaluation questions and sub-questions. Additionally, the Evaluation Team had developed questions per each project component. A more detailed version of the Evaluation Matrix is available for consultation upon request, in Excel format.

Questions derived from Results framework	Relevant documents	Key informants
Relevance (rating required)		

10 Congruence. Are the project results and achievements congruent with the GEF focal areas/operational program strategies; environmental priorities and the FAO Country Programming Frameworks in the six project countries?	GEF strategy documents FAO Country Programme Framework FAO EAF and CCRF documents	FAO regional office (child projects)
11 Changing context Has there been any change in the relevance of the project since its design , such as new national policies, plans or programs that affect the relevance of the project objectives and goals? If yes, are there any changes that need to be made to the project to make it more relevant?	National fisheries policy and legislation	Child project coordinator
12 Key issues in fisheries management. Have the project results and achievements addressed key issues that constrain or facilitate sustainable fisheries management - as perceived by a broad range of fishery scientists, economists and sociologists; and by stakeholders on the ground targeted in the “child projects”?	See also the technical Evaluation Questions	GPP coordinator, Child project coordinators and technical staff
Effectiveness - achievement of project results (<i>rating required</i>)		
13 Outcomes and objective. To what extent have the project outcomes and its objective to “ <i>Enhance multi-state cooperation and catalyse investments to foster sustainable fisheries, restore and protect coastal habitats, and reduce pollution of coasts and large marine ecosystems</i> ” been achieved to date, and how effective was the project in achieving them? (<i>The MTE can regard this question to the extent possible, considering project’s progress to date.</i>)	PIRs; Project and programme communications and publications	GPP coordinator; Child project coordinators and technical officers
14 (Component 1) coordination and adaptive management		
a. Has the project been able to, through strengthened coordination and adaptive management for the Coastal Fisheries Initiative, establish the institutional structures and methodological tools required for the	Reports by GCU to GSC PIRs Workshop reports	GPP coordinator and admin officer Representative staff from all implementing and partner agencies;

efficient implementation, monitoring an evaluation of the CFI Program in general and the Global Partnership Project in particular?		Lead administrative staff from all child projects
b. How effective has these been? See also Q1 and 2		
15 (Component 2) Promotion of Policy Influence and Catalytic Role: Have knowledge management and outreach strategies, aimed at improving the broad sharing of information and knowledge among coastal fisheries as well as explicitly extending the communication outside of the CFI's geographic scope been implemented? (see also Q6 and Q9)	annual workshops; progress reports; knowledge and communications strategy	GPP Coordinator; leaders/coordinators of all subsidiary projects; GPP LTO; GPP communications officers
16 (Component 3) Fisheries Performance assessment		
a. Has a Fisheries Performance Assessment Instrument been developed and established?	FPAT website and FAO e-learning portal; Background scientific literature on fisheries and sustainability assessment	GPP LTO GPP coordinator; Coordinators of child projects
b. To what extent has the project, to date, provided technical support for the wide adoption of the Instrument, allowing for an effective coverage of the environmental, social and economic impacts of coastal fisheries?	As above + Other international organisations and fora promoting sustainable fisheries	As above + LTO for each child project Leaders of other sustainable fishery initiatives globally
c. How have the CFI partners, academic and research networks been involved in this process?	workshop reports	LTO, CFI partners, leading fishery scientists globally (global reference group)
d. Is there any evidence as yet that the instrument has, or will, contribute to more sustainable coastal fisheries.	CFI workshop report; Project PIRs	Child project coordinators and or technical officers and local partners

17. Effectiveness of partnership arrangements: this project is a partnership between the donor (GEF), FAO, UNDP, the World Bank, the WWF, Conservation International, UNEP, and the University of Washington (USA), as well the governments of the six project countries.	CFI framework document; GPP project document	Representatives of implementing partners
a. Are these partnerships operating successfully to date in the project countries as well as at the global level?	Joint outputs and publications	Above plus: Partner representatives in project countries or regions
b. What are the strengths and challenges of the project's partnerships?		Above plus: Partner representatives in project countries or regions
18. Unintended results. Are there any unintended results to date?	Media	GPP and child project coordinators
19. Likelihood of impact Are there any <i>barriers or other risks</i> that may prevent future progress towards and the eventual achievement of the objectives of this project (with a view of the goals of the Coastal Fisheries Initiative as a whole)?	Fisheries management literature and guidance Sustainability literature	GPP coordinator, LTO Child project coordinators and technical advisors; Global reference group (!)
Efficiency (rating required)		
20 To what extent has the project been implemented efficiently, cost-effectively, and management been able to adapt to any changing conditions to improve the efficiency of project implementation? How satisfactory is the project's expenditure rate to date?	Project implementation plans and budgets	GPP Coordinator and admin officer Child project coordinators and/or admin officers
21 Building on previous initiative.		
a. To what extent has the project built on existing agreements, initiatives, etc., and avoid duplication of similar activities of other groups?	Programme Framework and project documents; Global fisheries sustainability assessment, promotion initiatives and frameworks	Global reference group, or the constituency of relevant scientists and fisheries managers, including FAO fisheries scientists

b. What steps has the project taken to maximize synergies and eliminate overlaps between its own “child” projects?	Global workshop reports	GPP coordinator
Sustainability (rating required)		
22. Exit strategy Does the project include provisions to sustain its results and benefits (i.e. an exit strategy) and are these provisions being implemented?	Project documents; global stakeholders	child project leaders; global reference group or equivalent.
23. Risks What are the key risks that may affect the sustainability of the project results and benefits (i.e. financial, socio-economic, institutional and governance, and environmental)?	Project documents	GPP; child project leaders; global reference group or equivalent
Factors affecting progress (rating required)		
24 Project design		
a. Is the project design appropriate for delivering the expected outcomes?	project documents, ToC and results framework	GPP coordinator; Child project leaders; Technical officers and advisors
b. Is the logic coherent and clear and are the theories of change of the “child” projects aligned to the overall goals of the programme?	project documents, ToC and results framework	GPP coordinator, LTO
c. To what extent are the project’s objectives and components clear, practical and feasible within the timeframe?	project documents, ToC and results framework	GPP coordinator, LTO
d. Did the project identify capacity needs , especially at the regional, national institutional and local levels, as appropriate?	project documents, ToC and results framework; inception workshop report	GPP coordinator; Child project leaders; Technical officers and advisors
25 Project execution and management		
a. Partners To what extent did the project execution partners (particularly at the global level) effectively discharge their roles and responsibilities related to the management and administration of the project?	GSC minutes; PIRs	GPP coordinator; representatives of partners

b. What have been the main challenges in relation to the management and administration of the project and what changes are needed to improve delivery in the second half of the project?	GSC minutes	GPP coordinator; representatives of partners
26 Financial management and co-financing).		
a. What have been the challenges related to the financial management of the project	Annual action plans and budgets	GPP coordinator, GPP administrator, project administrators
b. to what extent has the pledged co-financing been delivered?	Programme budget; Annual action plans and budgets	GPP coordinator, GPP administrator, project administrators
27 Project oversight, Implementing Agency role		
a. To what extent has FAO delivered on project identification, concept preparation, appraisal, preparation, approval and start-up, oversight and supervision?	Workshop reports, project documents	Partner representatives
b. In particular, how effective have been the Global Reference Group, the Global Steering Committee and the Global Coordination Unit?	Minutes of GCU; GSC; GRG	Representatives of Global Reference Group, the Global Steering Committee and the Global Coordination Unit
28 Partnerships and stakeholder engagement		
a. What has the nature and extent of involvement of the main project partners	project documents; workshop reports	GPP coordinator; representatives of partners
b. What has the nature and extent of involvement of other stakeholders' involvement and associated challenges and outcomes.	project documents; workshop reports; PIRs	GPP coordinator; GRG members; child project leaders
c. What has been the effect of their involvement/non-involvement on the project results?	workshop reports, PIRs	GPP coordinator; child project leaders
29 Communication and knowledge management (see also Q6)		
a. How effective has the project been in consolidating, communicating and promoting its key messages and results to	Programme publications, websites, tools, meeting reports	Global Reference Group; partner representatives; child project leaders

partners, stakeholders and a general audience?		
b. How can this be improved?		Communications officer; partner representatives; GRG
c. What knowledge activities and products have been utilized in this project.	programme publications; workshop reports	GPP coordinator, Child project leaders and local partners
30. M&E design and implementation (see also Q 1&2)		
a. Is the M&E plan practical and sufficient?	Programme document; project document; ToC; M&E plan if available	GPP coordinator, child project leaders; GPP and project admin officers
b. Does the M&E system operate as per the M&E plan?	Programme document; project document; ToC; M&E plan if available	GPP coordinator, child project leaders; GPP and project admin officers
c. Has the project been monitored effectively and efficiently?	Programme document; project document; ToC; M&E plan if available	GPP coordinator, child project leaders; local partners; GPP and project admin officers
Cross-cutting dimensions		
31 Gender and minority groups)		
a. To what extent were gender considerations taken into account in designing and implementing the project (i.e. did the project conduct a gender analysis, as planned)?	programme and project documents; workshop reports; gender strategy	GPP coordinator and programme partners
b. Were women able to gain equal benefits from the project's activities?	PIRs, Workshops	local partners
c. Overall, what is the progress on gender-responsiveness measures?	PIRs, Workshops	
32 Environmental and social safeguards. To what extent were environmental and social concerns, including considering the effects of the project on the most vulnerable local populations, been taken into consideration in the design and implementation of the project?	NA to Global project?	NA to Global project?
Technical Evaluation Questions		

Overfishing. Is overfishing (in terms of effort or capacity) of the community/target stock a problem at child project sites or areas?	Child project documents; previous fishery assessments	Child project leaders and technical advisors
Bycatch. Is indiscriminate catching of bycatch species, or juveniles a problem in the focus fisheries?	Child project documents; previous fishery assessments	Child project leaders and technical advisors
Destructive gear Does the fishing gear being used negatively affect the wider environment (eg damage to substrate, accidental catch etc)	Child project documents; previous fishery assessments	Child project leaders and technical advisors
Equity Are there social, economic or equity issues in the prosecution of the child projects fisheries or in the value chain?	Child project documents; previous fishery assessments	Child project leaders and technical advisors
MPA displacement Is the possible impact of marine protected area designation in terms of displacing possibly damaging fishery effort to other areas, or the short term negative socio-economic impacts of MPA designation being taken into account in the child projects.	Child project documents; previous fishery assessments	Child project leaders and technical advisors
Understanding and prioritising the issues. Are fishers, fish processors government officers and other stakeholders aware of these problems and keen to find collaborative solutions?	Child project documents; previous fishery assessments	Child project leaders and technical advisors
Baseline assessment. Have these issues been explored or analysed during project and programme inception (eg through a baseline governance analysis?)	Child project documents; previous fishery assessments	Child project leaders and technical advisors
Programme level response. What is the programme, and the GPP doing to help address these issues?		
Fisheries Performance Assessment		
a. Timely application of FPAI. Will the FPAT be ready in time to help address these issues within the programme timeframe, and if not what other actions is GPP taking to facilitate child projects to address these issues.	FPAI website and e-learning portal; annual workshop reports	FPAT development partners; LTO; Child project leaders and technical advisors
b. Child project stakeholder engagement in FPAI development. Is the FPAT being informed by experience in tackling these issues on the ground rather than vice versa.?	FPAI website and e-learning portal; annual workshop reports	FPAT development partners; Child project leaders and technical advisors
c. Milestones for sustainable fishery management. Has the programme considered defining in simple terms the key features of a sustainable fishery management system which would serve as targets or milestones for the child project target fisheries?	FPAI website and e-learning portal; annual workshop reports	GPP leader, LTO; FPAT development partners;
d. Coordination. What will be the relationship between the FPAT and other similar tools such as MSC, Fishery improvement plans (FIPs). Does it complement or improve on other fisheries performance assessment instruments such as the MSC assessment framework?	FPAI website and e-learning portal; annual workshop reports	GPP leader, LTO; FPAT development partners; GRG or equivalent
Knowledge product strengthening. To what degree have new knowledge products enhanced, complemented or replaced previous products, such as EAF toolkit and Guidance for small scale fisheries?	FPAI website and e-learning portal; annual workshop reports	Implementing partners; child project technical advisors. GRG

Annex 4. Theory of change and programme wide reporting and learning system

1. This annex is intended to supplement the discussion of the ToC and results frameworks in section 4 of this report.
1. The programme Theory of Change (ToC) as set out in Annex 7 of the GPP project document was intended as a framework to promote programme wide sharing of experience and learning in relation to the application of more holistic and integrated approaches to promoting sustainable coastal fisheries, broadly represented by the Ecosystem Approach to Fisheries management. To date this has been unsuccessful. Discussions at the global workshops have not helped, with concerns about extra reporting burdens and confusion over the purpose of such reporting. The current situation may be summarized as follows:
 - **The GCU currently does not report against the programme results framework or the ToC** (only against the GPP results frame). This is a serious programmatic omission and a missed opportunity to compare and contrast activity and progress across the programme and contribute to programme learning.
 - This is not a closely linked and coherent programme comprising fisheries improvement projects across the globe using common approaches and tools, and making interventions at similar points in the “three tiers” of the programme ToC. Some child projects have not started; some are struggling to characterise the current status; some are seeking to strengthen enabling conditions; some are building capacity; some are influencing behaviour (given previously established enabling conditions); some are reinforcing existing institutions, associated rules and protocols and measuring change. Any assessment/monitoring/learning system must be sufficiently flexible to accommodate this diversity
 - All child projects are already reporting against their own results framework, and these are largely compatible with both the CFI framework and the Programme ToC. Child projects are in the main being implemented by highly competent professionals who are familiar with and closely involved with addressing pressing needs in fisheries management and value chain development. It is essential that they are not burdened with yet more reporting frameworks with limited relevance to their needs or experience – however elegant and logically consistent they may be. Programme level indicators should be derivative of and informed by the nature and understanding of local projects, and these should in turn contribute to programme level

reporting – not vice versa. Reporting for both M&E and programme/global learning should be simple and motivational, and serve as much to stimulate progress as to measure it.

2. The function of the ToC as “a programme-level framework for the analysis of emerging challenges and learning across the various initiatives making up the CFI” and a key mechanism for delivery of both the GPP and the CFI has not been realized, and is unlikely to be realised without significant simplification and rationalisation. But the need for such a mechanism is beyond doubt and lies at the heart of the rationale for the GPP.
3. Key features of a programme level M&E and learning system:
 - Should build on as far as possible, and be compatible with the Programme and Child project results frameworks and the ToC
 - Should be informed by the child project results frameworks on the one hand, and contribute to systematic reporting against the CFI results framework
 - Should promote and facilitate a common approach (the EAF) as far as is compatible with widely differing situations and entry points
 - Should allow flexibility in reporting progress in very different contexts
 - Should support understanding of progress and achievement (constraints, opportunities, processes) across a range of fisheries in widely different contexts and at different stages of development
 - Should not be onerous, frustrating and partially irrelevant for the child project managers
 - Should generate analysis and understanding of progress and achievement rather than target accounting
 - Should serve as a basis and stimulus for programme wide exchange and learning
4. There appear to be three elements to a possible way forward:
 1. Analysis and synthesis, by GCU, of child projects reporting against project results frameworks.
 2. Facilitating development of target fishery theories of change.
 3. Programme wide reporting against a framework based on a simplified CFI results framework and selected ToC indicators.

Analysis and synthesis of child projects reporting against project results frameworks

5. This is the simplest approach and should in any case be undertaken by the GCU as a routine part of its work. While we understand there may be some partnership issues constraining access by GCU to all reports; equally it must be made clear to GEF that lack of access to these reports fundamentally compromises the capacity of GCU to perform its programme level M&E responsibilities.,
6. The GCU would summarize, on an annual basis (background material for global workshops) the programme results, using the CFI results framework and drawing on each project’s reporting against its own results frameworks. These frameworks are broadly compatible, and comprehensive

reporting of programme wide activities against CFI indicators would allow for some basic analysis and comparisons of approaches, achievements and constraints in different contexts.

7. An alternative would be to require the child projects to report directly against those sections of the CFI framework that are relevant to them, reducing the burden on GCU and freeing up time for more analytic and comparative work at global level. The incentive for child projects to do this may be weak.
8. While we regard this as an essential minimum, the CFI results frame has some weaknesses and is less than ideal for stimulating reporting of experience and learning in applying an EAFM.
9. In all cases compiled annual results would be made available to the programme steering committee for review and where appropriate response.

Facilitating development of target fishery theory of change

10. While some child projects have developed their own theory of change, this has not been done at the most informative level – ie the target fishery and/or ecosystem.
11. Most child projects have now confirmed their target fisheries/value chains/ecosystems and stakeholder/beneficiary groups. This would therefore be an excellent time to encourage, and where appropriate facilitate local implementation teams to develop their own theory of change relating to project activities and interventions for each target fishery or “site” – with a view to refining, connecting, reinforcing or prioritising these interventions – and where possible relating them to programme level activities such as the Global Challenge Fund, the FPAT and learning exchange and knowledge dissemination. It should also be possible to relate these to the main components of the CFI results frame.
12. Ideally this process would be attended and supported by the global coordinator (or another member of GCU¹⁰) but with a local facilitator (such as national project officer). The programme wide set of “ecosystem” ToC should stimulate programme level communication, summarizing the approaches being taken and intervention logic in the different child projects, and their relationship to the EAF and SSF.
13. This activity would reinforce a common programme approach and mutual learning. It would also reinforce the status of the EAF and SSF as globally agreed and practical approaches to improve fisheries management. The existing ToC and results framework has probably had the opposite effect, with participants struggling to see the relevance of the frameworks to their particular conditions, and consultants spending large amounts of time and money seeking to reconcile the different formulations.

Reporting framework based on a simplified CFI results framework and selected ToC indicators

14. The existing programme level results framework, upon which agreement for a CFI programmatic approach and funding was reached, serves as a reasonable starting point for an implementable

¹⁰ See note above – being explored

programme level progress reporting framework and stimulus to programme level learning/exchange, despite some logical weaknesses. Using this to supplement existing project results framework (indicator based) reporting will reinforce programme continuity and avoids the temptation to “shift the goalposts” or conduct endless workshops to redefine programme ToC and indicators that suit everyone in a highly diverse programme. Previous attempts to do this have failed.

15. Although the CFI results frame appears to be very different from the TOC and its set of indicators, this is not the case. The structure and language are different, but many elements are common to both. **With the addition of one or two ToC indicators to the CFI we can encompass the slightly broader scope and emphasis of the ToC.**
16. Despite being at programme level, the CFI results framework focuses mainly on institutions/enabling conditions and tools (ToC tiers 1 and 2); it does not include higher level outcome indicators relating to the “triple bottom line” – ie social, economic and environmental benefits, or to the third and 4th tiers in the ToC. If FPAI had been applied at outset it may have been possible to report impact and trace impacts to particular programme activities. In most cases this will not be possible, although a repeat of the FPI assessment in Peru might provide such evidence. It is unlikely that this would be cost effective within the programme timeframe, and it will in any case be difficult to disaggregate programme impacts from other influences and changes.
17. The identification of enabling conditions (or constraints) is fundamental to EAFM, and the ToC provides a suite of indicators to assess (rank) them. In terms of relevance to individual fisheries many are weak and/or time consuming to rate, and/or irrelevant to practical situations. By way of example...*“Fishers, fish workers and fisheries related businesses support CFI goals and practices”* would be very difficult to score and generate information of little value, whereas *“support for a fisheries management plan”* or support for an MPA designation will be key issues for anyone facilitating these initiatives.
18. In other words the identification and assessment of enabling conditions should be a key part of the preliminary governance/baseline/situation analysis required for most projects and is essential for cross programme learning. The corresponding programme level indicator would be: *social, economic, institutional and environmental conditions that constrain or support improved fisheries identified*. This has been added to the framework. In addition, some of the other ToC indicators have been added to the framework where they appear to support programme vision, philosophy and approach. If desired, additional indicators corresponding roughly to those in the TOC set could be adapted and applied by individual projects where they feel these are important and relevant for reporting on their project.
19. Some additional changes to the hybrid (CFI results framework-ToC) framework have been made, to improve logical coherence and avoid unnecessary detail and repetition, while retaining all elements of the originals:
 - The original programme results framework includes unnecessary pseudo-targets (denoted as XXX) likely to incentivise quantity rather than quality of outputs and outcomes in programme delivery. Quantitative targets are more likely to be effective at project level

where they can be agreed on a more informed and practical basis. These have been removed.

- Co-management, tenure and access rights are outcomes/indicators/targets under both components 1 and 2. This derives from the understanding that improved management can arise from market incentives or from higher level policies and institutions, but is nonetheless repetitive and confusing, and has been rationalised in this formulation.
- There is a lack of specificity regarding some key elements recognized as being crucial to effective sustainable fisheries management systems. The more important ones are now included as part of or in support of existing indicators or elements.
- The CFI results framework and the ToC are both unnecessarily wordy and repetitive. Text has been edited heavily while seeking to retain all significant elements.

20. This should be regarded as a **reporting framework rather than M&E** to avoid confusion with the *project level M&E* which would require more quantitative and less qualitative assessment against project milestones and indicators. However these more rigorous and quantitative results should be used to support reporting against each of the higher level indicators listed here.
21. This framework also provides a basis for programme wide learning and exchange, since the reporting process would involve qualitative description of achievements, failures, constraints etc against each of the indicators, many of which will be common across some or all child projects. In simple terms it may be regarded as a framework for reporting on "how we have applied the EAF", or how we applied a holistic, integrated approach in our child project. This in turn would serve as the basis for an annual report prepared by the GCU and to support the global conferences, offering an overview of progress in applying EAF principles across the programme.
22. It is important that this draft framework be shared with child projects for comment and adapted within reason to promote ownership. It is important however not to allow "indicator proliferation" or indeed indicator loss. Some would argue that this framework is inadequate to measure progress implementing EAF. This may be true, and ideally EAF processes and indicators as set down in the EAF guidance should have been used as the basis for the programme wide results framework. But *it is too late to completely reinvent the programme logic*, and the following framework allows plenty of flexibility in reporting whatever child projects believe has been a key part of their approach and achievement.

Revised programme level reporting framework

Sustainability incentives in the value chain

Outcome 1: The efficiency and transparency in the fisheries value chain improved through appropriate incentive structures and contribute to sustainable resource utilization and equitable social and economic development

Progress reporting issues

1. Value chain baseline: social, economic and institutional conditions in the value chain that constrain or support improved fisheries identified
2. Fishery Improvement Projects developed and implemented
3. Increased recognition, role and influence of women in the value chain
4. Recognition/certification/traceability schemes developed
5. Innovative PPPs generating social (gender, equity, decent work) economic and environmental benefits promoted/supported
6. Reduced post-harvest losses
7. Reduced fuelwood consumption (e.g. per unit product or per unit value added; e.g. CO₂/kg of fish product)
8. Reduced impact on habitat (e.g. quality and extent of mangrove and other impacted habitat; MPAs)
9. Livelihood enhancement & diversification strategies to support fishers, fishworkers & fisheries-related business & groups are in place

Institutional Structures and Processes

Outcome 2: Policies, legislation and institutions have been improved at local, national and regional levels allowing for enhanced resource management through integrated and holistic approaches that allow for effective incentive structures that lead to more environmentally, economically and socially sustainable coastal fisheries

Progress reporting issues

1. Governance baseline: social, economic, institutional and environmental conditions that constrain or support improved fisheries identified
2. Policy, legislation and institutions refer to EAFM, CCRF, SSFG and support co-management and revised tenure and access rights where appropriate
3. CFI partners leverage political will among collaborating governments and institutions in support of CFI actions.
4. Co-management institutions established and influencing management (ie active and influential participation of fishery stakeholders in fisheries management)
5. Improved co-management plans and management systems for target fisheries address resource status and health monitoring, resource access (tenure/access rights) and fishing pressure (harvest control rules¹¹)
6. MPAs have functioning multi-use legally recognized co-management plans
7. RFBs/Regional Seas conventions participate in CFI and adopt CFI best practices in policy frameworks
8. Capacity of fishers, fish workers, local and national government to implement EAFM and triple bottom line assessments strengthened

Best practices, collaboration and performance assessment

Outcome 3: The understanding and application of integrated, participatory and collaborative approaches has been enhanced among local and global partners who utilize agreed tools for measuring coastal fisheries performance and progress towards environmental social and economic sustainability

Progress reporting issues

1. Child projects and GCU report annually against this framework
2. Best practices shared through IW-learn and other mechanisms
3. Mechanisms to collaborate with & inform other projects/programs in the region are present
4. CFI best practices reflected in relevant fisheries policies and strategies in CFI countries
5. All fisheries value chains supported by CFI are assessed by agreed performance evaluation system and information is available on key environmental economic and social aspects
6. National and/or regional project proposals by GEF agencies, other partners and governments are based on CFI best practices and include strong collaboration between different GEF agencies and partners
7. Regular collaboration & dialogue between CFI agencies, partner institutions & fisheries stakeholders
8. Linkages & cooperation with regional & global fisheries management projects, programs & mechanisms active

23. Outcome 3.5 may be problematic and is discussed in detail elsewhere in this report.

24. It is understood that this is less sophisticated than the reporting framework associated with the ToC, and this perhaps represents some loss of potential programme quality. But agreement on, formal reporting on, and quality analysis and synthesis of the ToC indicators is highly unlikely to be achieved at this stage in the programme and would be far less conducive to the programmatic "story telling" related to different aspects of EAFM implementation across diverse fisheries that this framework seeks to promote.

¹¹ Harvest control rules (HCR) might include effort control, capacity control, gear control, spatial control

Reporting process and responsibilities

25. Annual reports against the framework would be prepared by each child project coordinator supported national project officers and related to a specific fishery or value chain. Some indicator sections may be irrelevant to some fisheries and will simply be left blank. The reports would be synthesised by the GCU global coordinator (resourcing for which is discussed elsewhere in this report) into a single report designed to compare and contrast, highlight achievements, constraints, and draw out lessons learned in applying EAFM and the key elements of best practice relating to different indicators. This will require significant technical and writing skills, but will fulfil the need for both programme level M&E, a critical practical appraisal of EAFM approaches, and serve as the basis for best practice. It is in essence a less ambitious version of the ToC/programme learning and exchange system, that is however more closely with the programme results framework.
26. This process will supplement and draw on the standard child project results frame reporting.

The ideal process

The above is intended to address the shortcoming in the programme at the present time, but is less than ideal. A more rational, adaptive and participatory approach is described under “lessons learned” in the main report.

Annex 5. Staff positions as envisaged in project document

Staff positions as envisaged in project document

CFI Coordinator

Responsible to ADG Fisheries and Aquaculture Department

Expertise: Fisheries economics or marine affairs with a specialization in fisheries management and/or governance; fish trade, fishery products safety and quality, field of statistics and data management of fisheries

Duration: 5 years

Languages English

Admin and Operations officer
Reporting to Programme Coordinator

Economics, accountancy MBA – knowledge of FAOs systems

Duration 5 years

CFI Project Task Manager

Reporting to CFI coordinator and CFI programme and project steering committees and technical advisory groups and FAO GEF unit

Duration: 4 years (65% WA and 35% GP)

Advanced university degree in economics, fisheries economics or marine affairs with a specialization in fisheries management and/or governance or other field related.

Ten years of relevant experience in fish trade, fishery products safety and quality, field of statistics and data management of fisheries, or related field

Languages: English and French

Lead the Global Coordination Unit (GCU) and provide strategic, supervision and technical guidance services during program and project execution, implementation, monitoring and evaluation, and be responsible for timely delivery of programme and project outcomes and outputs. Ensure an efficient flow of information and knowledge across the five CFI child projects as well as their wide dissemination and visibility.

FAO compliant operational and administrative procedures. Contracts, LOAs, HR, budgeting, financial planning and monitoring, results-based monitoring data, procurement, disbursement, evaluation support

Responsible for all technical and coordination aspects and overall implementation of the Global Partnerships and West Africa projects - in line with Project Results Frameworks indicators and results-based management target.

Develop and maintain the CFI projects' M&E systems to support the delivery of the CFI Program. Assist in M&E training

Annual workplans and budgets

6 monthly Project progress Reports

Collect inputs from National Co-executing Partners and other project co-financing partners and prepare an annual report on the invested co-financing;

Support LTO in preparing annual PIR with LTO

Provide support to Government counterpart institutions, and ensure effective and timely execution of planned activities in the countries and at regional level involving other related parties;

Partner disbursement review and management

Review consultancy TORs

Partner and donor liaison and coordination

	<p>Institutions and workshops to exchange lessons learned, harmonize approaches, generate synergies</p> <p>Materials for capacity development</p> <p>PSC secretariat</p> <p>MTE and FE support</p>
<p>CFI Partner Liaison Consultant</p> <p>Responsible to Programme Coordinator, with CFI Communication manager</p> <p>Skills: Design, media, graphic design, social media campaigns, knowledge and information sharing</p>	<p>Technical and operational support to the implementation, monitoring and evaluation of the CFI information and knowledge sharing strategies, including liaison with CFI Partners for collation, analysis and dissemination of the projects' outcomes and outputs</p>
<p><i>Rome 150 days/yr</i></p> <p>CFI Programme Science to Policy</p> <p>Responsible to CFI programme coordinator, with project task manager</p> <p>Skills: Science communication and policy, marketing. Knowledge management role in a social sector or development organisation.</p> <p><i>Rome, 9 months per year</i></p>	<p>Support the delivery of the CFI Programme and Project outputs and the achievement of the higher level programme objectives by collating, analysing and disseminating relevant project outcomes and outputs to influence decision making by fisheries sector stakeholders at all levels, and by promoting best practices for sustainable marine resource use and improved seafood value chain opportunities, as well as coordinating the monitoring and evaluation work of the Programme and two FAO projects.</p>
<p>Training Consultant (fisheries governance and management)</p> <p>Responsible to CFI Programme Coordinator with Project Task manager</p> <p>Skills: fisheries or fishery governance with a specialization in fisheries management; meeting organization</p>	<p>Run four global workshops targeting key government officials, RFBs and staff of environment/development agencies (including the CFI Partner Agencies) and organisations for the purpose of promoting a shared understanding on key fisheries governance and management concepts, especially in the context of selected CFI and non-CFI initiatives.</p>
<p><i>Rome, 6 months total</i></p> <p>Principal Investigator FPAI</p> <p>Responsible to CFI Programme Coordinator</p> <p>Skills: Fisheries, fishery economics or marine science with</p>	<p>Execution of GPP Component 3. Systematically organize activities on the development and pilot testing of the FPAI on triple bottom line fishery outcomes.</p>

a specialization in fisheries assessment and management	Toolbox development – data limited stock assessment methods; data for management
<i>Rome 14 months total</i>	Build on existing assessment tools to develop a common, broadly applicable system of feasible, low-cost indicators of ecological, economic and social outcomes
	Pilot the triple bottom line FPA instrument in CFI fisheries
Fisheries Stock Assessment Consultant (Post-doc)	Systematically organize activities on the development and pilot testing of the FPAI on triple bottom line fishery outcomes.
Responsible to CFI Programme Coordinator	Tasks same as PI
Skills: Fisheries or marine science with a specialization in fisheries stock assessment and experience with data-limited fisheries	
Rome 1 yr total	
Fisheries Social Sciences Consultant (Post-doc)	Organize activities on the development and pilot testing of the FPAI on triple bottom line fishery outcomes.
Responsible to CFI programme coordinator	Tasks same as PI
Skills: Fisheries sciences, social sciences or economics science with experience in fisheries assessment and management	
Rome 1 yr total	
Peer Review Consultants (Stock Assessment Specialist; Fisheries Economics Specialist)	In-depth review of the social and economic indicators developed and suggest areas for improvement; in depth review of ecological indicators developed and the data-limited stock assessment methods, suggesting areas for improvement.
10 days each	
Computer programmer consultant	transition an Excel- or R-based tool (for each of the ecological, social and economic modules of the integrated PFA system) into a user-friendly, web-based platform, as well as provide guidelines for its use and implementation in the field.
Responsible to CFI programme coordinator	
Rome: 95 days	

Annex 6. Summary of findings and recommendations/lessons learned from the child projects' midterm reviews/evaluations

A. The Challenge Fund-CFI Midterm Review report (December 2020)

Summary of findings and lessons learned

The CFI-CF had a slow start following the WB management approval of its concept note in June 2016. While the global component produced two reports by 2017, it was not able to establish the Investment Advisory Facility, through which TA was to be provided in CFI countries to assist development of a pipeline of return-seeking responsible investments in coastal fisheries. Without clarity on the CFI-CF implementation modality, initial country engagement was limited in Peru, where activities were initiated in early 2018.

CFI-CF activities accelerated since January 2019, when the new implementation modality was designed and targeted outreach to identify relevant WB country teams was initiated. Subsequently, Indonesia joined the CFI-CF in the summer 2019, Ecuador in the fall 2019, and Cabo Verde in February 2020. Unfortunately, participation of Senegal and Cote d'Ivoire did not materialize. The change in the country mix and the implementation modality in the CFI-CF was formalized in the GEF project amendment, which was approved in August 2020.

Activities in Peru were to be scaled up and those in Indonesia, Ecuador, and Cabo Verde to be accelerated in 2020. However, starting with the early termination of the March 2020 mission in Cabo Verde, progress of CFI-CF has been hampered by the Covid-19 pandemic. Several events for consultation and knowledge sharing had been planned but were cancelled or postponed. Nonetheless, each country moved forward through virtual consultation and adjustment of activities towards meeting the required indicators.

Meanwhile, the global component has made an important progress towards delivering the Global Knowledge Product. Since the dedicated team was established in 2020, the format of the GKP was determined (i.e. Global Knowledge Competition) through consultation with the larger CFI-CF team, the concept paper was developed, and the contracting process for Competition design consultancy has begun. Given the uncertainty due to Covid-19, the format of Competition, in particular whether there will be in-person component, has not yet been determined.

One important lesson learned thus far is that the country mix that had been pre-determined at the CFI Program level at the project concept stage did not necessarily match the situation of World Bank country engagement at the implementation stage. As a result, engagement of all six countries of the CFI Program was not possible in the CFI-CF.

B. CFI-West Africa Midterm Evaluation report (April 2020)

Observations principales

65. Malgré des retards accumulés lors du démarrage du projet, puis dus à l'impact de COVID-19, des efforts sont en cours pour rattraper le temps perdu et mener à bien les activités décrites dans le cadre de résultats du projet d'ici son terme en mai 2022.
66. **Pertinence.** L'IPC-AO répond bien aux besoins et aux priorités de développement des pays où il est exécuté, de la FAO et du FEM. L'avènement de l'économie bleue ne fait qu'accroître sa pertinence pour la région.
67. **Efficacité.** À la mi-parcours, les progrès accomplis vers la réalisation des résultats anticipés sous chaque composante du projet sont raisonnablement satisfaisants (voir tableau 1). Une étape essentielle a été franchie avec la préparation d'un état des lieux (ci-après nommés « états de référence ») concernant la gouvernance des pêches et les chaînes de valeur, mais ceux-ci n'ont pas encore amené aux changements et aux améliorations de pratiques envisagés et tous les pays ne sont pas au même niveau. La mise en pratique de l'instrument d'évaluation de la performance des pêcheries a peu progressé, tandis que les activités de réhabilitation des mangroves sont en cours. Une coopérative de transformatrices de poisson a été créée, mais les petits équipements (non prévus par le projet) font défaut pour améliorer la qualité du poisson après débarquement. Bien que le niveau d'interactions au sein de l'IPC-AO entre les trois pays soit très élevé, et que le projet soit officiellement reconnu et approuvé par chaque gouvernement, les interactions avec les autres projets de l'IPC sont limitées et n'ont pas encore permis le partage de connaissances envisagé par le projet. Le système de suivi et évaluation en place est minimal et ne génère pas d'apprentissages. Des efforts de communication sont néanmoins en cours.
68. **Efficience.** Bien que les déboursements se soient accélérés au cours des 12 mois précédant l'évaluation, sur la période allant du 4^{ème} trimestre 2019 au 3^{ème} trimestre 2020, et qu'il soit estimé que 33% du budget (subvention FEM) a été dépensé en février 2021 (soit 2.5 ans depuis le début effectif des activités en septembre 2018), cela reste relativement faible à seulement 17 mois de la fin prévue du projet. Les déboursements par composantes s'alignent cependant sur

ce qui était attendu. Le mécanisme de partage du personnel entre l'IPC-AO et le projet de partenariat mondial (PPM) gérant l'IPC fait l'objet de peu de suivi. Il est aussi difficile d'évaluer précisément les contributions en nature des co-financements des partenaires de l'IPC-AO.

69. **Durabilité.** Certaines dispositions ont été prises, notamment concernant l'ancrage institutionnel du projet auprès des institutions gouvernementales partenaires, pour assurer la pérennité des résultats du projet. Elles restent toutefois à renforcer afin que les résultats du projet atteignent au moins un état stable lorsque le projet arrivera à son terme. La difficulté de mobilisation des co-financements des partenaires, de capitaliser sur les bases jetées par le projet et l'impact du COVID-19 risquent d'amoindrir la probabilité d'impact du projet.
70. **Facteurs affectant la performance du projet.** Un certain nombre de facteurs œuvrent en faveur du projet, tandis que d'autres enfreignent ses progrès. Parmi les facteurs positifs on peut compter : la gestion dynamique du projet et la bonne organisation et la capacité d'adaptation des équipes nationales, notamment face aux contraintes imposées par la pandémie, la motivation du personnel et des partenaires d'exécution, la capacité d'initiative (ex. recherche d'alternatives aux difficultés administratives et de capacité humaine et technique au travers de protocoles d'accord) et la capacité à saisir les opportunités de collaboration au sein de la FAO et avec d'autres institutions sur des thématiques spécifiques, les mesures prises pour institutionnaliser le projet auprès des partenaires, et les échanges entre les équipes des trois pays. Ces efforts compensent cependant juste les difficultés que le projet a rencontrées jusqu'à présent pour avancer. Parmi celles-ci on dénombre : un fort roulement du personnel et étiollement de la « mémoire » du projet en conséquence, un nombre d'activités considérables à mettre en œuvre de manière égale dans les trois pays, la difficulté de traçabilité du temps passé par tous les membres du personnel de l'unité de coordination du projet au siège de la FAO et des contreparties des partenaires, la fonctionnalité partielle de certains organes de gestion (ex. Comité de pilotage) qui entrave le pilotage stratégique du projet, le fait que le projet opère en relative isolation par rapport aux autres projets de l'IPC, et des partenariats encore insuffisants – à l'exception de celui établi avec le projet SIDA sur la pêche artisanale – avec les organisations de la société civile et le secteur privé. Les activités de communication et de partage des connaissances ont fait l'objet d'attention récente, mais restent à développer. Le système de suivi et évaluation est actuellement insuffisant pour suivre la contribution du projet à l'IPC plus généralement et pour satisfaire les exigences du projet en termes d'apprentissages.
71. **Problématiques transversales.** La dimension genre a été bien intégrée au projet, tant au niveau des activités (le cadre de résultats a été rendu sensible au genre) qu'au niveau de la conscientisation des équipes sur l'importance de cet aspect. Les préoccupations environnementales et sociales sont au cœur de l'IPC-AO et en conséquence bien prises en compte.

Conclusions

Conclusion 1. L'IPC-AO répond à des besoins et aux priorités de développement de la FAO, du FEM et des pays.

Conclusion 2. Malgré une amélioration du taux de réalisation des activités au cours des derniers mois, et ce malgré les délais accusés dans la phase de démarrage du projet puis dus à la

pandémie de COVID-19, il reste à faire pour que de vrais apprentissages et des changements réels de pratiques et de comportement au niveau des acteurs et des institutions aient lieu.

Conclusion 3. Le taux de déboursement s'est accéléré mais reste relativement faible et le niveau d'engagement des co-financiers n'est pas précisément mesurable.

Conclusion 4. À part un ancrage institutionnel auprès des administrations nationales, peu de dispositions ont encore été prises pour assurer la pérennité des résultats du projet dans le temps.

Conclusion 5. Le projet est géré de manière très dynamique et adaptive. Ceci n'est cependant pas tout à fait suffisant pour prendre en charge tous les problèmes inhérents au projet qui affectent sa performance.

Conclusion 6. Le projet a bien pris en compte la dimension genre et les préoccupations environnementales et sociales.

Recommandations

Recommandation 1. La stratégie de recrutement et d'organisation du personnel de l'IPC-AO doit être revue et considérée conjointement à celle du PPM.

Recommandation 2. La mobilisation des contreparties financières des partenaires d'exécution est urgente, et le suivi comptable des co-financements doit être amélioré.

Recommandation 3. Une rationalisation du cadre de résultats et consolidation des activités restantes s'avèrent nécessaires.

Recommandation 4. Une extension sans coût d'un an minimum, une stratégie de désengagement et le guidage des organes de supervision du projet sont nécessaires pour piloter le projet de manière plus stratégique d'ici son terme et en préparation de l'« après-projet ».

Recommandation 5. Il faut poursuivre la manière dont le suivi des activités est effectué, tout en l'améliorant grâce à des interactions accrues avec le PPM.

Recommandation 6. Des efforts doivent être faits pour améliorer la visibilité de l'IPC-AO sur le terrain et auprès de tous les acteurs, y compris les femmes, et développer des relations plus étroites avec les projets actifs dans la région.

Recommandation 7. Il conviendra d'amorcer une discussion avec le FLO et le secrétariat du FEM sur la fourniture de petits équipements et effectuer une révision budgétaire à cet effet le cas échéant.

Recommandation 8. Des efforts sont à faire pour mieux partager les enseignements du projet et valoriser ses produits.

C. CFI-Latin America Midterm Review report (January 2020)

The table below summarizes the findings, conclusions and recommendations derived from each Evaluation Question

CRITERION	EQ	FINDING	CONCLUSION	RECOMMENDATION
Project Strategy & Design	EQ1	<ul style="list-style-type: none"> <i>The project strategy is highly relevant to the priorities of the countries</i> <i>The ToC presented in the ProDoc is inadequately prepared and this weakness affects the application of ecosystem management and systematic adaptation, which is considered key to achieve the objective of the CFI-LA.</i> <i>Only four of the eleven indicators in the results matrix are SMART, and consequently the shortage of SMART Outcome Indicators affects the ability to measure effectiveness.</i> <i>Although progress has been made with excellent results related to the communities of practice, the indicators do not reflect the expected SMART outcomes, since all but only four of the indicators measure outputs.</i> 	<p>The project strategy is relevant to the priorities and fostering country ownership. However, the weak ToC is a barrier for achieving the most efficient, effective and sustainable path toward the CFI-LA's objectives and the expected results.</p> <p>Expected results have been achieved, but most of these are outputs, and not SMART outcomes.</p>	<p>R2: Reconstruct the Theory of Change and the non-SMART indicators (see suggestions in Annex 7.3) and add robust assumptions</p>
Progress Towards Expected Results	EQ2a	<ul style="list-style-type: none"> Excellent examples of strengthened capacity building and awareness among communities of practice. Four important unexpected outcomes (<i>participatory research and monitoring by fisherfolk, Sta. Elena actions by government to address water quality issues and dorado traceability in Ecuador; Credit funds for benthic</i> 	<p>All the fishermen and women interviewed recommended that good practices should be shared and replicated in other communities, both in Peru and Ecuador.</p>	<p>R10: Continue experimenting with incentives that catalyze the formalization of artisanal fishermen into the formal sector.</p>

		resource harvesters and women in mangrove capture fisheries) are exemplary.		
		<ul style="list-style-type: none"> • Excellent examples of strengthened capacity building and awareness among communities of practice 		R4: Exchange practical experiences that have been achieved in each country
	EQ2b	<ul style="list-style-type: none"> • The weakness of the ToC and the indicators in the results matrix make it difficult to analyze the extent to which the project is on track to meet its objectives. 	Although many of the activities, outputs and outcomes have been achieved, there are serious doubts if the set of results lead the project towards its objectives, mainly due to the weakness in the design.	R2: Reconstruct the Theory of Change and the non-SMART indicators (see suggestions in Annex 7.3) and add robust assumptions
Project	EQ3a	Although there were serious delays during the first years of the project, in the medium-term these weaknesses have been overcome and there are good signs that there is better efficiency.	Although the project was highly inefficient at startup, adaptation was reactive, rather than proactive. However, many of these barriers have been overcome and evidence indicates that the project is progressing more efficiently.	R8: Streamline procedures for contracting services, procurement, and budget execution

Implementation and Application of Adaptive Management Principles				
		There are still delays with the approval of contracts	Currently the bottleneck is in contracts and acquisitions; the TOR and frame of reference are carried out with the participation of the National Directorate team to avoid shortcomings and in this way, approval is rapid	A12: Review processes that result in weakly formulated projects
	EQ3b	<ul style="list-style-type: none"> The UNDP project performance M&E system, communication and quality control have been exemplary. However, this M&E platform only measures project performance and does not measure the effectiveness of component interventions, as specified in Component 3 since. 	Although the M&E system at the project level is exemplary, it does not have the capacity to measure the effectiveness (that is, the effects) of the interventions, as outlined in the ProDoc.	R5: Develop an M&E and Knowledge platform in real time that measures the effectiveness of management interventions that promotes adaptive learning.

		<ul style="list-style-type: none"> • There is a gap in the application of adaptive management and confusion over the definition of ecosystem management and ecosystem-based fisheries management due to the fact that for two decades it has applied both concepts in a generalized and routine way, as a black box. In this format, EBFM generally adds little in the form of analytical knowledge or practical guidance and as formulated, it could be used to defend a series of conflicting objectives. 	Adaptive Management (AM) is the key to ecosystem management and to address the complex dynamics, uncertainties and inherent unpredictability of ecosystem services. Nonetheless, the CFI has not applied the principles of AM, largely because of the weak ToC.	R9: Agree on a single definition of the ecosystem management concept to be applied and SMART indicators that inform the extent to which the triple bottom line impacts are achieved using AM and the preferred EBM concept.
		<ul style="list-style-type: none"> • Lack of clarity on the extent to which the OHI will measure the effectiveness of the CMSP; the OHI also does not provide information in real time and there are doubts about its ability to promote the principles of adaptive management. • There is an opportunity to develop an approach that integrates both the OHI and a real-time M&E platform. 	Although the OHI may serve as the future platform to inform decision makers, it is prudent for Peru to develop a real-time M&E platform to measure the effectiveness of its interventions related to ecosystem and adaptive management, until Peru's OHI can be institutionalized and to provide lessons on how the Index can be streamlined. The Real time platform should be carried out to fill in the large time gaps (up to 5 years) between OHI calculations.	R7: Develop the OHI in conjunction with a real-time M&E platform in Sechura Bay based on a GBE / MIZC / CMSP approach in conjunction with a real-time M&E platform that applies AM to capture lessons systematically.
Sustainability	EQ 4	<ul style="list-style-type: none"> • The risks presented in the ProDoc and the measures to mitigate them are weak and do not touch on the deeper risks that the CFI should address. Among these, we have: • Institutional barriers are related to the incongruity of sector policies, plans and mandates with the management of the resilience of ecosystem services in marine-coastal areas. • The lack of inclusion and mainstreaming of a strategy and actions to insert women into the governance platform and in value chains is a 	<p>Institutional, environmental and social risks threaten the sustainability of the CFI-LA and a weakness with the strategy of mainstreaming the role of women in the value chains of the artisanal fishing subsector is a critical risk, given the important role that women play in seafood value chains.</p> <p>There is a gap between the approaches to addressing gender equity in both countries in</p>	<p>R6: Strengthen the Binational coordination of the CFI-AL and prepare a risk analysis and a Mitigation Plan.</p> <p>R3: Update the approaches and indicators related to gender</p>

		worrying gap in the construction of a critical mass (constituents) to carry out interactive governance.	terms of mainstreaming gender equity in the value chains of the artisanal fishing subsector.	equity in both countries to mainstream it in the CFI-LA
		<ul style="list-style-type: none"> Environmental hazards associated with persistent chemicals in lower watersheds 	There is evidence that many watersheds that empty into the coastal areas of both countries are contaminated with toxic and persistent chemicals that are possibly affecting both human and ecosystem health.	R13: Conduct a survey of the concentrations of persistent pollutants in the water, sediments, and shell and crabs of the Tumbes Mangrove Sanctuary.
Impact	EQ5	There are incentives that promote sustainable fishing practices (e.g., the biological laboratory working closely with the black mussels and crabs of Tumbes; the traceability of the catch and added value of Dorado, etc.)	Progress with the communities of good practice is an incipient sign that the project is moving towards its first stage of good governance. The fact that the project is narrowly focused on the areas of intervention is also key and promising.	R4: Exchange practical experiences that have been achieved in each country
		Triple bottom line impacts requires more than just an increase in wages and the extent to which artisanal fishing contributes to a country's GDP, as the OHI aims to measure. The CFI does not mention labor rights and it is surprising that there is no mention of the FAO Guidelines for the sustainability of small-scale fisheries.	The sustainability of a project should be focused on achieving triple bottom line of impacts, and although the CFI-LA is focused on improving the economic dimension, it lacks indicators that measure labor rights, access to a healthy environment, (social dimension) and the equitable access to ecosystem services .	R14: It is suggested that the global CFI pay more attention to fishing rights, and particularly human rights, that go beyond the one-dimensional indicators of the OHI.
Others	EQ6	The lack of robust assumptions and indicators of SMART outcomes is an unexpected weakness that was found mid-term.	The weak design of the ToC is one of the biggest surprises, given that it was touted to be the strength of the project, despite warnings by the STAP Report. Unless remedied, the poor design will affect future CFI interventions in both countries and elsewhere.	R2: Reconstruct the Theory of Change and the non-SMART indicators (see suggestions in Annex 7.3) and add robust assumptions

		Also, the uncertainty of the magnitude of the potential effects of sewage effluents, agrochemicals, among others that are found in the lower watersheds along the coast of both countries and especially the mangroves of Tumbes was an unforeseen finding that requires data to describe the magnitude of the problem. The estuaries of both countries are of special importance given that benthic resources being harvest and marketed have a mercury bioaccumulation risk for consumers of those products.	Based on the extensive agricultural activity and artisanal gold mining, it is likely that chemical released from with these activities are present in the river basins that overflow into the estuaries along the coasts of both countries.	A13: Conduct surveys of the concentrations of persistent pollutants in the water, sediments, and especially molluscs and crabs of the Tumbes Mangrove Sanctuary, and in those adjacent to Guayaquil bay.
		One of the best examples of SMART outcomes that the project has achieved with the communities of practice in Peru has been with its support to the INCABIOTEC laboratory, which has been key to supporting the fishermen of the benthic resources in the mangroves.	<p>Several Communities of Practice are now demonstrating how triple bottom lines can be achieved and measured with SMART outcomes.</p> <p>The participatory benthic resources monitoring and research by fishers and two other unexpected positive outcomes (Sta. Elena actions by government to address water quality issues and dorado traceability in Ecuador) offer models that could be tested and replicated in other CFI projects.</p>	R4: Exchange practical experiences that have been achieved in each country