



Mid-term evaluation of the project “The Coastal Fisheries Initiative global partnership”

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**Mid-term evaluation of the project
“The Coastal Fisheries Initiative
global partnership”**

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Abstract

The Coastal Fisheries Initiative (CFI) is a global programme to support responsible coastal fisheries and the maintenance of ecosystem services through implementation of more holistic and better harmonized approaches. It comprises subsidiary regional projects in Indonesia (CFI-Ind), Latin America (CFI-LA) and West Africa (CFI-WA), a sustainable investment support project and a global partnership and coordination project (GPP). The mid-term evaluation is a requirement of the Global Environment Facility (GEF) and the Food and Agriculture Organization of the United Nations (FAO) for project monitoring and reporting, to serve both the accountability and learning purposes of GEF, FAO and other participating institutions.

The evaluation was undertaken between November 2020 and February 2021. It was constrained by the COVID-19 outbreak restricting interviews and discussions to internet calls and preventing field work. Otherwise, a standard evaluation method was used, constructing an evaluation matrix and seeking answers to a range of evaluation questions through programme document search and review, emails, interviews and polls. The evaluation also drew on the parallel evaluations of the CFI-WA and the CFI-LA, and the CFI Global Challenge Fund (CFI-GCF) review, and obtained the beneficiary perspectives in this manner.

A key result of the evaluation is that the GPP has so far had limited impact in terms of strengthened global partnership to “enhance understanding and application of integrated, participatory and collaborative approaches”. Additional key conclusions are presented below.

- i. The GPP as envisaged is highly relevant to the needs of fishery professionals, organizations and communities across the globe and aligns fully with relevant international and national strategies and commitments. The results to date, though limited, are also broadly relevant.
- ii. The GPP has failed to monitor systematically and report on the progress of the CFI programme. Efforts are underway to remedy this.
- iii. Beyond its global consultation meetings, the GPP has so far failed to facilitate significant programme-wide exchange and learning. Its approach needs some refinement and clarification.
- iv. At the same time, the project’s on-going initiatives to develop theme knowledge products and best practices can ensure long-term sustainability of CFI programme impact.

The report presents the following key recommendations:

- i. GPP Global Coordination Unit (GCU) should actively facilitate greater coordination and integration between CFI GCF and subsidiary projects.
- ii. The GCU should convene the Global Reference Group (GRG) to increase global stakeholder ownership and review remaining programme opportunities.
- iii. The GCU should implement its responsibility to report against the CFI programme results framework to the Global Steering Committee (GSC) on the progress and achievements of the programme. Agreement on a simplified framework and process for programme level reporting should be sought as soon as possible.

The project will likely need to request an extension of one to two years. An extension is recommended, provided that the project actively progresses on the evaluation’s recommendations.

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The MTE was carried out with the invaluable assistance of CFI partners of all child projects, as well as contracting partners and other organizations closely associated with the CFI. Their insight, knowledge, advice and comments made this MTE possible.

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Abbreviations and acronyms

CFI	Coastal Fisheries Initiative
CFI-GCF	CFI Global Challenge Fund child project
CFI-GPP	CFI Global Partnership project
CFI-WA	CFI West Africa child project
CFI-LA	CFI Latin America (Ecuador & Peru) child project
CFI-Ind	CFIs Indonesia child project
CCRF	FAO Code of Conduct for Responsible Fisheries
EAF	Ecosystem approach to fisheries
FAO	Food and Agriculture Organization of the United Nations
FPAI	Fisheries Performance Assessment Instrument
FPAT	Fisheries Performance Assessment Toolkit
GCU	Global Coordination Unit
GEF	Global Environment Facility
GRG	Global Reference Group
GSC	Global Steering Committee
LTO	Lead Technical Officer
MERA	Methods evaluation and risk assessment
MPA	Marine protected area
MTE	Mid-term evaluation
MSC	Marine Stewardship Council
PIR	Project implementation review
PPR	Project progress reports
TOC	Theory of change
TOR	Terms of reference

Executive summary

1. This mid-term evaluation (MTE) is a requirement of the Global Environment Facility (GEF) and the Food and Agriculture Organization of the United Nations (FAO) for project monitoring and reporting, and serves both accountability and learning purposes of GEF, FAO and other participating institutions.
2. The Coastal Fisheries Initiative (CFI) is a global programme to support responsible coastal fisheries and the maintenance of ecosystem services through implementation of more holistic and better harmonised approaches. It comprises subsidiary regional “child” projects in Indonesia (CFI-Ind, GEF ID 9129), Latin America (CFI-WA, GEF ID 9060) and West Africa (CFI-WA, GEF ID 9126), a sustainable investment support project (GEF ID 9125), and a global partnership and coordination project (GEF ID 9128).
3. The evaluation is primarily focused on the Global Partnership project (CFI-GPP or GPP), but insofar as part of the remit of the GPP is to coordinate the CFI programme, it necessarily draws on findings related to other child projects, through partner interviews and their respective MTEs. The evaluation is closely linked to that of CFI-West Africa child project (CFI-WA), under FAO responsibility (project symbol: GCP/RAF/837/GFF), whose MTE is being conducted in parallel with this assessment.
4. The evaluation was undertaken between November 2020 and February 2021 by the Lead Evaluator (of the GPP) supported as appropriate by lead evaluator CFI-WA, and the evaluation manager (FAO Office of Evaluation [OED]).
5. The evaluation was constrained by the COVID-19 outbreak restricting interviews and discussions to internet calls and preventing field work. This reduced the efficiency of interviews, and in particular the quality of exploratory exchanges between the evaluators and project personnel into the complex factors underlying project achievements and shortfalls.
6. Otherwise, a standard evaluation method was used, constructing an evaluation matrix and seeking answers to a range of evaluation questions through document search and review, emails, interviews and polls.
7. The evaluation questions were developed based on the overall CFI programme rationale and objectives, and the GPP project rationale and results framework. They are encompassed in the findings below and listed in section 2.3 of the report.

Findings, conclusions and recommendations

8. Conclusions are numbered C1, etc. and presented in bold. They are followed by a summary of the findings on which the conclusion is based. Recommendations (where appropriate) follow the conclusions and findings. They are presented in bold italics and numbered R1 etc.
9. Project results at the time of writing this report were limited for a variety of reasons, including delayed recruitment, loss of personnel and lack of consistent or effective higher-level management. Furthermore, many of the outcomes and results of CFI-GPP depend on coordinating and building on results from other child projects, and most of these also suffered significant delays in implementation. More recently the COVID-19 outbreak has presented additional challenges. Some of these issues have now been addressed and the project appears to be moving forward more efficiently and effectively. ***This evaluation addressed the situation as***

of November-December 2020 and does not therefore fully reflect those recent improvements.

Relevance

C1. The GPP project as envisaged is highly relevant to the needs of fishery professionals, organizations and communities across the globe, and aligns fully with international and national strategies and commitments. The mechanisms for CFI programme wide learning and best practice development need some refinement and clarification if relevance is to be maximised.

10. The CFI as outlined in the programme rationale and higher-level objectives is highly relevant to the challenges facing coastal fisheries management and associated communities, and contributes strongly to GEF objectives, FAO objectives and country frameworks, as well as the Sustainable Development Goals (SDGs).
11. The value of global coordination, and the pooling of experience and expertise as a basis for learning (as envisaged under the GPP) is self-evident if these challenges and objectives are to be addressed effectively and efficiently. The need for and nature of global “best practice” is less clear, in so far as the generic challenges to sustainable and equitable fisheries are widely reported and understood, and a range of tools and approaches are available, (and indeed have been promoted by FAO under the Code of Conduct for Responsible Fisheries (CCRF) and associated guidance for many years). The challenge is to implement these across a very wide range of situations, to learn from this experience and to refine guidance – with examples, case studies and lessons learned - as appropriate.
12. The degree to which the child projects are addressing the fundamental challenges of sustainable fisheries is unclear. These include access rights and ownership, stock health assessment and monitoring, and the establishment of inclusive institutions to agree harvest control rules where this is necessary. Some of the child projects are addressing these issues, but the lack of programme level reporting against them is weak (C5, paragraph 20) and programme progress and learning unclear.
13. The GPP Global Coordination Unit (GCU) is not recognised as such by child project personnel interviewed – at least until Autumn 2020 – since it has failed to coordinate programme level monitoring and evaluation (M&E), has not actively coordinated approach or facilitated activity, and synthesis, review and comparison of experience has been very limited. There is evidence this is now changing.

C2. The Fisheries Performance Assessment Toolkit (FPAT), in the form and manner in which it is being developed and deployed, may be of limited utility and relevance to some of the child project fisheries.

14. Support by the GPP for fisheries assessment and monitoring – a key function of Component 3, has been limited to date while the FPAT is being developed, and this has undermined its relevance and utility for the child projects (discussed further in paragraphs 27-31 below).

Achievement of results and effectiveness

Overall progress toward project objective

C3. The GPP has had limited impact in terms of strengthened global partnership to “enhance understanding and application of integrated, participatory and collaborative approaches”;

and while performance assessment tools are now being rolled out, they have not been “co-developed” and have not yet served “to identify empirically effective pathways towards environmental, social and economic sustainability” for these fisheries.¹ The reasons for the limited achievements are set out in more detail in section 5.2.1 and summarized below.

Component 1: CFI Coordination and adaptive management

C4. Beyond the successful annual global consultations, GPP success in facilitating enhanced and intensified collaboration among environmental and development organizations has been limited both within and beyond the CFI.

15. The impact of GPP on global partnership and coordination has been mixed. The three global consultations (convened in Latin America, West Africa, and most recently online) have been effective at bringing a wide range of partners and fishery stakeholders together and strengthening personal relationships and networks. The forthcoming development of the theme “knowledge products” offers good potential to promote collaboration and exchange.
16. There is little evidence to suggest that partners have worked together to develop or consolidate approaches and methods across the programme target fisheries – for example in terms of coordinated approaches to baseline governance analysis, fisheries assessment, or facilitating increased participation in decision making. The FPAT has not been co-developed in line with the project objective and remains to be finalised. To date there has been no effective forum or platform for the exchange of ideas on fisheries assessment between child projects beyond the global consultations, although there have been recent initiatives to strengthen this through “D-groups” and the process of theme knowledge product development.
17. The Global Challenge Fund child project (CFI-GCF) appears to be running in parallel with the “site based” child projects. There has been little attempt to bring together investment facilitation with other child project interventions to bring about a more holistic, integrated mutually supporting approach. It may be that promotion and facilitation of the forthcoming GCF “competition” will be targeted at other child project fisheries, but there is no strategy or mechanism to achieve this, and GPP GCU has not been active in facilitating such integration.

R1. GPP GCU should actively facilitate greater coordination and integration between CFI-GCF and site-based child projects.

18. Going beyond the CFI, there is no evidence that GPP has enhanced and intensified collaboration among global environmental and development agencies and organizations – beyond the impact of the global consultations. The Global Reference Group (GRG) has not been established, and the FPAT is being developed as a relatively isolated exercise with little input from other global players with an interest in fisheries assessment and monitoring.

R2. The GPP GCU should convene the GRG to increase global stakeholder ownership and review remaining programme opportunities.

19. The challenges however should not be under-estimated. Partnership and collaboration – especially when seeking to address complex issues in a holistic manner in diverse contexts –

¹ **GPP Development Objective:** To strengthen global partnership for the purpose of enhancing the understanding and application of integrated, participatory and collaborative approaches, among local and global partners **who co-develop** and utilize frontier tools to assess coastal fisheries performances, and identify empirically effective pathways towards environmental, social and economic sustainability for these fisheries.

involves substantial transaction costs. A stronger and better resourced GCU supported by a GRG should however go some way to meeting this challenge.

C5. The GPP has failed to monitor systematically and report on the progress of the CFI

20. The GPP and child projects have all submitted project progress reports (PPRs) and project implementation reviews (PIRs) against their own results frameworks on a regular basis. To date there has been no consolidated reporting to the Global Steering Committee (GSC) against the CFI programme results frameworks or theory of change (TOC), either by the child projects, or by GPP's GCU which is responsible for programme wide M&E.

R3. The GPP GCU should implement its responsibility to report against the CFI programme results framework to the GSC on the progress and achievements of the programme.

C6. The GPP has failed to implement a programme wide reporting, analysis and learning framework as envisaged in the programme TOC.

21. The CFI programme TOC was intended as "a programme-level framework for the analysis of emerging challenges and learning across the various initiatives that will make up the CFI" (Olsen & Townsley, 2016). It seeks to encompass the key elements of holistic approaches – in particular the ecosystem approach to fisheries (EAF) – and facilitate comprehensive reporting of experience and learning against most, if not all these elements.
22. Reporting against the TOC indicators was discussed at the first two Global Consultations, where it was decided to select a small subset of indicators for routine reporting, although this was never implemented. This represents both a reporting failure and a misunderstanding of the nature and purpose of the TOC, and undermines its utility as a framework for programme wide reporting of experience and learning. The TOC and its potential role as a framework for CFI learning is discussed in some detail in sections 4.2, 5.5.1 and Annex 4.

R4. Agreement on a simplified framework and process for programme level reporting of experience, which directly supports programme wide learning and development of best practice, should be sought as soon as possible.

23. There has been no coordination, synthesis, analysis and reporting to the GSC of baseline assessments (governance analysis, fisheries or ecological health or performance assessment) undertaken by the different child projects, which might have served as the basis for monitoring and assessment of both child project intervention impact, and programme impact.
24. There is no programme wide strategy on the development and use of subsidiary TOC by individual child projects, though some (Latin America) are in process of developing them independently. While it is probably too late to develop these as part of a rigorous, consistent and integrating framework for reporting progress (especially given the existing project and programme level results frame indicators) there is nonetheless a strong argument for developing fishery or site specific TOCs to facilitate a shared understanding of the logic and rationale for project interventions at the different sites, how these interventions exemplify a holistic approach, and how they relate to higher level programme objectives and outcomes. This would also help build and cement local teams in a common purpose. *It would be useful if the three regional site-based child projects could incorporate possible sustainable investment interventions within these TOC to promote integration with CFI-GCF and highlight areas for the GCF competition to focus on.*

R5. Child projects should be encouraged to develop their own TOC for each project site (fishery, or coastal ecosystem) incorporating possible CFI-GCF supported investment initiative (Annex 4).

Component 2: Policy Influence and catalytic role – knowledge management and sharing

C7. Beyond the global consultations, the GPP has so far failed to facilitate significant programme wide exchange and learning.

25. To date, programme wide sharing of experience, knowledge and learning has been limited to the (nonetheless effective) global consultations. While knowledge sharing strategies have been developed, the weakness so far lies in the mechanisms for sharing learning and knowledge, and lack of material to feed into development of best practice (see paragraphs 21-24 above). Developing theme knowledge products should make a significant contribution in coming years.

R6. The GPP GCU should be more strategic and ambitious in developing CFI best practices, drawing on enhanced reporting of experience and lessons learned by child projects (see also R3, R4).

C8. The FAO CFI website (<http://www.fao.org/in-action/coastal-fisheries-initiative/en/>) is only partially representative of programme wide activity, does not facilitate cohesion across child projects and is poorly linked to important supporting resources.

26. The CFI website does not yet exist as a joint effort by all partners.² While it is a useful source of “news stories” and insights into the nature of some of the child project interventions, it does not offer a comprehensive resource for programme documentation, guidance, exchange and learning. Furthermore, the Latin America, Indonesia and GCF child projects all use their own websites, and these are poorly cross linked. The proposed incorporation of a D-groups portal may enhance its utility for exchange and learning in the future, but will need strong technically informed leadership/moderation to inform lessons learned and best practice development.

R7. The CFI website should be substantially improved, with effective links to a wide range of EAF supporting resources, and to other partner and collaborator websites.

R8. D-Groups or similar exchange fora should be professionally and technically facilitated to draw out lessons learned and best practices, building on and implementing R4.

Component 3: Establishment of a Fisheries Performance Assessment Instrument (FPAT)

C9. The FPAT has not been co-developed “in close collaboration with CFI partners, academia and research networks” or deployed strategically to support child projects establish a baseline.

27. The FPAT has not been co-developed (a term used in the project objective) and remains to be finalised. An introductory e-learning module is available, some initial training has taken place and data collection manual have been prepared.
28. The tool has not been used in a preliminary simplified form to undertake baseline or mid-terms assessments as envisaged in the CFI framework and child project documents. The CFI-GCF child project has undertaken a Fisheries Performance Indicator (FPI) analysis of several target fisheries in Peru, and baseline assessment and monitoring of target fisheries is already taking place in Indonesia. There has been no review or comparison of these and other fisheries assessment

² Inability of all the partners to contribute to the management of the website is a wider problem related to FAO policy and protocols.

approaches - as called for in the GPP Project Document – at least none that are available to programme partners.

29. Although there is now significant interest from the partners in the application of the FPAT there are concerns amongst some child projects about the data collection burden; and the training envisaged does not appear to be linked to practical application in support of strengthened participatory fisheries or ecosystem management under the programme. It appears to be going forward more as a scientific exercise to be conducted by national research institutions on suitable fisheries. In the absence of clear mechanisms to promote ownership and use of FPAT by existing or emerging participatory management institutions and processes, it is unlikely to “*identify empirically effective pathways towards environmental, social and economic sustainability*”³ within the timeframe of the CFI programme.
30. The integration of FPI with Methods Evaluation and Risk Assessment (MERA) to generate a comprehensive FPAT has delayed roll-out and may have added to complexity and reduced utility for emerging fishery management institutions, for many of which the MERA module may be inappropriate.
31. There has been very limited engagement with the wider global professional fisheries communities. There are many global initiatives relating to fisheries assessment, monitoring, and strengthening of fishery management response mechanisms for data poor fisheries. There has been no significant attempt to promote engagement⁴ with these initiatives since the first brainstorming workshop in early 2016 and the first global consultation. The global fishery assessment community appears to be more, not less divided than it was at the outset. The GRC, which might have played a part in reviewing the nature and application of the tool (for example, is it a good idea to combine FPI with MERA?) has not been convened.

R9 The GCU should take a more proactive role in support for and coordination of fisheries performance assessment of child project fisheries, and this support should not be restricted to FPAT training, but responsive to local management institution needs and capacity.

Efficiency

C10. Apart from the Global Consultations, resources have not been deployed efficiently and effectively.

32. GPP project implementation has been inefficient due to a range of factors including slow recruitment of a project manager; limited time allocation for the global coordinator role; failure to retain the first project manager; higher level management staff (Budget Holder) changes in FAO; lack of continuity of leadership of other child projects; limited realization of several key roles in the GCU and a lack of identity of such a unit; and dependency on a combination of short term consultancy and part-time FAO professional “contributions in kind”. These factors have together contributed to the lack of realization of an effective, efficient and responsible GCU. Crucially, the lack of professional continuity in the GCU (and other child projects) has severely compromised programme wide coordination and learning.
33. An analysis of expenditure suggests a large part of the budget has been spent on communications and FPAT, neither of which to date have generated significant results or impacts.

³ From the GPP development objective.

⁴ The project objective calls for “co-development”, and outcome 3 of the CFI framework calls for use of “agreed tools”.

34. COVID-19 has necessarily restricted travel and field based personal exchange and interaction, reducing the efficiency of programme wide learning mechanisms.
35. Notwithstanding these shortcomings, it should be acknowledged that programmes of this scope and magnitude – seeking to apply holistic approaches in a coordinated way with multiple partners and large numbers of stakeholders in highly diverse situations - will inevitably suffer from very high transaction costs which significantly constrain the opportunities for effective partnership and collaboration. Future programmes should include an explicit funding strategy (GEF budget and partner in-kind) for supporting long term professional expertise, thereby enhancing learning, capacity, ownership and accountability.

R10. FAO contributions in kind in support of GPP should be planned and programmed with clear allocation of time and responsibility; and professional time inputs, allocation and achievements should be rigorously reported.

R11. The GPP should develop a staffing strategy for the GCU for the remainder of the programme (longer term staff positions, consultants, contributions in kind) with more emphasis on few longer-term staff or consultants.

36. This staffing strategy should address the needs outlined above including programme wide reporting of progress and experience/learning; pro-active partner facilitation, collaboration and coordination, including technical leadership and coordination in identifying, reviewing and synthesising best practice; and more pro-active facilitation, exchange and learning in support of fisheries performance assessment.

Sustainability

C11. Current initiatives to develop theme knowledge products and best practices should ensure long term sustainability of programme impact.

C12. There is little evidence to date that global partnerships and collaboration between organizations working to promote sustainable coastal fisheries have been enhanced beyond the scope, requirements and timescale of the CFI.

37. The sustainability of the GPP project remains to be established, depending as it does on dissemination and successful implementation of best practices which are only just beginning to be assembled; and greater collaboration between organizations working in support of sustainable fisheries management. The GRG was intended as a mechanism for engaging global stakeholders in the CFI, reviewing progress and generating consensus on effective approaches and tools, and promoting best practice more widely. It might also have served as a longer term “platform” to generate more collaboration, partnerships and agreements in the future. Its absence is likely to weaken longer term sustainability of CFI’s impact at global level (see R2).

Factors affecting progress

C13. Project progress has been negatively affected by the staffing strategy of GCU and dependence on contributions in kind, FAO’s cumbersome recruitment procedures, the failure to retain core staff and the parallel delays in implementing other child projects.

38. It is also arguable that the GEF allocation of USD 2 652 294 is inadequate to coordinate, manage, develop tools and facilitate learning and exchange across multiple partners in diverse settings working in very different ways. The shortfall was assumed to be balanced through contributions

in kind; but such contributions are no substitute for the dedication, ownership and accumulation of programme knowledge that comes with long term and full-time professional appointments.

C14. Responsibility for higher level management of the programme is ambiguous and ineffective.

39. Lack of clarity and ambiguity in responsibility for programme success may lie behind lack of progress in programme M&E. The GSC is ultimately responsible for project and programme oversight but has hardly functioned in this capacity. It is chaired by FAO, which is also an implementer and executor of two projects and lacks any executive or budgetary power over the other implementing partners, or the power to demand progress reports. The GEF Secretariat – the funder – is a member of this committee but does not exercise executive power.

R12. The GEF Secretariat, as primary donor, should chair the GSC with GCU as programme secretariat, and should require programme level reporting as specified in R3, R4 and R5.

R13. The project will likely need to request an extension of one to two years. An extension is recommended, provided that, at the time of the request, the project is actively progressing on recommendations R1-R12 made in this report, and in particular R1, R4 and R11.

C15. Contracting out of Component 3 may have undermined integration of FPAT with needs and opportunities associated with child projects.

40. The contracting out of the FPAT development work has separated this function from that of the GCU and global coordinator, and isolated it from the rest of the programme, undermining opportunities for a more bottom up and needs driven approach to baseline analysis and fisheries assessment and monitoring (see R9).

Cross cutting

41. Since GPP is a global coordination project, the direct stakeholders are global fisheries professionals. Fisheries stakeholders on the ground are addressed through child projects. The main mechanism and forum for engagement of global fisheries representatives and professionals is the GRG, which has not been convened.
42. The GPP does not specifically encompass gender responsive measures, beyond the responsibility to facilitate learning and exchange in relation to gender across the programme (which does incorporate gender responsive measures in each child project), and the normal gender protocols associated with FAO recruitment. The former is likely to be realized through the theme document on women in the value chain.
43. The GPP is now heavily focused on facilitating programme wide learning and the preparation of knowledge products, primarily the four “theme documents”.

GEF rating table

Table 1. GEF rating table

Detailed ratings table is presented in Appendix 1.

Progress towards achieving the project's development objective	Unsatisfactory
Overall progress on implementation	Unsatisfactory
Overall risk rating	Marginally satisfactory

Additional information

Progress, challenges and outcomes on stakeholder engagement

44. The stakeholders for the GPP are the implementing partners and executing agencies as well as the global fisheries community in terms of fisheries representatives, regional fishery management organizations (RFMOs), development and environmental non-governmental organizations (NGOs), fishery scientists and Government fisheries ministers and officers.
- i. Engagement of CFI partners for the purposes of coordination, M&E and learning exchange has been facilitated through global calls and global consultations, and have been limited mainly to mutual updating of progress. GPP is now facilitating more active learning partnerships through the recent establishment of four regular committees aimed at facilitating the CFI's knowledge management process and developing the roadmap to four proposed CFI knowledge products.
 - ii. Engagement of global stakeholders associated more loosely with CFI has been undertaken through the three global consultations which have worked well.
 - iii. Engagement of global fisheries stakeholders through the GRG has not taken place. Gaining commitment and interest from diverse stakeholders is intrinsically challenging and has not been pursued.
 - iv. Engagement of local and global stakeholders in the development of FPAT has been limited to date, in part related to lack of resources.

Progress on gender-responsive measures, indicators and intermediate results

45. Gender equality is a significant CFI theme being addressed in all the child projects on the ground and will be the focus of one of the themed knowledge products. There are no specific gender related provisions or activities within the GPP results framework, but the GCU has been active in supporting gender initiatives in the CFI-WA.

Knowledge activities/products and any lessons learned

46. There is a strong focus on knowledge activities in both the GPP and the child projects, and the main anticipated output in this regard are the four themed knowledge products, each led by a different child project. GPP GCU will take an active role in facilitating and coordinating their development. The weakness to date has been the lack of implementation of the TOC as a learning and knowledge sharing framework. The range of languages within the programme is significant impediment to the rapid and effective sharing of knowledge and lessons learned.

1. Introduction

47. This mid-term evaluation (MTE) was undertaken between October 2020 and February 2021. It was undertaken in parallel with, and in collaboration with the MTE for the Coastal Fisheries Initiative (CFI) West Africa Project (GCP/RAF837/GFF).

1.1 Purpose of the mid-term evaluation

48. The MTE is a requirement of the Global Environment Facility (GEF) and the Food and Agriculture Organization of the United Nations (FAO) for project monitoring and reporting and serves both accountability and learning purposes of GEF, FAO and other participating institutions. The MTE is an opportunity to assess progress made to achieve project objectives, review the results framework/the theory of change (TOC), make recommendations for corrective actions where appropriate and make recommendations for possible adjustments if appropriate up to the outcome level to take stock of possible lessons learned.
49. The Global Partnership Project (GPP) prioritizes the global cooperation and policy influence of the CFI initiative. In addition to the parallel MTE of the CFI-WA, this evaluation will also draw on the findings of the recently undertaken Latin America child project MTE and GCF mid-term review. The Indonesia child project has only just begun implementation and very little material is available for review.

1.2 Intended users

50. The main audiences and intended users of the GPP MTE are the following.
- i. The FAO (Department of Fisheries, FAO-GEF Coordination Unit, regional and project country offices, Project Management Team, members of Project Task Force - PTF), and the partner agencies for all the child projects (United Nations Development Programme [UNDP], the World Bank, the World Wide Fund for Nature [WWF], Conservation International, United Nations Environment Programme [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.
 - ii. The GEF who will use the findings to inform future strategic investment decisions concerning the CFI.
 - iii. The regional, national and subnational counterparts who will use the evaluation findings and conclusions for future planning.
 - iv. Other donors, organizations and institutions interested in supporting and/or implementing similar projects.

1.3 Scope and objective of the mid-term evaluation

51. This evaluation focuses on the CFI Global Partnership Project (GPP). However, a key function of the GPP is to coordinate, monitor, evaluate, and facilitate learning exchange and capacity development across the other four child projects that together make up the CFI. To some degree therefore the performance of the child projects and the extent to which they have, together, contributed to the overall objectives of the CFI programme, is a key measure of the performance of the GPP. We have therefore drawn on the MTE of the other child projects as important sources for this evaluation.

52. The MTE assesses the relevance, effectiveness, efficiency and sustainability of GPP project activities and outputs, and factors affecting performance and cross cutting dimensions, since its inception on 1 October 2017 until December 2020 when the bulk of data gathering was completed. It should be noted however that very little progress was made until the appointment of the original project co-ordinator, who only took up her post on 1 September 2018.
53. The primary project target beneficiaries are the other CFI child projects and other international players promoting sustainable coastal fisheries. While perspectives have been sought from other child project personnel, assessment of the perspectives of other global players has been limited to relatively few organizations with a particular interest in the CFI and the fisheries performance assessment methodologies applied.
54. The evaluation examines project performance in meeting its overall objectives and delivering the outcomes as specified in the Project Document and summarized below. These have been used as the basis for developing the evaluation questions set down in Table 2.

Table 2. Evaluation questions

1. Relevance	<p>1.1 Are the project outcomes and objectives congruent with the GEF focal areas/operational programme strategies; environmental priorities and the FAO CPF in the six project countries?</p> <p>Has there been any change in the relevance of the project since its design, such as new national policies, plans or programmes 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>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	<p>To what extent have the project outcomes and its objective to "Enhance multi-state cooperation and catalyze 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 CFI, establish the institutional structures and methodological tools required for the efficient implementation, monitoring an evaluation of the CFI programme in general and the GPP 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 outside of the CFI's geographic scope been implemented?⁵</p> <p>2.3 (Component 3) Has an FPAI been developed and established? How relevant is the instrument to the priority needs of sustainable coastal fisheries? Does it complement or improve on other FPAIs such as the Marine Stewardship Council (MSC) 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</p>

⁵ This question relates closely to the communications and knowledge management question further below.

	<p>involved in this process? Is there any evidence as yet that the instrument has, or will, contribute to more sustainable coastal fisheries?</p> <p>2.4 Effectiveness of partnership arrangements: This project is a partnership between the donor (GEF), FAO, UNDP, the World Bank, 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?</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 CFI as a whole)? In particular, the evaluation will comment on the COVID-19 crisis and its effects on the projects.</p>
3. Efficiency	<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 avoided 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	<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	<p>5.1 (Project design) Is the project design appropriate for delivering the expected outcomes? Is the logic coherent and clear and are the TOCs 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, oversight and supervision? Were the Global Reference Group (GRG), the Global Steering Committee (GSC) and the Global Coordination Unit (GCU) set up and did they 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 Voluntary guidelines for Securing Sustainable Small-scale Fisheries (SSF Guidelines)? 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</p>

	<p>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>

1.4 Methodology

55. Evidence was collected for all the evaluation questions from study and review of programme related documents:
 - i. CFI programme framework, child project documents;
 - ii. Project progress reports (PPRs), project implementation reviews (PIRs);
 - iii. MTE for child projects: CFI-WA, CFI-LA and CFI-GCF;
 - iv. CFI programme and child project websites and associated websites; and
 - v. miscellaneous project and programme written outputs (meeting reports, strategies, e-learning and toolkits).
56. Evidence was assembled in spreadsheet and one-note format in relation to each of the evaluation questions. This provided the primary basis for understanding scope, rationale, approaches/methods and outputs in relation to all the main project objectives and outcomes.
57. Internet based interviews and discussions were held to explore in more detail what had been intended under the project or expected from it, what had been achieved, and how progress towards meeting objectives had been constrained or facilitated by different factors – whether technical, political, professional, financial, managerial, institutional, etc. Evidence was then solicited in relation to specific evaluation questions of relevance to the interviewee. In all cases check lists derived from overall project objectives and/or specific evaluation questions as appropriate to the person in question were used to guide the discussions.
58. A full list of respondents (email or internet-based exchange) is available in Appendix 5. Taken together they make for reasonable coverage of the higher-level project partners and collaborators, as well as project personnel with particular technical focus (such as fisheries assessment) of relevance to the GPP. Contacts were dependent on facilitation through programme management, and therefore are unlikely to be completely independent. To make up for this shortcoming some independent professionals with an interest in sustainable fisheries and fisheries assessment were also contacted. No beneficiaries of other child projects were contacted as this goes beyond the scope of this evaluation. However, the evaluation was able to draw on the parallel assessment of the CFI-WA, the Latin America MTE and GCF review in respect of beneficiary perspectives.
59. An online poll of programme partners and child project senior personnel was also conducted in relation to key partnership and programme exchange mechanisms.

60. As evidence accumulated and findings/possible recommendations began to emerge, the evaluation team (i.e. lead evaluator CFI-West Africa, lead evaluator CFI-GPP and the evaluation manager of OED) exchanged ideas more regularly through phone calls and emails, enabling additional assembly of evidence, clarification and reinforcement or otherwise.

1.5 Limitations

61. Evidence gathering was constrained by COVID-19 restrictions. While surprisingly effective for basic evidence gathering, internet exchanges are far less suited to exploring nuance and perspective, or more sensitive or political issues. Interviews were also much more widely spaced than would have been normal during an intensive field visit. While this presented some advantages (more research between discussions) the lack of intensive interaction between team members and respondents over a short intensive field period may have reduced the quality or accuracy of some findings. It is anticipated that the feedback loop on the evaluation draft will remedy at least some of these shortcomings.

2. Background and context

2.1 Project profile

Box 1. Project profile

- A. GEF Project ID Number: 9128
- B. Recipient countries: Global
- C. GEF Implementing Agency: FAO
- D. Executing partners: UNDP, UNEP, WWF, Conservation International, World Bank, University of Washington, University of British Columbia
- E. Focal Area: International Waters; Biodiversity
- F. GEF Strategy/operational programme: Programme 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. GPP financing

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 Documentation.

2.2 Context and programme baseline

62. The context and baseline are set out in detail in the CFI programme and GPP project documents and results framework baselines. The following represents a summary.
63. Coastal fisheries provide livelihoods, income and healthy food for millions of people around the world. However, many of these fisheries are poorly managed and over-exploited, resulting in sub-optimal yields and lost revenue, and damage to other species and habitats. Social, economic and market incentives for sustainable management are often lacking or perverse; rules and regulations poorly developed and implemented; and gender, social and economic inequity are common within the wider fishery economy and value chain. Losses and wastage in post-harvest are high, and perversely, some post-harvest practices such as smoking may compound wider pressure on fishery habitat such as mangrove forest.

64. While there have been global efforts by a wide range of agencies and organisations to address these problems, including the FAO Code of Conduct for Responsible Fisheries and Guidelines for Securing Sustainable Small-Scale Fisheries, the approaches taken still lack coherence and widespread impact. The CFI is a global effort to address these issues in a holistic and integrated way (in line with the *Ecosystem Approach to Fisheries Management*), working at a practical level with selected fisheries, and facilitating global exchange of experience and learning based on these and other experiences.

2.3 Conception and initiation

65. The World Bank, FAO, UNDP, UNEP, WWF and Conservation International have all worked throughout the world in support of sustainable fisheries, frequently sourcing money from GEF, and commonly taking an "ecosystem approach" or EAF. FAO in particular has received substantial support from GEF to implement [more than 13 fishery related projects](#), including the Large Marine Ecosystem Programmes and the Areas Beyond National Jurisdiction (ABNJ) Fisheries Management Programme. All these organizations have recognized that sustainable fisheries management represents a major challenge, and greater collaboration across and between agencies, and a more coherent global approach is needed to reinforce and embed progress to date and maximize learning between different initiatives led by different organizations across the world.
66. Following a workshop held in Italy in spring 2015 a concept note was submitted to GEF which was approved in June 2015. The programme received CEO endorsement on 20 April 2017 and started officially 1 October 2017. Although the date of programme completion was set as 30 September 2021 in the original not to exceed date (NTE), the problems and delays with implementation followed by current COVID-19 restrictions, mean it is likely the programme will be extended to at least 30 June 2022.

2.4 Programme and project objectives, strategy and expected results

67. The GPP is charged with coordinating and facilitating the whole CFI programme. This section therefore includes an overview of the programme as a whole and the child projects it comprises, including the GPP.

2.4.1 CFI programme (GEF ID: 9128)

68. The objectives of the CFI are:
- i. **Global environmental objective:** To support responsible coastal fisheries and the maintenance of ecosystem services through implementation of more holistic and better harmonised approaches.
 - ii. **Programme development objective:** To increase the economic and social value generated by coastal fisheries to support human well-being and livelihoods.
69. The programme defines three main components or outcomes:
- i. **Component 1: Sustainability incentives in the value chain.**
Outcome: The efficiency of and transparency in the fisheries value chain (from harvest to consumer) has been improved through appropriate incentive structures and contribute to sustainable resource utilisation and equitable social and economic development.
 - ii. **Component 2: Institutional structures and processes.**
Outcome. 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.

iii. **Component 3: Best practices, collaboration and performance assessment.**

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

70. Delivery of these outcomes is through five child projects:

- i. Child project 1: *Ecosystem-based management and improved governance of coastal fisheries in the Southeast Pacific (Peru, Ecuador)*, implemented by UNDP in collaboration with WWF and Conservation International. GEF ID 9060; GEF project cost USD 4.8 million; co-financing USD 72.2 million.
 - Actual implementation start date:⁶ Quarter 2, 2018.
- ii. Child project 2: *Delivering sustainable environmental, social and economic benefits in West Africa* (FAO symbol: GCP/RAF/837/GFF), implemented by FAO in collaboration with UNEP. GEF ID 9126; GEF project cost USD 6.4 million; contributions in kind USD 45.6 million.
 - Actual implementation start date:⁷ Quarter 3, 2019.
- iii. Child project 3: *Ecosystem approach to fisheries management in Eastern Indonesia*, implemented by WWF in collaboration with Conservation International. GEF ID 9129; GEF project cost USD 10.2 million; co-financing USD 52 million.
 - Actual implementation start date:⁸ Quarter 3, 2020.
- iv. Child project 4: *The Global Challenge Fund for sustainable marine resources management*, implemented by the World Bank. WB CFI-CF, GEF ID 9125. Revised (June 2020); GEF project cost USD 6.78 million.
 - Actual implementation start date⁹ (global): Quarter 1, 2017.
 - Actual implementation start date (countries): Peru – Quarter 1, 2018; Ecuador – Quarter 3, 2019; Indonesia – Quarter 3, 2019; Cabo Verde – Quarter 1, 2020.
- v. Child project 5: *Global Partnership Project* (subject of this MTE), implemented by FAO in collaboration with the other CFI agencies and the University of Washington. GEF ID 9128; GEF project cost USD 2.7 million; co-financing USD 11.8 million.

71. The three (geographically focused) regional child projects are broadly similar, but with rather different emphasis and starting points. Marine protected areas (MPAs) feature as a tool for fisheries management and ecosystem conservation in both Indonesia and Latin American projects, *while strengthening the value chain through women's organizations* is a significant component in the CFI-WA. All three place significant emphasis on strengthening the policy/legal framework to facilitate EAF management, mainly through plans of action, fishery improvement plans, and best management practices developed through participatory platforms or communities of practice. For some fisheries in both Indonesia and Latin America these management initiatives are integrated with Coastal Marine Spatial Planning (CMSP) activities. All three seek to engage in

⁶ Date of the workshop to launch the project.

⁷ As per the mid-term evaluation report.

⁸ As per the progress reported by the project in 2020.

⁹ As per the mid-term review report. Senegal and Côte D'Ivoire have not been included.

programme level initiatives including application/testing of the FPAT, knowledge sharing, development of best practice, and analysis of progress against the programme TOC.

72. The three regional projects are supported by the GCP project (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 outcomes for this project are private investments made in the fisheries of the three regions which support sustainable fishery economies.
73. The GPP is the primary focus of this evaluation. It is responsible for coordination of the CFI as a whole and its child projects, assessing fisheries management performance, facilitating programme level M&E, and sharing knowledge within and beyond the CFI programme.

2.5 The Global Partnership Project (CFI-GPP)

74. The project development objective of the GPP is "To strengthen global partnership for the purpose of enhancing the understanding and application of integrated, participatory and collaborative approaches, among local and global partners who co-develop and utilize frontier tools to assess coastal fisheries performance, and identify empirically effective pathways towards environmental, social and economic sustainability for these fisheries". This is to be achieved through three components and associated outcomes:

Component 1. Strengthening of CFI coordination and adaptive management

- i. Outcome 1.1: Collaboration among environmental and development agencies and organizations is managed, coordinated, enhanced and intensified, at the global as well as national and regional levels.
- ii. Outcome 1.2: Progress of CFI programme is systematically monitored and reported.

Component 2. Promotion of policy influence and catalytic role

- i. Outcome 2.1: Best practices and tools for environmentally, socially and economically sustainable fisheries are documented, analysed and shared.
- ii. Outcome 2.2: CFI programme communication and outreach strategy is established and operational.

Component 3. Establish an FPAI

- i. Outcome 3.1: Fisheries Performance Assessment Instrument is developed and in operation for both CFI and non-CFI fisheries.
75. It is important to note that within the programme, the objective of the Global Partnership Project is to coordinate the other four CFI projects so that collectively the CFI programme goal is achieved (GPP Project Document paragraph 29). However, the scope of the project goes well beyond this and seeks to establish a "global partnership" among the different actors involved in coastal fisheries (mainly government, non-governmental organizations (NGOs) and international agencies) to achieve a common vision and consistency of approach (GPP Project Document, paragraph 30).

2.6 CFI programme and GPP project delivery

76. The CFI programme is highly complex with multiple partners at international, regional, national and local levels; and encompassing subsidiary (child) projects, objectives and results frameworks.

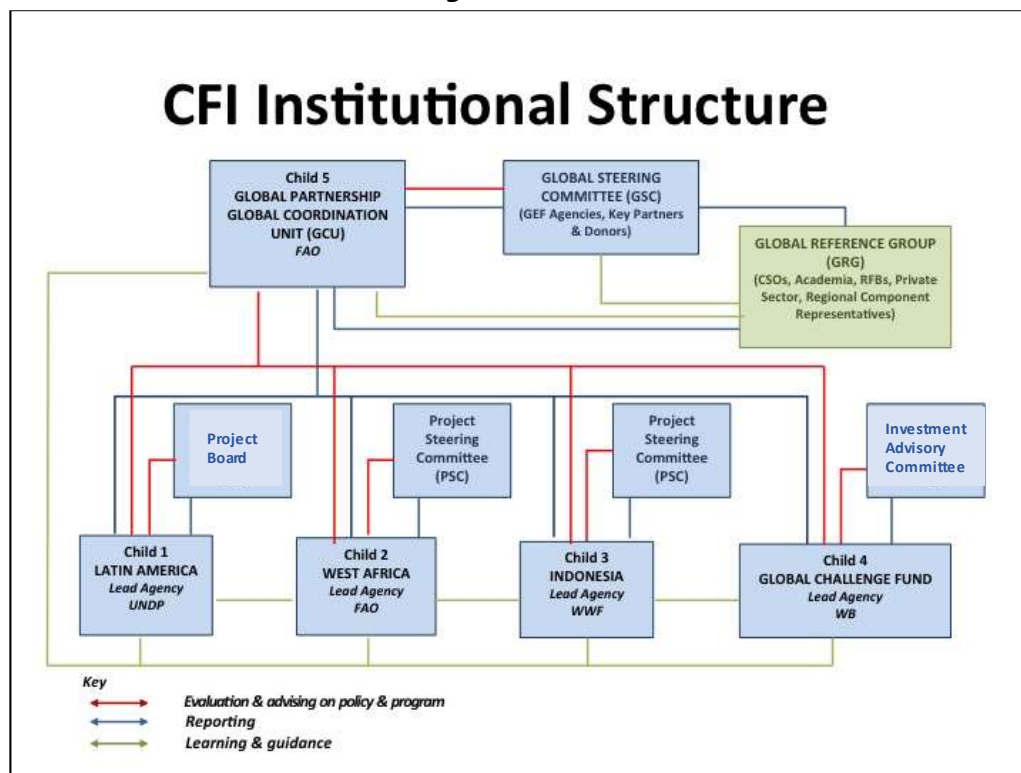
While the overall conceptual framework for programme rationale, delivery and impact is the TOC, three institutions were conceived as facilitating coordinated and integrated delivery of the programme, enhanced information exchange and learning between agencies, and effective dissemination and testing of new tools and practices:

- i. GSC is “the main policy body overseeing the CFI programme”. It is comprised of implementing partners from each of the child projects as well as the GEF secretariat.
- ii. GCU is responsible for coordination of the CFI and delivery of the GPP. It comprises a global coordinator, technical and communications support, and administrative support.
- iii. GRC was “to provide an independent oversight of the CFI’s implementation as well as serving as standard-setting channel in the context of the CFI Knowledge Management Strategy and CFI Communication and Outreach Strategy”.¹⁰ It was envisaged as a representative platform of regional fishery bodies, regional component representatives, industry professionals and representatives, academics and civil society organisations.

77. Convening and chairing the GSC, and establishing the GCU and GRG, are seen as key elements for delivery of all three components of the GPP, underpinning the function of the CFI programme in providing the means of “collecting, collating and disseminating relevant knowledge derived from both CFI and non-CFI activities” and delivering “unique and comprehensive knowledge management and communications platforms to support sustainable coastal fisheries management”.
78. In terms of geographic scope, the GPP provides strategic coordination, technical assistance and facilitates learning exchanges between child projects in West Africa (Senegal, Côte D’Ivoire, Cabo Verde), Latin America (Ecuador, Peru) and Eastern Indonesia, as well as the GCF.
79. The delivery structure envisaged for the programme, and the key role of GPP through the GCU as set down in CFI framework document and the GPP Project Document is illustrated in Box 3. It should be noted that this structure has not in practice been realized, nor any clear alternative implemented, as discussed in the findings section.

¹⁰ GPP Project Document.

Box 3. CFI institutional and management structure



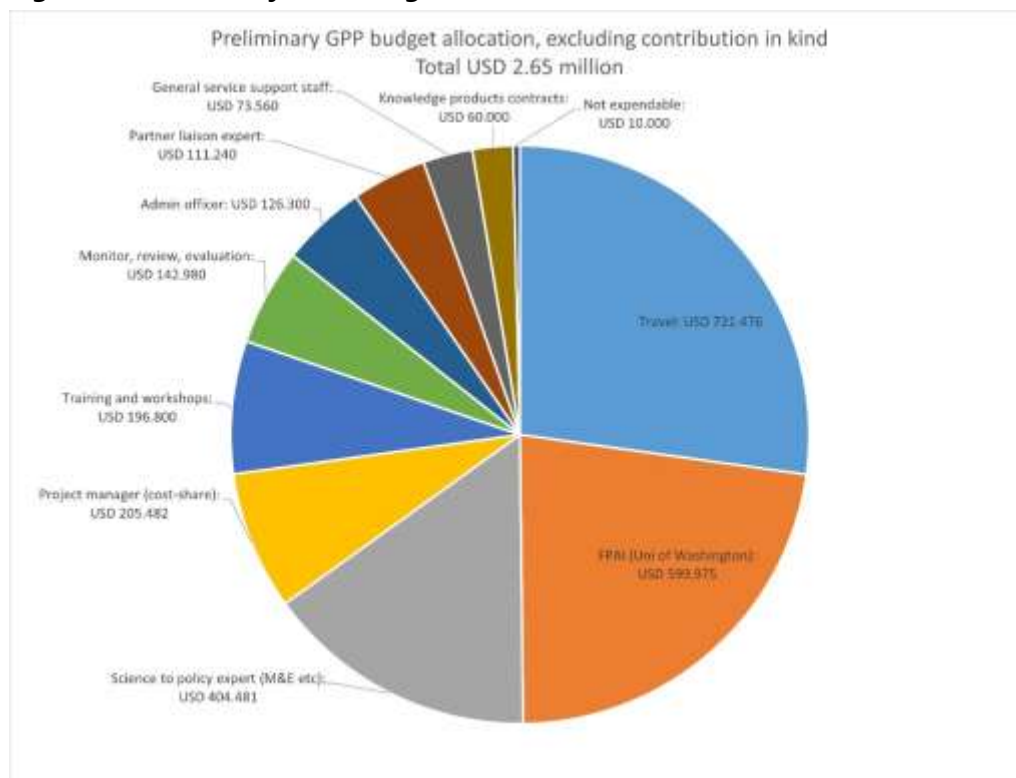
Source: CFI programme documentation.

80. GPP project partners are the implementing and executing organisations of the other child projects, including UNDP, the World Bank, WWF, Conservation International as well as regional and national partners serving these projects.
81. Target beneficiaries are mainly child project personnel for whom the GPP is a technical and knowledge management service provider. In the medium-term coastal fishery stakeholders throughout the world should benefit from the learning, knowledge exchange and tool development generated by the programme, as facilitated by the GPP.

2.7 Human and financial resources

2.7.1 Planned expenditure

82. Project financing is set out in Box 2, and comprises USD 2.65 million GEF allocation and USD 9.2 million FAO (Fisheries and Aquaculture Department) contribution in kind, over a five year period. An additional USD 2.5 million (grant and in-kind) is contributed by the University of Washington to under-pin the FPAI.
83. The original results-based budget foresaw the following allocation of GEF funding over the five-year project duration:

Figure 1. Preliminary GPP budget allocation

Source: Derived from the original results based on the budget of the project.

84. Projected budget allocation to different components was as Table 3. Actual expenditures to end of 2020 is not yet available in this format, although by other categories it is reviewed in section 5.3.1 Figures 6 and 7.

Table 3. Projected GPP budget allocation

Component	Original budget allocation USD		Actual expenditures to 2020–13
1.1 CFI collaboration	459 593	18%	N/A
1.2 Programme M&E	194 929	8%	N/A
2.1 Best practices	587 454	23%	N/A
2.2 Communication and outreach	366 067	14%	N/A
3.1 Fisheries performance assessment instrument	917 951	36%	N/A
Total	2 525 994		N/A

Source: Project financial documentation.

85. There is no similar budget allocation drawing on contributions in kind, either from FAO or from the University of Washington. The Project Document and budget spreadsheets do not provide information on the allocation of contributions in kind, and there is no formal budgeting or systematic recording of the use of these resources.

2.7.2 Roles and responsibilities

86. Roles and responsibilities as set out in TORs for project and programme personnel appended to the Project Document are summarized in Table 4. Full CVs can be found in Annex 4 of the GPP Project Document.

Table 4. Anticipated staff positions within the Global Coordination Unit

CFI Coordinator <i>Duration: 5 years</i>	Lead the GCU and provide strategic, supervision and technical guidance services during programme 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.
Admin and Operations officer <i>Duration 5 years</i>	FAO compliant operational and administrative procedures. Contracts, LOAs, HR, budgeting, financial planning and monitoring, results-based monitoring data, procurement, disbursement, evaluation support.
CFI Project Task Manager <i>Duration: 4 years (65% WA and 35% GP)</i>	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 programme.
CFI Partner Liaison Consultant <i>Rome 150 days/year</i>	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.
CFI Programme Science to Policy <i>Rome, 9 months per year</i>	Support the delivery of the CFI programme 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 as well as coordinating the monitoring and evaluation work of the programme and two FAO projects.
Training Consultant (fisheries governance and management) <i>Rome, 6 months total</i>	Run four global workshops targeting key government officials, regional fishery bodies (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.
Principal Investigator FPAI <i>Rome, 14 months total</i>	Execution of GPP Component 3. Systematically organize activities on the development and pilot testing of the FPAI on triple bottom line fishery outcomes.
Fisheries Stock Assessment Consultant (Post-doc) <i>Rome, 1 year total</i>	Systematically organize activities on the development and pilot testing of the FPAI on triple bottom line fishery outcomes.
Fisheries Social Sciences Consultant (Post-doc) <i>Rome, 1 year total</i>	Organize activities on the development and pilot testing of the FPAI on triple bottom line fishery outcomes.
Peer Review Consultants (Stock Assessment Specialist; Fisheries Economics Specialist) <i>Ten days each</i>	In-depth review of the social and economic indicators developed; in depth review of ecological indicators developed and the data-limited stock assessment methods.
Computer programmer consultant <i>Rome, 95 days</i>	Transition an Excel- or R-based tool (for each of the ecological, social and economic modules of the integrated fisheries performance assessment system) into a user-friendly, web-based platform, as well as provide guidelines for its use and implementation in the field.

Source: GPP Project Document, Annex 4.

87. Actual realized roles and responsibilities are significantly different. The CFI coordinator role was initially undertaken by the FAO Budget Holder/Director of Fishcode. This was subsequently delegated in part to the part-time GPP project manager, and to some degree to the Lead Technical Officer (LTO). The CFI project task manager role is now allocated to the part-time GPP project manager. The CFI partner liaison role has not been realized in any coherent form, though elements are implemented by a communications officer, by the GPP project manager, by the LTO and by various consultants. The programme science to policy role has not been realized, though elements

again may be implemented through some combination of the GPP project manager, the LTO and the communications officer. Other roles have been realized roughly as listed.

2.7.3 Reporting, monitoring and evaluation

88. The project results framework serves as the basis for results-based reporting. PPRs (6 monthly) are developed by the GPP project manager (with implementing partners) and shared with the FAO team for inputs. It is then shared with the LTO and the Budget Holder for clearance before being sent to the Funding Liaison Officer in the FAO GEF Unit for final review prior to upload to the Field Project Management Information System (FPMIS). PPRs (from GPP or other child projects) are not routinely shared with the GSC.
89. Annual PIRs are prepared by the Project Manager and shared with the FAO team for inputs before a sharing with the LTO and the Budget Holder for review and clearance. The report is then shared with the FAO GEF Unit (Funding Liaison Officer) for a final validation before a sending to the GEF Secretariat. PIRs (from GPP or other child projects) are not routinely shared with the GSC.
90. Programme wide M&E is an outcome of GPP Component 1 and is discussed in the relevant sections below. At the present time there is no formal structured reporting by child projects to a GSC, although there is a mutual updating process through the "global calls".

3. Programme logic and theory of change

91. A programme level TOC was included in the programme framework document and subsequently revised by consultants (presented as Annex 7 to the GPP Project Document). This TOC is given as the baseline for GPP outcome 1.2 – programme wide monitoring and reporting. In other words, GPP has responsibility for guiding programme implementation in line with the programme TOC, and perhaps for this reason has not developed its own subsidiary project TOC. CFI-Ind has its own subsidiary TOC based on the programme TOC; CFI-LA is currently developing its own TOC – which is independent of the programme TOC. GCF has a simple TOC embedded in its project rationale. Given the key role of the programme TOC in programme coordination and management, and the responsibility of the GPP for programme wide M&E and reporting, the nature of the programme TOC, and how it relates to other M&E frameworks, is considered in some detail here.

3.1 Programme rationale – key elements

92. The rationale for the CFI and child projects underpins the TOC and is well developed in the CFI framework and child project documents. Understanding the key elements of this rationale is not only important for assessing the strength of the TOC itself, but also for assessing the relevance of project and programme activities. The rationale for the CFI rests on three key factors: coastal fisheries are of great social and economic importance for many millions of people; many of these fisheries are over-exploited resulting in sub-optimal yields and revenue; and the combination of over-exploitation and destructive gear has a negative impact on wider coastal marine ecosystems. Open access (lack of ownership), excess fishing capacity, lack of effective governance regimes, lack of understanding of stock health and dynamics, and short-term incentives in the value chain are all drivers of overfishing and destructive practices.
93. The nature and relative importance of each of these drivers or constraints (and others more specific to individual fisheries) need to be understood for a particular fishery if conditions are to be created in which sustainable management and more equitable sharing of benefits are to be achieved – in other words to facilitate or create enabling conditions. These – along with changes in behaviour – lie at the heart of the programme TOC.

3.2 The CFI theory of change and learning framework

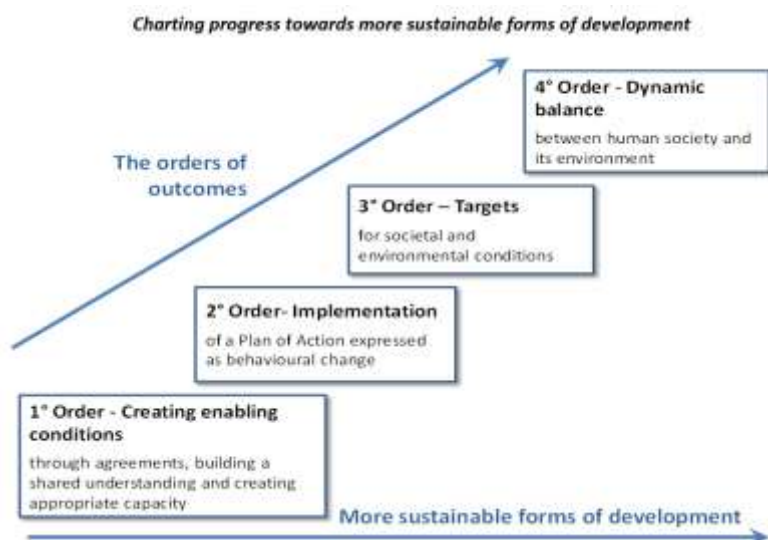
94. The CFI TOC comes in two variants – Appendix 5 of the CFI framework document, developed in 2015 and referred to in some child project documents, and Appendix 7 of the GPP Project Document developed in 2016. The two versions have one author in common, and the changes are perhaps less significant than might first appear. The following is derived primarily from the GPP Appendix 7 version (authored by Olsen and Townsley, 2016) since this is the focus for the evaluation, and since it is a later revised version. It should be noted that the criticisms of the programme TOC in the recent CFI-LA MTE were based mainly on the original 2015 version and are only partly applicable to the 2016 version.
95. The revised programme TOC differs from a standard TOC. Although supported by a set of indicators, these are not intended to underpin programme wide results-based M&E. Rather, the CFI TOC is focused on facilitating implementation of, and reporting on an EAF. It was designed primarily “to identify and explore ways in which the programme can facilitate establishment of enabling conditions for EAF, and changes in behaviour of all stakeholders and institutions that signal EAF, with a view (goal) to improvements in long-term, fisheries-related societal conditions and environmental well-being”. It is also intended as a “programme-level framework for the

analysis of emerging challenges and learning across the various initiatives that will make up the CFI".

3.2.1 Theory of change tiers

96. The intervention and development process under the CFI TOC is seen as having four tiers or orders of outcomes (Figure 2):

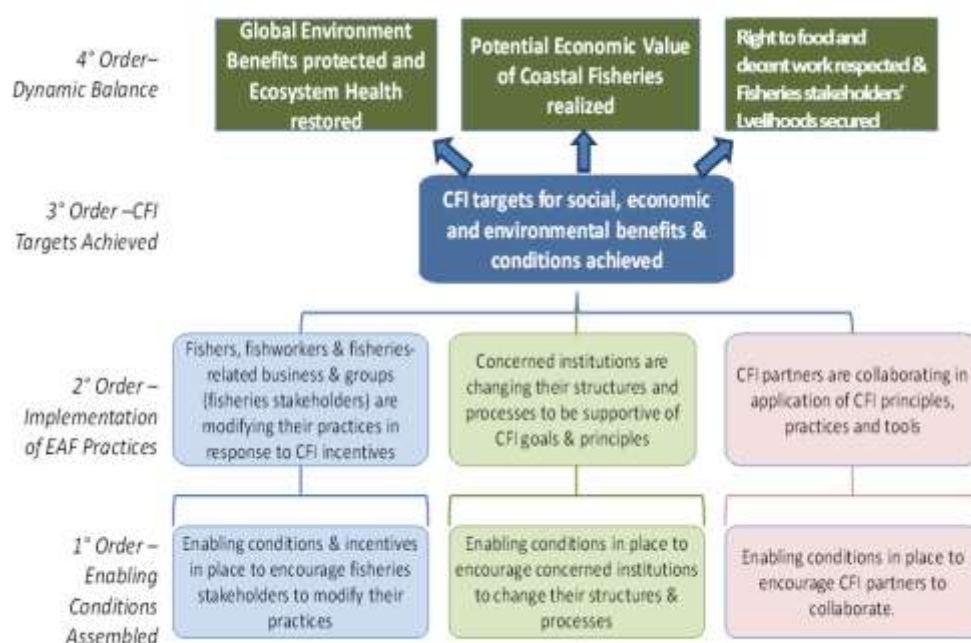
Figure 2. Orders of outcomes or tiers in the development process



Source: Olsen and Townsley, 2016.

97. By way of example, a first order intervention might be the establishment and mobilization of "communities of interest" or "stakeholder platforms" all of whom have a stake in more sustainable fisheries management. A second order intervention might be the facilitation of agreement on and implementation of a specific protocol or rule to address a pressing sustainability issue, or a more ambitious management plan fishery improvement programme or MPA.
98. Olsen and Townsley identify the three key sets of players who operate at all levels: the fishery stakeholders, relevant local/national/regional institutions and CFI partners (who may represent any of the players) as presented in Figure 3 (Olsen and Townsley, 2016).

Figure 3. CFI theory of change



Source: Olsen and Townsley, 2016.

99. It is anticipated that all child projects will be working to put in place enabling conditions and changes in behaviour across the three key sets of players – as appropriate to their particular fishery and the nature of constraints and drivers affecting the sustainability of the fishery.
100. The CFI TOC is supported with a comprehensive set of tier level indicators relating to fishery stakeholders, concerned institutions and collaborating institutions, supported by ranking guideposts or thresholds. These provide the basis for comprehensive programme wide assessment of status and learning exchange relative to the TOC.

3.2.2 The theory of change, governance and baselines

101. The TOC (and indeed the EAF) places significant emphasis on establishing, reviewing and analysing baselines – especially governance¹¹ baselines – as a pre-requisite for building on or creating enabling conditions and for embedding effective and sustainable changes in behaviour. Its importance is reflected in three specific TOC indicators:
 - i. 1.18 CFI partners endorse the need for documenting governance baselines at initiation of each child project;
 - ii. 1.19 CFI partners commit to annual self-assessments conducted with stakeholders in each child project that utilize governance baselines and apply common indicators for assessing progress and learning; and
 - iii. 2.12 Governance baseline developed & agreed upon by all CFI agencies, partners & fisheries stakeholders.

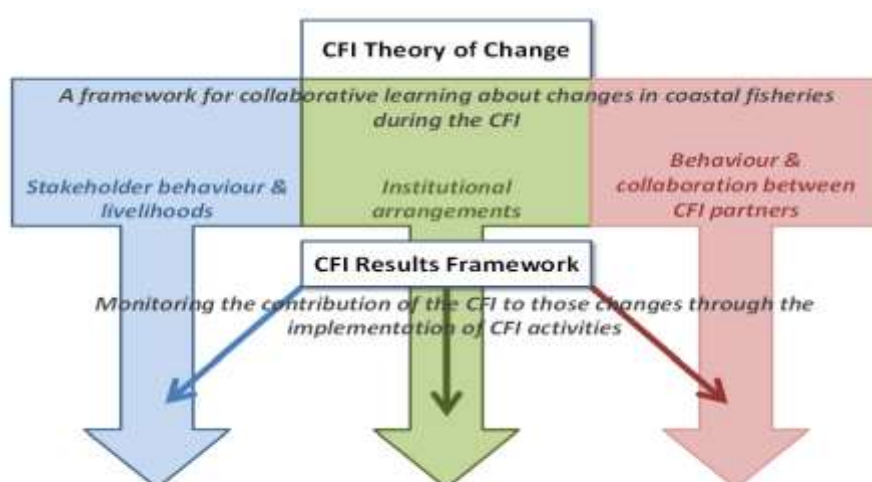
¹¹ Fishery governance is defined by FAO as “the sum of legal, social, economic, and political arrangements used to manage fisheries”. More functionally and ... fishery governance includes the ways in which constraints, opportunities and trade-offs are analysed, and the formal and informal rules, incentives and sanctions affecting access to and use of fisheries and associated resources.

102. As noted by Olsen and Townsley, “the development of a governance baseline should not be a desk-based activity, but one that involves close interaction, debate and discussion between CFI agencies, their partners and fisheries stakeholders at all levels in order to work towards a common understanding of the key issues, processes, conditions and drivers affecting coastal fisheries”. A preliminary governance analysis will also provide the background and context for exchange and learning between child projects.
103. The TOC tier indicators and ranking guideposts presented by Olsen and Townsley provides one framework for a governance analysis, and the background documents for the FPAT refer to the development of a preliminary set of indicators that could be used to make basic assessments until the full FPAT is ready. Many other documents, including the FAO EAF toolkit and the SSF Guidelines also provide guidance on pre-intervention assessments of this kind.
104. Baseline assessments and governance analysis are key elements in the EAF and the programme TOC and provide the foundation for both intervention logic (especially creating enabling conditions) and programme wide exchange and learning.

3.3 CFI theory of change and the CFI results framework

105. The CFI results framework should contribute to the TOC, as shown in the summary diagram (Figure 4 below, from Olsen and Townsley 2016), although the mechanism is not spelled out. The relationship is explored in more detail in section 5.5.1.

Figure 4. Relationship between theory of change and CFI results framework



Source: Olsen and Townsley, 2016.

4. Key findings in relation to the evaluation questions

4.1 Relevance

4.1.1 EQ 1.1. Congruence with organizational and international objectives

106. The main project results to date include the organization and running of the three global consultations. These are entirely congruent with FAO Strategic Objectives SO2 (Organizational Outcomes: 2.1, 2.2, 2.3 and 2.4), SO3. (Organizational Outcomes: 3.1 and 3.3), and SO4 (Outcomes: 4.2 and 4.3); GEF Focal Area IW3 (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); GEF/LDCF/SCCF Strategic Objective: Programme 7 – Foster Sustainable Fisheries; and the Sustainable Development Goals (SDG 14 on conservation and sustainable use of the ocean, seas and marine resources).
107. The child projects reviews suggest that their activities are also in line with these objectives and strategies and with FAO CPFs in the six project countries.

4.1.2 EQ 1.2. Changing context

108. The problems of unsustainable fisheries management and inequitable sharing of resources or resource rents has not changed. Some new national plans and policies have been influenced by the child projects and vice versa, as should be the case, but neither undermines relevance of the programme as a whole or the child projects.
109. However, in relation to specific project components there are some relevance issues. The FPAI in some form was meant to support early situation analysis/baseline analysis/governance analysis for the three regional fishery child projects and CFI-GCF. This was not done in Latin America because a previous similar assessment tool had already been applied to some of the fisheries, and CFI-GCF decided to use an adapted version of this to increase the scope of the assessment rather than wait for the FPAI. In Indonesia also, although this project is well behind schedule, a functioning fishery/ecosystem assessment and monitoring system is already in place for some of the target fisheries. In West Africa, some basic fisheries assessment has already been done and a broader baseline analysis is nearing completion. The FPAT has not so far contributed to these assessments.

4.1.3 EQ 1.3. Key issues in fisheries management

110. Many of the widely acknowledged key issues that need to be addressed in order to improve fisheries sustainability are summarized in section 4.1. The programme framework and the TOC highlight access and user rights/tenure issues, as well as the need for stakeholder participation in defining solutions to address over-fishing or inequitable resource use. The Latin America child project has strengthened a range of initiatives related to all of these issues, facilitating communities of interest, establishing rules and guidance for fishing within MPAs, developing management plans for other fisheries and introducing incentives within the value chain where possible. Although the Indonesia project has barely started, there already exist baseline assessments for the Indonesia target fishery/ecosystem, the wider environment and socio-economic characteristics, as well as rules and protocols for the management of MPAs.
111. The situation in West Africa is less clear. Outcomes 1.2 and 1.3 of that project address strengthening of, and participation in fisheries management planning, including secure tenure/access regimes. The Fishery Committee for the Eastern Central Atlantic (CECAF) regularly

reviews existing fishery data in all three target countries. Some basic assessments of stock status were undertaken when selecting the target fisheries and more comprehensive baselines are now being completed as a basis for further intervention. Application of the FPAT may be used to strengthen these assessments before the end of the programme. It is unclear however whether strengthened and inclusive management institutions will be in a position to develop or refine harvest control rules or mechanisms - before the end of the programme.

4.2 Effectiveness and achievement of results

4.2.1 EQ 2. Progress towards outcomes and objectives

Project objective: *"To strengthen global partnership for the purpose of enhancing the understanding and application of integrated, participatory and collaborative approaches, among local and global partners who co-develop and utilize frontier tools to assess coastal fisheries performances and identify empirically effective pathways towards environmental, social and economic sustainability for these fisheries".*

112. Two mechanisms have been used to promote global partnership: the annual programme global consultations and the monthly/bi-monthly "global calls". The former have been effective in terms of broadly informing programme partners and facilitating short term meeting and exchange; the latter have been effective in terms of keeping all partners broadly informed of status and major achievements of child projects. The GCU has not been established as an effective and pro-active coordination and partnership enhancing unit (section 5.5.4). The FAO CFI website – discussed further below – has not, to date, been an effective mechanism for promoting partnership.
113. While the two mechanisms noted above have provided for some collaboration and exchange, there is little evidence to suggest that partners have worked together on a longer-term basis to develop or consolidate ideas and implementation approaches across the programme fisheries. By way of example, there has been no documented programme level coordination and exchange (outside of presentations and discussions at the global consultation) to co-develop and apply governance baseline analysis or performance assessment tools. The latter has been sub-contracted to universities and their contracts do not refer in any way to co-development, beyond piloting in the fisheries. Nor has there been close collaboration between partners in developing and implementing the GCF sustainable fisheries investment support facility.
114. Partnership and collaboration at regional level, within child projects has been more effective in some cases. The MTE for Latin America, and discussions with Latin America project personnel, suggest that collaboration and mutual learning between Ecuador and Peru has been enhanced by that child project. Joint workshops have taken place, and working relations built up, relating to the establishment and management of MPAs, strengthening of communities of interest and management plans for transboundary stocks have been developed. In Latin America CFI-GCF has worked with CFI-LA on fishery baselines and assessments. In West Africa there is similarly strong collaboration between the three target countries, with regular discussions and meetings taking place.
115. The GPP has had limited impact in terms of strengthened global partnership to "enhance understanding and application of integrated, participatory and collaborative approaches"; and while performance assessment tools are now being rolled out, they have not been "co-developed" and have not as yet served "to identify empirically effective pathways towards environmental, social and economic sustainability" for these fisheries.

4.2.2 EQ 2.1 (Component 1). Coordination and adaptive management

Coordination and collaboration

116. The project aspired to address two related global “base line” problems under component 1.1: limited collaboration among development and environmental agencies/organizations working in fisheries; and lack of agreement on approaches to promote sustainability in the fisheries sector. The project outcome addressing these issues was: Collaboration among environmental and development agencies and organizations is managed, coordinated, enhanced and intensified, at the global as well as national and regional levels. Indicators included “a platform or mechanisms” (process), subjective review by partners (outcome) and new national or regional collaborative/partnership project proposals building on the CFI best practices (outcome).
117. There are several possible candidates for the platform and/or mechanisms under the GPP, including the GCU (comprising fishery technical advisory personnel, project management personnel and communications specialists) itself responsible for coordination of activities; the regular “global calls”; the annual consultations; global workshops; the CFI website; and the GRG.
118. The concept of a coherent GCU (under the authority of the Budget Holder) staffed according to the TOR (appended to the GPP Project Document and summarized in section 3.7.2, Table 4) has not been realized. Within the GPP specific responsibility for delivery of outcomes is spread across several positions (a programme coordinator (who is the Budget Holder), a project manager, an LTO, communications specialists and an administration officer), all of them part time and working in different offices under different line management. Specifically, two posts relevant to this outcome have only been very partially realized in the current configuration: CFI Programme Coordinator (in practice now delegated to the part time project manager who has substantial and demanding duties managing the CFI-WA; and CFI partner liaison consultant (possibly, but not explicitly subsumed under various communications consultancies). Inevitably then, there is rather limited “ownership” or leadership of the coordination and global facilitation function.
119. Global calls between implementing and executing partners including senior management and technical staff of all the child projects are convened by FAO monthly or bimonthly. They are regarded by partners as a useful and necessary forum to update on progress and exchange ideas. They therefore serve to strengthen coordination and collaboration within the programme, although they have not to date served to actively facilitate longer term or more specific collaboration initiatives. The global calls, supplemented by face-to-face meetings at the annual global consultations, serve to realize some of the functions of the GSC discussed further in section 5.5.4.
120. Three global consultations have now been convened (the latest a virtual event due to COVID-19). Issues addressed at the first (Guayaquil) global consultation in October 2018 included review of programme vision and objectives; M&E requirements; progress and situation update from child projects; presentations on GCF and FPAT; knowledge sharing strategy and elements of a first programme work plan. Objectives of the second global consultation in Abidjan (November 2019) included sharing experiences and lessons learned from each of the five CFI projects; generating consensus on the planned 2020 work programme; and facilitating communications and knowledge sharing efforts supported by FAO communication specialists. These consultations were attended by key implementing personnel from all child projects, as well as government counterparts, stakeholders and representatives of regional fisheries organizations and other global stakeholders. The most recent consultation was online because of COVID-19 restrictions, but was similarly structured with emphasis on updating and implementing the knowledge and communications strategies.

121. All senior personnel interviewed from other child projects suggested that these were effective and useful at stimulating an exchange of experience and building relationships. No "global workshops" have been convened as yet, although plans for a joint CFI-LA and CFI-WA workshop were afoot prior to COVID-19.
122. The CFI website (<http://www.fao.org/in-action/coastal-fisheries-initiative/en/>) is the main global media platform for the initiative. This website is attractive, well-illustrated and has interesting news stories. It serves an important function in providing an overview of the programme and child projects to outsiders. It has less value to members of the CFI community (i.e., all those formally or informally associated with the CFI through child projects) and offers little in the way of more technical guidance and exchange. By way of example, as of December 2020, there are no resources or links to:
- Websites of child projects or associated partner projects (e.g. CFI-LA; Indonesia Blue Abadi Fund/Seascope; Abidjan Convention).
 - Summary/comparison of all fisheries or ecosystems targeted under the programme: (species); status if known; nature of existing management regimes; local stakeholders and partners – with links to more detailed information.
 - Technical resources other than the [FPAT introductory learning module](#). There are no links to EAF resources (toolkits, guidelines) or critical guidance documents such as CCRF, the Small-Scale Fisheries Guidelines, the MPA guidelines, rights and tenure guidelines, etc.
 - Links to other tools and resources for sustainable fisheries (e.g. MSC, Global Sustainable Seafood Initiative [GSSI], Global Partnership for Oceans [GPO], FPI and similar fisheries assessment tools).
 - Links to others working to promote sustainable small-scale coastal fisheries.
 - Only some of the CFI publications and resources generated to date are available.
123. Although partners are listed under the partner tab, the design of the website with the FAO heading banner suggests that this is primarily an FAO initiative rather than a global partnership. This appears to be a wider problem related to FAO policy and protocols. Perhaps related to this, other child project personnel tend not to use the website (they are more likely to use their own), and although the GPP communications officer is seeking to encourage standard "branding" for all the websites (a boilerplate/tagline has just been circulated), this is an uphill battle. Of 19 respondents to our CFI programme-wide online poll of child project personnel only two visited the website frequently, 13 occasionally and four never. Furthermore, perceptions of the utility of the site in terms of learning, coordination and visibility were mixed, but on balance neutral or negative, as revealed in Table 5.

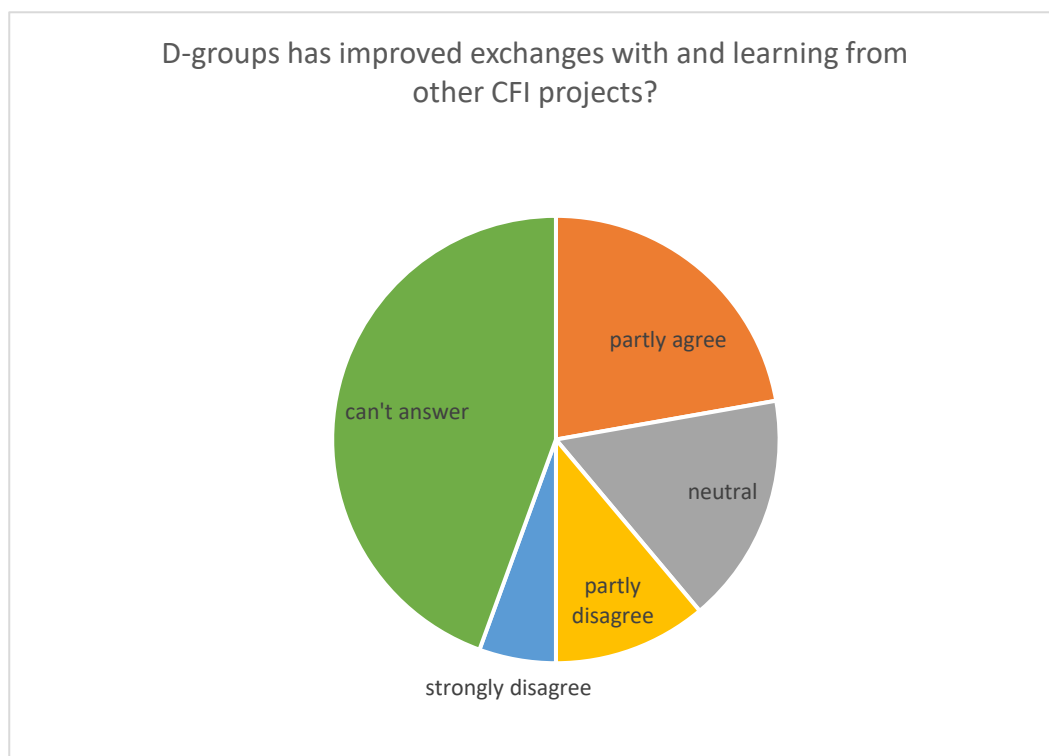
Table 5. Perceived contribution of CFI website to programme wide exchange, learning, coordination and visibility

	Strongly agree	Partially agree	Neutral	Partially disagree	Strongly disagree	Cannot answer
Improved exchange and learning between child projects	0	5	7	3	2	2
Improved coordination of CFI	0	4	4	1	2	7
Improved visibility of CFI to outsiders	1	6	3	3	1	5

Source: Project financial documentation.

124. The GPP GCU was also tasked with extending inclusion and collaboration beyond official programme partners. One of the key mechanisms designed to achieve this was the GRG. This group was envisaged as a representative platform of regional fishery bodies, regional component representatives, industry professionals and representatives, academics and civil society organisations. Its function was “to provide an independent oversight of the CFI’s implementation as well as serving as standard-setting channel in the context of the CFI Knowledge Management Strategy and CFI Communication and Outreach Strategy”. This group has not been convened. The reasons given by those involved with the early stages of project implementation included tensions between some civil society organizations and the World Bank. Other reasons included issues of commitment and lack of remuneration, although there are no readily accessible records of exchanges or initiatives. Irrespective of the reasons, the idea was abandoned early on and has not been regarded by GPP personnel as a priority since.
125. More broadly, inclusion, engagement and collaboration at global level beyond the “CFI family” has been very limited. Evidence for this is necessarily difficult without a formal survey of global stakeholders – considered beyond the means of this evaluation. However, project documentation and discussion with project personnel reveals no significant initiative to engage with global fishery stakeholders, or to develop an alternative approach to delivering the outcomes originally anticipated through the establishment of the GRG. Furthermore, the pool of global technical experts initially engaged in discussing needs and approaches for fisheries performance assessment has not been maintained or consulted in recent years (see section 5.2.4).
126. Turning to “subjective review by partners”, discussions with the main partners suggest that FAO has played a limited role relative to project outcome 1.1. While other child project personnel broadly agreed that the annual global consultations have been useful and stimulating, and the global calls important and necessary to maintain contact between coordinators of the different child projects, significant follow through in terms of facilitating links between e.g., CFI-GCF and other child projects, or between project partners facing similar challenges or opportunities, has not been undertaken. Arguably, the GPP has been more effective within West Africa in so far as its coordination functions are delegated to the CFI-WA project manager.
127. There have been some efforts by the communications team to promote CFI-wide communication, sharing and learning through “D-groups”. However, discussions with other child project managers and an online poll of CFI managers and other senior staff undertaken in December 2020 suggested that there has been very little use of this to date (Figure 5).

Figure 5. Effectiveness of D-groups as coordination, learning and exchange platform



Source: Based on 20 responses from all CFI child project staff.

128. Despite these weaknesses, at the time of writing there has been a move to increase sharing and partnership across the programme, partly through the use of D-groups, and partly through the exchanges being stimulated by the process to develop theme knowledge products. There appears to be significant buy-in and enthusiasm for this amongst the CFI community. However, D-groups or similar are highly unlikely to be maintained as effective coordination or learning tools in the absence of active technical leadership and moderation; and the dependence on theme documents does not fully encompass the substantial learning opportunities associated with the programme. This finding is corroborated by several comments made to the on-line poll.
129. To date "new national or regional collaborative/partnership project proposals building on the CFI best practices" have not been developed – beyond a desire to extend the CFI. While it is perhaps too early in programme implementation cycle to expect results in this regard, there are no signs of imminent initiative by GPP in this regard, and to date the project has been weak in facilitating the learning and knowledge exchange required to generate best practice.
130. The GCU and its associated website fall short of addressing the identified need for collaboration and consistency across and between agencies and other organizations with an interest in promoting sustainable fisheries.

Monitoring and evaluation

131. The relevant outcome (1.2) is "Progress of CFI programme is systematically monitored and reported". Indicators include i) M&E system defined and operational; ii) reports and evaluations published on schedule; iii) annual review meetings (GSC, GRG, etc-) monitor and guide programme performance; iv) programme and projects are well managed and addressing risks and challenges; and v) midterm and terminal programme assessments against TOC carried out and reports available.

132. The basis of the CFI programme M&E system is set out in some detail in the GPP Project Document (section 4.5) and is based on routine reporting against the indicators and milestones of the CFI programme results matrix/framework contained in the CFI programme framework document: "project-level M&E results of each of the five child projects will be linked to the CFI framework in order to track the respective progress and achievement as well as to provide comparative evidence-based analysis". This has not been achieved.
133. Child projects have reported against their project results frameworks and submitted PPRs to implementing agency managers and PIRs to GEF. These have not been submitted to or consistently made available to GPP GCU, and have not been synthesised, compared or analysed to generate an overview of the progress of the whole programme for submission to the GSC. This lack of review and oversight is addressed further under section 5.5.4.
134. There is a programme-level results framework with its own set of outcomes and indicators. To date, child projects have not reported against this framework. This could have been done by the child projects reporting directly against the programme framework, or by GCU assimilating child project results frameworks and reporting against the programme framework. Neither has been done to date, and no derivative PPRs have been submitted to the Programme Steering Committee (PSC). The GCU is aware of this problem, and it is anticipated that this will be remedied soon.
135. A revised programme-level TOC was developed by consultants in 2016 and appended to the GPP Project Document (not the programme framework document), agreement on which is a stated baseline of GPP Component 2. It is described in some detail in section 4, since it has potential roles in programme coordination, learning and exchange, and M&E – all of which are core functions of the GPP GCU. There is no documentation to suggest this was developed and agreed in a collaborative way across all executing and implementing partners, and discussion with some partners suggests limited awareness and ownership of this tool. There were significant dedicated discussions of the TOC at Vitorchiano and the first two global consultations, and a provisional agreement was made to agree on a subset of indicators that would form the basis of programme-wide M&E.¹² The need to report against these was discussed at the 24 June 2019 GSC Global Call Meeting, but there was no follow up (as evidenced by subsequent global call minutes), and reporting against these indicators is not yet taking place.¹³ In any case it is unclear that reporting against these three selected indicators reflects either the need for programme-level monitoring or the opportunity for programme-wide learning as envisaged in the TOC document. Of particular concern, the recent CFI-LA MTE refers mainly to the original (2015) version appended to the CFI programme framework document and makes no reference to the indicator framework associated with the 2016 version or the selected programme indicators referred to above. The nature of the revised TOC and its intended function is described in Section 4.2, and application in section 5.5.1.
136. The idea of baseline analysis, and in particular governance analysis, which would serve as the basis for assessing the impact of the programme on target fisheries figures strongly in the TOC, and links to the idea of a fishery assessment tool under Component 3. Both are closely linked to the idea of assessment and monitoring of child projects feeding into programme-level learning about experience implementing the EAF. Base-line/governance analysis has been undertaken in various forms in support of some of the CFI target fisheries (for example [Peru](#) and [Indonesia](#)). The

¹² The following three indicators were agreed for Tier one:

- i. Outcome 1: Women hold responsible positions in fisheries organizations;
- ii. Outcome 2: Fishers, fish workers and fisheries-related business and groups participate in rule definition; and
- iii. Outcome 3: Mechanisms to collaborate with, and inform other, projects/programmes in the region are in place.

¹³ May 2021. An M&E expert will be working on this soon.

approaches taken are varied and inconsistent, FPAI has not been used in support of these assessments, and there has been no coordination, synthesis, review and analysis at programme level by GCU.

137. Although child projects have submitted routine PIRs and PPRs to GEF, the GPP has not defined or implemented a programme-wide M&E system along the lines envisaged in the Project Document. GPP has not "tracked the respective progress and achievement" of child projects or "provided comparative evidence-based analysis" to the PSC. There has been no formal annual reporting to the GSC or GRG relating to CFI progress and performance. While there have been some issues about access to partner agency results reporting, these should have been resolved, along with the confusion over the nature and function of the programme TOC.

4.2.3 EQ 2.2 (Component 2). Promotion of policy influence and catalytic role

138. Despite the broad scope of the Component 2 title, actual outcomes and indicators are largely restricted to knowledge sharing.

Knowledge management and dissemination

139. The baseline for Component 2 is "limited learning and application of existing knowledge and lessons learned, and inconsistent advice from diverse organizations working to promote better fisheries management". The outcome is "best practices and tools for environmentally, socially and economically sustainable fisheries are documented, analysed and shared". Indicators include workshops, four technical "theme" documents, disseminated and appropriate best practices, three learning exchanges and wide dissemination of FPAI. The programme TOC, the CFI framework rationale and the GPP rationale all envisage coordination, collaboration, mutual learning and policy influence across CFI and other global fisheries initiatives and organizations as major outcomes of the programme. The GPP and its GCU are the primary mechanisms to deliver this.
140. Discussions with other child projects suggest that the two global consultations convened to date have provided an effective programme-level platform for coordination and mutual learning, and possibly some policy influence though the participation of senior government fishery officers, though there is no practical outcome evidence to support this.
141. The CFI website <http://www.fao.org/in-action/coastal-fisheries-initiative/en/> has been discussed under EQ 2.1, section 5.2.2. The website is not as yet regarded by the partners as an effective shared learning or coordinating platform for the programme itself and is poorly linked to key EAF resources.
142. There have been two South-South learning exchanges related to mangrove management. These were regarded as useful by partners, but there have been no shared documented learning outcomes (other than news stories) or programme level follow-on collaboration or exchange.
143. The FPAT (introductory module) has been partly disseminated on FAO's e-learning platform, though the tool remains in development and will not be finalised until FPIs are integrated with the Methods Evaluation and Risk Assessment (MERA) tool,¹⁴ which will take up to 18 months. The integrated FPAT tool will only be available for piloting toward the end of the programme and is unlikely therefore to serve to facilitate shared learning or policy influence under the current programme.

¹⁴ <https://www.merfish.org/>.

144. A list of CFI publications to date is presented in Annex 2. To date, most of the programme knowledge products are news feeds to the global website, although some substantive reports have been produced by the CFI-LA. There is as yet no programme-wide review, synthesis and analysis, or comparison/aggregation of experience and lessons learned. While this relates in part to the slow start up of child projects, much has already taken place in Latin America, West Africa, and under the GCF. In Indonesia there is already a great deal of experience generated from ongoing projects funded by the United States Agency for International Development (USAID) and others. In Indonesia, project sites include areas that have been subject to comprehensive ecosystem baseline assessment and monitoring. FPI has been implemented through GCF in Latin America. Detailed stock health assessments have been made of some of the fisheries in West Africa. Participatory fishery management institutions have been established for several of the target fisheries. There is therefore already a mass of experience to draw on relating to the project sites; and drawing out preliminary lessons would greatly enhance programme implementation and learning.
145. A CFI communication and knowledge sharing strategy (CKSS) has been written, and most child projects have produced or are in process of producing their own subsidiary CKSS. The CFI strategy “aims to guide knowledge sharing and communication across the CFI through cohesive and coordinated messaging, targeting well-defined audiences and using channels, tools and mechanisms that maximise impact in achieving CFI’s knowledge sharing and communication goals”. The strategy highlights a wide range of possible knowledge products and knowledge sharing mechanisms, designed for a wide range of target audiences.
146. Discussions with project personnel suggest that sharing of information and knowledge and development of lessons learned and best practice will be facilitated primarily through the theme knowledge products: Women in the Value Chain (lead West Africa); Mangroves and Marine Spatial Planning (MSP) (lead Latin America); EAF (lead Indonesia); Private Sector Engagement (lead World Bank). Roadmaps and timelines are currently being developed for these products with the broad objective of finalising knowledge products and associated best practices by June 2022. Each theme is led by a different child project and this assignment of responsibility is welcome, if rather late. However, the mechanisms by which the scope of programme-wide learning can be assimilated through these themes, and perhaps through other knowledge products, has not yet been tested. At the time of writing, D-groups are being promoted by GPP as a sharing platform for the programme, although it has been very little used to date.
147. Notwithstanding the potential of the themed knowledge products and the heightened awareness of opportunities for sharing and discussion on D-groups, there remains a concern that mechanisms to synthesise programme-wide learning as envisaged in the TOC – both within and beyond the theme documents – will remain limited in the absence of highly pro-active and long-term programme technical learning and exchange facilitation. This key GCU function (monitoring experience, progress and achievements of the child projects; synthesising and comparing approaches by different projects and to different types of fisheries; facilitating contacts between child project consultants or advisors working on similar issues) is not addressed in the CKSS strategy and is likely to be only partially fulfilled through the theme products. Reasons for this weakness include the structure and staffing of the Global “Coordination Unit” (section 5.5.4) and failure to implement the TOC as a “common monitoring and learning system” (section 4.2, 5.5.1). A major contributory factor has probably been the lack of realization of the position of the Science to Policy Officer, as envisaged in the TOR appended to the GPP Project Document and summarized in Table 4. This near-full-time position (nine months/year) was intended to “support the delivery of the CFI Programme 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 as well as coordinating the M&E work of the programme and two FAO projects". While it has been partially realized through responsibilities allocated to the project manager, the LTO, and the communications officer, the lack of long-term integrated commitment to these functions or adequate resources has undermined the potential for programme-wide learning and understanding.

148. Several respondents have noted that limited progress with regards to learning and exchange is to be expected – this only comes later in a project or programme as experience is gained. But this is to see the programme as a set of independent projects that commit to share experiences at the end of the programme – far from the vision as set down in the programme framework and TOC.
149. These problems may have been partly addressed by the appointment of a new knowledge management specialist. However, the TOR for this position emphasise general knowledge management expertise over fisheries management expertise, and the two technical leads (part time GPP project manager and part time LTO) will have limited time and resources to support this function, which is demanding. By way of example, technical leadership and facilitation of D-groups alone will require substantial commitment and resources if the learning potential of the programme is to be realized. It is to be hoped that the new team – a senior communications advisor providing support on a part-time basis, a full-time communication consultant and a full-time knowledge management consultant (although only six month contracts will be issued in the first place) - can deliver the necessary analysis, synthesis and leadership. However, the focus remains on communications rather than fisheries technical expertise; and the latter will be essential for cross-programme analysis, synthesis, comparison of experience and the derivation of best practice based on programme wide experience.
150. Progress and results have been limited to date in relation to the sharing of learning and experience and the development of best practice. Progress has been severely constrained by late start-up of the project and the loss of continuity of and part time nature of the key role of "global coordinator". COVID-19 has taken its toll on many activities and delayed the implementation that generates the experience and learning. The project will likely continue to underperform if it fails to implement a comprehensive programme-wide learning system as envisaged in the TOC, and if there is a lack of high-level fisheries technical ownership and leadership for this component.

4.2.4 EQ 2.3 (Component 3). Fisheries performance assessment

Objectives and outcomes

151. The relevant part of the project development objective relating to Component 3 is "...global partners who co-develop and utilize frontier tools to assess coastal fisheries performance, and identify empirically effective pathways towards environmental, social and economic sustainability for these fisheries". In other words, the development of the FPAI was envisaged as part of a process to strengthen global collaboration and agreement on the nature and utilization of these tools in support of sustainable fisheries. The extent to which these tools were meant to support increased sustainability of CFI target fisheries is less clear (see section 5.5.1).
152. The results framework baseline is "There are some tools available to assess whether fisheries are sustainably managed, but none can meet the needs for the CFI performance evaluation". This latter probably relates to the fact that concerns had been expressed at earlier meetings that ecological indicators (including stock assessment) and governance indicators in existing FPI frameworks were weak. FPIs use a summary judgement about stock status rather than individual indicators underlying these judgements, such as life history traits. The outcome for this component is "FPAI is developed based on existing tools, for both CFI and non-CFI fisheries". FPAI

consumes a major part of the cash resources of the GPP and has potential global application. It is therefore considered in some detail here.

Setting the context for FPAT

153. Before addressing the evaluation questions, it is worth presenting some background. There are several concepts and tools associated with FPAI and FPAT. FPIs have been around for some time in various guises.¹⁵ Over many years FAO, and others such as the European Union's INCOFISH programme, have sought to define a set of FPIs – ranging from very small sets of five-ten core indicators, to more comprehensive sets of 68 outcome metrics covering the triple bottom line¹⁶ (social, economic and environmental characteristics). The International Coalition of Fisheries Associations (ICFA) funded the development of FPIs in 2009. This was an inclusive process involving 15 research institutions, six governmental organizations and 40 scientists. The World Bank and others have tested and applied them in various contexts. MSC uses a framework of indicators and scoring guideposts to assess and score fisheries for the purposes of sustainability certification, although this framework is regarded as too demanding for most small-scale fisheries or those limited by inadequate information. The MSC standard is also limited to assessing the state of the stock, environmental impact and the quality of the management system. It does not address socio-economic issues associated with the fishery, and therefore does not meet the scope of “triple bottom line assessment”. It is also linked to chain of custody certification which again is difficult for many small-scale fisheries. Associated with these indicator sets are a variety of other tools¹⁷ – such as risk management (developed by CSIRO), the Data Limited Management (DLM) tool as used by MSC and presented at the inception workshop, and MERA.

GPP activities and results

154. A two-day technical workshop was convened by FAO in February 2016 to discuss developing an FPAI to i) effectively monitor the sustainability of coastal fisheries management; ii) evaluate improvements in sustainable environmental, social and economic conditions; and iii) identify pathways for implementation of successful management strategies. Particular emphasis was placed on understanding triple bottom line outcomes of management strategies adopted by CFI fisheries, and on developing a stock status assessment method for data-limited fisheries. “The project’s approach to the development and testing of these methodologies and approaches will include not only co-production among the CFI partners, but also bringing in additional partners from academia, research and other networks to ensure that these are based on practical considerations and are widely applicable”.
155. The following year (January 2017) a brief for FPAT was developed. It was anticipated¹⁸ that the application of FPAT would:
- i. facilitate cross-comparisons between pilot fisheries at the national, regional and global levels and *might* inform M&E for the current project;

¹⁵ Cartwright, 2008; World Bank, 2012a; Bianchi, 2014; INCOFISH, 2008; Johnson *et al.*, 2014; Anderson *et al.*, 2015; FAO, 2018; Gentner *et al.*, 2018.

¹⁶ E.g. Bartley *et al.*, 1996.; World Bank, 2012a; Anderson *et al.*, 2015.

¹⁷ Hoggarth *et al.*, 2005; Hosch, 2012; Carruthers *et al.*, 2014; Plagányi *et al.*, 2011.

¹⁸ PFAI briefing Feb 2017. Development, implementation and training of a Fisheries Performance Assessment Instrument. Coastal Fisheries Initiative, Global Partnerships Project (GEF-FAO).

- ii. support assessment against other indicator sets such as those associated with e.g., SDGs, EAF, SSF Guidelines, MSC, fishery improvement projects, sustainable investment opportunities appraisal;
 - iii. be supported by all types of data, from existing fully quantitative data, experts' judgement and dedicated fieldwork; and
 - iv. enable prioritization of further data collection activities.
156. It is notable that these functions do not refer specifically to supporting strengthening of fisheries management in target CFI fisheries.
157. The University of Washington was subsequently contracted to develop the tool, by building on and improving the existing FPI. More recently (November 2020) the University of British Columbia (Blue Matter Science) has been contracted by CFI-GPP to integrate MERA with FPI to generate an integrated FPAT tool for both fisheries' assessment and management evaluation. The FPI component will generate a set of summaries and graphics (such as spider diagrams) allowing for rapid appraisal of the fishery bottom line, and strengths and weaknesses against a variety of metrics. Linking FPI to MERA (FPAT) will additionally allow for the exploration of possible benefits/costs associated with alternate types and levels of management intervention and enable fishery outcomes to be linked to enabling conditions and management interventions for CFI fisheries and more widely. FPAI was based on 65+ indicators; MERA is based on 30 questions. Since there is some overlap the total number of questions or data inputs in the combined tool will be around 75.
158. A baseline FPI assessment was made through the GCF project in 2018, implemented by the World Bank in Peru based on the original Anderson *et al.* (2015) FPI approach with the addition of some supplementary indicators. Engagement by GPP with this initiative was limited, though the University of Washington scientists were contacted to discuss the additional indicators to be used in the assessment. As far as can be ascertained, experience in the application of this modified tool and its relation with FPAT has not been discussed at the webinars conducted to date on the FPAT/MERA toolkit or in the global consultations.
159. A Skype workshop including participants from the University of Washington, the University of British Columbia (FPAT contractors) and FAO was held in August 2020 to discuss progress and next steps in the development, training and piloting of the FPAT. The workshop report suggests that FPI+ (i.e. FPI plus governance indicators, additional ecological indicators, life history information) remains to be finalised.

Progress against indicators

160. Output 2.1.4 which should have been generated at the outset of the project "Fishery performance assessment methodology and experiences published and disseminated"¹⁹ has not been realized – neither in terms of a published document nor in a less formal sharing across the programme. It may be argued that the introductory module on the e-learning platform fulfils this need, but it is not a comprehensive critical review of experience or alternative approaches.
161. The basic (FPI+) assessment tool has now been largely developed, including a governance supplement, though it is yet to be finalised. Integration of FPI with MERA has begun and completion anticipated within 18 months. An e-learning training module is available on FAO's e-

¹⁹ This called for a report evaluating all relevant fishery performance assessment methodologies and experiences to be prepared and shared with all stakeholders concerned.

learning academy system, though this remains introductory in nature, and the University of Washington has taken a very limited part in its development. A comprehensive handbook has been prepared (Autumn 2020) by the University of Washington (meeting output 3.1.3) and several webinars and online follow-up meetings have been convened in recent months involving personnel/focal points from the Latin America and Africa child projects. Discussions are now taking place about how to collect data and who will be responsible.

Relevance to programme and wider sustainable fishery needs

162. It is important to distinguish the different functions and applications of these tools and how they might be used to strengthen the sustainability of CFI fisheries. A comprehensive triple bottom line assessment tool may be used:
 - i. to identify strengths and weaknesses of the whole social, economic and environmental eco-system related to the fishery, to inform on critical issues – not just for fisheries management, but for wider coastal planning and management purposes (FPI/FPI+);
 - ii. to audit and compare several fisheries for the purpose of directing and prioritising national fisheries policy and management efforts (FPI/FPI+);
 - iii. to provide a baseline and benchmark against which improvements in fishery status can be assessed (FPI/FPI+);
 - iv. to provide a framework for global or cross-fishery analysis of links between different enabling conditions, interventions and performance in support of more effective interventions (FPI+ plus MERA i.e. FPAT);
 - v. to highlight - for a fishery management organization or fishery stakeholders - areas for improvement (MSC pre-assessment; FPI), the opportunities and risks associated with alternate management interventions, and the value of additional information and monitoring (MERA); and
 - vi. to audit a single fishery for the purposes of marketing/certification (the global standard is MSC, though FPI could be used).
163. Ideally the first three of these would be used at the inception of a project or programme – to identify target fisheries and the key issues to be addressed. The fourth could be used by fisheries scientists at national or international level to better understand the nature of fishery “eco-systems” and how best to influence them. The fifth of these is best applied when there exists an institutional structure for fisheries management of sufficient sophistication to support collection of the data, application of the tool and agreement on effective management interventions or additional data collection exercises. The last (6) is only of relevance once a full set of fishery management measures and marketing systems are in place to allow for such audit and certification.
164. Until recently, there has been no attempt by the GPP to engage with child project fisheries to discuss the application of FPAI or other tools in terms of the different functions listed above as might be applicable to their situation or needs, nor is the part of the contracts set up with the University of Washington and the University of British Columbia. The original strategy, as set down in the GPP Project Document, programme TOC and child project documents, suggests that a simpler form of child project fishery pre-assessment would be undertaken at the outset of the programme (functions 1-3 above), and that this would be repeated half-way through project implementation with a refined version, and again (in comprehensive form using the full FPAT) toward the end of the programme. Furthermore, the partners would be engaged in supporting the development of the tool or tools, as appropriate to their fisheries. None of these have been done.

165. The idea of a preliminary FPI informed baseline assessment overlaps with the idea of a governance baseline, as emphasised in the TOC and all of the child project documents. Indeed, this relationship is made explicit under Pillar 3 of the CFI-GCF child project: "dissemination of lessons learned on triple bottom line assessment". Although some governance baselines are now available, the initial baseline has not been done consistently for the target fisheries or associated value chains, or been supported by GPP Component 3 activities, preventing early comparison and synthesis of the programme fisheries. Furthermore, the slow development and application means FPAT could not be integrated with the baseline assessments for investment opportunity made by the GCF in West Africa (Cabo Verde).
166. The late roll-out of the tool is partly related to delays associated with the integration of FPI with MERA, which itself appears to be questionable. The tools have different functions as noted above, and the potential application of FPI is broader in scope (triple bottom line, any species) than that of MERA (management option evaluation, not all species). MERA is less suitable for application to shorter lived species (<four years) such as small pelagic fish and most shellfish species, which comprise the majority of CFI fisheries. Training and data collection is also more demanding and complex requiring significant fisheries technical expertise. The roll-out of FPAT now involves selecting fisheries within CFI target regions suitable for trialling the tool, rather than using FPAT in support of fisheries assessment for all CFI target fisheries.
167. Although most respondents were keen to apply the tool and thought it could be very useful, there was concern about the number of indicators and the "data burden". The developers emphasise that the tool is designed for use with imperfect and limited data, and stakeholder/expert assessment of parameters can be done easily and rapidly. Nonetheless, in West Africa at least, the national project coordinators are looking to research institutions to undertake data collection and are seeking how to formalize involvement and access funding for this purpose.
168. We have a particular concern that "waiting for FPAT" has allowed the child projects to take their eyes off the ball. There are two major questions that need to be asked before making any interventions in fisheries management:
- i. Is the target stock healthy or over-exploited?
 - ii. Is there an institutional basis for agreeing approaches to catch limitation, or harvest control rules, should this be required?
169. If the stock is healthy, it may be argued that, either other fisheries deserve priority attention, or that a precautionary approach requires stronger management institutions. If management decision making institutions are lacking, then the priority is to build such institutions. Once they are built, then the value of comprehensive assessment and management tools can be assessed and agreed, ideally through a participatory process. In most cases the critical issues will be so obvious (albeit the solutions very challenging) that the use of more sophisticated tools is unlikely to be a priority. By way of practical example, we know that "bonga", the small pelagic fish targeted by Senegalese fishers, is over-exploited, and there is an urgent need to reduce fishing efforts. It is questionable whether the use of FPAT would be the most efficient and effective way to facilitate management initiative in this fishery – given the very limited funds available. Indeed – it may delay effective action with serious medium-term consequences.
170. In summary, so far at least, the FPAT has not been "co-developed" or deployed strategically to support child projects in terms of: i) establishing a baseline and identifying priorities for action and investment; ii) sharing preliminary assessments and characterization of fisheries and issues across the programme; iii) supporting emerging management institutions; and iv) identifying

major challenges and opportunities for the target fisheries. It should however have value as a tool for some of the CFI fisheries in the future and/or others outside the scope of CFI.

Relation to other tools

171. The MSC standard is a useful internationally recognised assessment framework that can be linked to established global sustainable certification systems and can be applied in a simplified form as a basis for exploring the strengths and weaknesses of a fishery, and as the basis a fishery improvement plan. It is particularly strong with respect to assessing the quality of fishery management systems. The FPI is simpler in some respects, though it is less hierarchical, and still very data hungry. Crucially, it covers social and economic criteria which are not addressed by MSC, which makes it more useful for higher-level social, environmental and economic planning. Nor does the MSC framework support simulation or evaluation of alternative management measures which is the primary function of MERA. In this sense, FPAT significantly enhances the toolkit available to fishery managers and supporting programmes.

Global partnership and collaboration developing FPAT

172. The work on FPAT has been contracted to two academic/research organizations and the development process has been almost entirely top-down, apart from some feedback during training webinars.
173. Neither FAO nor the two university contractors have re-convened the original grouping of scientists and organizations with a particular interest in fisheries assessment. Despite strong interest from other scientists engaged in fisheries performance assessment, and MSC, no serious attempt has been made to engage them - or other organizations with an interest in promoting coastal fisheries sustainability - in the shared development and application of the FPAT. None of the senior personnel of other child projects to whom we talked were aware of activities or initiatives to involve them in the development of FPAT prior to the recent roll-out of training webinars. The contracts with the universities do not contain provisions for engagement with other fishery professionals active in fisheries performance assessments, or for taking account of the experience of application of a version of FPAI+ in Latin America by CFI-GCF, or for any form of collaboration or "co-development" with CFI partners taking into account the particular needs of CFI target fisheries.
174. The GRG (section 5.2.2) would have been a useful forum in which to review the scope and nature of FPI, the opportunities for simpler pre-assessment or baseline frameworks and the desirability or otherwise of combining FPAI and MERA. This has not been done and no alternative consultation or collaboration system has been developed in its place.
175. The contracting out of the FPAT development work has separated this function from that of the GCU and global coordinator and isolated it to some degree from the rest of the programme, undermining opportunities for a more bottom up and needs driven approach to baseline analysis and fisheries assessment and monitoring.
176. FPAT has not been realized as originally envisaged at the 2016 technical workshop: "a co-production among the CFI partners, bringing in additional partners from academia, research and other networks to ensure that these are based on practical considerations and are widely applicable", nor has the development process fostered global agreement on "frontier tools".

4.2.5 EQ 2.4 Effectiveness of partnership arrangements

177. To date, active partnership at global level between the GEF Secretariat, FAO, UNDP, the World Bank, WWF, Conservation International, UNEP, and the University of Washington has been limited. The other child project personnel contacted (see Appendix 5) were not familiar with the idea of a GCU, and did not regard FAO as having played a significant role in partner facilitation and liaison beyond the routine global calls and the annual consultations. It is notable that the position of the partnership liaison officer within the GCU, outlined in the TOR appended to the Project Document, has not been realized beyond a very part-time responsibility assigned to the GPP project manager. However, increased activity during recent months regarding the development theme knowledge products, facilitated by GPP, should lead to substantially enhanced partnership activity.
178. Some important opportunities for partnership initiatives – for example by linking investment facilitation activities under the CFI-GCF with regional child project interventions, or linking FPAT development activities with the specific assessment needs of particular child project fisheries – have not been exploited, at least in West Africa, and there is no strategic process within the GCU at global level to exploit potential synergies. More specifically, there has been limited partnership and coordination between the World Bank-GCF and GPP GCU in applying a commonly agreed fishery baseline, governance baseline or assessment framework. This is unfortunate because facilitation of sustainable investment cannot be undertaken without some form of baseline sustainability assessment, and this is an obvious arena for collaboration – with organizations like FAO, WWF, UNEP, etc. providing social and environmental input and the World Bank providing financial, economic and management input. The World Bank was not prepared to wait for the FPAT and associated training to be rolled out, and therefore conducted its own baseline assessment of fisheries in Peru using the existing FPI, which had been used in previous World Bank fishery work. Some modifications to this framework were made in consultation with FAO and its academic partners to address shortcomings of FPI noted under EQ 2.3. CFI-GCF have not used or drawn on the FPAT or collaborated with FAO or the University of Washington or the University of British Columbia to discuss integration of their fishery assessments in West Africa and Indonesia.
179. At regional level partnership and collaboration has been mixed. In Latin America (Ryan, 2020), relations between implementing partners UNDP, the governments of Ecuador and Peru, and the executing NGOs (WWF and Conservation International, as well as local partners) appear to have been productive, although there have been some issues between local and international NGOs related to implementation modalities between the two countries. Relations between the World Bank (GCF implementer) and UNDP Latin America appear to be effective. This partnership resulted for example in joint deployment of an FPI assessment of ten fisheries in Peru (World Bank, 2012b).
180. Relations between FAO and implementing partner UNEP/Abidjan Convention in West Africa appear to have been effective. Relations with executing partners (Government ministries) have been mixed, with the question of co-financing, and resourcing creating some difficulties and uncertainties for project implementation. Relations between the World Bank and CFI partners in West Africa have been limited – indeed the work under the GCF seems to be taking place in parallel with other CFI initiatives in West Africa. The World Bank decided to carry out activities only in Cabo Verde and not in Côte d'Ivoire nor in Senegal. They are working with different fisheries in the same or different locations, and there is no real partnership or coordination with other implementing partners in West Africa.
181. In Indonesia, there have been significant difficulties building partnerships, and these have contributed to the delay in implementing this child project. Discussions with GEF, WWF and Conservation International suggest that these difficulties centred on:

- i. negotiations between GEF and WWF with regard to their role as both executor and implementer;
 - ii. negotiations between GEF and the Government of Indonesia on component responsibility and management; and
 - iii. a high degree of political, budgetary and personnel change within relevant ministries and agencies of the Government of Indonesia.
182. According to the Indonesian partners, neither the GCU nor the GSC took an active role facilitating solutions to these implementation problems.
183. Slow implementation means that it is too early to assess relationships between the World Bank-GCF and Indonesian implementers and executors.
184. Partnership arrangements and effectiveness across the programme are varied. Where there is a clear common interest (as there appears to be within Latin America and West Africa) it is strong. At global level the common interests and other incentives for partnership are weaker, and the need for partnership facilitation all the greater. The role of partnership facilitation and strengthening was assigned to GPP GCU but is regarded by the partners as limited and resources have not been deployed to fully enable this function.

4.2.6 EQ 2.5. Unintended results

185. Most fishery practitioners would agree that while “frontier tools” tools can be very useful, the priority is to get competent but sensitive and flexible fishery professionals on the ground working with stakeholders. Once a “community of interest” or management institution is in place – or at minimum a technically proficient facilitator - a variety of tools may be useful. There has been a presumption throughout the CFI (and the GPP in particular) that there are tools that should be rolled out across the target fisheries to support a move toward more sustainable fisheries, and funding for these under the GPP appears to have taken precedence over support for EAF inspired strengthening of participatory management communities. A focus on “frontier tools” may divert resources from bottom up strengthening of emerging fisheries management institutions to research institutions or international consultants.
186. There seems to have been a separation between the activities of the CFI-GCF and other child projects, at least in West Africa. While this may allow for more agile implementation of the GCF, it undermines the concept of an integrated approach, with investment facilitation taking place in parallel with, for example, fisheries performance assessment and strengthening of fishery management systems. This is of particular concern, because any additional investment in fisheries systems will necessarily seek an additional return. If this is derived from a higher value product, well and good; if it is from increased throughput of raw material, this could negatively impact fishery sustainability. The relatively independent (i.e. non-integrated) deployment of CFI-GCF investment facilitation independent of other child projects’ strengthened fishery management initiatives could lead to perverse outcomes.

4.2.7 EQ 2.6. Likelihood of CFI impact – barriers and risks

187. These issues are addressed in more detail under section 5.5. Factors affecting progress.
188. The difficulty of coordination and integration between so many and so diverse partners - speaking different languages (in all senses) and dealing with different fisheries at different levels of development - all mitigate against success in realizing the ambitious vision of a global partnership. The transaction costs of agreeing common approaches and sharing lessons escalate exponentially

with the number of partners and the number of issues to be addressed. Given that EAF itself is already multi-dimensional, the challenge is all the greater. These challenges were underestimated at the outset, and the resources and leadership required to overcome them have never been fully realized.

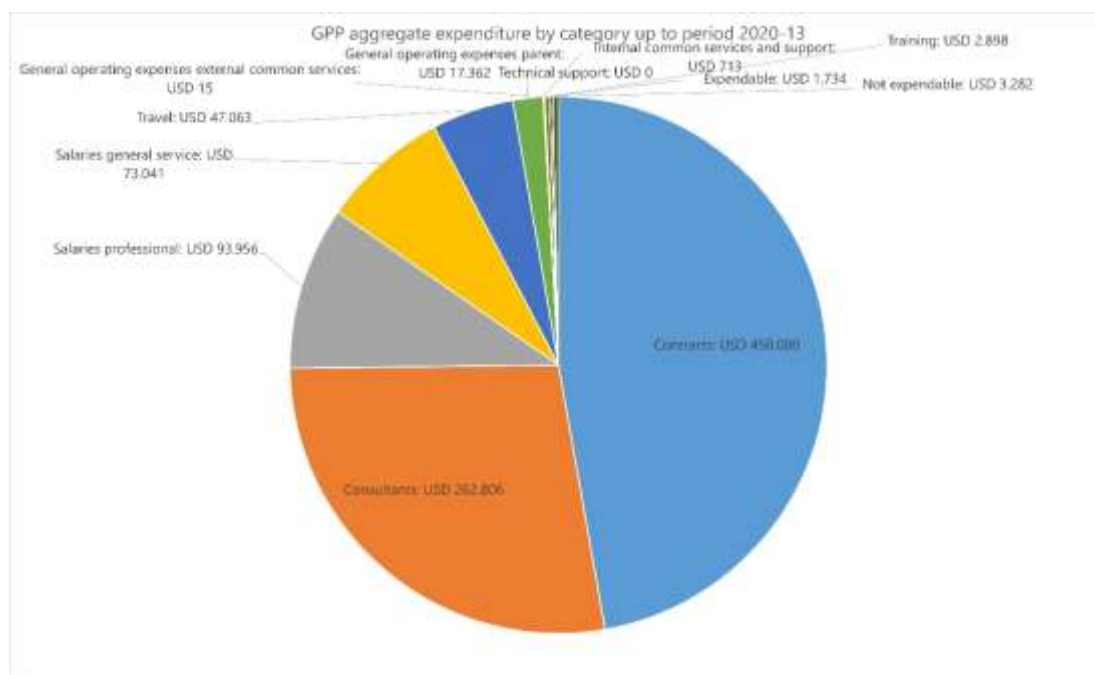
189. Global partnership in delivering the CFI was to be facilitated through the GCU, comprising several key professional positions: programme coordinator, project manager, partner liaison officer, science to policy advisor, training advisor (see table 4, section 3.7.2) as well as technical personnel in support of Component 3. The former positions have not been realized in any long term, coherent or consistent form. The coordination function has been allocated to the project manager, with responsibility for both GPP (maximum one-third of the time) and West Africa (two-thirds+). Other realized core positions include a communications officer and an LTO – both FAO seconded based on contributions in kind, but with no specific time allocation or reporting responsibility. It is unrealistic to think that one part-time programme employee, supported by occasional in-house and contracted consultants and advisors, will be able to deliver a global partnership project at the level envisioned in the Project Document and TOC.
190. COVID-19 is having a major impact on CFI implementation on the ground by the child projects and constrains field travel or face-to-face assembly at international meetings. While this is a significant constraint, there is much that can be done in the meantime within the existing GPP results framework, especially in relation to reporting, learning, exchange, synthesis and analysis, all of which are core GPP activities.

4.3 Efficiency

4.3.1 EQ 3.1. Efficiency of implementation

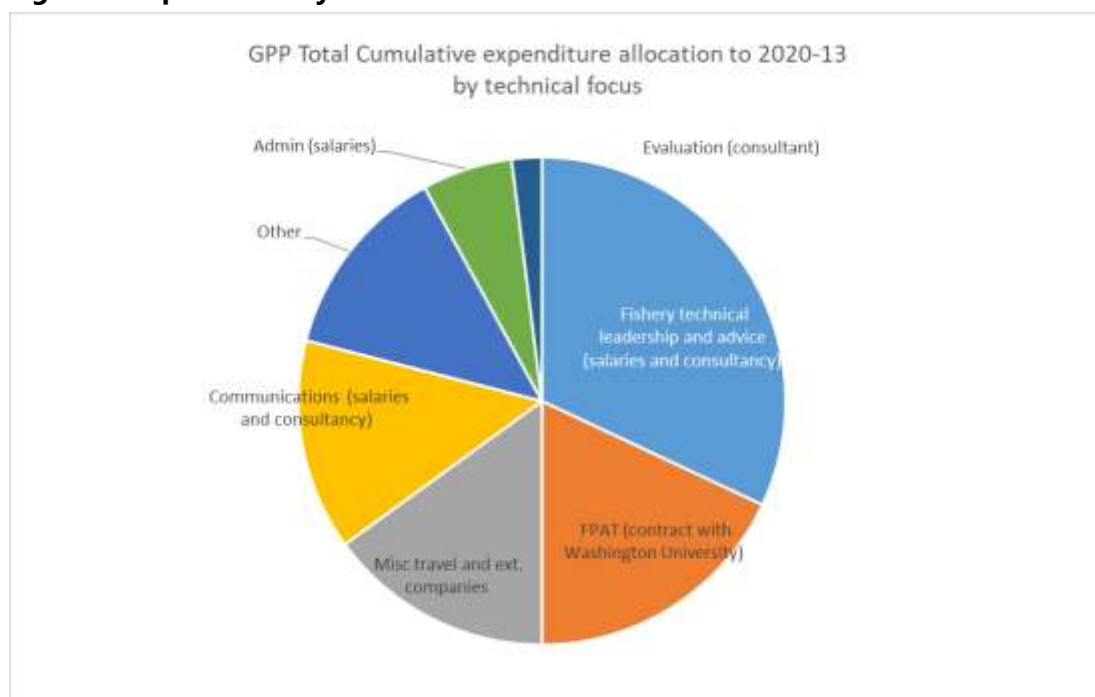
191. Expenditure to date may be deemed low in so far as we are more than halfway through the project, and just under USD 1 million of USD 2.65 million GEF funding has been spent (up to the end of 2020), but this is to be expected given the start-up delays. In any case expenditure has begun to rise significantly since these figures were compiled. It is not possible to assess drawdown on contributions in kind, because these are not routinely or accurately accounted. By the end of 2020, total aggregate expenditure against the GEF budget amounted to USD 952 870, allocated as in figures 6 and 7.
192. The greater part of spending to date has been on contracts and (mainly short term) consultants. Spending and professional resource allocation to the core function of coordination, partnership facilitation and programme wide learning is hard to gauge but will be reflected in part in allocation to fishery technical leadership and advice, and communications. Spending on core professional salaries stands at less than USD 100 000 or roughly 10 percent of total expenditures.
193. There is rather little tangible or perceived output associated with this significant expenditure, beyond the global consultations, and it is concluded that resources have not been used cost effectively. The main reasons for this inefficiency are detailed under EQ 5.2.

Figure 6. Expenditure by category



Source: Project financial documentation.

Figure 7. Expenditure by technical focus



Source: Project financial documentation.

4.3.2 EQ 3.2 Building on previous agreements and initiatives and avoiding duplication

194. A great deal of work has been undertaken globally in support of sustainable fisheries development and management for inland, coastal and offshore fisheries. In addition to FAO's own substantial initiatives in this area, including the CCRF and its supporting technical guidelines and toolkits (such as those concerned with small-scale fisheries, EAF, MPAs and rights and tenure, SSF and EAF) there are many other relevant initiatives and resources driven by NGOs, academics and certification bodies, including for example:

- i. the MSC standard (and of particular relevance its approaches to [small scale](#) and [data limited fisheries](#));
- ii. [Fishery Progress](#); Fishery Improvement Project progress tracking database and tools;
- iii. the Environmental Defence Fund [Fishery Solutions Center](#) and its [digital hub](#) initiative;
- iv. the [data limited methods toolkit](#) hosted by the University of British Columbia and Natural Resources Defence Council;
- v. INCOFISH and in particular its [WP7](#);
- vi. [FPIs](#) hosted by the University of Florida;
- vii. [Management Strategy Evaluation](#) and [MERA](#) hosted by the University of British Columbia/Blue Matter Science;
- viii. the Nature Conservancy's [Seafood Solutions](#) (specifically seeking to build communication and coordination among conservation organizations working to promote sustainable seafood); and
- ix. [Fish2.0](#) which focuses on seafood sustainability.

195. A perceived need to coordinate and rationalize initiatives such as these, and to provide some global coherence and quality assurance formed a significant part of the rationale for the CFI and GPP project. It is notable that Component 3 aimed to "develop a commonly agreed measurement instrument allowing for an effective coverage of the ecological, social and economic impacts of coastal fisheries in close collaboration with CFI partners, academia and research networks. The development of the FPAI/FPAT, which has been contracted out to scientists already engaged in this area – (at University of Washington (FPI) and University of British Columbia (MERA)) - builds directly on previous work.
196. However, the project has not built on some of the academic and industry-academic partnerships that underpinned the development of FPAI, nor is it building on or seeking to coordinate with others (such as MSC and the University of Florida) still actively working in this area (see EQ 2.3). The GRG, which might have played an effective role in ensuring GPP activities built on past and other global experience has not been convened. The FPAT is arguably yet another tool (it has been described by one academic group as "a reformulation") in an already quite crowded field, and significant overlap with other activities and initiatives continues.

4.4 EQ 4. Sustainability and exit strategy

197. The GPP is not a field-based development project, but rather a coordination, technical support, and learning mechanism. Its structures and processes are not required to extend beyond programme duration, although some of them could and arguably should. Sustainability depends rather on the nature and importance of the lessons learned and best practices derived and disseminated; longer term impact on agency relationships; and the improvement and application of widely agreed tools used in support of EAF.
198. To date, programme-wide learning has been limited (see sections 4.2, 5.2.2, 5.2.3) and no formal "best practices" have yet been developed. The emergence of the theme products over the coming 18 months will be critical to ensuring lasting impact.
199. With regard to longer term impact on collaboration, outcome 1.1 refers to "fully functioning partnership mechanisms will result in efficient collaboration and coordination among environmental and development organizations operating in CFI coastal fisheries". The role of GPP

in establishing such mechanisms and their longer sustainability are both unclear. There is to date no evidence that agency coordination at global level has been significantly improved through the activities of the GPP, although coordination between some partners delivering child projects on the ground has been good (for example in CFI-LA) and may serve as a foundation for future coordination and collaboration. The annual global consultations, like all such events, have and will serve to foster exchange and build professional networks which will outlast the project. However, the GCU (output 1.1.1) does not exist beyond the “global calls” which effectively serve as project status updates, which activity is unlikely to have impact beyond project completion.

200. The GRG (output 1.1.2) that was intended to serve as a global platform (possibly also partnership mechanism) and provide oversight and standard setting for information and knowledge shared within and beyond the CFI has not been realised in any form, and the opportunity to promote more global professional “buy-in” and support for the CFI has been missed. While the substantial challenges of bringing together such a group are acknowledged, these difficulties themselves formed part of the rationale for the project, and indeed the programme.
201. The FPAT tool is highly likely to be sustained beyond the programme life, although future dissemination and impact may be partially compromised by the failure to foster collaboration and coordination between existing players in the field of fisheries assessment and improvement. The opportunity to build a global technical steering group or peer review group related to or derivative of the GRG which might promote global agreement on, and ownership of such a tool has been missed.
202. FAO will continue to engage with its global partners to promote more sustainable coastal fisheries. But it is unclear that the GPP has strengthened these relationships beyond the basic requirements of implementing the programme.

Risks affecting sustainability

203. There is a significant risk that renewed spending on specialist short term consultants to regain project momentum will simply dissipate residual funds in a variety of disconnected and potentially ill-informed directions. This risk derives primarily from the lack of project management personnel resources and higher-level long-term strategic oversight (sections 5.5.2, 5.5.4).
204. There is a risk that ownership of the FPAT will lie with global and national research institutions rather than with fishery stakeholders and “communities of interest”. There appears to be no systematic programme-wide process for integrating the tool with other initiatives to strengthen incentives or management systems for sustainable fisheries in the child projects. While it is intended that the tool be suitable for “data limited fisheries” anyone seeking to apply it will wish to populate it with reliable – or at least stakeholder-agreed data. The risk then is that the focus will shift from building effective fishery management systems to longer term research – the output of which will be of little practical use in the absence of institutions that can explore and use such data and analysis.

4.5 Factors affecting progress

Rating: U

4.5.1 EQ 5.1. Design

Overall scope

205. The GPP is ambitious. It seeks to promote partnership between organizations within and beyond the CFI. It seeks to build global consensus across a wide range of scientists and fishery stakeholders on approaches and tools to promote sustainable fisheries. It seeks to promote a comprehensive holistic and integrated approach to fisheries management. While the total budget of USD 14.5 million is arguably more than adequate, just under USD 10 million of this is contribution in kind. The project design lacked any strategic commitment and allocation of contribution in kind, making planned, strategic long-term personnel support for project outputs and outcomes difficult. The residual GEF grant is inadequate to support a GCU functioning as envisaged in the Project Document.

Programme theory of change and guiding principles

206. Existing programme logic encompasses the CFI programme framework, including its results framework (discussed further below) and the individual child projects results frameworks. Set across these frameworks and with its own set of indicators is the programme TOC. This exists in two versions: a 2015 version appended to the programme framework document, and a revised version developed in 2016 following the Scientific and Technical Advisory Panel review (Olsen and Townsley, 2016). The latter is appended to the GPP Project Document (Appendix 7) and is described in outline in section 4.2. It goes beyond a conventional TOC and serves as the basis for "a common monitoring and collaborative learning system". While strong in some respects, there are nonetheless weaknesses in the logic of the programme TOC and particularly in the manner of its interpretation and utilization by the GPP as a programme-wide coordination and learning tool.
207. Establishing or enhancing enabling conditions and facilitating changes in behaviour lie at the heart of the TOC and are key to implementing an ecosystem approach to fisheries which it seeks to reflect. Enabling conditions are defined in the TOC as:
- i. "broad support among all stakeholders engaged in the fishery to the application of the EAF, as well as a commitment within government to the application of the principles of the CFI; and
 - ii. an initial threshold of capacity to put the necessary reforms into practice".
208. Unfortunately, "Support for the application of EAF" is a poor definition of enabling conditions, and indeed stands the idea on its head. Creating enabling conditions means tackling some of the well-established drivers and constraints discussed in section 4.1, as appropriate to a particular fishery and associated society. They are the conditions in society and the marketplace that will allow movement toward sustainable fisheries. Every fisher understands their importance in their own language far better than they understand the EAF. The EAF on the other hand is a set of principles and guidelines developed over many years by FAO and others to ensure that the full range of social, economic and environmental issues associated with a fishery are addressed, and that enabling conditions are fostered or created using an inclusive and participatory approach, so that the fishery system as a whole can move to a more sustainable and equitable state. EAF is supported by several FAO reports, guidelines and web resources.²⁰
209. The reference in this definition to the principles of the CFI is also problematic. These are not clearly articulated in the TOC or the programme framework document itself, but rather in Annex 6 and reproduced in Box 4. The GPP Project Document does not specifically refer to CFI principles, but does refer to guiding principles which are effectively the same as the CFI principles. These principles are not referred to in the Latin America, West Africa or Indonesia project documents,

²⁰ Garcia, *et al.*, 2003; FAO, 2010; Staples & Funge-Smith, 2009.

beyond a reference the programme TOC - which itself refers to “CFI principles, practices and tools”, and to the EAF.

Box 4. CFI principles as set out in the CFI strategy framework document

(Appendix 5/6 of the CFI Program Framework Document)

1. participation and inclusiveness
2. gender equality and equity
3. compatibility with international instruments
4. adaptability and flexibility
5. building on strengths
6. addressing the whole fisheries value chain
7. transparency
8. accountability

Box 5. Ecosystem approach to fisheries principles

- fisheries should be managed to limit their impact on the ecosystem to the extent possible;
- ecological relationships between harvested, dependent and associated species should be maintained;
- management measures should be compatible across the entire distribution of the resource (across jurisdictions and management plans);
- the precautionary approach should be applied because the knowledge on ecosystems is incomplete; and
- governance should ensure both human and ecosystem well-being and equity.

Source: FAO, 2010.

210. The programme TOC document offers a very poor (circular) definition of enabling conditions and lacks a clear statement on programme-wide principles, approach and methodology. This confusion is important given the challenges of coordinating and binding the CFI projects together in a coherent programme with common approach and purpose.
211. Some of the child projects have their own TOC. CFI-GCF has its own very simple TOC outlined as part of the project rationale. CFI-Ind developed its own TOC based around the programme TOC and the programme results framework which is included in the Project Document. CFI-LA did not develop its own TOC as part of project preparation (although it did refer to the programme TOC in its Project Document) but following the recent MTE is now developing a project TOC.
212. While structures and hierarchies vary, the TOC is broadly consistent with the programme-level results framework (see below). As far as possible (and in considerable detail in the case of Indonesia) the child projects have sought to align their TOC and results frameworks with the CFI results framework, and the programme TOC; the child projects results are broadly consistent with and contribute to the programme goals and higher-level results. Nonetheless, the process for the development of these results frameworks and the programme level TOC was unsatisfactory. The order in which the various frameworks and TOCs were developed is not clear, and although they are all broadly compatible, they do not form a logical “nested” programme hierarchy. Of particular concern, the proposals for the CFI-LA TOC set out in the recent MTE report align with and underpin a revised project results and indicator framework but do not relate to and were not informed by the revised programme-level TOC. More generally, the programme-level TOC has had very little influence on programme implementation, and it has not served as a framework for programme-wide learning as originally intended.

213. The problem relates both to the ambiguous function of the TOC (as a management tool and/or as a learning tool) and also to its structure, which many participants at the first two global consultations found problematic. It presumes a common process or approach through three or four tiers from the establishment of enabling conditions through changes in behaviour to impact on the social, economic and environmental dimensions of a fishery "ecosystem". But despite its ambition in this regard, the CFI 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 these "three tiers". Some 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. The existing TOC and its indicators struggle to encompass this diversity in a relatively simple and practical formulation with meaning and utility for all child projects, and attempts at the global consultations to apply it as a framework for programme-level indicator-based reporting or learning exchange have failed.
214. The conclusions of the recent CFI-LA (GEF ID 9060) MTE are also pertinent here:
- "Although it is assumed that the CFI TOC is the backbone of the project, since it should frame both the intervention logic that leads the three components to achieve the expected objectives and their objective principal, the CFI's TOC is more akin to a hypothesis rather than offering a pathway for measuring explicit outcomes and milestones charting progress towards achieving fully operational ecosystem-based management (EBM) actions. Without such indicators, terms like EBM and integrated coastal zone management (ICZM) will remain as metaphorical panaceas that continue to be promoted, despite not knowing how effective they are for achieving stated project goals".
215. While this is fair to a point, it refers primarily to the original unrevised programme TOC. In any case, it is unrealistic to expect the programme-wide TOC to serve as the basis for "measuring explicit outcomes and milestones" of a child project, especially as the revised Olsen & Townsley configuration was designed as a framework for learning and exchange rather than as a performance management tool. However, even this learning function is questioned in the CFI-LA MTE: "it appears like a leap of faith for (CFI-LA) Outcome # 3 to base its monitoring and tracking of the project based on the inadequate TOC, as well as social media platforms and UNDP project performance tracking tools to capture lessons systematically and measure the effectiveness of CMSP and EBM" and recommends (R5) "development of an M&E and knowledge platform in real time that measures the effectiveness of management interventions that promotes adaptive learning". In other words, no programme-level mechanism to capture lessons learned is recognised by the CFI-LA, because although the programme TOC was intended to fulfil this role, this was not clearly specified in the programme and project frameworks, was not co-developed or promoted effectively by GPP, and was not understood and adopted as a reporting and learning framework by the child projects. The fact that most of the CFI-LA MTE findings are based on the original TOC simply reinforces the lack of sharing of the revised TOC and the lack of leadership from GCU to implement a programme-wide M&E and learning systems.
216. This inadequate and disjointed process, the lack of ownership of the programme TOC and the confusion over its function has led to several problems. Firstly, there is a lack of clarity on programme-level principles and approach that would bind all the child projects together. The programme TOC uses the EAF as the primary basis for its logic. The programme rationale presents a related set of principles. These are both referred to in the child project documents - but inconsistently - and they are not offered as the principles that bind the programme together. Nor are they used rigorously as the starting point for TOC and project results frameworks. It is notable

that R9 of the CFI-LA MTE is: 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 adaptive management and the preferred EBM concept. Ironically, this was precisely the intention of the revised 2016 TOC, but the lack of participation in its development and the misunderstandings of its nature have undermined its effective implementation.

217. These problems undermine programme cohesion and integration. By way of example, not all partners regard the EAF as being the framework and driving force behind their approach, nor would they necessarily agree on what it meant, despite its central role in the TOC. At the recent global conference (February 2021) partners identified some important commonalities between child projects, but there was no clear indication that a common approach or agreed set of principles was being applied. The consistent use of EBM rather than EAF management in the CFI-LA reinforces this point.
218. The programme is now a web of partially consistent results frameworks and TOCs (including emerging TOCs) with no programme-level reporting and assimilation against the programme results framework or TOC, and no clear basis for reporting of programme-wide experience and shared learning. The problem derives from the lack of early centralised leadership in the design of the programme, and the continuing lack of a definitive programme M&E system – a specific unrealised early output of GPP component 1. The TOC is discussed further in Annex 4.

Programme results framework

219. The CFI results framework has three main components, the first two of which (sustainability incentives in the value chain; institutional structures and processes) address programme TOC (tier 1) enabling conditions; and the third (best practices, collaboration and performance assessment) addresses changes in behaviour and measures of success, contributing to tiers 1, 2 and 3. The results framework provides outcomes and indicators and implies potential targets for some of these indicators (denoted as XX), though none are provided or have been agreed to date.
220. Though reasonably logical, there are some minor duplications and inconsistencies in the CFI programme results framework. Co-management regimes and effective access and tenure rights are indicators for both components and outcomes 1 and 2. This is because sustainability incentives can derive either from the market or from the management regime; and management systems can be built in response to market incentives or government policies. Perhaps more importantly, because the results framework is not derivative of a clear TOC, it lacks a logical progression or clearly integrated approach, and allows for ad hoc interventions under the three separate components.
221. The CFI results framework is imperfect, but nonetheless covers the ground implied by an EAF, and is broadly compatible with, though not fully consistent, the subsequently developed TOC.

The Global Partnership Project results framework

222. The GPP development objective is “To strengthen global partnership for the purpose of enhancing the understanding and application of integrated, participatory and collaborative approaches, among local and global partners who co-develop and utilize frontier tools to assess coastal fisheries performance, and identify empirically effective pathways towards environmental, social and economic sustainability for these fisheries”. This is some mouthful and does little to help support a common understanding or approach. A simpler and more effective formulation might have been (for example): “to strengthen global partnership to develop and deploy effective integrated and participatory approaches and methods to identify effective pathways towards

environmental, social and economic sustainability in coastal fisheries" – although even this arguably encompasses an "approach" which strictly speaking should not be encompassed in an objective.

223. The GPP was intended as the higher-level programme coordination, knowledge exchange and technical support mechanism for the whole CFI programme. It has three corresponding components: i) strengthening of CFI coordination and adaptive management; ii) promotion of policy influence and catalytic role (advice and learning); and iii) establishment of an FPAI. These three GPP components all contribute to a central concept in the TOC: "a framework for collaborative learning about changes in coastal fisheries during the CFI".
224. Outcome 1.1 "Collaboration among environmental and development agencies and organizations is managed, coordinated, enhanced and intensified at the global as well as national and regional levels" is extremely ambitious (given traditional territorial rivalries between organizations and agencies) and it is unclear that FAO has the authority or influence to create effective partnership mechanisms. Furthermore, the subsidiary outputs and indicators are institutional, the realization of which do not in any way guarantee or measure success. Nonetheless the concept of establishing a GCU, GRC and collaboration mechanisms are simple, sound and feasible, and could – with adequate resourcing and skill - contribute to improved collaboration.
225. Outcome 1.2 is concerned with programme-level M&E. The lack of results in this regard may be attributed to lack of allocation of resources, the confusion generated around the role of the TOC in programme-level M&E, and the nature of the relationship between implementing partners. FAO has no executive powers over programme financing, and no power to require implementing and executing partners to submit PPRs and PIRs – which are routinely submitted to GEF. This relates also to programme management structures (section 5.5.4). In theory, M&E and TOC assessments are reported to the GSC as chaired by FAO. But since FAO does not hold the purse strings it is in no position to "steer" the other agencies responsible for programme execution and implementation.
226. There is a loss of clarity in outcome 1.2 logic in relation to the difference between routine project progress monitoring (M&E) and learning and understanding associated with the TOC. While the preamble and section 4.5.1 of Project Document specifically separate routine M&E from TOC appraisal: "TOC assessments will be carried out to provide a wide-ranging framework that will help the CFI partners to understand how specific project outputs and achievements fit into a broader framework that seeks to track change in coastal fisheries", the corresponding output 1.2.4 refers only to mid-term and final assessments against the TOC – a far cry from the vision of the TOC as a framework to facilitate programme-wide learning as set out in Appendix 4 of the Project Document. This perhaps explains in part why the difficulties encountered in using the TOC in this way have never been resolved. This is also relevant to Component 2, which has a strong emphasis on generating best practices through theme knowledge products but makes no reference to the opportunities for drawing on the wider programme learning through the TOC and associated reporting.
227. The indicators for components 1 and 2 also ignore the nature of learning as a process, and the potential role of the GPP in that process, and in helping to realize the TOC. The establishment of a communications team and production of a communications strategy or web site is well and good, but the (potential) activities of an effective global learning coordinator – in identifying emerging issues and lessons; facilitating shared approaches and informal learning exchange; identifying potential best practices; and facilitating outreach and dissemination of these best practices - are far more important. These are not well represented in the results framework.

228. Outcome 2.1: “Best practices and tools for environmentally, socially and economically sustainable fisheries are documented, analysed and shared” was practical, feasible and achievable. However, it is unclear as to whether the proposed theme products were intended as the only mechanisms by which to generate best practice, and no reference is made to the TOC as a framework for learning. Outcome 2.2 “CFI programme communication and outreach strategy is established and operational” is not strictly speaking an outcome, but a mechanism for achieving an outcome. This is reinforced in the indicators (for example “communications team established”) which are effectively implementation targets or milestones. Neither the outcomes nor the targets for Component 2 reflect the need to report, share and synthesise lessons learned in the implementation of EAF and related approaches as envisaged in the TOC. This compounds the weaknesses related to reporting experience against the TOC noted in relation to outcome 1.2. Overall, while the results framework provides clear outcomes relating to the dissemination of best practice, it lacks indicators related to the identification and assimilation of best practice.
229. Despite the focus in the programme framework document and GPP project rationale on co-development of assessment tools, and the emphasis in the EAF on participatory approaches to fisheries assessment and management, Component 3 is very focused on top-down tool development, and offers little in the way of outcomes, outputs or indicators that would support application of these tools as, when, and where appropriate as part of the wider EAF approach to child project fisheries.
230. Furthermore, a key tool for programme collaboration and learning was meant to be the fishery/governance baselines, which are emphasised throughout the Project Document and TOC. The Project Document implies that FPAT will contribute to the M&E system, which will “ensure a common and uniform standard of monitoring across the triple bottom line”, and “to the extent relevant, first-order M&E indicators and targets for each of the child projects should mirror those used in the FPAI”. In order for this to be possible the project envisages that the GPP and child projects “will jointly carry out a preliminary baseline evaluation based on a subset of indicators that will be included in the full FPA at the earliest possible time (expecting six months to one year) of the project”. These outputs are not reflected in the results framework.
231. Overall, the GPP results framework does not fully reflect the project rationale or TOC. The outcomes and indicators for components 1 and 2 do not reinforce the vital role of GCU as facilitator of learning within and across the programme. Component 1 is more focused on conventional M&E, while Component 2 is focused on dissemination strategies and methods, rather than mechanisms for learning and development of best practice. Nor do the indicators for Component 3 reflect the need for “co-development” of the tool, baseline assessments (to underpin both an EAF and M&E), their relationship with governance analysis and other child project activities; or promote a sharing of such analyses.

4.5.2 EQ 5.2. Project execution and management

Discharge of management roles and responsibilities

232. Insofar as FAO GPP is responsible for programme coordination and programme level M&E, this question may be taken to apply to the programme as a whole. All child projects, including GPP, report against their own results frameworks and submit these reports to higher level management and GEF in the form of PPRs and PIRs. They do not report against the programme results framework; nor does the GPP GCU report to GEF or to the GSC (which it chairs), against the programme results framework or the programme level TOC.

233. The lack of programme-level reporting by GPP is a serious failing given its specific responsibilities for programme-wide M&E set out in Component 1. It is also a missed opportunity to compare and contrast activity and progress across the programme and contribute to programme learning. Although discussions took place at the global consultations related to programme level reporting – in particular in relation to the TOC indicators – the decisions made were unclear, and were not followed through by GCU, in part because FAO lacks the power to implement programme-wide reporting protocols.

Management and administration challenges

234. Some of the challenges for project and programme management and administration have been discussed in sections 5.2.2, 5.2.5 and elsewhere in this report and are summarized here. They are discussed further in section 5.5.4 (oversight).

Programme-level challenges

- i. The scope, complexity and diversity (context, culture, language, governance status) of the CFI programme and its component fisheries.
- ii. The scope, complexity and long term demands of an ecosystem approach to fisheries and related approaches.
- iii. The split/ambiguous responsibility for programme-level management between GEF, the PSC and the GPP GCU (see EQ 5.4).
- iv. Lack of clarity with regard to reporting and programme management responsibilities, response mechanisms and protocols.
- v. Lack of realizable resources to support an effective GCU.

Project-level challenges and problems

- i. Lack of long-term strategic management oversight of GPP by FAO senior management or by the GSC.
- ii. Loss of core personnel at critical times, caused in part by cumbersome FAO recruitment mechanisms. In particular, the delay in recruitment of a global coordinator and West Africa project manager; the departure of this project manager after one year; and the retirement of the original Budget Holder after 18 months.
- iii. The part time nature of the global coordinator position, the lack of long-term supporting positions related to partnership liaison and science-to-policy as envisioned in the Project Document and excessive dependence on short-term specialist consultancies.
- iv. A dependency on "contributions in kind" to deliver the GCU functions, which although substantial, are in no sense allocated exclusively to the GPP, and therefore tend to be drawn on when possible and when needed, rather than being deployed strategically on a long-term basis.
- v. Arising from all of the above: a lack of realization of a genuine GCU with a strong sense of programme ownership and responsibility, and a focus for, and repository of, cumulative programme-wide learning over five years.
- vi. The contracting out of the whole of Component 3 to independent academic partners, without clear links to a GCU, or long-term links to other child projects.

4.5.3 EQ 5.3. Financial management and co-financing

Financial management challenges

235. The GPP itself is a relatively simple project with expenditures and delivery all highly centralized and tightly controlled by FAO. Financial management (other than co-financing) appears to have been good with budgeting, reporting and review taking place in conformity with normal FAO project procedures.

Delivery of co-financing

236. Significant co-financing in the form of personnel contributions in kind have been made available to the project, but lack of planning for, or reporting of the deployment of these resources, has constrained the ability of FAO to put in place a fully functioning and effective GCU. Records of co-financing are inconsistent and incomplete, and the co-financing table cannot therefore be usefully completed (it is presented in Appendix 3 of this report).

4.5.4 EQ 5.4. Project identification and oversight

237. CFI institutional structure has been described in section 3.6 and Box 3. It comprises a high level GSC comprised of GEF agencies, key partners and donors, supported by a GCU (effectively secretariat delivered by the GPP). The GCU is also responsible for coordination, M&E, learning and knowledge exchange across the other four child projects. The GSC was also to have been supported by an advisory body - GRG – comprised of civil society organizations, academia, RFBs, private sector and regional component representatives. This should have provided broad independent technical and practical oversight and review of the programme, its methods, approaches and achievements, and also facilitate and promote global dissemination and application of programme learning and best practice.

Project identification and preparation

238. FAO was highly engaged in CFI programme identification and preparation. There were undoubtedly challenges in formulation of the CFI, related to partner agency priorities and approaches, and this may have compromised the logical coherence and consistency of the programme, as well as the tensions between the project and programme results frameworks and the TOC as discussed in section 5.5.1. Establishment and performance of GRC, GSC and the GCU.
239. This has been dealt with in some detail in sections 5.2.1, 5.2.2, 5.2.5, 5.3.1, 5.4, 5.5.2 and may be summarized as follows:

The GSC exists in the form of regular global calls involving all implementing and some executing partners. This serves the function of mutual updating on child project progress, and implementation issues. Although it is chaired by FAO it has limited powers (FAO does not control the GEF budget) and has not to date formally synthesized or reviewed results-based reporting by the child projects or progress/performance monitoring against the CFI results framework or TOC. It has attempted to encourage child projects to report against three selected TOC indicators (see Global Call Minutes of 24 June 2019) but this has still not materialized. There is no formal programme wide annual report and the GSG therefore has very limited executive information or power.

- i. Other child project managers are unaware of a functioning GSC beyond “global calls”. This lack of effective programme level review and oversight may in part explain the delayed start and slow progress of some child projects.
- ii. The GCU was not established as a programme-long coherent professional grouping responsive to the needs of the programme (sections 5.2.1, 5.2.2) and capable of accumulating, reviewing and synthesizing programme experience and learning. Responsibility for its various functions has been allocated to part-time and short-term positions assigned to specific tasks.

The partner liaison consultant and the science to policy officer positions envisaged in the Project Document have not been explicitly filled, although some of their functions and advisory inputs have been provided on an ad hoc or needs basis through contributions in kind from FAO personnel, and through the recruitment of short-term consultants for specific tasks. Most partners are not familiar with the idea or concept of a GCU.

- iii. The GRG has not been convened. The reasons are historic and relate to tensions between some of the key global stakeholders. However, given the potential importance of this group as highlighted in the Project Document, it is unclear why no significant efforts have been made to convene it in some form, to serve at least some of its proposed functions.

Oversight and supervision of the GPP project

- 240. The key management position envisaged in the Project Document is the CFI programme coordinator to whom the GCU staff and consultants were to be responsible. The coordinator was in turn envisaged as responsible to ADG Aquaculture and Fisheries (otherwise referred to as the Budget Holder, and in practice the Director of Fishcode unit in FAO). The original Budget Holder (Director of Fishcode) was very engaged with the project and took on a significant global coordination role. When she retired there was something of a vacuum, until a part of this role was taken over by the GPP project manager. Higher level oversight within FAO has been limited since then and appears to be split between the Director of Fishcode/Budget Holder, the GEF liaison unit, and the LTO and Project Task Force. Unfortunately, no one has been continuously in charge of, or has strong ownership, of this project.
- 241. The GSC and GCU lack the power, resources and long-term staffing to perform effectively as oversight bodies of either the programme as a whole, or the GPP.

4.5.5 EQ 5.5. Partnerships and stakeholder engagement

Stakeholder engagement and involvement

- 242. The main platform for other global stakeholders' involvement in CFI was through GRC, which has not been convened. This has reduced global awareness and ownership of CFI and removed the opportunity for global professional and stakeholder peer review of CFI approaches, methods and findings – and in particular best practice.
- 243. There has been little if any attempt to engage other global stakeholders through less formal mechanisms. After some initial engagement through a workshop in 2016 with the relevant professional and stakeholder communities with an interest in fisheries performance assessment and fisheries improvement initiatives, the development of FPAT and integration with MERA has been an academic rather than a participatory process, including with respect to CFI fisheries. In particular, the opportunity has been missed to engage with other key players in this arena, including several leading universities, MSC, WWF, Worldfish, the fishery professionals in many of the UN agencies, and the private sector. This failure has reinforced rather than reduced the tendency for a proliferation of competing approaches and tools in support of triple bottom line approaches to promoting sustainable coastal fisheries – and undermined a key objective of the CFI programme.

4.5.6 EQ 5.6. Communication and knowledge management

See also EQ 2.2.

- 244. This has been dealt with in more detail under sections 5.2.2 and 5.2.3.

245. To date, the project has not been effective in consolidating, communicating and promoting its key messages. However, it is arguable that such activity follows from experience in child project implementation and such messages will emerge in the coming two years. The theme products are regarded as a key tool in this. While this is true, the concern remains that the broader basis for programme-level reporting, exchange and learning has not been established. It remains to be seen whether the GCU will be able to effectively facilitate technical exchange through D-groups, the theme document process and other mechanisms.
246. A list of programme documents and publications is appended (Annex 2). There is little evidence that these have been used across the programme: respondents from other child projects were generally unable to point to programme-level resources that were being used in project implementation. In any case, such resources – beyond news stories – are very limited, despite an abundance of potential material from FAO's own CCRF and EAF guidance, and from previous initiatives undertaken by a range of organizations around the child project fisheries.

4.5.7 EQ 5.7. M&E design and implementation

247. This has been dealt with in section 5.5.1.

Programme-level

248. There is as yet no programme-level M&E plan or system. Projects are undertaking normal routine reporting against project results frameworks and these reports are being submitted to GEF. Child projects are not reporting against the programme-level results framework or TOC, and the GCU is not integrating project-level reporting with a view to more generic programme-level reporting. This is to be addressed by the new M&E expert.

Project-level

249. The GPP itself has reported against its results framework, but review and response to emerging issues has been limited or ineffective. By way of example, early on it was reported (PPR, PIR) that GCU and GRG had not been established, but there was no explanation or review, and no evidence of discussions leading to an agreed way forward. The possible relationship between FPAI (in some form) and CFI baseline fishery assessments was identified in the Project Document and at an inception workshop, but no initiative was taken to provide coherent cross-programme guidance on such assessments and preliminary or final application to different CFI fisheries.

Overall

250. The M&E system lacks effective programme-wide reporting; and at both programme- and project-level lacks effective review and response mechanisms. This can be attributed in part to the ambiguous role of FAO as chair of the GSC, but also project executor and implementor. Accountability is lacking.

4.6 EQ 6.1. Cross-cutting dimensions

4.6.1 Gender and minority groups

251. In so far as the GPP is a programme coordinating project rather than a field project, specific initiatives for undertaking gender analysis or similar were not undertaken. However, it would have been appropriate to include some form of gender analysis across the programme, or report and monitor gender indicators as part of the programme-level M&E. This was discussed at the global

workshops, but no formal analysis or reporting were introduced with respect to the gender indicators identified.

4.6.2 Environmental and social safeguards

252. See previous paragraph.

5. Conclusions and recommendations

5.1 Conclusions

253. The evidence and discussion underpinning these conclusions is presented in the findings sections and each conclusion below is cross referenced to relevant sections of the findings.

5.1.1 Relevance

Rating: S

C1. The GPP project as envisaged is highly relevant to the needs of fishery professionals, organizations and communities across the globe and aligns fully with relevant international and national strategies and commitments (5.1.1). The results to date, though limited, are also broadly relevant (5.1.2, 5.1.3). The approach to programme-wide learning and best practice needs some refinement and clarification if relevance is to be maximised (5.1.2, 5.2.2).

C2. The FPAI, in the form and manner in which it is being developed and deployed, may be of limited utility and relevance to some of the child project fisheries (5.1.2, 5.1.3, 5.2.2, 5.2.4).

5.1.2 Achievement of results and effectiveness

Rating: U

Progress toward the project objective

C3. The GPP has so far had limited impact in terms of strengthened global partnership to “enhance understanding and application of integrated, participatory and collaborative approaches”; and while performance assessment tools are now being rolled out, they have not been “co-developed” and have not as yet served “to identify empirically effective pathways towards environmental, social and economic sustainability” for these fisheries (5.2.1).

Component 1: CFI coordination and adaptive management

C4. Beyond the successful annual global consultations, GPP facilitation of enhanced and intensified collaboration among environmental and development organizations has been limited (5.2.1, 5.2.2, 5.2.4, 5.2.5, 5.3.2, 5.5.5).

C5. The GPP has failed to monitor systematically and report on the progress of the CFI programme (5.2.2, 5.5.7). Efforts are now underway to remedy this.

C6. The GPP has failed to implement a programme-wide reporting, analysis and learning framework as envisaged in the programme TOC. This will be only partially remedied through the development of theme knowledge products under Component 2 (4.2, 5.2.2, 5.2.3, 5.5.1, 5.5.6).

Component 2: Policy influence and catalytic role

C7. Beyond the global consultations, the GPP has so far failed to facilitate significant programme-wide exchange and learning.

C8. The FAO CFI website is only partially representative of programme-wide activity, does not facilitate cohesion across child projects and is poorly linked to important supporting resources (5.2.2).

Component 3: Establishment of an FPAI
 Rating: U

C9. The FPAT has not been co-developed ("in close collaboration with CFI partners, academia and research networks") or (to date) deployed strategically to support child projects establish a baseline; share preliminary assessment and characterization of fisheries and associated issues across the programme; support emerging management institutions; or identify major challenges and investment opportunities for the target fisheries sustainability (5.1, 5.2.4).

5.1.3 Efficiency

Rating: U

C10. Apart from the global consultations, resources have not been deployed efficiently and effectively (5.3.1, 5.3.2, 5.5.2, 5.5.3).

5.1.4 Sustainability

Rating: MS

C11. Current initiatives to develop theme knowledge products and best practices should ensure long-term sustainability of programme impact (5.2.3, 5.4).

C12. There is little evidence to date that global partnerships and collaboration between organizations working to promote sustainable coastal fisheries have been enhanced beyond the scope, requirements and time horizon of the CFI (5.2.1, 5.2.2, 5.2.3, 5.4).

5.1.5 Factors affecting progress

C13. Project progress has been negatively affected by staffing strategy of GCU and dependence on contributions in kind, FAO's cumbersome recruitment procedures, and failure to retain core personnel (5.5.2, 5.5.3).

C14. Responsibility for higher-level management and oversight of the project and programme is ambiguous and ineffective; the GSC and GCU lack the power, resources and long-term consistency to perform effectively as responsive oversight bodies (5.5.4).

C15. Contracting out of most of Component 3 may have undermined integration of FPAT development with needs and opportunities associated with child projects (5.2.4, 5.5.2).

5.2 Recommendations

5.2.1 Effectiveness

Component 1

R1. GPP GCU should actively facilitate greater coordination and integration between CFI-GCF and site-based child projects.

254. GCU should actively engage with child project managers and GCF to explore how investment support under GCF can be used to strengthen other child project interventions. It may be that promotion and facilitation of the forthcoming GCF "competition" can be targeted at other child project fisheries.

R2. The GCU should convene the GRG to increase global stakeholder ownership and review remaining programme opportunities.

255. The GRG has not yet been established. Despite the known difficulties of convening such a group it remains the only practical option for a “global platform” of stakeholders with an interest in these issues to review, debate and advise the GSC on programme interventions, and disseminate programme learning. While it may be that the original formulation vision, or membership for the group is unworkable, it should nonetheless be possible to bring together an effective group of independent representative fishery professionals and stakeholders to provide at least some of the review and promotion functions originally envisaged. Some resources will undoubtedly be required to convene this group. If these are not available this highlights the need for more realistic project costing and budgeting.

R3. The GCU should implement its responsibility to report against the CFI programme results framework to the GSC on the progress and achievements of the programme.

256. To date there has been no routine reporting of programme achievements against the programme framework results matrix. This should be rectified as a matter of urgency (i.e. an overall summary of programme progress to date) and undertaken annually until programme completion.
257. This process can be achieved either by child projects reporting against the programme results framework and submitting to GCU for assimilation into an overview report; or GCU obtaining and using the routine child project results-based reporting (PPRs and PIRs) to generate a programme-wide assessment against the programme-level results framework.

R4. Agreement on a simplified framework and process for programme-level reporting of experience, which directly supports programme-wide learning and development of best practice, should be sought as soon as possible.

258. Routine results-based reporting as in R3, should be supplemented and strengthened through reporting against key elements of holistic and participatory approaches to fisheries and coastal ecosystems management, as envisaged in the programme TOC. The issues or indicators to be reported against in the TOC can be simplified to some degree, but cannot be reduced to three selected indicators (as agreed in the first two global consultations) if they are to underpin programme-wide learning. The elements to be reported against do not need to serve as smart progress indicators, nor overlap with routine project and programme M&E, but rather should serve as a framework for reporting experience in seeking to apply the key elements of holistic, integrated, inclusive, participatory, ecosystem-based approaches – the driving rationale behind the whole programme. With appropriate follow-up and synthesis by GCU, this process should supplement and strengthen the theme documents as a basis for best practice.
259. While there are issues with the programme-level TOC, it would be confusing and costly to seek to develop a completely new programme-level TOC at this stage. See Annex 4 for some suggestions in this regard.

R5. Child projects should be encouraged to develop their own TOC for each project site (fishery, or coastal ecosystem).

260. These TOCs should not be regarded primarily as part of an indicator-based reporting system (though they can be used in this way if desired) but rather as a process to develop a shared understanding of the logic and rationale for project interventions at the different sites, how these

interventions exemplify a holistic approach, and how they relate to higher level programme objectives and outcomes. Developing these TOCs will focus minds on the fisheries system or ecosystem they are seeking to influence, promote holistic thinking, and promote shared understanding between project implementing partners. Once complete they will also serve to enhance understanding across the programme of the approaches being taken by the other child projects (see Annex 4).

261. The GCU should bring these TOCs together to allow for a synthesis and review of the different approaches being taken across the programme, and the reasons for these; as a basis for further exchange and learning; and to supplement and provide context for the information gathered through reporting against programme level TOC elements or indicators as proposed under R1.

Component 2

R6. The GCU should be more strategic and ambitious in developing CFI best practice, drawing on enhanced reporting of approach, experience and lessons learned by child projects (see R3, R4, R5).

262. Development of knowledge products has been almost entirely focused on the four theme products to be led by the other child projects. These are unlikely to encompass the scope of an ecosystem approach, whose application goes well beyond four themes, or the potential learning from the CFI as a whole, as reinforced through implementation of R4. The project has the potential to showcase lessons learned and best practice in applying the EAF and other holistic approaches and should ensure its knowledge products encompass this learning. Furthermore, there is an opportunity for GCU to review, compare and synthesize experience from across the programme – which is difficult for the theme leaders, but which – as global coordinator backed up with FAOs technical expertise and the learning framework – GCU is very well placed to do.

R7. The CFI website should be substantially improved, with effective links to a wide range of EAF supporting resources, and to other partner and collaborator websites.

263. What is needed here is a dynamic functioning web resource that compares activities in different child projects, relates these to EAF and other relevant guidance and international instruments, cross links EAF guidance to CFI as exemplars, and inspires participants in the CFI and similar CFIs across the globe to link up and share experience, learning and best practices.
264. The proposed linking of the website with a D-groups platform is to be commended and should be implemented as soon as possible. However, it is likely that to be effective D-groups will need significant technical moderation and leadership, especially if it is to feed into programme-level learning and best practice.
265. In addition to FAO technical guidance and resources, other programme related websites that need to be linked in both directions include:
- i. <https://cfi-la.org/en/>;
 - ii. <https://cfiamericalatina.exposure.co/>;
 - iii. <https://pescaemprende.com/el-proyecto/>;
 - iv. <https://elearning.fao.org/course/view.php?id=530>; and
 - v. <https://wwwgef.org/gef/portfolios/cfi/>.

R8. D-Groups or similar exchange fora should be professionally and technically facilitated to draw out lessons learned and best practice.

266. The proposed incorporation of a D-groups portal may enhance its utility for exchange and learning in the future, but will need strong technically informed leadership/moderation to inform lessons learned and best practice development.

Component 3

R9. The GCU should take a more proactive role in support for and coordination of fisheries performance assessment of child project fisheries, and this support should not be restricted to FPAT training, but responsive to local management institution needs and capacity.

267. It is now too late to undertake fisheries assessment in the manner envisaged in the CFI programme and child project documents. It is important nonetheless that fisheries assessment in some form is undertaken across all child fisheries, and that experience gained is shared within the programme and beyond.
268. In practice, fisheries and ecosystem assessment and monitoring has been or is being undertaken using a range of existing tools in the CFI target fisheries in Indonesia and Latin America. Given the coordinating and learning facilitation role of GPP, it would make sense for it to engage actively in reviewing and comparing experience applying these approaches, generating best practice, and how these might relate to FPAT. Review of existing approaches was an output of Component 3 and is even more pertinent now that experience is accumulating across the programme in taking different approaches to fisheries assessment and status monitoring. This relates also to R2, since fisheries/ecosystem status assessment and monitoring should be a key issue reported on by all child projects.
269. The relative roles of the FPAT contractors and GCU in undertaking this assimilation/review needs to be clarified, but it makes more sense for GCU as the global coordinator to take on this role.

5.2.2 Efficiency

R10. FAO contributions in kind in support of GPP should be planned and programmed with clear allocation of time and responsibility. Professional time inputs, allocation and achievements should be rigorously reported (5.5.3).

R11. The GPP should develop a staffing strategy for the GCU for the remainder of the programme (longer-term personnel positions, consultants, contributions in kind) with more emphasis on few longer-term staff or consultants.

270. The GPP team should develop – as a matter of urgency - a detailed plan for strategic expenditure on personnel resources for the remainder of the project, and recruit accordingly taking into consideration the following priorities:
- i. pro-active facilitation of partner collaboration and coordination, including creating stronger links and synergies between GCF and other child project interventions (R1);
 - ii. effective technical monitoring, reporting, synthesis and review of programme-wide activities, achievements and lessons learned applying EAF management and other holistic approaches (R2, R4, R5, R6) based in part on a simplified TOC (Annex 4);

- iii. effective fisheries technical leadership, and facilitation and coordination of production of the four theme documents or knowledge products, supplemented and reinforced by pro-active leadership and moderation of D-groups discussion groups related to all aspects of the implementation of EAF and other holistic approaches;
 - iv. pro-active technical facilitation, exchange and learning in relation to fisheries performance assessment across the programme (R8); and
 - v. compilation and dissemination of CFI "best practices" both within and beyond the CFI programme (R6, R7) and within and beyond the theme documents.
271. While some of these functions might be served through contributions in kind (for example from the existing LTO, the Budget Holder) successful implementation would be dependent on the allocation or recruitment of a single longer-term staff member or consultant who can become fully immersed in the programme for a substantial period in order to be effective as a technical support, learning and knowledge development facilitator. Strong fisheries technical skills, good writing skills, and ideally relevant languages will be required. The outline for this position already exists in the TOR for a science to policy advisor as specified in Annex 4 of the Project Document. He or she would be supported as necessary by shorter-term technical or communications specialists drawn primarily from FAO in kind contributions.

5.2.3 Sustainability

272. Sustainability of impact of the GPP will depend entirely on the extent to which it can promote longer-term collaboration through R1 and R2, and generate locally and globally useful knowledge products (R6, R7, R8).

5.2.4 Processes affecting performance

273. Recommendations relating to processes affecting performance are addressed in R9, R10.

R12. GEF should chair the GSC with GCU as secretariat and should require programme-level reporting as set down in R3, R4, R5.

274. Ambiguity in responsibility for programme success may lie behind lack of progress in programme M&E. The GSC is ultimately responsible for project and programme oversight. It is chaired by FAO, which is also an implementer and executor of two projects, and which lacks any executive or budgetary power over the other implementing partners, or the power to demand progress reports. GEF – the funder – is a member of this committee but does not exercise executive power.

R13. The project will likely need to request an extension of one to two years. An extension is recommended, provided that, at the time of the request, the project is actively progressing on recommendations R1-12 made in this report, and in particular R1, R4 and R11.

5.2.5 Cross cutting issues

275. In so far as implementation of an EAF should address cross-cutting issues all the recommendations are relevant here.

Table 6. Recommendations summary

Recommendation	Rationale for recommendation	Recommendation	Responsibility	Timing/dates for actions
		Strategic relevance		
		<i>No specific recommendation. Most of recommendations below will contribute to strategic relevance.</i>		
Effectiveness				
<i>Component 1: Strengthening of CFI coordination and adaptive management</i>				
R1	There has been little attempt to bring together investment facilitation with other child project interventions to bring about a more holistic, integrated mutually supporting approach.	<i>GPP GCU should actively facilitate greater coordination and integration between CFI-GCF and site-based child projects.</i>	GPP Project manager/coordination unit	ASAP
R2	The establishment of a GRG is a project output, and the rationale for convening such a group remains strong.	<i>The GCU should convene the GRG to increase global stakeholder ownership and review remaining programme opportunities.</i>	GPP project manager and LTO	ASAP
R3	There has been no standard reporting against the programme-level results framework.	<i>The GCU should implement its responsibility to report against the CFI programme results framework to the GSC on the progress and achievements of the programme.</i>	Project manager; admin officer	ASAP
R4	There has been no implementation of a programme-wide collaborative learning and exchange framework as envisaged in the programme level TOC.	<i>Agreement on a simplified framework and process for programme-level reporting of experience, which directly supports programme-wide learning and development of best practice, should be sought as soon as possible.</i>	Project manager; LTO/S2P officer	ASAP
R5	The process of exploring, developing and agreeing a TOC for each target fishery or system will help develop a shared (local and global) understanding of the logic and rationale for project interventions and how these relate to CFI programme objectives.	<i>Child projects should be encouraged to develop their own TOC for each project site (fishery, or coastal ecosystem).</i>	Child project national teams supported and coordinated by GCU (S2P plus facilitator)	ASAP

Recommendation	Rationale for recommendation	Recommendation	Responsibility	Timing/dates for actions
Component 2: Promotion of policy influence and catalytic role				
R6	The four theme documents are unlikely to encompass the scope of learning, and opportunity for developing best practice, within the programme.	<i>The GCU should be more ambitious and strategic in developing CFI best practice, drawing upon results from implementing R2.</i>	Project manager; LTO/S2P officer	ASAP
R7	Existing website does not have programme wide ownership, is poorly linked, and lacks useful resources.	<i>The CFI website should be substantially improved, with effective links to a wide range of EAF supporting resources, and to other partner and collaborator websites.</i>	Project manager, communications officer	ASAP
R8	Weak mechanisms for programme-wide learning.	<i>D-Groups or similar exchange fora should be professionally and technically facilitated to draw out lessons learned and best practice building on and implementing R4.</i>		
Component 3: Establish an FPAI				
R9	Development of the generic FPAT has diverted attention from the opportunity to explore, facilitate and review fisheries performance assessment and monitoring practice and needs across child projects.	<i>The GCU should take a more proactive role in support for, and coordination/review of fisheries performance assessment of child project fisheries, in parallel with FPAT development.</i>	Project manager, LTO, S2P	ASAP
Efficiency				
R10	Staffing of GPP GCU has been disjointed and piecemeal with limited programme memory, ownership, responsibility or accountability.	<i>FAO contributions in kind in support of GPP should be planned and programmed with clear allocation of time and responsibility. Professional time inputs, allocation and achievements should be rigorously reported.</i>	GPP Budget Holder with project manager	ASAP

Recommendation	Rationale for recommendation	Recommendation	Responsibility	Timing/dates for actions
R11	As for R9.	<i>The GPP should develop a staffing strategy for the GCU for the remainder of the programme (longer term staff positions, consultants, and contributions in kind) with more emphasis on few longer-term staff or consultants.</i>	GPP Budget Holder with project manager	ASAP
Sustainability				
		<i>All of the above.</i>		
Processes affecting performance				
R12	Ambiguity in responsibility for programme success may lie behind lack of progress in programme M&E.	<i>GEF should chair the GSC with GCU as secretariat and should require programme level reporting as set down in R3, R4 and R5.</i>	GEF Secretariat	ASAP
Cross-cutting dimensions				
		<i>These should be incorporated in R1-4 and R6.</i>		

6. Lessons learned

6.1 Mechanisms and incentives to promote partnership and collaboration

276. Partnership and collaboration do not come cost free. They involve substantial transaction costs, especially when seeking to address complex issues in a holistic manner in diverse contexts. Clear mechanisms and strong incentives for collaboration and partnership are required from the outset. Agreements or protocols within programme documents should address issues such as cross partner sharing of routine project reports; programme web site hosting and identity; mandated programme-wide consultation and agreement on important project tools such as assessment frameworks; mutually supporting project activities (such as GCF investment initiatives in support of other child project fishery strengthening initiatives).

6.2 Co-financing, contributions in kind and consultancy

277. A lack of clarity over the nature, functions and obligations associated with contributions in kind lie behind several of the problems encountered by this project and programme. This lack of clarity has two important consequences:
- i. Actual long-term resources (e.g. for long-term personnel) are less than they appear, and may be inadequate to deliver the outcomes expected.
 - ii. Contributions in kind are likely to be made available on an opportunistic, rather than strategic basis, and supplemented as necessary with short term consultancies.
 - iii. The personnel resources available through contributions in kind and consultancies are likely to be short term and/or part time, with significant alternative responsibilities. This undermines ownership, responsibility and accountability.
 - iv. This is a particular problem when programme outcomes depend on programme-wide learning and assimilation over the life of the programme.
278. These limitations must be borne in mind when designing projects, and procedures for improving the strategic allocation of contributions in kind should be put in place in future programmes. Future programmes should include an explicit funding strategy (GEF budget and partner in-kind) for supporting professional expertise, and in particular key longer-term posts within the programme. By way of example, an indication of costs and funding sources and professional contract types for all positions envisaged in Appendix 4 of the GPP Project Document would have done much to prevent the disjointed and ad hoc support for and allocation of personnel resources under GPP.

6.3 Theories of change and results frameworks

279. The CFI programme is complex and diverse in terms of context, stakeholders and implementing partners. A relatively simple core rationale and set of principles or agreed approach is therefore essential to bind it together. The programme-level TOC should fulfil this role.
280. This programme (section 4) had an original TOC that was revised after some of the project rationales were developed. It was not therefore used, as it should have been, as the foundation and starting point for subsidiary child project (or target fishery focused) TOC, which in turn would have served as the basis for developing child project results frameworks. Furthermore, its role and utility as a higher-level conceptual framework for all programme development interventions was compromised by seeking to make it "indicator-based". This generated a web of reasonably consistent but competing indicators associated with the programme TOC, child project TOCs, the

programme results framework and the child project results frameworks, and appeared to double the administrative burden of indicator-based reporting. It also compromised (or distracted from) its stated function as a framework for programme wide reporting, analysis and learning in relation to the application of holistic approaches to promoting fisheries sustainability.

281. It is also important to ensure that the programme design is both top-down (a common approach or set of principles arising primarily from international agreements such as the Code of Conduct for Responsible Fisheries and its associated technical guidance) and bottom-up – arising from challenges and needs on the ground. The programme-level TOC is the mechanism through which this tension is mediated.
282. The implications of this in terms of the process for establishing programme logic, coherence and accountability are as follows:
- i. During project preparation draw together an effective facilitator with a manageable group of fisheries/sustainability expert advisors and representatives of potential implementing partners to develop a simple TOC – i.e. a network diagram illustrating the baseline, the higher-level objectives and outcomes, and the pathways, possible interventions, risks and intermediate states baselines and outcomes.
 - ii. Define the universal (programme-wide) principles that will bind the programme together and which should be applied to the development process and/or specific interventions.
 - iii. Ask stakeholders and executing partners for a particular site or fishery (which should comprise an identifiable "system" if a holistic or ecosystem-based approach is to be used) to develop their own TOC, derivative of and consistent with the programme TOC. This will take time because it will also need to be informed by an agreed baseline analysis or situation appraisal, ideally conducted in a participatory manner with "system" stakeholders.
 - iv. Using the terminology of the CFI TOC, this process might for example identify (tier 1) enabling conditions to be built on, and/or enabling conditions that need to be created; and (tier 2) behaviors that need to be changed.
 - v. This would provide the basic rationale for the subsidiary TOC for each of the child project "target systems" as well as practical locally-informed detail in relation to particular pathways. Differences in overall structure and logic between subsidiary and programme TOC should be resolved as far as possible, but differences would be acceptable so long as they remain in conformity with overall programme principles and objectives.
 - vi. Discuss, amend, agree.
 - vii. Develop smart indicator-based results frameworks for each subsidiary project, based on target system TOCs.
 - viii. There is now no need for a separate programme-wide results framework. M&E at programme level would involve compilation of programme results within the broad framework provided by the programme-level TOC.

Appendices

Appendix 1. GEF evaluation criteria rating table

Appendix table 1. MTE ratings & achievements summary table

GEF criteria/sub criteria	Rating ²¹	Main report sections
A. STRATEGIC RELEVANCE		
A1. Alignment with GEF and FAO strategic priorities	HS	5.1.1
A2. Relevance to national, regional and global priorities	HS	5.1.2, 5.1.3
A3. Complementarity with existing interventions	S	5.2.4 (for FPAT)
A4. Overall strategic relevance	MS	5.1; 6.1.1
B. EFFECTIVENESS		
B1. Overall assessment of project results	S	5.2; 6.1.2
B1.1 Delivery of Outputs	U	5.2.2-5.2.4
B1.2 Progress towards outcomes and project objectives	U	5.2.1
- Outcome 1	U	5.2.2
- Outcome 2	U	5.2.3
- Outcome 3	U	5.2.4
- Overall rating of progress towards achieving objectives/ outcomes	U	5.2.1
B1.3 Likelihood of Impact	Not rated at MTE	5.2.7
C. EFFICIENCY		
C1. Efficiency ²²	U	5.3; 6.1.3
D. SUSTAINABILITY OF PROJECT OUTCOMES		
D1. Overall likelihood of risks to sustainability	L	5.4; 6.1.4
D2. Financial risks	HU	5.2.7; 5.4
D3. Socio-political risks	HU	5.2.7
D4. Institutional and governance risks	L	5.2.7; 5.4
D5. Environmental risks	HU	1.2.2
D6. Catalysis and replication	S	5.2.4
E. FACTORS AFFECTING PERFORMANCE		
E1. Project design and readiness ²³	U	4; 5.5.1
E2. Quality of project implementation	U	5.5.2
E2.1 Project oversight (FAO, PSC, PTF, etc.)	HU	5.5.4

²¹ See rating scheme at the end of the document.

²² Includes cost efficiency and timeliness.

²³ Refers to factors affecting the project's ability to start as expected, such as the presence of sufficient capacity among executing partners at the project's launch.

GEF criteria/sub criteria	Rating ²¹	Main report sections
E3. Quality of project execution	U	5.5.2
E3.1 Project management arrangements and delivery (Project Management Unit, financial management, etc)	U	5.5.2
E4. Co-financing	U	5.5.3
E5. Project partnerships and stakeholder involvement	U	5.2.5; 5.5.5
E6. Communication and knowledge management	S	5.5.6
E7. Overall quality of Monitoring and Evaluation (M&E)	HU	5.2.2; 5.5.7
E7.1 M&E Design	U	5.5.7
E7.2 M&E Plan Implementation (including financial and human resources)	HU	5.5.7
E8. Overall assessment of factors affecting performance	U	5.5; 6.1.5
F. CROSS-CUTTING CONCERNS		
F1. Gender and other equity dimensions	S	5.6.1
F2. Human rights issues	S	No adverse effects found
F2. Environmental and social safeguards	S	5.6.2
Overall project rating	U	

Appendix 2. Rating scheme

Project results and outcomes

Project outcomes are rated based on the extent to which project objectives were achieved. A six-point rating scale is used to assess overall outcomes:

Rating	Description
Highly Satisfactory (HS)	<i>"Level of outcomes achieved clearly exceeds expectations and/or there were no short comings."</i>
Satisfactory (S)	<i>"Level of outcomes achieved was as expected and/or there were no or minor short comings."</i>
Moderately Satisfactory (MS)	<i>"Level of outcomes achieved more or less as expected and/or there were moderate short comings."</i>
Moderately Unsatisfactory (MU)	<i>"Level of outcomes achieved somewhat lower than expected and/or there were significant shortcomings."</i>
Unsatisfactory (U)	<i>"Level of outcomes achieved substantially lower than expected and/or there were major short comings."</i>
Highly Unsatisfactory (HU)	<i>"Only a negligible level of outcomes achieved and/or there were severe short comings."</i>
Unable to Assess (UA)	<i>The available information does not allow an assessment of the level of outcome achievements.</i>

During project implementation, the results framework of some projects may have been modified. In cases where modifications in the project impact, outcomes and outputs have not scaled down their overall scope, the evaluator should assess outcome achievements based on the revised results framework. In instances where the scope of the project objectives and outcomes has been scaled down, the magnitude of and necessity for downscaling is taken into account and despite achievement of results as per the revised results framework, where appropriate, a lower outcome effectiveness rating may be given.

Project implementation and execution

Quality of implementation and of execution will be rated separately. Quality of implementation pertains to the role and responsibilities discharged by the GEF agencies that have direct access to GEF resources. Quality of execution pertains to the roles and responsibilities discharged by the country or regional counterparts that received GEF funds from the GEF agencies and executed the funded activities on ground. The performance will be rated on a six-point scale:

Rating	Description
Highly satisfactory (HS)	<i>There were no shortcomings and quality of implementation or execution exceeded expectations.</i>
Satisfactory (S)	<i>There were no or minor shortcomings and quality of implementation or execution meets expectations.</i>
Moderately satisfactory (MS)	<i>There were some shortcomings and quality of implementation or execution more or less meets expectations.</i>
Moderately unsatisfactory (MU)	<i>There were significant shortcomings and quality of implementation or execution somewhat lower than expected.</i>
Unsatisfactory (U)	<i>There were major shortcomings and quality of implementation substantially lower than expected.</i>
Highly unsatisfactory (HU)	<i>There were severe shortcomings in quality of implementation or execution.</i>
Unable to assess (UA)	<i>The available information does not allow an assessment of the quality of implementation or execution.</i>

Monitoring and evaluation

Quality of project M&E will be assessed in terms of:

- i. Design
- ii. Implementation

Sustainability

The sustainability will be assessed taking into account the risks related to financial, sociopolitical, institutional, and environmental sustainability of project outcomes. The evaluator may also take other risks into account that may affect sustainability. The overall sustainability will be assessed using a four-point scale:

Rating	Description
Likely (L)	<i>There is little or no risk to sustainability.</i>
Moderately likely (ML)	<i>There are moderate risks to sustainability.</i>
Moderately unlikely (MU)	<i>There are significant risks to sustainability.</i>
Unlikely (U)	<i>There are severe risks to sustainability.</i>
Unable to assess (UA)	<i>Unable to assess the expected incidence and magnitude of risks to sustainability.</i>

Appendix 3. Co-financing Table

Name of the Co-financer	Co-financer type	Type of co-financing	Co-financing at project start (amount confirmed at GEF CEO endorsement/approval by the project design team) (in USD)			Materialized Co-financing at project mid-term (in USD)		
			In-kind	Cash	Total	In-kind	Cash	Total
FAO		Contributions in kind	USD 9.2 million	0	USD 9.2 million	Not accounted		Not accounted
University of Washington		Contributions in kind	\$2.5m ²⁴	?	USD 2.5 million	Not accounted	Not accounted	Not accounted
Grand total (in USD)			USD 11.7 million		USD 11.7 million			

It has not been possible to complete this table. FAO and University of Washington personnel were unable to provide records of contributions in kind, and revealed that while these contributions were substantial, they had not been recorded or accounted in a rigorous manner.

²⁴ The Project Document suggests that this USD 2.5 million includes “grant” as well as “in kind” contributions. The university was not able to provide evidence of this contribution beyond the statement that related research and tool development was supported under other funded research programmes. In other words, this is all in-kind contribution.

Appendix 4. Results matrix for assessing degree of achievement of project outcomes

Note that in the following not all indicators have been scored separately in the PIR, and we have followed the same reporting structure here.

Appendix table 2. Progress towards results matrix (achievement of outcomes against mid-term targets)

Project strategy	Indicator	Baseline level	Level in 1 st PIR (self-reported)	Mid-term target	End-of-project target	Mid-term level & assessment	Achievement rating ²⁵	Justification for rating
Objective: To strengthen global partnership for the purpose of enhancing the understanding and application of integrated, participatory and collaborative approaches, among local and global partners who co-develop and utilize frontier tools to assess coastal fisheries performances, and identify empirically effective pathways towards environmental, social and economic sustainability for these fisheries.								
Indicator (if applicable):								
Outcome 1.1: Collaboration among environmental and development agencies and organizations is managed, coordinated, enhanced and intensified, at the global as well as national and regional levels.	<i>Indicator 1:</i> Platform or mechanisms functioning which permits collaboration among development and environmental agencies and organizations working in fisheries	Inadequate global platform	S		GCU, GSC, GRG functioning well with linkages well defined and programme governance and coordination arrangements functioning smoothly.	GCU not established as fully resourced coherent professional unit. GSC operating well as status update and basic coordination, but ineffective in terms of programme governance. GRC not established.	U	See assessment

²⁵ Six-point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU.

Project strategy	Indicator	Baseline level	Level in 1 st PIR (self-reported)	Mid-term target	End-of-project target	Mid-term level & assessment	Achievement rating ²⁵	Justification for rating
	<i>Indicator 2:</i> Annual internal review by partners rate coordination efforts as satisfactory or highly satisfactory.	Lack of coherence across mechanisms which might facilitate global cooperation and coordination on marine fisheries issues.		GCU, GSC and GRG functioning well with linkages well defined and programme governance and coordination arrangements functioning smoothly.	GCU, GSC, GRG functioning well with linkages well defined and programme governance and coordination arrangements functioning smoothly.	GCU not established as fully resourced coherent professional unit, and partners rate coordination efforts beyond global call as very limited. GSC realized only in terms of "global calls" - operating well as status update and basic coordination, but ineffective in terms of programme governance. GRC not established.	U	
	<i>Indicator 3:</i> Independent mid-term review and terminal evaluation of the CFI rate progress towards CFI objective as satisfactory or highly satisfactory. ²⁶					NA	NA	

²⁶ Indicator 3. ...is a circular dysfunctional indicator.

Project strategy	Indicator	Baseline level	Level in 1 st PIR (self-reported)	Mid-term target	End-of-project target	Mid-term level & assessment	Achievement rating ²⁵	Justification for rating
	<i>Indicator 4:</i> At least three new national and/or regional and/or global project/ programme proposals by GEF agencies, other partners and governments are based on CFI best practices and include strong collaboration between different GEF agencies and other partners.	Limited integration among the different approaches used by governments in their partnerships with development and environmental agencies and organizations to ensure sustainability in the fisheries sector.	S	Not specified	Not specified	No agreed best practices as of yet, and no collaboration and co-funding can be attributed to CFI-GPP activities.	S	

Project strategy	Indicator	Baseline level	Level in 1 st PIR (self-reported)	Mid-term target	End-of-project target	Mid-term level & assessment	Achievement rating ²⁵	Justification for rating
Outcome 1.2: Progress of CFI programme is systematically monitored and reported.	<i>Indicator 1:</i> CFI M&E system defined and operational.	No project or programme M&E system in place.	S	M&E system functioning and delivering PIRs, annual PPRs available to GCU and GSC.	M&E system functioning and delivering PIRs, annual PPRs available to GCU and GSC.	CFI M&E system partially defined in TOC and programme-level results framework, but programme-level reporting procedures and protocols not agreed. Implementation delays with several child projects not addressed through programme-level governance mechanisms.	HU	
	<i>Indicator 2:</i> Reports and evaluations published on schedule.			MTE carried out and reports available.	Terminal programme evaluation carried out and reports available.		S	
	<i>Indicator 3:</i> Annual review meetings (GSC, GRG, etc.) monitor and guide programme performance.					Child project PPRs and PIRs not available to GCU, and not synthesized and presented to GSC annually for formal for programme-level review and adaptive management.	U	

Project strategy	Indicator	Baseline level	Level in 1 st PIR (self-reported)	Mid-term target	End-of-project target	Mid-term level & assessment	Achievement rating ²⁵	Justification for rating
	<i>Indicator 4:</i> Programme and projects are well managed and addressing risks and challenges.					There have been major delays and implementation problems in several child projects including the GPP itself. These have not been reported or addressed through any programme-level steering or management system.	U	
	<i>Indicator 5:</i> Mid-term and terminal programme assessments against TOC carried out and reports available.	CFI programme TOC developed in collaboration with CFI partner agencies.	S	Mid-term programme assessment carried out and reports available.	Terminal assessment carried out and reports available.	This MTE. Assessment against TOC problematic in the absence of agreed reporting or indicators framework.	U	

Project strategy	Indicator	Baseline level	Level in 1 st PIR (self-reported)	Mid-term target	End-of-project target	Mid-term level & assessment	Achievement rating ²⁵	Justification for rating
Outcome 2.1 Best practices and tools for environmentally, socially and economically sustainable fisheries are documented analyzed and shared.	<i>Indicator 1:</i> Four technical documents on selected topics prepared and disseminated through IW-Learn and other learning mechanisms.	Lessons learned from major relevant programmes not being applied to better influence fisheries policies and strategies. CFI Knowledge management strategy does not exist. ²⁷	S	Defined audiences informed of CFI lessons learned. Two CFI knowledge products prepared and disseminated. CFI global consultations held annually to share lessons learned and strengthen coordination among agencies and partners.	Four best practice publications published on CFI portal and project results presented at global decision-making meetings. Knowledge management strategy developed and operational. At least four knowledge products prepared and disseminated.	Defined audiences have not been informed of CFI lessons learned. CFI knowledge strategy and child project knowledge strategies developed. Several articles have been published on IW learn and the FAO CFI website. These are interesting and informative, but primarily of a “news” nature, rather than learning from programme activities. Three global consultations have convened and are effective and well regarded by partners.	MU	

²⁷ This is a circular and dysfunctional baseline

Project strategy	Indicator	Baseline level	Level in 1 st PIR (self-reported)	Mid-term target	End-of-project target	Mid-term level & assessment	Achievement rating ²⁵	Justification for rating
	<i>Indicator 2:</i> Three South-South learning exchanges through field visits and other learning events.					Some events have taken place, but there is no clear documentation or formal report; and they are not mentioned in the most recent PIR.		
	<i>Indicator 3:</i> FPAT disseminated widely through IW-Learn platforms and shared at four knowledge sharing events.				FPAT published.	FPAT e-learning introductory module on FAO e-learning portal; and training webinars conducted.		
	<i>Indicator 4:</i> Four global workshops carried out targeting key government officials, RFBs and staff of env/development agencies and organizations understanding on key fisheries governance and management concepts.	Governments currently do not receive consistent advice from development and environmental agencies and organizations.	MS		Four global workshops carried out.	No global workshops have been held, though one was scheduled and postponed due to COVID-19 crisis.	S	

Project strategy	Indicator	Baseline level	Level in 1 st PIR (self-reported)	Mid-term target	End-of-project target	Mid-term level & assessment	Achievement rating ²⁵	Justification for rating
	<i>Indicator 5: Six countries or regional organizations refer to CFI best practices in national and regional policies and strategies and are under implementation as appropriate.</i>					No evidence of countries/regional organizations referring to CFI best practice as yet – but this is to be expected given the absence of agreed best practice at this stage.		

Project strategy	Indicator	Baseline level	Level in 1 st PIR (self-reported)	Mid-term target	End-of-project target	Mid-term level & assessment	Achievement rating ²⁵	Justification for rating
Outcome 2.2 CFI programme communication and outreach strategy is established and operational.²⁸	<i>Indicator 1:</i> Communications team for CFI programme is established, composed of communications specialists from CFI agencies. ²⁹	CFI communication s and outreach strategy does not exist. ³⁰	S	Communications team for CFI established.	CFI toolbox developed and used across different media. 15 key government representatives and project staff supported. ³¹	All child projects have an officer responsible for communications and there is a range of consultants and "focal points". Programme and project communications strategies developed. A "visual identity" (banners, backdrop, taglines, etc.) has been promoted across the programme, but websites remain largely disparate in style. This may be improving.	MU	
	<i>Indicator 2:</i> CFI web portal functioning and regularly updated.					CFI website is functioning and regularly updated, but lacks many important links and resources.		

²⁸ This is a poor outcome. The outcomes here should be knowledge products (outcome 2.1), and this simply shifts focus from genuine outcomes to mechanisms (efficient or inefficient) for delivery

²⁹ This should be a target, not an indicator. Hence....

³⁰ ...this is a dysfunction baseline leading to circularity of logic

³¹ This is a poor target. 30 occasional consultants is a far cry from 5 dedicated professionals.

Project strategy	Indicator	Baseline level	Level in 1 st PIR (self-reported)	Mid-term target	End-of-project target	Mid-term level & assessment	Achievement rating ²⁵	Justification for rating
	<i>Indicator 3:</i> GRG effective as CFI ambassadors as indicated by web references to CFI.					The GRG has not been convened.		
Outcome 3.1: FPAI is developed based on existing tools for both CFI and non-CFI fisheries.	<i>Indicator 1:</i> FPAI developed. <i>Indicator 2:</i> Pilot test for CFI and non-CFI fisheries are completed. <i>Indicator 3:</i> Training and capacity building programme for using the FPAI carried out.	There are some tools available to assess whether fisheries are sustainably managed, but none can meet the needs for the CFI performance evaluation.	S	Triple bottom line FPAT fully developed and ready for piloting.	Ecological component of FPAT developed consulted and validated. Broadly applicable triple bottom line FPAT developed consulted and validated. Triple bottom line FPAT piloted, refined, designed and trained.	FPI+ finalized adding several ecological indicators. Governance module nearing completion/integration. Integration with MERA DL assessment and management evaluation tool in process. Data preparation manual prepared in English. Webinar trainings conducted.	MU	Marginally unsatisfactory rating is given here based entirely on the indicators and targets. Unfortunately, these do not reflect the need for or approach to fisheries assessment in the child projects or called for in the project documents and other results frameworks.

Indicator assessment key

Green= Achieved

Yellow= On target to be achieved

Red= Not on target to be achieved

Appendix 5. List of people interviewed

Last name	First name	Institution/Agency	Role
GEF			
Bunce Karrer	Leah	GEF Secretariat	Knowledge sharing
Global Partnership Project (past and present)			
Alder	Jacky		Budget Holder, GPP; CFI-WA and Fishcode Manager 2017-18
Anderson	Chris	University of Washington	GPP Component 3 FPAT
Anganuzzi	Alejandro	FAO NFIC	
Braun	Genevieve	FAO-GEF coordination Unit	
Carruthers	Tom	University of British Columbia	Blue Matter Science. GPP Component 3 FPAT
Ciocca	Steven		Programme formulation and finance, Fishcode
Dupenor	Pierre	FAO NFIC	Knowledge management consultant
Foco	Zachary	Global Consultation	Organizer/support
Greig	Gunilla		CFI-WA project manager; GPP project manager (2017-18)
Griffin	Jeffrey		Head of GEF FAO unit
Gutierrez	Nico	FPAT	LTO GPP, CFI-WA
Hett	Kathrin	NFIC	M&E
Hishamunda	Nathaniel		Budget Holder, GPP; CFI-WA and Fishcode Manager
Lawson	Craig		Communications
Lazzari	Andrea		Admin GPP; CFI-WA
Naranjo	Helven	University of Washington	trainer/manual GPP Component 3 FPAT
Roest	Maarten		Communications
Sock	Fatou		CFI-WA project manager; GPP project manager (current)
Westlund	Lena		Independent fisheries consultant
Global Challenge Fund/World Bank			
Al-Bazzaz	Umou	World Bank Washington	Communications Specialist
Barbosa	Jorge Guillermo	GCF Latin America	
Kobayashi	Mimako	World Bank Washington	GCF coordinator
CFI Indonesia			
Carrion	Daniella	Conservation International Blue Abadi Component	Project officer
Lingertat	Heike	WWF GEF Agency	Senior Program Officer
Stone	Christopher	Blue Abadi	
Wijonarno	Anton	USAID Seascape programme	
CFI Latin America			
de la Cadena	Cristina		UNDP Fisheries Coordinator CFI-LA, based Ecuador
Maldonado	Miguel		LA project manager, based Peru
Nunez	Ana Maria		UNDP regional officer
Ryan	Joe		MTE consultant
Valdospinos	Diana		Knowledge management officer, based Ecuador

Last name	First name	Institution/Agency	Role
Zavala Yesan	Pedro		Coordinator Marine Spatial Planning
CFI-West Africa			
Most contacts were conducted primarily through CFI-WA MTE and are listed in that report. However specific interviews relating to FPAT were conducted with:			
Issola	Yacoub		Project Coordinator, Abidjan Convention
Mbaye	Lamine		
Moniz Carvalho	Maria Edelmira	NPO Caba Verde	
Other organizations			
MSC			
Longo	Katie		Senior scientist, presenter on DLM/ME methods at first global consultation, also involved in Ocean Health Index
University of Florida			
Anderson	James		Involved in FPAI development and FPAT workshop
Asche	Frank		Involved in FPAI development and FPAT workshop

Appendix 6. List of documents consulted

Programme and project documents

CFI programme framework document
Child Project Documents CFI-GPP; CFI-Latin America; CFI-West Africa; CFI-Indonesia; CFI Global Challenge Fund
CFI Knowledge Management Strategy
CFI-Latin America Communication Strategy 2019-2021
CFI-West Africa Knowledge Management Strategy
CFI-GPP. Roadmap to CFI knowledge products (Powerpoint)

Project and programme reporting

GPP Project Performance Reviews and Project Implementation Reports
GPP budgeting spreadsheets
Other Child projects' Project Implementation Reports (where available)
USAID Blue Abadi Initiative Semi-annual Report (Oct 2019 to March 2020)
CFI-Latin America GEF Core Indicator Report for Fiscal Year 2020

Reviews and Evaluations

CFI-Global Challenge Fund Mid-term Review
CFI-LA Mid-term Evaluation
Sustainable Management of Tuna Fisheries and Biodiversity Conservation in the Areas Beyond National Jurisdiction (project) Mid-term Evaluation
GEF Global Challenge Fund Policy Recommendations Report with analyses stemming from phase 1 of the Peru CFI-Challenge Fund (Feb 2019 to March 2020)

Consultations and workshop reports from the project

Reports of the Guayaquil and Abidjan Global Consultations
Minutes and presentations of Global Calls (virtual meetings between different project partners and the child projects)

Project related reports

Inamdar, Neel, and Jada Tullos Anderson. 2016. "CFI Expanded Synthesis Paper and External Stakeholder Consultation." Unpublished report. World Bank, Washington, DC.
CFI/World Bank 2016 (*Draft*). Global Challenge Fund Draft Selection Criteria and process. Neel Inamdar and Jada Anderson of Wilderness Markets and Larry Band.
World Bank 2017. Developing impact investment opportunities for return-seeking capital in sustainable marine capture fisheries
World Bank 2018. Fishery Performance Indicators - Evaluación y análisis de pesquerías costeras del Perú
World Bank. Peru: Coastal Fisheries Initiative – Challenge Fund (CFI-CF). Main objectives and preliminary project (Peru CFI-CF) outcomes. Brochure.
World Bank Group 2019. Financing the Peruvian Artisanal Small-Scale Fisheries Sector: an Analysis of Supply and Demand

Relevant technical guidelines

- i. Data limited methods toolkit. <https://www.datalimitedtoolkit.org/>
- ii. FAO CCRF guidelines (Ecosystem Approach to Fisheries; Small-scale Fisheries)
- iii. FAO toolkit for Ecosystem Approach to Fisheries
- iv. FAO E-learning – Fisheries Performance Assessment Toolkit (FPAT)
- v. FAO Fishery performance indicator studies for the commercial and recreational pelagic fleets of the Dominican Republic and Grenada. FIAO/SLC/C1162 (En) Fisheries and Aquaculture Circular.
- vi. FAO Indicators for the sustainable development of fisheries

- vii. Marine Stewardship Council Guidance for using the MSC Benchmarking and Tracking Tool (BMT) Benchmark and track fisheries as they progress towards sustainability and MSC certification
- viii. Marine Stewardship Council Standard.
- ix. Marine Stewardship Council. In-Transition to MSC (ITM) programme. Requirements and Guidance – Pilot
- x. MRAG 2005. A guide to Fisheries Stock Assessment Using FMSP tools.
- xi. INCOFISH basic fishery assessment indicators.
- xii. FAO 2016. Experience capitalization for continuous learning.

Relevant technical reports and academic papers

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Annexes

Annexes to this report are attached separately.

Annex 1. Terms of reference

<http://www.fao.org/3/cb6200en/cb6200en.pdf>

Annex 2. CFI publications

<http://www.fao.org/3/cb6203en/cb6203en.pdf>

Annex 3. Evaluation matrix

<http://www.fao.org/3/cb6204en/cb6204en.pdf>

Annex 4. Theory of change

<http://www.fao.org/3/cb6205en/cb6205en.pdf>

Annex 5. Staff positions

<http://www.fao.org/3/cb6207en/cb6207en.pdf>

Annex 6. Summary of findings and recommendations from other MTE reports

<http://www.fao.org/3/cb6209en/cb6209en.pdf>

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