



**Mid-term review of  
Climate Change Adaptation of the Eastern  
Caribbean Fisheries Sector (CC4FISH) Project  
GCP/SLC/202/SCF  
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**FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS  
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# Table of Contents

|  |              |
|--|--------------|
| Acknowledgements.....                              | i            |
| Acronyms and abbreviations .....                   | ii           |
| Executive summary .....                            | 1            |
| <b>1 Introduction.....</b>                         | <b>11</b>    |
| 1.1 Purpose and scope of the Mid-Term Review ..... | 11           |
| 1.2 Objective of the MTR .....                     | 11           |
| 1.3 Intended users .....                           | 13           |
| 1.4 Methodology.....                               | 13           |
| 1.5 Limitations.....                               | 17           |
| <b>2 Project background and context.....</b>       | <b>20</b>    |
| <b>3 Theory of change.....</b>                     | <b>25</b>    |
| <b>4 Key findings and MTR questions.....</b>       | <b>iv</b>    |
| 4.1 Strategic Relevance .....                      | iv           |
| 4.2 Efficiency .....                               | vi           |
| 4.3 Effectiveness .....                            | ix           |
| 4.4 Sustainability .....                           | xxii         |
| 4.5 Factors affecting performance .....            | xxiii        |
| 4.6 Cross-cutting dimensions .....                 | xxx          |
| <b>5 Conclusions and recommendations.....</b>      | <b>xxxv</b>  |
| 5.1 Preliminary Conclusions .....                  | xxxv         |
| 5.2 Recommendations.....                           | xxxvii       |
| <b>6 Lessons learned.....</b>                      | <b>xliv</b>  |
| <b>7 Best practices.....</b>                       | <b>xliv</b>  |
| <b>8 Appendices.....</b>                           | <b>xlvii</b> |

## List of Figures and Tables

### Figures

|   |    |
|---|----|
| Figure 1. Location of the seven CC4FISH project countries (coloured red)..... | 23 |
| Figure 2. Preliminary Theory of Change of CC4F .....                          | 25 |
| Figure 3. CC4F Theory of Change validated for the MTR.....                    | i  |

### Tables

|   |    |
|---|----|
| Table ES1: Ratings for GEF criteria/sub-criteria.....   | 10 |
| Table 1. Main Evaluation Questions .....  | 12 |
| Table 2. Main purpose and intended users of the MTR .....   | 13 |
| Table 3. Comparison of methodology in original MTR TOR and actual methodology as a result of COVID 19 ..... | 14 |

Table 4. Status of agreed co-financing update to 30 June 2020 ..... 20  
Table 5. Progress on Components and Outputs as reported in PPR to end December 2019 .....x  
Table 6. Recommendations from the MTR.....xxxvii

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- conducting evaluations of regional projects funded by international or regional agencies;
- working in the Caribbean fisheries sector;
- climate change adaptation (CCA) and disaster risk management (DRM) processes and capacity building in the Caribbean;
- facilitation of multi-stakeholder discussions and training workshops, including stakeholder identification, analysis and engagement;
- communications and advocacy; and
- gender mainstreaming in CCA (specialist area of the Team member).

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## Acronyms and abbreviations

|           |   |
|-----------|---|
| A&B       | Antigua and Barbuda   |
| AWPB      | Annual Work Plan and Budget   |
| BH        | Budget Holder   |
| CANARI    | Caribbean Natural Resources Institute   |
| CARICOM   | Caribbean Community   |
| CC        | Climate Change  |
| CC4FISH   | Climate Change Adaptation of the Eastern Caribbean Fisheries Sector [project]   |
| CCA       | Climate Change Adaptation   |
| CERMES    | Centre for Resource Management and Environmental Studies [UWI Cave Hill, Barbados]  |
| CIRP      | Caribbean ICT Research Programme [UWI St Augustine, Trinidad]   |
| CNFO      | Caribbean Network of Fisherfolk Organisations   |
| CRFM      | Caribbean Regional Fisheries Mechanism  |
| DOM       | Dominica  |
| DRM       | Disaster Risk Management  |
| EAF       | Ecosystem Approach to Fisheries   |
| ES        | Environmental and Social  |
| ESS       | Environmental and Social Safeguards   |
| FAO       | Food and Agriculture Organization   |
| FBA       | Field-Based Authorisation   |
| FFO       | Fisherfolk Organisation   |
| FPMIS     | Field Programme Management Information System   |
| GCFI      | Gulf and Caribbean Fisheries Institute  |
| GCU       | GEF Coordination Unit   |
| GEF       | Global Environment Facility   |
| GRE       | Grenada   |
| HQ        | Headquarters  |
| ICT       | Information and Communications Technology   |
| INFOPESCA | Centro para los servicios de información y asesoramiento sobre la comercialización de los productos pesqueros de América Latina y el Caribe |
| KAP       | Knowledge, Attitudes and Practices  |

|        |   |
|--------|---|
| LOA    | Letter of Agreement                                 |
| LTO    | Lead Technical Officer                              |
| M&E    | Monitoring and Evaluation                           |
| MTR    | Mid-Term Review                                     |
| NDC    | Nationally Determined Contribution                  |
| NFP    | National Focal Point                                |
| NPC    | National Project Coordinator                        |
| NPSC   | National Project Steering Committee                 |
| NTRC   | National Telecoms Regulatory Commission             |
| OED    | Office of Evaluation                                |
| PCU    | Project Coordination Unit                           |
| PIR    | Project Implementation Report                       |
| PPR    | Project Progress Report                             |
| ProDoc | Project Document                                    |
| PSC    | Project Steering Committee                          |
| PTF    | PTF Project Task Force                              |
| PWD    | Persons with disabilities                           |
| RFB    | Regional Fishery Body                               |
| RLC    | Regional Office for Latin America and the Caribbean |
| RPC    | Regional Project Coordinator                        |
| SCCF   | Special Climate Change Fund                         |
| SDG    | Sustainable Development Goal                        |
| SKN    | St Kitts and Nevis                                  |
| SLC    | Subregional Office for the Caribbean (FAO)          |
| SLU    | Saint Lucia   |
| SO     | Strategic Objective                                 |
| SRC    | Sub-Regional Coordinator                            |
| SVG    | St Vincent and the Grenadines                       |
| ToC    | Theory of Change                                    |
| TOR    | Terms of Reference                                  |
| TT     | Trinidad and Tobago                                 |
| UN     | United Nations                                      |

|        |   |
|--------|---|
| USD    | US Dollar                                   |
| UWI    | University of the West Indies               |
| VCA    | Vulnerability and Capacity Assessment       |
| VHF    | Very High Frequency                         |
| WECAFC | Western Central Atlantic Fishery Commission |

## Executive summary

### Introduction

- ES1. The Mid-Term Review (MTR) of the *Climate Change Adaptation of the Eastern Caribbean Fisheries Sector* (CC4FISH) project has been conducted over the period March to September 2020 to guide and enhance the implementation of the remainder of the project by analysing project progress and identifying actual and potential challenges, as well as best practices and lessons learned to date, in order to develop recommendations that can be applied before the project end date. However, the MTR is being conducted well past the actual project mid-term (31 December 2018), which constrains the scope of the recommendations deemed achievable before the anticipated project end date of 30 September 2021<sup>1</sup>.
- ES2. The methodology proposed in the MTR Terms of Reference (TOR) was formulated before the advent in the Caribbean of COVID-19 and therefore had to be modified a number of times. The main changes were substitution of all face-to-face meetings by virtual ones and cancellation of the proposed field missions. The MTR team conducted 92 virtual interviews, engaging a total of 107 individuals, (women 37.4% men 62.6%). The aspects of the methodology that remained the same were the document review; triangulation of evidence gathered to support the conclusions and recommendations; and adherence to Global Environment Facility (GEF) and Food and Agriculture Organization (FAO) principles and guidelines.

### Main findings

***Strategic Relevance - The CC4FISH project aligns well with GEF and FAO strategic priorities; national, regional and global priorities; and beneficiary needs. It has also been highly complementary to existing and emerging interventions with similar objectives. The PCU and FAO have undertaken concrete measures, through mechanisms such as the annual and more recently quarterly virtual meetings of the PSC and CC4FISH outreach activities, to ensure that the project continues to be relevant and responsive to beneficiary and other stakeholder needs.***

- ES3. CC4FISH goals and objectives align well with:
- the vision, strategic priorities and policies of GEF/FAO;
  - Climate Change Adaptation (CCA) priorities and complementary interventions at the regional and sub-regional levels;
  - project countries' visions, strategic priorities, fisheries and climate change (CC) policies and the priorities and needs of key target stakeholders, including Fisheries Authorities, fishers, Fisherfolk Organisations (FFOs) and coastal communities.
  - achievement of Sustainable Development Goals (SDGs) in the target countries.

***Efficiency: The overall MTR rating for Efficiency is Moderately Unsatisfactory. The project has not been efficiently implemented to date.***

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<sup>1</sup> The original project end date was 31 December 2020 with an extension granted by GEF initially to 31 March 2021 (in recognition of COVID-19 disruptions). A further 6-month extension to 30 September 2021 recommended at the Project Steering Committee (PSC) meeting held on 22 July 2020.

- ES4. CC4FISH is a complex project since it involves seven countries that share many similarities but also have significant differences. MTR interviews indicated that the Project Coordination Unit (PCU) has consistently sought to be flexible and adapt project activities to respond to these variations, as well as to changing national priorities. Countries (principally National Project Coordinators-NPC) also have project management responsibilities in most instances been efficiently leveraged.
- ES5. The RMT identified problems related to the lack of implementation of the wide range of administrative, project management and Monitoring and Evaluation (M&E) expertise that was needed to support this type of complex and regional project. The evaluators identified some significant gaps and delays in the implementation of ***Component 4: Project M&E and Knowledge Management*** that resulted in their final assessment of ***Efficiency as Moderately Unsatisfactory***. These gaps also had implications for the MTR methodology, since they resulted in limited availability of data that would have been useful in assessing efficiency (and effectiveness).
- ES6. About the **efficiency of the financial management systems**, whilst day-to-day financial recordkeeping seemed sound, the heavy reliance on complex Word tables and Excel spreadsheets for financial reporting appeared excessively labour-intensive and results in reports that are difficult to interpret, validate or analyse. The fact that Annual Work Plan and Budget (AWPB) reporting does not systematically track changes made to activities or budget during the year nor the rationale for these changes is a further constraint.

***Effectiveness: CC4FISH will undoubtedly contribute to the overall objective of increased resilience and reduced vulnerability to climate change impacts in the Eastern Caribbean fisheries sector, but progress to date on the different Components is variable, both overall and by country, primarily as a result of the significant differences in project inception dates and the degree to which subsequent LOA, procurement and national bureaucracy delays impeded progress.***

- ES7. CC4FISH is undoubtedly contributing to the overall project objective of increased resilience and reduced vulnerability to climate change impacts in the Eastern Caribbean fisheries sector. However, progress to date on the different Components is variable, both overall and by country, primarily as a result of the significant differences in project inception dates as a result of national bureaucracy delays and Letter of Agreement (LOA) and procurement challenges. However countries where inception was delayed have made significant progress since coming onstream. It is likely that the majority of Outcome 1 and 3 outputs can be achieved within the current project timeframe but Outcomes 2 and 4 are at risk of not being fully achieved.
- ES8. CC4FISH has carried out some important activities and produced many useful communication products. CC4FISH has also produced some positive results not envisaged in the original logframe, including establishment of WhatsApp peer exchange networks that have contributed to knowledge transfer, information uptake, and collaboration between PSC members, FFOs and fishers, and aquaculturists; and improved relationships between key stakeholders at the national level (e.g. between the Fisheries Authority and the Coast Guard).
- ES9. The Regional Project Coordinator (RPC) has been highly effective in creating alliances with and sourcing additional funds from complementary projects that far exceed anything foreseen in the Project Document (ProDoc). Additionally, sharing of project findings at various conferences

and in FAO publications has been effective in enhancing the international and regional influence of the project.

*Sustainability: The overall rating for the sustainability of project outcomes is rated as moderately likely. The project has generated a number of important results that potentially contribute to post-project sustainability at both the regional and national level, including a number of activities designed to build institutional capacity, such as FARE, fisheries data collection and statistics and NDC workshop but it is too early to fully assess the results of these in terms of sustainable KAP changes. The degree to which these results have been achieved to date differs by country, mainly because project inception dates and progress is so varied. To date there is no evidence that an exit strategy has been implemented.*

ES10. The project has generated a number of important results that potentially contribute to post-project sustainability at both the regional and national level, notably:

- many national stakeholders trained to become trainers/facilitators of capacity building in their countries, and provided with extensive repositories of resources, (e.g. in Information and Communications Technology (ICT), Safety at Sea, sargassum management and conducting Vulnerability and Capacity Assessments - VCA);
- enhanced relationships between key government agencies such as Fisheries Divisions, Coast Guard, National Telecom Regulatory Commission (NTRC), as well as between fishers/FFOs and government agencies;
- development of CCA- and Disaster Risk Management- (DRM) sensitive Fisheries Policies, plans and legislation and fisheries-sensitive CC Policies at the national and regional level;
- CC4FISH collaboration with complementary projects, including sourcing of additional funding; and
- work on third party vessel insurance as a strategy for improving fisherfolk resilience.

ES11. MTR analysis of risks :

- **Socio-political risks** are rated as moderately unlikely since all project countries are considered politically and socially stable.
- **Financial risks** it seems likely that COVID-19 will have a significant negative impact on the regional economy and livelihoods, particularly in countries that are already financially under-resourced.
- **Institutional and governance risks** were evaluated to be the most likely to arise because of: the high turnover of government staff, combined with a weak culture of systematic transfer of individual or institutional memory, and limited capacity/resources in many Fisheries Authorities.
- **The most likely climate risks** are those arising from hurricanes/severe weather events, but also the possibility that aquaponics systems that rely both on rainwater harvesting and pipe-borne water could be affected by the more frequent and severe droughts being experienced as a result of CC.
- **Social and health-related risks** were difficult to assess, mainly because of uncertainty about the impacts of and responses to COVID-19. However, it seems probable that COVID-19 will generate additional social risks, affecting community and occupational health and safety and, by extension, the production and processing aspects of the fisheries value chains.

To date, no exit strategy has been prepared by the project.

*Factors affecting performance: The overall rating of Factors Affecting Performance is Moderately Satisfactory though the ratings of individual aspects ranges from Unsatisfactory to Satisfactory. A major factor affecting performance was delays in project inception and implementation, arising from both country and SLC challenges.*

ES12. **Project execution and management** has been variable and the MTR identified some areas of for improvement in **project design and readiness; financial management; project oversight; M&E design and implementation; and communications and knowledge management** that, if addressed, could benefit performance:

- The **Results Matrix** of the project has a number of weaknesses and has not been systematically reviewed or revised.
- Whilst overall **quality of project implementation/execution and oversight** is rated as moderately satisfactory, particularly at the national level in the countries most advanced in project progress (SKN and SLU), it was negatively affected in some countries by the delays created at the national level by internal bureaucracy and, in some cases, by slow FAO procedures for procurement and issuing of LOAs.
- **Project oversight by GEF/FAO** has been moderately satisfactory, with oversight functions provided by FAO at the SLC, Headquarters (HQ) and national levels. The SLC plays a technical and administrative oversight role, with the Budget Holder (BH), Lead Technical Officer (LTO), PCU and Administration Unit all accountable in different ways and the NPCs responsible for execution, and to some extent oversight, at the national level. However, project performance have been affected by challenges linked to inadequate orientation of PCU, NPCs; National Focal Points (NFPs) in relation to FAO policies and procedures.
- There is scope for enhancement of **project oversight by the PCU and PTF**. Only one PTF meeting has been held to date and preparations for PSC meetings do not always facilitate an effective or efficient AWPB review and approval process. Although significantly improved in recent times, collaboration and coherence between the oversight roles of the technical and administrative SLC units could be further strengthened.
- The MTR evaluated the quality of project execution at the PCU level to have been mixed but note that interviewees perceived it to have improved significantly in recent times. At the national level, the quality of execution has generally been excellent, particularly in the countries most advanced in project implementation (e.g. St Kitts and Nevis and Saint Lucia).

ES13. **Execution:** Whilst the RPC stressed the challenges of executing a project of this scale with only two PCU staff, it was clear that technical support from other FAO staff had contributed greatly to overcoming this challenge. Accessing FAO expertise in the areas of project management, administrative and M&E to alleviate the challenge seemed limited, although clearly the Administration Unit and PCU have had to work closely together to facilitate issuing of LOAs, finalisation of procurement requirements etc. NPCs are also part of the FAO project staffing complement and add great value at the national level.

ES14. Based on review of partner reports, presentations and outputs, the **quality of partner performance** has been high, as has that of other consultants, although inception of some partner/consultant activities was held back by the delays in issuing their LOAs and subsequent procurement challenges.

ES15. The MTR perceived weaknesses in the quality of **project execution and management by the Administration Unit** related to the procurement process, transaction cost from administrative

management and delays in the processes through widely reported to have improved in recent times.

ES16. **M&E design** is rated as moderately unsatisfactory. The project has not advanced beyond the basic M&E plan summary in the ProDoc. Moreover, as a result of the late inception of the project in several countries, one of the critical elements of the CC4FISH M&E process, the MTR, is taking place well past the actual mid-term, leaving limited time for the implementation of MTR recommendations. The MTR Team was unable to assess M&E plan implementation because there is no plan.

ES17. Performance was also affected by the delays in: accessing funds transferred to the national Consolidated Funds on which the SLC and NPCs/NFPs had to expend considerable time trying to resolve; lengthy procurement procedures and, in some cases, initial procurement of the wrong equipment.

#### *Cross-cutting dimensions*

ES18. There appears to have been no systematic or regular review and revision of Environmental and Social (ES) risks or Environmental and Social Safeguards (ESS) although additional risks have been identified during project implementation. ES and ESS are not systematically included in project reporting or reflected in the design of the activities included in the AWPB. COVID-19 represents both a project and an ES/health risk, given the implications for food handling during processing and for the fish market in general.

#### *Progress towards achieving results*

ES19. The MTR Team rated the **overall achievement of mid-term targets and progress towards the CC4FISH impact/objective** as moderately satisfactory.

**Stakeholder engagement:** Stakeholder engagement was generally considered satisfactory, apart from occasional beneficiary criticism of their engagement during periods of no or low activity. Engagement of project partners was also rated as satisfactory. However, the MTR identified some areas of weakness in project design and readiness; financial management; project oversight; M&E design and implementation; and communications and knowledge management as outlined below:

ES20. **Engagement of national stakeholders and partners/consultants:** the stakeholders were generally positive about their engagement with CC4FISH at their respective levels. Stakeholders engagement has been facilitated with the help of NPCs, NFPs and Project Partners and consultants. Stakeholder engagement was rated most highly in countries where National Project Steering Committee (NPSC) members and local beneficiaries felt they had been proactively engaged and informed. Partner/consultant engagement was also reported to be largely satisfactory, with the exception of the LOA and procurement challenges. Partners and consultants have also make a significant contribution to the PSC.

ES21. The inclusion of **private sector engagement**, and particularly of investors, has been on a wider scale than envisaged in the ProDoc. However, FAO and national lack of experience in and processes for engagement of these stakeholders was had delayed the realisation of some of the market opportunities identified in the value-added studies.

ES22. Engagement in capacity building (through workshops and fisher exchanges), particularly in the areas of ICT and safety at sea, had already resulted in **significant positive changes in fishers' and fish handlers'/processors' attitude and practices.**

***Progress on gender- and social inclusion- responsive measures***

ES23. CC4FISH has mainly engaged women in activities where they currently dominate (e.g. fish vending and processing) but has not challenged the segmentation of roles or power dynamics in the fisheries value chain. No rigorous gender assessment has been undertaken and no detailed gender strategy exists (of the kind now required for GEF projects).

ES24. Some positive results have been produced in relation to the active involvement of youth in ICT training, fisher exchanges, fisher capacity building (especially in safety at sea) and aquaculture/aquaponics activities. They are also benefitting from outreach activities to schools and CC/CCA sensitisation through products and activities specifically targeted to young people. Coastal communities are identified as "*particularly vulnerable to the impacts of climate change*" but the MTR did not identify much systematic engagement of members of coastal communities other than fishers and fish vendors, except in the VCAs and some sargassum work (e.g. beach clean-ups).

***Knowledge activities/products and lessons learned***

ES25. **Communication, knowledge management and knowledge products** are rated overall as satisfactory based on the evaluators' review of a range of knowledge products, which were assessed as being high quality and appropriate for their respective target audiences.

***Conclusions***

**Conclusion 1 – Relevance** (Section 4.1).

ES26. Project interventions are contributing to the accomplishment of global, regional and national strategic objectives on CCA and sustainable fisheries management, as well as increased understanding of their relevance by FFOs and others in the fisheries sector. The project is well aligned with GEF strategic priorities and has contributed to FAO strategic objectives SO2, SO4 and SO5, as well as to several SDGs.

**Conclusion 2 - Efficiency** (Section 4.2).

ES27. This is the weakest area of project implementation to date, as evidenced by: the lack of the implementation of the M&E and communication/knowledge management strategies as identified in the ProDoc for creation at project inception; the gap in consistently producing timely AWPBs; inadequate filing systems at the outset of the MTR; systematic diffusion of the knowledge products that is accessible by key stakeholders; limited focus to date at the overall project level on systematically identifying and then widely disseminating lessons learned and best practices; and minimal reporting on Component 4.

**Conclusion 3 – Effectiveness** (Section 4.3).

ES28. CC4FISH is clearly contributing to the overall project objective of increased resilience and reduced vulnerability to climate change impacts in the Eastern Caribbean fisheries sector but could benefit from greater attention to Components 2 and 4 if all intended outcomes and outputs are to be achieved - and validated by strategic M&E - by the project end date. The project has also produced some unanticipated positive results, notably additional co-funding;

and the establishment of peer exchange networks that have contributed to knowledge transfer, information uptake, and enhanced collaboration regionally and nationally.

**Conclusion 4 – Sustainability of Project Outcomes** (Section 4.4)

ES29. The project has made significant contributions to post-project sustainability, notably through its focus on training facilitators of capacity building at the national level and extensive range of related resources; enhanced relationships between stakeholders; progress on the development of EAF/CCA and DRM-sensitive Fisheries Policies and fisheries-sensitive CC Policies at the national and regional level; and collaboration with complementary projects, including sourcing of additional funding. However there remain areas of risk that are moderately likely: institutional and governance (mainly due to the high turnover of government staff and weak culture of knowledge transfer); and environmental (primarily because of the increasing incidence and severity of storms and hurricanes). On the other hand, socio-political risks are low, given the social and political stability of the project countries. The potential for catalysis and replication is extremely good as a result of CC4FISH collaboration with complementary projects and the wide range of excellent and accessible resources produced under the project. The MTR Team was unable to assess financial risks, because there has been limited attention to these in project design or implementation, compounded by the uncertainty around the economic impacts of COVID-19.

**Conclusion 5. Factors affecting performance** (Section 4.5)

ES30. Performance has been positively affected through effective stakeholder engagement, although the MTR team felt this could have been further enhanced by development of a more rigorous stakeholder identification, analysis and engagement strategy early in project implementation and regular review and refinement of the approach as necessary. Project partnerships have contributed greatly to project effectiveness. However, performance has been negatively affected by weaknesses/gaps in the areas of project design and readiness; financial management; project oversight and management at the PCU/SLC level; M&E design and implementation; and communications and knowledge management as documented above. As well as the impact on project efficiency and effectiveness, these gaps also affected certain aspects of the MTR (e.g. lack of data or access to data at the appropriate review stage). In the case of financial management, performance is affected by the late production of AWBPs and the failure to systematically report on budgetary changes made during the year or on actuals versus budgets creates concerns in relation to transparency and accountability.

**Conclusion 6. Cross-cutting dimensions** (Section 4.6)

ES31. The project design and implementation of gender and other equity dimensions take a limited view of gender equity and engagement of groups particularly vulnerable to climate change and the results indicate only partial success in meeting the targets, with rates of participation by women (as at 31 December 2019) at 15% as against the project target of 40%.

**Recommendations**

ES32. **Recommendation 1 – Relevance.** Continue to emphasise and enhance collaboration with complementary projects, and further strengthen alignment of CC4FISH activities with emerging funding and policy trends at the sub-regional and regional level.

- ES33. **Recommendation 2 – Efficiency.** Urgently develop and implement an M&E Plan as well as a Communication and Knowledge Management Strategy that encompasses documentation and dissemination of best practices and lessons learned. Review and assess whether it is possible to improve financial management and reporting systems to make them more efficient, effective, transparent and accountable, with particular focus on tracking of and reporting on changes made to budgets during the year. Institute regular meetings of a PTF to optimise technical, administrative and M&E support to CC4FISH and, as needed, build capacity of those with project management responsibilities.
- ES34. **Recommendation 3 – Effectiveness.** Institute quarterly reviews of and reporting on progress towards results, including assessment of outcomes and qualitative results. Priority should be given to ensuring completion of activities with the greatest potential for scaling up/replication. In addition to the 3-month extension provided initially as a result of COVID-19, grant a further extension of 3-6 months, basing the final decision on the proposed length of extension on analysis of the trade-offs between funding PCU/NPC salaries for the extension period and its impact on funding for activities.
- ES35. **Recommendation 4 – Sustainability.** Review the identified threats to sustainability and institute discussion with LTO and PSC of those that can realistically be addressed under the remainder of CC4FISH and develop both a mitigation plan and an exit strategy.
- ES36. **Recommendation 5 – Factors affecting performance.** Document the lessons learned and best practices arising from challenges relating to use of consolidated funds at the national level and disseminate them to actual and potential funders of projects in the Caribbean, as well as to key regional agencies working in the area of CC and/or fisheries. For target recipients potentially accessing GEF/FAO funding in future, also include lessons learned from SLC delays in issuing LOAs and procurement, including potential alternatives. Document the lessons learned regarding private sector engagement and, time permitting, apply them towards scaling up activities with a high potential to deliver improved livelihoods and market expansion.
- ES37. **Recommendation 6 – Cross-cutting dimensions.** Collaborate with gender specialists in GEF, FAO (and potentially also Caribbean-based UN Women and FAO RLC) and leverage NPC expertise to strengthen gender mainstreaming by: building SLC and national capacity (e.g. via virtual webinars, training and peer exchange); and leveraging linkages with regional projects that have a strong gender mainstreaming focus in relation to building CC and disaster resilience. Consistently review, amend as needed, and report on the ES risks, as well as developing and implementing mitigation strategies.

### **Lessons learned**

The lessons learned and best practices documented below reflect those most applicable to CC4FISH as a whole but there are many other lessons learned that are documented in national, partner and consultant reports, which should be compiled and disseminated under the Knowledge Management and Communications consultancy.

- ES38. Lesson Learned 1. Greater variations exist in countries' capacity for implementing EAF, CCA, DRM and CC mainstreaming in fisheries plans than foreseen in the ProDoc, exacerbated by the fact that, in some countries it was reported that Fisheries Authorities are losing more capacity than they are gaining, which the project adapted to by carrying out a five regional workshops: the EAF DRM and

CCA regional training and the FARE training, as well as the institutional strengthening of CNFO and the CNFO-facilitated workshops designed to enhance the organisational capacity of FFOs.

- ES39. For complex topics such climate change/variability and CCA and resilience, a single training could not be enough for fishers and other actors in the fisheries sector, to ensure full understanding and uptake, even in instances when parallel complementary capacity building activities are taking place at the national level.
- ES40. It is important to engage with and communicate to the full range of stakeholders during delays to project implementation in order to maintain their interest and commitment.
- ES41. Key national influencers (such as senior government officials or others in positions of power) or high visibility champions (e.g. music or sports personalities) can be valuable in disseminating project information and advocating for behaviour change. The successful use of such champions is also evidenced by other regional initiatives, such as the Panos' Voices for Climate Change campaign.
- ES42. Although there is still a degree of stigma around considering the fisheries sector as a desirable career, regular targeting of youth through activities they are interested in and engagement of schoolchildren through Career Fairs, aquaculture activities and integration of fisheries/climate change issues into the curriculum, are proving effective in shifting youth mindsets.
- ES43. Table ES1 below provides a summary of the ratings for GEF criteria/sub-criteria.

**Table ES1 Ratings for GEF criteria/sub-criteria**

| GEF criteria/sub-criteria  | Rating <sup>2</sup> |
|--|---------------------|
| <b>A. STRATEGIC RELEVANCE</b>  |                     |
| A1. Overall strategic relevance  | S                   |
| A1.1. Alignment with GEF and FAO strategic priorities                              | S                   |
| A1.2. Relevance to national, regional, and global priorities and beneficiary needs | S                   |
| A1.3. Complementarity with existing interventions                                  | HS                  |
| <b>B. EFFECTIVENESS</b>  |                     |
| B1. Overall assessment of project results  | MS                  |
| B1.1 Delivery of project outputs   | MS                  |
| B1.2 Progress towards outcomes and project objectives                              | MS                  |
| - Outcome 1  | S                   |
| - Outcome 2  | MS                  |
| - Outcome 3  | HS                  |
| - Outcome 4  | MU                  |
| - Overall rating of progress towards achieving objectives/outcomes                 | MS                  |
| B1.3 Likelihood of impact  | Not rated at MTR    |
| <b>C. EFFICIENCY</b>   |                     |
| C.1 Efficiency   | MU                  |

<sup>2</sup> See below for explanation of acronyms used in rating scheme

| GEF criteria/sub-criteria   | Rating <sup>2</sup> |
|---|---------------------|
| <b>D1. SUSTAINABILITY</b>   |                     |
| D1 Overall likelihood of risks to sustainability  | ML                  |
| D1.1. Financial risks   | UA                  |
| D1.2. Socio-political risks   | MU                  |
| D1.3. Institutional and governance risks  | ML                  |
| D1.4. Environmental risks   | ML                  |
| D2. Catalysis and replication   | HL                  |
| <b>E. FACTORS AFFECTING PERFORMANCE</b>   |                     |
| E1. Project design and readiness  | MS                  |
| E2. Quality of project implementation   | MS                  |
| E2.1 Quality of project implementation by FAO (BH, LTO, PTF, etc.)  | MS                  |
| E2.1 Project oversight (PSC, project working group, etc.)   | MS                  |
| E3. Quality of project execution  | MS                  |
| E3.1 Project execution and management (PMU and executing partner performance, administration, staffing, etc.) | MS                  |
| E4. Financial management and co-financing   | MU                  |
| E5. Project partnerships and stakeholder engagement   | S                   |
| E6. Communication, knowledge management and knowledge products  | S                   |
| E7. Overall quality of M&E  | U                   |
| E7.1 M&E design   | MU                  |
| E7.2 M&E plan implementation (including financial and human resources)  | UA                  |
| E8. Overall assessment of factors affecting performance   | MS                  |
| <b>F. CROSS-CUTTING DIMENSIONS</b>  |                     |
| F1. Gender and other equity dimensions  | MU                  |
| F2. Human rights issues   | MS                  |
| F2. Environmental and social safeguards   | MU                  |
| <b>Overall project rating</b>   | <b>MS</b>           |

# 1 Introduction

## 1.1 Purpose and scope of the Mid-Term Review

1. The Mid-Term Review (MTR) of the Climate Change Adaptation (CCA) of the Eastern Caribbean Fisheries Sector (CC4FISH) project is being conducted to guide and enhance the implementation of the remainder of the project by analysing project progress and identifying best practices and lessons learned to date, in order to develop recommendations that can be applied before the project end date. However, the MTR is being conducted well past the actual mid-term of the project (December 2018), which constrains the scope of the recommendations before the proposed project end date of 30 September 2021. The original project end date was 31 December 2020 with an initial GEF 3-month extension to 31 March 2021 granted in response to COVID-19, and a further 6-month extension recommended by the Project Steering Committee (PSC) meeting held on 22 July 2020<sup>3</sup>.
2. The decision to postpone the MTR was based on the very late initiation of the project in several countries (notably Dominica [DOM], Grenada [GRE], St Vincent and the Grenadines [SVG] and Trinidad and Tobago [TT]) and of several of the major consultancies, such as that for the Caribbean Natural Resources Institute (CANARI). The advent of COVID-19 in the Caribbean shortly before the MTR started, necessitated adaptation of the MTR Methodology (Table 3 for more details) and also affected recommendations for a project extension.

## 1.2 Objective of the MTR

3. The Terms of Reference (TOR) for the MTR (Appendix 1), state the following objectives:
  - to assess the process followed and progress towards the achievement of the project objectives and outcomes as specified in the Project Document (ProDoc);
  - to analyse the results obtained and the scope according to the Global Environment Facility (GEF) criteria of relevance; effectiveness; efficiency; sustainability; factors affecting performance; and cross-cutting dimensions;
  - to assess project performance against Special Climate Change Fund (SCCF) objectives and targets;
  - to assess early signs of project success, challenges or failure with the goal of identifying the necessary changes to be made to improve delivery, impact and sustainability of project results.
  - to assess the project's strategy, its risks to sustainability and prepare a Theory of Change.
4. The TOR further notes that the MTR should seek to provide recommendations to the project team and partners and, where applicable, to government counterparts in the seven project countries, for follow-up actions to set the project on track to achieve its intended results over the remaining implementation period.
5. The main evaluation questions identified in the MTR Review Matrix (Appendix 2) are shown in Table 1 below.

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<sup>3</sup> The MTR Team has not received any analysis of the data on which this recommendation was based.

**Table 1. Main Evaluation Questions**

| <b>Criteria</b>                          | <b>Question</b>   |
|--|---|
| <b>Strategic Relevance</b>               | To what extent do the project goals and objectives align with the current vision, strategic priorities, and policies of the key stakeholders (GEF, FAO, participating countries, and key target stakeholders)?  |
| <b>Efficiency</b>                        | Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting project implementation? (Extent to which the project is making the best use of available human, technical, technological, financial, and knowledge inputs to achieve its desired results, with special attention to the effectiveness of the M&E system.)  |
| <b>Effectiveness</b>                     | To what extent have the expected outcomes, outputs, and objectives of the project been achieved so far?   |
| <b>Factors affecting performance</b>     | What have been the main factors affecting performance?  |
| <b>Sustainability of project results</b> | To what extent has the project supported financial, institutional, socio-economic, and/or environmental improvements to sustain long-term project results? (Assessment of the potential for sustainability of the project by measuring the threats to sustainability, the probability of continued implementation of project activities and use of the delivered project technologies and outputs even after the end of the project).   |
| <b>Cross-cutting issues</b>              | <p>Have equality issues been appropriately and effectively incorporated into project execution and have gender, youth, and social inclusion been effectively incorporated in the activities led by project countries and partners?</p> <p>The relevance (timeliness, quality, and extent of tailoring/target audience-tailoring) of the approach subsequently used to impart the knowledge generated for the diverse stakeholders (fisherfolks, coastal communities and aquaculturists, decision-makers, public audience, and other stakeholders)</p> |

Source: PRODOC

The more detailed evaluative sub-questions are further expanded on in Appendix 2 (MTR Review Matrix). These evaluative questions then informed the indicative questions developed for each stakeholder interview or focus group.

### 1.3 Intended users

6. The MTR TOR outlines the intended users and the purpose for each category as shown in Table 2 below.

**Table 2. Main purpose and intended users of the MTR**

| Purpose  |  | Intended User   |
|--|--|---|
| <b>Accountability:</b> to respond to the information needs and interests of policy makers and other actors with decision-making  | Inform decision making<br>Provide accountability | GEF and other donors<br>GEF Coordination Unit (GCU) and FAO management<br>GEF Focal Points and Technical Ministries |
| <b>Improvement:</b> Project/program improvement and organizational development provides valuable information for managers or others responsible for the regular project/program operations   | Improve project/program                          | Project Management, PMU, PTF, GCU, PSC  |
| <b>Enlightenment:</b> In-depth understanding and contextualised the project/program and its practices. Normally caters to the information needs and interest of program staff and sometimes participants<br>Build synergies and complementarities with other GEF and non GEF projects in the Caribbean | Contribute to knowledge                          | GCU, FAO staff and future developers and implementers   |

Source: PRODOC

7. As outlined above, the primary target audiences for the MTR are those responsible for project oversight, project implementation, and project monitoring and evaluation (M&E). However, the MTR Team felt they should be expanded to include:
- Project partners and regional and national consultants, so that they can incorporate MTR findings and recommendations in outstanding project activities, and in any future related projects.
  - Other implementing partners at the national level, including fisherfolk organisations (FFOs) and government agencies, such as the Coast Guard; the National Telecoms Regulatory Commission (NTRC); environmental agencies; and Ministry of Education, so that so they can have an enhanced understanding of the overall project successes and challenges, as well as lessons learned that they can apply in their specific areas of interest.

### 1.4 Methodology

8. The methodology proposed in the original MTR TOR was formulated before the COVID-19 pandemic became an issue. It therefore had to be modified a number of times during the early stages of the MTR process, as FAO and country restrictions and guidelines were put in place and then became more stringent. The updated version of the MTR TOR (Appendix 1) is dated 30 May 2020, and reflects the changes necessitated by COVID-19; however, by the time it was issued, the

majority of the interviews [Appendix 3] and review of most documents had already taken place so it was agreed with GEF-FAO that review of project reports would include only those relevant to the period up to December 2019 (date of most recent MTR at the document review stage).

9. Table 3 below compares the original methodology with what was eventually done. Where possible, both members of the MTR Team participated in the interviews, but the Team Leader conducted a high proportion of them on her own given the more limited availability of the Team Member.

**Table 3. Comparison of methodology in original MTR TOR and actual methodology as a result of COVID 19**

| Original methodology   | Actual methodology and notes  |
|--|---|
| Desk review of key project documents and reports, to better understand the context and structure of the project and identify the reported project achievements.  | No change. See Appendix 4 for the list of documents reviewed.   |
| <p>Semi-structured interviews with key informants, stakeholders and project participants:</p> <ul style="list-style-type: none"> <li>• Face to face interviews to be carried out during the field missions to three selected countries – Saint Kitts and Nevis (SKN), Saint Lucia (SLU) and Grenada (GRE) were proposed and agreed by the MTR Team.</li> <li>• The MTR Team also planned to conduct face-to-face interviews in Trinidad and Tobago (TT) since the Team Leader is based there) and St Vincent and the Grenadines (SVG), which the Team Member was due to visit under another project.</li> <li>• Phone or Skype interviews with key stakeholders in countries not visited by the evaluation team.</li> </ul> <p>Interviews to be supported by checklists and/or interview protocols to be developed at the beginning of the evaluation mission.</p> | <p>Semi-structured group or individual interviews with key informants and other project participants via Zoom, Skype, WhatsApp or phone. The potential for group interviews proved very limited, due to a number of factors, including limited interviewee availability, poor internet bandwidth, no or limited access to the internet (particularly in the case of fishers/fish vendors and processors). Where possible, additional focus was given to the proposed field visit countries, although the scope for this proved limited for GRE, due to the more restricted range of activities conducted to date.</p> <p>The MTR Team conducted 92 interviews engaging a total of 107 individuals, of whom 40 were women (37%) and 67 were men (63%). Of these, 58 interviews were with country stakeholders, engaging a total of 67 individuals of whom 15 (22%) were women (Appendix 3), which is slightly higher than overall figures for women’s participation in project activities at 8-10%.</p> <p>All interviews were guided by indicative questions tailored to the specific stakeholder group/organisation. The questions were derived from those outlined in the Review Matrix (Appendix 2), then customised to be relevant and appropriate to the specific interviewee(s). As examples, see Appendix 5 Indicative Questions</p> |

| Original methodology  | Actual methodology and notes  |
|---|---|
|   | for National Project Coordinator (NPCs) and National Focal Point (NFP) interviews). Most interviewees were sent the questions in advance, which allowed for more in-depth advance reflection. However, this did not apply to some of the interviews with fishers and Fisherfolk Organisations (FFOs)/Cooperatives since the pilot phase of conducting interviews with them indicated that many had a limited understanding of overall or national project implementation and could only talk about the activities in which they had been directly involved. It therefore proved more effective to tailor their questions on the spot, depending on their initial response to being asked about their involvement in and understanding of the project. |
| Group discussions with participants and stakeholders in the project sites (fishers, fish workers, local government authorities, regional and national policy-decision makers) where possible, who have been involved in project design, implementation, capacity building activities and other workshops  | No field missions or face-to-face meetings were conducted and, as noted above, the potential for virtual group discussion/focus groups proved to be very limited. As a result, many of these were substituted by individual interviews.   |
| In-situ observations in at least three project pilot sites.   | This was no longer possible, though limited information about the pilot sites was gleaned from interviews and documents, e.g. the reports of the Vulnerability and Capacity Assessments (VCA) reports.  |
| Face-to face or virtual (Skype or phone) interviews with key relevant stakeholders either, before submission of the inception report, including: <ul style="list-style-type: none"> <li>• 2-day briefing/interviews with staff at the FAO Subregional Office for the Caribbean (SLC) in Barbados on 23 and 24 March 2020.</li> <li>• Leveraging MTR Team attendance at the Project Steering Committee (PSC) meeting in Barbados scheduled for 25-27 March 2020 to a) get updates on project progress and b) conduct as many face-to-face interviews as possible, notably with the NPCs, NFPs, and regional and international project Partners, such as the</li> </ul> | The MTR Team visit to Barbados during week of 23-27 March 2020 was cancelled, resulting in the following adapted methodology: <ul style="list-style-type: none"> <li>• Virtual attendance at a one-day PSC meeting on 24 March 2020 (PSC reduced to one day at the request of country stakeholders who were very busy at the time addressing and adapting to COVID-19).</li> <li>• Virtual SLC briefing and interviews with SLC staff in Barbados conducted between MTR inception and finalisation of the inception report, including: <ul style="list-style-type: none"> <li>○ group discussion with the team from the Project Coordination Unit (PCU) team (Iris Monnereau, Celestine Moe),</li> </ul> </li> </ul>                                  |

| Original methodology  | Actual methodology and notes  |
|---|---|
| <p>Caribbean Network of Fisherfolk Organisations (CNFO); Caribbean Regional Fisheries Mechanism (CRFM); University of the West Indies (UWI) UWI Caribbean Information and Communications Technology (ICT) Research Programme (CIRP); UWI Centre for Resource Management and Environmental Studies (CERMES); and CANARI.</p> <ul style="list-style-type: none"> <li>Interviews with FAO and GEF key stakeholders based at FAO Headquarters (HQ )in Rome.</li> </ul> <p>It was also suggested that an online stakeholder survey be considered, if feasible.</p> | <p>and Project Lead Technical Officer [LTO] (Yvette DieiOuadi).</p> <ul style="list-style-type: none"> <li>SLC briefing with Dr Renata Clarke (FAO Sub-regional Coordinator and CC4FISH Budget Holder (BH); Estelle Page (Programme Officer and MTR Manager); Genevieve Braun (Programme Officer in FAO-GEF Coordination Unit, FAO HQ).</li> <li>Joint virtual discussion with two members of the SLC Administration Unit (Lorenza Zagarese, International Administration Officer and Nello Lovell, National Administration Officer).</li> <li>Individual interviews with Raymon van Anrooy and Tarub Bahri, the two former LTOs and Yvette DieiOuadi, the current LTO.</li> <li>Joint virtual interview with two members of the SLC Programme and Monitoring Support Team (Estelle Page, Programme Officer/MTR Manager and Antony Kellman, Field Programme Support and Monitoring Officer).</li> <li>Individual interview with Valeria GonzalezRiggio, Natural Resources Officer, FAO-GEF Coordination Unit, FAO HQ.</li> <li>Individual interview with Iris Monnereau, RPC.</li> <li>Individual interview with Celestine Moe, PCU Administration and Operations Support.</li> <li>Interviews with project partners and other key regional and national consultants.</li> </ul> <p>The idea of an online stakeholder survey was considered but rejected on the grounds that there was unlikely to be significant participation from some of the most important stakeholders, e.g. fishers, members of FFOs, and community members.</p> |
| <p>Triangulation of evidence-based information gathered to inform and support conclusions and recommendations.</p>  | <p>No change.</p>   |
| <p>4 May 2020 in-person debriefing with SLC to present key findings of the MTR prior to formal submission of the draft MTR report.</p>  | <p>25 May 2020 virtual debriefing with FAO/GEF/SLC staff and PSC members to present the preliminary findings of the MTR. This facilitated consideration of participants' comments and</p>   |

| Original methodology   | Actual methodology and notes  |
|--|---|
|  | questions prior to formal submission of the first draft MTR report on 1 June. |
| No specific methodology for developing the Theory of Change (ToC) specified. | Participatory approach developed  |

10. The MTR process for selecting the stakeholders to be interviewed was guided by FAO and GEF Guidelines on stakeholder identification and engagement<sup>4</sup> and was conducted in several stages:
- prior to the inception of the MTR, creation by the PCU, in consultation with key stakeholders at the regional and national level, of a master contact list of key stakeholders to guide the MTR Team in its interviews and field missions;
  - retention of the interviewees proposed in the MTR TOR from GEF-FAO and the project partners and consultants (though some further consultants were subsequently added to the list to ensure full understanding of all major consultancies);
  - in light of the changes to methodology imposed by COVID-19 restrictions, a collective virtual meeting was held with the NPCs to discuss the selection of the country stakeholders to be interviewed, with the MTR Team emphasising that the selection should retain the focus on multi-sectoral, multi-stakeholder engagement. It was decided that each country would initially be allocated two days for stakeholder interviews, with the NPCs selecting the most convenient dates for their country. It was also agreed that the NPCs would take the responsibility for liaising with their key stakeholders to determine the timing of, and best medium (Zoom, Skype, WhatsApp or phone call) for, each interview. This resulted initially in some slightly modified national contact lists and subsequently detailed national interview schedules (Appendix 3);
  - since they are both key national stakeholders and FAO staff, NPC interviews were prioritised and carried out early in the interview process;
  - similarly, a joint virtual meeting with the three PCU staff was held early in the process, with individual interviews with each of them being conducted later, once the MTR Team had developed a greater understanding of the perspectives of national stakeholders.
11. In addition to reviewing and evaluating the many technical activities, outputs and recommendations from Components 1-3, the MTR Report places strong emphasis on recommendations for action under Component 4 Project Monitoring and Evaluation and Knowledge Management since addressing gaps in this component has the potential to enhance the final evaluation of project impact, outcomes and the all-important qualitative results of the technical activities and outputs.

### 1.5 Limitations

12. The cancellation due to COVID of the initial SLC in-person briefing and PSC in Barbados meant that the two consultants on the MTR Team never had an opportunity to meet face-to-face, which

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<sup>4</sup> FAO-GEF MTR participatory stakeholder engagement and analysis; GEF Policy Series Stakeholder Engagement 2018; GEF Guidelines for the Implementation of the Public Involvement Policy 2018

would have been very useful at that early stage, particularly as they had never worked together before.

13. In addition to the significant changes to methodology necessitated by COVID-19, as outlined in Section 1.4, the MTR Team encountered a number of other challenges in carrying out the MTR:
  - a) Initial difficulties accessing the data and systems necessary to conduct an effective MTR
14. The MTR Team was surprised to note that some of the key documents that would normally inform not only the MTR but also effective and efficient project planning and management, such as a project M&E Plan and Knowledge Management and Communications Strategy, did not yet in place, although the ProDoc anticipates that both would be created early in project implementation. The MTR therefore had to depend more heavily on interview inputs than expected.
15. There were no Annual Workplans and Budgets (AWPBs) for the first two years of the project and those developed for subsequent years were produced late (target date 15 December of the previous year) and got amended without clear tracking of the changes made or the rationale for these changes. The 2020 AWPB was initially presented to the March 2020 PSC, was subsequently amended several times, with a final version provided to the PSC and MTR Team in late May 2020. At the MTR presentation/briefing on 25 May 2020, the RPC advised that the latest 2020 AWPB had been approved by the project countries and did not affect partner/consultant Letters of Agreement (LOAs). However, during the interview phase of the MTR, some country allocations for the remainder of the project were reported to be lower than anticipated.
  - b) Receipt of other project documents
16. Although the MTR TOR specifies the key documents to be provided to the MTR Team, the consultants initially received over 800 documents, many of which bore little or no relevance to the MTR. The situation was exacerbated by the fact that, at the outset of the MTR, the PCU did not have a systematic or well-structured filing system, even for internal use. Similarly, the PCU initially had no comprehensive repository of project documents and outputs in the form of a SharePoint folder<sup>5</sup>, Dropbox or similar, so documents arrived via numerous emails. Larger folders or documents were sent via WeTransfer, with file names that gave little indication of what the document was about. Several documents were scanned documents in pdf format, including many with embedded attachments/appendices that could not be opened. It also proved to be impossible to cut and paste from such documents, which would frequently have been useful, for example in preparing the questions for interviews. Additionally, as the MTR Team started to conduct interviews, interviewees identified some critically important reports and communication products that the MTR Team had not received initially, notably the countries' annual PPRs, which were only

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<sup>5</sup> The SharePoint file compiled by the PCU was shared with the consultants on 4 May but still appeared to have some gaps, so did not totally obviate the need to request more documents directly from the PCU. A more extensive shared drive was disseminated to the MTR Team (and others) on 21 July 2020 but does not appear to meet standard referencing criteria.

received on 22 and 23 April 2020, a few days before submission of the inception report. As a consequence of these challenges, the file names used in Appendix 4 do not meet all the usual citation criteria.

c) Scheduling country stakeholder interviews

17. The MTR Team agreed with the NPCs that two days would be allocated to each country to organise their key stakeholder focus groups and interviews. This worked well in most instances but occasionally it proved more challenging to organise interviews within the agreed timeframe due to stakeholders' existing commitments, so some adaptation/flexibility was necessary, with interviews being spread over four days in one instance.

18. Some interviewees needed multiple reminders of the proposed date, time and platform for their interview; some still proved to be unavailable at the agreed time, so interviews had to be rescheduled. Appendix 3 provides further details of the stakeholders engaged, time and date of proposed interview, and the changes that had to be made to the original plan.

d) Impact of conducting virtual interviews on MTR timeline and allocation of days to the MTR Team

19. As outlined in Section 1.4, the MTR Team had to conduct many more interviews than originally anticipated since so few joint meetings/focus groups were possible. Notetaking during virtual meetings proved more challenging than for face-to-face meetings, necessitating additional time for the MTR Team to review and finalise their notes. Based on the time taken to conduct and analyse the data from the early interviews, it was agreed with the MTR Manager that an extension of three weeks be granted for delivery of the first draft of the Inception Report (from 5 to 26 April) and of the first draft of the final MTR report (from 11 May to 1 June 2020). It was also agreed that the Team Leader should be granted an additional ten days and the Team Member an additional six days, and their TORs were amended accordingly.

e) Timing of MTR

20. The MTR is taking place well past the actual mid-term of the project (31 December 2018). The late inception of the MTR process obviously constrains the scope of recommendations that can realistically be achieved during the remainder of the project even in light of the project extension to 30 September 2021.

f) Overall impact of these challenges on focus of MTR

21. The MTR Report places strong emphasis on recommendations for action under *Component 4 Project Monitoring and Evaluation and Knowledge Management*. This is not intended to diminish the importance of the activities/outputs implemented to date, but reflects the MTR Team's concern that, at such a late stage in the project, it remains difficult to evaluate most project outcomes and the all-important qualitative results of the technical activities and outputs, except to some extent on the basis of inputs from the interviews conducted by the MTR team. This partially reflects the fact that, in the original Results Matrix/logframe, several of the outcome indicators are insufficiently specific and/or more like output indicators. At the time of the MTR, this matrix had not been revised nor had an M&E Plan been developed, although the original intention was for both activities to take place at the first PSC meeting (February 2017). These gaps create the risk that there will be an end-of-project under-estimation of the undoubted value and effectiveness of

CC4FISH as reported by interviewees. Similarly, the absence to date of a comprehensive project communication and knowledge management strategy created challenges in terms of evaluating changes in Knowledge, Attitudes and Practices (KAP) derived from the project's knowledge products. There has also been limited systematic dissemination of lessons learned and best practices, except via the project's WhatsApp group, which does not include all stakeholders.

## 2 Project background and context

22. The CC4FISH project is being implemented by the FAO SLC. The project is funded by the SCCF and managed by GEF. The SCCF allocation is USD 5,460,000 with co-financing commitments of USD 37,542,000 (mainly in kind) from the participating countries and project Partners (Table 4 below, which is extracted from PIR report on the status of this co-financing at 30 June 2019 as the December 2019 PPR does not report on co-financing). However, as there were clear anomalies in those figures, an addition has been made to Table 4 and Appendix 6 to report updated co-financing to 30 June 2020. Appendix 6 also reports the additional funding that has been secured since project inception. The latest co-financing report also documents all country co-financing as in kind and cash, which was not the case in the previous PIR.

**Table 4. Status of agreed co-financing update to 30 June 2020**

| Sources of Co-financing | Name of Co-financer          | Type of Co-financing | Amount confirmed at CEO approval endorsement | Actual amount materialised at 30 June 2019 | Actual amount materialised at 30 June 2020 |
|-------------------------|------------------------------|----------------------|--|--|--|
| Local government        | Antigua & Barbuda            | In-kind and cash     | 3,250,000                                    | 684, 700,                                  | 24,566                                     |
| Local government        | Dominica                     | In-kind              | 1,250, 000                                   | 1, 250,000                                 | 1, 250,000                                 |
| Local government        | Grenada                      | In-kind              | 1,500,000                                    | 375,000                                    | 1,202,409                                  |
| Local government        | St.Kitts & Nevis             | In-kind              | 1,250,000                                    | 1,250,000                                  | 6,000,000                                  |
| Local government        | Saint Lucia                  | In-kind and cash     | 5,480,000                                    | 2,046,000                                  | 5,480,000                                  |
| Local government        | St. Vincent & the Grenadines | In-kind and cash     | 1,500000                                     | 1,500,000                                  | 1,500,000                                  |
| Local government        | Trinidad & Tobago            | In-kind and cash     | 19, 500,000                                  | 19,500,000                                 | 3,952,197                                  |
| CSO                     | TNC                          | Cash                 | 200,000                                      | 200,000                                    | 200,000                                    |
| Other                   | CRFM                         | In-kind              | 400,000                                      | 148,000                                    | 400,000                                    |
| CSO                     | CARIBSAVE                    |                      | 1,000,000                                    | Ceased to Exist                            | 0  |

| Sources of Co-financing | Name of Co-financer | Type of Co-financing | Amount confirmed at CEO approval endorsement | Actual amount materialised at 30 June 2019 | Actual amount materialised at 30 June 2020 |
|-------------------------|---------------------|----------------------|--|--|--|
| Research Institution    | UWI                 | In-kind and cash     | 212,000                                      | 165,000                                    | 212,000                                    |
| Other                   | WECAFC              | In-kind and cash     | 2,000,000                                    | 666,000                                    | 2,000,000                                  |
|                         |                     | <b>TOTAL</b>         | <b>37,542,000</b>                            | <b>27,784, 700</b>                         | <b>22,221,162</b>                          |

23. The project objective is *"To increase resilience and reduce vulnerability to climate change impacts in the eastern Caribbean fisheries sector, through introduction of adaptation measures in fisheries management and capacity building of fisherfolk and aquaculturists."* (ProDoc)
24. The project is also intended to facilitate regional collaboration by seeking institutional, technological and developmental solutions that are appropriate at the local level but will contribute at the same time to the creation of adaptation benefits in the region. The involvement in the project of diverse actors from the fishing and aquaculture industries, and other stakeholders from the public and private sectors, civil society, academia and Regional Fishery Bodies (RFBs), is critical to its successful implementation. Fisherfolk, aquaculturists and coastal communities are key stakeholders and at the heart of CC4FISH at the local level where the project seeks to promote adequate adaptation measures in the face of climate change. The project is also intended to promote regional collaboration through existing RFBs such as the Western Central Atlantic Fishery Commission (WECAFC) and CRFM to strengthen these institutional arrangements.
25. The barriers the project seeks to address are:
- Insufficient understanding and awareness of climate change vulnerability of the fisheries sector at the regional, national and local level.
  - Limited fisherfolk, aquaculturists and coastal community resilience to climate change and variability.
  - Ineffective mainstreaming of climate change adaptation in fisheries at multi-level fisheries governance.

Addressing these barriers is intended to benefit the people who depend on the Eastern Caribbean fisheries sector at individual, household, community, national and regional levels.

26. The project has four components:
- Component 1: Understanding and raising awareness of climate change (CC) impacts and vulnerability.
  - Component 2: Increasing fisherfolk, aquaculturists' and coastal community resilience to climate change and variability.
  - Component 3: Mainstreaming of climate change adaptation (CCA) in multi-level fisheries governance.

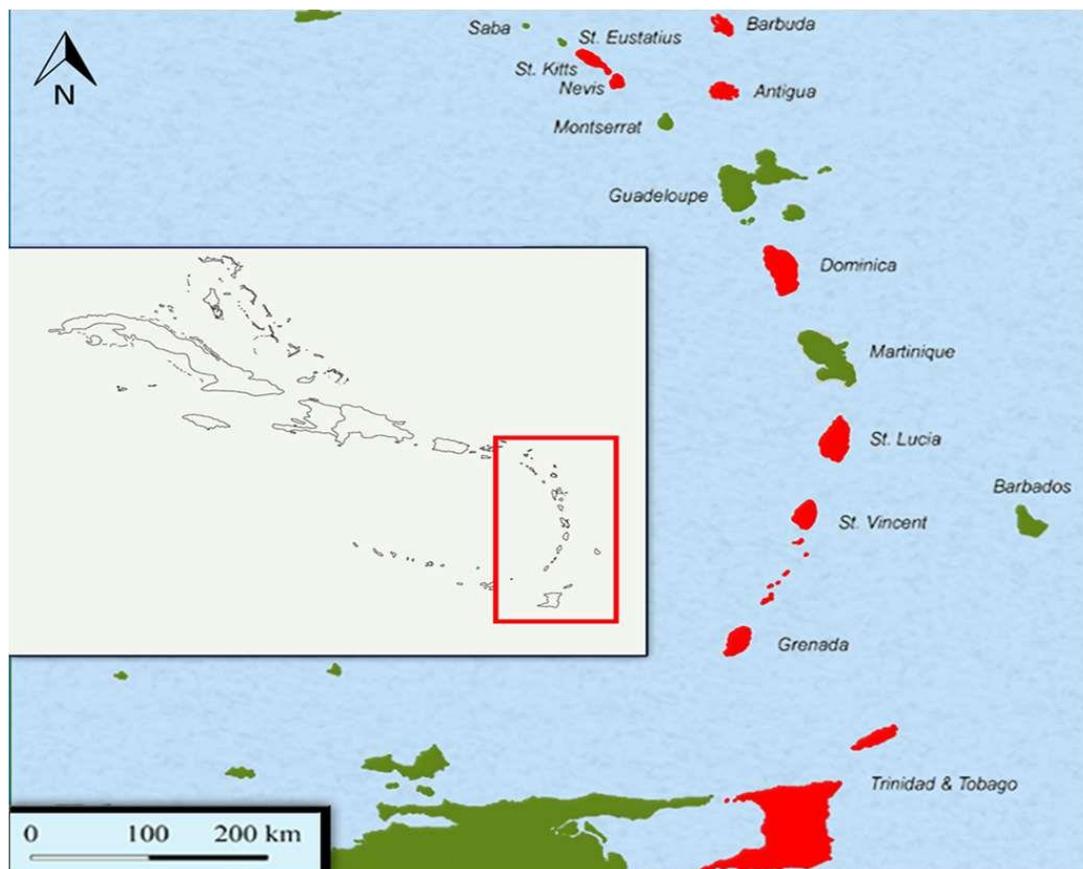
- Component 4: Project management, monitoring and evaluation, information dissemination and communication.
27. The start date for the CC4FISH project was January 2017, with a projected end date of 30 December 2020 (though at the time the ProDoc was finalised the anticipated start date was stated as September 2015). As shown in Figure 1, the project is being implemented in seven Eastern Caribbean countries: Antigua and Barbuda (A&B), Dominica (DOM), Grenada (GRE), St Kitts and Nevis (SKN), Saint Lucia (SLU), St Vincent and the Grenadines (SVG) and Trinidad and Tobago (TT). Figure 1 also provides a good overview of the location and respective sizes of the project countries
28. The project was developed in a participatory manner over several years through collaboration with the Fisheries Authorities in the project countries and the following regional executing partners:
- WECAFC
  - CRFM
  - CNFO
  - UWI
  - CARIBSAVE partnership<sup>6</sup>
  - The Nature Conservancy<sup>7</sup>
29. At the national level, implementation of the project is being coordinated through the NPCs, who are appointed and paid directly by the FAO SLC. The NPCs are supported by the NFPs, who are typically senior members of the national Fisheries Authority, although in the case of GRE, the NFP at the time of the MTR interviews was the Permanent Secretary in the Ministry under which Fisheries falls. The NFP and NFP also receive support from other government stakeholders and the National Project Steering Committee (NPSC) and, in some cases, local consultants.
30. At the regional level, the project is coordinated by the PCU, located within the FAO SLC. The PCU comprises the Regional Project Coordinator (RPC) and an Administration and Operations Support person. The PCU is supported technically by the LTO and reports to the Sub-Regional Coordinator (SRC), who also acts as the CC4FISH Budget Holder (BH). The PCU is also supported on an as-requested basis by other international, regional and local GEF-FAO staff.

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<sup>6</sup> Now defunct so not involved in CC4FISH implementation

<sup>7</sup> The Nature Conservancy has also played a very limited role in CC4FISH implementation.

Figure 1. Location of the seven CC4FISH project countries (coloured red)



Source: MTR TOR

31. In addition to the executing Partners identified below, international and regional partner organisations and individual consultants play a critical role in project implementation and are mostly employed under LOAs that detail the activities and outputs for which they are responsible. These include:

- Austin Stankus (aquaculture consultant)
- Blue Innovation Institute
- CANARI
- CNFO
- CRFM
- Fish Safety Foundation
- Centro para los servicios de información y asesoramiento sobre la comercialización de los productos pesqueros de América Latina y el Caribe (INFOPECSA)
- UWI CERMES
- UWI CIRP
- Yann Laurent (Fisheries Statistical & Management Information Systems Expert)

32. The first four PPRs submitted did not record any major changes to project design, specifically stating "No changes in project design. The PCU has been established in a timely manner and offices

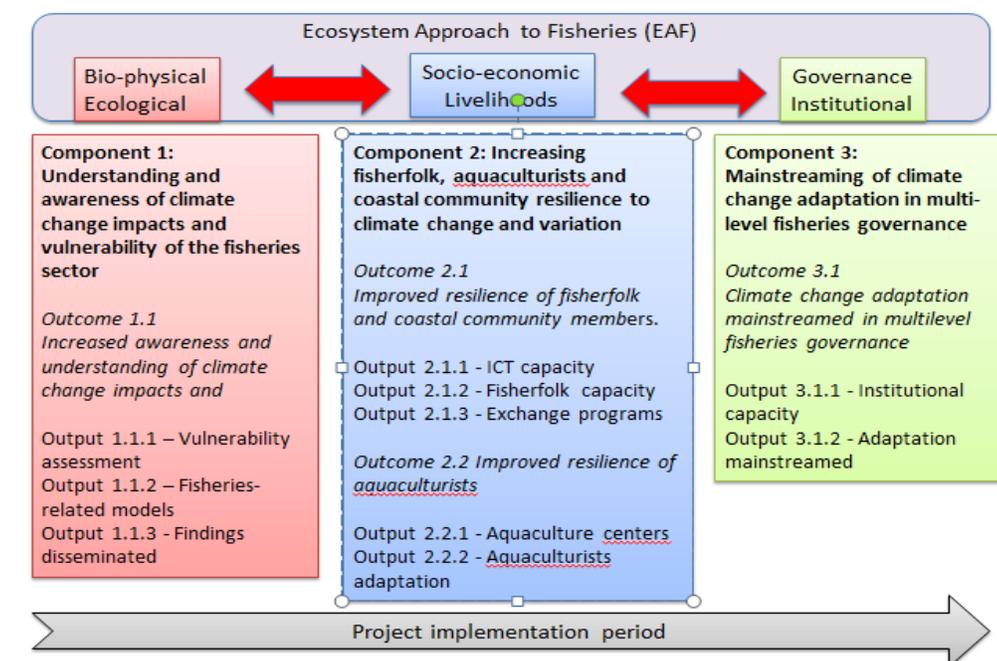
*were made available at FAO SLC, and the regional PSC was established during the launching workshop in February 2017 ". This appeared to contradict inputs from interviewees who commended the RPC for her flexibility and adaptiveness with regard to project activities. The fifth PPR (to end December 2019) seems to support this, elaborating on the situation as follows "... slight adjustments have been made to reflect reality on the ground and changes over time between design and implementation in the project countries. However, the limited data available in the region on fisheries prohibited modelling assessments of fisheries as a result of climate change under component 1. The project therefore did not carry out these activities. The project therefore planned for a trainer of trainers in Fisheries Statistics and training of Fisheries Officers in fisheries statistics so data collection could be improved and future modelling activities carried out. The aftermath of Hurricane Maria whereby several FADs were lost and the market conditions of landing fish in Dominica declined drastically (in 2019 the ice-machines of the largest landing site in Roseau still did not function) developing activities related to Smart FADS were not followed through. In SVG the obstacles of obtaining the CC4FISH funds from the consolidated fund also obstructed development of Smart FADs."*

33. Although the ProDoc does not succinctly specify or define all the target stakeholders or beneficiaries, it can be inferred that the primary stakeholders are fisherfolk (including fishers, fish vendors and handlers and boat owners) and their households; coastal communities; FFOs; Fisheries Authorities; and aquaculturists. Secondary stakeholders include other government agencies involved in some aspect of the fisheries sector, e.g. Coast Guard and those responsible for Disaster Risk Reduction, environmental management and National Telecoms Regulatory Commissions (NTRCs). The target stakeholders are not clearly defined for all Components but are stated as follows:
- Component 1: "*key stakeholders*";
  - Component 2: "*individual fisherfolks, fisherfolk organizations and aquaculturists.... particular attention will be given to strengthening organizational structures of fishers and fish workers, including women and youth*";
  - Component 3: from the objective "*to strengthen institutional regional and national capacity on mechanisms to implement climate change adaptation measures; and mainstream climate change adaptation into policies, plans and associated processes*", it can be inferred that the primary stakeholders are fisheries policy makers (and to a lesser extent those responsible for climate change policies and plans);
  - Component 4: As the objective is to "*support project M&E, and ... address the creation and/or improvement of institutional M&E capacities of executing partners*", it can be inferred that the target stakeholders are the PCU and all other executing partners.

### 3 Theory of change.

- 34. The ProDoc contains a preliminary Theory of Change (ToC) as shown in Figure 2 below. However, this was described by one member of the project design team as a preliminary analysis intended to explain the logic behind and the linkages between the project components within the framework of an Ecosystem Approach to Fisheries (EAF).
- 35. The process of developing a more comprehensive, revised ToC was guided by the FAO-GEF document *Theory of change for MTRs and final evaluations of FAO-GEF projects*. In particular, the MTR Team sought to follow the recommendation that the ToC development process be undertaken as a group exercise "to enhance ownership of and commitment to the project or programme in question and increase the credibility and acceptance of the MTR results" and "build mutual trust and respect and increase the probability that stakeholders will actually use the MTR ...and help to manage expectations on both sides."

Figure 2. Preliminary Theory of Change of CC4F



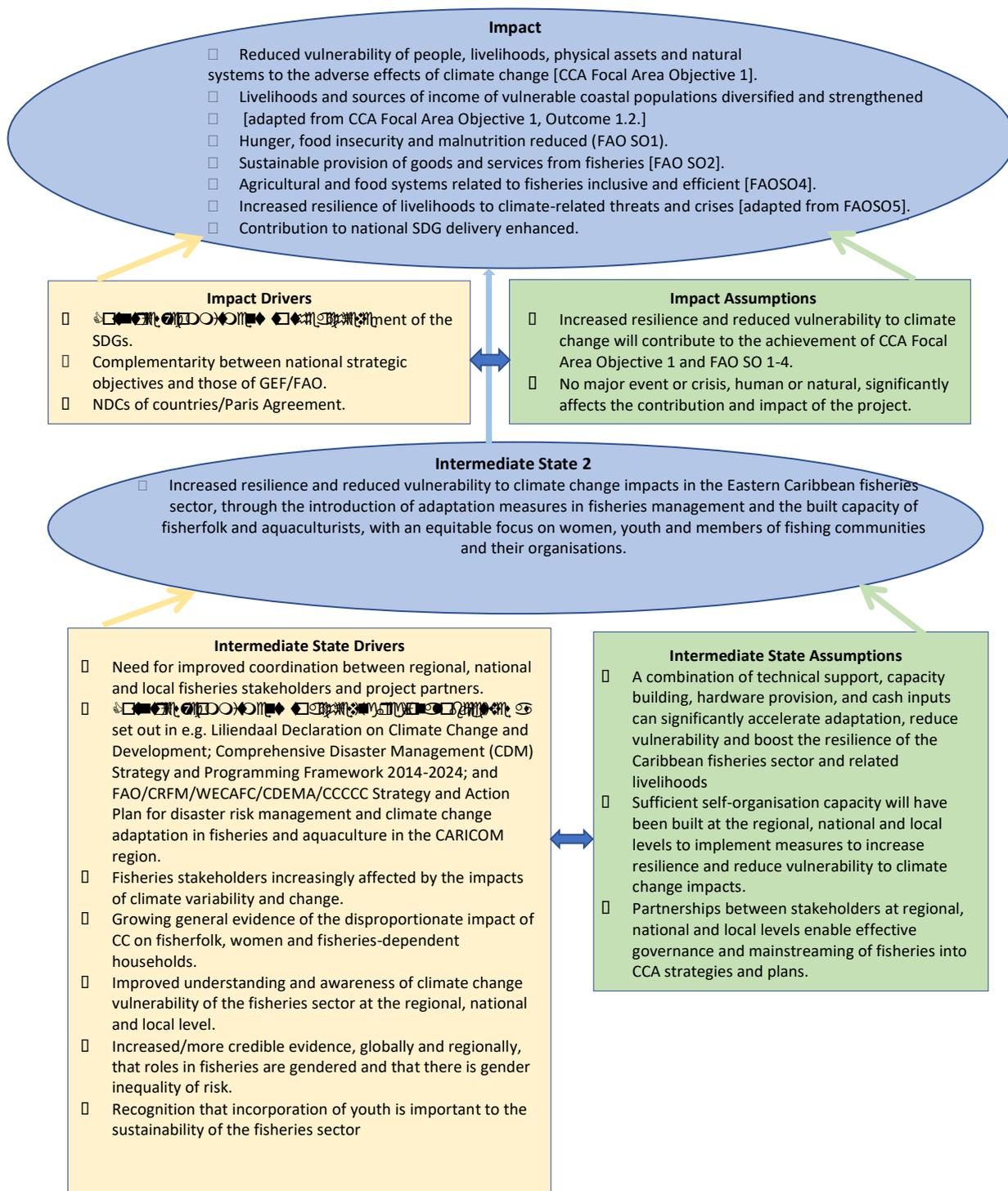
Source: PRODOC

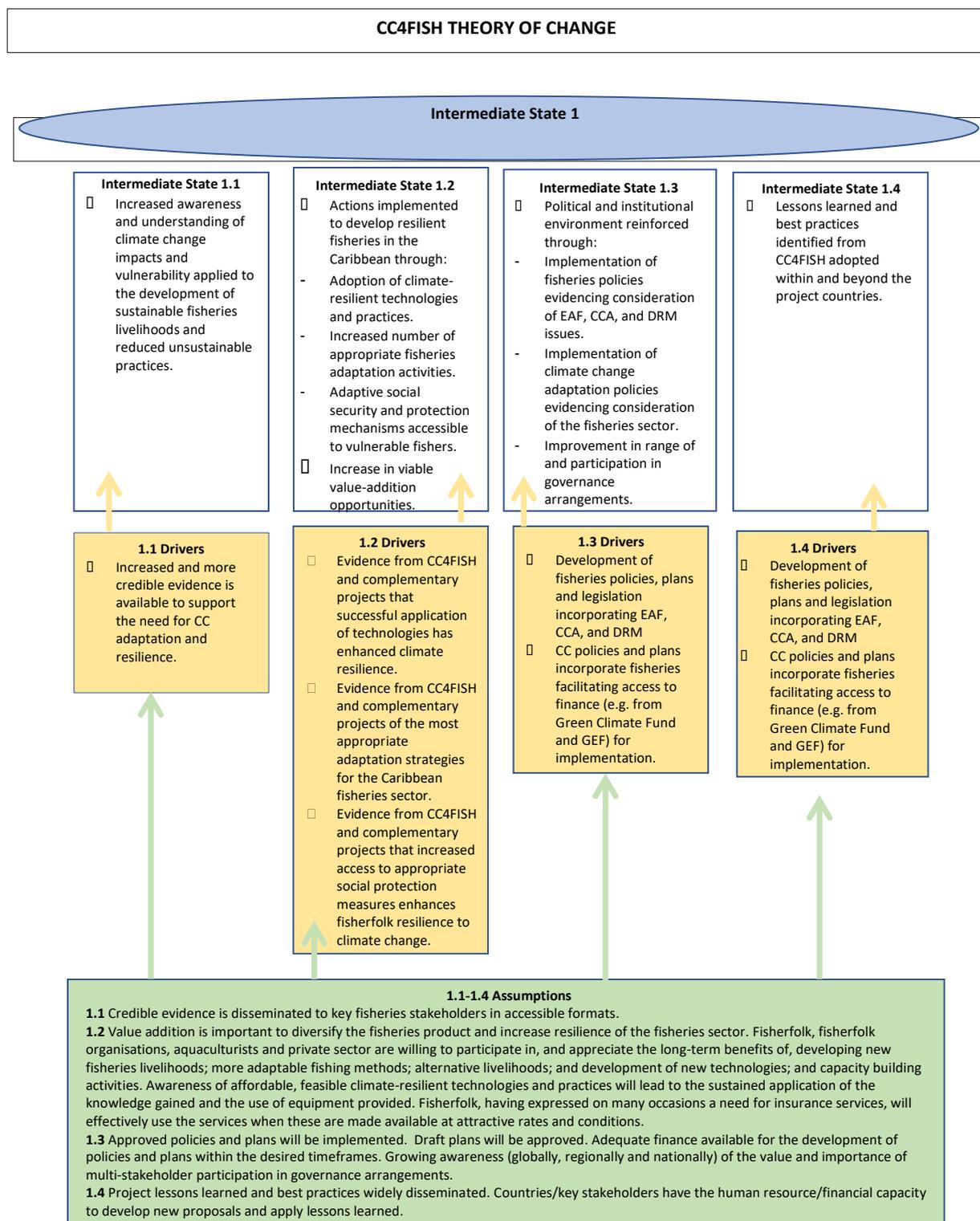
- 36. The MTR Team initially drafted a preliminary revised ToC, which was then circulated via Google Docs to all members of the PSC for comment and suggested additions or changes. The annotated document was then discussed with all PSC members who attended the Zoom discussion and a final version drafted. Initially, there was a collective decision that, given the range and complexity of project activities, it would be difficult to comprehensively capture the ToC in a graphic similar to the example provided in the GEF-FAO guidelines, so should take the form of a table instead.

However, after the GEF-FAO review of the first draft of the MTR Inception Report, a ToC graphic was created in mid-May 2020 as shown in Figure 3 below where the larger scale allows for greater readability. However, by mid-May, the main document review and all the interviews had been completed, so there has to date been little analysis or evaluation of progress towards the longer-term results, either in the MTR or the draft June 2020 PIR sent to the MTR team in late July 2020, which does not reference the ToC at all.

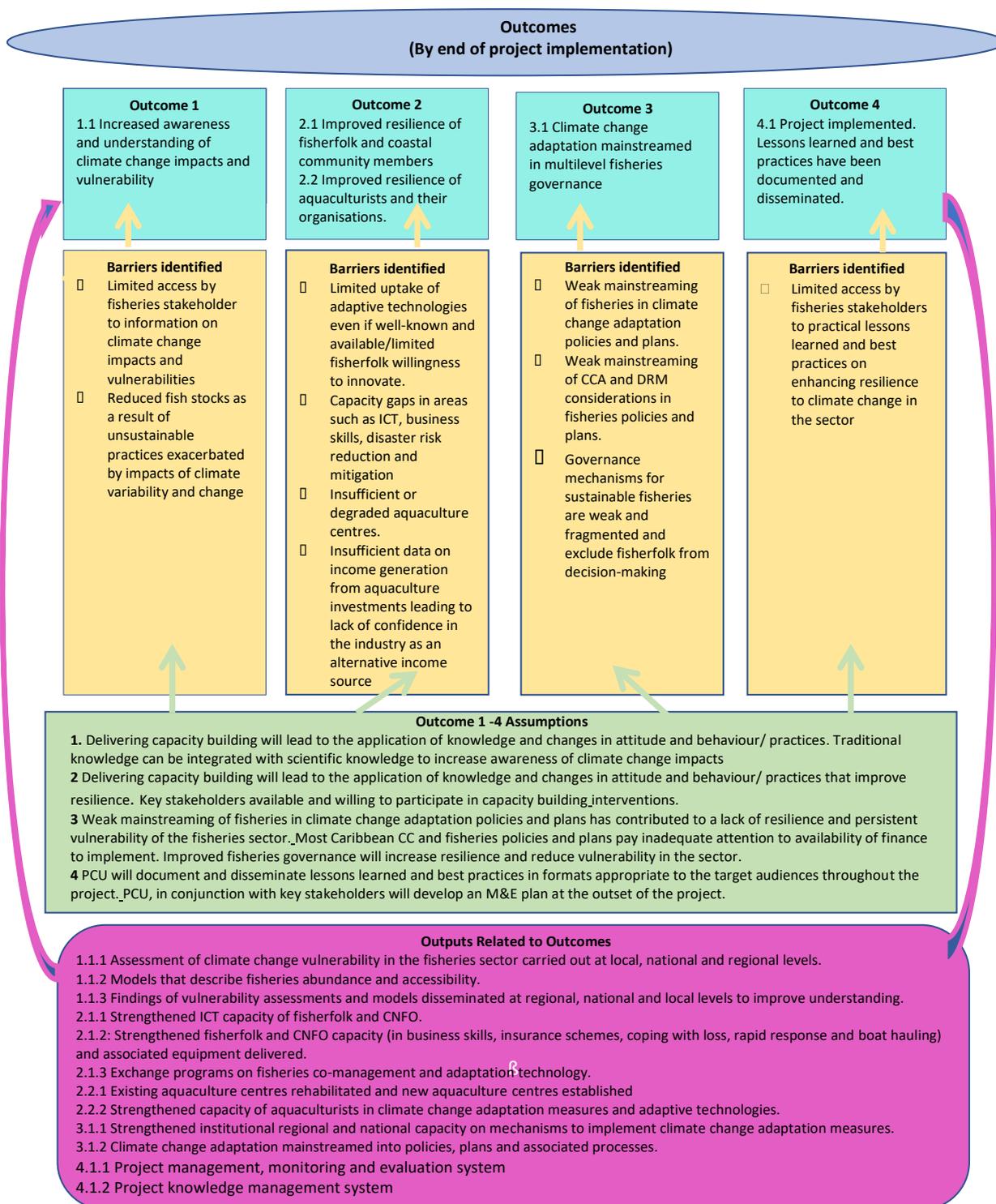
37. The logic behind the revised ToC included the following considerations, based on review of the ProDoc Results Matrix, project results to date, and the discussions:
- Although CC4FISH is clearly contributing to the stated ProDoc objective/impact, it was felt that achievement of the implicit higher-level impact and outcomes (e.g. Sustainable Development Goals (SDGs) and FAO Strategic Objectives (SOs)) would require approximately 8-10 years after CC4FISH end date.
  - Two intermediate states were identified with Intermediate State 1 deemed to be feasible within 2-4 years after project completion and Intermediate State 2 within 5-7 years.
  - The outcome indicators provided in the ProDoc for impact are in fact output indicators, so also needed to be refined for the Intermediate States.
  - The drivers for the desired results are not specified in the ProDoc (except in terms of the barriers CC4FISH seeks to address) and in some areas have changed since project design (e.g. introduction of SDGs, evidence that the speed and seriousness of climate change and variability in the Caribbean may be even more serious than previously anticipated).
  - No detailed analysis has been done of the assumptions underlying project design.

Figure 3. CC4F Theory of Change validated for the MTR





CC4FISH THEORY OF CHANGE



## 4 Key findings and MTR questions

### 4.1 Strategic Relevance

Evaluative Question: *To what extent do the project goals and objectives align with the current vision, strategic priorities, and policies of the key stakeholders (GEF, FAO, participating countries, and key target stakeholders?)*

The overall MTR rating for Strategic Relevance is Satisfactory

**Finding 1: The CC4FISH project aligns well with GEF and FAO strategic priorities; national, regional and global priorities; and beneficiary needs. It has also been highly complementary to existing and emerging interventions with similar objectives. The PCU and FAO have undertaken concrete measures, through mechanisms such as the annual and more recently quarterly virtual meetings of the PSC and CC4FISH outreach activities, to ensure that the project continues to be relevant and responsive to beneficiary and other stakeholder needs.**

38. The goals and objectives of the CC4FISH project are well aligned with the vision, strategic priorities and policies of key institutional stakeholders and beneficiaries. It is aligned to GEF/SCCF Climate Change Adaptation (CCA) Focal Area Objective 1, CCA Focal Area Objective 1, Outcome 1.2 as well as FAO Strategic Objective (SO) SO1, SO2, SO4 and SO5 (see also Section 3). The project also indirectly contributes to GEF priorities in biodiversity and international waters via investments in sargassum management and partnership with regional projects such as the Caribbean and North Brazil Shelf Large Marine Ecosystems+ project. It also supports the implementation of the FAO Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the Context of Food Security and Poverty Eradication. CC4FISH has also contributed to two FAO global reports *FAO's Work on Climate Change, Fisheries and Aquaculture* <http://www.fao.org/3/ca7166en/ca7166en.pdf> and the well-received Technical Paper 627 *Impacts of climate change on fisheries and aquaculture: Synthesis of current knowledge, adaptation and mitigation options* <http://www.fao.org/3/I9705EN/i9705en.pdf>.
39. The CC4FISH project is timely and responds to CCA priorities at the regional, sub-regional and national levels. It also complements other ongoing CCA interventions in the region. It supports the seven project countries in meeting their commitments under the Caribbean Community (CARICOM) Liliendaal Declaration on Climate Change and Development and the Comprehensive Disaster Management Strategy and Programming Framework 2014-2024 of the Caribbean Disaster Emergency Management Agency. CC4FISH also funded the Climate Change and Disaster Management Protocol for the fisheries sector endorsed by CARICOM Ministers in 2018. CC4FISH outreach activities have also generated interested from other regional partners, including the Caribbean Development Bank, which it is now partnering with on social protection activities related to Outcome 2.
40. CC4FISH is well aligned with project countries' vision, strategic priorities and fisheries and climate change policies, as well as with the priorities and needs of key target stakeholders, including Fisheries Authorities, fishers, FFOs and coastal communities. Regional and national inception workshops held in 2017 facilitated alignment with new and emerging priorities. The main gap identified by interviewees was the project's inability to fund improvements to infrastructure at fish landing sites. For example, *"one of the issues that has consistently come up, not in every country but often enough, is*

*that some of the things that deliver resilience and adaptation rely on infrastructure and the budget gaps prevent much of the necessary work that would complement the more social work on adaptation. Landing sites are one such example*". However some countries have now sourced funds from elsewhere (e.g. on 9 October 2019, the Japan International Cooperation Agency signed a grant agreement with the Dominica Government to provide grant aid of up to 1.072 billion yen for the Rehabilitation of Fishery Buildings and Equipment in Roseau and Marigot [https://www.jica.go.jp/english/news/press/2019/20191010\\_31\\_en.html](https://www.jica.go.jp/english/news/press/2019/20191010_31_en.html).

41. CC4FISH is contributing directly to the achievement of the following SDGs in all countries:
- *SDG 2 End hunger achieve food security and improved nutrition and promote sustainable agriculture*: the fisheries sector already makes a significant contribution to food security and healthy nutrition and more climate resilient and sustainable fisheries will further enhance this. Expanding the aquaculture sector will also make an important contribution.
  - *SDG 12 Ensure sustainable consumption and production patterns*: the project focus on safer and more sustainable food production and handling contributes to this goal.
  - *SDG 13 Take urgent action to combat climate change and its impacts*: all Components of CC4FISH are intended to support this goal.
  - *SDG 14 Conserve and sustainably use the oceans, seas and marine resources for sustainable development*: contribution through the expansion of the aquaculture sector to sustainability of marine resources; aspects of the vulnerability assessments (e.g. developing models that describe fish abundance and accessibility) and the focus on value addition activities.
  - *SDG 16 Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels*: the CC4FISH contribution is primarily through the focus on strengthening the institutional capacity of FFOs, CNFO and Fisheries Authorities. The focus on gender mainstreaming, though evaluated as weak (Section 4.6), is also a potential contributor to justice for all.
42. CC4FISH also has the potential to contribute indirectly to *SDG 1 No Poverty* (through enhanced fisherfolk livelihoods and those of their households and communities); *SDG 3 Good health and wellbeing* (through continuing availability of fish and improved fish handling procedures); *SDG5 Gender Equality* (as for SDG 16 above); *SDG 8 Decent work and economic growth* (as for SDG 1 plus improved safety at sea and social security measures for fishers); *SDG 10 Reduced inequalities* (if gender mainstreaming can be strengthened) and *SDG17 Partnerships for the goals* (CC4Fish has successfully fostered enhanced partnerships between fishers in the region, between government agencies at the national level, between regional partners, and between fishers and government.
43. The November 2019 workshop<sup>8</sup>, co-sponsored by CC4FISH, promoted regional dialogue on implementation of the SDGs and on participating countries' Nationally Determined Contributions (NDCs) in the context of climate resilient fisheries. As noted

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<sup>8</sup> *Regional NDC-SDG Dialogue in the Caribbean: Integrating climate-resilient fisheries and coastal community priorities into post- 020 climate action and leveraging SDG co-benefits for the rural poor and vulnerable*

in the ProDoc, CC4FISH activities also build on the work of at least 14 other projects that focused on climate change, fisheries or both. Links to additional projects have been made during project implementation (Appendix 6 Co-financing).

44. CC4FISH seeks to tackle issues of equity and social inclusion through its efforts to invite women and youth, and to a lesser extent, vulnerable groups to all project activities and then facilitate their active engagement (but see Section 4.6 for the limitations of this approach in relation to gender mainstreaming). In SVG and DOM, the two project countries with significant indigenous populations, CC4FISH activities have been revised to include and benefit them (e.g. the Kalinago in DOM, who are expected to benefit from investments in aquaculture).

***Finding 2: There have been some changes to national strategic priorities and policies since project design***

45. Funding trends suggest that some shifts in priorities are taking place in the Eastern Caribbean that may present CC4FISH with opportunities not fully envisaged in the ProDoc, e.g. enhanced focus on gender equality, women's empowerment and social inclusion; greater attention to Ecosystem-based Adaptation (EbA) as part of CCA; increased commitment to energy resilience; greater interest in public-private partnerships with, and leveraging of funds from, the private sector; and intensified focus on market-based opportunities. CC4FISH is already responding to some of these through collaboration with the World Bank Billfish project, expanding the scope of value-added analysis, and engaging with complementary initiatives, such as the Blue Revolution project and the projects identified in Appendix 6. However, there are opportunities for linkages to other longer-term initiatives that have not yet been leveraged, such as the Global Maritime Distress and Safety System currently being implemented in SVG by the NTRC. Some progress has also been made on integrating climate change into fisheries policy and fisheries issues in climate change policies (for example, SLU securing funding both under CC4FISH and the Technical Cooperation Program for development of the SLU National Policy on Fisheries).

#### **4.2 Efficiency<sup>9</sup>**

Evaluative Question: *"Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?"*

**The overall MTR rating for Efficiency is Moderately Unsatisfactory**

**Finding 3: The project has not been efficiently implemented to date, with the following being the major gaps:**

- AWPBs have not been produced in a timely manner. GEF guidelines suggest that these should be completed by 15 December for the following year. In practice, no AWPBs were produced for 2017 or 2018; the 2019 AWPB is dated 19 June 2019; and the final 2020 AWPB was approved in mid-May 2020 (although versions dated March and April were circulated prior to that);

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<sup>9</sup> Since the weaknesses in project efficiency have significantly affected project effectiveness (and other criteria), the MTR Team opted to address Efficiency before Effectiveness

- AWBP reporting does not track the changes made during the year nor the rationale for these changes, leaving a poor audit trail (that is also likely to be flagged as an issue during the project audit);
- there are no comprehensive project level M&E systems or plans although the ProDoc states "*One of the main outputs of the inception workshop will be a detailed monitoring plan agreed by all stakeholders based on the preliminary M&E plan summary presented in section 5.5.4. [of the ProDoc]*"; the inception workshop was held 7–9 February 2017. The nature of the proposed M&E Plan is further elaborated on as follows:

*"At the initiation of implementation of the GEF Project, the PCU will set up a project progress monitoring system coordinated with subsystems, as appropriate, in each participating country. Participatory mechanisms and methodologies for systematic data collection and recording will be developed in support of outcome and output indicator M&E. During the inception workshop ..., M&E related tasks to be addressed will include: (i) presentation and clarification (if needed) of the project's Results Framework with all project stakeholders; (ii) review of the M&E indicators and their baseline; (iii) drafting the required clauses to include in consultants' contracts to ensure they complete their M&E reporting functions (if relevant); and (iv) clarification of the respective M&E tasks among the project's different stakeholders. One of the main outputs of the inception workshop will be a detailed monitoring plan agreed by all stakeholders based on the preliminary M&E plan summary ...."*

- M&E reporting to date has been primarily focus in the annual report made by the Project Team in the PIRs , confined to numbers participating in events (disaggregated by age and gender) and, in some instances, completion of end-of-workshop evaluations by participants;
  - no overall project Communications or Knowledge Management strategies or plans (although again these were due to be created early in the project cycle) although the extent of the products generated is impressive;
  - no evaluation of changes in knowledge, attitudes and practices (KAP) as a result of communication products or other activities;
  - Project Task Force (PTF) meetings not held regularly as is the norm for FAO projects (only one held to date); and
  - The project has reported two PIRs, including risk mitigation and adaptive management actions, but no includes project adaptation to changing conditions.
46. Although interviewee perceptions of the degree of project efficiency varied widely, ranging from very critical (mainly in relation to administration, communication and responsiveness, though these were acknowledged to have greatly improved recently) to largely satisfactory. Everyone who had had regular interactions with the PCU noted the energy, commitment to and passion for CC4FISH exhibited by the RPC.
47. CC4FISH is a complex project involving seven countries that share many similarities but also have significant differences, for example in size, culture (e.g. extent of the use of Kweyol), the scale and importance of their fisheries sector, and their priorities under the different project components. Interviewees indicated that the PCU had consistently sought to be flexible and adapt project activities to better respond to these variations,

as well as to changing national priorities during project implementation. These were reported on as follows in the latest PPR reviewed by the MTR (to December 2019):

*“No major changes in project design although slight adjustments have been made to reflect reality on the ground and changes over time between design and implementation in the project countries. However, the limited data available in the region on fisheries prohibited modelling assessments of fisheries as a result of climate change under component 1. The project therefore did not carry out these activities. The project therefore planned for a trainer of trainers in Fisheries Statistics and training of Fisheries Officers in fisheries statistics so data collection could be improved and future modelling activities carried out. The aftermath of Hurricane Maria whereby several FADs were lost and the market conditions of landing fish in Dominica declined drastically (in 2019 the ice-machines of the largest landing site in Roseau still did not function) developing activities related to Smart FADS were not followed through. In SVG the obstacles of obtaining the CC4FISH funds from the consolidated fund also obstructed development of Smart FADs.”*

A number of examples that could enhance national processes and results were noted, including the switch to Saint Lucia conducting its own VCAs, Trinidad and Tobago operating under Field Based Authorisations (FBAs) rather than Letters of Agreement (LOAs), and the inclusion of indigenous people in project activities in Dominica and St Vincent and the Grenadines.

48. Based on the documentation received, there has been minimal PCU focus to date on systematically implementing Output 4.1.3: *Project-related “best-practices” and “lessons-learned” published and disseminated in all project countries*, although the RPC noted that this is done to some extent through the WhatsApp peer exchange network it established, fisher exchanges, and attendance at regional and international conferences. While some countries and consultancies have developed their own communication strategies, nothing of this kind exists at the overall project level. A TOR has been developed for a specialist Knowledge and Communication Management consultant to support the PCU and an appropriate candidate identified, so it is anticipated that the position will be filled shortly. The hiring of the knowledge management and communications specialist to provide support in this area has been much delayed and several key documents for value-addition still require editing and finalisation (though submitted by contractors in mid-2019) and further consolidation to provide appropriate guidance and information to the project stakeholders.
49. Some problems in the project management were highlighted in the MTR. Because there were no RPC candidates who met the three key TOR criteria of project (management experience, regional experience and appropriate technical skills) the RPC was selected because of her experience in regional projects more than project management. Although the RPC subsequently undertook some basic project management training some problems were detected in the MTR as focus only on mandatory project reporting (PPR/PIR) at the expense of routine, day-to-day, effective project management, weak

planning; lack of consistent monitoring and evaluation and inadequate risk management and mitigation.

50. The PTF is identified in the ProDoc as primarily for technical support (see Box 1) but could easily be expanded to include persons who can provide support in additional areas; however, to date only one PTF meeting has been held (October 2018).

51. The **efficiency of the financial management systems** denote that whilst this day-to-day financial recordkeeping seems sound, the heavy reliance on complex Word tables and Excel spreadsheets for financial reporting appears labour-intensive and cumbersome and results in reports that are difficult to interpret and analyse.

52. Prior to the inception of the MTR, there appeared to be **no comprehensive filing system or accessible repository of key project outputs**. During the MTR process, attempts were made by the PCU to create a filing system in SharePoint, which the MTR Team was able to access once they had been allocated FAO email addresses (late April 2020) but the SharePoint still left much to be desired in terms of content, consistent file naming and organisation of folders. On 21 July 2020, the PCU circulated to the MTR team and other stakeholders a new shared drive, which the MTR has not had time to fully assess.

53. At the national level, project management appears to be satisfactory although this is difficult to assess as it is not reported on in any detail in country progress reports, so had to be inferred from the content of these and from interviews with NPCs, NFOs and other national interviewees. Efficient project management was more in evidence in some countries than others, particularly those that did not experience internal delays in initiating national level project implementation. Assessment was more difficult in countries that have only recently started project implementation but the scale and range of activities implemented in a short period of time suggests high quality execution.

54. The timeliness of project implementation has been affected by a number of factors, which have resulted in significant delays in both national project inception and subsequent implementation of budgeted activities (see Section 4.5 Factors Affecting Performance, which itemises these delays in more detail).

#### BOX 1: Role of Project Task Force (PTF)

The CC4FISH ProDoc (see Appendix 5) envisages technical supervision by a PTF. Its composition should include *"representatives of the BH office, the Fisheries and Aquaculture Resources Use and Conservation Division (FIR) and the Fisheries and Aquaculture Policy and Economics Division (FIP) of the Fisheries and Aquaculture Department, the FAO-SLC Fishery and Aquaculture Officer, and the FAO-GEF Coordination Unit as the Fund Liaison Office"*.

The PTF is also expected to review the draft AWPB before review by the PSC.

### 4.3 Effectiveness

Evaluative question: *To what extent have the expected outcomes, outputs, and objectives of the project been achieved so far?"*

**The overall MTR rating for Effectiveness is Moderately Satisfactory.**

**Finding 4: CC4FISH will undoubtedly contribute to the overall objective of increased resilience and reduced vulnerability to climate change impacts in the Eastern Caribbean fisheries sector, but progress to date on the different Components is variable, both overall (Appendix 7) and by country (Appendix 11), primarily as a result of the significant**

differences in project inception dates and the degree to which subsequent LOA, procurement and national bureaucracy delays impeded progress.

55. Project expenditure at 31 December 2019 was 4 million in hard and soft commitments and many technical documents have been finalised or are in final draft stage, while other outputs are only at 20-30% (Outcome 2). While it is likely that the majority of Outcome 1 and 3 outputs can be achieved within the project timeframe, Outcomes 2 and 4 are at risk of not being fully achieved. The Outcome 2.1 target of 40% women (AMAT 3) is likely to fall well short at the level of key beneficiaries (currently at 15% according to PPR 5 to end December 2019). This should be reviewed by the project management/oversight teams to assess whether it can be improved by project end date and/or what have been the lessons learned from not reaching the original targets. The need to address the low implementation of key elements of Outcome 2 is particularly urgent given the central importance of this Outcome to adaptation results under CCA Focal Objective 1, Outcome 1.2.

**Finding 5: CC4FISH has carried out some important activities and produced many communication products in line with the ProDoc, as evidenced by the Key achievements/strengths in Table 5 below extracted from the PPR to end December 2019.**

**Table 5. Progress on Components and Outputs as reported in PPR to end December 2019**

| Component/Output  | Progress Reported in PPR to end December 2019  |
|---|--|
| <b>Component 1 Understanding and awareness of climate change impacts and vulnerability</b>  |  |
| Output 1.1.1: Assessment of climate change vulnerability in the fisheries sector carried out at local, national and regional level. | <p>The Caribbean Natural Resource Institute (CANARI) has developed in 2017-2018 the 1) Final toolkit for the Vulnerability and Capacity assessments for the Eastern Caribbean fisheries sector; 2) the Final Technical review report on the application of Vulnerable Capacity Assessment (VCAs); 3) the Final Regional conceptual framework; 4) pilot fieldwork reports St. Vincent and the Grenadines and St. Kitts and Nevis; and 5) development of a Communication Strategy for Component 1. During the two pilot 84 people were included in the VCA in the two pilot countries (Saint Lucia and St. Vincent and the Grenadines). The regional workshop to finalize the VCA documents was organized on 2-3 July 2018 in Barbados with 30 people participating.</p> <p>In 2019 CANARI:</p> <ul style="list-style-type: none"> <li>• Carried out the scoping study of selected communities to target for VCAs in the four CC4FISH project countries (Grenada, St. Vincent and the Grenadines, Trinidad and Tobago and St. Kitts and Nevis);</li> <li>• Established field teams in T and T and carried out VCA training workshop (23 participants);</li> <li>• Established field teams in SKN and carried out VCA training workshop (17 participants);</li> </ul> <p>Saint Lucia (SLU) carried out their own Vulnerability and Capacity Assessments:</p> <ul style="list-style-type: none"> <li>• VCA in Gros Islet was attended by 126 people;</li> <li>• VCA in Micoud was attended by 108 people;</li> <li>• VCA in Soufriere was attended by 152 people;</li> </ul> |

| Component/Output  | Progress Reported in PPR to end December 2019  |
|---|--|
| <p>Output 1.1.2:<br/>Models that describe fisheries abundance and accessibility</p>   | <p>The Centre for Resource Management and Environmental Studies (CERMES) has developed a prediction model to assess sargassum impacts on the dolphin fish and flying fish populations under CC4FISH. The following documents have been submitted under the CC4FISH Project:</p> <ol style="list-style-type: none"> <li>1) Summary report describing pelagic sargassum seaweed growth, abundance and mass transport within NERR and Eastern Caribbean for 2014 and 2015;</li> <li>2) Analysis report on the variables associated with the growth and arrival of pelagic sargassum in the Eastern Caribbean using the HYCOM model;</li> <li>3) Report delivered on the model predicting pelagic sargassum seaweed growth, abundance and mass transport within NERR and the Eastern Caribbean;</li> <li>4) Report on Climate Change Projections for the Caribbean for the decades of the 2030s, 2050s and 2090s;</li> <li>5) Report with 36 maps on the Climate Change Projections for the Caribbean for the decades of the 2030s, 2050s and 2090s;</li> <li>6) Summary report on available catch and fishing effort data for flyingfish and dolphinfish in the Eastern Caribbean;</li> <li>7) Development of a draft outlook bulletin for Sargassum predictions for the Eastern Caribbean;</li> <li>8) First official Outlook bulleting for Sargassum predictions for the Eastern Caribbean produced and distributed;</li> <li>9) A best practices guide for fisherfolk to deal with sargassum has been developed, printed and distributed;</li> <li>10) Table of contents for the Sargassum uses guide developed; will be finalized in 2020.</li> <li>11) Draft survey to examine fisherfolk’s traditional knowledge of climate change impacts on the fisheries sector.</li> </ol> <p>Other sargassum related activities included:</p> <ol style="list-style-type: none"> <li>12) Sargassum community meetings in Saint Lucia (attended by 39 people);</li> <li>13) Draft Sargassum Management Plans developed in 4 project countries (will be further developed by CERMES in 2020);In collaboration with CERMES, CC4FISH organized a Sargassum Symposium attracting 74 participants on November 21-22 November 2018 from across the region.</li> </ol> |
| <p>Output 1.1.3:<br/>Findings of vulnerability assessments and models disseminated at regional, national and local level to improve understanding</p> | <p>Various awareness activities of CC4FISH have been carried out in project countries as well as at the regional level. Various awareness and communication activities have been carried out in 4 project countries as well as at the regional level (e.g. conferences, meetings, workshops) (while 902 people have attended awareness workshops or trainings) leading a total of over 2000 people have increased awareness of climate change impacts on fisheries sector and adaptation measures through activities under component 2 and 3 as well as the distribution of flyers, video’s (sargassum and safety-at-sea), presentations, social media (Facebook) and other forms of communication). Communication material (developed or currently</p>  |

| Component/Output   | Progress Reported in PPR to end December 2019   |
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|  | <p>being developed) at the national level include: CC4FISH calendars, Facebook pages, secondary school materials, animation, presentation at fairs and schools, and support for Kiddies Carnival's Bands.</p> <p>The National Project Coordinator and (alternate) National Focal Point presented on the VCAs in SLU at the Gulf of Caribbean Fisheries Institute (GCFI) Conference in November 2019 in the Dominican Republic. Presentation was entitled 'Strengthening Fisher Resilience to the Impacts of Climate Change through the use of Vulnerability and Capacity Assessment tools in 3 communities in Saint Lucia'.</p> <p>Other communication outputs at regional or international level are:</p> <ol style="list-style-type: none"> <li>1) Video developed by France24 incorporating the work of CC4FISH on Sargassum (viewed 2.6k x on YouTube) (co-funded by FAO Framework Project for Linking Responses to Rural Poverty and Climate Change with a focus on coastal communities, coastal areas and Small Island Developing States);</li> <li>2) Presentations on the CC4FISH work on Sargassum made at the GCFI Conference (2 presentations in 2018) (Colombia) and 2019 (1 presentation made);</li> <li>3) Two presentations of the CC4FISH work made at the Sarg'Expo in Guadeloupe in 2019 at the first international trade show on sargassum seaweed monitoring, collection and recycling;</li> <li>4) Video developed on the ICT component of the Safety-at-Sea training (used in trainings and presentations and viewed close to 100x on youtube);</li> <li>5) Video on fisherfolk traditional knowledge of fisherfolk on Climate Changes in the fisheries sector presented at the GCFI Conference 2019.</li> <li>6) Two presentations at the MARE People and the Sea conference on Climate change adaptation after Hurricane Maria in Dominica and the Disaster Risk Management Activities under CC4FISH (co-funded by the FAO Framework Project for Linking Responses to Rural Poverty and Climate Change with a focus on coastal communities, coastal areas and Small Island Developing States and the University of Exeter)</li> </ol> |
| <p><b>Component 2: Increasing resilience of fisherfolk, aquaculturists and coastal communities to climate change and variability</b></p> |   |
| <p>Output 2.1.1:<br/>Strengthened ICT capacity of fisherfolk and CNFOs</p>   | <p>ICT capacity of fisherfolk and the Caribbean Network of Fisherfolk Organisations (CNFO) has been improved through development of the mFisheries@sea mobile application and localizing it to five project countries. The report 'Assessment framework for ICT-enabled resilience of small-scale fishers to climate change and variability' has been submitted under this output.</p> <p>The Caribbean ICT Research Program (CIRP) has developed a variety of ICT trainings suited to the various levels of fisherfolk in the project countries.</p> <ul style="list-style-type: none"> <li>• Three levels of ICT trainings suited to the various levels of fisherfolk in the project countries have been developed;</li> <li>• A Bring Your Own Device ICT Hangouts for Mobile Phones Curriculum has been developed;</li> </ul>   |

| Component/Output   | Progress Reported in PPR to end December 2019  |
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|  | <ul style="list-style-type: none"> <li>• Report on: Existing Marine Band VHF infrastructure; Maps of simulated line of sight coverage and an assessment &amp; recommendations for @sea communication.</li> </ul> <p>A total of 772 stewards and fisherfolk were trained in ICT (Cellphone, GPS and VHF):</p> <ul style="list-style-type: none"> <li>• A pilot ICT training was carried out during the Basic Fishermen Training on August 27-30 2018 in St. Kitts and Nevis with 36 fisherfolk including 5 ICT stewards;</li> <li>• ICT training of stewards and fisherfolk in Trinidad and Tobago has been carried out with 408 persons;</li> <li>• ICT training of stewards and fisherfolk in Grenada has been carried out with 70 persons;</li> <li>• ICT training of stewards and fisherfolk in St. Vincent and the Grenadines has been carried out with 113 persons;</li> </ul> <p>The ICT training developed by CIRP under CC4FISH has been incorporated into the seaman’s training of fisherfolk carried out by the regional institute Caribbean Fisheries Development and Training Institute in Trinidad. This will thus support the ICT training of fisherfolk throughout the region.</p> <p>Video developed and distributed on ICT training under CC4FISH (used in trainings and presentations and viewed close to 100x on YouTube);</p> <p>In order to improve access to innovative technologies, CC4FISH has also supported the procurement of VHF radios for 800 people (these have not all been distributed as yet):</p> <ul style="list-style-type: none"> <li>• 200 fishers in St. Kitts and Nevis have received VHF radios;</li> <li>• 200 VHF radios have been received by fisherfolk in Saint Lucia;</li> <li>• 200 VHF radios have been ordered for Dominica</li> <li>• 200 VHF radios and 200 surface mount compasses have been ordered for St. Vincent and the Grenadines;</li> <li>• Three dual repeater systems have been built in three countries (SKN, SLU and Antigua and Barbuda).</li> </ul> |
| <p>Output 2.1.2:<br/>Strengthened fisherfolk and CNFO capacity</p> | <p>Under this output approximately <b>1062 people benefited from adoption of diversified, climate livelihood options through basic-fishermen training, engine repair training, fish handling and food safety training and business skills training in five project countries.</b></p> <p><b>Building capacity of the Caribbean Network of Fisherfolk Organisations and National Fisherfolk Organisations (NFOs):</b></p> <ul style="list-style-type: none"> <li>• CNFO has had quarterly virtual meetings with their representatives on CC4FISH activities and has presented at a regional fisheries conferences;</li> <li>• CNFO developed Hurricane preparedness poster and flyers for fisherfolk under CC4FISH</li> <li>• CNFO organized and executed 6 national NFO meetings in 6 project countries<sup>10</sup> to increase awareness on climate change</li> </ul>  |

<sup>10</sup> A seventh national meeting (in Dominica) was held in February 2020 (i.e. beyond the scope of the MTR document review).

| Component/Output | Progress Reported in PPR to end December 2019   |
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|                  | <p>impacts on fisheries, the project activities of CC4FISH and develop activities under CC4FISH.</p> <ul style="list-style-type: none"> <li>• Under CC4FISH CNFO had two National Fisherfolk Organisation Representatives (from Grenada and Dominica) participate in the GCFI conference</li> </ul> <p><u>Insurance:</u><br/>The insurance in fisheries for the Caribbean assessment report was finalized and published entitled "Assessment of Insurance Needs and Opportunities in the Caribbean Fisheries Sector". CC4FISH supported the printing of this report.<br/><a href="http://www.fao.org/3/ca2199en/CA2199EN.pdf">http://www.fao.org/3/ca2199en/CA2199EN.pdf</a></p> <p>Assessment model for third party insurance for vessels in Dominica, SKN and Trinidad and Tobago has been developed and finalized. Report entitled "Compulsory Insurance (Third Party Liability) Requirements for Fishing Vessels: A Case for the introduction of Compulsory Fishing Vessel Insurance in the Caribbean" has been drafted. This activity was carried out in collaboration with funds from the FAO Framework Project for Linking Responses to Rural Poverty and Climate Change with a focus on coastal communities, coastal areas and Small Island Developing States.</p> <p>Regional stakeholder meeting on Fisheries Insurance Legislative Frameworks for the Caribbean was carried out to discuss findings, make recommendations and discuss follow up actions for Dominica, SKN, and Trinidad and Tobago (15 people attended). This activity was also carried out in collaboration with the FAO Framework Project for Linking Responses to Rural Poverty and Climate Change with a focus on coastal communities, coastal areas and Small Island Developing States.</p> <p>Assessment for improved data vessel registry systems in two project countries (Grenada and Saint Lucia) to improve data collection and to strengthen access insurance for fisherfolk and improve data collection has been carried out in 2019 with follow up activities outlined. Virtual follow up meetings have been carried out in 2019 with in the field follow up mission to Grenada planned for 2020.</p> <p><u>Market opportunities and value adding:</u><br/>INFOPESCA finalized its report on "Market study on Fishery Products and Opportunities for Value Addition". Report "Opportunities for Fish and Fisheries Products Value Chain Development in Grenada and Trinidad and Tobago" also developed and finalized;<br/>The first and second fieldtrips to pilot countries Grenada and Trinidad have been carried out.</p> <ul style="list-style-type: none"> <li>• National level workshop in Grenada was carried out in 2019 entitled 'Value Chain Analysis and Potential Value Addition Of Fishery Products in Grenada'</li> <li>• National level workshop in Trinidad and Tobago was carried in 2019 out entitled 'Value Chain Analysis and Potential Value Addition of Fishery Products in Trinidad and Tobago'.</li> <li>• Two workshop reports were finalized.</li> </ul> |

| Component/Output | Progress Reported in PPR to end December 2019   |
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|                  | <p>The preliminary results have been presented during the “SIDS Effective Fish Trade Workshop” in Barbados from 3-5 October 2018. A draft business skills manual was developed and will be finalized in 2020; in Saint Lucia and St. Vincent and the Grenadines fisherfolk were trained in business skills, more business skills training will follow in 2020.</p> <p>To improve international market access and ensure higher prices for yellow-fin tuna a Marine Stewardship Council pre-feasibility study in Grenada has been carried out and draft report delivered entitled ‘Grenada EEZ pelagic longline, troll and dropline Atlantic Ocean yellowfin and bigeye fishery. Marine Stewardship Council, Pre-Assessment Report’. Support has also been provided to the project to build a loining facility in Grenada and increase value adding at the national level to fisherfolk. This will enhance socio-economic benefits to the fishers, improve sustainability of the resource and improve fisheries governance.</p> <p>To improve the pelagic fishery in St. Vincent and the Grenadines CC4FISH provided coordination support to the study ‘Saint Vincent Small-Scale Pelagic Fishery Strategic Design and Development Action Plan: Results of the FPI-DEV Rapid Fishery Assessment’ of which the draft report has been submitted. This assessment was carried out in collaboration funds from Regular Program from FAO-SLC but coordinated by CC4FISH. Follow up actions are being planned for 2020.</p> <p>To improve climate resilience of value chains CANARI - INFOPECA carried out:</p> <ul style="list-style-type: none"> <li>• Scoping studies of selected enterprises in Dominica and Nevis for the value chain analysis;</li> <li>• Conducted fieldwork including stakeholder workshops for value chain analysis of selected enterprises in the two countries and develop of action plan.</li> <li>• Draft report, including mini-case studies, of value chain analysis of selected enterprises in Dominica and Nevis.</li> </ul> <p>This activity was carried out in collaboration with funds from the FAO Framework Project for Linking Responses to Rural Poverty and Climate Change with a focus on coastal communities, coastal areas and Small Island Developing States.</p> <p><u>Improved Safety-at-Sea:</u></p> <p>Under CC4FISH various Safety-at-Sea measures were carried out at the national and regional level. At the Regional level CC4FISH had a LoA with the the Fish Safety Foundation (in collaboration with the Norwegian Government funded project “Supporting FAO member countries implement climate change adaptation measures in fisheries and aquaculture”) and has carried out the following activities:</p> <ul style="list-style-type: none"> <li>• Safety-at-sea training and legal framework assessment for 4 project countries (SKN, Grenada, Saint Lucia, and Dominica);</li> </ul> |

| Component/Output  | Progress Reported in PPR to end December 2019  |
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|   | <ul style="list-style-type: none"> <li>• Development of new standardized training materials for the Caribbean region for trainers in Safety at sea (e.g fisheries officers, coast guards);</li> <li>• Development of new Safety-at-sea training manual on a variety of topics (including general safety, personal safety, vessel stability, radio communication, survival at sea, emergency first aid, outboard engine repair and maintenance, boat handling, safety risk management, international conventions and agreements on safety of vessels and fishers, and effective training techniques).</li> <li>• Training of trainers in Safety-at-sea curriculum developed, participant list developed and organisation started.</li> </ul> <p>Draft of the 'Safety at Sea manual for the Caribbean' developed.</p> <p><u>Training of fishers to improve safety at sea:</u></p> <ul style="list-style-type: none"> <li>• Basic Fishermen Training in St. Kitts and Nevis (697 people)</li> <li>• Engine repair and maintenance training in St. Kitts and Nevis (56 people);</li> <li>• VHF training and consultations with fisherfolk in Saint Lucia (145 people);</li> <li>• LoA including Safety-at-sea training in Dominica was developed and signed;</li> <li>• LoA including Safety-at-sea training in Grenada was developed.</li> </ul> <p>Aquaculture expert of CC4FISH facilitated and organized the fish silage workshop "Fish Silage Feasibility- reducing waste and creating opportunity by using fisheries by-products for animal feed and fertilizer" in Barbados (23 July- 26 July) and in SKN (27-31 July 2019). The workshop in SKN included 21 participants. These activities were in collaboration with the FAO Framework Project for Linking Responses to Rural Poverty and Climate Change with a focus on coastal communities, coastal areas and Small Island Developing States and the TCP/SLC/3601 Towards a Caribbean Blue Revolution project.</p> <p>Assessment to improve understanding community responses to storms and hurricanes in Dominica carried out. Draft paper entitled "Climate change adaptation and extreme weather in the small-scale fisheries of Dominica" submitted to the journal of Coastal Management for a special issue of the journal concerning Caribbean Community Resilience to Extreme Environmental Events. This paper as well as the work on Disaster Preparedness was presented at the special panel on 'Small-scale fishing communities in the front lines of climate risk: learning from extreme weather events in Asia and the Caribbean' at the MARE People and the Sea Conference in Amsterdam, 2019.</p> |
| <p>Output 2.1.3:<br/>Exchange programs on fisheries co-management and adaptation technology</p> | <ul style="list-style-type: none"> <li>• Fish farmers from Saint Lucia and Grenada have attended training and learned from Aquaponics farmers in Antigua and Barbuda.</li> <li>• Two fishers from St. Kitts and Nevis participated in an exchange to Saint Lucia to learn about seamoss farming, aquaponics, co-management and safety-at-sea training.</li> <li>• Seamoss farmers from Trinidad and Saint Vincent and the Grenadines have attended a regional training and exchange of learning experiences on seamoss farming in Grenada.</li> </ul>  |

| Component/Output  | Progress Reported in PPR to end December 2019   |
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|   | <ul style="list-style-type: none"> <li>• 12 Saint Lucian fisherfolk have been on an exchange to Antigua (conch fishers) and to Grenada on MPAs and fishing cooperatives.</li> <li>• Two fishers from St. Kitts and Nevis participated in an exchange to Saint Lucia to learn about seamoss farming, aquaponics, co-management and safety-at-sea training.</li> <li>• CERMES has developed a report on the design and implementation of the most suitable exchange programs to a country/community where Ecosystem Approach to Fisheries (EAF), Climate Change Adaptation (CCA) and Disaster Risk Management (DRM)/co-management are successful.</li> </ul>  |
| <p>Output 2.2.1:<br/>Existing aquaculture centers rehabilitated and new aquaculture centers established</p> | <ul style="list-style-type: none"> <li>• In St. Kitts/ Nevis, equipment was purchased to support the development of the aquaponics demonstration farm in Nevis in collaboration with the Inter-American Institute for Cooperation on Agriculture (IICA).</li> </ul> <p>The aquaculture expert has been recruited and carried out assessment missions to:</p> <ul style="list-style-type: none"> <li>• Antigua and Barbuda</li> <li>• Dominica</li> <li>• St. Kitts and Nevis</li> <li>• Saint Lucia</li> <li>• Trinidad and Tobago</li> </ul> <p>These scoping missions informed development of aquaculture related activities, procurement needed, (potential) partners and Service Contracts for the participating countries.</p> <p>Detailed work plans for improvement/construction of demonstrations sites have been prepared, and procurement was initiated for equipment orders in four project countries.</p> <p>Service contracts for aquaponics related activities have been prepared for:</p> <ul style="list-style-type: none"> <li>• Antigua and Barbuda (2x);</li> <li>• Saint Lucia;</li> <li>• St. Kitts and Nevis (equipment delivered)</li> </ul> <p>Private sector party in SKN was trained in aquaponics and CC4FISH supported the fish seedlings for the aquaponics system. The Service Contract with the same party in SKN has been signed and the aquaponics farm for secondary schools will be constructed in 2020.</p> <p>Dominica requested national level support to develop their aquaculture activities and recruitment of aquaculture consultant has started. The signed LoA with Dominica contains a large number of aquaculture activities.</p> <p>The first regional aquaculture expert under CC4FISH took on another job and a new aquaculture expert is being recruited.</p> |
| <p>Output 2.2.2:<br/>Strengthened capacity of aquaculturists in climate change adaptation</p>               | <ul style="list-style-type: none"> <li>• During the reporting period 10 fish farmers from Saint Lucia and Grenada have attended training and learned from Aquaponics farmers in Antigua and Barbuda.</li> <li>• Two CC4FISH Focal points (Saint Lucia and St. Kitts and Nevis) attended the COFI Sub-Committee on aquaculture in Rome.</li> </ul>   |

| Component/Output  | Progress Reported in PPR to end December 2019   |
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| measures and adaptive technologies  | <ul style="list-style-type: none"> <li>• 20 farmers were trained during the regional Seamoss farming meeting which was held in December 2017 and 3 drafts of seamoss farming (production, business and marketing) manuals have been developed and improved. Finalization will take place in 2020;</li> <li>• The aquaponics consultant will also work on developing an NVT manual for seamoss farming in the region in addition to a production manual.</li> <li>• December 11-14 December 2018 a Regional Advancing Aquaponics through improved market access workshop was held in Barbados with 25 participants in synergy with the TCP/SLC/3601 Towards a Caribbean Blue Revolution project.</li> </ul>  |
| <b>Component 3: Mainstreaming of climate change adaptation in multi-level fisheries governance</b>                                    |   |
| Output 3.1.1: Strengthened institutional regional and national capacity on mechanisms to implement climate change adaptation measures | <ul style="list-style-type: none"> <li>• CERMES has under their LoA incorporated CCA and DRM into the Ecosystem Approach to Fisheries training and organised the EAF/CCA/DRM training from 4-6 July 2018 with 30 participants.</li> <li>• The Fisheries and Aquaculture Emergency Response Training (FARE) and the Training of Trainers of the FARE training was carried out from 16-23 September 2018 in Grenada with 30 participants.</li> <li>• National level FARE training program is under development in Grenada;</li> <li>• Regional NDC Dialogue in the Caribbean on Climate Resilient Fisheries and Coastal Communities organized in November 2019 (38 participants) in collaboration with funds from the FAO Framework Project for Linking Responses to Rural Poverty and Climate Change with a focus on coastal communities, coastal areas and Small Island Developing States and the STEWARDFISH project.</li> <li>• In collaboration with the FAO Framework Project for Linking Responses to Rural Poverty and Climate Change with a focus on coastal communities, coastal areas and Small Island Developing States and E-learning course for online/in-person capacity-building programme for government leaders and managers and leaders of civil society and sector-based organizations at regional, national and local levels, currently being developed for implementation in the Caribbean in 2020. The programme focuses on building capacity to understand and improve the ways in which we address poverty and climate change, with a specific focus on the fisheries sector and coastal communities.</li> </ul> |
| Output 3.1.2: Climate change adaptation mainstreamed into policies, plans and associated processes                                    | <p>Activities on fisheries policies, plans and legislations incorporating Climate Change Adaptation and Disaster Risk Management have started. CERMES has identified to work with four project countries on the following Fisheries Management Plans:</p> <ul style="list-style-type: none"> <li>• Fisheries Management Plan for conch fisheries in Saint Vincent and the Grenadines</li> <li>• Fisheries Management Plan for Marine Managed Areas in Grenada</li> <li>• Fisheries management plan for St. Kitts and Nevis</li> </ul>   |

| Component/Output   | Progress Reported in PPR to end December 2019  |
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|  | <ul style="list-style-type: none"> <li>• Fisheries Management Plan for Saint Lucia</li> </ul> <p>In addition:</p> <ul style="list-style-type: none"> <li>• CC4FISH has supported the preparation and development of the Fisheries Policy in Saint Lucia (in collaboration with the TCP project "Assistance for the development of the National Policy on Fisheries" TCP/STL/3601 and FAO/Norwegian funded project) which will guide the Fisheries Management Plan in SLU as well as the other islands.</li> <li>• Draft FAD Fisheries Management Plan for Saint Lucia incorporating EAF/CCA/DRM has been developed through participatory consultation incorporating CCA and DRM (185 people participated in the stakeholder meeting).</li> <li>• A draft Aquaculture Management Strategy for Saint Lucia incorporating EAF/CCA/DRM has been developed through participatory consultation incorporating CCA and DRM;</li> <li>• An Aquaculture Management Strategy has been initiated in Antigua and Barbuda incorporating CCA and DRM;</li> <li>• Four Sargassum Management Plans have been developed at national level; these will be improved and finalized in 2020 under an LoA with CERMES.</li> <li>• Paragraph on CCA and DRM was included in the new draft Fisheries Legislation of Trinidad and Tobago;</li> <li>• The Development of a Protocol to Integrate Climate Change Adaptation and Disaster Risk Management in Fisheries and Aquaculture into the Caribbean Community Common Fisheries Policy has been finalized and endorsed by the CARICOM Ministerial Council on 11 October 2018.</li> </ul> |
| <b>Component 4: Project management, monitoring and evaluation, information dissemination and communication</b> |  |
| Output 4.1.1: Project management, monitoring and evaluation system   | <ol style="list-style-type: none"> <li>a) All seven project countries formally accepted and signed the project agreement</li> <li>b) The Regional Project Coordinator was recruited and started 1 January 2017</li> <li>c) The Administrative and Operational Assistant was recruited and started 23 January 2017</li> <li>d) The first PSCM launching workshop was carried out 7-9 February 2017 in Barbados, which also served as the first Project Steering Committee meeting. The first meeting of the CC4FISH Project brought together 27 representatives from the member countries, partner organizations while the second annual meeting brought together 23 representatives. Annual workplans and budgets (AWP/B) for the implementation of field activities were initiated.</li> <li>e) The second PSCM was held in Grenada 19-20 March 2018. The meeting brought together 23 representatives from the member countries, partner organizations and other key stakeholders involved in the delivery of the project to highlight the progress made to date by each partner and discuss the various proposals for the 2018 workplan;</li> </ol>  |

| Component/Output                                  | Progress Reported in PPR to end December 2019   |
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|   | <p>f) The third PSCM was held in Barbados on 16-17 April 2019. The meeting brought together 24 representatives from the project countries, partner organizations and other key stakeholders involved in the delivery of the project to highlight the progress made to date by each partner and discuss the workplans for 2019.</p> <p>g) National Focal Points have been confirmed for all 7 countries. National Project Coordinators have been recruited for all seven project countries.</p> <p>h) LoAs with Antigua and Barbuda, Dominica, St. Kitts and Nevis, Saint Lucia, St. Vincent and the Grenadines have been signed and activities on the way. Activities in Trinidad and Tobago are being carried out through a Field Budget Authorization. LoAs with the regional organisations CANARI, CERMES, CNFO, CRFM, INFOPESCA have been signed and activities have started and, in the case of CRFM and INFOPESCA, finalized.</p> |
| Output 4.1.2: Project knowledge management system | <ul style="list-style-type: none"> <li>• Quarterly progress meetings are held (virtually or in person meetings) to discuss outputs and monitor progress (in 2019 there were two Virtual Progress meetings and one in person PSCM).</li> <li>• One Project Task Force Meeting was carried out in 2018</li> <li>• Information and Knowledge Manager is being recruited</li> </ul>   |

56. The MTR document review and the interviews confirmed the majority of these activities had taken place but this table again highlights the limited focus on assessing and reporting at qualitative outcome level.

57. CC4FISH has also produced some positive results not envisaged in the original logframe including establishment of WhatsApp peer exchange networks that contributed to knowledge transfer, information uptake, and collaboration between PSC members, FFOs and fishers, and aquaculturists; and improved relationships between key stakeholders at the national level (e.g. between the Fisheries Authority and the Coast Guard).

58. The RPC has been extremely effective in creating alliances with, and sourcing additional funds from, complementary projects (Appendix 6), both for activities that can be implemented under CC4FISH and for follow-up projects that will contribute to CC4FISH sustainability. Additionally, the RPC's sharing of project findings at international conferences and in FAO publications has effectively contributed to wider influence of the project. NPCs and project partners have also contributed to this wider influence in areas such as Vulnerability Capacity Assessment methodologies (e.g. Saint Lucia presentation at Gulf and Fisheries Institute (GCFI) conference, and the positive responses to the Sargassum Outlook newsletters. CC4FISH studies and assessments have also identified opportunities for leveraging additional investment in value-adding activities.

59. However, the MTR identified problems related to the analysis of the project's efficiency:

- The project has not fully adopted a results-based management approach to M&E, so the critical evidence needed to establish to what extent there has been changes in knowledge and attitudes or adoption of new practices have not been well captured, other than through the anecdotal evidence provided by interviewees;
  - It has not been possible to assess the effectiveness of project communication products. A comprehensive communications strategy would address this gap, in combination with accessible systems for knowledge management and dissemination. The communications strategy should detail:
    - the key messages the project wishes to disseminate;
    - the target audiences for the different messages, broken down in detail (e.g.. 'general public' is usually considered too broad);
    - the proposed products and channels for dissemination by target audience;
    - the strategies and tools (e.g. face-to-face or online surveys). to be used for collecting the data needed to evaluate effectiveness in this area; and
    - the timeline for both delivery of the products and evaluation of their effectiveness
60. Interviewee perceptions of project effectiveness were therefore important to the MTR assessment and varied quite widely, though criticisms usually reflected either:
- a knowledge gap in terms of overall project implementation (regional and national) because the interviewee had only participated in one or two activities and was not on the NPSC (mainly fisherfolk and FFOs); or
  - experience of lengthy delays in relation to the issuing of LOAs and procurement, which in turn had a negative impact on project inception dates and effective project implementation at the country level (mainly NFPs and NPCs).
61. On the positive side, country interviewees, and particularly fishers, fish vendors and processors, reported uptake of, and changed attitudes towards, certain aspects of their training, notably in relation to safety at sea, the actual and potential benefits of licencing and registration, and appropriate use of ICT tools. However, they also reported that a single training on a topic was often insufficient to ensure full understanding and uptake, so suggested follow up workshops or some form of mentoring. This was particularly noted in respect to their understanding of the impacts of climate change/climate variability and strategies to build enhanced resilience to climate change.
62. Individual country progress, derived from LOA final reports and country progress reports to 31 December 2019, is captured in Appendix 11.
63. CC4FISH studies and assessments have identified opportunities for leveraging additional investment in value-adding activities. For example, OneSkip is following up with interested investors in GRE; and the PCU has sourced USD 600,000 from the Sustainable Oceans Fund for GRE activities out of a total of USD 1.5 million mobilized for GRE, SVG, as well as Barbados which is not a CC4FISH country. The RPC has also sourced further funding to support activities under other Components and contribute to project sustainability (see Section 4.4 Sustainability and Appendix 6 Co-financing for more details).

#### 4.4 Sustainability

Evaluative question: *To what extent has the project supported financial, institutional, socio-economic, and/or environmental improvements to sustain long-term project results?*

The overall rating for the sustainability of project outcomes is rated as moderately likely.

**Finding 6: The project has generated a number of important results that potentially contribute to post-project sustainability at both the regional and national level, including:**

- many national stakeholders trained to become trainers/facilitators of capacity building in their own countries and regionally, and provided with extensive repositories of resources, (e.g. in ICT, Safety at Sea, sargassum management and conduct of VCAs) that can be used for the remainder of the project as well as future related projects;
- enhanced relationships between key government agencies (e.g. Fisheries Authorities, Coast Guard, NTRC) and also between fishers/FFOs and government agencies;
- development of CCA-sensitive fisheries policies and fisheries-sensitive climate change policies at the national and regional level;
- CC4FISH collaboration with complementary projects, including sourcing of additional resources (Appendix 6);
- the work on third part vessel insurance as a strategy for improving fisherfolk resilience;
- based on the interviews, target beneficiaries have increased awareness of CC, CCA and the importance of building resilience; growing appreciation of the value and uptake of safety-at-sea measures; and the rationale for and benefits of fisheries regulations and licencing regimes, both for safety and facilitating social sustainability through improved access to insurance and social security; and
- increased awareness and appreciation of the value of safety at sea measures has extended to the wider fisher household, with the effect that partners and children now exert their influence to promote and ensure fisher uptake.

The project has also carried out a number of activities designed to build institutional capacity, such as FARE, fisheries data collection and statistics and NDC workshop but it is too early to fully assess the results of these in terms of sustainable KAP changes.

These findings hold true in all project countries but the degree to which these results have been achieved to date differs by country, mainly because project inception dates and progress is so varied (Appendix 11). To date there is no evidence that an exit strategy has been implemented.

**Finding 7: Some risks to sustainability exist but are less likely in other areas**

64. **Socio-political risks** are rated as moderately unlikely as all project countries seem politically and socially stable.
65. The MTR Team rated **Financial Risks** as 'unable to assess', as they are not clearly defined in the ProDoc and there has been limited focus on risk management as risk assessment has not been substantially updated since project design. However, although this could not have been foreseen at the project design stage, it seems likely that COVID-19 will

have a significant negative impact on the regional economy and on livelihoods, particularly in countries that are already under-resourced.

66. **Institutional and governance risks** are the most likely to arise because of:

- the high turnover of government staff, with a weak culture of systematic transfer of individual or institutional memory or built capacity. In fact, it was clear that this had already happened to some extent in the period between ProDoc completion when the expected project start date was September 2015), GEF CEO endorsement (21 January 2016) and actual project inception (1 January 2017), since many of the government stakeholders interviewed by the MTR team had not been involved in project design and knew little about the project at inception;
- limited capacity/resources in many Fisheries Authorities;
- the barriers that often exist at the national level to implementing approved policies and plans, e.g. changes in political administration, lack of human or financial resources;
- tendency at the national level to focus on short-to medium-term project implementation rather than long-term, programmatic strategic thinking; and
- inconsistent monitoring of compliance to regulations, in part because of resource constraints.

67. The most likely **environmental risks** are:

- disruption of progress towards sustainability as a result of hurricanes/severe weather events.
- (as reported by aquaponics consultants) the potential of current aquaculture systems that combine rainwater harvesting with reliance on pipe-borne waste, to exacerbate the trend towards more frequent and severe droughts.

68. **Health-related risks** are difficult to assess because of the uncertainty around the impacts of COVID-19 during the remainder of the project.

#### **4.5 Factors affecting performance**

Evaluative question: "*What have been the main factors affecting performance?*"

The overall rating of Factors Affecting Performance is Moderately Satisfactory though the ratings of individual aspects ranges from Unsatisfactory to Satisfactory.

**Finding 8: A major factor affecting performance was delays in project inception and implementation, arising from both country and SLC challenges.**

69. At the country level, the main delays arose from the following:

- DOM was hit by Category 5 Hurricane Maria in September 2017. The hurricane caused severe damage to the fisheries sector, including the building and office of the Fisheries Division. This hampered the execution of the project as Fisheries Division staff were occupied with relief efforts and development of the LOA was stalled by delays in Cabinet approval. The LOA was finalized a month after the hurricane but was only signed in August 2019, with funds received in November 2019 and the current NPC appointed in January 2020.
- In GRE, the CC4FISH funds were stuck in the consolidated fund for a lengthy period in 2018. The CC4FISH project also lost the services of two NPCs, leaving a hiatus between March 2018 and May 2019 before the appointment of the current one in June 2019.
- In SVG, the first tranche of funds was transferred to the SVG government in June 2018 but Fisheries Division didn't know the money was there and it took time to locate

the funds and get them released from the consolidated fund, despite the efforts of the NPC, NFP and RPC/SLC to engage with senior government staff on this issue. This delay was exacerbated by the slow and bureaucratic national process for issuing consultant contracts and payments.

- TT had challenges with its LOA, so an alternative mechanism had to be sought to accelerate implementation, namely field-based authorisations (FBAs) via the FAO Trinidad office. The initial NPC resigned, reportedly as a result of the lack of activity, with the current NPC only starting on 5 June 2019 and the national launch workshop being held on 22 July 2019.
70. The SLC contribution to delays that was repeatedly identified by interviewees was the lengthy time involved in some instances in getting LOAs issued and subsequent delays in procurement. It was reported that the severity of these had varied significantly, partly as a result of Administration staff changes, but have improved considerably recently. New rules and better organisation in the submission of procurement requests were introduced by the new Administrator to improve the process.
71. More recently, COVID-19 has presented new challenges because all activities requiring face-to-face meetings were suspended and it is not clear in all instances when these can be fully resumed, particularly as some are not appropriate for implementation during hurricane season. However, all countries were able to identify activities that could take place in the interim, mainly related to communication products.

**Finding 9: Stakeholder engagement was generally considered satisfactory, apart from occasional beneficiary criticism of their engagement during periods of no or low activity. Engagement of project partners was also rated as satisfactory. However, the MTR identified some areas of weakness in project design and readiness; financial management; project oversight; M&E design and implementation; and communications and knowledge management as outlined below:**

72. **Project design and readiness:** the ProDoc results matrix has some weaknesses:
- although the Outcome indicators are appropriately qualitative, there is no indication of the proposed Means of Verification (MOV);
  - some Outputs have no data on baseline, targets, milestones, MOV etc.;
  - the interdependencies between the VCA activities under Component 1 and the outcomes of Components 2 and 3 are not adequately reflected in the ProDoc and were further constrained during implementation by delays in finalising the LOA for CANARI, the consultant responsible for much of the VCA work. Logically, the sequencing would have seen the VCAs first identify priority adaptation and resilience measures that could then be tested under Component 2. The lessons and good practices emerging from that pilot exercise could in turn have informed the policies being developed under Component 3. Leveraging synergies across components in this way could have produced more effective results for CC4FISH as well as contributing to the development of substantive policies with clear directives on short and medium-term priority investments.
  - Project reporting until recently indicated that there had been no change in overall project design since the ProDoc, though there have been changes to activities, which are not required to be documented in PPRs or PIRs. However, the latest PPR reviewed for the MTR (to end December 2019) reports:  
*"No major changes in project design although slight adjustments have been made to reflect reality on the ground and changes over time between design and implementation in the project countries.*

*However, the limited data available in the region on fisheries prohibited modelling assessments of fisheries as a result of climate change under component 1. The project therefore did not carry out these activities. The project therefore planned for a trainer of trainers in Fisheries Statistics and training of Fisheries Officers in fisheries statistics so data collection could be improved and future modelling activities carried out. The aftermath of Hurricane Maria whereby several FADs were lost and the market conditions of landing fish in Dominica declined drastically (in 2019 the ice-machines of the largest landing site in Roseau still did not function) developing activities related to Smart FADS were not followed through. In SVG the obstacles of obtaining the CC4FISH funds from the consolidated fund also obstructed development of Smart FADs.”*

- The inclusion of **private sector engagement**, and particularly of investors, has been on a wider scale than envisaged in the ProDoc. However, in assessing the specific factors affecting the CC4FISH value-addition work, there are currently lacks in the policy frameworks and operational structures for engaging with the private sector (for example, find the appropriate modality for contracting private sectors identity), and by extension leveraging corporate/ private sector investment in a timely manner. While the PCU has identified mechanisms in the short term, a clear strategy that leverages draft outputs from Oneskip and INFOPESCA in particular, could be catalytic in advancing activities that are likely to deliver faster progress towards project outcomes. The importance of these activities is heightened due to delays and challenges in other areas of Component 2. CC4FISH could also have benefitted from a readiness review on investor engagement as a potential issue for commercial species expansion.
  - Although lessons exist from other regional projects in relation to the optimal channels for disbursement of project funds for efficiency and effectiveness, countries made it clear during the project preparation phase that they wanted the funds to come directly to the Departments of Fisheries, a decision that subsequently resulted in a number of the delays in national project implementation.
73. **Overall quality of project implementation/execution and oversight** is considered moderately satisfactory, particularly at the national level in the countries most advanced in project progress (SKN and SLU), but has been negatively affected in some other countries by the delays created by national level bureaucracy and, in some cases subsequently, by slow FAO procedures for procurement and issuing of LOAs. The lack of the implementation of project M&E (as consider in the PRODOC) and communication systems and plans was identified as the major areas of weakness.
74. **Project oversight by GEF/FAO** has been moderately satisfactory, with oversight functions being provided by FAO at the SLC, Headquarters (HQ) and national levels. The SLC plays a technical and administrative oversight role, with the Budget Holder (BH), Lead Technical Officer (LTO), PCU and Administration Unit all accountable in different ways and the NPCs responsible for execution and to some extent oversight at the national level. However, project performance was reported by interviewees to have been affected by some challenges linked to:
- experience to manage a regional project;
  - unfamiliarity with FAO policies and procedures, including procurement and LOA.

75. There is scope for improvement in **project oversight by the PCU, PSC and PTF**. For example, only one PTF meeting has been held to date and preparations for PSC meetings do not always facilitate an effective or efficient AWPB review and approval process. For example, PSC members reported receiving the first version of the 2020 AWPB only 36 hours before the March 2020 PSC meeting. Although significantly improved, collaboration and coherence between the oversight roles of the technical and administrative SLC units could be further strengthened.
76. **Some risks were underestimated at the time of project conception**, yet the MTR identified no evidence of any further review of risks or related adaptation of project design. The ProDoc risk assessment underestimated the potential impacts on project implementation of severe weather events and other natural disasters, as evidenced by the impact of Hurricane Maria on DOM in 2017 where the Fisheries Authority building was destroyed, contributing to the two-year delay in project initiation that was compounded by national-level bureaucratic challenges. ES risks in relation to the value-addition and aquaculture activities have been identified that may trigger the need for safeguards. Based on the technical reports and related interviews, these risks need further analysis, documentation and determination as to how they can or will be addressed i.e. avoidance, mitigation and or compensation. There is already evidence of challenges in seamoss production in meeting national health and safety standards with implications for community and occupational health risks. CC4FISH should ensure that its investments, and the systems put into place, minimise or eliminate occupational health risks. Generally, ESS analysis and review needs to be done more systematically across the life of the project and particularly for livelihoods-related activities, to also avoiding triggering other types of risks e.g. social and or political.
77. **The quality of project execution** is difficult to assess in the lack of systematic and consistent monitoring of, or reporting on, project qualitative results, as consider in the PRODOC. The most recent PIR (to mid-2019) has no reporting on progress towards Component 4 results and the latest PPR (to 30 December 2019) only reports at the output level.
78. Whilst the RPC stressed the challenges of operating a PCU with only two people, it was clear that support from other technical FAO staff had contributed greatly to overcoming this challenge. It was more difficult to assess and rate the contribution of FAO expertise in the areas of project management, administrative and M&E to alleviating this challenge.
79. Based on review of partner and consultant reports, presentations and outputs, the **quality of partner performance** has been high, as has that of other consultants, although inception of some partner/consultant activities was held back by the delays in issuing their LOAs and subsequent procurement challenges.
80. Perceived weaknesses in the quality of **project execution and management by the Administration Unit in FAO SLC** came up in many during the MTR, though widely reported to have improved in recent times. From the perspective of the Administration Unit, its interpretation of, and focus on ensuring strict adherence to, FAO policies and procedures is intended to contribute to accountability and the quality of project execution. From the perspective of the stakeholders affected by delays in issuing LOAs and the procurement issues, the processes seemed overly bureaucratic and slow.
81. The RPC has done tireless work in securing additional **co-financing** for both CC4FISH and follow-on projects (Appendix 6) but there are currently gaps in **overall financial**

**management and accountability** that it would be desirable to address, even if they are not mandated by FAO policies and procedures, such as:

- Production of annual budgets by the beginning of the year (due by 15 December of the previous year), which has rarely if ever been the case. There were no AWPBs for 2017 and 2018 and the 2020 budget was finally approved in May 2020 after several revisions.
- Enhanced tracking of and reporting on budgets versus actual expenditures; currently changes are made to the budget during the year without adequate documentation of what has changed or the rationale for doing so (the annual PIRs and six-monthly PPRs are not required to analyse or report on this);
- Assessment of whether the financial management and reporting systems currently in use by the PCU are efficient and adequate for a project of this scale and complexity. The heavy reliance on unwieldy Excel spreadsheets for budgeting and financial reporting seems labour-intensive and results in reports that are difficult to review, interpret and analyse.

82. **Engagement of national stakeholders and partners/consultants** was generally satisfactory but reporting on this is primarily in relation to institutional partners. There is no evidence of a rigorous project stakeholder identification, analysis and engagement strategy, which would typically identify from the outset (alongside the development of the communications strategy), things like:

- **Who is a stakeholder** and on what basis? e.g. who has rights, responsibilities, interests? (can be formal or informal, legal or illegal);
- the **different types of stakeholders at the different levels**
- how do **GEF and FAO guidelines define stakeholders?**
- Who are considered **the key stakeholders?**
- **How to most effectively engage each category of stakeholder**
- How to ensure that **stakeholder identification is an ongoing process** throughout the project (e.g. in this case, investors were not included in the initial identification).

The 107 stakeholders who were interviewed (Appendix 3) were generally positive about their engagement with CC4FISH at their respective levels. Stakeholder engagement of fishers and FFOs, and coastal communities has been facilitated with the help of NPCs, NFPs and Project Partners and consultants, notably CNFO for the FFOs. However, some interviewees, including fishers, FFO leaders and NPSC members, reported that they were not systematically engaged on a regular basis, especially when activity levels were low, nor were they always invited to things perceived to be outside their areas of expertise and this is now included in main report

As noted above, the current approach to private sector engagement, and particularly of investors, has slowed the realisation of some of the market opportunities identified by the value-added studies, including initiation of the follow-up adaptation measures for high potential markets at the sub-sector level. The knock-on effects of this also may constrain rapid scaling up of activities with a high potential to deliver enhanced livelihoods/income within the next nine months. Gaps in some Fisheries Authorities' strategies for, and capacity to engage with, the private sector in order to expand market access by, for example, supermarkets, tour operators, restaurants etc emerged in technical reports and from interviews. Similarly, several activities in the Fisheries Improvement Project for the Grenada EEZ pelagic longline, troll and dropline Atlantic Ocean yellowfin and bigeye fishery rely on timely and effective response to investor

needs, e.g. supply chain traceability, which were had not yet been documented at the time of the MTR. There have been challenges in follow-up on some of the value-addition work in SVG and this may require additional efforts to realise the desired output by the end of the project.

83. PIR/PPR reporting on stakeholder engagement focuses mainly on project partners and consultants, rather than target beneficiaries, and reflects only what stakeholders have been engaged in not the means for doing so. As a result, it is not possible to assess the processes and strategies used for engagement or make recommendations for improvements in those areas.
84. Although an FAO private sector strategy exist, the PCU main actors interviewees did not seem to be aware of it. Whilst CC4FISH did not originally foresee a critical role for private sector actors, these emerged from the project as a potential high value area. This makes it all the more important that strategic, policy-driven approaches are identified in a timely manner to anticipate traceability requirements for new value chain opportunities and to ensure the sustainability of Component 2 investments. The project identified workarounds to mitigate delays in contracting private sector entities and to move forward with pivotal partnerships that have led to the mobilisation of additional resources. It can be inferred that the existing FAO policy and frameworks are either not readily accessible to key partners or may not be sufficiently nimble to meet all the needs and opportunities that have arisen or could arise from the CC4FISH project.
85. Performance was also affected by the fact that the value-addition consultants had limited knowledge of each other's' activities unless facilitated by activities outside of CC4FISH. Consequently, linkages between the various elements of the CC4FISH value-addition work and opportunities for leveraging collective skills and analysis were not maximised. Moreover, the consultants' critical insights in relation to business training and other identified gaps, were not integrated into further planned activities in a timely manner.
86. **Communication, knowledge management and knowledge products** are rated overall as satisfactory. The rating would probably be higher if results could be assessed in relation to an overall project communication and knowledge management strategy or accessible repository of knowledge products, which stymied MTR efforts to monitor the impact and effectiveness of project communication and knowledge products. The July 2020 contracting by the FAO of a specialist consultant is a positive development but leaves little time for implementation and M&E of the strategies and related plans s/he produces.
87. Many communication products have been generated under CC4FISH and those that the MTR team reviewed were of a high quality and appropriate for their respective target audiences. Additionally:
  - CC4FISH has established a visible presence at the national level through public awareness campaigns and social media and further work is taking place during the period of COVID restrictions on face-to-face meetings;
  - some countries have produced national strategies (e.g. Antigua and Barbuda and Saint Lucia) as well as some innovative and accessible knowledge products (e.g. Carnival Bands, posters, songs, videos and social media posts);
  - Partners and consultants have produced communication strategies and made numerous knowledge resources available through their websites, but these have

not been consistently disseminated by the PCU to the wider range of stakeholders who could benefit from them;

- CANARI was contracted to "*develop a communication and engagement strategy to guide project visibility, stakeholder engagement and dissemination of results, lessons and recommendations*" for Component 1. This was sufficiently comprehensive for at least one member of the PSC to suggest this be used as the basis for the wider project communication strategy, but this suggestion was not taken up;
- The PCU has created a Facebook page with a membership of 350 persons as the central social media platform for the project at the regional level.
- The PCU has also created a WhatsApp platform for key CC4FISH stakeholders to facilitate continuous peer exchange of project results and lessons learned; however, the MTR Team did not have access to this as part of the MTR process.

88. **M&E design** is rated as moderately unsatisfactory. As noted earlier, the project has not advanced beyond the basic M&E plan summary in the ProDoc, although the stated intention was to finalize the M&E plan already embedded in the results framework by identifying responsible institutions & actors at the project launch meeting (February 2017). Moreover, one of the critical elements of the CC4FISH M&E process, the MTR, is taking place well past the actual mid-term (30 December 2018) leaving limited time for the implementation of any recommendations.

89. To date there has also been little or no assessment of the qualitative impacts of the project on stakeholders although it was clear from the interviews that there had been significant changes in KAP as a result of CC4FISH activities, and the reports are limited to the basic M&E plan considered in the PRODOC, that evidence some delays in the project. Similarly, there has been no overall project assessment of the "*differential impacts of the project on women and youth*", as envisaged in the ProDoc. At the national level, the NPCs in both SLU and TT indicated that they have already planned to conduct beneficiary surveys to assess the qualitative impacts to date of beneficiary capacity building.

90. Other factors that have affected performance were the delays in:

- finalisation of country LOAs and those for project partners and other consultants (e.g. the VCA work under Component 1);
- accessing funds transferred to the national Consolidated Funds, e.g.
  - St Vincent and the Grenadines unable to access funds since the initial transfer of funds in June 2018;
  - for various internal bureaucratic reasons, Antigua and Barbuda unable to access any of the funds transferred to them for around 1.5 years, resulting in an inability to pay consultants and Grenada initially experiencing similar issues;
  - Dominica also experienced delays both as a result of internal bureaucratic issues and the impact of Hurricane Maria on the Fisheries Authority's infrastructure.
- The RPC continuously followed up on these issues with the support of FAO national correspondents and the Sub-regional coordinator.
- lengthy procurement procedures and, in some cases, initial procurement of the wrong equipment, particularly Very High Frequency (VHF) radios and life jackets, with a knock-on effect on related training.
- implementation of key activities under Component 4.

- As a result of implementation delays, completion of some aspects of the project, such as the planned activities in Dominica, will probably not be feasible before the project end date, even with the proposed extension. On the other hand, for other delayed activities, such as the VCA work, it was deemed feasible to complete within the next 6-9 months.
91. Existing co-management arrangements in the Eastern Caribbean fisheries sector turned out to be less numerous than thought during the project design phase with ProDoc stating that "*Promotion of fisheries co-management in order to enhance sustainable utilization of resources is considered very important in the region*". As a consequence, less emphasis has been placed during project implementation on the proposed related activities, e.g. fisher exchange visits related to co-management sites under Component 2; and participatory co-management training within the context of the design and implementation of EAF management plans to enhance sustainability.

#### **4.6 Cross-cutting dimensions**

Evaluative question: *Have equity issues been appropriately incorporated into project execution and have gender youth considerations been effectively incorporated in all project countries?*

The overall rating for gender and other equity dimensions is moderately unsatisfactory

**Finding 10:** The ProDoc states that CC4FISH will promote "*gender equality and gender mainstreaming at institutional and community levels*" but during the implementation, the Project has a very limited perspective on gender equality and mainstreaming, focusing solely on "*promoting participation of women, empowering them to foster their participation in planning and decision making and to improve their productivity, income and living conditions*", i.e. tactical rather than strategic responses to gender needs.

92. Although the ProDoc purports to encompass considerations of equity, social inclusion, gender equality and women's empowerment, the approach is not effectively implemented and reported on. The FAO Gender Policy in place since 2013 states quite clearly a goal of equal access by men and women to markets. Very limited attention has been paid to this issue, including in some of the value-addition opportunities being scaled up.
93. CC4FISH has mainly engaged women in activities where they currently dominate<sup>11</sup> (e.g. fish vending and processing) but has not challenged the segmentation of roles in the fisheries value chain nor challenged power dynamics. No rigorous gender assessment has been undertaken and no detailed gender strategy exists to address the often-invisible role of women in the sector (e.g. as boat owners and financial managers).
94. Some attention has been paid to gender and women's empowerment issues in the execution of the Vulnerable Capacity Assessment activities, value addition work and in ICT, though again focusing more on women's empowerment than gender equality. The VCAs represent one of the strongest examples of gender mainstreaming. Some evidence of women being supported in new or expanded

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<sup>11</sup> Under CC4FISH, women have been largely engaged and benefitted through training/capacity building in food safety and handling (linked to segmented roles in the processing, value-addition, aquaculture and to a limited extent, ICT).

roles, such as boat captains (e.g. 2 women in Antigua and Barbuda), or working in new areas (e.g. conch fisheries) but the impact on their income or living conditions is unknown. Women have also benefited from training in food safety handling but again we have identified no evidence of impact on productivity, income or livelihoods;

95. Some opportunity areas on gender issues for CC4FISH Project are: a) consider the gendered use of ecosystem services, broader governance issues or the need for gender-based education and assets in efforts to improve productivity, income and livelihoods despite the critical role these play in realizing the qualitative impacts defined in the project results matrix, such as resilience; b) made a sufficiently clear case for gender and fisheries from a tactical point of view; c) explored or analysed the issues inhibiting women's participation and engagement in decision-making or developed solutions to this or focused on the quality of women's participation; both are pivotal to a tactical response; c) leveraged the other efforts in the FAO SLC to mainstream gender in fisheries e.g. Steward fish, EbA and other areas that are incorporate some of the same countries, FFOs and stakeholders and which could complement the proposed tactical response on gender.
96. Similarly, vulnerable groups and coastal communities are noted to be "*particularly vulnerable to the impacts of climate change*" but project reports indicate little engagement of members of coastal communities other than fishers and fish vendors, except in the VCAs and some sargassum work (e.g. beach clean-ups). In relation to vulnerable groups, the MTR Team could not identify any consistent actions at a project-wide level to target other specific sub-groups, such as persons with disabilities (PWDs), persons living with HIV/AIDS or female-headed households. However, in SLU, there is some evidence of engagement with PWDs<sup>12</sup>. No detailed strategy or plan exists to address these issues, either discretely or holistically, or to break down barriers to access to resources for these target groups.
97. Youth are also identified as a key target audience, and some positive results have been documented in this area, particularly in relation to the active involvement of youth in ICT training, fisher exchanges, fisher capacity building (especially in safety at sea) and aquaculture activities. They are also involved through outreach to schools (which has also stimulated enhanced collaboration between the fisheries and education sectors). Some aquaponics demonstration sites in A&B SKN and SLU are located in schools. Young people are also being sensitised through activities such as CC and fisheries-related Carnival bands. An unanticipated outcome of such youth engagement has been increased interest in pursuing careers in the fisheries sector.
98. While efforts have been made to collect sex and age-disaggregated data from trainings and workshops, the project falls short in:
  - collecting and evaluating gender-disaggregated qualitative data to evaluate changes in KAPs, which are critical determinants for both adaptation and resilience; and
  - addressing the ProDoc requirement that "*data will be disaggregated by gender for monitoring differential impacts of the project*".

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<sup>12</sup> Stankus. 2019. Mission Report)

- the quantitative data presented in the PPR to end December 2019 shows that fewer women than initially targeted in the ProDoc results framework (40%) have benefitted from CC4FISH, with target beneficiary participation reported at between 13% and 20%, depending on the activity

**Finding 11: There is an implicit rights-based approach in the work of FAO, and in CC4FISH the main area of focus is the right to participation and engagement in decision-making. However, this does not adequately respond to or support broader global, regional and national visions and priorities on human and social rights.**

99. Some explicit social inclusion efforts have been made, such as efforts to address the needs of indigenous people in the two countries with significant indigenous populations (DOM and SVG). However social inclusion perspectives have not been consistently applied in assessments or analyses (with the exception of the VCA activities that focus strongly on social inclusion), nor have communication materials yet addressed the needs for knowledge products for stakeholders whose first language is not English).

100. However, the current CC4FISH approach does not sufficiently respond to or support broader global, regional and national visions and priorities on social and human rights. There is no clear or systematic attention to breaking down barriers to access for some groups. FAO PIR template (aligned with GEF requirements) does not explicitly distinguish between different categories of rights (economic, social, political, cultural and environmental) nor their relevance to different beneficiaries/target groups and or stakeholders. Contributions to SDGs 1, 3, 5 and 10 are largely indirect at the current stage of the project.

101. National gender assessments, recent labour market studies, and global reporting from the countries themselves suggest the need to tackle gender dimensions of decision-making, access and control of resources and differentiated ecosystem systems needs and uses, none of this wealth of information is adequately incorporated in or addressed in CC4FISH. These topics are very important, but because the financemen comes from an environmental fund (not development cooperation) and many of these studies are non-GEF eligible, and could be ussefful to find financement by other sources.

102. The MTR team may wish to adapt the report to this particular co-financing donor.

103. Social inclusion perspectives have not been consistently applied in assessments or analyses (with the exception of the VCA activities that focus strongly on social inclusion), nor have communication materials fully addressed the differential needs for knowledge products (e.g. for stakeholders whose first language is Kweyol).

**Finding 12: There has been no systematic and regular review and revision of Environmental and Social Risks that appears during the implementation processes, as evidenced by comparison at the project design phase and in the two PIRs to date.**

104. Insufficient attention has been paid to environmental and social (ES) risks. The Review document prepared and approved as part of the project design phase was quite limited. Even though the ESS did not apply to the project, because the project was designed in 2014, a project of this nature is likely to generate potential risks and these could have been included in the risk matrix. As livelihoods activities intensify, safeguards may need to be put in place, which will require closer monitoring of the potential risks.

105. The FAO Environmental and Social Management Guidelines (ESMG) reference the screening of environmental and social risks. The ES impact of hurricanes and storms was underestimated at the time of project design yet there is no evidence that this lesson has been systematically integrated into project planning and implementation despite the high level of risk it presents for Eastern Caribbean countries. These include risks that could affect the project and also trigger other risks from the project for people and the environment if not monitored closely. This may prove to be a critical oversight given that COVID-19 has forced activities planned for dry season into rainy/hurricane season when disease vectors are quite active. This could result in cascading health and safety risks for people and the environment in some of the work of the CC4FISH project e.g. fish handling training, sea moss production and aquaculture. These points are raised because risks are not static but change over time, so it is important to monitor these issues, particularly for areas not well defined at the project design stage.
106. Additional risks have been identified during project implementation but have not resulted in systematic inclusion in project reporting or re-design of the activities included in the AWPB. These include:
- Identification during the initial scoping and situational analysis of aquaculture<sup>13</sup> that seamoss production in A&B is constrained by issues of land (sea) tenure, including the lack of access to, and delays in getting, permits. The same report also identified as a concern conflicts with other stakeholders who are dependent on the same natural resources as the fisheries sector, especially hotel developers and managers.
  - The aquaculture systems currently in use rely on rainwater harvesting (although water needs are much reduced in these systems, there is still a need for access to water). Current climate projections suggest droughts, including periods of prolonged drought, are likely to be significant in future. This suggests the need to monitor some climate risks and prepare some actions (avoidance or mitigation) to ensure the sustainability of investments in this area particularly where there can be knock-on effects on livelihoods and or health and safety concerns.
  - Potential ES risks that could trigger safeguards can be identified from 2019 and 2020 value addition and value chain analysis reports. These include:
    - the fact that bait species such as jacks and or flying fish used in the yellowfin and bigeye fisheries could become overexploited if the tuna fishery expands rapidly but with inadequate monitoring (especially as there is existing concern about unsustainable fishing in the case of flying fish). Though the fishery is not intended to expand, the risk should still be monitored so that quick action can be taken if sustainable yield is exceeded;
    - a related risk in relation to tuna fishery is that, even though the intention is not to expand, the success of the value-addition investments may attract new fishers and incentivise a shift from other species to this one, with limited capacity to control this in the short term. The possible mitigation strategy of legislation/regulation and improved communications all require additional focus by CC4FISH that is not included the 2020 workplan. The Sustainable Oceans Fund, which has indicated interest in contributing 600K to Grenada yellowfin activities, may support risk mitigation but this needs to be further detailed and clarified;

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<sup>13</sup> Stankus. 2019. Mission Report on Scoping Mission.

- COVID-19 represents both a project and an ES/health risk related to the FAO ESG standard 7 (c), given the implications for food handling during processing and for the fish market in general.

## 5 Conclusions and recommendations.

### 5.1 Preliminary Conclusions

#### Conclusion 1 – Relevance (Section 4.1).

107. Project interventions are contributing to the accomplishment of global, national and regional strategic objectives on CCA and sustainable fisheries management, as well as increased understanding of their relevance by FFOs and others in the fisheries sector. The project is well aligned with GEF strategic priorities and has contributed to FAO strategic objectives SO2, SO4 and SO5, as well as to several SDGs (notably SDGs 2, 12, 13, 14, 16, 17).

#### Conclusion 2 - Efficiency (Section 4.2).

108. This is the weakest area of project implementation, as evidenced by: the lack of the implementation of the M&E and communication/knowledge management strategies identified in the ProDoc for creation at project inception; the gap in consistently producing timely AWPBs; inadequate filing systems (which affected MTR access to key documents); lack of focus to date on identifying and disseminating lessons learned and best practices. To date, dissemination of lessons learned and best practices has taken place mainly via the WhatsApp group set up by the PCU, fisher exchanges, and participation in regional and national conferences but this means they are only accessible to a limited section of potentially interested stakeholders; and no or minimal reporting in the PIRs/PPRs on Component 4.

#### Conclusion 3 – Effectiveness (Section 4.3).

109. CC4FISH will undoubtedly contribute to the overall project objective of *increased resilience and reduced vulnerability to climate change impacts in the Eastern Caribbean fisheries sector* but more attention needs to be paid to Components 2 and 4 if all intended outcomes and outputs are to be achieved by the project end date (for more detailed analyses by outcome and country see Appendix 7, Appendix 8, and Appendix 9). The project has also produced some unanticipated positive results including additional co-funding; peer exchange networks resulting in knowledge transfer, information uptake, and collaboration between PSC members, FFOs and fishers, and between aquaculturists; as well as improved relationships between key government stakeholders at the national level.

#### Conclusion 4 – Sustainability of Project Outcomes (Section 4.4).

110. The project has made significant contributions to post-project sustainability, notably through its focus on training facilitators of capacity building at the national level and extensive range of related resources; enhanced relationships between stakeholders; progress on the development of CCA-sensitive fisheries policies and fisheries-sensitive climate change policies at the national and regional level; and collaboration with complementary projects, including sourcing of additional funding. However there remain areas of risk that are moderately likely: institutional and governance (mainly due to the high turnover of government staff and weak culture of knowledge transfer); and environmental (primarily because of the increasing incidence and severity of storms and hurricanes). On the other hand, socio-political risks are low, given the social and political stability of the project countries. The potential for catalysis and replication

is extremely high as a result of CC4FISH collaboration with complementary projects and the availability of a wide range of excellent and accessible resources produced under the project. In spite of the successful sourcing of additional funding both for CC4FISH and follow-up projects, the MTR Team found it impossible to assess financial risks to sustainability, both because there is limited attention to this in project design and implementation and the uncertainty around the short and long-term economic impacts of COVID-19. The sustainability risk ratings are further elaborated on in both Section 4.4.

#### **Conclusion 5. Factors affecting performance (Section 4.5)**

111. In addition to the delays in accessing funding caused by national level bureaucratic challenges, performance has been affected by significant weaknesses in the areas of: project design and readiness; financial management; project oversight and management at the PCU/SLC level; M&E design and implementation; and communications and knowledge management. These have negatively affected both project efficiency and effectiveness and also hindered certain aspects of the MTR process due to inadequate data (for example progress to impact or progress updated until December 2019) on which to base evaluation of results and processes, leading to higher-than-usual reliance on the inputs of interviewees. The lack at this late stage in project implementation of comprehensive strategies for M&E or communications/knowledge management also raises issues of accountability; for example, reporting on results at the output level does not currently provide analysis of how the output is moving the project towards achievement of the related outcome or longer-term results envisaged in the ToC. In the case of financial management, the failure to produce timely AWBPs or systematically track and report on budgetary changes made during the year or actuals versus budgets also raises potential issues accountability. On the other hand, stakeholder engagement at all levels has generally been satisfactory, although it could have been improved by development of a more rigorous stakeholder identification, analysis and engagement strategy early in project implementation and regular review and refinement of the approach as necessary. Project partnerships have contributed greatly to project effectiveness.

#### **Conclusion 6. Cross-cutting issues (Section 4.6)**

112. The project design and implementation of gender and other equity dimensions take a limited view of gender equity, focusing mainly on trying to engage women in project activities directly relevant to their current roles in the fisheries sector and that has been only partially successful with current rates of participation by women reported at 15% in the latest PPR as against the project target of 40%). Inadequate attention has been paid to date to more entrenched inequities or the segmentation of roles in the fisheries value chain. Although there is very little explicit focus in the ProDoc or in project implementation on human rights issues, the focus on the right to equitable participation is inherent in the design of FAO projects. The project has also seen some attempts at social inclusion, such as inclusion of persons with disabilities (Saint Lucia) and addressing the needs of indigenous people in Dominica and St Vincent and the Grenadines (the only project countries with significant indigenous populations). CC4FISH project countries are Small Island Developing States (SIDS) and, in the context of adaptation and resilience, the issues facing the fisheries sector are to some extent also reflective of the society and economy as a whole. CC4FISH could therefore benefit from deepening its partnerships with social sector actors as it seeks to create sustainable adaptation and resilience benefits. The well-known project implementation

risks arising from hurricanes and storms were underestimated at the time of project design, as evidenced by the devastating impact of Hurricane Maria on Dominica, yet there is no evidence that this lesson has been systematically integrated into the management of similar risks for the remainder of project implementation. As project adaptation measures are designed and implemented, they are likely to generate new environmental and social risks including trade-offs for beneficiaries. Some of these have been identified but are buried in various reports including those related to value-addition opportunities, so need to be extracted and properly analysed. It also appears that there has been no systematic and regular review and revision of environmental and social risk and their potential impact to the project.

## 5.2 Recommendations.

113. The recommendations place strong emphasis on actions that fall under *Component 4 Project Monitoring and Evaluation and Knowledge Management*. This reflects the evaluators' concern that, at such a late stage in the project, it remains challenging to evaluate most project **outcomes** and the all-important **qualitative results of the technical activities and outputs**, except on the basis of inputs from interviews, because there is still no M&E Plan, although the original intention was to create this at the first PSC meeting (February 2017). This creates the risk that there will be an end-of-project under-estimation of the value and effectiveness of CC4FISH. The same applies to evaluating changes in KAP derived from the project's knowledge products, and the extent of systematic dissemination of lessons learned and best practices because there is no comprehensive project communication and knowledge management strategy.

114. The recommendations in Table 6 below are those that the MTR Team deems feasible by the end of the project (taking into account the likely extension to 30 September 2021). Beneath the table are some recommendations for future FAO regional projects, based on the lessons learned and best practices identified under CC4FISH to date (Sections 6 and 7).

**Table 6. Recommendations from the MTR**

| Rec. no.                   | Rationale for recommendation   | Recommendation  | Responsibility | Timing/dates for actions |
|----------------------------|--|---|----------------|--------------------------|
| <b>Strategic relevance</b> |  |   |                |                          |
| A.1                        | Alignment with, and sourcing funding from, complementary projects has been one of the most successful aspects of CC4FISH. However, there is little evidence of integration into CC4FISH of lessons learned and best practices from such projects or documentation of | <b>Continue to emphasise and enhance collaboration with, and integration of lessons learned and best practices from, complementary projects, and further strengthen the alignment of CC4FISH activities with emerging funding and policy trends at the international,</b> | RPC/PCU        | Continuous               |

| Rec. no.                       | Rationale for recommendation   | Recommendation   | Responsibility   | Timing/dates for actions |
|--------------------------------|--|--|--|--------------------------|
|                                | CC4FISH adaption as a result of changing funding or policy trends (although this might just reflect the lack of systematic M&E).   | <b>regional, sub-regional and national levels.</b>   |  |                          |
| <b>Efficiency<sup>14</sup></b> |  |  |  |                          |
| B<br>1                         | The lack of the implementation of an M&E Plan or systems, as defined in the PRODOC, is a major gap in efficiency as it was due to be produced at the first PSC meeting (February 2017) and has also had significant negative impacts on MTR ability to evaluate other criteria and particularly effectiveness. Failure to evaluate the qualitative impacts of CC4FISH interventions also risks significant underestimation of the project's most sustainable results, i.e. changes in KAP. Similarly, having no overall project communication/ knowledge management plan means it is unclear whether messaging is consistent and | <b>Urgently implement a M&amp;E System and overall project communication and knowledge management strategy.</b><br><br>The M&E Plan should include suggestions regarding the methodology for evaluating qualitative outcomes, e.g. the use of face-to-face surveys as proposed for SLU and TT.<br><br>The communication and knowledge management strategy should seek to consistently promote and brand the overall project at both regional and national levels and assures dissemination of CC4FISH knowledge products. The strategy should encompass documentation and dissemination of | PCU with inputs from and approval by PSC, GEF-FAO HQ and SLC (BH, LTO, M&E Unit) | July to September 2020   |

<sup>14</sup> The recommendations under Efficiency will also contribute to improved effectiveness

| Rec. no. | Rationale for recommendation   | Recommendation  | Responsibility  | Timing/dates for actions |
|----------|--|---|---|--------------------------|
|          | appropriate. It has also resulted in failure to effectively disseminate project knowledge products   | best practices and lessons learned<br><b>Contract the Knowledge Management and Communications specialist</b> as soon as possible to work with the PCU for the remainder of the project <sup>15</sup>  |   |                          |
| B<br>2   | AWPBs have not been produced in a timely manner. GEF guidelines suggest that these should be completed by 15 December for the following year. In practice, no AWPBs were produced for 2017 or 2018; the 2019 AWPB is dated 19 June 2019; and the final 2020 AWPB was only approved in mid-May 2020. AWBP reporting does not track the changes made during the year nor the rationale for these changes, leaving a poor audit trail. Budget reporting in the six-monthly Project Progress Reports (PPRs) does not analyse | <b>Review and assess whether it is possible improve financial management and reporting systems to make them more transparent, accountable and accurate and less labour intensive, with a particular focus on timely development of AWPBs and transparent and accountable tracking of and reporting on changes made during the year.</b> | PCU in conjunction with financial management specialists at GEF-FAO HQ and SLC. | By 30 September 2020     |

<sup>15</sup> The draft PIR to end June 2020 notes that a specialist has been contracted as of 1 July 2020.

| Rec. no.             | Rationale for recommendation  | Recommendation  | Responsibility | Timing/dates for actions   |
|----------------------|---|---|----------------|--|
|                      | <p>or report on expenditures to date versus original or revised budgets, nor explain variances. Over-reliance on unwieldy Excel spreadsheets as opposed to dedicated financial management software.</p>   |   |                |  |
| B<br>3               | <p>Although the RPC has indicated that the PCU is understaffed, she has not consistently leveraged available support from GEF/FAO and the PTF is an obvious mechanism for doing so.</p>   | <p><b>Institute regular meetings of the PTF to optimise technical, administrative and M&amp;E support to PCU and increase efficiency by building PCU capacity in areas of weakness.</b></p>   | LTO            | <p>First one before the end of July 2020 and quarterly thereafter.</p> |
| <b>Effectiveness</b> |   |   |                |  |
| C<br>1               | <p>115. The gaps in tracking AWBPs are highlighted under B2 above. One of the key roles of the PSC is to approve AWPBs and then monitor and evaluate AWPB progress, including discussion of any requirements for project adaptation. The PSC is well placed to do</p> | <p><b>Institute quarterly reviews of and reporting on progress towards results, including assessment of outcomes and qualitative results. Monitor actual spend versus budget and adapt budget and workplan accordingly. Priority should be given to ensuring completion of activities with the greatest potential for scaling up.</b></p> | PCU, PSC       | <p>Quarterly at PSC meetings</p>                                       |

| Rec. no.              | Rationale for recommendation   | Recommendation  | Responsibility                                    | Timing/dates for actions   |
|-----------------------|--|---|---|--|
|                       | <p>this as the membership has a wide range of relevant experience and expertise. In the lack of consistent reporting (as consider in the PRODOC), the MTR Team has also been unable to identify whether quarterly meetings have been held consistently or what topics have been covered.</p> |   |   |  |
| C<br>2                | <p>Even before the advent of COVID-19, the countries with late inception of project activities (e.g. DOM, SVG) indicated that they would struggle to complete project activities by the original project end date.</p>   | <p><b>In addition to the 3-month extension as a result of COVID-19, grant a further extension of 3-6 months (to 30 June or 30 September 2021). The final decision on length of extension should be based on analysis of the trade-offs between funding PCU/NPC salaries for the additional period and the impact of that on funding for national activities.</b><sup>16</sup></p> | <p>GEF/FAO, PCU PSC in relation to trade-offs</p> | <p>Decision to be taken within 2 weeks of acceptance of the MTR report</p> |
| <b>Sustainability</b> |  |   |   |  |

<sup>16</sup> Decision to extend project to 30 September 2021 now apparently approved at July 2020 PSC Meeting

| Rec. no.   | Rationale for recommendation   | Recommendation   | Responsibility  | Timing/dates for actions |
|--|--|--|---|--------------------------|
| D1   | Although there are many positive CC4FISH contributions to sustainability, there are also significant risks, especially in the area of institutional and governance risk, on which PSC members, and particularly NFPs, should be engaged in discussing and helping to develop a mitigation plan and exit strategy. The identified financial, climate risks and the likely medium-to-longer-term health risks related to COVID 19 also need review (Section 4.4) | <b>Review the identified threats to sustainability and institute discussion with PSC of those that can realistically be addressed under CC4FISH and develop a mitigation plan and exit strategy.</b>   | PCU, PSC, supported by specialists at GEF-FAO HQ and SLC. | At next PSC meeting      |
| <b>Factors affecting performance</b>   |  |  |   |                          |
| Recommendations relating to many of the identified factors that have negatively affected performance are identified in other sections of this table, i.e. under the criterion where the primary weakness lies. |  |  |   |                          |
| E1   | This recommendation relates to some of the key areas that resulted in lengthy delays in project inception and implementation, and therefore to overall effectiveness. CC4FISH design and implementation did not take sufficient account of lessons learned in these  | <b>Document the lessons learned and best practices arising from the challenges relating to use of consolidated funds and disseminate them to (actual and potential) funders of projects in the Caribbean as well as key regional agencies working in the area of climate change and/or fisheries. For target</b> |   | By end December 2020.    |

| Rec. no.                        | Rationale for recommendation  | Recommendation  | Responsibility  | Timing/dates for actions  |
|---------------------------------|---|---|---|---|
|                                 | areas from previous projects, but this may be because they have not been adequately documented or disseminated, so this provides an opportunity to contribute to better understanding both for CC4FISH and subsequent projects.   | <b>recipients that may potentially access GEF/FAO funding, also include lessons learned from delays in issuing LOAs, including potential alternatives.</b>  |   |   |
| E.2                             | Section 4.5 Factors affecting performance   | <b>Document the lessons learned regarding private sector engagement and seek to apply them towards scaling up activities with a high potential to deliver livelihood/ income improvements and market expansion.</b>   | PCU with inputs from consultants who identified this gap. | By end December 2020.   |
| <b>Cross-cutting dimensions</b> |   |   |   |   |
| F1                              | Gender equality and mainstreaming were identified as an area of weakness in both project design and implementation, and even though it may not be possible to incorporate all aspects of the built capacity in CC4FISH, it will also be useful in terms of incorporation in subsequent, related projects. | <b>Collaborate with GEF, FAO, NPCs and, as appropriate, regional UN Women and FAO gender specialists to strengthen gender mainstreaming in CC4FISH by:</b> <ul style="list-style-type: none"> <li>• building SLC and national capacity (e.g. via virtual webinars, training and peer exchange);</li> <li>• leveraging linkages with regional projects that have a strong</li> </ul> | PCU, FAO, GEF, other UN agencies                          | Identify opportunities throughout the remainder of the project. |

| Rec. no. | Rationale for recommendation                                     | Recommendation  | Responsibility   | Timing/dates for actions  |
|----------|--|---|--|---|
|          |  | gender mainstreaming focus in relation to building climate change and disaster resilience. <sup>17</sup>  |  |   |
| F. 2     | No systematic or regular review or revision of ES risks to date. | <b>Consistently review, manage as appropriate, and report on the project social and climate risks as well as developing and implementing mitigation strategies.</b> | PCU with support from PSC and partners/consultants working in areas of identified risk | Establish a regular schedule for the remainder of the project. Review at the quarterly PSC meetings would be a good option. |

#### 116. Recommendations for future FAO regional projects:

- a) If key project staff are hired without the full range of competencies specified in the TOR for the position, GEF/FAO should implement a strong onboarding process, including mandatory training to address the gaps.
- b) Ensure that all stakeholders with project management and/or implementation roles are briefed at project inception on the GEF-FAO policies, processes and protocols that could affect smooth project implementation (e.g. those affecting procurement, timely completion of LOAs) and are provided with clear and timely updates if these change.
- c) Ensure that country level stakeholders are aware of the challenges and delays encountered under CC4FISH through adoption of funds transfer to the national consolidated fund and discuss alternatives that are mutually acceptable
- d) Develop a more robust ToC before or at project inception to better identify key synergies and interdependencies between project activities and to communicate the causal logic of the project.
- e) Include a gender action plan that goes beyond collecting gender disaggregated data and the inclusion of women in some project activities (as now required for new GEF projects, where it is now mandatory to undertake a gender analysis and formulate an action plan during project formulation).

<sup>17</sup> Examples include *The Enabling Gender-Responsive Disaster Recovery, Climate and Environmental Resilience in the Caribbean (EnGenDER) project* <https://www.bb.undp.org/content/barbados/en/home/projects/EnGenDER.html>, the UN Women programme *Strengthening Gender-responsive Disaster Resilience in the Caribbean* and UN Women collaboration with the World Food Programme and other agencies on a joint programme to strengthen gender-responsive social protection and resilience.

## 6 Lessons learned

The lessons learned and best practices that are documented below reflect those most applicable to CC4FISH as a whole as well as potentially to complementary existing and future projects. However, there are many other lessons learned documented in national, Partner and consultant reports that should be compiled and disseminated under the Knowledge Management and Communications consultancy.

117. **Lesson Learned 1. Greater variations exist in countries' capacity for implementing EAF, CCA, DRM and CC mainstreaming in fisheries plans than foreseen in the ProDoc, exacerbated by the fact that, in some countries it was reported that Fisheries Authorities are losing more capacity than they are gaining, which the project adapted to by carrying out a five regional workshops: the EAF DRM and CCA regional training and the FARE training.**
118. **Lesson Learned 2. Fishers and others in the fisheries sector found a single training on a topic, particularly a complex one, such as climate change and variability and climate change adaptation and resilience, is often insufficient to ensure full understanding and uptake.**
119. **Lesson Learned 3. It is important to engage with and communicate to the full range of stakeholders during delays to project implementation in order to maintain their interest and commitment.**
120. **Lesson Learned 4. Key national influencers/champions (e.g. music or sports personalities) can be valuable in disseminating project information and advocating for behaviour change.**
121. **Lesson Learned 5. Although there is still a degree of stigma around considering the fisheries sector as a desirable career, regular targeting of youth through activities they are interested in and engagement of schoolchildren through Career Fairs, aquaculture activities and integration of fisheries/climate change issues into the curriculum, are proving effective in shifting youth mindsets.**

## 7 Best practices

122. A number of best practices were also identified from the document review and interviews that helped to inform MTR conclusions and recommendations. Again, these should be compiled and disseminated under the Knowledge Management and Communications consultancy. These include:

- Creation of WhatsApp groups to facilitate continuous peer exchange of project results and lessons learned.
- Fisher exchanges for peer exchange and learning.
- Linking CC4FISH training activities to compliance with national regulations and licencing procedures, so that attendance at training is effectively mandatory.
- Leveraging opportunities for partnerships with, and funding from, complementary projects.
- Engaging youth in knowledge and capacity building initiatives through activities they are interested in (e.g. SVG football teams, summer camps), which in turn has resulted in perception that the fisheries sector is a viable and valuable career option.

- Creation of accessible repositories for materials produced under different project consultancies and national activities.
- Active engagement of fishers/other target beneficiaries throughout project implementation, including explanations of delays and next steps, and not just when inviting them to an activity.
- Inviting NPSC members to participate in project activities, even if they are outside their core area(s) of interest, so that they can act as effective channels for keeping other key stakeholders informed and updated.
- In project activities where multiple agencies are affected and/or can provide support (e.g. use of ICT and Safety at Sea), identify individuals who have decision-making power, engage them from an early stage, and seek to foster long-term collaboration in application of learning.
- Continuously expand stakeholder engagement processes to identify additional persons who can add value and support mobilisation efforts, especially in countries where project initiation was delayed, e.g. SVG, DOM, GRE and TT.

# Appendices.

**Appendix 1 MTR TOR CC4FISH.**

**Terms of Reference for the Mid-Term Review of the Climate Change Adaptation of  
the Eastern Caribbean Fisheries Sector Project  
(CC4FISH)**

**GCP/SLC/202/SCF GEF ID 5667**

**FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS**

**April 2020**

## Contents

|  |  |
|--|--|
| <b>Acronyms and abbreviations.....</b>                             | <b>I</b>                                     |
| <b>Introduction.....</b>   | <b>51</b>                                    |
| <b>1 Background and context of the project/ program.....</b>       | <b>51</b>                                    |
| 1.1 Description of project, project objectives and components..... | 51   |
| 1.2 Project stakeholders and their role.....                       | 55   |
| 1.3 Theory of change.....  | 63   |
| 1.4 Implementation progress and main challenges faced to date..... | 63   |
| <b>2 MTR purpose.....</b>  | <b>66</b>                                    |
| <b>3 MTR scope.....</b>  | <b>Errore. Il segnalibro non è definito.</b> |
| 3.1 MTR objectives.....  | 68   |
| 3.2 MTR questions.....   | 68   |
| <b>4 Methodology.....</b>  | <b>72</b>                                    |
| <b>5 Roles and responsibilities.....</b>                           | <b>73</b>                                    |
| <b>6 MTR team composition and profile.....</b>                     | <b>74</b>                                    |
| <b>7 MTR products (deliverables).....</b>                          | <b>75</b>                                    |
| <b>8 MTR timeframe.....</b>  | <b>75</b>                                    |
| <b>Annexes.....</b>  | <b>77</b>                                    |

## Acronyms and abbreviations

|         |   |
|---------|---|
| AMAT    | Adaptation Monitoring and Assessment Tool                               |
| BH      | Budget holder   |
| CC4FISH | Climate Change Adaptation of the Eastern Caribbean Fisheries Sector     |
| EOI     | Expression of Interest  |
| FAO     | Food and Agriculture Organization of the United Nations                 |
| FAO-SLC | Food and Agriculture Organization-Sub-regional Office for the Caribbean |
| FARE    | Fishery and Aquaculture Response to Emergency                           |
| FLO     | Funding Liaison Officer   |
| FPMIS   | Field Project Management Information System                             |
| GCU     | FAO GEF Coordination Unit   |
| ICT     | Information and Communication Technology                                |
| LDCF    | Least Developed Countries Fund  |
| LTO     | Lead technical officer  |
| LTU     | Lead technical unit   |
| MTR     | Mid-term Review   |
| NPD     | National Project Director   |
| OED     | FAO Office of Evaluation  |
| PSC     | Project Steering Committee  |
| PTF     | Project Task Force  |
| RM      | Mid Term Review Manager   |
| RO      | Regional office   |
| SCCF    | Special Climate Change Fund   |
| SO      | FAO Strategic Objective   |
| SRO     | Sub-regional office   |
| ToC     | Theory of Change  |
| TOR     | Terms of Reference  |
| UNFCCC  | United Nations Framework Convention on Climate Change                   |

## Introduction

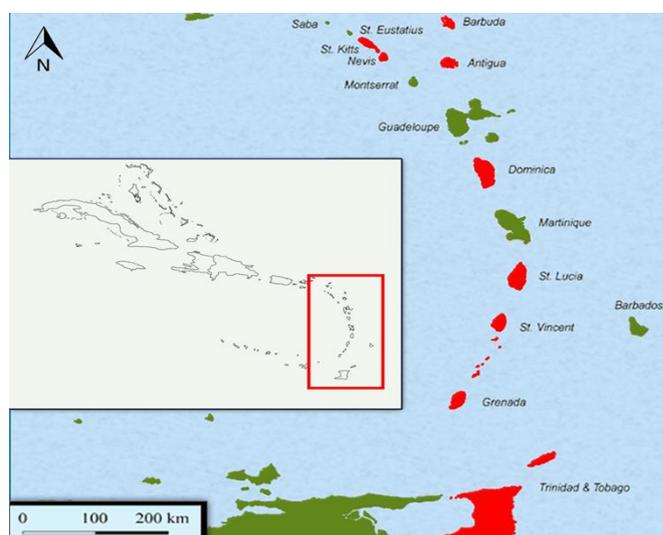
### 1. Background and context of the project/program

1. Description of project, project objectives and components:

- a. GCP/SLC/202/SCF- Climate Change Adaptation of the Eastern Caribbean Fisheries Sector (CC4FISH)
- b. Description of the context: The seven countries participating in the Climate Change Adaptation in the Eastern Caribbean Fisheries Sector (CC4FISH) project – Antigua and Barbuda, Dominica, Grenada, St. Kitts and Nevis, Saint Lucia, St. Vincent and the Grenadines, and Trinidad and Tobago – are small island developing states (SIDS) in the Eastern Caribbean (Figure 1). Climate change is one of the most serious threats facing all Caribbean countries. There is increasing concern over the direct and indirect impacts of climate change and climate variability on marine capture fisheries in the region. Climate change impacts such as sea surface temperature increases, ocean acidification, increased intensity of storms, and sea level rise are expected to trigger a series of biophysical and socio-economic impacts on national and regionally shared fisheries. Negative impacts from climate change are already obvious in this region and include; coral bleaching, increasing frequency of high intensity storms and hurricanes, increased sea level, and sargassum influxes that are disrupting fishing operations, fish landings and fisher livelihoods.
- c. Description of the project or programme:
  - I. The project implemented by FAO (Sub regional Office for the Caribbean), started 1 January 2017. It was developed in collaboration with regional partners and project countries. The expected end date is 30 December 2020.
  - II. GCP/SLC/202/SCF- Project on Climate Change Adaptation of the Eastern Caribbean Fisheries Sector (CC4FISH) (2017-2020). The project is funded by the Special Climate Change Fund (SCCF) managed by The GEF. The SCCF allocation is of USD 5 460 000 with a co-financing of USD 37 542 000.
  - III. The project objective is to increase resilience and reduce vulnerability to climate change impacts in the Eastern Caribbean fisheries sector, through introduction of adaptation measures in fisheries management and capacity building of fisherfolk and aquaculturists.
    - **Component 1 (Understanding and awareness of climate change impacts and vulnerability)** seeks to assess climate change vulnerability in the fisheries sector at the local level by means of the development of a regional comparable framework; to develop a model that describes fisheries abundance and accessibility; and have the findings thereof disseminated at regional, national and local level to improve understanding and serve as inputs into national fisheries management plans.
    - **Component 2 (Increasing fisherfolk, aquaculturists and coastal community resilience to climate change and variability)** is to strengthen the resilience of fisherfolk, aquaculturists and fisherfolk organizations through introduction of adaptation measures and capacity building. The

strengthened fisherfolk and fishers organizations' capacity includes strengthened ICT capacity of fisherfolk and their organizations, development of alternative and improved livelihoods and gears, improved safety at sea and early warning systems. In addition, this component speaks to developing the capacity of aquaculturists and development or rehabilitation of aquaculture centers.

- **Component 3 (Mainstreaming of climate change adaptation in multi-level fisheries governance)** aims to achieve improved capacity of national institutions to identify, prioritize, implement, monitor, and evaluate adaptation strategies; and by mainstreaming the ecosystem approach to fisheries, climate change adaptation and disaster risk management into fisheries policies, plans and legislation.
- **Component 4 (Project management, monitoring and evaluation, information dissemination and communication)** seeks to implement the project based on results-based management and application and dissemination of project findings and lessons learnt in future operations.



**Figure 1: Location of the seven Eastern Caribbean project countries (coloured red)**

2. The main project's beneficiaries are 4200 small scale fisherfolk and aquaculturists and their household members (including at least 40 percent women) who through the project's efforts to build capacity for climate change adaptation will improve their livelihoods through adaptation measures, capacity building and alternative livelihoods. At the time of the MTR 1892 have been reached (14% women).
3. This is through technical trainings (e.g. ICT training, mechanical skills training, and VHF radio training) and provision of equipment; capacity building through e.g. business skills training, support for insurance mechanisms; safety-at-sea training and capacity building at the institutional level. In addition, fishermen learning exchanges have also been carried out

and aquaculture centers developed or rehabilitated and trainings carried out. Through this they will increase their resilience capacity in the face of climate change, will improve their food security, and will receive higher incomes per family through increased fisheries production or higher value of fish products.

4. The project target of 1200 people to have improved adaptation technologies, the project has 588 fishers benefited directly from adoption of diversified, climate livelihood options through ICT training (10% women) and 800 fisherfolk are benefitting from adaptation technologies through the provision of VHF radio's.
5. Indirect beneficiaries of the project can be found at the household and community level because a climate resilient fisheries sector generates positive impacts on coastal communities at a larger scale as well as across the whole fisheries value chain. In the implementation phase, the project has made an estimated breakdown by country. The wider public will also be indirect beneficiaries, as they will receive information and have improved awareness on climate change vulnerability and adaptation efforts in the fisheries sector. Through adaptation measures such as value adding, use of underutilized species and decrease fish waste due to improved fish handling and processing households and communities are having improved food security). Vulnerable indigenous groups such as the Kalinago in Dominica and the Karib/Garifuna in St. Vincent and the Grenadines are included in the adaptation activities related to safety-at-sea/basic fishermen training; navigation skills and provision of equipment where applicable. They are specifically targeted as farmers for aquaponics farm development where applicable.
6. Women are particularly involved in the project through the vulnerability assessments and the public awareness programs consider under component 1; the improvement of processing facilities and providing improved food safety training, which results in less post-harvest losses and improved livelihoods of processing workers, which are mostly women (component 2); and the marketing of underutilized fish species (component 2). They are also involved in the national level activities under component 3.
7. Awareness raising and training materials are being developed, printed and distributed, likewise many more communication products to be developed (e.g. apps, a play, videos, and flyers and brochures). Various awareness and communication activities have been carried out in 4 project countries as well as at the regional level (e.g. conferences, meetings, workshops) (while 638 people have attended awareness workshops or trainings over 2000 people have increased awareness of climate change impacts on fisheries sector and adaptation measures through activities under component 2 and 3 as well as the distribution of flyers, video's (sargassum and safety-at-sea), presentations, social media (facebook) and other forms of communication. Communication material (developed or currently being developed) at the national level include: CC4FISH calendars, facebook pages, secondary school materials, animation, presentation at fairs and schools, and support for Kiddies Carnival's Brands.
8. Influencing youth is considered a factor that can be critical for successful longer term outcomes. In the project the youth will be involved mainly in awareness building activities (e.g support for a youth carnival band in Saint Lucia; development of an app for secondary schoolchildren and ICT training of fisherfolk (use of apps to improve safety-at-sea and early warning):

9. Project duration and its implementation status, key dates: CC4FISH is a four year project (1 January 2017-31 December 2020); the Midterm Review is done at the beginning of the 4 years of implementation.
10. Human resources and budget, including contributions from FAO, other donors, other funding, promised and materialized co-financing (linked to the co-financing table on Annex 3). Beyond the GEF grant allocation amounting to 5.5 million USD, countries and partners have pledged USD 37 542 000 in co-financing. As of February 2020, the project has spent approximately 4.5 million.
11. How the subject fits into the national priorities; FAO CPF; FAO regional priorities and initiatives, FAO SOs, GEF priorities and SDGs as appropriate: The seven project countries are all non-Annex I parties to the United Nations Framework Convention on Climate Change (UNFCCC). The CC4FISH project is consistent with the Special Climate Change Fund (SCCF) eligibility criteria, because it addresses the priorities identified in preparation of the First (FNC) and Second National Communications (SNC) to the UNFCCC. This Project is consistent with SCCF criteria because it is cost-efficient and builds on national and regional strategies for climate change adaptation. The project is consistent with the national communications of the partner countries on climate change to the United Nations Framework Convention on Climate Change (UNFCCC). Their initial or second communications to the UNFCCC all mention the vulnerability of their fisheries sector and fishing communities to the projected impacts of climate change. In reference to FAO's Strategic Objectives this project supports SO1, SO2, SO3 and SO5. Component 2 contributes to SO1 (help eliminate hunger, food insecurity and malnutrition). Component 1, 2 and 3 will contribute to SO2 (sustainable provision of goods and services from agriculture, forestry and fisheries); SO4 (inclusive and efficient agricultural and food systems) and SO5 (increase the resilience of livelihoods to threats and crises). It supports the GEF Focal Area: Special Climate Change Fund (SCCF) – Climate Change Adaptation (CCA).
12. The project contributes to a large number of SDGs. However, it specifically contributes to the SDG 13 "Take urgent action to combat climate change and its impact" and SDG 14 "Conserve and sustainably use the oceans, seas, and marine resources for sustainable development". The project supports the SAMOA Pathway<sup>18</sup> which recognizes the risks for Small Island Developing States as a result of the adverse impacts of climate change and their efforts to counter these impacts.
13. Likewise the project is consistent with regional priorities for Latin America and the Caribbean, aligning with the priority area Climate change and environmental sustainability, and provide assistance to governments to strengthen national programs for sustainable management of natural resources, the reduction of agro-climatic risks, mitigation of emissions and adaptation of agriculture sector to climate change (including fisheries) in the new context of low-carbon development. It also supports FAO's Regional Initiative 3 for the Latin America and Caribbean region: Sustainable use of natural resources, climate change adaptation and risk management.
14. In keeping with international best practice, and to be consistent with the project objective, the project will be grounded in the Code of Conduct of Responsible Fisheries (CCRF) and its principles that incorporate the entire fisheries value chain, aquaculture and related

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<sup>18</sup> Small Island Developing States Accelerated Modalities of Action Pathway developed at the Third International Conference on Small Island Developing States held from 1-4 September 2014 in Apia, Samoa.

activities. The implementation of the project activities will be guided by the principles of Ecosystem Approach to Fisheries (EAF), with an important focus on co-management<sup>19</sup>. This project is based on the regional demand for action set out in the FAO/CRFM/WECAFC/CDEMA/CCCCC “Strategy and Action Plan for disaster risk management and climate change adaptation in fisheries and aquaculture in the CARICOM region” (2014). This strategy builds on the CARICOM Liliendaal Declaration on Climate Change and Development (that articulates key climate change related interests and aims of CARICOM member states) and the CDM Strategy and Programming Framework 2014-2024 of CDEMA that outlines the regional policy for addressing disaster risks. Based on the Liliendaal Declaration the Implementation Plan (IP) for the Regional Framework was developed entitled Delivering transformational change 2011–21. This incorporates several global and regional instruments concerning climate change and variability. In the IP it is stated that adaptation and capacity-building must be prioritized and a formal and well-financed framework established within and outside the UNFCCC to address the immediate and urgent, as well as long-term, adaptation needs of vulnerable countries, particularly SIDS. The project contributes to the Joint UN Sub-Regional Implementation Plan under the Multi-country Sustainable Development Framework for Barbados and the OECS countries, in particular Strategic Priority A: Sustainable and Resilient Caribbean. Under the CC4FISH project a Protocol to Integrate Climate Change Adaptation and Disaster Risk Management in Fisheries and Aquaculture into the Caribbean Community Common Fisheries Policy has been developed and endorsed by the CARICOM Ministerial Council on October 11th 2018. This thus underscores the importance of the topic for the region at the political level.

### *1.2 Project stakeholders and their role*

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<sup>19</sup> These will be in line with the Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries

| Stakeholders   | Interests/Roles/Responsibilities in the project  |
|--|--|
| <p><b>FAO</b></p>  | <p><b>Project task force member and roles :</b></p> <p><b>Clarke Renata:</b> Sub regional coordinator (Budget Holder) ;</p> <p><b>Van Anrooy, Raymon:</b> task force Member, Fishery and Aquaculture Officer</p> <p><b>Bahri Tarub:</b> LTU, task force member, Fishery Resources Officer of the Marine and Inland Fisheries Service.</p> <p><b>Diei Ouadi Yvette;</b> Lead Technical Officer, Fishery and Aquaculture</p> <p>Gonzalez Riggio, Valeria; Funding Liaison Officer</p> <p>Monnereau, Iris; Project coordinator</p> <p><b>FAO GEF Coordination Unit</b></p> <p><b>Genevieve Braun,</b> Programme Officer</p> <p><b>Dirkmaat, Chris:</b> Funding Liaison Officer</p> <p>FAO task force members will use the results of the RMT to adjust planned activities and tasks to achieve the expected results of the project. In addition, it will serve as a basis for assessing the strengths and weaknesses of the project intervention strategy, highlighting the joint work and implementation of actions with counterparts.</p> <p>The RMT will serve the UCG and the FLO as input to analyze progress in meeting the objectives and indicators of the project, with budget execution.</p> <p>The lessons learned will serve the BH for future projects from similar sectors or partners.</p> |
| <b>Government</b>  |  |
| <p>National fisheries authorities</p> <ol style="list-style-type: none"> <li>1. <b>Fisheries Division of the Ministry of Agriculture, Lands, Fisheries and Barbuda Affairs , Antigua and Barbuda</b></li> <li>2. <b>Fisheries Division of the Ministry of Agriculture and Fisheries, Dominica</b></li> <li>3. <b>Fisheries Division of the Ministry of Agriculture,</b></li> </ol> | <p>Each national Fisheries Authority has designated a National Focal Point for the project. They are responsible for the overall development and execution of the project activities in each relevant country. They also supply the co-financing for the project. They are the executing partners of the project together with the partner organization’s They are also part of the Project Steering Committee and thus provide guidance to the project and discuss challenges and opportunities of the project activities.</p>  |

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| <p><b>Lands, Forestry, Fisheries and the Environment, Grenada</b></p> <p>4. <b>Department of Marine Resources of the Ministry of Agriculture, Marine Resources and Cooperatives, St Kitts And Nevis</b></p> <p>5. <b>Department of Fisheries of the Ministry of Agriculture, Food Production, Fisheries, Co-operation and Rural Development, Saint Lucia</b></p> <p>6. <b>Fisheries Division of the Ministry of Agriculture, Rural Transformation, Forestry, Fisheries and Industry, St Vincent And The Grenadines</b></p> <p>7. <b>Fisheries Division of Ministry of Land and Marine Resources, Trinidad and Tobago</b></p> |   |
| <p>National Departments of Emergency Management, or Office of Disaster Preparedness or Management (variation in nomenclature)</p>  | <p>Under the project this stakeholder from six project countries has been involved in the Fisheries and Aquaculture Emergency Response Training (FARE training) held in September 2018. They could assist under component 3) in the Fisheries and Aquaculture Emergency Response Training implementation at the national level, though these activities have not been developed as yet.</p> |
| <p>Defence Force/Coast Guards</p>  | <p>In Saint Lucia, St. Kitts and Nevis, St. Vincent and the Grenadines, Grenada, Dominica and Trinidad and Tobago project countries the Coast Guard supports Safety-at-sea training and implementation; and support in early warning systems for the fisheries sector and disaster risk training.</p>   |
| <p>Community representatives</p>   | <p>Local community representatives support:</p> <p>Component 1) data collection for vulnerability assessments and awareness building;</p> <p>Component 1): public outreach and awareness programs</p> <p>Component 2) local training in business skills; safety-at-sea; value adding</p> <p>Component 3) implementing of the Fishery and</p>  |

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|  | Aquaculture Response to Emergency (FARE)<br>Training at the national level. |
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| <b>Research institutes</b>                    |   |
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| University of the West Indies -CERMES         | <p>The Centre for Resource Management and Environmental Studies (CERMES) promotes and facilitates sustainable development in the Caribbean and beyond. It is a regional project partner which is providing research and technical support.</p> <p>(Component 1)</p> <ul style="list-style-type: none"> <li>-Support design and implementation of vulnerability assessments at the regional, national and local level;</li> <li>-Development model to assess sargassum impacts on the dolphin fish and flying fish populations; communication</li> </ul> <p>(Component 2)</p> <ul style="list-style-type: none"> <li>-Facilitating exchanges by fisherfolk to countries/communities in which EAF, CCA and DRM/co-management activities have taken place successfully;</li> </ul> <p>Component 3)</p> <ul style="list-style-type: none"> <li>- Assistance in integrating EAF, DRM and CCA into the policies at regional level and the national level and support of mainstreaming these topics into fisheries management plans;</li> <li>-Assistance in implementation of the Fisheries and Aquaculture Response in Emergency (FARE) training.</li> </ul> <p>They are a Project partner and in the PSC.</p> |
| University of the West Indies - CIRP          | <p>The Caribbean ICT Research Program (CIRP) of the Department of Electrical and Computer Engineering at The University of the West Indies, Trinidad &amp; Tobago, is analyzing communications coverage at sea; and supporting ICT Stewards from various agencies, as well as fishers, in Dominica, Grenada, St. Kitts and Nevis, St. Vincent and the Grenadines, and Trinidad and Tobago; on the use of information and communications technologies (ICTs) for safety at sea and other applications. They are also developing learning materials and videos on ICTs for resilience at sea</p>  |
| <b>International and Regional Cooperation</b> |   |

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| Western Central Atlantic Fishery Commission (WECAFC)                        | Regional fishery commission established under FAO. Provision of technical and policy advice on fisheries and aquaculture as well as fisheries governance. Regional project partner. WECAFC is providing support in the various components of the project, but specifically in Component 3: Harmonization of fisheries policies, management and regulations in the region, and dissemination of results of the project throughout the region. There are shared activities e.g.: development of the Fisheries Policy in Saint Lucia and update of the fisheries legislation in Trinidad and Tobago. WECAFC Secretary is the LTO for the CC4FISH project. |
| Caribbean Regional Fisheries Mechanism (CRFM)                               | Regional organization that promotes and facilitates management and sustainable use of the region's fisheries and other aquatic resources. The CRFM is a regional project partner. In this project CRFM has been providing technical support for Component 2: Development of business proposals to facilitate full utilization of key commercial and under-utilized species, and Component 3: Development of a protocol for integration of DRM and CCA into the CCCFP   |
| <b>Private sector</b>   |  |
| Fish processing vendors and local companies (local retailing and exporting) | They represent the national level producers (mainly small-scale and medium scale producers). They participate in Component 2: development of activities to facilitate full utilization of key commercial and under-utilized species; and improvement of post-harvest handling, processing of fish products; marketing of fish products, which are all currently being developed in more detail;  |
| Aquaculture companies   | They represent the national level producers. They are involved in component 2) rehabilitation of existing aquaculture centers and new aquaculture centers established as well as training of aquaculturists. Close collaboration to date in Antigua and Barbuda (Indies Green), St. Kitts and Nevis (Greenleaf), Saint Lucia and Trinidad and Tobago   |
| <b>Grassroots / resource user/ civil society organizations</b>              |  |
| National level Fisherfolk organizations                                     | Fisherfolk organizations are collectives that aim to improve the livelihoods and well-being of fisherfolk (men and women), seek to engage in decision making in fisheries management (at the national and international level); and educate fisherfolk. Fisherfolk organizations (at local, national and regional levels) are involved in all project components with information exchange; capacity building activities and participation in fisheries planning, decision-making and management.  |
| Women engagement  | The project does not engage with particular organized female groups, but promotes participation of women, empowering them to improve their productivity, income and living conditions. Participation is being promoted through different project   |

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|  | activities, particularly through the vulnerability assessments carried and the public awareness activities (both under Component 1); and the improvement fish handling and processing provision of food safety equipment, which results in less post-harvest losses and improved livelihoods of processing workers, which are mostly women (component 2); and development of value adding activities (component 2).  |
| Indigenous groups                                    | The project does not engage with particular organized indigenous groups, but in the two countries with indigenous groups (Dominica and St. Vincent and the Grenadines,) the project promotes involvement of the indigenous community. In Dominica, the Kalinago are encouraged to become aquaponics farmers under the aquaponics activity. In SVG, the Karib/Garifuna are intermixed with non-indigenous and due to the fact that the ethnic or racial groupings are so intermixed it is often difficult to pinpoint indigenous descendants and to map their involvement in project activities. Leaders from the local communities can define who is considered an indigenous descendant and 3 out of the 6 persons who will be trained in Aquaponics are direct descendant or members of the indigenous Carib/Garifuna Communities. The Aquaculture pilot project will also be established in a community that include a large population of indigenous people and will primarily target youths. The business skills training and local safety at sea training will include the Karib/Garifuna and they will also benefit from safety at sea equipment. |
| <b>International and regional CSO/NGOs</b>           |  |
| Caribbean Network of Fisherfolk Organisations (CNFO) | <i>CNFO aims to improve the quality of life for fisherfolk and developing a sustainable and profitable industry through networking, representation and capacity building. They are a project partner and involved in all components of the project.</i>  |
| The Nature Conservancy (TNC)                         | Leading international NGO aimed at conserving the lands and waters globally. It manages programs of conservation of natural and cultural heritage, conservation of marine ecosystems in the Caribbean, and participation and environmental education. Even though they are an official project partner, to date they have not played a major role in the project due to change of contact persons at TNC. Renewed contact with TNC has been initiated.   |
| Caribbean Natural Resources Institute (CANARI)       | The organization promotes and facilitates equitable participation and effective collaboration in the management of natural resources in the Caribbean region. The organization has extensive experience in capacity building of fisherfolk organizations; and strengthening of national policies. CANARI is mainly involved in component 1 but also supports   |

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|  | activities under component 2 (climate proofing and value adding of small-medium sized business in the fisheries sector) and component 3 (e.g. EAF workshop). |
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### *1.3 Theory of change*

15. The project did not develop an explicit Theory of Change. The MTR team should reconstruct a “post-facto” theory of change after the fact as part of the inception report, based on the project’s log frame, the interviews and the review of other project documents.

### *1.4 Implementation progress and main challenges faced to date*

16. Some changes were made in the original Logical Framework that will be analyze by the MTR Team. The following achievements, reported by the team project, were realized from the project start up to date:

#### **a. Main achievements component 1:**

- Regional Vulnerability and Capacity Assessment (VCA) in Fisheries Workshop was held 2-3 July 2018 Barbados to discuss and refine the VCA toolkit;
- A toolkit for the Vulnerability and Capacity assessments for the Eastern Caribbean fisheries sector, Final Technical review report on the application of Vulnerability Capacity Assessment (VCAs), and the Final Regional conceptual framework have been developed. The toolkit will be refined and contain examples from the field during the fieldwork in 2019/2020;
- The 2nd Regional Sargassum Symposium was held on 21-22 November 2018 in Barbados to raise awareness and exchange knowledge on challenges posed by sargassum as well as identify new opportunities;
- Studies have been conducted on sargassum growth, production and distribution and their impacts on key fish species in the region;
- Development of a robust medium-term sargassum prediction model for the Eastern Caribbean islands;
- Report has been delivered on “Perfecting the art of Fisheries Learning Exchanges (FLEs) for Ecosystem Approach to Fisheries (EAF), Climate Change Adaptation (CCA) and Disaster Risk Management (DRM) in the Eastern Caribbean;
- Report on the downscaled Climate Change projections for the Eastern Caribbean for 2030, 2050 and 2090 for the 3 RCPs;
- Communication products including (1) Fishers guidelines for coping with sargassum, (2) Sub-regional Sargassum Outlook Bulletin(s); Start of a Sargassum uses guide.

#### **b. Main achievements component 2<sup>20</sup>:**

- Report on existing VHF infrastructure including maps of simulated line of sight coverage;
- Assessment and recommendations for @sea communications;
- ICT Stewardship model, curriculum and reporting instruments;
- ICT Stewardship learning resources video;
- Development of a BYOD ICT Training at three levels;
- Development of VHF Radio Scripts/mobile phones/GPS for Exercise at sea;
- VHF radio’s and repeater systems dispatched or being built;

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<sup>20</sup> During MTR the results will be desagragated by coutries.

- Adaptation capacity was improved for 1200 people through training of over 1000 people in the different project countries (including Basic Fishermen Training, safety at sea training, food safety and fish handling training);
- The Caribbean Network of Fisherfolk Organisations (CNFO) has carried out quarterly CC4FISH virtual meetings with the National Fisherfolk Organisations (NFOs) and is carrying out in country national one-day meetings to ensure appropriate incorporation of NFOs into CC4FISH activities and build capacity;
- Report “Opportunities for Fish and Fisheries Products Value Chain Development in Grenada and Trinidad and Tobago” developed and two workshops to identify possible fish value chains for value adding carried out and value chains identified;
- Final Report “Market study on Fishery Products and Opportunities for Value Addition in the Eastern Caribbean”;
- “Assessment of Insurance needs and opportunities in the Caribbean Fisheries Sector” report has been finalized, printed and distributed;
- Assessment model for third party insurance for vessels in Dominica, SKN and Trinidad and Tobago has been developed and stakeholder meeting on Fisheries Insurance Legislative Frameworks for the Caribbean carried out;
- Assessment for Improved data vessel registry systems in two project countries necessary for improved insurance for fisherfolk has been carried out;
- Report “Opportunities for Fish and Fisheries Products Value Chain Development in Grenada and Trinidad and Tobago” developed;
- Fish farmers from Saint Lucia and Grenada have attended training and learned from Aquaponics farmers in Antigua and Barbuda;
- 12 Saint Lucian fisherfolk have been on an exchange to Antigua (conch fishers) and to Grenada on MPAs and fishing cooperatives. Two fishers from St. Kitts and Nevis participated in an exchange to Saint Lucia to learn about seamoss farming, aquaponics, co-management and safety-at-sea training;
- A Regional workshop on Advancing Aquaponics through improved market access was held;
- Draft technical guidelines on Caribbean aquaponics to reduce climate change risks have been prepared;
- National sea moss training programmes organized for SKN and SLU;
- Draft sea moss manual developed;
- Development plans for national level aquaculture (aquaponics and seamoss farming) in 4 countries have been developed and service contracts and procurement lists prepared.

**c. Main achievements component 3:**

- Regional Workshop on incorporating Ecosystem Approach to Fisheries, Climate change adaptation and Disaster risk Management into fisheries plans and policies was held;
- Regional Fisheries and Aquaculture Emergency Response Training and Trainers of Trainers Workshop was held in Grenada to improve disaster risk management of the fisheries sector in the region;
- Network created to support a Fisheries and Aquaculture Post-Disaster Needs Assessment;

- One draft FAD management Plan developed (Saint Lucia); two Aquaculture management strategies developed (Saint Lucia and Antigua and Barbuda); 8 other management plans, policies or legislation in process;
- Workshop on incorporating fisheries and poverty into the National Determined Contributions of the project countries in process;
- The “Protocol on Climate Change Adaptation and Disaster Risk Management in Fisheries and Aquaculture under the Caribbean Community Common Fisheries Policy” has been finalized and approved at the Ministerial Council meeting of the CARICOM on October 11th 2018.

**d. Main achievements component 4:**

- Establishment of the project coordination unit
- Endorsement of the project document by all countries:
- The project launching workshop incorporating the first Project Steering Committee Meeting (PSCM) was held in Barbados on 7-9 February 2017; the second PSCM was held in St. Georges, Grenada, 19-20 March 2018; the third PSCM on April 16-17 2019 in Barbados;
- National Focal Points have been confirmed for all 7 countries;
- National Project Coordinators have been recruited for all 7 project countries;
- Six national launching workshops were held in Antigua and Barbuda, Grenada, St. Kitts and Nevis, Saint Lucia, St. Vincent and the Grenadines, and Trinidad and Tobago.

17. Some main challenges to date:

- The CC4FISH Project is a major project, with a large and very diverse set of activities in a group of Small Island Developing States with limited human and technical capacity. This provides challenges to project implementation for the PCU as well as for the countries who have limited staff.
- Dominica was hit by hurricane Maria, category 5, in September 2017. The hurricane caused severe damage to the fisheries sector and to the building and office of Fisheries Division. This has hampered the execution of the project as Fisheries Division staff was occupied with relief efforts and development of the LoA was stalled. The LoA was finalized a month after the hurricane, but was only approved by Cabinet in January 2019. The revised LoA was signed in August 2019 and activities are commencing.
- In two countries (Grenada and SVG) there have been delays in the execution of the project as the CC4FISH funds were inaccessible to the Focal Point and National Project Coordinator, as funds were not retrievable from the consolidated fund. These issues have partly been resolved and activities are starting in both countries.
- In addition, there have been delays at FAO in issuing Letters of Agreement, executing agreed procurement activities as well as delays in recruitment of national project coordinators leading to delays in project implementation.
- The MTR is taking place in the last year of the project due to this delays.

## 2.MTR purpose and scope

18. The main purpose of the MTR is to:

- Provide accountability to respond to the information needs and interests of policymakers within the countries and other actors with decision-making power, like the FAO – SLC, FAO GCU and FLO;
- Provide accountability towards main project beneficiaries and project countries;
- Improve the implementation of the CC4FISH project and contribute to the organizational development providing valuable information to managers and others responsible for the project (FAO and partners); and
- Contribute to knowledge - in-depth understanding and contextualization of the CC4FISH project and its practices, of particular benefit to the FAO -SLC, GCU and future developers and implementers and build synergies and complementarities with other national and sub-regional initiatives.

### Box 1: Main purpose and intended users of the MTR

| Purpose   |   | Intended User  |
|---|---|--|
| <p><b>Accountability:</b> to respond to the information needs and interests of policy makers and other actors with decision-making</p> <p>Beneficiaries countries and communities</p>             | <p>Inform decision making</p> <p>Provide accountability</p> | <p>GEF and other donors</p> <p>GCU and FAO management</p> <p>GEF Focal Points and Technical Ministries</p> |
| <p><b>Improvement:</b> Project/program improvement and organizational development provides valuable information for managers or others responsible for the regular project/program operations</p> | <p>Improve project/program</p>                              | <p>Project Management, PMU, PTF, GCU, PSC</p>  |
| <p><b>Enlightenment:</b> In-depth understanding and contextualised the</p>  | <p>Contribute to knowledge</p>                              | <p>GCU, FAO staff and future developers and implementers</p>   |

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| <p>project/program and its practices. Normally caters to the information needs and interest of program staff and sometimes participants</p> <p>Build synergies and complementarities with other GEF and non GEF projects in the Caribbean</p> |  |  |
|---|--|--|

19. This mid-term review is intended to assess the implementation progress and performance of the CC4FISH Project. The review should assess how project activities are being implemented and whether they are effectively achieving the outputs and outcomes established in the project document. The review will also assess the design (the Theory of Change will be constructed during the MTR), the M&E system design and implementation, the exit strategy of the project and recommend steps to ensure project impacts continue beyond the end of the project.
20. The MTR should firstly address region-wide elements but should consider the significant differences between project countries in terms of implementation. The MTR will take place between March and May 2020 and will focus in all project countries and virtual interviews will be conducted with all stakeholders who have project responsibilities. Other ways to collect information such as online survey will be considered in order to substitute the field mission that was cancelled because of the coronavirus diseases COVID-19 pandemic<sup>21</sup>. Prior to COVID 19, the initial plan was to have field missions conducted by the MTR team in **three (03) of the seven** project countries. Two recommended countries were Saint Lucia and Saint Kitts and Nevis<sup>22</sup>. The rationale for proposing these countries, have been the most advanced of all project countries in terms of implementation. Even though they are both advanced they have had different approaches to project activity implementation which can serve as a reference under the MTR in order to use the lessons learned to guide and advice on the future implementation in the other countries.. Grenada was the third recommended country since it has been less successful in implementation yet , a number of activities have been carried out over the past year that are of interest and which are not carried out in other countries as much (e.g. work on vessel registry and the support for the implementation of Open artfish; the pre-assessment for Marine Stewardship Council labelling; and the value adding workshop carried out by INFOPECSA). In addition, although under CC4FISH a new LoA with the Government of Grenada was currently being developed, CC4FISH has also developed a LoA with the Gouyave Fishermen Co-operative to carry out safety-at-sea training for 300 fishers. They have developed a plan of action and will be actively involved. Their active involvement in the CC4FISH project could provide its own unique experience.

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<sup>21</sup> Since March 2020, FAO as member of the United Nations Systems consider the travel advice made by the WHO. In that sense, no travels will be made during this MTR.

21. The project will be evaluated against criteria related to relevance (in relation to FAOs SO, regional strategies and country programs and stakeholders), effectiveness (to what extent is the project reaching its objectives), efficiency (is the project performing in the most efficient way given time and available resources), sustainability of results (organizational and financial), factors affecting performance (e.g. administration and management) and cross-cutting issues. This will be explained in the next chapter
22. The project will also be assessed on the basis of the Adaptation Monitoring and Assessment Tool (AMAT) tracking tools. The fourteen AMAT tracking tools have been designed by the GEF and can be found at <https://www.thegef.org/documents/gef-climate-change-adaptation-tracking-tool>. The tracking tools and targets can be found in the workplan in Annex 1.

### 3. MTR objective and key questions

#### 3.1 MTR objectives

23. The mid-term review has the following objectives:
  - Assess process followed and progress towards the achievement of the project objectives and outcomes as specified in the Project Document.
  - Analyze the results obtained and the scope according to the GEF criteria: Relevance, Effectiveness, Efficiency, Sustainability, factors affecting performance and cross-cutting dimensions.
  - Assess project performance against SCCF objectives and targets
  - Assess early signs of project success, challenges or failure with the goal of identifying the necessary changes to be made to improve delivery, impact and sustainability of project results.
  - Review the project’s strategy, its risks to sustainability and prepare a Theory of Change
24. The MTR will seek to provide recommendations for follow-up actions to the project team and partners, and where applicable to government counterparts in the Seven countries to set the project on track to achieve its intended results over the remaining implementation period and considering the global health crisis.

#### 3.2 MTR questions

**Table 1: Few indicative Evaluation Questions**

**Evaluation Question 1- Relevance: To what extent is the project strategy relevant to countries priorities, countries ownership, and the best route towards expected results?**

The question will focus on the relevance of the project which is the extent to which the intervention is coherently responding to national/sub-regional environmental needs and priorities, and to global sustainable development and GEB.

Sub-Questions:

- Are the project outcomes congruent with the countries priorities, GEF/SCCF focal areas/operational program strategies, FAO Country Programing Framework, needs and priorities of targeted stakeholder groups?
- Has there been any change in the relevance of the project since its formulation, such as adoption of new national policies, plans or programs that affect the relevance of the project objectives and goals?
- If so, are there any changes that need to be made to the project to make it more relevant?

**Evaluation Question 2 - Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved so far?**

The question is related to the effectiveness of the project and aims at assessing the extent to which the project is on track in achieving its target results.

Sub-Questions:

- How effectively has the project delivered on its expected outputs to date, in terms of their quality, quantity and timeliness (against milestones)?
- To what extent has the project delivered on its outputs, outcomes, and objectives, and what, if any, wider results has the project had at regional and global levels to date?
- Were there any unintended results?
- To what extent can the attainment of results be attributed to the GEF-funded component?
- What factors contributed to the effectiveness of the project in highly successful countries versus the countries that are lagging?
- Are the stakeholder engagement interventions effective in enhancing achievement of project outcomes?
- Are there any barriers or other risks that may prevent future progress towards, and the eventual achievement of, the project's intended longer-term impacts?
- What can be done to improve the likely achievement of positive impacts from the project?
- To what extent may the progress towards long-term impacts be attributed to the project?
- Have and to what extent the countries and communities (direct beneficiaries) have been involved and benefited from project interventions?

**Evaluation Question 3 - Efficiency: Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?**

The question aim at assessing the project's efficiency and the extent to which the project is making best use of available human, technical, technological, financial and knowledge inputs to achieve its desired results, with a special attention to the effectiveness of the M&E system.

Sub-Questions:

- To what extent has the project been designed and implemented efficiently, cost-effectively, and in a timely manner?

To what extent has the project management been able to adapt to any changing conditions to improve the efficiency of project implementation?

- To what extent has the project built on existing agreements, initiatives, data sources, synergies, and complementarities with other projects and partnerships and avoid duplication of similar activities by other groups and initiatives?
- To what extent has FAO assistance resulted in achievement of current successes? What have been the main challenges that you have faced in delivering the project?
- What were the major factors influencing the achievement or non-achievement of project results?
- How can the delivery be improved in the second half of the project -what changes are needed?
- To what extent has the project been implemented efficiently and cost-effectively?

**Evaluation Question 4 - Sustainability: To what extent has the project supported financial, institutional, socio-economic, and/or environmental improvements to sustain long-term project results?**

This question intends to assess the potential for sustainability of the project by measuring the threats to sustainability, the probability of continued implementation of project activities and use of the delivered project technologies and outputs even after the end of the project.

Sub-Questions:

- What project results, lessons and experiences generated by the project have been replicated (experiences are repeated and lessons applied in different geographic areas) or scaled up (experiences are repeated and lessons applied in the same geographic area but on a much larger scale and funded by other sources), or are likely to be in the near future?
- How can the project strengthen the enabling environment and ensure long-term impacts?
- How countries counterparts and communities will ensure project continuation and which areas?
- To what extent has co-financing contributed to the achievement of results and what co-financing will be provided to continue with the project activities?
- Is there any exit strategy prepared and agreed for this project?

**Evaluation Question 6 – Cross cutting priorities: Have equity issues been appropriately incorporated into project execution and have gender and youth considerations been effectively incorporated in all project countries?**

Sub-Questions:

- To what extent was gender integrated into the objectives and results framework of the project?

- How does the project engage with (women) fish workers and youth?
- What can the project do to enhance its gender benefits?
- What can the project do to enhance its youth benefits?

#### **Evaluation Question 5: Factors affecting performance**

Sub-Questions: - What have been the main challenges that were faced in delivering the project?

- What were the major factors influencing the achievement or non-achievement of project results?

What have been the challenges related to the financial management of the project?

- To what extent has the pledged co-financing been delivered, and has there been any additional leveraged co-financing provided since implementation began? How has any short-fall in co-financing, or materialization of greater than expected co-financing, affected project results?

- How can the delivery be improved in the last months of the project -what changes are needed?

- Project design and readiness

- Is the project design appropriate for delivering the expected outcomes?

- Is the project's logic robust, coherent and clear? To what extent are the project's objectives and components, clear, practical and feasible/realistic within the timeframe?

- Project execution and management

- What have been the main challenges in relation to the management and administration of the project?

- How well have risks been identified and managed (both at the project design phase and later)?

- Project oversight, implementation role

- To what extent has FAO provided oversight and supervision (technical administrative and operational) during the project execution phases

- How effective is the coordination and decision-making among the Project Steering Committee (PSC)?

Sub-Question: Monitoring and Evaluation

- Is the project's M&E system practical and sufficient? How has stakeholder engagement and gender assessment been integrated in the M&E system? How could this be improved?

- To what extent has the project budgeted and implemented a sound M&E plan and tools to track project delivery and evaluate its results towards achieving its objective?

- Has the project been implemented on a result based management basis?

- To what extent has the project engaged Stakeholders in the design and implementation of monitoring?

Sub-Questions: stakeholder's engagement and Partnerships

- Has the project identified and engaged with all relevant stakeholders?
  - How effective has the project's partnership strategy been in supporting delivery of the project's results to date?' To what extent have the different stakeholders been actively engaged in project decision making
  - How can the partnership (membership, arrangements, communications, and resources) be improved to promote the aims of the project and better delivery, impact and sustainability and ownership of the project's results?
  - Communication, awareness raising and knowledge management
  - How effective has the project been in communicating and promoting its key messages and results to partners, stakeholders and a general audience? How can this be improved?
- How visible has the project been to partners and stakeholders – what is their general opinion of the profile of the project to date?

## 4. Methodology

25. To answer the evaluation questions, the following tools will be used to collect primary data and evidence:

- Desk-review of existing and past project documents and reports, to better understand the context and structure of the project and identify the reported project achievements (see annex 1 for the preliminary list of documents to be consulted);
- Semi-structured interviews with key informants, stakeholders and project participants. Interviews will be supported by check lists and/or interview protocols to be developed at the beginning of the evaluation mission;
- Group discussions with participants and stakeholders in the project sites (fishers, fish workers, local government authorities, regional and national policy-decision makers) where possible and whom have been involved in the project's design, implementation/execution, trainings and workshops; and
- An online stakeholder's survey could be considered, if feasible. The MTR will be conducted alongside with the Project Steering Committee meeting scheduled in March 2020 in order to make as many face-to-face interviews possible and facilitate the interview process.
- Triangulation of evidence based information gathered will underpin its validation and analysis and will support conclusions and recommendations. At the end of the evaluation process, one immediate debriefing on preliminary findings, conclusions and recommendations will be held in Barbados (this can be virtual in order to invite all relevant stakeholders) to present and validate the preliminary findings and triangulate evidence. Conclusions and recommendations will be drafted after the debriefing sessions and will be shared in the first draft of the report for feedback and comments of the PSC members. The report will be finalized after the comments are received; suggestions will be incorporated as considered appropriate by GCU/evaluation team.

- The MTR will be undertaken in-line with GEF principles of: independence, impartiality, transparency, disclosure, ethical, partnership, competencies and capacities, credibility and utility. In order to facilitate comparison with routine reporting to GEF and contribute to the GEF programme learning process (IW Learn), the evaluation will rate the success of the project on the GEF six-point scale system: Highly Satisfactory (HS), Satisfactory (S), Marginally Satisfactory (MS), Marginally Unsatisfactory (MU), Unsatisfactory (U), and Highly Unsatisfactory (HU). All the items listed below will be rated separately and will include comments.

## 5. Roles and responsibilities

26. This section describes the different roles that key stakeholders play in the design and implementation of the MTR.
27. The **Budget Holder (BH)** is accountable for the MTR process and report and is responsible for the initiation, management and finalization of the MTR. Depending on their availability and commitments, the BH may designate another individual - the **MTR Manager (RM)** – to act on their behalf.
28. With the assistance of the project's **Lead Technical officer (LTO)** and the **GEF Coordination Unit (GCU) – FLO and MTR focal point** and guidance from this document, the BH/RM is responsible for the drafting and finalization of the TOR. This TOR should be based on document review, discussions with PTF and if possible a face-to-face meeting with LTO to get a good understanding of the project. The BH/RM is also responsible for the identification of the MTR team members, briefs the MTR team on the MTR methodology and process, and takes the lead in organising the MTR missions. The BH/RM review the draft and final MTR reports, along with the GCU's MTR focal point for Quality Assurance purposes in terms of presentation, compliance with the TOR and timely delivery, quality, clarity and soundness of evidence provided and of the analysis supporting conclusions and recommendations in the MTR report.
29. The **GCU** will appoint a focal point to provide technical backstopping through the MTR process, including guidance and punctual support to the BH/RM and MTR Team on technical issues related to GEF and the MTR. This can also include support in identifying potential MTR team members<sup>23</sup>, participation in interview panels, and briefing the MTR team on the MTR process, relevant methodology and tools. The GCU also follows up with the BH to ensure the timely preparation of the Management Response.
30. The BH, or the RM appointed by the BH, is responsible for initiating the MTR process, providing inputs to the first version of the TOR, especially the description of the background and context chapter, and supporting the MTR team during its work. They are required to participate in meetings with the MTR team, make available information and documentation as necessary, and comment on the TOR and report. Involvement of different members of the PTF will depend on respective roles and participation in the project. The BH is also responsible for leading and coordinating the preparation of the FAO Management Response and the associated Follow-up Report to the MTR, supported in this task by the LTO and others members of the PTF. Further details on the Management Response and the Follow-up Report are provided in the MTR Guidance Document.

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<sup>23</sup> The BH/RM should be responsible for the administrative procedures related to the ET's recruitment.

31. The **MTR Team** is responsible for further developing and applying the MTR methodology, producing a brief MTR inception report, conducting the MTR, and for producing the MTR report. All team members will participate in briefing and debriefing meetings, discussions, and will contribute to the MTR with written inputs to both the draft and final versions of the MTR report (the MTR Team Leader has overall responsibility for delivering the MTR report). The MTR team will agree with the GCU MTR focal point on the outline of the report early in the MTR process, based on the template provided in Annex 12 of the MTR Guidance Document. The MTR Team is free to expand the scope, criteria, questions and issues listed above, as well as develop its own MTR tools and framework, within time and resources available and based on discussions with the BH/RM, consults the BH and PTF where necessary. The MTR Team Leader is fully responsible for the MTR report, which may not reflect the views of the Government or of FAO. Although an MTR report is not subject to technical clearance by FAO, the BH/RM and GCU do provide Quality Assurance of all MTR reports.
32. The MTR Team Leader guides and coordinates the MTR Team members in their specific work, discusses their findings, conclusions and recommendations and leads on the preparation of the draft and the final report, consolidating the inputs from the team members with his/her own.
33. More detailed guidance on the roles and responsibilities of the key individuals and groups involved with the MTR is given in the main MTR Guidance Document.

## 6. MTR team composition and profile

34. A team of two independent consultants will conduct the MTR - one team leader (an evaluator with experience and exposure to projects and evaluations in other regions or globally, preferably with GEF project evaluation experience, but also preferably with fisheries experience) and one team member, a Fisheries expert, who has at least 10 years of experience in fisheries sector climate change adaptation and disaster risk management processes, and who has experience in the project countries. This will allow them to identify the direct improvements created by the project as well as any areas of shortcomings. Crucially, the fisheries expert must understand the region's challenges and advice on effective adaptation approaches for the fisheries sector.
  - The selection of consultants will be aimed at maximizing the overall "team" qualities in the following areas: Recent experience with result-based management evaluation methodologies;
  - Relevant experience with the Ecosystem Approach to Fisheries as well as participatory approaches to management (including co-management).
  - Relevant experience in climate change vulnerability of small-scale fisheries in a developing world context;
  - Relevant experience in the tools and practices for improved climate change adaptation including climate-resilient livelihoods options and the institutional arrangements to integrate adaptation strategies and measures and mainstream climate change adaptation in fisheries management;
  - Relevant experience in disaster risk management in the fisheries sector;

- A good understanding of small-scale fisheries in the region is highly desirable
- Gender and social inclusion issues and approaches;
- Experience working with the GEF or GEF-evaluations;
- Experience working in the Caribbean;

## 7. MTR products (deliverables)

35. This section describes the key MTR products the MTR team will be accountable for producing. At the minimum, these products should include:

- MTR Matrix and reconstructed Theory of Change by the evaluation team and validated by the Project Team and partners.
- MTR Inception report— an inception report should be prepared by the evaluation team before going into the main data collection phase. It should detail the evaluators' understanding of what is being evaluated and why, explain how each evaluation question will be answered by detailing methods, sources of data and data collection procedures. The inception report should include a proposed schedule of tasks, activities and deliverables, designating a team member with the lead responsibility for each task or product.
- Draft MTR report— will be reviewed: i) first internally in FAO (BH / MTR manager project team, and Project Coordinator, GCU, LTO/ LTU) and then ii) by PSC members and key stakeholders.
- Final MTR report<sup>24</sup>: should include an executive summary and illustrate the evidence found that responds to the evaluation questions listed in the TOR and the Inception Report. The report will be prepared in English with numbered paragraphs, following the GCU template for report writing. Supporting data and analysis should be annexed to the report when considered important to complement the main report.

## 8. MTR timeframe

36. This section lists and describes all tasks and deliverables and associated roles and responsibilities of the key MTR individuals and groups, indicating for each the due date or time-frame (e.g. briefings, draft report, final report), as well as who is responsible for its completion.

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<sup>24</sup> See Annex 3 of the Project Evaluation Manual for the outline evaluation report.

| <b>Task</b>                                     | <b>When (recommended)</b> | <b>Duration Is being adjusted based on the current context</b> | <b>Responsibility</b>  |
|---|---------------------------|--|--|
| TOR preparation                                 | November 2020             |  | BH/RM, LTO, FLO and GCU MTR focal point  |
| TOR finalization / Update                       | April 2020                |  | BH/RM,   |
| Team identification                             | February / March 2020     |  | BH/RM, LTO, FLO and GCU MTR focal point  |
| Team recruitment                                | March 2020                |  | BH   |
| Reading background documentation                | March / April 2020        | 10 days  | MTR Team for preparation of the MTR  |
| Briefing of MTR Team                            | March / April 2020        | 2 days   | BH/RM, when necessary supported by PTF and GCU   |
| MTR inception Report                            | April 2020                | 2 weeks  | MTR team   |
| Clearance of the MTR inception report           | April 2020                | 2 weeks  | BH/RM and the GCU MTR focal point  |
| Debriefing of Main findings and recommendations | May 2020                  |  | MTR Team   |
| Production of first draft for circulation       | May 2020                  | 3 weeks  | MTR Team   |
| Circulation and review of first (zero) draft    | May 2020                  | 2 weeks  | BH/RM, PMU, GCU MTR focal point, LTO for comments and quality control (organised by BH/RM) |
| Production of second draft                      | May 2020                  | 2 weeks  | MTR Team   |
| Circulation of second draft                     | May/ June 2020            | 2 weeks  | BH/RM and key external stakeholders (organised by BH/RM)                                   |
| Production of final report                      | June 2020                 | 1 week   | MTR team   |
| Management Response (MR)                        | June 2020                 | 1 month after MT report is finalized                           | BH   |
| Follow-up report in PPR or PIR                  | September 2020            | 6 months   | BH   |

## Annexes

### **Annex I: Overview of the Available Documents**

Documents to be provided to the MTR team (“project information package”)

1. GEF PIF with technical clearance
2. Comments from the GEF Secretariat, the GEF Scientific and Technical Advisory Panel (STAP) and GEF Council members on project design, plus FAO responses
3. FAO concept note and FAO Project Review Committee report
4. Request for GEF CEO endorsement
5. FAO–GEF project preparation grant document
6. GEF-approved project document and any updated approved document following the inception workshop, with latest budgets showing budget revisions
7. Project inception report
8. Six-monthly FAO PPRs
9. Annual workplans and budgets (including budget revisions)
10. All annual GEF PIR reports
11. All other monitoring reports prepared by the project
12. Documentation detailing any changes to the project framework or components, such as changes to originally designed outcomes and outputs
13. List of stakeholders
14. List of project sites and site location maps (Not applicable due to COVID 19 restrictions site visits have been cancelled)
15. Execution agreements under OPIM and letters of agreement
16. Relevant technical, backstopping and project-supervision mission reports, including back-to-the-office reports by relevant project and FAO staff, including any reports on technical support provided by FAO headquarters or regional office staff
17. Minutes of the meetings of the PSC, FAO PTF and other relevant groups
18. Any ESS analysis and mitigation plans produced during the project design period and online records on FPMIS
19. Any awareness-raising and communications materials produced by the project, such as brochures, leaflets, presentations for meetings, project web address, etc.
20. FAO policy documents in relation to topics such as FAO Strategic Objectives and gender
21. Finalized GEF focal-area tracking tools at CEO endorsement, as well as updated tracking tools at mid-term for GEF-5 projects (and for GEF-6 and GEF-7 projects with Biodiversity Focal Area (BD) Objective 2 and management of protected areas) and/or review of contribution to GEF-7 core indicators (retrofitted) for GEF-6 projects, and GEF-7 core indicators for GEF-7-approved projects, as defined in the Core Indicators Worksheet (GEF, 2019a)
22. Financial management information, including an up-to-date co-financing table, a summary report on the project’s financial management and expenditures to date, a summary of any financial revisions made to the project and their purpose, and copies of any completed audits for comment (as appropriate)
23. The GEF Gender Policy (GEF, 2017), GEF Gender Implementation Strategy (GEF, 2018a), GEF Guidance on Gender Equality (GEF, 2018b) and the GEF Guide to Advance Gender Equality in GEF Projects and Programmes (GEF, 2018c), Indigenous Peoples Policy

*The following documents should also be made available to the MTR team on request or as required:*

24. FAO Country Programme Framework documents, the FAO Guide to the Project Cycle

**(FAO, 2012b), FAO Environment and Social Management Guidelines (FAO, 2015), FAO Policy on Gender Equity, the Guide to Mainstreaming Gender in FAO's Project Cycle (FAO, 2017a) and the Free, Prior and Informed Consent Manual (FAO, 2016)**

*For programmes:*

- 25. CEO endorsement/approval of child projects under the programme**
- 26. Programme framework documents and child project titles or concepts**

## Annex 2: Projects Results Framework

| Objective/Impact   | Baseline   | Outcome indicators   | Assumptions  |
|--|--|--|--|
| <p><u>Project Objective:</u></p> <p>To increase resilience and reduce vulnerability to climate change impacts in the eastern Caribbean fisheries sector, through introduction of adaptation measures in fisheries management and capacity building of fisherfolk and aquaculturists.</p> | <p><u>Component 1:</u></p> <p>Outcome 1.1.</p> <ul style="list-style-type: none"> <li>• <i>No standardized</i> available framework on climate change vulnerability of the fisheries sector at the local level</li> <li>• <i>No downscaled</i> regional climate change models on risks and fish abundance available</li> <li>• Men, women, national authorities and institutions in target areas have <i>little awareness</i> of how to reduce the vulnerability of the fisheries sector to the impacts of climate change and about required adaptation practices</li> </ul>  | <p><u>Component 1:</u></p> <p>Outcome 1.1</p> <p>Target:</p> <ul style="list-style-type: none"> <li>• regional design for a framework of climate change vulnerability of the fisheries sector at the local level</li> <li>• Vulnerability assessments carried out at the local level in five project countries</li> <li>• 1 500 people will have an increased awareness of climate change impacts on the fisheries sector and adaptation practices</li> </ul>  | <p><u>Component 1:</u></p> <p>The assumption is that there is a willingness to participate in vulnerability assessments and that this will be motivating for raising awareness of vulnerability models and work with knowledge into possible livelihoods and effective interventions through various partners.</p>   |
|  | <p><u>Component 2:</u></p> <p>Outcome 2.1.</p> <ul style="list-style-type: none"> <li>• Limited uptake of climate change adaptation measures in the fisheries sector</li> <li>• Fisherfolk and fish workers are generally not equipped (education, skills, training) to take advantage of existing or alternative livelihoods or diversification options.</li> <li>• Risk mitigation and reduction measures in fisheries are not accessible or easily available to fishers (e.g. fisheries insurance, social security, health insurance, pensions)</li> <li>• No early warning systems, protocols, drills or training specifically tailored to the fisheries sector</li> <li>• fisherfolk, households and communities have poor access to climate resilient livelihood options</li> </ul> <p>Outcome 2.2.</p> <ul style="list-style-type: none"> <li>• Development of the sector in the Eastern Caribbean is very limited and only four project countries have limited development of aquaculture</li> </ul> | <p><u>Component 2:</u></p> <p>Outcome 2.1</p> <p>Targets:</p> <ul style="list-style-type: none"> <li>• 1 400 people will be adopting adaptation technologies (20% women)</li> <li>• 4 200 people (40% women) will benefit from adoption of diversified, climate livelihood options by means of adaptation measures; alternative livelihoods and capacity building.</li> <li>• Access of fisherfolk to fisheries insurance and social security will have increased, as well as availability of these services in at least four (4) of the project countries.</li> </ul> | <p><u>Component 2:</u></p> <p>This component assumes that fisherfolk are willing to adopt aquaculture and long-term fisheries alternatives and new technologies and activities. Technical assistance will be identified and be taken up by fisherfolk. This component also assumes that collaboration with groups, where possible, will be avoided. It is also assumed that expressed interest in insurance services will be attractive.</p> |

|  |   |  |   |
|--|---|--|---|
|  | <ul style="list-style-type: none"> <li>No training on adaptive capacity of aquaculturists to climate change</li> </ul>  | <p>Outcome 2.2</p> <ul style="list-style-type: none"> <li>300 people will benefit through rehabilitation of existing and establishing of new aquaculture centres and capacity building activities</li> </ul>   |   |
|  | <p><u>Component 3:</u></p> <ul style="list-style-type: none"> <li>The capacities of five (5) national institutions to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures is measured at seven points</li> <li>The national policies of five (5) countries to identify, prioritize and integrate adaptation strategies and measures is measured at two points</li> </ul> | <p><u>Component 3:</u></p> <p>Outcome 3.1</p> <ul style="list-style-type: none"> <li>the capacities of five (5) national institutions to identify, prioritize, implement, monitor and evaluate adaptation strategies has improved with five points</li> <li>National policies and plans to identify, prioritize and integrate adaptation strategies and measures in five (5) countries are strengthened with 5 points</li> </ul> | <p><u>Component 3:</u></p> <p>There is national and regional climate integration</p> <p>There is the potential for EAF, CC national</p> |
|  | <p><u>Component 4:</u></p> <p>4.1 Project results matrix exists with baseline information and outcome and output indicators and targets.</p>  | <p><u>Component 4:</u></p> <p>Outcome 4.1: Project implementation based on results-based management and application of project findings and lessons learnt in future operations.</p> <p>Target:</p> <ul style="list-style-type: none"> <li>The project has achieved its expected outcomes and outputs and lessons learnt.</li> </ul>   | <p><u>Component 4:</u></p> <p>Funding planned</p>   |

**Annex 3: Project outputs and outcomes:**

| Indicators  | Baseline <sup>25</sup>  | Target   | Milestones towards achieving output and outcome targets   |   |   |   |
|---|---|--|---|---|---|---|
|   |   |  | Year 1  | Year 2  | Year 3  | Year 4  |
| <b>Component 1: Understanding and awareness of climate change impacts and vulnerability in the fisheries sector</b>                                 |   |  |   |   |   |   |
| <b>Outcome 1.1</b><br>Increased awareness and understanding of climate change impacts and vulnerability   |   |  |   |   |   |   |
| <b>Output 1.1.1</b><br>Assessment of climate change vulnerability in the fisheries sector carried out at local, national and regional level.        | No standardized available framework on climate change vulnerability of the fisheries sector at the local level.<br><br><i>Indicator 6 AMAT:</i> Risk and vulnerability assessments, and other relevant scientific and technical assessments carried out and updated | <i>Indicator 6 AMAT</i><br>Regional vulnerability assessment for the local level developed and carried out in five project countries                 | <i>Indicator 6 AMAT:</i><br>Initial desk study to develop a vulnerability assessment framework for fisheries sector vulnerability at the local level in the Eastern Caribbean<br><br>VA design tested in pilot sites<br><br>Regional workshop to finalize methodology | <i>Indicator 6 AMAT:</i><br>Vulnerability assessments carried in five project countries   | <i>Indicator 6 AMAT:</i><br>Vulnerability assessments analysed and reported | <i>Indicator 6 AMAT:</i><br>100% reach  |
| <b>Output 1.1.2</b><br>Models that describe fisheries abundance and accessibility   |   |  |   |   |   |   |
| <b>Output 1.1.3</b><br>Findings of vulnerability assessments and models disseminated at regional, national and local level to improve understanding | There is little awareness of adverse impacts of climate change on the vulnerability of the fisheries sector and required adaptation practices<br><br><i>Indicator 5 AMAT:</i>   | <i>Indicator 5 AMAT:</i><br>1 500 people will have an increased awareness of climate change impacts on the fisheries sector and adaptation practices | <i>Indicator 5 AMAT:</i><br>Development at the national level of outreach material for building awareness on vulnerability and models at the national and local level (training, workshops, brochures, School programs, stakeholder meetings                          | <i>Indicator 5 AMAT:</i><br>Activities carried out: 750 people will have increased awareness of climate change impacts on the fisheries sector and about available adaptation practices (40 female) |   | <i>Indicator 5 AMAT:</i><br>Activities out: 1 500 will have increased awareness of climate change impacts on the fisheries sector |

<sup>25</sup> Value in the case of quantitative indicators and description of situation in the case of qualitative indicators. Please insert the year of the baseline

| Indicators | Baseline <sup>25</sup>   | Target | Milestones towards achieving output and outcome targets |        |        |                      |
|------------|--|--------|---|--------|--------|----------------------|
|            |  |        | Year 1  | Year 2 | Year 3 | Year 4               |
|            | Public awareness activities carried out and population reached |        | etc.)   |        |        | and practical female |

**Component 2: Increasing fisherfolk, aquaculturists and coastal community resilience to climate change and variability**

|   |  |  |   |  |  |
|---|--|--|---|--|--|
| <p><b>Outcome 2.1</b></p> <p>Improved resilience of fisherfolk and coastal community members.</p>   | <p>Outcome 2.1.</p> <p>Fisherfolk and fish workers not equipped to take advantage of existing or alternative livelihoods or diversification options.</p> <p><i>Indicator 3 AMAT:</i></p> <p>Population benefiting from adoption of diversified, climate resilient livelihood options</p> <p>Limited uptake of climate change adaptation measures in the fisheries sector</p> | <p><i>Outcome 2.1</i></p> <p><i>Indicator 3 AMAT:</i></p> <p>-4,200 people (men and women) will benefit from adoption of diversified, climate resilient livelihood options by means of adaptation measures; alternative livelihoods and capacity building (40% female)</p> <p><i>Indicator 4 AMAT:</i></p> <p>-1,400 people will adopting adaptation technologies (20% female)</p> | <p><i>Indicator 3 AMAT:</i></p> <p>Development of national and regional climate change adaptation measures; alternative and climate resilient livelihood strategies (e.g. insurance) and/or capacity building activities</p> <p><i>Indicator 4 AMAT:</i></p> <p>-Development of adaptation technologies</p> | <p><i>Indicator 3 AMAT:</i></p> <p>50 % of targeted group (men and women) adopting diversified, climate resilient livelihoods by means of adaptation measures and/or engaged in capacity building activities</p> <p><i>Indicator 4 AMAT:</i></p> <p>-50% of targeted group adopting adaptation technologies (20% female)</p> | <p><i>Indicator 3 AMAT:</i></p> <p>100 % of targeted group (men and women) adopting diversified livelihoods measured and engaged in capacity building activities (20% female)</p> <p><i>Indicator 4 AMAT:</i></p> <p>-100% of targeted group (men and women) adopting adaptation technologies (20% female)</p> |
| <p><b>Output 2.1.1</b></p> <p>Strengthened ICT capacity of fisherfolk and CNFOs</p>   |  |  |   |  |  |
| <p><b>Output 2.1.2</b></p> <p>Strengthened fisherfolk and CNFO capacity (in business skills, insurance schemes, coping with loss, rapid response and boat hauling) and associated</p> |  |  |   |  |  |

|  |  |  |   |  |               |  |
|--|--|--|---|--|---------------|--|
| equipment delivered  |  |  |   |  |               |  |
| <b>Output 2.1.3</b><br>Exchange programs on fisheries co-management and adaptation technology  |  |  |   |  |               |  |
| <b>Outcome 2.2</b><br>Improved resilience of aquaculturists  | Outcome 2.2.<br>Development of the aquaculture sector in the Eastern Caribbean is limited and only four project countries have partial developed aquaculture sector and limited training on adaptive capacity of aquaculturists to climate change<br><br><i>Indicator 3 AMAT</i><br>Population benefiting from adoption of diversified, climate resilient livelihood options | Outcome 2.2<br><br><i>Indicator 3 AMAT:</i><br>300 people will benefit through rehabilitation of existing and establishing of new aquaculture centres and capacity building activities |   | <i>Indicator 3 AMAT:</i><br>50 % of targeted group (men and women) adopting diversified livelihood measures and/or engaged in capacity building activities in the aquaculture sector |               | <i>Indicator 3 AMAT:</i><br>50 % of targeted group (men and women) adopting diversified livelihood measures and/or engaged in capacity building activities in the aquaculture sector |
| <b>Output 2.2.1</b><br>Existing aquaculture centers rehabilitated and new aquaculture centers established                                      |  |  |   |  |               |  |
| <b>Output 2.2.2</b><br>Strengthened capacity of aquaculturists in climate change adaptation measures and adaptive technologies                 |  |  |   |  |               |  |
| <b>Indicators</b>  | <b>Baseline</b>  | <b>Target</b>  | <b>Milestones towards achieving output and outcome targets</b>                            |  |               |  |
|  |  |  | <b>Year 1</b>   | <b>Year 2</b>  | <b>Year 3</b> | <b>Year 4</b>  |
| <b>Component 3: Mainstreaming of climate change adaptation in multi-level fisheries governance</b>   |  |  |   |  |               |  |
| <b>Outcome 3.1</b><br>Climate change adaptation mainstreamed in multilevel fisheries governance  |  |  |   |  |               |  |
| <b>Output 3.1.1</b><br>Strengthened institutional regional and national capacity on mechanisms to implement climate change adaptation measures | Output 3.1.1.<br>The capacities of five national institutions to identify, prioritize, implement, monitor and evaluate   | Output 3.1.1<br><i>Indicator 10 AMAT:</i><br>the capacities of five (5) national   | <i>Indicator 10 AMAT:</i><br>Training curriculum and plan prepared on EAF and CCA and DRM | <i>Indicator 10 AMAT:</i><br>30% of capacity building activities carried out   |               | <i>Indicator 10 AMAT:</i><br>The capacities of five (5) national institutions to identify,   |

|  |  |  |  |   |  |   |
|--|--|--|--|---|--|---|
|  | <p>adaptation strategies and measures is low (and measured at seven)</p> <p><i>Indicator 10 AMAT:</i></p> <p>Capacities or regional, national and sub-national institutions to identify, prioritize, implement, monitor, evaluate adaptation strategies and measures</p>   | <p>institutions to identify, prioritize, implement, monitor and evaluate adaptation strategies is improved with five points</p>  |  |   |  | <p>prioritize, implement, monitor and evaluate adaptation strategies improved with five points</p>  |
| <p><b>Output 3.1.2</b></p> <p>Climate change adaptation mainstreamed into policies, plans and associated processes</p> | <p>Output 3.1.2.</p> <p>The national policies of five countries to identify, prioritize and integrate adaptation strategies and measures is low (and measured at two)</p> <p><i>Indicator 12 AMAT:</i></p> <p>Regional, national and sector-wide policies, plans and processes developed and strengthened to identify, prioritize and integrate adaptation strategies and measures</p> | <p>Output 3.1.2.</p> <p><i>Indicator 12 AMAT:</i></p> <p>- National policies and plans to identify, prioritize and integrate adaptation strategies and measures in five (5) countries are strengthened with 5 points</p> | <p><i>Indicator 12 AMAT:</i></p> <p>National policies and plans analysed and recommendations drafted for EAF/CC and DRM mainstreaming into fisheries management and planning-legislation</p> | <p><i>Indicator 12 AMAT:</i></p> <p>National policies and plans and adaptation strategies and measures in five project countries strengthened in draft form</p> | <p><i>Indicator 12 AMAT:</i></p> <p>At least 2 regional fisheries policies and management plans and recommendations have incorporated CCA and DRM measures</p> | <p><i>Indicator 12 AMAT:</i></p> <p>- National policies and plans to identify, prioritize and integrate adaptation strategies and measures in five (5) countries are strengthened with 5 points</p> |

Annex 3: Co-financing table

| <b>Co-financing</b>                          | <b>Project Document</b> | <b>To date</b>           |
|--|-------------------------|--------------------------|
| Government of Antigua and Barbuda            | USD 3 250 000           | USD 684 700              |
| Government of Dominica                       | USD 1 250 000           | USD 1 250 000            |
| Government of Grenada                        | USD 1 500 000           | USD 375 000              |
| Government of St. Kitts and Nevis            | USD 1 250 000           | USD 1 250 000            |
| Government of Saint Lucia                    | USD 5 480 000           | USD 2 046 000            |
| Government of St. Vincent and the Grenadines | USD 1 500 000           | USD 1 500 000            |
| Government of Trinidad and Tobago            | USD 19 500 000          | USD 19 500 000           |
| WECAFC                                       | USD 2 000 000           | USD 666 000              |
| CRFM   | USD 400 000             | USD 148 000              |
| TNC  | USD 200 000             | USD 200 000              |
| CARIBSAVE Partnership                        | USD 1 000 000           | Ceased to exist          |
| University of the West-Indies                | USD 212 000             | USD 165 000              |
| <b>Total co-financing</b>                    | <b>USD 37 542 000</b>   | <b>USD 27 784 700.00</b> |

**Appendix 2 MTR Review Matrix**

| Main evaluation question  | Indicators   | Sources  | Methodology  |
|---|--|--|--|
| List evaluative question(s) and sub-questions here  | Relationships established, coherence of project design and implementation approach, specific activities conducted, quality of risk mitigation strategies, etc.   | Project documents, national policies or strategies, websites, project staff, project partners, data collected throughout the MTR mission, etc.   | Document analysis, data analysis, interviews with project staff, interviews with stakeholders, etc.<br><br>Due to COVID-19, all interviews and focus groups will now be conducted virtually  |
| <b>1. STRATEGIC RELEVANCE</b>   |  |  |  |
| <p>To what extent do the project goals and objectives align with the current vision, strategic priorities, and policies of the key stakeholders (GEF, FAO, participating countries, and key target stakeholders)?</p> <p><u>Sub-questions</u></p> <p>a) To what extent is the project strategy relevant to:</p> <ul style="list-style-type: none"> <li>• the countries' current vision, strategic priorities, and policies?</li> <li>• the current needs and priorities of key target stakeholders?</li> <li>• fulfilment of the SDGs?</li> <li>• countries' other international environmental and social/human rights commitments?</li> <li>• GEF/SCCF focal areas/operational program strategies and the FAO Country</li> </ul> | <ul style="list-style-type: none"> <li>• National vision documents and related policies reflect project objectives and values.</li> <li>• Regional, national, and sector-wide policies, plans, and processes developed and strengthened to identify, prioritize, and integrate adaptation strategies and measures.</li> <li>• MEA and VNR reports align with and reflect the achievements of the project.</li> <li>• Co-funding from national governments in line with commitments.</li> <li>• Project results align with GEF and FAO strategic priorities.</li> </ul> | <ul style="list-style-type: none"> <li>• FAO/GEF key strategy objectives</li> <li>• Project progress reports</li> <li>• Final or draft national policies, plans, strategies and international reporting (e.g., MEAs, SDG VNRs)</li> <li>• Regional and national-level newsletters and other communication products</li> <li>• Data from MTR meetings, interviews, and focus groups (see Methodology )</li> </ul> <p>1.</p> | <ul style="list-style-type: none"> <li>• Analysis of documents provided by PCU and NPCs, including FAO/GEF guidelines</li> <li>• Analysis of print media, social media, and websites</li> <li>• Focus groups with: <ul style="list-style-type: none"> <li>○ PCU staff</li> <li>○ National focal point and other government stakeholders in each country</li> <li>○ Fisherfolk/fisherfolk organisations/community stakeholders in each country (composition to be recommended by the national coordinator and PCU)</li> </ul> </li> <li>• Individual interviews with PCU staff, LTOs, and other FAO/GEF staff, including national project coordinators</li> </ul> |

| Main evaluation question   | Indicators  | Sources  | Methodology   |
|--|---|--|---|
| <p>Programming Framework</p> <p>b) Have the national vision, strategic priorities, and policies changed during the course of the project and, if so, what changes in project design would you recommend for the remainder of the project to make it more relevant?</p>   | <ul style="list-style-type: none"> <li>Project theory/theories of change (ToCs) substantiated by results.</li> </ul>  |  | <ul style="list-style-type: none"> <li>Interviews with other key informants, such as project consultants/partners and possibly project managers of co-projects contributing funding</li> </ul>  |
| <b>2. EFFECTIVENESS – Progress towards results</b>   |   |  |   |
| <p>To what extent have the expected outcomes, outputs, and objectives of the project been achieved so far?</p> <p><u>Sub-questions</u></p> <p>a) To what extent has the project delivered on its outcomes to date?</p> <ul style="list-style-type: none"> <li>Probe for qualitative/changes in KAP rather than just quantitative data on attendance</li> </ul> <p>b) How effectively has the project delivered on the planned outputs in terms of i) quality, ii) quantity, and iii) timeliness?</p> <ul style="list-style-type: none"> <li>overall?</li> <li>in your country/sector?</li> </ul> <p>c) Has the project contributed to additional results at the regional or global level?</p> <ul style="list-style-type: none"> <li>If so, to what extent can these results be</li> </ul> | <ul style="list-style-type: none"> <li>Activity/workshop reports evidence Increased awareness and understanding of climate change impacts and vulnerability by stakeholders in the fisheries sector in the project countries.</li> <li>Risk and vulnerability assessments carried out.</li> <li>Activity/workshop reports evidence improved resilience of fisherfolk organisations and fisherfolk.</li> <li>Adaptation technologies adopted/applied following training.</li> <li>Fisherfolk, aquaculturists,</li> </ul> | <ul style="list-style-type: none"> <li>Project progress reports (PPR and PIR)</li> <li>National progress reports</li> <li>Project Steering Committee (PSC) meeting reports</li> <li>Reports on VCA activities</li> <li>Reports on capacity building activities</li> <li>Final or draft regional, national and sector-level policies, plans and processes related to the integration of adaptation</li> </ul> | <ul style="list-style-type: none"> <li>Analysis of documents provided by PCU and NPCs, notably reports on activities designed to build capacity; apply an increased understanding of climate change resilience; introduce new adaptation technologies; and provide sustainable livelihoods</li> <li>Focus groups with: <ul style="list-style-type: none"> <li>PCU staff</li> <li>National coordinators</li> <li>National focal point and other government stakeholders in each country</li> <li>Focus groups (where possible) with fisherfolk/fisherfolk organisations/community</li> </ul> </li> </ul> |

| Main evaluation question   | Indicators  | Sources   | Methodology   |
|--|---|---|---|
| <p>attributed to the GEF-funded components?</p> <p>d) Have there been any unintended results (positive or negative)?</p> <p>e) To what extent have participating countries and key stakeholders benefitted from project interventions?</p> <ul style="list-style-type: none"> <li>• how is this being measured, evaluated, and documented?</li> </ul> <p>f) What factors contributed to results being achieved more effectively in some countries than others?</p> <p>g) How effective has stakeholder engagement been:</p> <ul style="list-style-type: none"> <li>• by the PCU?</li> <li>• at the regional level?</li> <li>• at the national level?</li> <li>• At the local/community level?</li> </ul> <p>h) Have any best practices in stakeholder engagement emerged from the project?</p> <p>i) What can be done during the remainder of the project to facilitate the achievement of all the desired project outcomes and outputs?</p> | <p>and others involved in the fisheries sector have derived socio-economic benefits from the adoption of diversified, climate-resilient livelihoods.</p> <ul style="list-style-type: none"> <li>• Activity/workshop reports evidence improved resilience of aquaculturists and their organisations.</li> <li>• Project reports evidence enhanced capacity of regional, national, and sub-national institutions to identify, prioritise, implement, monitor, and evaluate adaptation strategies and measures for the fisheries sector.</li> <li>• Regional, national, and sector-level policies, plans, and processes developed and/or strengthened to identify, prioritise, and integrate adaptation strategies and measures.</li> <li>• Project outputs delivered in line</li> </ul> | <p>strategies and measures in the fisheries sector</p> <ul style="list-style-type: none"> <li>• Final or draft national policies, plans, strategies and international reporting (e.g., MEAs, SDG VNRs)</li> <li>• Project work plans</li> <li>• Project budgets</li> <li>• M&amp;E plan</li> <li>• Communication strategies</li> <li>• Communication products</li> <li>• Data from MTR meetings, interviews, and focus groups (see Methodology )</li> </ul> <p>2.</p> | <p>stakeholders in each country (composition to be recommended by the national coordinator/national focal point); where focus groups are not possible, via individual Skype or WhatsApp phone calls.</p> <ul style="list-style-type: none"> <li>• Individual interviews with PCU staff, LTOs, and other FAO/GEF staff, including national project coordinators</li> <li>• Interviews with other key informants, such as project consultants/partners and possibly project managers of projects contributing co-funding</li> </ul> |

| Main evaluation question  | Indicators  | Sources  | Methodology  |
|---|---|--|--|
|   | <p>with the work plan.</p> <ul style="list-style-type: none"> <li>• Project expenditure in line with the project budget.</li> <li>• Monitoring and evaluation plan developed and applied.</li> <li>• Activities adapted based on M&amp;E findings.</li> <li>• Lessons learned and best practices identified, documented in stakeholder-appropriate formats, and disseminated to relevant stakeholders.</li> </ul> |  |  |
| <b>3. EFFICIENCY</b>  |   |  |  |
| <p>Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting project implementation? (Extent to which the project is making the best use of available human, technical, technological, financial, and knowledge inputs to achieve its desired results, with special attention to the effectiveness of the M&amp;E system.)</p> | <ul style="list-style-type: none"> <li>• Progress reports evidence timely achievement of results and expenditure in line with budget and best value for money.</li> <li>• M&amp;E plan developed and applied, as evidenced by <ul style="list-style-type: none"> <li>○ PSC reports and presentations on project progress, budgets, and work plans.</li> <li>○ Project risk register</li> </ul> </li> </ul>        | <ul style="list-style-type: none"> <li>• Project progress reports, e.g., PIR PPR and PSC, as well as those related to partner and country LOAs</li> <li>• Partner and country LOAs and related budgets</li> <li>• Annual project budgets</li> <li>• Annual project work plans</li> <li>• Final or draft regional,</li> </ul> | <ul style="list-style-type: none"> <li>• Analysis of documents provided by PCU and NPCs.</li> <li>• Focus groups with: <ul style="list-style-type: none"> <li>○ PCU staff</li> <li>○ National coordinators</li> <li>○ National focal point and other government stakeholders in each country</li> <li>○ Fisherfolk/fisherfolk organisations/community stakeholders in each country (composition to be recommended by the national</li> </ul> </li> </ul> |

| Main evaluation question   | Indicators   | Sources   | Methodology  |
|--|--|---|--|
| <p><u>Sub-questions</u></p> <p>a) To what extent has the project been designed and implemented efficiently, cost-effectively, and in a timely manner?</p> <ul style="list-style-type: none"> <li>• what systems are in place to monitor and evaluate the project and adapt project delivery accordingly?</li> <li>• what systems are in place to communicate M&amp;E findings and project results to project stakeholders?</li> </ul> <p>b) To what extent have the PCU and national project managers been able to adapt to changing internal or external conditions to sustain or improve the efficiency of project implementation?</p> <ul style="list-style-type: none"> <li>• how has the project adapted to extreme events (e.g., Hurricanes Maria and Irma)?</li> <li>• what lessons have been learned about adaptation to extreme events?</li> <li>• how have these been documented and shared?</li> </ul> <p>c) To what extent has the project been able to increase its efficiency by building on synergies with, and lessons learned from, complementary projects/initiatives?</p> | <p>developed, monitored, and updated annually.</p> <ul style="list-style-type: none"> <li>○ Adaptation of project approach and schedule to changing internal and external conditions, including extreme events.</li> <li>• Communications strategy developed and applied.</li> <li>• Timely and regular sharing of project results with stakeholders via appropriate media.</li> <li>• Reports indicate that the project has optimised the technical capacity of stakeholders and partners.</li> <li>• Continuous documentation and dissemination of lessons learned and best practices</li> <li>• Country and Partner LOAs issued, funded and implemented in accordance with project work plans and budgets.</li> </ul> | <p>national and sector-level policies, plans and processes related to the adoption of tools and technologies introduced under the project</p> <ul style="list-style-type: none"> <li>• M&amp;E Plan</li> <li>• Communications strategy</li> <li>• Reports on lessons learned and best practices</li> <li>• Communications and promotional products</li> <li>• Feedback surveys or evaluation forms from training activities</li> <li>• Co-financing letters/agreements and related reports</li> <li>• Data from MTR meetings interviews and focus groups</li> </ul> <p>3.</p> | <p>coordinator/ national focal point) where possible, or if not, via individual Skype or WhatsApp calls</p> <ul style="list-style-type: none"> <li>• Individual interviews with PCU staff, LTOs, and other FAO/GEF staff, including national project coordinators</li> <li>• Interviews with other key informants, such as project consultants/partners and possibly project managers of projects contributing co-funding</li> </ul> |

| Main evaluation question  | Indicators  | Sources | Methodology |
|---|---|---------|-------------|
| <ul style="list-style-type: none"> <li>• to avoid duplication of activities</li> <li>• to leverage additional resources?</li> </ul> <p>d) To what extent has FAO support contributed to project efficiency</p> <ul style="list-style-type: none"> <li>• what have been the main areas of success in managing the project?</li> <li>• what have been the main challenges faced in managing the project?</li> <li>• What additional FAO support improved efficiency for the remainder of the project?</li> </ul> <p>e) How efficiently are resources allocated in terms of technical support, capacity building, hardware provision, and cash inputs?</p> <ul style="list-style-type: none"> <li>• to what extent do these inputs respond to the needs of target beneficiaries?</li> </ul> <p>f) How can the efficiency of project delivery be improved during the remainder of the project?</p> <p>g) Are fisherfolk and fisheries actors demonstrating increased efficiency as a result of the tools and technologies introduced?</p> | <ul style="list-style-type: none"> <li>• Fisherfolk, aquaculturists, and others involved in the fisheries sector demonstrate improved efficiency based on the tools and technologies made available under the project.</li> </ul> |         |             |
| <b>4. FACTORS AFFECTING PERFORMANCE</b>   |   |         |             |

| Main evaluation question  | Indicators   | Sources   | Methodology   |
|---|--|---|---|
| <p>What have been the main factors affecting performance?</p> <p><u>Sub-Questions:</u></p> <p><b>General</b></p> <p>a) What have been the major factors influencing the achievement or non-achievement of project results?</p> <p>b) What have been the main challenges to- date in delivering the project?</p> <p>c) What have been the challenges in relation to the financial management of the project?</p> <p>d) To what extent has the pledged co-financing been delivered?</p> <ul style="list-style-type: none"> <li>• has any additional co-financing been secured since implementation began?</li> <li>• how has any shortfall in co-financing, or securing of greater than expected co-financing, affected project results?</li> </ul> <p>e) What lessons have been learned relating to factors affecting performance? How can these be applied to enhance the delivery of the remainder of the project</p> <p>f) How has flexibility been built into the design of interventions, and how can this be further</p> | <ul style="list-style-type: none"> <li>• Project theory of change clearly identified and evaluated periodically.</li> <li>• Success factors and challenges in project design and implementation identified in project reports.</li> <li>• Extent to which pledged co-financing has been delivered and can be identified in project reports.</li> <li>• Amount of additional co-funding identified in project reports</li> <li>• Monitoring and evaluation plan developed and applied.</li> <li>• Adaptive actions taken in response to changes in the external environment and lessons learned.</li> <li>• Risks identified and managed (both at the project design phase and subsequently).</li> <li>• Effective leverage of Project Steering Committee in coordination and decision-making as evidenced in steering</li> </ul> | <ul style="list-style-type: none"> <li>• CC4FISH project document</li> <li>• Project progress reports (PPR and PIR)</li> <li>• National reports</li> <li>• Steering Committee meeting reports</li> <li>• Partner reports</li> <li>• Final or draft regional, national, and sector-level policies, plans, and processes related to the integration of adaptation strategies and measures.</li> <li>• Project work plans</li> <li>• Project budgets</li> <li>• M&amp;E plan</li> <li>• Communication strategies</li> <li>• Communication products</li> <li>• Data from MTR meetings, interviews, and focus groups (see Methodology )</li> </ul> | <ul style="list-style-type: none"> <li>• Analysis of documents provided by PCU, including FAO/GEF guidelines</li> <li>• Focus groups with: <ul style="list-style-type: none"> <li>○ PCU staff</li> <li>○ National focal points and other government stakeholders in each country</li> <li>○ Fisherfolk/fisherfolk organisations/community stakeholders in each country (composition to be recommended by the national coordinator and PCU)</li> </ul> </li> <li>• Individual interviews with PCU staff, LTOs, and other FAO/GEF staff, including national project coordinators</li> <li>• Interviews with other key informants, such as project consultants/partners and possibly project managers of projects contributing co-funding</li> </ul> |

| Main evaluation question   | Indicators  | Sources | Methodology |
|--|---|---------|-------------|
| <p>improved?</p> <p><b>Project design and readiness</b></p> <p>a) Is the project design appropriate for delivering the expected outcomes?</p> <p>b) Is the project's logic robust, coherent, and clear?</p> <ul style="list-style-type: none"> <li>• to what extent are the project's objectives and outcomes clearly defined?</li> <li>• are the linkages between the outputs/activities and desired outcomes clear and logical?</li> <li>• are the anticipated outputs/activities feasible/realistic within the four-year timeframe/the remaining period of the project?</li> </ul> <p><b>Project execution and management</b></p> <p>a) What have been the main challenges in relation to the management and administration of the project?</p> <p>b) How well have risks been identified and managed (both at the project design phase and subsequently)?</p> <p><b>Project oversight, implementation role</b></p> <p>a) To what extent has FAO provided oversight and</p> | <p>committee meeting reports.</p> <ul style="list-style-type: none"> <li>• Project design reviewed and desirable changes for future projects identified.</li> <li>• Stakeholders effectively identified and engaged in project design, implementation, and decision-making.</li> <li>• Project partnership strategy clearly documented and evaluated in terms of partner support in the delivery of project results.</li> <li>• Communication strategy developed and applied.</li> <li>• Lessons learned and best practices identified and disseminated to relevant stakeholders to inform adaptation in project implementation.</li> </ul> <p>4.</p> |         |             |

| Main evaluation question   | Indicators | Sources | Methodology |
|--|------------|---------|-------------|
| <p>supervision (technical, administrative and operational) during the project execution phases</p> <p>b) How effective is the coordination of and decision-making by the PSC?</p> <p><b>Monitoring and Evaluation</b></p> <p>c) Are the project's M&amp;E systems and plans robust, practical and sufficient? How could these be improved?</p> <ul style="list-style-type: none"> <li>• What systems are in place for M&amp;E at the project and national levels?</li> <li>• How has assessment of qualitative objectives/outcomes /outputs been integrated in the M&amp;E system (e.g., changes in knowledge, attitude, and practice)?</li> <li>• How has assessment of stakeholder engagement been integrated in the M&amp;E system?</li> <li>• How has assessment of gender mainstreaming/equality been integrated in the M&amp;E system?</li> <li>• How has assessment of youth involvement been integrated in the M&amp;E system?</li> <li>• Is the budget for M&amp;E sufficient and, if not, what can be done to increase it</li> </ul> |            |         |             |

| Main evaluation question  | Indicators | Sources | Methodology |
|---|------------|---------|-------------|
| <p>for the remainder of the project?</p> <p>d) Has the project been implemented on a results-based management basis?</p> <p>e) To what extent has the project engaged stakeholders in the design and implementation of monitoring?</p> <p><b>Stakeholder engagement and partnerships</b></p> <p>a) Has the project identified and engaged with all relevant stakeholders?</p> <p>b) How effective has the project's partnership strategy been in supporting the delivery of project results to date?</p> <p>c) To what extent have the different stakeholders been actively engaged in project decision making?</p> <p>d) How can the partnership strategy (membership, arrangements, communications, and resources) be enhanced to promote the aims of the project and better delivery, impact, sustainability, and ownership of the ' project results?</p> <p>e) How are planned project interventions expected to affect (positively or negatively) the workload, access to resources, and livelihoods of women,</p> |            |         |             |

| Main evaluation question  | Indicators | Sources | Methodology |
|---|------------|---------|-------------|
| <p>youth, and fisherfolk in general?</p> <p><b>Communication, awareness-raising and knowledge management</b></p> <p>a) How effective has the project been in communicating and promoting its key messages and results to partners, stakeholders, and a wider audience?</p> <ul style="list-style-type: none"> <li>• Is there an overall project communication strategy, and, if so, is it being implemented effectively and efficiently? If not, what have been the barriers to developing one?</li> </ul> <p>b) How visible has the project been to partners and stakeholders? What is their general opinion of the profile of the project to date?</p> <p>c) What have been the key lessons learned by project stakeholders/beneficiaries as a result of the project?</p> <ul style="list-style-type: none"> <li>• How are these lessons being applied?</li> </ul> <p>d) How can project communication and knowledge management be improved for the remainder of the project?</p> |            |         |             |

| Main evaluation question  | Indicators  | Sources   | Methodology  |
|---|---|---|--|
| <b>5. SUSTAINABILITY OF PROJECT RESULTS</b>   |   |   |  |
| <p>To what extent has the project supported financial, institutional, socio-economic, and/or environmental improvements to sustain long-term project results?</p> <p>(Assessment of the <u>potential for sustainability</u> of the project by measuring the threats to sustainability, the probability of continued implementation of project activities and use of the delivered project technologies and outputs even after the end of the project).</p> <p><u>Sub-Questions:</u></p> <ul style="list-style-type: none"> <li>• Have project results or innovations been taken up, replicated, or upscaled beyond the project?</li> <li>• Has CC4FISH identified resources that have the potential to contribute to post-project sustainability?</li> <li>• What measures or approaches are being adopted at the national level to contribute to project sustainability, and in which project areas?</li> <li>• Has an exit strategy been prepared and agreed upon for this project?</li> <li>• How is learning being</li> </ul> | <ul style="list-style-type: none"> <li>• Type and range of tools and practices supported by the project for improved adaptive capacities, including climate-resilient livelihood options.</li> <li>• Expanded livelihood opportunities derived from tools and practices shared or supported by CC4FISH.</li> <li>• Improved and sustained resilience of direct project beneficiaries, their communities, and organisations.</li> <li>• Fisherfolk, aquaculturists, and others applying new skills acquired during the project.</li> <li>• New and additional human capacity in key organisations (government agencies and fisherfolk organisations) to monitor and</li> </ul> | <ul style="list-style-type: none"> <li>• Project progress reports, e.g., PIR PPR and PSC, as well as those related to partner and country LOAs</li> <li>• M&amp;E plan</li> <li>• Communication strategies and products</li> <li>• Co-financing agreements and reports</li> <li>• Final or draft national policies, plans, strategies and international reporting (e.g., MEAs, SDG VNRs)</li> <li>• Feedback surveys and evaluation reports from event/workshops</li> <li>• Data from MTR meetings, interviews, and focus groups (see Methodology)</li> </ul> | <ul style="list-style-type: none"> <li>• Analysis of documents provided by PCU and NPCs.</li> <li>• Focus groups with: <ul style="list-style-type: none"> <li>○ PCU staff</li> <li>○ National coordinators</li> <li>○ National focal point and other government stakeholders in each country</li> <li>○ Fisherfolk/fisherfolk organisations/community stakeholders in each country (composition to be recommended by the national coordinator/national focal point) where possible, or if not, via individual Skype or WhatsApp calls</li> </ul> </li> <li>• Individual interviews with PCU staff, LTOs, and other FAO/GEF staff, including national project coordinators</li> <li>• Interviews with other key informants, such as project consultants/partners and possibly project managers of projects contributing co-funding</li> </ul> |

| Main evaluation question  | Indicators   | Sources | Methodology |
|---|--|---------|-------------|
| <p>incorporated into ongoing interventions or the design of future projects?</p> <ul style="list-style-type: none"> <li>• Is the sustainability strategy in the Prodoc still relevant, and how is this being monitored?</li> <li>• Has there been any – or is there likely to be – any significant loss of institutional memory due to changes in personnel (e.g. government, NPC or fisherfolk organisations)?</li> <li>• How do you ensure that project interventions positively impact on the workloads and the access to resources of women, youth, fisherfolk in general?</li> </ul> | <p>evaluate risk and identify, prioritise, and implement vulnerability and adaptation measures.</p> <ul style="list-style-type: none"> <li>• Additional resource mobilisation from and/or investment by partners, beneficiaries or third-party organisations;</li> <li>• Adoption and mainstreaming of CC4FISH approaches and recommendations in sector-level, national and regional policy and normative frameworks, projects, or initiatives.</li> <li>• Number of new partnership/cooperation agreements.</li> <li>• Exit strategy developed, adopted and implemented.</li> <li>• Sustainability strategy updated, monitored, and adapted as needed.</li> </ul> |         |             |
| <p><b>6.CROSS-CUTTING ISSUES (e.g., gender, youth, vulnerable groups) and environmental and social safeguards (ESS)</b></p> <p>5. Have equality issues been appropriately and effectively incorporated into project execution and have gender, youth, and social inclusion been effectively incorporated in the activities led by project countries and partners?</p>   |  |         |             |

| Main evaluation question   | Indicators   | Sources   | Methodology   |
|--|--|---|---|
| <p>The relevance (timeliness, quality, and extent of tailoring/target audience-tailoring) of the approach subsequently used to impart the knowledge generated for the diverse stakeholders (fisherfolks, coastal communities and aquaculturists, decision-makers, public audience, and other stakeholders)</p>   |  |   |   |
| <p><b>6a) Gender</b></p>   |  |   |   |
| <p>Sub-questions:</p> <ul style="list-style-type: none"> <li>• How would you describe the project's approach to gender mainstreaming in climate change adaptation in the fisheries sector? <ul style="list-style-type: none"> <li>○ How are you addressing the objective of " improved livelihoods of processing workers [who are] mostly women"?</li> <li>○ How does the project engage with women fish workers, fisherfolk, fisherfolk households, and community members? To what extent are considerations of age, geography, and education level considered in determining the most appropriate engagement and communication strategies?</li> <li>○ What mechanisms are in place to</li> </ul> </li> </ul> | <ul style="list-style-type: none"> <li>• Improved resilience of female project beneficiaries.</li> <li>• Level of gender-sensitivity and responsiveness to the needs of women in institutional arrangements for integrating adaptation strategies and measures and mainstream climate change adaptation in fisheries management.</li> <li>• Women fisherfolk able to identify, prioritise, and implement vulnerability and adaptation measures.</li> <li>• Number and range of socio-economic benefits derived from the adoption of diversified, climate-resilient livelihoods, disaggregated by sex and age.</li> <li>• Number of gender-aware/gender-sensitive risk and</li> </ul> | <ul style="list-style-type: none"> <li>• Project progress reports, e.g., PIR PPR and PSC, as well as those related to partner and country LOAs</li> <li>• M&amp;E plan</li> <li>• Communication strategies and products</li> <li>• Final or draft national policies, plans, strategies and international reporting (e.g., MEAs, SDG VNRs)</li> <li>• Feedback surveys and evaluation reports from event/workshops</li> <li>• Data from MTR meetings, interviews, and focus groups (see Methodology )</li> </ul> | <ul style="list-style-type: none"> <li>• Analysis of documents provided by PCU and NPCs.</li> <li>• Focus groups with: <ul style="list-style-type: none"> <li>○ PCU staff</li> <li>○ National coordinators</li> <li>○ National focal point and other government stakeholders in each country</li> <li>○ Fisherfolk/fisherfolk organisations/community stakeholders in each country (composition to be recommended by the national coordinator/national focal point) where possible, or if not, via individual Skype or WhatsApp calls</li> <li>○ Women's organizations or women's fisherfolk organizations if they exist</li> </ul> </li> <li>• Individual interviews with PCU staff, LTOs, and other FAO/GEF staff, including national project coordinators</li> <li>• Interviews with other key informants, such</li> </ul> |

| Main evaluation question   | Indicators  | Sources   | Methodology  |
|--|---|---|--|
| <p>ensure that women and men can engage and participate equitably in decision-making related to fisheries and fisheries-based livelihoods?</p> <ul style="list-style-type: none"> <li>In what specific ways do you think women have benefitted from the project?</li> </ul> <p><b>For women beneficiaries specifically:</b></p> <ul style="list-style-type: none"> <li>What positive impacts have you seen from being involved in the project?</li> <li>Which of your specific needs and priorities has the project addressed?</li> <li>How have you been able to apply the knowledge and skills gained from the project?</li> <li>What would you like to see included in future projects related to climate change adaptation in the fisheries sector?</li> </ul> | <p>vulnerability assessments conducted,</p> <ul style="list-style-type: none"> <li>Gender-sensitive M&amp;E plan developed and applied.</li> </ul>  |   | <p>as project consultants/partners and possibly project managers of projects contributing co-funding</p> <p>6.</p>   |
| <b>6b) Youth</b>   |   |   |  |
| <p>How have youth and youth considerations influenced the implementation and results of the project?</p> <p><u>Sub-questions</u></p> <ul style="list-style-type: none"> <li>How are you addressing the objective of "empower[ing] youth to take adaptation and mitigation actions and enhance[ing] effective</li> </ul>  | <ul style="list-style-type: none"> <li>Improved resilience of young project beneficiaries.</li> <li>Level of youth-sensitivity and responsiveness to the needs of young people in institutional arrangements for integrating</li> </ul> | <ul style="list-style-type: none"> <li>Project progress reports, e.g., PIR PPR and PSC, as well as those related to partner and country LOAs</li> <li>M&amp;E plan</li> </ul> | <ul style="list-style-type: none"> <li>Analysis of documents provided by PCU</li> <li>Interviews with FAO project staff (PCU, national project coordinators and other key FAO/GEF stakeholders)</li> <li>Interviews with other key informants, such as project consultants/partners</li> </ul> |

| Main evaluation question  | Indicators  | Sources  | Methodology  |
|---|---|--|--|
| <p>participation of youth in policy decision-making processes"?</p> <ul style="list-style-type: none"> <li>• How have youth benefitted directly and indirectly from the project activities so far?</li> <li>• <b>Non-youth stakeholders:</b></li> <li>• What mechanisms are in place to ensure youth engage and participate in decision-making related to fisheries and fisheries-based livelihoods?</li> <li>• What mechanisms are in place to ensure youth can access knowledge generated by the project?</li> <li>• What would you like to see included for youth in future projects related to climate change adaptation in the fisheries sector?</li> </ul> <p><b>For youth beneficiaries specifically:</b></p> <ul style="list-style-type: none"> <li>• What positive impacts have you seen from being involved in the project?</li> <li>• To which of your specific needs has the project responded?</li> <li>• How have you been able to apply the knowledge and skills gained from the project?</li> <li>• What would you like to see included in future projects related to climate change adaptation in the fisheries sector?</li> </ul> | <p>adaptation strategies and measures and mainstream climate change adaptation in fisheries management.</p> <ul style="list-style-type: none"> <li>• Young fisherfolk able to identify, prioritise, and implement vulnerability and adaptation measures.</li> <li>• Number and range of socio-economic benefits derived from the adoption of diversified, climate-resilient livelihoods, disaggregated by age and sex.</li> <li>• Number of youth-sensitive risk and vulnerability assessments conducted.</li> <li>• Youth sensitive M&amp;E plan developed and applied.</li> </ul> | <ul style="list-style-type: none"> <li>• Communication strategies and products</li> <li>• Final or draft national policies, plans, strategies and international reporting (e.g., MEAs, SDG VNRs)</li> <li>• Feedback surveys and evaluation reports from event/workshops</li> <li>• Data from MTR meetings, interviews, and focus groups (see Methodology )</li> </ul> <p>7.</p> | <p>and National Focal Points</p> <ul style="list-style-type: none"> <li>• Focus groups with: <ul style="list-style-type: none"> <li>○ PCU staff,</li> <li>○ NPCs, NFPs and government stakeholders in each country,</li> <li>○ Fisherfolk/fisherfolk organisations/community stakeholders in each country (composition to be recommended by the national coordinator and PCU)</li> </ul> </li> </ul> |
| <p><b>6c) Environmental and Social Safeguards (ESS)</b></p>   |   |  |  |

| Main evaluation question   | Indicators  | Sources   | Methodology   |
|--|---|---|---|
| <ul style="list-style-type: none"> <li>• How has the project employed appropriate prevention and mitigation measures to reduce any potential negative environmental and social impacts of this project?</li> <li>• How is the effectiveness of these measures being monitored?</li> </ul> <p><u>Sub-questions</u></p> <ul style="list-style-type: none"> <li>• Do project activities include monitoring and reporting on actual or potential changes in social and environmental risks that affect the project or might be generated by the project?</li> <li>• Does the project have a grievance mechanism? If not, how are concerns/complaints dealt with?</li> <li>• Has the project had any unintended social or environmental consequences, positive or negative, on the target beneficiaries?</li> </ul> | <ul style="list-style-type: none"> <li>• Appropriate risk mitigation measures conducted.</li> <li>• Periodic monitoring and updating of Environmental and Social Risks. 8.</li> </ul> | <ul style="list-style-type: none"> <li>• Project progress reports, e.g., PIR PPR and PSC, as well as those related to partner and country LOAs</li> <li>• Project risk register and FAO/GEF Social and Environmental Form</li> <li>• M&amp;E Plan</li> <li>• Data from MTR meetings, interviews, and focus groups (see Methodology )</li> </ul> <p>9.</p> | <ul style="list-style-type: none"> <li>• Analysis of documents provided by PCU and NPCs, including FAO/GEF guidelines</li> <li>• Focus groups with: <ul style="list-style-type: none"> <li>○ PCU staff</li> <li>○ National focal point and other government stakeholders in each country</li> <li>○ Fisherfolk/fisherfolk organisations/community stakeholders in each country (composition to be recommended by the national coordinator and PCU)</li> </ul> </li> <li>• Individual interviews with PCU staff, LTOs, and other FAO/GEF staff, including national project coordinators</li> <li>• Interviews with other key informants, such as project consultants/partners and possibly project managers of projects contributing co-funding</li> </ul> |

### Appendix 3. Interview schedule and breakdown of interviewees

#### 1. Interviews FAO/GEF staff and Project Steering Committee members

| #  | Time           | Date                       | Name  | Stakeholder Description/. Purpose   | Preferred contact method | Notes  |
|----|----------------|----------------------------|---|---|--------------------------|--|
| 1  | 12 pm          | 5 March                    | Estelle Page<br>Renata Clark<br>Genevieve Braun<br>Ina Salas Casasola<br>Iris Monnereau | Brief on FAO requirements for GEF MTR - introduction of the new MTR team member           | Zoom                     |  |
| 2  | 12 pm<br>10 am | 9 March<br>and 25<br>March | Iris Monnereau<br>Celestine Moe<br>Yvette DieiOuadie                                    | Meeting with PCU  | Skype                    |  |
| 3  | All day        | 26 March                   | PSC members   | Project Steering Committee (PSC meeting)  | Zoom                     | PSC meeting originally scheduled for 25-27 March in Barbados. Reduced to 1-day virtual meeting due to COVID-19 |
| 4  | 10 am          | 27 March                   | NPCs  | Collective meeting with all 7 NPCs to agree methodology/selection of country interviewees | Zoom                     |  |
| 5  | 11 am          | 31 March                   | NPC SVG<br>Hayden Billingsy   | Individual interview to get NPC input to MTR  | Zoom                     |  |
| 6  | 11 am          | 1 April                    | NPC TT<br>Kerton Job  | Individual interview to get NPC input to MTR  | Zoom                     |  |
| 7  | 2 pm           | 1 April                    | PSC members   | Collective meeting to discuss Theory of Change  | Zoom                     | All PSC members invited but not all could attend   |
| 8  | 2 pm           | 2 April                    | NPC SKN<br>Orisia Williams  | Individual interview to get NPC input to MTR  | Zoom                     |  |
| 9  | 3.30 pm        | 2 April                    | NPC A&B<br>Lucia Mings  | Individual interview to get NPC input to MTR  | Zoom                     |  |
| 10 | 9.30 am        | 3 April                    | NPC SLU<br>Marie Louise Felix   | Individual interview to get NPC input to MTR  | Zoom                     |  |
| 11 | 1 pm           | 3 April                    | Patrick McConney PSC member<br>CERMES   | To discuss project design (for which he played a critical role)                           | Zoom                     | Interview on CERMES work documented under Secion 2 Partners & Consultants                                      |
| 12 | 2.00 pm        | 6 April                    | NPC DOM<br>Nigel Lawrence   | Individual interview to get NPC input to MTR  | Zoom                     |  |

| #  | Time              | Date             | Name  | Stakeholder Description/. Purpose   | Preferred contact method | Notes  |
|----|-------------------|------------------|---|---|--------------------------|--|
| 13 | 9 am              | 17 April         | Tarub Bahri<br>Former LTO   | Individual interview to get former LTO's input to MTR   | Zoom                     |  |
| 14 | 11 am             | 17 April         | Estelle Page<br>Anthony Kellman                                       | Meeting with SLC M&E team   | Zoom                     | Discussion originally due to be conducted in person on 23 and 24 March. Cancelled due to COVID-19      |
| 15 | 9 am              | 22 April         | Valeria GonzalezRiggio  | Meeting with Natural Resources Officer, FAO-GEF Coordination Unit, FAO Rome                             | Zoom                     |  |
| 16 | 11 am             | 22 April         | Lorenza Zagarese<br>Nello Lovell                                      | Meeting with Admin Team, FAO SLC  | Zoom                     |  |
| 17 | 2 pm              | 22 April         | Yvette DieiOudie<br>Current LTO                                       | Individual interview to get current LTO's input to MTR  | Zoom                     |  |
| 18 | 9 am              | 23 April         | Raymon van Anroy<br>Former LTO  | Individual interview to get former LTO's input to MTR   | Zoom                     |  |
| 19 | 12 pm             | 23 April         | Estelle Page<br>Renata Clark<br>Genevieve Braun<br>Ina Salas Casasola | FAO/GEF staff, Rome and Barbados SLC briefing   | Zoom                     | Briefing originally due to be conducted in person on 23 and 24 March. Cancelled due to COVID-19        |
| 20 | 3.30 pm           | 23 April         | NPC Grenada<br>Krisma Moore   | Individual interview to get NPC input to MTR  | Zoom                     |  |
| 21 | 10 am<br>10.30 am | 13 May<br>14 May | Iris Monnereau<br>RPC   | Interview to discuss MTR findings to date, gaps in information received and her inputs into MTR finding | Zoom                     | Meeting extended over 2 days to have a more comprehensive review of progress and insights from the RPC |
| 22 | 12 pm             | 13 May           | Celestine Moe, PCU<br>Admin   | Interview to discuss MTR findings to date, gaps in information received and her inputs into MTR finding | Zoom                     |  |

## 22 interviews/meetings

**21 individuals** (15 women/6 men): excluding some PSC members who participated in focus groups

## 2. Interviews with Project Partners and major consultants

|    | Time         | Date             | Name  | Stakeholder Description/<br>Purpose                       | Medium | Notes  |
|----|--------------|------------------|---|---|--------|--|
| 1  | 2 pm         | 23 April         | Ainka Granderson,<br>CANARI   | Discussion of CANARI's<br>LOAs/progress/inputs to MTR     | Zoom   |  |
| 2  | 8 am         | 30 April         | Graciela Pereira,<br>INFOPECA<br>Helga Josupeit,<br>Consultant                                  | Discussion of INFOPECA's<br>LOA/Deliverables/MTR inputs   | Zoom   |  |
| 3  | 4.30 pm      | 1 May            | Kim Mallalieu<br>CIRP   | Discussion of CIRP's<br>LOAs/progress/MTR inputs          | Zoom   |  |
| 4  | 8 am         | 7 May            | Austin Stankus<br>Kathleen Allen<br>Aquaculture Experts<br>(FAO HQ and FAO SLC<br>respectively) | Discussion of work to date and to<br>come/ inputs to MTR  | Zoom   |  |
| 5  | 2 pm         | 11 May           | Mia Avril<br>DOM aquaponics<br>consultant   | Discussion of her progress and<br>findings to date        | Zoom   |  |
| 6  | 3 pm         | 11 May           | Eric Holliday<br>Fish Safety Foundation   | Discussion of FSF outputs and<br>inputs to MTR            | Zoom   |  |
| 7  | 10 am        | 12 May           | Patrick McConney<br>Hazel Oxenford<br>Sherry-Ann Cox<br>CERMES                                  | Discussion of CERMES'<br>LOAs/progress/inputs to MTR      | Zoom   |  |
| 8  | 2.30 pm      | 13 May           | Keith Flett, One Skip<br>Brad Gentner, Gentner<br>Group (under contract<br>with Oneskip)        | Discussion of Oneskip's<br>consultancy/inputs to MTR      | Zoom   |  |
| 9  | 3 pm         | 13 May           | Nadine Nembhard<br>Adrian LaRoda<br>Devon Stephen<br>Luis Acosta, all<br>CNFO                   | Discussion of CNFO's<br>LOA/progress/inputs to MTR        | Zoom   | Mitch Lay provided<br>inputs via Nadine            |
| 10 | 9 am<br>9 am | 14 May<br>18 May | Yann Laurent<br>Statistician  | Discussion of his<br>consultancy/inputs to MTR            | Zoom   | Initial 1-hour<br>interview proved<br>insufficient |
| 11 | 12 pm        | 14 May           | Milton Haughton June<br>Masters<br>CRFM   | Discussion of CRFM's role in the<br>project/inputs to MTR | Zoom   |  |
| 12 | 10.30 am     | 20 May           | Angus Friday  | Blue Innovation Institute                                 | Zoom   |  |

**12 interviews/meetings**

**11 consultants/partner organisations interviewed.**

**19 individuals not previously interviewed** (Patrick McConney and Luis Acosta already captured under different headers)

**New interviewees** (i.e. excluding Patrick McConney and Luis Acosta): 10 women/9 men

**3. Country Stakeholder Interview Schedule****Antigua and Barbuda**

|                           |          | Name                 | Stakeholder Description   | Preferred contact method | Notes  |
|---------------------------|----------|----------------------|---|--------------------------|--|
| <b>Friday 24 April</b>    |          |                      |   |                          |  |
| 1                         | 10:30 am | Devon Warner         | Barbuda Fishermen's Association/CC4FISH National Steering Committee Member/ President<br>Chair Fisheries Barbuda (elected position)<br>CNFO                 | Zoom                     | Rescheduled several times, as had poor connectivity, finally individual interviewed via WhatsApp at 4.45 pm                                  |
| 2                         | 10:30 am | Arica Hill           | Environmental Awareness Group/National Steering Committee Member  | Zoom                     | Individual interview as others not available at 10.30 am   |
| 3                         | 10:30 am | Garry Gore           | Antigua and Barbuda Marine Ecosystem Protected Area Trust Inc (MEPA)/CC4FISH National Steering Committee Member<br>Also President largest FFO (270 members) | Zoom                     | Rescheduled to 11.30 am with Ruleo Camacho   |
| 4                         | 11.30 am | Ruleo Camacho        | Department of Environment/Marine Officer<br>Previous role: Natural Resources Officer at Dept of Environment   | Zoom                     | With Garry Gore  |
| 5                         | 2:30 pm  | Dwightford Telemaque | Fisher<br><i>But said he doesn't really fish, just buys and resells. Hopes to own boat one day.</i>   | Call                     | Rescheduled several times, as was vending, finally 3.30 pm.<br>Individual call to cell phone   |
| 6                         | 2:30 pm  | Dale Henry           | Fisher  | Call                     | Rescheduled several times, finally 3.30 pm.<br>Individual call to cell phone   |
| 7                         | 2:30 pm  | Euton Henry          | Fisher/fish processor<br>(also commercial airline pilot)  | WhatsApp                 | Rescheduled several times, finally 4.00 pm.<br>Individual call   |
|                           | 4 pm     | Marco Bava           | Antigua and Barbuda Search and Rescue (ABSAR) /Coordinator/Medic  | Phone call               | Cancelled interview, about to set sail till June. Asked for questions and said he would respond in writing but has not in spite of reminders |
| <b>Wednesday 29 April</b> |          |                      |   |                          |  |
| 8                         | 9:00 am  | Larry Francis        | Indies Greens Owner   | Zoom                     | Joint call   |
| 9                         | 9:00 am  | Nickey Barnard       | Ministry of Education/Science Officer   | Zoom                     |  |

|                          |          | Name           | Stakeholder Description                      | Preferred contact method | Notes  |
|--------------------------|----------|----------------|--|--------------------------|--|
| 10                       | 9:00 am  | Nashaun Small  | TLC/owner                                    | Zoom                     |  |
| 11                       | 9:00 am  | Wayne Gardner  | Lincoln Farms/Owner                          | Zoom                     | Couldn't get on Zoom, postponed to individual call at noon. Then postponed again to 12.40 pm |
| <b>Safety at Sea</b>     |          |                |  |                          |  |
| 12                       | 10:30 am | Randolph Best  | Antigua and Barbuda Defence Force/Midshipman | Zoom                     |  |
| <b>Thursday 30 April</b> |          |                |  |                          |  |
| 13                       | 10:00 am | Mark Archibald | Fisheries Officer/CC4FISH Focal Point        | Zoom                     | Joint Focus Group  |
| 14                       | 10:00 am | Tricia Lovell  | Deputy Fisheries Officer                     | Zoom                     |  |
| 15                       | 10:00 am | Hilroy Simon   | Fisheries Officer                            | Zoom                     |  |
| <b>Thursday 7 May</b>    |          |                |  |                          |  |
| 16                       | 9:00 am  | Ian Horsford   | Chief Fisheries Officer                      | Zoom                     |  |

## 11 interviews

16 individuals (3 women/13 men)

## Dominica

|                      |          | Name             | Stakeholder Description   | Preferred contact method | Notes  |
|----------------------|----------|------------------|---|--------------------------|--|
| <b>Monday 11 May</b> |          |                  |   |                          |  |
| 1                    | 10:00 am | A Kurt Hilton    | Fisheries Officer<br>National Focal Point                                     | Zoom                     | Joint meeting. Two other Fisheries staff invited but did not participate |
| 2                    | 10:00 am | Wynona Joseph    | Fisheries Liaison Officer   | Zoom                     |  |
| 3                    | 10:00 am | Diana Degallarie | Fisheries Liaison Officer   | Zoom                     |  |
| 4                    | 11.30 am | Earl George      | President, National Association of Fishers Cooperative (NAFCOOP)<br>CNFO link | WhatsApp call            |  |

## 2 interviews

**4 individuals (2 women/2 men)****Grenada**

|                        |       | Name             | Stakeholder Description  | Preferred contact method    | Notes  |
|------------------------|-------|------------------|--|-----------------------------|--|
| <b>Wednesday 6 May</b> |       |                  |  |                             |  |
| 1                      | 9 am  | Francis Calliste | Fisheries Officer  | Was supposed to be WhatsApp | Had a clash of commitments, tried to reschedule but eventually he sent a written response to the indicative questions sent to him. |
| 2                      | 3 pm  | Luis Acosta      | Grenville Fisher<br>ICT training participant<br>Also attended CNFO organisational capacity building workshop   | WhatsApp                    |  |
| 3                      | 5 pm  | Roland Baldeo    | Consultant (carrying out the design and implementation of the Safety at Sea training).<br>Participant in Safety at Sea Training of Trainers workshop in SLU. | WhatsApp                    | On the day, requested switch to 6pm  |
| <b>Thursday 7 May</b>  |       |                  | <b>Role</b>  | <b>Medium</b>               | <b>Notes</b>   |
| 4                      | 11 am | Terry Charles    | Private Consultant-Fisheries and Aquaculture Response to Emergency (FARE) Training   | WhatsApp                    | On the day, requested switch to 1 pm   |
| 5                      | 3 pm  | Ted Charles      | Aquaonics Farmer<br>Aquaonics training participant   | WhatsApp                    |  |
|                        |       | Roxie Hutchinson | National Focal Point<br>Permanent Secretary (Acting)   |                             | Was not available initially and new NFP appointed 12 May.  |

**4 interviews and one written submission****5 individuals engaged (0 women/5 men)****St Kitts and Nevis**

|                        |      | Name           | Stakeholder Description   | Preferred contact method | Notes |
|------------------------|------|----------------|---|--------------------------|-------|
| <b>Monday 27 April</b> |      |                |   |                          |       |
| 1                      | 8 am | Winston Hobson | Fisher <ul style="list-style-type: none"> <li>Attended Basic Fisher training course, Food Safety and Handling workshop and engine repair and maintenance training.</li> <li>Helps to recruit fisherfolk for CC4Fish workshops.</li> </ul> | WhatsApp call            |       |

|                         |          | Name               | Stakeholder Description   | Preferred contact method | Notes                   |
|-------------------------|----------|--------------------|---|--------------------------|-------------------------|
|                         |          |                    | <ul style="list-style-type: none"> <li>Mr. Hobson is also a member of the national steering committee and member of CNFO</li> </ul>   |                          |                         |
| 2                       | 9 am     | Hazel May Richards | Supervisor, Old Road Fisheries Complex. <ul style="list-style-type: none"> <li>National Stakeholder committee member</li> <li>Attended the Food Safety Workshop April 5, 2018.</li> </ul>   | WhatsApp call            |                         |
| 3                       | 10 am    | Nikkita Browne     | CC4Fish Focal Point, Department of Marine Resources   | WhatsApp call            |                         |
| 4                       | 1 pm     | Derrick Huggins    | Fisher <ul style="list-style-type: none"> <li>Attended Basic Fisher Training Course and engine repair and maintenance workshop.</li> <li>Member of national project steering committee.</li> </ul>  | WhatsApp call            |                         |
| <b>Tuesday 28 April</b> |          |                    | <b>Role</b>   | <b>Medium</b>            | <b>Notes</b>            |
| 5                       | 9:00 am  | Jermaine Browne    | Fisher <ul style="list-style-type: none"> <li>Attended Engine Repair and Maintenance workshop.</li> <li>He will also be a part of the team conducting the VCAs</li> </ul>   | WhatsApp call            |                         |
| 6                       | 10:00 am | Giddle Smitthen    | Officer, St. Kitts & Nevis Coast Guard <ul style="list-style-type: none"> <li>Facilitated Safety at Sea training for the Basic Fisher Training Course</li> <li>Attended the Safety at Sea training workshop in St. Lucia 20-25 January 2020.</li> </ul> | WhatsApp call            |                         |
| 7                       | 11:00 am | Marc Williams      | Director, Department of Marine Resources  | WhatsApp call            | Postponed till 11.30 am |
| 8                       | 12.00 pm | Stephen Moore      | President, Indian Castle Fishers Association <ul style="list-style-type: none"> <li>Also member of national project steering committee.</li> </ul>  | WhatsApp call            |                         |
| 9                       | 1:00 pm  | Thrizen Leader     | Data Collector, Department of Marine Resources <ul style="list-style-type: none"> <li>Supported ICT Stewards training programmes</li> </ul>   | WhatsApp call            |                         |
| 10                      | 2:00 pm  | Zeke Boone         | Manager, St Christopher National Trust <ul style="list-style-type: none"> <li>Participated in on the VCA training.</li> <li>Will be part of the team conducting the VCAs</li> </ul>   | WhatsApp call            | Postponed to 2.30 pm    |

|    |         | Name            | Stakeholder Description   | Preferred contact method | Notes |
|----|---------|-----------------|---|--------------------------|-------|
| 11 | 3.00 pm | Stuart La Place | Aquaponics consultant, Aquaponics farmer <ul style="list-style-type: none"> <li>CC4Fish also provided funding to equip his aquaponic farm with materials and fish to support the training.</li> </ul> | WhatsApp call            |       |

**11 interviews****11 individuals** (2 women/9 men)**Saint Lucia**

|                         |          | Name                     | Stakeholder Description  | Preferred contact method | Notes   |
|-------------------------|----------|--------------------------|--|--------------------------|---|
| <b>Monday 20 April</b>  |          |                          |  |                          |   |
| 1                       | 8 am     | Aelva Leonce             | Fisher – Gros Islet, Fisher Exchange Antigua   | WhatsApp call            |   |
| 2                       | 9 am     | Joanna Melville          | Manager, Gros-Islet Fishermen’s Coop. Participated in the VCA survey   | WhatsApp call            |   |
| 3                       | 11 am    | Ken Tommy                | Fisher -Laborie  | WhatsApp call            |   |
| 4                       | 12 pm    | Thomas Nelson            | Dept. of Fisheries<br>Deputy CFO & CC4FISH National Focal Point (NFP)<br>Seamoss development<br>Fisheries Management Plan/<br>Fisheries Policy | WhatsApp call            |   |
| 5                       | 2 pm     | Lionel Ellis             | VHF radio Specialist   | WhatsApp call            |   |
| 6                       | 4 pm     | Alva Lynch               | Manager: Castries Fisher Cooperative. Member of the Project Steering Committee   | WhatsApp call            |   |
|                         | 6 pm     | Gabriel John             | Fisher -Marigot.<br>Fisher Learning Exchange to Grenada  | WhatsApp call            | Tried multiple times to reach via WhatsApp and phone on 20 and 21 April |
| <b>Tuesday 21 April</b> |          |                          | <b>Role</b>  | <b>Medium</b>            | <b>Notes</b>  |
| 7                       | 9 am     | Hillary Charles          | Fisher - Castries  | WhatsApp call            |   |
| 8                       | 10.30 am | Petronila (Petra) Polius | Dept. of Fisheries<br>NFP Alternate CC4FISH<br>Fisheries Extension   | WhatsApp call            |   |
| 9                       | 12 pm    | Brenda Wilson            | Sargassum cleanup efforts  | WhatsApp call            |   |

|    |      | Name            | Stakeholder Description   | Preferred contact method | Notes                |
|----|------|-----------------|---|--------------------------|----------------------|
| 10 | 1 pm | Wilbur Etienne  | Marine Police, VHF radio training and use   | WhatsApp call            |                      |
| 11 | 3 pm | Vaughn Serieux  | Dept. of Fisheries: Aquaculture and Aquaponics  | WhatsApp call            | Postponed to 3.15 pm |
| 12 | 4 pm | Bernard Fanis   | Communications specialist / production of newsletters, t-shirts, posters, banners, promotional items, video production, Facebook page | WhatsApp call            |                      |
| 13 | 5 pm | Shanna Emmanuel | VCA study / Sustainable Development and Environment Division  | WhatsApp call            |                      |

**13 interviews****13 individuals (5 women/8 men)****St Vincent and the Grenadines**

|                           |       | Name            | Stakeholder Description   | Preferred contact method | Notes      |
|---------------------------|-------|-----------------|---|--------------------------|------------|
| <b>Wednesday 15 April</b> |       |                 |   |                          |            |
| 1                         | 9 am  | Kris Isaacs     | Fisheries Officer, Fisheries Division<br>CC4FISH National Focal Point     | Zoom                     | Group call |
| 2                         | 9 am  | Jeremy Searles  | Fisheries Officer, Fisheries Division                                     | Zoom                     |            |
| 3                         | 10 am | Joe Dublin      | President, Calliaqua Fisheries Cooperative                                | WhatsApp call            |            |
| 4                         | 11 am | Orisha Joseph   | Director Sustainable Grenadines (SusGren)                                 | Zoom                     |            |
| 5                         | 7 pm  | Winsbert Harry  | President, National Fisher Folk Organisation                              | Skype                    |            |
| <b>Thursday 16 April</b>  |       |                 |   |                          |            |
| 6                         | 9 am  | Andre Liverpool | President, Goodwill Fisherman's Cooperative                               | WhatsApp call            |            |
| 7                         | 10 am | Nadine Hull     | Telecoms and Information Manager, National Telecoms Regulatory Commission | Zoom                     |            |
| 8                         | 11 am | Kwesi Cato      | Chief Inspector, SVG Cooperative Department                               | WhatsApp call            |            |
| 9                         | 2 pm  | Vibert Pierre   | President, Barrouallie Fisheries Development Cooperative                  | WhatsApp call            |            |
| <b>Friday 15 May</b>      |       |                 |   |                          |            |

|    |       | Name              | Stakeholder Description                                   | Preferred contact method | Notes |
|----|-------|-------------------|---|--------------------------|-------|
| 10 | 10 am | Anthony Delpheche | Coast Guard<br>Assisted with facilitation of ICT training | Zoom                     |       |

**9 interviews****10 individuals** (2 women/8 men)**Trinidad and Tobago**

|                         |         | Name                  | Stakeholder Description  | Preferred contact method | Notes   |
|-------------------------|---------|-----------------------|--|--------------------------|---|
| <b>Thursday 9 April</b> |         |                       |  |                          |   |
| 1                       | 9 am    | Terrence Holmes       | Fisheries Extension Officer,<br>Department of Marine Resources and<br>Fisheries, Tobago (DMRF) | WhatsApp call            |   |
| 2                       | 11 am   | Garth Ottley          | Fisheries Division<br>DMRF, Tobago   | WhatsApp call            |   |
| 3                       | 1 pm    | Recardo Mieux         | Fisheries Officer<br>National Focal Point  | Zoom                     |   |
| 4                       | 3 pm    | Joslyn Lee Quay       | President<br>Trinidad<br>and Tobago United Fishers (TTUF)<br>Member, CNFO executive committee  | WhatsApp call            |   |
| <b>Tuesday 14 April</b> |         |                       | <b>Role</b>  | <b>Medium</b>            | <b>Notes</b>  |
| 5                       | 9 am    | Junior Quashie        | President, All Tobago Fisherfolk<br>Association (AFTA)   | WhatsApp call            | Other members of ATFA have also<br>supported CC4FISH activities |
| 6                       | 10 am   | Lawrence<br>Toussaint | President, Grand Chemin Fishing<br>Association   | WhatsApp call            |   |
| 7                       | 11.30   | Leon Joseph           | President, Moruga/La Rufin Fishing<br>Association  |                          |   |
| <b>Tuesday 14 April</b> |         |                       | <b>Role</b>  | <b>Medium</b>            | <b>Notes</b>  |
| 8                       | 3.30 pm | Elizabeth<br>Mohammed | Senior Fisheries Officer<br>Also formerly worked at CRFM                                       | Zoom                     |   |

**8 interviews****8 individuals** (1 woman/7 men)

**Total country interviews 58; total individuals engaged 67** of whom 15 (22%) were women, which is broadly in line figures for women's participation overall in project activities.

**Total of all interviews 92; total individuals engaged 107** [40 women (37%) and 67 men (63%).]

## **Appendix 4 Documents reviewed during MTR data review and analysis phase<sup>2627</sup>**

### **FAO/GEF MTR Guidance documents**

- Tracking Tool for SCCF Caribbean Project 2 March 2020
- FAO-GEF Annex 1 - UNEG ethical principles\_171219\_FINAL.pdf
- FAO-GEF Annex 2 - Roles and responsibilities\_171219\_FINAL.pdf
- FAO-GEF Annex 3 - FAO's role and responsibility as a GEF Agency\_171219\_FINAL.pdf
- FAO-GEF Annex 4 - Annotated TOR template for FAO-GEF project MTR\_171219\_FINAL.docx
- FAO-GEF Annex 5 - Illustrative MTR budget\_171219\_FINAL.pdf
- FAO-GEF Annex 6 - TOR template for MTR consultants\_171219\_FINAL.docx
- FAO-GEF Annex 7 - Inception Report guidance\_171219\_FINAL
- FAO-GEF Annex 8 - Stakeholder analysis\_171219\_FINAL.pdf
- FAO-GEF Annex 9 - MTR Matrix template\_171219\_FINAL.docx
- FAO-GEF Annex 10 - Notes on Theory of Change\_171219\_FINAL.pdf
- FAO-GEF Annex 11 - Report template for MTR for FAO-GEF project\_171219\_FINAL.docx
- FAO-GEF Annex 12 - Guidance on completing the MTR report\_171219\_FINAL.pdf
- FAO-GEF Annex 14 - Peer review guidance\_171219\_FINAL.pdf
- FAO-GEF Annex 15 - Glossary - GEF definitions of key terms \_171219\_FINAL.pdf
- FAO. 2013. FAO Policy on Gender Equality - Attaining Food Security Goals in Agriculture and Rural Development. Rome, FAO. (Also available at <http://www.fao.org/3/i3205e/i3205e.pdf>)
- GEF AMAT Adaptation-tracking-tool-2014.xlsx
- MTR guide EN-web annotated.pdf
- GEF Policy Series\_StakeholderEngagement\_2018
- GEF Guidelines for the Implementation of the Public Involvement Policy\_2016
- GEF. 2019. Policy on Environmental and Social Safeguards. Washington DC
- GEF. 2018. GEF Gender Implementation Strategy. Washington DC
- GEF. 2018. Guidance to Advance Gender Equality in GEF Projects and Programmes. Washington DC
- GEF. 2017. GEF Policy on Gender Equality. Washington DC
- GEF. 2012. Principles and Guidelines for Engagement with Indigenous Peoples. Washington DC
- GEF IEO. 2019. The GEF Evaluation Policy. Washington DC. GEF Independent Evaluation Office

### **Key project documents and progress reports**

- CC4FISH Project Document Final
- Co-financing letters (A&B, Dominica, SKN, SVG, T&T, CERMES, CRFM)
- Project Implementation Review report 1 July 2017 to 30 June 2018
- Project Implementation Review report 1 July 2018 to 30 June 2019
- First Project Progress Report (PPR) 1 January 2017 – 30 June 2017

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<sup>26</sup> As mentioned in the MTR Report, there was a lack of consistency/coherence in PCU file naming and consequently this list is less well-structured than we would have liked, though we have sought to put it in approximate date order where dates are available. Also, many of the documents were not initially sent by the PCU and only came to light through the interviews, so we were not able to take that information into account when developing the interview questions but, where possible, took new information into account for the MTR Report.

<sup>27</sup> As a number of other documents only emerged after this phase, they may not all be captured here.

- Second Project Progress Report (PPR) 1 January 2017 – 31 December 2017
- Third Project Progress Report (PPR) 1 January 2017 – 30 June 2018
- Fourth Project Progress Report (PPR) 1 January 2017 – 31 December 2018
- Fifth Project Progress Report (PPR) 1 January 2017 to 31 December 2019
- Age and Gender statistics 1 January 2017 - 31 Dec 2018
- Project Annual Budget and Workplan 2019
- Project Annual Budget and Workplan 2020

### **Project Steering Committee Reports and other Outputs**

- FAO Western Central Atlantic Fishery Commission. 2017. Report of Project Steering Committee Launch Meeting, Barbados, 7-9 February 2017.
- Ricardo Luna-Canove 2017. Slide presentation on Administrative and Operational Implementation of CC4FISH.
- FAO Western Central Atlantic Fishery Commission. 2018. Report of the Second Project Steering Committee and Annual Regional Meeting, Grenada, 19 – 20 March 2018.
- FAO Western Central Atlantic Fishery Commission. 2019. Report of the Third Project Steering Committee, Barbados, 16-17 April 2019
- PCU. 2019. PowerPoint presentation, Virtual progress meeting August 2019
- PCU. 2019. PowerPoint presentation, Virtual progress meeting November 2019
- PCU. 2020. PowerPoint Project Update presentation Budget 2020 to March 2020 PSC
- PCU. 2020. Project Update presentation Budget 2020 to March 2020 PSC
- CANARI VCA Update PowerPoint presentation to March 2020 PSC
- A&B. 2020. PowerPoint Country Update presentation to March 2020 PSC
- SLU. 2020. PowerPoint Country Update presentation to March 2020 PSC
- SVG. 2020. PowerPoint Country Update presentation to March 2020 PSC
- TT. 2020. PowerPoint Country Update presentation to March 2020 PSC

### **Other FAO documents**

- Tietze, U. and Van Anrooy, R. 2018. Assessment of insurance needs and opportunities in the Caribbean fisheries sector, FAO Fisheries and Aquaculture Circular No. 1175. Rome, FAO
- FAO. 2019. Caribbean Aquaponics (Draft). FAO Fisheries and Aquaculture Technical Paper, Third Version. Bridgetown, FAO
- FAO. 2019. *Regional NDC-SDG Dialogue in the Caribbean: Integrating climate-resilient fisheries and coastal community priorities into post- 2020 climate action and leveraging SDG co-benefits for the rural poor and vulnerable*. A Workshop Report. Barbados, FAO
- FAO. 2019. Fisheries sector in Caribbean is the most vulnerable in the world to climate change. Press release published online April 15, 2019. Bridgetown, FAO. (Also Available at <http://www.fao.org/americas/noticias/ver/en/c/1190879/>)
- FAO. 2019. FAO's work on climate change - Fisheries & aquaculture. Rome. (Also available at <http://www.fao.org/3/ca7166en/ca7166en.pdf>)
- FAO. 2019. Sargassum Booklet – fishers coping with Sargassum. Bridgetown, CERMES.
- FAO. 2019. Fish Silage -Workshop Prospectus (final Draft). Bridgetown, FAO
- FAO. 2018. Impacts of climate change on fisheries and aquaculture - Synthesis of current knowledge, adaptation and mitigation options. FAO Fisheries and Aquaculture Technical Paper No. 627. Rome, FAO. (Also available at <http://www.fao.org/3/i9705EN/i9705en.pdf>)

- FAO. 2018. Report of the Workshop for the Development of a Regional Framework and Toolkit for Vulnerability and Capacity Assessment in Coastal and Fishing Communities in the Eastern Caribbean. Bridgetown, FAO
- FAO. 2018. New FAO training focuses on strengthening Caribbean aquaponic value chains. Press release published online on December 6<sup>th</sup>, 2018. Bridgetown, FAO. (Also available at <http://www.fao.org/americas/noticias/ver/en/c/1175100/>)
- FAO. 2017. *Report of the FAO Technical Workshop on Advancing Aquaponics: an efficient use of limited resources*. Saint John's, Antigua and Barbuda, 14–18 August 2017. FAO Fisheries and Aquaculture Report.No. 1214, Bridgetown
- Annex 6: Environmental and Social Review Form for the CC4FISH project, FAO/GEF Project Document for CC4FISH. Internal Review Document - 2015
- FAO. 2014. *Fisheries and Aquaculture Emergency Response Guidance*. Rome, FAO.
- Committee on Fisheries. 2020. Safety at sea and decent work in fisheries and aquaculture. Rome, FAO.

#### Other PCU outputs

- I Monnereau BTOR<sup>28</sup> 2019 (Grenada and Trinidad and Tobago);
- I Monnereau BTOR 2019 MARE People and the Sea Conference, Netherlands)
- I Monnereau BTORs 2020 (Saint Lucia)
- Monnereau, I. 2020. Sustainable improvements in fisheries value chains. Concept Note
- Monnereau, I. 2020. Sustainable improvements in Caribbean tuna value chains. A Presentation. Ministerial consultation 2 March 2020, South Beach, Miami.

#### Consultant/partner LOAs

- Blue Innovation Institute LOA 2019
- CANARI LOA 1 2017
- CANARI LOA 2 2019
- CERMES LOA 1 2017
- CERMES LOA 2 2018
- CERMES LOA 3 2019
- UWI CIRP LOA 23 July 2019
- UWI CIRP LOA Amendment 31 July 2019.pdf signed
- CNFO LOA 2019
- CRFM CNFO LOA 2017
- CRFM CC4FISH CCCFP Protocol 2018
- INFOPESCA LOA 1 2017
- INFOPESCA LOA 2 2017 (copy received only signed by FAO)

#### Consultant/partner progress reports and deliverables

##### Blue Green Initiative.

- Blue Green Initiative. July 2019. Feasibility Study for Fish Silage in St. Kitts and Nevis (Draft).

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<sup>28</sup> There are also Monnereau BTORs for 2017 and 2018 but we have not reviewed these in detail.

Blue Innovation<sup>29</sup>

- Prospectus for Regional training and exchange on seaweed (seamoss) culture and value addition St. George's, Grenada. 2017

CANARI

- Draft Regional framework for application of VCA in coastal and fishing communities 2017
- Draft VCA Toolkit for CC4FISH 2017.
- LOA 1 Final narrative report 1 August 2017 – 30 September 2018
- Report on Regional VCA Workshop July 2-3, 2018
- Fisheries Sector Profiles for SLU, SKN, SVG, TT
- Report on pilot testing of VCA tools in SLU, SVG (PowerPoint), 2018
- Communication and Stakeholder Engagement Strategy
- Regional implementation of Vulnerability and Capacity Assessments (VCAs) in the fisheries sector in the Eastern Caribbean (project brief)
- Scoping Report for the Analysis of Small-Scale Fisheries Value Chains
- Workshop Report "Analysing and climate proofing the fisheries value chain for the Bioche Enhancement Committee, Dominica. Bioche, Dominica, November 14 and 28, 2019
- Workshop Report "Analysing and climate proofing the fisheries value chain for the Nevis Fisherman's Marketing & Supply Co-operative Society Ltd", St. Kitts and Nevis. Nevis, November 14 and 20, 2019
- SKN VCA Training Workshop Report Jan 2020
- T&T VCA Training Workshop Report Jan 2020

CERMES

- Report on practical organizational capacity for implementing the ecosystem approach to fisheries, climate change adaptation and disaster risk management through mainstreaming climate change into national fisheries policy, management and legal frameworks, 2018
- Briefs on mainstreaming climate change into national level fisheries policy, management and legal frameworks for A&B, DOM, GRE, SKN, SLU, SVG and T&T
- Cox, S. & P. McConney. 2017. Perfecting the art of fisheries learning exchanges for EAF, CCA and DRM in the Eastern Caribbean. Bridgetown.
- Cox, S. and P. McConney. 2018. Needs assessment for the implementation of EBM/EAF in the Eastern Caribbean.
- LOA1 Final report 28 March 2019
- LOA2 Final report 20 June 2019
- Oxenford, H.A., D. Johnson, S-A. Cox and J. Franks. 2019. Report on the Relationships between Sargassum Events, Oceanic variables and Dolphinfish and Flyingfish Fisheries. Bridgetown: Barbados.
- Sargassum Subregional Outlook Bulletin 1 October 2019
- Sargassum Subregional Outlook Bulletin 2 January 2020
- Sargassum Subregional Outlook Bulletin 3 March 2020
- Sargassum Subregional Outlook Bulletin 4 May 2020

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<sup>29</sup> Some Blue Innovation work is reflected under OneSkip

- Website relating to sargassum/sargassum resources  
<https://www.cavehill.uwi.edu/cermes/projects/sargassum/useful-links-resources.aspx>

#### CIRP

- Assessment framework for ICT-enabled resilience 13 September 2017
- Report on existing communication infrastructure 30 Sept 2019
- BYOD ICT Stewardship (Cell) Curriculum Tier 1 (Basic)
- BYOD ICT Stewardship (Cell) Curriculum Tier 2 (General)
- BYOD ICT Stewardship (Cell) Curriculum Tier 3 (Specialized)
- BYOD ICT Stewardship (GPS) Curriculum 19th September 2019 GPS73
- BYOD ICT Hangout 11 September 2019
- All About VHF for Grenada 9 September 2019
- Grenada Safety at Sea 11th September 2019
- PYP2W4 Safety at Sea 11th September 2019
- Radio Scripts for Grenada Exercise at Sea 10 September 2019
- FAO press release Over one hundred fisherfolks enhanced their safety at sea in Tobago through ICT Training

#### CNFO

- CC4FISH Technical Report 2017 to 2018
- Climate Change Mitigation by Fisherfolk in the Caribbean agenda and objectives. n.d.
- November 2019. Presentation on The role of fisherfolk organizations in building adaptive capacity and resilience in the Caribbean at the Regional NDC-SDG Dialogue workshop.
- Summary of Six National Meetings. n.d.
- A selection of Executive Committee and Working Group reports.

#### CNFO Communication products

- Brochure Dominica with interviews with fishers
- Brochure Fisherfolks Adapting to Climate Change report (hurricanes)
- Brochure Hurricane Preparedness
- Poster Hurricane Preparedness
- Newsletter September to October 2019
- Newsletter November to December 2019

#### CRFM

- 2018 Protocol on Climate Change Adaptation and Disaster Risk Management in Fisheries and Aquaculture under the Caribbean Community Common Fisheries Policy
- Walling, L. 2018. PowerPoint Presentation on The Development of a Protocol to Integrate CCA and DRM in Fisheries and Aquaculture into the CCF. Launch meeting March 2018.
- Walling, L. 2018. Summary of the Report on CRFM Workshop in Support of the Development of a Protocol to Integrate Climate Change Adaptation and Disaster Risk Management in Fisheries and Aquaculture into the Caribbean Community Common Fisheries Policy
- CNFO Technical Report August 2017- July 2018<sup>30</sup>

#### Fish Safety Foundation

- Progress Report 1- July 2019 - Accident Reporting System for Fisheries in the Caribbean.pdf

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<sup>30</sup> Relates to work done by CNFO but under a CRFM LOA.

- FAO. 2020. Safety at sea for small-scale fishers in the Caribbean. Rome.  
<https://doi.org/10.4060/ca8626en>
- Progress Report 2- July 2019 - Capacity Building - Training Material Development for Fisheries in the Caribbean
- Progress Report 3 Training Package Development December 2019
- Final Report - Project Activities and Financials - Accident Reporting System - Caribbean FAO - Feb 2020
- List of participants Safety at Sea January 2020
- Summary of Responses to Evaluation of ToT SAS January 2020
- Accident and Fatality Reporting System for Fisheries in the Caribbean - Final - February 2020
- Accident Management Guidelines for Competent Authorities - Final - February 2020
- Progress Report 4 - March 2020 - Capacity Building - Training Material Development for Fisheries in the Caribbean
- Final Report - Project Activities and Financials - Capacity Building Program - Caribbean FAO - April 2020.pdf
- Safety at sea for small-scale fishers in the Caribbean-May2020

#### INFOPESCA

- Workshop on "Value Chain Analysis and potential value addition of fishery products in Trinidad and Tobago", St Clair, Trinidad and Tobago - August 2019
- Workshop on "Value Chain Analysis and potential value addition of Fishery products in Grenada, CC4FISH project", St. Georges, Grenada - July 2019
- Opportunities for Fish and Fisheries Products Value Chain Development in Grenada and Trinidad and Tobago - 2019
- Market study on Fishery Products and Opportunities for Value Addition in Antigua and Barbuda, Dominica, Grenada, St Lucia, St Kitts and Nevis, St Vincent and the Grenadines, and Trinidad and Tobago - January 2019
- INFOPESCA Activity Report. n.d.

#### OneSkip LLC

- Gentner, B & Flett, K. 2019. Saint Vincent Small-Scale Pelagic Fishery Strategic Design and Development Action Plan: Results of the FPI-DEV Rapid Fishery Assessment (Draft). Prepared for the FAO/CC4FISH and Ministry of Agriculture, Industry, Forestry, Fisheries and Rural Transformation of Saint Vincent and the Grenadines
- Sieben, C & Gascoigne, J. 2019. Grenada EEZ pelagic longline, troll and dropline Atlantic Ocean yellowfin and bigeye fishery, Marine Stewardship Council Pre-Assessment Report, September 2019. Prepared for One Skip LLC under LOA with CC4FISH
- Cheat Sheet: Fisheries Improvement Project for the Grenada EEZ pelagic longline, troll and dropline Atlantic Ocean yellowfin and bigeye fishery. One skip LLC. 2019

#### FAO Consultants

##### Austin Stankus, Aquaculture Expert

- Terms of Reference for the Aquaculture development expert. Dated 20 September 2018
- Scoping mission of project to Dominica. Back to Office Report, April 2019
- Scoping mission of project to Saint Lucia. Back to Office Report, April 2019
- Scoping Mission of project to Antigua and Barbuda. Back of Office Report, May 2019

- Facilitation of fish silage workshop in St. Kitts and Nevis. Back to Office Report, July 2019

#### Danielle Ince, Aquaculture Expert

- Aquaponics Training Workshop Report. St Johns, Antigua and Barbuda, November 2017
- Seaweed (Seamoss) Training Workshop Report. St Georges, Grenada, December 2017

#### Yann Laurent, Fisheries Information Statistics Expert

- TOR Yann Laurent, Fisheries Statistical & Management Information Systems Expert
- Laurent. 2019. BTOR Grenada and Saint Lucia
- Laurent. 2019. Saint Lucia assessment report
- Laurent. 2019. Fisheries data and system assessment mission report Grenada
- Laurent. 2019. St Lucia-Grenada Post-missions-activities
- Laurent. 2020. BTOR Suriname and Grenada
- Laurent. 2020. Grenada Activities Report
- Laurent 2020. BTOR Trinidad and Tobago: Regional training course on fisheries statistics and data collection
- Laurent 2020. Trinidad and Tobago Activities Report

#### FAO Consultant Mission Reports (Loss and Damage)

- Mission report on FAO damage and loss activities in fisheries and aquaculture. Gertjan de Graaf and Stefania Savore, May 2019

#### **Country progress reports, deliverables and communication products**

##### Antigua and Barbuda

- Project Launch and Inception Workshop
- Report on MPA Demarcation Workshop 6th November 2018
- Clovis-Fuller. 2019 CC4FISH Communications Plan March 2019
- James. 2019. Draft Feasibility Study on Climate Smart Aquaculture in Antigua and Barbuda
- Antigua and Barbuda Progress Reports 2017, 2018, 2019

##### Dominica

- Dominica Progress Reports 2017, 2018, 2019
- Turner, Defoe, McConney, Monnereau. 2019. Climate adaptation and extreme weather in Dominica's fishing communities, Abstract and presentation to MARE
- Proposed COVID Schedule of activities May-June 2020

##### Grenada

- Final Report on Grenada LOA 1 2017
- Grenada Progress Reports 2017, 2018, 2019

##### Saint Lucia

#### Country Policy documents

- Government of Saint Lucia. 2018. Saint Lucia's National Adaptation Plan (NAP): 2018–2028. Department of Sustainable Development, Ministry of Education, Innovation, Gender Relations and Sustainable Development

- Government of Saint Lucia. 2019. Draft Saint Lucia Aquaculture Development and Management Plan 2019-2024
- Government of Saint Lucia. n.d. Fish Aggregating Device Management Plan 2019 - 2023

#### Other

- Saint Lucia Progress Reports 2017, 2018, 2019
- 2017 CC4FISH Saint Lucia LOA 01 final financial and narrative report June-December 2017
- Strengthening Fisher Resilience to the Impacts of Climate Change through the use of Vulnerability and Capacity Assessment tools in 3 Communities in Saint Lucia, n.d.
- Saint Lucia communications plan, 2020.

#### Social media

CC4FISH Saint Lucia Facebook page <https://www.facebook.com/CC4FISH758/>

#### St Kitts and Nevis

- St Kitts and Nevis Progress Reports 2017, 2018, 2019
- 2017 National Communication Plan
- 2018. Report on Food Safety and Handling for Fish Processing Workers workshop
- 2018. Report on Basic Fisher training (conducted in 6 locations)
- 2018 Report on Engine Repair and Maintenance workshop
- 2020 Final narrative report June 2018 - February 2020

#### St Vincent and the Grenadines

- St Vincent and the Grenadines Progress Reports 2017, 2018, 2019
- CC4FISH proposed communication outputs, n.d.
- Vincies Adapting to Climate Change poster. n.d.

#### Trinidad and Tobago

- Trinidad and Tobago Progress Report 2019
- Safety and Training Needs Assessment Questionnaire
- CC4FISH Newsletter

#### Other Presentations

- Turner, R et al. 2019. Climate adaptation and extreme weather in Dominica's fishing communities. A communal presentation

#### Videos

- Fishing for Knowledge: Climate Change Impact on the Eastern Caribbean Fisheries Sector. A film by Robert Blaauboer. 2019.

## Appendix 5 indicative questions for NPC and NFP interviews

### Questions for interviews with NPCs

#### Introductions:

- How long have you been acting as the National Project Coordinator (NPC)?
  - Do you feel the TOR for NPCs in the Prodoc (see Annex) accurately reflects what you do?
1. What do you consider to be the **main successes of the project** a) in your country and b) in the project as whole?
    - How are these successes being monitored, measured, documented and shared?
    - What have been the main challenges of the project?
  2. How have gender and youth considerations been integrated in project implementation in your country?

*The Prodoc states that, in addition to quantifying project participation by age and gender, "the data will be disaggregated by gender for monitoring differential impacts of the project". How are these impacts being monitored?*
  3. What have been the main lessons learned to date?
    - where are these documented?
    - how has project implementation adapted to reflect the lessons learned?
    - how and to whom have lessons learned been disseminated? And how frequently?
  4. What best practices have been identified to date?
    - in which components or activities?
    - where are these documented?
    - how has project implementation been adapted to reflect the identified best practices?
    - how and to whom have these best practices been disseminated?
  5. Have there been any barriers to documenting lessons learned and best practices? Do you foresee any in future?

#### Information and knowledge management

6. Is there a national project communication strategy?
7. Are consultants guided as to which target audience(s) they are writing for and the implications of this for language/length etc.?
8. Do you feel there are any gaps in the area of information and knowledge management at the overall project level? If there are, do you have any suggestions as to how these could be addressed.
9. Are information and knowledge products effectively reaching fishers, fisherfolk households, youth and coastal communities? How are the approaches tailored to the different target audiences?

#### Project progress and potential need for extension

10. The latest Project Progress Report (PPR 5) states "It is therefore still likely that the project will reach a large part of the outcomes indicated in the project document in time". In relation to your country, by the end of 2020 (the current project end date)
  - which outcomes are most likely to be achieved?

- which outcomes/outputs are most at risk? Or need additional support?
  - what is being done to get back on track?
  - do you feel an extension is necessary and, if so, for how long?
11. How is Covid-19 already and potentially affecting your country activities for the next 3-6 months? What is being done to adapt to this.
  12. MTR interviews and focus groups
  13. How can we best collaborate in organising the interviews and focus groups in your country?

### Questions for NFPs and other Fisheries Division stakeholders

#### 1. Introductions:

- How long have you been involved or engaged in the CC4FISH project?
- How would you describe your role in the project?
- Which specific project activities have you been involved in?

#### 2. Strategic relevance

- To what extent do the project goals and objectives align with the current vision, strategic priorities and policies of your country/department
- Has there been any significant change in the policies and plans of your department/sector as a result of CC4FISH?

#### 3. What do you consider to be the **main successes of the project** a) in your country? and b) in the project as whole?

- Who do you feel have been the major beneficiaries in your country to date? And how have they benefitted?
- How do you feel are these successes being monitored, measured, documented and shared?

#### 4. What do you think have been the **main challenges of the project to date** a) in your country and b) in the project as whole?

- What challenges do you foresee for the remainder of the project?
- To what extent has the project been able to adapt to any changing internal and external conditions to sustain or improve the efficiency of project implementation? How is this being monitored?

#### 5. **Cross-cutting Issues: How would you say gender and youth considerations have been integrated in project implementation in your country?**

- The Prodoc states that, in addition to quantifying project participation by age and gender, "the data will be disaggregated by gender for monitoring differential impacts of the project".
- How have women and youth benefitted directly and indirectly from the project activities so far, in your opinion?

- Are additional steps or more efforts needed to enhance the project's gender or youth outcomes and the benefits to women, youth and fisherfolk households?
- 6. How would you describe the main lessons learned to-date a) in your country and b) in the project as whole?**
- Do you feel these have been adequately documented and disseminated?
- 7. What best practices do you think can be identified to-date a) in your country and b) in the project as whole?**
- in which components or activities?
- 8. Efficiency**
- To what extent has FAO provided oversight and supervision (technical, administrative and operational) during the project execution phases?
  - To what extent would you say the project has built on existing agreements, initiatives, data sources, synergies, and complementarities with other projects and partnerships at the country level? E.g. in your Ministry?
  - Do you feel resources are optimally allocated in terms of technical support, capacity building, hardware provision and cash inputs? To what extent do these inputs respond to the needs of target beneficiaries?
- 9. Information and knowledge management**
- Is there a national project communication strategy?
  - Do you feel there are any gaps in the area of information and knowledge management at the overall project level? If there are, do you have any suggestions as to how these could be addressed.
  - Are information and knowledge products effectively reaching fishers, fisherfolk households, youth and coastal communities? How are the approaches tailored to the different target audiences?
- 10. Sustainability**
- To what extent has co-financing contributed to the achievement of results?
  - Has additional co-financing or opportunities been identified that would contribute to project sustainability?
  - Has an exit strategy been prepared and agreed for this project?
  - Is the sustainability strategy in the prodoc still relevant and how would you say this monitored?
  - Has there been any significant loss of institutional memory within government, NPC or fisherfolk organisations due to change in personnel? If so, what strategies are being used to address this?
- 11. Environment and Social Safeguards**
- How has the project employed appropriate prevention and mitigation measures to reduce the potential environmental and social impacts of this project?
  - Is there monitoring of any kind in place to support ESS?

- Has the project had any unintended social and consequences, negative or positive, on the target beneficiaries?

## 12. Project progress and potential need for extension

The latest Project Progress Report (PPR 5) states *"It is therefore still likely that the project will reach a large part of the outcomes indicated in the project document in time". In relation to your country, by the end of 2020 (the current project end date)*

- which outcomes are most likely to be achieved?
- which outcomes/outputs are most at risk? Or need additional support?
- do you feel an extension is necessary and, if so, for how long?
- How is Covid-19 already and potentially affecting your country activities for the next 3-6 months? What is being done to adapt to this.

**APPENDIX 6: CO-FINANCING**

a) Status of original co-financing commitments with actualisation at 30 June 2020 as reported in the two latest PIRs<sup>31</sup>

| Sources of Co-financing | Name of Co-financer          | Type of Co-financing | Amount confirmed at CEO approval endorsement | Actual amount materialized at 30 June 2019 | Actual amount materialized at 30 June 2020 |
|-------------------------|------------------------------|----------------------|--|--|--|
| Local government        | Antigua & Barbuda            | In-kind and cash     | 3,250,000                                    | 684,700,                                   | 24,566                                     |
| Local government        | Dominica                     | In-kind              | 1,250,000                                    | 1,250,000                                  | 1,250,000                                  |
| Local government        | Grenada                      | In-kind              | 1,500,000                                    | 375,000                                    | 1,202,409                                  |
| Local government        | St. Kitts & Nevis            | In-kind              | 1,250,000                                    | 1,250,000                                  | 6,000,000                                  |
| Local government        | Saint Lucia                  | In-kind and cash     | 5,480,000                                    | 2,046,000                                  | 5,480,000                                  |
| Local government        | St. Vincent & the Grenadines | In-kind and cash     | 1,500,000                                    | 1,500,000                                  | 1,500,000                                  |
| Local government        | Trinidad & Tobago            | In-kind and cash     | 19,500,000                                   | 19,500,000                                 | 3,952,197                                  |
| CSO                     | TNC                          | Cash                 | 200,000                                      | 200,000                                    | 200,000                                    |
| Other                   | CRFM                         | In-kind              | 400,000                                      | 148,000                                    | 400,000                                    |
| CSO                     | CARIBSAVE                    |                      | 1,000,000                                    | Ceased to Exist                            | 0  |
| Research Institution    | UWI                          | In-kind and cash     | 212,000                                      | 165,000                                    | 212,000                                    |
| Other                   | WECAFC                       | In-kind and cash     | 2,000,000                                    | 666,000                                    | 2,000,000                                  |
|                         |                              | <b>TOTAL</b>         | <b>37,542,000</b>                            | <b>27,784,700</b>                          | <b>22,221,162</b>                          |

MTR Review of the figures reported at June 2019 above indicated significant anomalies and inconsistencies in reporting at the country level and, by extension, at the overall project level. For

<sup>31</sup> No co-financing figures included in December 2019 PPR.

example, Dominica was reported as having materialised its full contribution of USD 1.25 million but that was clearly impossible given that it is an in-kind contribution and Dominica only signed its LOA in August 2019, received first funds in November 2019 (and appointed the current NPC in January 2020). Similarly Trinidad and Tobago only held its national launch workshop 22 July 2019. It is also unclear whether all countries used a common basis for valuing their in-kind contributions

These issues were explored with the PCU, both for MTR reporting and to enable clearer and more consistent reporting in the PIR to 30 June 2020, so we have now also included a column with revised figures to that date.

**b) Funding sourced since CC4FISH project inception for CC4FISH project countries (data provided by PCU)**

| Name of project/fund  | Country               | Activities  | Output CC4FISH | CC4FISH linkages   | Amount in USD  | Status  | Year      | Co-financing for CC4FISH                              |
|---|-----------------------|---|----------------|--|--|---|-----------|---|
| SFERA Emergency relief for fisheries                                | DOM                   | Fishing gear fishers and female fish vendors                        | 2.1.2          | Equipment determined by PDNA by RPC and support and information from NPC and NFP<br><br>CC4FISH made both in-kind and cash contribution  | 100k<br><br>(30K for consultant, 70K for equipment ) | closed  | 2018      | 100,000   |
| Fishery Improvement Project   | SVG                   | Fishery Improvement Project Assessment of pelagic fishery in SVG    | 2.1.2          | Builds onto work of CC4FISH in Grenada and is supported by NPC and NFP. Strong coordination role of RPC. Stakeholder validation workshop being planned<br><br>CC4FISH made an in-kind contribution | 55 k<br>(regular program)                            | Assessment carried out; now USD 1 million in follow up in pipeline)   | 2019/2020 | 55,000  |
| MDF fund: Project on Climate Change and Poverty Nexus for Enhancing | SKN, DOM and Barbados | SP CANARI: Value chain assessments for improving climate resilience | 2.1.2          | Funds acquired by RPC. Build out of CC4FISH, supported by NPCs and   | 35k  | Assessments carried out, some follow up funds from CC4FISH and partly | 2019/2020 | 35,000<br><br>Equally divided between the 3 countries |

| Name of project/fund  | Country               | Activities   | Output CC4FISH | CC4FISH linkages  | Amount in USD  | Status   | Year      | Co-financing for CC4FISH  |
|---|-----------------------|--|----------------|---|--|--|-----------|---|
| Resilient Fisheries Livelihoods and Food security in Barbados, DOM, SKN   |                       |  |                | NPCs where applicable.<br>CC4FISH is only making an in-kind contribution  |  | through project Sustainable Food systems and building resilience food systems (expect follow up of at least 40k) |           |   |
| MDF fund: Project on Climate Change and Poverty Nexus for Enhancing Resilient Fisheries Livelihoods and Food security in Barbados, Dominica and St. Kitts and Nevis | SKN, DOM and Barbados | SP CERMES: Poverty assessment: Better understanding of the poverty and climate change vulnerabilities on SSF communities and gaps in the mechanisms to address them; Design and run a capacity building course to effectively address the climate change and poverty nexus, through strengthening resilient livelihoods. | 1.1.1          | Funds acquired by RPC. RPC coordinates and guides progress and outputs and ensures linkages with CC4FISH (e.g. through incorporating CC4FISH work in the online course)<br>CC4FISH is only making an in-kind contribution | 135k   | In progress  | 2019/2020 | 135,000<br><br>In light of the type of activity, RPC cannot break down the total by country |
| MDF fund: Project on Climate Change and Poverty Nexus for Enhancing Resilient Fisheries Livelihoods and Food security in Barbados, Dominica                         | SKN and Barbados      | SP: Blue Green Initiative. Fish silage project (looking into feasibility of using fish waste for animal feed) in Barbados and SKN  | 2.1.2          | Funds acquired by RPC. Austin Stankus (aquaculture expert consultant CC4FISH) and LTO of CC4FISH leaders on project. CC4FISH funds report.  | 18k<br><br>The RPC reported that the project funds could cover the 3 countries but not all activities covered all three (and | Finished but follow up funds of 70k (regular program) new LOA CARDI  | 2019/2020 | 18,000<br><br>In light of the type of activity, RPC cannot break down the total by country  |

| Name of project/fund   | Country              | Activities   | Output CC4FISH | CC4FISH linkages   | Amount in USD                        | Status  | Year | Co-financing for CC4FISH |
|--|----------------------|--|----------------|--|--------------------------------------|---|------|--------------------------|
| and St. Kitts and Nevis  |                      |  |                | CC4FISH is making both in-kind and cash contribution   | sometimes more countries were added) |   |      |                          |
| MDF fund: Project on Climate Change and Poverty Nexus for Enhancing Resilient Fisheries Livelihoods and Food security in Barbados, and St. Kitts and Nevis                         | SKN, DOM, SVG and TT | Consultancy: legal assessment for third party fishing vessel insurance   | 2.1.2          | Funds acquired by RPC. Co-funding by CC4FISH.<br>CC4FISH is making both in-kind and cash contribution  | 65k                                  | Assessment is finished but follow up can start when countries wish to follow up (we sent official letters asking for them to express follow up) |      | 65,000                   |
| MDF fund: Project on Climate Change and Poverty Nexus for Enhancing Resilient Fisheries Livelihoods and Food security in Barbados, Dominica and St. Kitts and Nevis (NDC workshop) | Regional             | Development and organization of a regional workshop "Regional NDC-SDG Dialogue in the Caribbean Integrating climate-resilient fisheries and coastal community priorities into post-2020 climate action and leveraging SDG co-benefits for the rural poor and Vulnerable" | 3.1.1          | improves mainstreaming of fisheries sector into climate change plans and policies. RPC supported development, content and presented at the workshop. Project assistant supported travel and logistical arrangements and CC4FISH supported with 14k. All CC4FISH country NFPs were invited as well as some of the | 100k                                 | Finished  | 2019 | 100,000                  |

| Name of project/fund  | Country | Activities   | Output CC4FISH          | CC4FISH linkages   | Amount in USD | Status  | Year      | Co-financing for CC4FISH |
|---|---------|--|-------------------------|--|---------------|---|-----------|--------------------------|
|   |         |  |                         | regional partners.<br>CC4FISH made both in-kind and cash contributions   |               |   |           |                          |
| NORAD project   | SLU     | Work on seamoss and value chain assessments                    | 2.1.2/<br>2.2.2         | Funds mobilized after discussions with RPC. Builds onto work of CC4FISH<br>CC4FISH made an in-kind contribution  | 100k          | Finished  | 2019/2020 | 100,000                  |
| NORAD project   | SLU     | Implementation of recommendations from value chain assessments | 2.1.2                   | Follow up from previous work but only on value chains. Workplan developed with RPC<br>CC4FISH is making an in-kind contribution                                  | 150k          | ongoing   | 2020/2021 | 150,000                  |
| NORAD project   | SLU     | GCF proposal   | 1.1.1<br>2.2.1<br>2.2.2 | GCF proposal builds onto work carried out by CC4FISH (e.g. Vulnerability and Capacity Assessments, and aquaculture)<br>CC4FISH is making an in-kind contribution | 10 million    | Project is at advanced state of internal FAO approval process | 2021      | 10,000,000               |
| Technical Cooperation Project (TCP) project "Assistance for the development | SLU     | Project to develop a Fisheries Policy in SLU                   | 3.1.2                   | CC4FISH has supported the preparation and development of the Fisheries   | 60k           | Ongoing   | 2019/2020 | 60,000                   |

| Name of project/fund  | Country                                       | Activities   | Output CC4FISH          | CC4FISH linkages   | Amount in USD   | Status            | Year      | Co-financing for CC4FISH    |
|---|---|--|-------------------------|--|---|-------------------|-----------|-----------------------------|
| of the SLU National Policy on Fisheries" TCP/STL/3601             |   |  |                         | Policy in Saint Lucia and will use Fisheries Policy to develop the Fisheries Management Plan for SLU.<br><br>CC4FISH is making both in-kind and cash contributions   |   |                   |           |                             |
| Building effective resilience for human security in the Caribbean | SLU Grenada, Barbados and Antigua and Barbuda | Building effective value chains and aquaculture in the Caribbean   | 2.1.2<br>2.2.1<br>2.2.2 | Activities included and developed through sharing of information of CC4FISH. Building directly on to Vulnerability and capacity assessment outcomes as well as Value chain assessments carried out under CC4FISH/MDF<br><br>CC4FISH is making both in-kind and cash contribution | 600k total for the project (but 160k for fisheries in the four countries) | In progress       | 2020/2021 | 160,000                     |
| Sustainable food systems  | SLU and Barbados                              | Building effective value chains and aquaculture in the Caribbean with specific focus on empowering women and youth | 2.1.2<br>2.2.1<br>2.2.2 | Activities included and developed through sharing of information of CC4FISH. Building directly on to VCA outcomes as well as Value chain assessments carried out under   | 1 million (but 120k for fisheries in the two countries)                   | Under development | 2020/2021 | 60,000<br><br>For SLU alone |

| Name of project/fund   | Country | Activities                                | Output CC4FISH | CC4FISH linkages   | Amount in USD                               | Status                          | Year      | Co-financing for CC4FISH |
|--|---------|---|----------------|--|---|---------------------------------|-----------|--------------------------|
|  |         |   |                | CC4FISH/MD F<br><br>CC4FISH is making an in-kind contribution  |   |                                 |           |                          |
| India – UN Development Partnership Fund for building resilience after COVID-19 | Grenada | Support fisheries value chains in Grenada | 2.1.2          | Developed by LTO and RPC of CC4FISH; builds on work of CC4FISH in terms of value adding<br><br>CC4FISH is making an in-kind contribution | Total 1 Million USD (113,400 for fisheries) | Funds granted by funder (India) | 2020/2021 | 113,400                  |
| <b>Total</b>   |         |   |                |  |   |                                 |           | <b>12,776,400</b>        |

c) Pipeline (data provided by RPC)

| Name of project/fund                    | Country                                       | Activities  | Output CC4FISH | CC4FISH linkages   | Amount in USD | Status   | Year      | Co-financing for CC4FISH |
|---|---|---|----------------|--|---------------|--|-----------|--------------------------|
| Social protection assessments           | Grenada, SVG and T and T                      | Improve resilience and reduce poverty by improving access to social protection of fisherfolk        | 2.1.2          | Project proposal developed by RPC with support from countries<br><br>CC4FISH is making an in-kind contribution and may provide cash depending on timeframe | 255k (CDB)    | Project proposal at advanced stage with funder | 2020/2021 | 255,000                  |
| Fishery Improvements Project Assessment | Antigua and Barbuda, Dominica and the Bahamas | Fishery Improvement Project Assessment carried out in the three countries to identify opportunities | 2.1.2          | Builds onto work of CC4FISH in Grenada RPC developed proposal and coordinates project and guides consultants and works                                     | 255k (CDB)    | Submitted to funder                            | 2020/2021 | 255,000                  |

| Name of project/fund  | Country   | Activities   | Output CC4FISH | CC4FISH linkages  | Amount in USD | Status              | Year      | Co-financing for CC4FISH |
|---|---|--|----------------|---|---------------|---------------------|-----------|--------------------------|
|   |   |  |                | with NPCs and NFPs<br>CC4FISH is making an in-kind contribution   |               |                     |           |                          |
| Improving resilience to climate change of the fisheries sector through improvements in data collection and statistics | Grenada, Dominica, SVG and T and T                        | Improve data collection and statistics to improve fisheries management, climate change resilience and value traceability | 3.1.1.         | Builds onto work of CC4FISH in Grenada and Trinidad and Tobago. RPC developed proposal and coordinates project and guides consultants and works with NPCs and NFPs<br>CC4FISH is making an in-kind contribution for Grenada | 120k (CDB)    | Submitted to funder | 2020/2021 | 120,000                  |
| Increasing the contribution of aquaculture to resilience, food security and wellbeing in the Caribbean                | Grenada, SKN, Antigua and Barbuda and Trinidad and Tobago | Development of aquaculture in the four CC4FISH countries   | 2.2.1/2.2.2.   | CC4FISH is making an in-kind contribution and may provide cash depending on timeframe   | 715k          | Submitted to funder | 2020/2021 | 726,943                  |

d) Resource mobilisation for non-CC4FISH project Caribbean countries for projects that build on by CC4FISH activities and results (data provided by RPC)

| Name of project/fund  | Country     | Activities   | Output CC4FISH | CC4FISH linkages  | Amount in USD  | Status   | Year                                   | Co-financing for CC4FISH |
|---|-------------|--|----------------|---|--|--|--|--------------------------|
| Project on Climate Change and Poverty Nexus for Enhancing Resilient Fisheries Livelihoods and Food security in Barbados, Dominica and St. Kitts and Nevis | Barbados    | Fishery Improvement Project<br>Assessment of pelagic fishery in Barbados               | 2.1.2          | Builds onto work of CC4FISH in Grenada. RPC coordinates project and guides consultants. Stakeholder validation workshop has been carried out in March 2020.<br><br>CC4FISH is making an in-kind contribution                        | 30k FAO regular program funds (plus 20k UNCTAD and DOALOS) | Assessment carried out and stakeholder meeting | Ongoing                                | 50,000                   |
| OneSkip   | Barbados    | Fishery Improvement Project<br>Assessment of pelagic fishery in Barbados               | 2.1.2          | OneSkip investments via forgivable loan for structuring of the FIP in Barbados<br><br>CC4FISH is making an in-kind contribution   | 175k   | Loan granted/ process implementation started   | Initiated                              | 175,000                  |
| Sustainable Fish Value Chain for SIDS (SVC4SIDS)  | Barbados    | Improvements in the fisheries tuna fisheries value chain building on to the assessment | 2.1.2          | SLC coordination is with RCP building on to work in Grenada under CC4FISH and SVG<br><br>CC4FISH is making an in-kind contribution  | 5.3 Million  | Project document developed/granted by funder   | Implementation to be initiated in 2020 | 1,000,000                |
| Improving resilience and rebuilding of the fisheries sector in the Bahamas  | The Bahamas | Rebuilding of the fisheries sector in two most affected islands                        | 2.1.2/3.1.1    | Proposal builds on the Post-Disaster Damage and Needs assessment carried out by RPC (and two colleagues from HQ). PDNA assessment was built on training carried out under CC4FISH)<br><br>CC4FISH is making an in-kind contribution | 400k   | In progress                                    | 2019/2020                              | 400,000                  |
| <b>Total</b>  |             |  |                |   |  |  |  | <b>1,625,000</b>         |

Appendix 7 Progress towards results matrix

| Project strategy  | Indicator   | Baseline level   | Level at first PIR (self-reported) <sup>32</sup>                 | Mid-term target <sup>33, 34</sup>   | End-of-project target                              | Mid-term level & assessment <sup>35</sup> | Achievement rating <sup>36</sup> | Justification for rating   |
|---|---|--|--|---|--|---|----------------------------------|--|
| <b>Objective</b><br>To increase resilience and reduce vulnerability to climate change impacts in the eastern Caribbean fisheries sector, through introduction of adaptation measures in fisheries management and capacity building of fisherfolk and aquaculturists | Indicators not specified for Objective/Impact   | Baseline not specified for Objective/Impact                            | No PIR reporting for Objective/Impact                            | No mid-term target specified in ProDoc nor any reporting for Objective/Impact | No end-of-project target specified in ProDoc.      |   | <b>MS</b>                        | Analysis of the progress towards achievement of outcomes and outputs indicates that a rating of MS is justified. Progress to date varies by country and between the four Components but interviewees generally felt that the delays in implementation to date could be addressed by project end date, though at the time of the interviews it was not yet clear that this would be revised to 30 September 2021..<br><br>The rating also reflects the PCU's positive response to preliminary MTR findings and acknowledgement of the need to take the corrective actions on some of the recommendations outlined in the MTR Report <i>Section 4 Key Findings</i> and <i>Section 5.2 Recommendations</i> .<br><br>The rating also reflects the corrective measures already being put in place by the PCU and FAO SLC. |
| <b>Outcomes</b>   |   |  |  |   |  |   |                                  |  |
| <b>Outcome 1.1:</b><br>Increased awareness and understanding of climate change  | <b>Indicator(s)</b><br>Regional design for a framework of climate change vulnerability of | No standardized available framework on climate change vulnerability of | Standardized framework and toolkit have been developed. Regional | Not identified in the ProDoc but derived from PIR. <i>Indicator 6 AMAT.</i>   | Not identified in the ProDoc but derived from PIR. |   | <b>S</b>                         | Eight substantive outputs have been identified for Component 1 in the most recent PPR (to 31 December 2019), rating progress to date at 80%.   |

<sup>32</sup> This column is included in compliance with Annex 11 FAO-GEF project mid-term review results; however the justifications take into account work documented to the end of December 2019 and reported in interviews.

<sup>33</sup> If available

<sup>34</sup> MTE targets derived from End of Year 2 targets in Prodoc and PIR to end June 2019

<sup>35</sup> Colour-coded red (not on target to be achieved), yellow (on target to be achieved), or green (achieved).

<sup>36</sup> Use the six-point progress-towards-results rating scale: HS, S, MS, MU, U, HU

| Project strategy           | Indicator  | Baseline level  | Level at first PIR (self-reported) <sup>32</sup>  | Mid-term target <sup>33, 34</sup>   | End-of- project target  | Mid-term level & assessment <sup>35</sup> | Achievement rating <sup>36</sup> | Justification for rating   |
|----------------------------|--|---|---|---|---|---|----------------------------------|--|
| impacts and vulnerability. | the fisheries sector at the local level.<br>Vulnerability assessments carried out at the local level in five project countries.<br>1,500 people will have an increased awareness of climate change impacts on the fisheries sector and adaptation practices. | the fisheries sector at the local level<br>No downscaled regional climate change models on risks and fish abundance available.<br>Men, women, national authorities, and institutions in target areas have little awareness of how to reduce the vulnerability of the fisheries sector to the impacts of climate change and about required adaptation practices. | VCA workshop organized.<br>84 people have conducted the VCA in two pilot countries.<br>Draft downscaled regional model on risk and fish abundance drafted.<br>Various awareness activities have been carried out in 4 project countries (400 people reached). | Vulnerability assessments carried in five project countries.<br><i>Indicator 5 AMAT:</i><br>Activities carried out: 750 people will have increased awareness of climate change impacts on the fisheries sector and about available adaptation practices (40 % women). | <i>Indicator 6 AMAT:</i><br>100% of target reached<br><i>Indicator 5 AMAT:</i><br>Activities carried out:<br>1,500 people will have increased awareness of climate change impacts on the fisheries sector and adaptation practices (40% women). |   |                                  | These include: Pilot VCAs carried out for 2 countries and 1000 people with increased awareness of climate change impacts on fisheries sector and adaptation measures exceeding the MTE target (2019 PIR)) though it should be noted that the data on increased awareness is not based on rigorous evaluation of changes in knowledge, attitude and practice (KAP) but is equated with numbers of people taking part in activities.<br><br>Indications are that delays and challenges affecting delivery of the VCA Component can be overcome, even though progress was rated at 35% in the most recent PIR (to end June 2019). |

| Project strategy   | Indicator  | Baseline level  | Level at first PIR (self-reported) <sup>32</sup>   | Mid-term target <sup>33, 34</sup>   | End-of- project target   | Mid-term level & assessment <sup>35</sup> | Achievement rating <sup>36</sup> | Justification for rating  |
|--|--|---|--|---|--|---|----------------------------------|---|
| Outcome 2.1: <b>Improved resilience of fisherfolk and coastal community members.</b> | Indicator 1: 1,400 people will be adopting adaptation technologies (20% women).<br>Indicator 2: 4,200 people (40% women) will benefit from adoption of diversified, climate livelihood options by means of adaptation measures; alternative livelihoods and capacity building.<br>Indicator 3: Access of fisherfolk to fisheries insurance and social security will have increased, as well as availability of these services in at least four (4) of the project countries. | Limited uptake of climate measures in the fisheries sector. Fisherfolk and fish workers are generally not equipped (education, skills, training) to take advantage of existing or alternative livelihoods or diversification options.<br>Risk mitigation and reduction measures in fisheries are not accessible or easily available to fishers (e.g. fisheries insurance, social security, health insurance, pensions).<br>No early warning systems, protocols, drills or training specifically tailored to the fisheries sector.<br>Fisherfolk, households and communities have poor access to climate resilient livelihood options. | 700 people have benefited from adoption of diversified, climate livelihood options (10% women) through basic-fishermen training, ICT training, fish handling and food safety training.<br>Insurance in fisheries for the Caribbean assessment report has been finalized.<br>The pilot countries (GRE and TT) for fisheries insurance have been identified.<br>Fish farmers from SLU and GRE have attended training and learned from Aquaponics farmers in A&B. | <i>Indicator 3 AMAT:</i><br>50 % of targeted group (men and women) adopting diversified, climate resilient livelihoods by means of adaptation measures and/or engaged in capacity building activities.<br><i>Indicator 4 AMAT:</i> 50% of targeted group adopting adaptation technologies (20% female). | <i>Indicator 3 AMAT:</i><br>100 % of targeted group (men and women) adopting diversified livelihood measured and/or engaged in capacity building activities (40% women).<br><i>Indicator 4 AMAT:</i> 100% of targeted group (men and women) adopting adaptation technologies (20% female). |   | <b>MU</b>                        | The most recent PPR (to 31 December 2019) rated progress on Outcome 2.1 at 70%.<br>However, although significant progress has been reported under Outputs 2.1.1, 2.1.2 and 2.1.3, in the absence of any evaluation or reporting on qualitative results identified in the targets (adoption of new practices), the MTR Team assesses this rating as an over-estimate and rates progress at the mid-term as Moderately Unsatisfactory.<br>Progress on outputs related to Outcome 2.1 are rated in the latest PIR (to end June 2019) at 50, 30 and 40% respectively with at the time just over a year to go to the then project end date of 31 December 2020 (now revised to 30 September 2021).<br>Three countries where the fisheries sector makes a critical contribution to livelihoods have also experienced significant delays in project inception and implementation (Grenada, St Vincent and the Grenadines and Dominica). There is as yet limited evidence of large-scale adoption of resilience measures or application of the capacity built in the activities relating to this Outcome and what exists is anecdotal in the absence of systematic M&E. Efforts to improve access to insurance and social security have not yet advanced significantly.<br>For this Outcome, participation of women is stated in the latest PIR (to end June 2019) as between 8-10% (well below the desired end-of project targets of 20 or 40% depending on Output). |

| Project strategy  | Indicator   | Baseline level   | Level at first PIR (self-reported) <sup>32</sup>   | Mid-term target <sup>33, 34</sup>   | End-of- project target   | Mid-term level & assessment <sup>35</sup> | Achievement rating <sup>36</sup> | Justification for rating  |
|---|---|--|--|---|--|---|----------------------------------|---|
| Outcome 2.2: <b>Improved resilience of aquaculturists.</b>                                    | Indicator 1: 300 people will benefit through rehabilitation of existing and establishing of new aquaculture centres and capacity building activities. | Development of the sector in the Eastern Caribbean is very limited and only four project countries have limited development of aquaculture.<br>No training on adaptive capacity of aquaculturists to climate change. | 10 fish farmers from SLU and GRE have attended training and learned from aquaponics farmers in A&B.<br>Recruitment of an aquaponics expert to conduct missions to SLU, SKN and GRE for design and review of the aquaponics demonstration farm facilities under the project, guiding the private sector and government counterparts on technical and management matters has been finalized.<br>10 farmers were trained during the regional Seamoss farming meeting held in December 2017 and 3 drafts of seamoss farming (production, business, and marketing) manuals have been developed. | <i>Indicator 3 AMAT:</i><br>50 % of targeted group (men and women) adopting diversified livelihood measures and/or engaged in capacity building activities in the aquaculture sector. | <i>Indicator 3 AMAT:</i><br>100 % of targeted group (men and women) adopting diversified livelihood measured and/or engaged in capacity building activities in the aquaculture sector. |   | MS                               | The progress rating in the latest PIR (to end June 2019) suggests that the foundations have been laid for the achievement of this Outcome, notably through improved market access for aquaponics; national level seamoss training in St Kitts and Nevis and Saint Lucia; technical assistance on aquaculture to Antigua and Barbuda, Dominica, St Kitts and Nevis and Saint Lucia; and development of a draft seamoss manual. Detailed workplans for rehabilitation of sites in these countries and related procurement have also been initiated.<br><br>Although progress towards this outcome has experienced significant delays to date in Antigua and Barbuda and Dominica, the mitigation actions proposed in the 2019 PIR seem reasonable and can feasibly be implemented within 6-9 months. The proposed Service Contract model is now in place and is contributing to accelerated implementation and procurement of supplies for the demonstration sites. |
| Outcome 3.1: <b>Climate change adaptation mainstreamed in multilevel fisheries governance</b> | Indicator 1: The capacities of five (5) national institutions to identify, prioritize, implement, monitor, and evaluate adaptation                    | The capacities of five (5) national institutions to identify, prioritize, implement, monitor, and evaluate adaptation  | Scoping study on the inclusion of EAF principles in the current fisheries management arrangements, policies and legislation in the   | Not identified in the ProDoc but derived from PIR.<br><i>Indicator 10 AMAT:</i><br>30% of capacity building activities carried out.   | Not identified in the ProDoc but derived from PIR.<br><i>Indicator 10 AMAT:</i> The capacity of five national institutions to identify, prioritize,                                    |   | HS                               | Contributions towards meeting the mid-term targets include: <ul style="list-style-type: none"> <li>Fish and Aquaculture Response to Emergency (FARE) and EAF training;</li> <li>Scoping for three national fisheries policies (St Vincent and the Grenadines, Grenada and Saint Lucia) initiated;</li> </ul>  |

| Project strategy   | Indicator  | Baseline level  | Level at first PIR (self-reported) <sup>32</sup>  | Mid-term target <sup>33, 34</sup> | End-of-project target  | Mid-term level & assessment <sup>35</sup> | Achievement rating <sup>36</sup> | Justification for rating   |
|--|--|---|---|-----------------------------------|--|---|----------------------------------|--|
|  | <p>strategies has improved with five points.</p> <p>Indicator 2: National policies and plans to identify, prioritize, and integrate adaptation strategies and measures in five (5) countries are strengthened with 5 points.</p> | <p>strategies and measures is measured at seven points.</p> <p>The national policies of five (5) countries to identify, prioritize and integrate adaptation strategies and measures is measured at two points</p> | <p>Eastern Caribbean developed.</p> <p>EAF training incorporating EAF, CCA and DRM developed (training was carried out 4-6 July 2018).</p> <p>Three national policies/plans or legislation in 3 countries have been identified to incorporate EAF, CCA and DRM and organisation contracted for implementation. The development of a Protocol to Integrate Climate Change Adaptation and Disaster Risk Management in Fisheries and Aquaculture into the CARICOM Common Fisheries Policy has been drafted and approved.</p> |                                   | implement, monitor, and evaluate adaptation strategies is improved with five points.           |   |                                  | <ul style="list-style-type: none"> <li>Fisheries management plans (FMPs) for St Kitts and Nevis and Saint Lucia drafted;</li> <li>Aquaculture management plans initiated in Saint Lucia and Antigua and Barbuda that can potentially link to the Saint Lucia fisheries policy and the Antigua and Barbuda FMP and support and sustain investments in Component 2.</li> </ul> <p>At the regional level, CC4FISH has funded the development of a Protocol to Integrate CCA and DRM in Fisheries and Aquaculture into the Caribbean Community (CARICOM) Common Fisheries Policy as well as providing technical inputs, which was endorsed by CARICOM Ministers in 2018.</p> |
| <p>Outcome 4: <b>Project implementation based on results-based management and application of project findings and lessons learnt in future operations.</b></p> | <p>Indicator 1: The project has achieved its expected outcomes and outputs and lessons learnt.</p>   | <p>Project results matrix exists with baseline information and outcome and output indicators and targets.</p>   | <p>Project Coordination Unit has been established.</p> <p>Four National Project Coordinators have been contracted.</p> <p>Two National Launching workshops have been carried out.</p> <p>Project results matrix exists with</p>   | 66% progress                      | <p>Project targets achieved.</p> <p>Project evaluated.</p> <p>Sustainability demonstrated.</p> |   | <b>MU</b>                        | <p>Based on the Project Results Framework and the last PIR (to end June 2019) and PPR (to end December 2019), this Outcome is behind schedule in some critical areas and does not appear to have been given the level of attention needed to achieve Component 4 targets. For example:</p> <ul style="list-style-type: none"> <li>there are gaps in the results-based management approach to the project, both in terms of reporting and because no M&amp;E plan exists (although the ProDoc anticipates its</li> </ul>  |

| Project strategy   | Indicator  | Baseline level   | Level at first PIR (self-reported) <sup>32</sup>   | Mid-term target <sup>33, 34</sup>   | End-of- project target                           | Mid-term level & assessment <sup>35</sup> | Achievement rating <sup>36</sup> | Justification for rating   |
|--|--|--|--|---|--|---|----------------------------------|--|
|  |  |  | baseline information and outcome and output indicators and targets.  |   |  |   |                                  | <p>development at the launch workshop);</p> <ul style="list-style-type: none"> <li>there has been little or no systematic data collection or assessment of uptake of learning or changes in attitudes and practices; and</li> <li>no knowledge management or communications strategy has been developed and inadequate systems appeared to be in place for consistent sharing of outputs, lessons learned and best practices, although the MTR team was subsequently advised that this takes place via the WhatsApp Group established by the PCU (to which the MTR Team had no access).</li> </ul> <p>Rapid implementation of the relevant recommendations listed in Section 5.2 and Table 5 could potentially result in not only successful achievement of end-of-project targets but also provision of the evidence needed to validate this.</p> |
| <b>Outputs<sup>37</sup></b>  |  |  |  |   |  |   |                                  |  |
| Output 1.1.1: Assessment of climate change vulnerability in the fisheries sector carried out at local, national, and regional level. | Indicator 1: <i>Indicator 6 AMAT</i> : Risk and vulnerability assessments, and other relevant scientific and technical assessments carried out and updated | No Standardized available<br>framework on climate change vulnerability of the fisheries sector at the local level.<br><br>Indicator 6 AMAT: Risk and | Standardized framework/ toolkit and two regional technical reports and framework have been developed. 84 people have conducted the VCA in two pilot countries (Saint Lucia and St. Vincent and the Grenadines) | <i>Indicator 6 AMAT</i> : Vulnerability assessments carried in five project countries | <i>Indicator 6 AMAT</i> : 100% of target reached |   | Not applicable                   | Not applicable   |

<sup>37</sup> The statement ‘not applicable’ in relation to the achievement rating and the justification for Outputs is derived from Annex 11 FAO-GEF project mid-term review results; however Justifications and back up information related to the ratings can be found in many areas of the MTR Report.

| Project strategy   | Indicator   | Baseline level  | Level at first PIR (self-reported) <sup>32</sup>   | Mid-term target <sup>33, 34</sup>   | End-of- project target  | Mid-term level & assessment <sup>35</sup> | Achievement rating <sup>36</sup> | Justification for rating |
|--|---|---|--|---|---|---|----------------------------------|--------------------------|
|  |   | Vulnerability assessments, and other relevant scientific and technical assessments carried out and updated.                                   |  |   |   |   |                                  |                          |
| Output 1.1.2: Models that describe fisheries abundance and accessibility   | No specific indicator identified in the project document  | No downscaled regional climate change models on risks and fish abundance available  | Draft model to assess sargassum impacts on the dolphin fish and flying fish populations has been delivered.                                      | No specific indicator identified in Prodoc or PIR.  | No specific indicator identified in Prodoc or PIR.  |   | Not applicable.                  | Not applicable.          |
| Output 1.1.3: Findings of vulnerability assessments and models disseminated at regional, national and local level to improve understanding | Indicator 1: <i>Indicator 5</i><br><i>AMAT</i> : 1 500 people will have an increased awareness of climate change impacts on the fisheries sector and adaptation practices | There is little awareness of adverse impacts of climate change on the vulnerability of the fisheries sector and required adaptation practices | Communication strategies have been developed for 3 project countries. Various awareness activities have been carried out in 4 project countries. | <i>Indicator 5</i><br><i>AMAT</i> : Activities carried out: 750 people will have increased awareness of climate change impacts on the fisheries sector and about available adaptation practices (40 female) | <i>Indicator 5</i><br><i>AMAT</i> : 1 500 people will have increased awareness of climate change impacts on the fisheries sector and adaptation practices (40% women) |   | Not applicable.                  | Not applicable.          |
| Output 2.1.1: Strengthened   | Indicator 1: 1 400 people will be adopting adaptation   | Limited uptake of climate change adaptation   | Caribbean ICT Research Programme has started to develop  | No specific target indicator identified in Prodoc or PIR.   | No specific target indicator identified in Prodoc or PIR.   |   | Not applicable.                  | Not applicable.          |

| Project strategy  | Indicator   | Baseline level  | Level at first PIR (self-reported) <sup>32</sup>  | Mid-term target <sup>33, 34</sup>                         | End-of- project target                                    | Mid-term level & assessment <sup>35</sup> | Achievement rating <sup>36</sup> | Justification for rating |
|---|---|---|---|---|---|---|----------------------------------|--------------------------|
| ICT capacity of fisherfolk and CNFOs                              | technologies (20% women).   | measures in the fisheries sector,   | <p>the mFisheries@sea mobile application and the mFisheries@sea web portal in five project countries.</p> <p>The first report entitled 'Assessment framework for ICT-enabled resilience of small-scale fishers to climate change and variability' has been submitted under this output.</p> <p>A Short course: An Introduction to Technology Stewardship for ICT Adoption and Use in Agricultural Communities of Practice has been developed. Basic training on ICT for fishers and fisheries extension officers and/or ICT4Fisheries training for fishers and fisheries extension officers has been developed.</p> <p>200 fishers in SKN have received VHF radios.</p> |   |   |   |                                  |                          |
| Output 2.1.2: Strengthened fisherfolk and CNFO capacity delivered | Indicator 1: -4 200 people (40% women) will benefit from adoption of diversified, climate livelihood options by means of adaptation measures; | Fisherfolk and fish workers are generally not equipped (education, skills, training) to take advantage of existing or | 700 people have benefited from adoption of diversified, climate livelihood options (10% women) through basic-fishermen training, ICT training; fish   | No specific target indicator identified in Prodoc or PIR. | No specific target indicator identified in Prodoc or PIR. |   | Not applicable.                  | Not applicable.          |

| Project strategy  | Indicator   | Baseline level   | Level at first PIR (self-reported) <sup>32</sup>  | Mid-term target <sup>33, 34</sup>                         | End-of- project target                                    | Mid-term level & assessment <sup>35</sup> | Achievement rating <sup>36</sup> | Justification for rating |
|---|---|--|---|---|---|---|----------------------------------|--------------------------|
|   | <p>alternative livelihoods and capacity building.</p> <p>Indicator 2: Access of fisherfolk to fisheries insurance and social security will have increased, as well as availability of these services in at least four (4) of the project countries.</p> | <p>alternative livelihoods or diversification options.</p> <p>Risk mitigation and reduction measures in fisheries are not accessible or easily available to fishers (e.g. fisheries insurance, social security, health insurance, pensions).</p> <p>Fisherfolk, households and communities have poor access to climate resilient livelihood options.</p> | <p>handling and food safety training.</p> <p>Insurance in fisheries for the Caribbean assessment report has been finalized</p> <p>Pilot countries for fisheries insurance has been identified</p> <p>Different manuals have been developed and market studies carried out</p> |   |   |   |                                  |                          |
| Output 2.1.3: Exchange programs on fisheries co-management and adaptation technology. | No indicator or target specified in Prodoc or PIR.  | <p>Risk mitigation and reduction measures in fisheries are not accessible or easily available to fishers (e.g. fisheries insurance, social security, health insurance, pensions).</p> <p>Fisherfolk, households and</p>  | <p>Fish farmers from Saint Lucia and Grenada have attended training and learned from Aquaponics farmers in Antigua and Barbuda.</p> <p>Seamoss farmers from Trinidad and Saint Vincent and the Grenadines have attended a regional training and exchange of</p>               | No specific target indicator identified in Prodoc or PIR. | No specific target indicator identified in Prodoc or PIR. |   | Not applicable.                  | Not applicable.          |

| Project strategy   | Indicator  | Baseline level   | Level at first PIR (self-reported) <sup>32</sup>  | Mid-term target <sup>33, 34</sup>                         | End-of- project target                                    | Mid-term level & assessment <sup>35</sup> | Achievement rating <sup>36</sup> | Justification for rating |
|--|--|--|---|---|---|---|----------------------------------|--------------------------|
|  |  | communities have poor access to climate resilient livelihood options.  | <p>learning experiences on seamoss farming in Grenada.</p> <p>CERMES has developed a report on the design and implementation of the most suitable exchange programs to a country/community where Ecosystem Approach to Fisheries (EAF), Climate Change Adaptation (CCA) and Disaster Risk Management (DRM)/co-management are successful.</p> <p>CERMES has conducted a Fishermen's Learning Exchange between two fishers of SKN to SLU (incl. coral restoration, aquaculture, and aquaponics demonstration) and a visit to the Soufriere Fishermen's Cooperative.</p> |   |   |   |                                  |                          |
| Output 2.2.1: Existing aquaculture centres re-habilitated and new aquaculture centres established. | I No indicator or target specified in Prodoc or PIR. | Development of the aquaculture sector in the Eastern Caribbean is limited and only four project countries have partial | Recruitment of an aquaponics expert to conduct missions to Saint Lucia, SKN and Grenada for the design and review of the aquaponics demonstration farm  | No specific target indicator identified in Prodoc or PIR. | No specific target indicator identified in Prodoc or PIR. |   | Not applicable.                  | Not applicable.          |

| Project strategy   | Indicator   | Baseline level   | Level at first PIR (self-reported) <sup>32</sup>   | Mid-term target <sup>33, 34</sup>   | End-of- project target  | Mid-term level & assessment <sup>35</sup> | Achievement rating <sup>36</sup> | Justification for rating |
|--|---|--|--|---|---|---|----------------------------------|--------------------------|
|  |   | developed aquaculture sector and limited training on adaptive capacity of aquaculturists to climate change.  | facilities under the project.<br><br>Guiding the private sector and Government counterparts on technical and management matters has been finalized.<br><br>One demonstration farm in St. Kitts and Nevis has been supported. |   |   |   |                                  |                          |
| Output 2.2.2: Strengthened capacity of aquaculturists in climate change adaptation measures and adaptive technologies.                 | No indicator or target specified in the Prodoc.   | Development of the aquaculture sector in the Eastern Caribbean is limited and only four project countries have partial developed aquaculture sector and limited training on adaptive capacity of aquaculturists to climate change. | 10 fish farmers from Saint Lucia and Grenada have attended training and learned from Aquaponics farmers in Antigua and Barbuda<br><br>Regional Seamosss farming meeting was held and 3 manuals developed                     | No specific target indicator identified in Prodoc or PIR.                   | No specific target indicator identified in Prodoc or PIR.   |   | Not applicable                   | Not applicable           |
| Output 3.1.1: Strengthened institutional regional and national capacity on mechanisms to implement climate change adaptation measures. | Indicator 1: <i>Indicator 10 AMAT</i> : the capacities of five (5) national institutions to identify, prioritize, implement, monitor, and evaluate adaptation strategies is | The capacities of five national institutions to identify, prioritize, implement, monitor, and evaluate adaptation strategies and   | Ecosystem Approach to Fisheries (EAF) training incorporating EAF, CCA and DRM developed.   | <i>Indicator 10 AMAT</i> : 30% of capacity building activities carried out. | <i>Indicator 10 AMAT</i> : The capacity of five (5) national institutions to identify, prioritize, implement, monitor and evaluate adaptation strategies is |   | Not applicable.                  | Not applicable.          |

| Project strategy  | Indicator  | Baseline level   | Level at first PIR (self-reported) <sup>32</sup>  | Mid-term target <sup>33, 34</sup>   | End-of- project target  | Mid-term level & assessment <sup>35</sup> | Achievement rating <sup>36</sup> | Justification for rating |
|---|--|--|---|---|---|---|----------------------------------|--------------------------|
|   | improved with five points.   | measures are low (and measured at seven).  |   |   | improved with five points.  |   |                                  |                          |
| Output 3.1.2: Climate change adaptation mainstreamed into policies, plans and associated processes. | Indicator 1: <i>Indicator 12 AMAT</i> : The national policies of five countries to identify, prioritize and integrate adaptation strategies and measures is low (and measures at two). | The national policies of five countries to identify, prioritize and integrate adaptation strategies and adaptation strategies and measures in five (5) countries are strengthened with 5 points. | Scoping study on the inclusion of EAF principles in the current fisheries management arrangements, policies and legislation in the Eastern Caribbean developed.<br><br>Three national policies/ plans or legislation in 3 countries have been identified to incorporate EAF, CCA and DRM and organisation contracted for implementation.<br><br>The Development of a Protocol to Integrate Climate Change Adaptation and Disaster Risk Management in Fisheries and Aquaculture into the Caribbean Community Common Fisheries Policy has been drafted and meeting has been held. | <i>Indicator 12 AMAT</i> : National policies and plans and adaptation strategies and measures in five project countries strengthened in draft form. | <i>Indicator 12 AMAT</i> : - National policies and plans to identify, prioritize and integrate adaptation strategies and measures in five (5) countries are strengthened with 5 points. |   | Not applicable.                  | Not applicable.          |
| Output 4.1.1: Project management,   | Indicator 1: Project Operational Unit  | No baseline specified in the Prodoc or PIR..   | No reporting at this level in the PIR.  | 2 biannual reports (1 PPR and 1 PIR)  | 2 biannual reports (1 PPR and 1 PIR).   |   | Not applicable.                  | Not applicable.          |

| Project strategy                                   | Indicator  | Baseline level  | Level at first PIR (self-reported) <sup>32</sup> | Mid-term target <sup>33, 34</sup>  | End-of- project target  | Mid-term level & assessment <sup>35</sup> | Achievement rating <sup>36</sup> | Justification for rating |
|--|--|---|--|--|---|---|----------------------------------|--------------------------|
| monitoring and evaluation system.                  | functioning. Procedures established and fulfilled M&E system operational. Target: The project has achieved its expected outcomes and outputs and lessons learnt.   |   |  | Mid-Term Evaluation.<br><br>Tracking Tools completed (mid-term).   | Final Project Evaluation.<br><br>Tracking Tools completed (final).  |   |                                  |                          |
| Output 4.1.2: Project knowledge management system. | Target 1: Mechanism for knowledge systematization and sharing.<br><br>Target 2: Online platform operational, linking users, systematizing lessons learned and good fishing practices and providing training. | There is no online platform for systematization of information on training and CSL.<br><br>MAGAP is creating a virtual training platform. | No reporting at this level in the PIR.           | Practices and learning shared.<br><br>Information systematized for the platform.<br><br>5 themes per province uploaded to the platform.<br><br>5 trainings developed for the platform. | Practices and learning shared.<br><br>Information systematized for the platform.<br><br>5 themes per province uploaded to the platform<br><br>Preparation of the "Implementation of the CSL approach in Ecuador, lessons learned and replication potential" report. |   | Not applicable.                  | Not applicable.          |

Appendix 8 MTR ratings using GEF criteria/sub-criteria

| GEF criteria/sub-criteria  | Rating <sup>38</sup> |
|--|----------------------|
| <b>A. STRATEGIC RELEVANCE</b>  |                      |
| A1. Overall strategic relevance  | S                    |
| A1.1. Alignment with GEF and FAO strategic priorities                              | S                    |
| A1.2. Relevance to national, regional, and global priorities and beneficiary needs | S                    |
| A1.3. Complementarity with existing interventions                                  | HS                   |
| <b>B. EFFECTIVENESS</b>  |                      |
| B1. Overall assessment of project results  | MS                   |
| B1.1 Delivery of project outputs   | MS                   |
| B1.2 Progress towards outcomes and project objectives                              | MS                   |
| - Outcome 1  | S                    |
| - Outcome 2  | MS                   |
| - Outcome 3  | HS                   |
| - Outcome 4  | MU                   |
| - Overall rating of progress towards achieving objectives/outcomes                 | MS                   |
| B1.3 Likelihood of impact  | Not rated at MTR     |
| <b>C. EFFICIENCY</b>   |                      |
| C.1 Efficiency   | MU                   |
| <b>D1. SUSTAINABILITY</b>  |                      |
| D1 Overall likelihood of risks to sustainability                                   | ML                   |

<sup>38</sup> See below for explanation of acronyms used in rating scheme

| GEF criteria/sub-criteria   | Rating <sup>38</sup> |
|---|----------------------|
| D1.1. Financial risks   | UA                   |
| D1.2. Socio-political risks   | MU                   |
| D1.3. Institutional and governance risks  | ML                   |
| D1.4. Environmental risks   | ML                   |
| D2. Catalysis and replication   | HL                   |
| <b>E. FACTORS AFFECTING PERFORMANCE</b>   |                      |
| E1. Project design and readiness  | MS                   |
| E2. Quality of project implementation   | MS                   |
| E2.1 Quality of project implementation by FAO (BH, LTO, PTF, etc.)  | MS                   |
| E2.1 Project oversight (PSC, project working group, etc.)   | MS                   |
| E3. Quality of project execution  | MS                   |
| E3.1 Project execution and management (PMU and executing partner performance, administration, staffing, etc.) | MS                   |
| E4. Financial management and co-financing   | MU                   |
| E5. Project partnerships and stakeholder engagement   | S                    |
| E6. Communication, knowledge management and knowledge products  | S                    |
| E7. Overall quality of M&E  | U                    |
| E7.1 M&E design   | MU                   |
| E7.2 M&E plan implementation (including financial and human resources)  | UA                   |
| E8. Overall assessment of factors affecting performance   | MS                   |
| <b>F. CROSS-CUTTING DIMENSIONS</b>  |                      |
| F1. Gender and other equity dimensions  | MU                   |
| F2. Human rights issues   | MS                   |
| F2. Environmental and social safeguards   | MU                   |

|                           |                      |
|---------------------------|----------------------|
| GEF criteria/sub-criteria | Rating <sup>38</sup> |
| Overall project rating    | MS                   |

**Explanation of rating acronyms**

| Rating acronym | Explanation               |
|----------------|---------------------------|
| HS             | Highly satisfactory       |
| S              | Satisfactory              |
| MS             | Moderately satisfactory   |
| MU             | Moderately unsatisfactory |
| U              | Unsatisfactory            |
| HU             | Highly unsatisfactory     |
| UA             | Unable to assess          |

## Appendix 9: Country reporting on progress to date

| Country             | LOA signed                                | National Launch meeting date (if available) | Reported percentage towards output (or outcome) achievement at 31/12/19 or on completion of LOA |                  |
|---------------------|---|---|---|------------------|
| Antigua and Barbuda | 7 March 2018                              | 14 May 2018                                 | Output 1.1.3  | 0%               |
|                     |   |   | Output 2.1.2  | 100%             |
|                     |   |   | Output 2.2.1  | 60%              |
|                     |   |   | Output 3.1.2  | 20%              |
|                     |   |   | Output 4.1.1  | 25%              |
| Dominica            | 21 August 2019                            | Not stated in reports we have received      | Output 1.1.3  | 10%              |
|                     |   |   | Output 2.1.1.   | 30%              |
|                     |   |   | Output 2.1.2  | 20%              |
|                     |   |   | Output 2.2  | 20%              |
|                     |   |   | Output 3.1.1  | 20%              |
|                     |   |   | Output 3.1.2  | 10%              |
|                     |   |   | Output 4.1.1  | 30%              |
| Grenada             | LOA 1 23 June 2017<br>LOA 2: 3 June 2020  | Not stated in reports we have received      | <u>LOA 1</u>  |                  |
|                     |   |   | Output 2.1.1.   | 100%             |
|                     |   |   | Output 2.1.2  | 100%             |
|                     |   |   | Output 4.1  | 100%             |
|                     |   |   | <u>LOA 2</u>  | No reporting yet |
| Saint Lucia         | LOA 1: 20 June 2017<br>LOA 2: 10 May 2019 | June 2017                                   | <u>LOA 1 Final report</u>   |                  |
|                     |   |   | Output 1  | 15%              |

|                    |  |  |   |   |
|--------------------|--|--|---|---|
|                    |  |  | Output 2:<br>Output 3<br>Output 4<br><u>LOA 2 at 31 December 2019</u><br>Project Outcome<br>Output 1<br>Output 2<br>Output 3<br>Output 4  | 25%<br>0%<br>Not reported<br><br>70%<br>90%<br>70%<br>60%<br>Not reported                                 |
| <b>Country</b>     | <b>LOA signed</b>                        | <b>National Launch meeting date (if available)</b> | <b>Reported percentage towards output (or outcome) achievement at 31/12/19 or on completion of LOA</b>  |   |
| St Kitts and Nevis | LOA 1: 19 May 2017<br>LOA 2: 6 July 2018 | 30 May 2017  | <u>LOA 1 Final report</u><br>Outcome 1.1<br>Outcome 2.1<br>Outcome 3.1<br>Outcome 4<br><u>LOA 2</u><br>Output 1.1.1<br>Output 1.1.3<br>Output 2.1.2<br>Output 3.1.2<br>Output 4.1 | <u>% of LOA 1 targets</u><br>75%<br>100%<br>75%<br>Not reported<br><br>17%<br>100%<br>100%<br>33%<br>100% |

|   |  |              |            |                                   |
|---|--|--------------|------------|-----------------------------------|
| St Vincent and the Grenadines <sup>39</sup> | 4 June 2018                                | 18 July 2018 | Output 1   | 100%                              |
|   |  |              | Output 2   | 95%                               |
|   |  |              | Output 3   | 6 <sup>th</sup> NPSC meeting held |
|   |  |              | Output 4   | Not reported                      |
| Trinidad and Tobago                         | FBA 1: 23 April 2019<br>FBA 2: 17 Dec 2019 | 22 July 2019 | Output 1.1 | 65%                               |
|   |  |              | Output 2.1 | 40%                               |
|   |  |              | Output 2.2 | 35%                               |
|   |  |              | Output 3.1 | 65%                               |
|   |  |              | Output 4.1 | 40%                               |

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<sup>39</sup> The SVG percentage target reporting does not seem consistent with the intention of the country progress reports as they seem to correspond only to discrete activities under Outcomes and are not broken down by output numbers.