# FINAL

# **Coastal Fisheries Initiative – Latin America** (PIMS 5573)





# Acknowledgements

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# Acronyms and Abbreviations

AOP	Annual Operating Plan
ASOEXPEBLA	Association of whitefish exporters (Ecuador)
CFI-LA	Coastal Fisheries Initiative Latin America
CI	International Conservation
CMSP	Coastal and Marine Spatial Planning
COFIDE	South American Developmental Finance Corporation
COMAEM	Multisectoral Commission for State Action in the Maritime Area
COMUMA	Multisectoral Commission for Environmental Management of the Coastal Marine
comonin	Environment (Peru)
DGFTP	Directorate-General for Environmental Territorial Planning (Peru)
	Directorate General of Cantaincy and Coast Guard (Peru)
	Begional Directorate of Production (Peru)
FNSO	Fl Niño Southern Oscillation
FFM	Ecosystem based Fishery Management
FRFM	Ecosystem Based Fisheries Management
EDES	Ecosystem based Hanches Management
ELLIS	Eastern Fache Fishing School (Ledador)
FAO	Evolution Question Food and Agriculture Organization of the United Nations
FID	Fisheries Improvement Project
ΓΠ	Fisheries Performance Assessment Instrument
GEE	Global Environment Facility
GEESEC	Secretary of the Global Environment Facility
GORE	Regional Government (Peru)
STTG	Specialized Technical Working Group
INCABIOTEC	Biological laboratory (Peru), producing seeds and larvae of shells and crabs
IADB	Inter-American Development Bank
IATTC	Inter-American Tropical Tuna Commission
ICS	Interinstitutional Committee of the Sea (Ecuador)
ICZM	Integrated Coastal Zone Management
IMARPE	Peru Sea Institute
INP	National Institute of Fisheries (Ecuador)
IUU	Illegal, undeclared and unregulated fisheries
IWC	International Waters Conference
JC	Judgment Criterion
MAAE	Ministry of Environment and Water of Ecuador
M&E	Monitoring and Evaluating
MINAM	Ministry of Environment (Peru)
MPCEIP	Ministry of Foreign Trade Production Investments and Fisheries (Ecuador)
MSC	Marine Stewardship Council
MSPC	Marine Spatial Planning
MTR	Mid-Term Review
NOAA	National Oceanic Atmospheric Administration
MCSP	Marine-Coastal Space Planning
NGO	Non-governmental organization
OHI	Ocean Health Index
NAP	National Action Plan (Ecuador)
PCM	Presidency of the Council of Ministers (Peru)
PIF	Project Identification Form
PIR	Project Implementation Report
PLANIFICA	Institute of Planning of Ecuador
РМС	Administrative Cost of the Project
PPP	Policies and Procedures for Program Operations
PRODOC	Project Document
PRODUCE	Ministry of Production (Peru)
PROFONANPE	Fund for the Promotion of Protected Natural Areas of Peru
REMACH	Churute Mangrove Ecological Reserve

ROP	Fisheries Management Regulations (Peru)
SENPLADES	National Secretariat for Planning and Development (Ecuador)
SERNANP	National Service of Natural Areas Protected by the State (Peru)
SESP	Review of the Project's Social and Environmental Safeguards
SPSC	South Pacific Standing Commission
SGMC	Undersecretary of Marine and Coastal Management (Ecuador)
SMART	Specific, Measurable, Achievable, Realistic indicator and its defined time
SNLMT	Los Manglares Tumbes National Sanctuary (Peru)
SRP	Undersecretaries of Fisheries Resources (Ecuador)
S&E	Monitoring and Evaluation (GEF Term)
TE	Terminal Evaluation
ToC	Theory of Change
ToR	Terms of reference
TURF	Territorial Rights Use for Fisheries
PMU	Project Management Unit
UNDP	United Nations Development Programme
VMAP	Deputy Minister of Aquaculture and Fisheries (Ecuador)
VMS	Ship Monitoring System
WWF	World Wildlife Fund

# 1. EXECUTIVE SUMMARY

Summary of the CFI Project Data			
Project Name :	Coastal Fisheries	s Initiative (CFI)	
UNDP ID (PIMS#):	5573	PIF Approval Date:	4 June 2015
GEF ID:	9060	CEO Endorsement:	14 December 2016
Atlas Proposal Award ID:	00096507	Signature of ProDoc:	5 September 2017
Trust Fund:	GEF	Type Project:	Full Size
Countries:	Ecuador & Perú	Date of Contracting Director:	
Region	LAC	Date of Inception Workshop:	11 May 2018
GEF 6 Strategic Objective Focal Area:	Multi F	Focal (International Water	s, Biodiversity)
Strategic GEF 6 Program:	Biodiversity	Date of the Mid Term Review:	1 October 2020
Executing Agency:	MINAM-Perú	Original Closing Date:	October 2021
Partner Executing Agency:	MPCEIP- Ecuador PRODUCE- Perú		
Web Site: http://www.fa	o.org/in-action/co	astal-fisheries-initiative/ac	tivities/latin-america/es/
Financing	At CEO Endorsement	Execute	ed to Date
1. GEF Financing administered by Perú	USD 4,818,591	USD \$2,545,447	( 30 October 2020)
2. 1. GEF Financing administered by Ecuador	USD 1, 770,400	USD \$	1,103,722
A. Total GEF	USD 6,588,991		
3. UNDP Perú	USD 500,000	77,976	
4. UNDP Ecuador	USD 100,000	54	,526
5. Government of Ecuador     USD 10,000,000       6. Government of Perú     USD 2,852,856		2′276.222	
7. Reginal Government of Piura	USD 37,874,305	190,772	
8. Regional Government of Tumbes	USD 10,000,000	378	8,422
9. Other Co-financing			
<ul> <li>International Pole and Line Foundation</li> </ul>	USD 75,000	Not A	vailable
Conservation International	USD 1,299,442	780	6,398
INCABIOTEC	USD 200,000	200	0,000
ASOEXPEBLA	USD 240,000	240	0,000

WWF Ecuador	USD 1,121,306	866,627
• Naturaleza y Cultura		300,000
Internacional	USD 300,000	
Consorcio de Exportadores		360,000
de Dorado		
B. Total Co-financing	USD 65,562,889	5.040.956
total Project Cost [A + B]:	USD \$72,151,880	68,816,160
Evaluator:	Joseph Ryan	

#### **PROJECT DESCRIPTION**

The "Coastal Fisheries Initiative - Latin America" Project (hereafter referred to as **CFI-LA**), which is part of the CFI Global Program (Coastal Fisheries Initiative) was developed to demonstrate holistic processes and promote more integrated approaches to the ordination and management of coastal fisheries. The Program aims to contribute toward tackling the global problem of weak governance as a root cause of overfishing, the loss of biodiversity and other coastal-marine ecosystem services, and the inequitable distribution of the benefits of those services to artisanal fisherfolk and their families. The CFI-AL is one of three global projects - Indonesia (WWF-CI), Latin America UNDP) and East Africa (UNEP-FAO) - coordinated through the CFI Global Alliance Project (FAO) for capturing and sharing knowledge to facilitate technical assistance in the development of a portfolio of investment projects.

In Latin America, the CFI-LA project is carried out within areas of high marine biological diversity in the southeastern Pacific Ocean that include important fisheries in Ecuador and Peru's maritime boundaries. Fishing is expanding uncontrollably in both countries in response to increased market demands, fishery policies that promote free access to resources, as well as the absence/deficiency of regulations, surveillance, and sanctions, as well as command and control, top-down centralized management. The situation is increasingly preoccupying because it has resulted in fewer benefits for hard working coastal fishing communities, many of whom live in poverty.

In view of this situation, the CFI-LA developed a project to demonstrate examples of holistic ecosystem-based management to improve the management of coastal fisheries in the Southeast Pacific, through the implementation of three components with the following objectives, namely to: 1) improve fisheries governance, mainly in artisanal and small-scale fisheries; 2) support the authorities in marine and coastal spatial planning; 3) exchange experiences and knowledge through spaces for dialogue between key binational actors, as well as document, and disseminate lessons and good practices captured during the implementation process.

CFI-LA in Peru is executed by the Ministry of the Environment (MINAM), the Ministry of Production (PRODUCE) and the Regional Governments of Tumbes and Piura (GORE Tumbes, GORE Piura). In the case of Ecuador, CFI is executed by the Ministry of Production, Foreign Trade, Investments and Fisheries (MPCIP) and the Sub-Secretariat for Coastal Marine Management (SGMC), through its implementing partners WWF and Conservation International (CI) Ecuador. The project has the technical cooperation of and is implemented by the United Nations Development Program (UNDP) and the Global Environment Facility (GEF) in both countries. The Project was financed with a total amount of USD 72,151,880, supported by the Global Environment Fund (GEF) with a contribution of USD 6,588,991, which represents 9.13% of the total, while the UNDP (TRAC) contributed USD 600,000, which is

o.83%, plus co-financing from other sources in the order of USD 64,962,889. The GEF contribution project has a duration of 4 years with a total budget of US\$ 6,588,991.

### MTR PURPOSE AND METHODOLOGY

The purpose of the Mid-Term Review (MTR) is to: i) ensure accountability for the achievement of the project objectives, as well as those of the UNDP-GEF (*Global Environment Fund*) and promote responsibility in the use of resources; ii) improve organizational learning (*document*, *provide feedback*, and disseminate lessons learned); iii) Strengthen the project's supervision and management functions. The main objective of the MTR is to evaluate progress in achieving the objectives and results presented in the Project Document (ProDoc) and to direct the project towards the expected results, identifying any changes that are necessary to incorporate adaptive management and achieve its objectives. Finally, the MTR aims to capture and socialize both good practices, as well as less fruitful requiring small adjustments to achieve lasting effects that benefit coastal fishing communities.

Due to the restrictions imposed by the COVID-19 pandemic, the MTR was conducted virtually. The evaluation was focused on finding: i) measurable sign that indicate whether the CFI is on an effective and sustainable path towards the project's objectives; ii) the lessons generated during the CFI implementation process; and iv) recommendations that can strengthen good practices and overcome weaknesses that threaten the effectiveness and sustainability of the CFI. The structure of the MTR follows the guidelines set forth in the Terms of Reference (UNDP 2020) and based on these guidelines, it was framed to examine the CFI-LA's design, the implementation process and the achievements of the project, based on the following criteria (see <u>Annex 2</u> for more details):

- Strategy and Relevance of the CFI-LA based on the design of the results framework and Theory of Change.
- > Progress towards achieving the expected Results and to achieve the objectives.
- Project Execution and Adaptive Management, including the degree to which adaptive management principles were systematically applied to capture lessons/good practices.
- Sustainability examining the extent to which environmental, economic, social, and institutional benefits will continue after GEF financial support ends.

The MTR's main methodological focus was to examine the project's advances based on the criteria stipulated in the Terms of Reference (ToR). It analysed results from over 65 interviews, pertinent project documentation and scientific, peer-review articles related to thematic fishery issues, the project indicators and coastal-marine spatial planning (CMSP) experiences, among others. The MTR also used a participatory approach during interviews where the important issues of gender equity was discussed with groups of women in the fishery sector, as well as other vulnerable groups that work in the artisanal fishery sector. All information was triangulated in relation to the evaluation questions (EQs) that correspond to each evaluation criterion, Judgment Criteria (JC) and Indicators to determine the degree to which the answers to the EQs fit reality. One important aspect was that each EQ had more than one JC, as well as objectively verifiable indicators. The JCs helped frame objective responses that were standardized and based on evidence obtained from the interviews, as well as the

information from the aforementioned document reviews. The EQs and JCs also helped gaps that required additional information. Another detail is that each JC was also framed around the criteria stipulated in the TOR, allowing a subjective assessment of the advances, the systematic application of adaptive management principles and the effectiveness of institutional arrangements.

The MTR also examined the logic of the cause-effect process presented by the project's original Theory of Change (ToC) along the path towards development impacts, and the degree to which it was effectively applied in the project. This analysis was viewed as being essential to the overall relevance and CFI-LA because it lays out the intervention logic that leads to the expected results, as well as allows for an assessment of the robustness of the assumptions, risks and risk-reducing measures under specific contextual realities in the CFI-LA's target areas. The original ToC was validated to find empirical evidence to analyze the assumptions and the hypotheses, with the aim of reducing the uncertainties surrounding the contributions that each intervention made to help achieve the expected results, and to reduce/strengthen the robustness of the ToC.

#### CONCLUSIONS

Although the Project started with great difficulties that slowed its progress during the first two years, the MTR considers that the CFI-LA is advancing well, based on new institutional arrangements, commitments by national, regional and local governments, and especially because of the considerable efforts put forth by the PMU. This evaluation agrees with the latest PIRs (2019,2020) that in general, the project's advances are **moderately satisfactory**. The table on the following page provides a summary of the findings, conclusions for each of criterion stipulated in the ToR.

# Overall Findings, Conclusions and Recommendations

The table below summarizes the findings, conclusions and recommendations derived from each Evaluation Question (EQ).

CRITERION	EQ	Finding	CONCLUSION	Recommendation	Responsible
Project Strategy & Design	EQ1	<ul> <li>The project strategy is highly relevant to the priorities of the countries.</li> <li>The ToC presented in the ProDoc is inadequately prepared and this weakness affects the application of ecosystem management and systematic adaptation, which is considered key to achieve the objective of the CFI-LA.</li> <li>Only four of the eleven indicators in the results matrix are SMART, and consequently the shortage of SMART Outcome Indicators affects the ability to measure effectiveness.</li> <li>Although progress has been made with excellent results related to the communities of practice, the indicators do not reflect the expected SMART outcomes, since all but only four of the indicators measure outputs.</li> </ul>	The project strategy is relevant to the priorities and fostering country ownership. However, the weak ToC is a barrier for achieving the most efficient, effective and sustainable path toward the CFI-LA's objectives and the expected results. Expected results have been achieved, but most of these are outputs, and not SMART outcomes.	R2: Reconstruct the Theory of Change and the non-SMART indicators (see suggestions in Annex 7.3) and add robust assumptions	PMU
Progress Towards Expected Results	EQ2a	<ul> <li>Excellent examples of strengthened capacity building and awareness among communities of practice.</li> <li>Four important unexpected outcomes (participatory research and monitoring by fisherfolk, Sta. Elena actions by government to address water quality issues and dorado traceability in Ecuador; Credit funds for benthic</li> </ul>	All the fishermen and women interviewed recommended that good practices should be shared and replicated in other communities, both in Peru and Ecuador.	R10: Continue experimenting with incentives that catalyze the formalization of artisanal fishermen into the formal sector.	PMU

		resource harvesters and women in mangrove capture fisheries) are exemplary.			Country Focal Points
		<ul> <li>Excellent examples of strengthened capacity building and awareness among communities of practice</li> </ul>		R4: Exchange practical experiences that have been achieved in each country	
	EQ2b	• The weakness of the ToC and the indicators in the results matrix make it difficult to analyze the extent to which the project is on track to meet its objectives.	Although many of the activities, outputs and outcomes have been achieved, there are serious doubts if the set of results lead the project towards its objectives, mainly due to the weakness in the design.	R2: Reconstruct the Theory of Change and the non-SMART indicators (see suggestions in Annex 7.3) and add robust assumptions	
	EQ3a	Although there were serious delays during the first years of the project, in the medium-term these weaknesses have been overcome and there are good signs that there is better efficiency.	Although the project was highly inefficient at startup, adaptation was reactive, rather than proactive. However, many of these barriers have been overcome and evidence indicates that the project is progressing more efficiently.	R8: Streamline procedures for contracting services, procurement, and budget execution	
Project Implementation and Application of Adaptive Management		There are still delays with the approval of contracts	Currently the bottleneck is in contracts and acquisitions; the TOR and frame of reference are carried out with the participation of the National Directorate team to avoid shortcomings and in this way, approval is rapid	R12: Review processes that result in weakly formulated projects <sup>1</sup>	UNDP/ UGP
Principles	EQ3b	• The UNDP project performance M&E system, communication and quality control have been exemplary. However, this M&E platform only measures project performance and does not measure the effectiveness of component interventions, as specified in Component 3 since.	Although the M&E system at the project level is exemplary, it does not have the capacity to measure the effectiveness (that is, the effects) of the interventions, as outlined in the ProDoc.	R5: Develop an M&E and Knowledge platform in real time that measures the effectiveness of management interventions that promotes adaptive learning.	PMU; Country Focal Points

<sup>&</sup>lt;sup>1</sup> Disclaimer: R12 was not included in the Spanish version of the report.

• There is a gap in the application of adaptive management and confusion over the definition of ecosystem management and ecosystem-based fisheries management due to the fact that for two decades it has applied both concepts in a generalized and routine way, as a black box. In this format, EBFM generally adds little in the form of analytical knowledge or practical guidance and as formulated, it could be used to defend a series of conflicting objectives.		• There is a gap in the application of adaptive management and confusion over the definition of ecosystem management and ecosystem-based fisheries management due to the fact that for two decades it has applied both concepts in a generalized and routine way, as a black box. In this format, EBFM generally adds little in the form of analytical knowledge or practical guidance and as formulated, it could be used to defend a series of conflicting objectives.	Adaptive Management (AM) is the key to ecosystem management and to address the complex dynamics, uncertainties and inherent unpredictability of ecosystem services. Nonetheless, the CFI has not applied the principles of AM, largely because of the weak ToC.	R9: Agree on a single definition of the ecosystem management concept to be applied and SMART indicators that inform the extent to which the triple bottom line impacts are achieved using AM and the preferred EBM concept.	
		<ul> <li>Lack of clarity on the extent to which the OHI will measure the effectiveness of the CMSP; the OHI also does not provide information in real time and there are doubts about its ability to promote the principles of adaptive management.</li> <li>There is an opportunity to develop an approach that integrates both the OHI and a real-time M&amp;E platform.</li> </ul>	Although the OHI may serve as the future platform to inform decision makers, it is prudent for Peru to develop a real-time M&E platform to measure the effectiveness of its interventions related to ecosystem and adaptive management, until Peru's OHI can be institutionalized and to provide lessons on how the Index can be streamlined. The Real time platform should be carried out to fill in the large time gaps (up to 5 years) between OHI calculations.	R7: Develop the OHI in conjunction with a real-time M&E platform in Sechura Bay based on a GBE / MIZC / CMSP approach in conjunction with a real-time M&E platform that applies AM to capture lessons systematically.	PMU; Country Focal Points; Cl
Sustainability	EQ 4	<ul> <li>The risks presented in the ProDoc and the measures to mitigate them are weak and do not touch on the deeper risks that the CFI should address<sup>2</sup>. Among these, we have:</li> <li>Institutional barriers are related to the incongruity of sector policies, plans and mandates</li> </ul>	Institutional, environmental and social risks threaten the sustainability of the CFI-LA and a weakness with the strategy of mainstreaming the role of women in the value chains of the artisanal fishing subsector is a critical risk, given the important role that women play in seafood value chains.	R6: Strengthen the Binational coordination of the CFI-AL and prepare a risk analysis and a Mitigation Plan.	

<sup>&</sup>lt;sup>2</sup> There is a more fundamental problem here, and that is that we all know that if a ProDoc puts very high or difficult-to-solve risks, there is a risk that the GEF will not finance the project. In the final version of the RMT, the consultant will propose some suggestions to address this case (not only of the CFI but of all GEF projects) in order to be able to place the appropriate risks and measures, without running the risk of being left without a project.

		<ul> <li>with the management of the resilience of ecosystem services in marine-coastal areas.</li> <li>The lack of inclusion and mainstreaming of a strategy and actions to insert women into the governance platform and in value chains is a worrying gap in the construction of a critical mass (constituents) to carry out interactive governance.</li> <li>Environmental hazards associated with persistent chemicals in lower watersheds</li> </ul>	There is a gap between the approaches to addressing gender equity in both countries in terms of mainstreaming gender equity in the value chains of the artisanal fishing subsector. There is evidence that many watersheds that empty into the coastal areas of both countries are contaminated with toxic and persistent chemicals that are possibly affecting both human and ecosystem health.	R3: Update the approaches and indicators related to gender equity in both countries to mainstream it in the CFI-LA R13: Conduct a survey of the concentrations of persistent pollutants in the water, sediments, and shell and crabs of the Tumbes Mangrove Sanctuary.	PMU; Country Focal Points
Impact	EQ5	There are incentives that promote sustainable fishing practices (e.g., the biological laboratory working closely with the black mussels and crabs of Tumbes; the traceability of the catch and added value of Dorado, etc.) Triple bottom line impacts require more than just an increase in wages and the extent to which artisanal fishing contributes to a country's GDP, as the OHI aims to measure. The CFI does not mention labor rights and it is surprising that there is no mention of the FAO Guidelines for the sustainability of small- scale fisheries.	Progress with the communities of good practice is an incipient sign that the project is moving towards its first stage of good governance. The fact that the project is narrowly focused on the areas of intervention is also key and promising. The sustainability of a project should be focused on achieving triple bottom line of impacts, and although the CFI-LA is focused on improving the economic dimension, it lacks indicators that measure labor rights, access to a healthy environment, (social dimension) and the equitable access to ecosystem services.	R4: Exchange practical experiences that have been achieved in each country R14: It is suggested that the global CFI pay more attention to fishing rights, and particularly human rights, that go beyond the one-dimensional indicators of the OHI.	PMU; Country Focal Points FAO, GEF, World Bank, UGP; Country Focal Points
Others	EQ6	The lack of robust assumptions and indicators of SMART outcomes is an unexpected weakness that was found mid-term. Also, the uncertainty of the magnitude of the potential effects of sewage effluents, agrochemicals, among others that are found in the lower watersheds along the coast of both countries	The weak design of the ToC is one of the biggest surprises, given that it was touted to be the strength of the project, despite warnings by the STAP Report. Unless remedied, the poor design will affect future CFI interventions in both countries and elsewhere. Based on the extensive agricultural activity and artisanal gold mining, it is likely that chemical released from with these activities are present in	R2: Reconstruct the Theory of Change and the non-SMART indicators (see suggestions in Annex 7.3) and add robust assumptions A13: Conduct surveys of the concentrations of persistent pollutants in the water, sediments, and especially	PMU; Country Focal Points

and especially the mangroves of Tumbes was an unforeseen finding that requires data to describe the magnitude of the problem. The estuaries of both countries are of special importance given that benthic resources being harvest and marketed have a mercury bioaccumulation risk for consumers of those products.	the river basins that overflow into the estuaries along the coasts of both countries.	molluscs and crabs of the Tumbes Mangrove Sanctuary, and in those adjacent to Guayaquil bay.	
One of the best examples of SMART outcomes that the project has achieved with the communities of practice in Peru has been with its support to the INCABIOTEC laboratory, which has been key to supporting the fishermen of the benthic resources in the mangroves.	Several Communities of Practice are now demonstrating how triple bottom lines can be achieved and measured with SMART outcomes. The participatory benthic resources monitoring and research by fishers and two other unexpected positive outcomes (Sta. Elena actions by government to address water quality issues and dorado traceability in Ecuador) offer models that could be tested and replicated in other CFI projects.	R4: Exchange practical experiences that have been achieved in each country	PMU; Country Focal Points

## RATINGS ASSIGNED TO THE CFI BY THE MTR

The Table below provides the MTR's overall ratings for different Criteria of the CFI-LA. The ratings assigned to each criterion are in line with the range of values set forth by the GEF-UNDP's Guide for carrying out Mid-Term evaluations<sup>3</sup>.

MTR Rating (R) Table			
Criterion	R:	Comments	
Strategy and Relevance			
Design	NA	The project is built on a weak Theory of Change.	
Results framework and	1	Most of the indicators are not SMART, robust assumptions, risks	
logical framework	1	and mitigation measures are lacking and this prevents the	
		application of adaptive and ecosystem management principles	
Progress towards achievi	ng the	results and objectives <sup>1</sup>	
General advances toward	4	Despite the delays at the start, the project is on track to achieve	
the results	1	its expected results, but there are concerns that only four (4) of	
		the 11 indicators measure SMART objectives.	
Achievements in route to	3	Due to weaknesses in the results framework and design, the	
the objectives	1	for from achieving its goal	
Component (		Cood programs with the governance platform and communities	
Component 1	4	of practice, but more tangible incentives to sustain and communities	
	1	good practices are lacking	
Component 2	4	It is the one with the greatest progress and is almost finishing at	
component 2	-	the CMSP in Sechura. However, there are risks to the	
		sustainability of the component, due to the lack of indicators and	
		the application of adaptive management in real time.	
Component 3	3	Although excellent results have been achieved, most of these are	
	1	Products, rather than SMART Outcomes. However, there are	
	1	three weaknesses associated with the design of the Component's	
	1	monitoring and evaluation (M&E) system: i) it does not have the	
	1	capacity to report whether the project is complying with the ToC	
	1	presented in the ProDoc; ii) the ToC is inadequately formulated,	
	1	which impedes any effort to measure results consistently; and iii)	
	1	the M&E system only provides information on the performance	
	1	of activities and products, but does not have the ability to	
	1	time and also apply adaptive management to capture the lessons	
	1	learned systematically.	
Project Execution and applicat	ion of a	adaptive Management	
Management mechanisms	3	The weakness of the ToC is a barrier to the application of adaptive	
		management principles. There are delays, but there are positive	
	1	signs that these are being overcome, especially the proximity that	
		the project now has with the intervention areas.	
Work planning	6	Highly Satisfactory	
Financing and cofinancing	5	Satisfactory	
Monitoring and	6	Offers an excellent model for replicating	
evaluation at the Project	1		
level	6	Event	
stakeholders	0	Excellent	
Information	5	Good	
Communication	5	Good	
Sustainability <sup>2</sup>	)	3000	
Financial risks to the	2	Experience indicates that there are doubts about the political will	
project's sustainability	5	to continue investing in these projects. However, revolving funds	
	1	such as PINIPA in Peru and other initiatives. are measures to	
	1	mitigate this risk, as long as there are sources of financing for the	
	1	projects that continually promote incentives for good practices.	

<sup>&</sup>lt;sup>3</sup> <u>Criteria: 6- highly satisfactory; 1st unsatisfactory;</u> Scores: 4= high risks; 1= low risk

#### Lessons Learned

The following knowledge has been obtained as a result of the project:

**LL1:** A weak formulation of the Theory of Change affects efficiency, effectiveness and sustainability to achieve the objectives of a project.

**LL2:** In the absence of an integrated binational approach, the impact of lessons learned and good practices on a binational project is diminished if results are not shared and experiences associated with implementation are exchanged.

**LL3:** The absence of an M&E and learning platform that applies adaptive management to measure the effectiveness of real-time interventions may result in a high risk for the institutional, social and environmental sustainability of a project based on the ecosystem approach.

**LL4:** Imprecise indicators, such as "number of people benefiting from the project" or aggregated IdSO indicators such as salary or contribution to GDP do not consider the principles of human or labor rights, As stipulated in the UN Global Compact and the FAO Guidelines for Small-scale Fisheries. Global experience indicates that the absence of SMART indicators and the failure to specify explicit impact indicators that quantify the benefits users enjoy from ecosystem services has been a major weakness in the sustainability of MSPC.

**LL5:** The lack of clarity of the term ecosystem management has weaknesses in the fundamental basis of the EMPC, and this weakness poses a risk to the sustainability of the IFC investment.

**LL6:** The right incentives generated in communities of practice are key elements in attracting fishermen and key women in the value chains of the artisanal fisheries subsector to the governance platform and building a critical mass of constituents (participants) to sustain the approach. However, A key element in building this critical mass is the participation and mainstreaming of the labor and human rights of women or other marginalized groups in the value chains of artisanal fisheries on the basis of the Voluntary Guidelines for the Sustainability of Small-scale Fisheries.

**LL7:** Any project for the integrated management of marine-coastal ecosystems, especially the EMPA, that does not incorporate the influence of watersheds within its conceptual and operational framework risks external threats (e.g., sewage, agrochemicals and other toxic and persistent chemicals) they may cause the failure of the initiative<sup>4</sup>.

**LL8:** Any MSPC and OHI that does not consider the potential impacts caused by persistent pollutants from the upper basins puts at risk social, ecosystem and economic resilience in coastal ecosystems and neighboring populations, since they can affect both human health and the harvestable resources, as well as the hygienic condition of seafood for market sale. **LL9:** Access to small funds is a key ingredient to encourage and sustain the participation of artisanal fishing communities in fisheries governance processes, and also to reactivate or strengthen partnerships already established and recognized by the state.

<sup>&</sup>lt;sup>4</sup> Without an integrated vision and explicit indicators to measure effectiveness, any PEMC and OHI will have major weaknesses. Coastal artisanal fisheries, especially mangrove benthic resources, are highly sensitive to contamination from chemical compounds, and pollutants persistent substances such as mercury, cadmium and lead, and there are studies that indicate that Ecuador and Peru have serious problems with contamination with mercury, agrochemicals and pathogenic microbes. This matter has been so important for Peru that the Director of DIREPRO Tumbes requested that the project consider the binational issue of the contamination of the Puyango river, and Pedro Zavala presented a proposal for the elaboration of a management and implementation plan and this initiative was approved by the Board of Directors.

## 2. INTRODUCTION

This Report is based on the evidence available to the Mid-Term Review (MTR) of the Global Coastal Fisheries Initiative (CFI) Program in Ecuador and Peru. The evidence includes feedback from interviews and information provided by various individuals who have participated in the design, implementation, and supervision of the project, as well as reviews of available documents relevant to both countries, their partners as well as other pertinent information obtained from other sources such as peer review articles.

#### 2.1 Purpose of the MTR and its objectives

The purpose of the MTR is to: i) ensure accountability for the achievement of the project objectives, as well as those of the UNDP-GEF and promote responsibility in the use of resources; ii) improve organizational learning (document, provide feedback, and disseminate lessons learned); and iii) strengthen the project's supervision and management functions.

Specifically, the MTR examined:

- The project strategy, complementary instruments such as the project logic and the Results Framework, including efficiency, effectiveness and the extent to which gender equality was addressed by the project;
- Progress in achieving the objectives and results of the project included in the Project Document (ProDoc), analyzing the progress and associated difficulties, and those cases where it does not appear that the project will reach its goals;
- The implementation and adaptive management applied in the project;
- The technical approach, as well as the sustainability risks of the project.
- The extent to which the Procedure for the Review of the Project's Social and Environmental Safeguards (SESP) was updated.

The main objective of the MTR is to assist with guiding the project towards the expected results, identifying any necessary changes that incorporate adaptive management to achieve the project objective. Finally, the MTR sought to identify and highlight good practices, as well as the less successful, which might only require small adjustments to improve their performance.

#### 2.2 Scope and methodology for the MTR

The evaluation focuses on assessing: i) measurable sign that indicate whether the CFI is on an effective and sustainable path towards the CFI-LA project's objectives; ii) the lessons generated during the CFI implementation process; and iii) evidence-based recommendations that can strengthen the good practices to date and overcome weaknesses that could threaten

the project's efforts to sustain the overall effectiveness of the CFI's approach. The structure of the MTR followed guidelines set forth in the Terms of Reference (UNDP 2020) and the MTR based its objective assessment of the design, effectiveness of the implementation process and project achievements on the following criteria (see <u>Annex 2</u>):

- Strategy and Relevance of the CFI-LA
- > Progress towards achieving the expected Results and to achieve the objectives.
- Project Execution and Adaptive Management, including the degree to which adaptive management principles were systematically applied.
- Sustainability examines the extent to which environmental, economic, social, and institutional benefits will continue after GEF financial support ends.

Key Questions (KQ) were formulated and applied to analyze each criterion, based on Judgment Criteria (JC) and Indicators to determine the answer for each PC. An important aspect is that each KQ had more than one Judgment Criterion in its objectively verifiable indicators. The JCs generated objective, standardized and evidence-based responses that were analyzed through the interviews and the existing data in the relevant Project reports. In addition, the KQs and JCs assisted in identifying areas where some additional research was required. Each JC was developed to fit the criteria set out in the ToR to determine the degree to which the project has advanced towards its targets, apply adaptive management principles and capture lessons in a systematic manner.

The approach also examined how the causal results-chain leading toward impacts, often called the theory of change (TOC) or impact pathway, was applied through mid-term. This process, which included a look at the underlying assumptions, risks and contextual conditions, was applied to examine how the project intervention contributed to the expected results.

#### 2.2.1 The Theory of Change

Following the GEF evaluation guidelines and to aid in the formulation of the Evaluative Questions (EP), the MTR reconstructed the CFI's Theory of Change presented in the ProDoc. This not only helped examine the cause-and-effect links throughout the project results chain (i.e., inputs, activities, outputs, and results), but also the suitability of the underlying assumptions, risks, and the extent to which those risks and are being mitigated. The evaluator reconstructed ToC, which is presented in <u>Annex 3</u>.

#### 2.2.2 Key Questions, Judgment Criteria, and Indicators

The consultant followed all the requirements stipulated in the ToR, including a description of the evaluation methodology, the reasons that it was adopted, the hypotheses tested and the challenges, strengths and weaknesses of the MTR's approach. All this in accordance with the format of Annex 02-B of the ToR. The consultant triangulated the findings from the available evidence (review of all available project-related documents, pertinent peer-review literature),

as well as a series of virtual interviews via Zoom / Skype or direct calls (due to preventive restrictions associated with COVID-19) with over 65 stakeholders from both countries.

The analysis of three key issues and the four evaluation criteria were carried out, for this, Key Questions (KQ) were formulated and applied for each criterion, as well as Judgment Criteria (JC) and Indicators to determine the answer for each KQ. An important aspect is that each PC had more than one Judgment Criterion in its objectively verifiable indicators. The JCs generated objective, standardized and evidence-based responses that were analyzed through the interviews and the existing data in the relevant Project reports. In addition, the KQs and JCs also helped identify those areas where additional research was required. Another detail is that each JC was framed around each criterion specified in the ToR to help assess the level of progress, degree to which the adaptive management principles were applied, and the efficacy of institutional arrangements. Table 1 presents the criteria and the list of Key Questions.

Table 1: Key Questions of the MTR.				
CRITERION	KEY QUESTIONS (KQS)			
1. Project Strategy	EQ 1: To what extent the project strategy is relevant to country priorities, country			
and Design	ownership, and the best route to expected results?			
2. Progress toward	EQ2a: To what extent have the expected results and objectives of the project been			
expected results	achieved so far?			
	EQ2b: To what extent have the project activities, outputs and results contributed to the			
	project objectives?			
3. Project	EQ 3a: Has the project been implemented efficiently, profitably and has it been able to			
Implementation/	systematically adapt to the changing conditions up to this point?			
application of				
Adaptive	EQ3b: Has the project been implemented efficiently, profitably and has it been able to systematically adapt to the changing conditions up to this point?			
Management				
4. Sustainability	ainability EQ4: To what extent are there financial, institutional, socio-economic and / or			
	environmental risks to maintaining project results in the long term?			
5. Incipient impacts	EQ 5: ¿ Are there any preliminary signs of potential impact of the implemented activities?			
6. Unexpected	EQ 6: Were there any unforeseen results that could compromise future interventions?			
Results				

Also, the Evaluation Questions are posed in greater detail in the RMT Evaluation Matrix (See Annex 2). In addition, the evaluation included an assessment of the gender approach, attention to indigenous peoples and matters related to climate change, in the sense of how these aspects were considered during design (project design, including Terms of Reference and Methodologies) and implementation of the actions. Finally, the evidence of the responses to the KQs are based on the review and analysis of the available documentation, the collection of secondary data and more than 80 interviews (Annex 6). Due to COVID-19, all interviews were conducted remotely.

#### 2.3 Structure of the MTR

This MTR report is based on the guidelines stipulated in the ToR<sup>5</sup>. It describes not only indications of success, but also errors and barriers encountered for achieving the objectives. Another relevant aspect is that the evaluation was conducted virtually (due to COVID-19) and based on a collaborative and participatory approach, thus guaranteeing, despite the limitations imposed, a close relationship with the Project Team, your government counterparts (the person or designated entity as the head or Coordinator of GEF Operations), the UNDP Offices (Lima and Quito), the UNDP-GEF Technical Advisors or other key stakeholders int eh outlying regions.

## 3. DESCRIPTION OF THE CFI PROJECT

The Coastal Fisheries Initiative (CFI) was developed to test different interventions that address the root causes of overfishing and the unbalanced environmental, social, and economic sustainability that coastal fisheries face throughout the world. Tackling weak governance as a root cause of overfishing, the degradation of fishery resources and the transboundary marine and coastal biodiversity of the Southeastern Pacific Ocean bordering Peru and Ecuador (see Figures 1 and 2). The CFI- Latin America (CFI-LA) also aims to develop and apply an innovative approach to improve the governance of artisanal and small-scale fisheries in both countries and address the underlying causes responsible for unsustainable practices such as the informality of the artisanal fishery subsector and open access to marine resources, which are deeply rooted in society. Building constituencies among a broad range of actors is a key ingredient for successful implementation of coastal-marine management plans, programs and policies. However, changing that behavior is a formidable challenge that will require a sustained, long-term effort, with the committed support and understanding from key government actors to achieve the basic outcomes related to social, environmental and economic dimensions of sustainable fisheries management. (ProDoc 2015).

The core of this project is to motivate a change in behavior for both the fisherfolk who beneficiaries of ecosystem services are, as well as the government institutions who are involved with planning and management of coastal-marine spaces. As a result, the CFI is built on three components that are aligned with the Theory of Change (ToC), developed by the global CFI (see <u>Annex 7.1</u>) to demonstrate a good example of a holistic, ecosystem-based management, approach and improved governance for managing and sustainably harvesting coastal fisheries and marine-coastal biodiversity of the Southeast Pacific. The focal area is within the transition zone located in the convergence of Humboldt Current and the Central American Pacific Large Marine Ecosystems, where some of the world's most productive fisheries are being threatened by uncontrolled expansion that is mainly being driven by increased market

<sup>&</sup>lt;sup>5</sup> i. Basic information of the report; ii. Index; iii. Acronyms and abbreviations; 1. Executive Summary; 2. Introduction; 3. Description of the project and context; 4. Proven facts; 5. Contribution to the level of achievement of the expected result within the framework of the UNDP Country Program, the contribution to the UNDP Strategic Plan and the SDGs; 6. Conclusions and recommendations; 7. Annexes.

demands, open access policies, the lack - or deficiency of regulations, surveillance, and sanctions.

The Project focuses on strengthening the governance of fisheries, mainly artisanal and smallscale fisheries in marine-coastal areas, the above would be done, creating synergies between fisheries and marine protected areas. Another aspect of the CFI-LA is the Marine-Coastal Spatial Planning (MCSP) in the Gulf of Guayaquil and in the Bay of Sechura and (Figures 1 and 2, respectively).



Figure 1: Satellite map of the intervention areas of the 3 components of the CFI in Ecuador (bathymetric maps are in Annex 7.6).



Figure 2: Satellite map of the intervention areas of the 3 components of the CFI in Ecuador (*bathymetric maps are in <u>Annex 7.6</u>*).

Finally, it is expected that this experience in the CMSP and the Ocean Health Index (OHI) will improve decision-making, constructive dialogue at different levels, and allow common agreements to be reached based on an ecosystem approach. It is worth mentioning that the strategic intervention of this project was developed through a participatory process that used information from various analyzes of the condition of the target fisheries and the intervention sites. The CFI is a Multifocal project of the GEF Global Fund, aligned with the *international Waters*<sup>6</sup> *and Biodiversity*<sup>7</sup> strategic objectives and results framework.

#### 3.1 Development context

The nutrient richness and rich trophodynamics associated with the upwelling driven by the confluence of the Humboldt current, position both countries as important players in national and international fisheries markets. Nonetheless, while both countries have their strengths, opportunities, they are also characterized by major weaknesses and serious threats, some of which are presented in the SWOT matrix shown in <u>Annex 7.5</u>.

<sup>&</sup>lt;sup>6</sup> improve multi-state cooperation and catalyze investments to promote sustainable fisheries, restore and protect coastal habitats. <sup>B</sup>BD-4 aims to incorporate the conservation and sustainable use of biodiversity in marine production sectors and landscapes.

Peru's main strength is that it is the fourth largest fish producer in the world and it fishery exports represent almost two-thirds of the value of all of its exports. It also has a high rate of domestic seafood consumption (<u>ProDoc 2015</u>) and artisanal fisheries provide most of the products consumed by the domestic and export markets.

Ecuador is an important player in the world tuna industry, with the largest fishing fleet, and the highest catch and processing capacity in the eastern Pacific Ocean. Tuna is the second most valuable seafood export. Not only does Ecuador have a great diversity of other marine fishery species, but it is a leader in farmed shrimp and the artisanal fishing subsector plays an important role in harvesting benthic resources like black mussels and red crabs form mangrove ecosystems, and is also important in the pelagic capture fisheries<sup>8</sup>, including dorado, which are expanding uncontrollably due to an increased market demand, free access policies, and the lack (or deficiency) of regulations, surveillance, and sanctions.

These and other serious conflicts must be resolved within marine and coastal protected areas because small-scale motorized boats (e.g., wooden hull fishing boats) argue that they are also artisanal and justify their fishing activities within the reserve area set aside exclusively for artisanal fishing. Another important aspect is that the first eight offshore miles in front of the coastline are also reserved for artisanal fishing, although there are frequently illegal incursions by industrial and semi-industrial fishermen.

The lack of formality of artisanal fisheries subsector is one of the main problems in both countries. Fisherfolk do not register their boats or catches, and there is limited capacity to enforce the relevant laws for artisanal fishers. This has led to a large expansion of artisanal fishing. Without access to bank credits and loan agencies, fishermen are forced to take unfavorable loan conditions from intermediaries to buy, maintain and replace worn equipment. This further drives unsustainable fishing practices because it leads to illegal and unreported catches (IIU), seafood sales at lower than established market prices, which forces the fishermen to increase fishing pressure in an unregulated system, middlemen take most of the share of profits. All of these factors have resulted in increased fishing effort that has not only driven unsustainable fishing patterns, but it has also reduced the resilience of ecosystem services due to the loss of biodiversity, which is a key factor in maintaining resilient and healthy ecosystem services for producing fish biomass, sequester pollutants and contributing to the capacity for those ecosystems to adapt to climate impacts.

## 3.1.1 Environmental factors

Although marine waters bordering Ecuador and Peru are some of the most highly productive parts of the Pacific Ocean, this productivity is threatened by overfishing, pollution, unsustainable coastal development, and climate change. Shortage of sewage

<sup>&</sup>lt;sup>8</sup> Dorado is the most important species of this Ecuadorian fishery, constituting 55% in December 2008 and 2013 of all registered captures, which were mainly exported to the U.S.

treatment plants for the coastal population, indiscriminate use and release of mercury from small-scale gold mining and agrochemicals threaten nursery habitats and the viability of coastal fisheries (*see subsection on Environmental and Social Safeguards*). Unless governments address these coastal watershed issues that not only affect the resilience of coastal and marine ecosystem services, but also the health of coastal communities, there is a risk that the project will meet its goals in a fragmented manner. This requires that the project broadens its focus to avoid being blind-sided by surprises that may affect its overall sustainability.

#### 3.1.2 Social and economic factors

In general, the biggest challenges to inclusive governance in both countries comes from open access to artisanal fishing grounds, as well as conflicting intra- and intersectoral development plans and policies in marine and coastal waters<sup>9</sup>. This is further complicated by the previously mentioned informality of the artisanal fishery subsector of fishing, as no tax revenues are collected from the sector, and this leads to missed opportunities to collect revenues that could be re-invested in sustainable management interventions.

#### Perú

Fish is in high demand in Peru and is often more expensive than beef, which is partly explained by the numerous intermediaries who raise sale prices to maximize their profits. The artisanal subsector's characteristic informality has driven the unsustainable development and expansion of valuable fisheries such as squid and dorado, without significantly resulting in tangible benefits to artisanal fishermen. This results in low incomes for artisanal fishermen, many of whom earn less than Peru's minimum wage (especially squid fishers). According to the UN Global Compact and the FAO's Guidelines for Sustainable small-scale fisheries, this violates their labor and human rights.<sup>10</sup>

While women's involvement in the fisheries sector primarily centers around the processing and marketing of the capture fisheries value chains, they earn disproportionately lower salaries than men. Invisibility of women in Human Rights violations in the fisheries sector and social protection & decent work issues is common in Latin America. Given their importance for maintaining family cohesion and familial financial management, it is imperative that they are involved in any new governance platform to ensure their rights to: i) have the same opportunities as men to participate in activities; ii) earn equitable wages for the same jobs

<sup>&</sup>lt;sup>9</sup> Due to the oceanographic conditions that are defined by the currents created by the confluence of the warm waters of the north and the cold waters of the south, which create an area with a high tropical and subtropical marine diversity. In addition, this area is strongly influenced by the El Niño-Southern Oscillation (ENSO) phenomenon, which is one of the main sources of interannual variability in the Pacific Ocean.

<sup>&</sup>lt;sup>10</sup> According to the ProDoc, there are several issues such as technical and economic inefficiencies in the fishing operation and inadequate handling on board and in port that decrease the value of landings. For example, fishermen and shipowners rely heavily on traders / intermediaries (called "enablers") to finance the costs of the fishing trip, to be paid with the catch. In the case of informal operations, other intermediaries called "billers" wash / regularize the catch and issue an invoice, the same one that is necessary for the product to enter the value chain. The same occurs with artisanal fisheries, many more fisheries such as mangrove shell and crab,

within fishery value chains; ii) share CFI-related benefit equally with men; iii) hold leadership roles in fishery organizations. It is also essential that both Peru and Ecuador mainstream the role of women in the fishery sector in compliance with within national and international commitments to international human rights and gender equity agreements that each country has signed.

Despite highly centralized decisions to control fishing effort for high-demand resources (e.g., shellfish) by restricting landings and closing fishing grounds seasonally, an estimated 70% of the black mussels sold in Lima's markets are below the minimum landing size. Similarly, red crabs and other mangrove-dwelling species are overexploited.

#### **Ecuador**

The informality of the artisanal subsector has also been a serious problem in Ecuador, and the number of informal fishermen and vessels is not known. As in the case of Peru, free access to fishery resources and limited capacity to enforce the law has resulted in the expansion of fishing pressure throughout coastal waters. Although there have been positive results with fisheries management based on rights of use in mangroves<sup>11</sup>, functioning as an instrument of territorial rights of use in fishing (TURF), these experiences have not been expanded to other fisheries or extractive activities.

# 3.1.3 Institutional and political factors that are pertinent for achieving the CFI's objectives.

Competition over fishery resources and competition for other ecosystem services (e.g., Tourism) in the same area are some of the causes of conflicts with artisanal fishermen, industrial fishermen and other sectors competing for the ecosystem services in the same coastal and marine waters. However, the root causes lie with sectoral plans, policies and programs that are incongruent with sustainable use of these ecosystems and their services, as well as both gaps and overlaps in sector-specific legislation<sup>12</sup>. As a result, both countries are facing an untenable situation that is difficult to unravel, and more so to manage, until intersectoral harmonization of sustainable fishery goals can be achieved.

#### <u>Perú</u>

Although most of those interviewed stated that there has been a high degree of centralized decision-making in the fisheries management sector, the situation is improving and there is a better effort to share responsibilities with the regions, which is for decentralizing management roles, as well as implementing plans and programs at the lowest practical levels.

<sup>&</sup>lt;sup>11</sup> Concessionaires have used this tool mainly to secure areas to capture red crab (Ucides occidentalis) and black mussel (Anadara tubercuosa and A. similis).

<sup>&</sup>lt;sup>12</sup> The sectors indicated are industrial fishermen (especially in fishing areas and valuable species), oil companies, tour operators, aquaculture farms and marine-coastal protected areas.

COMUMA is the inter-sectoral institution that coordinates all sectoral interventions, as well as local actions (through Local Management Committees) that affect the coastal marine ecosystems. This coordination is essential for ensuring that governance is inclusive and interactive governance to increase the chances that the Coastal Marine Spatial Plan for Sechura Bay is implemented effectively. Effective governance will only be possible when decision-making and management are decentralized.

#### **Ecuador**

Within the framework of the Fisheries and Fisheries Development Law, the Undersecretary of Fisheries Resources (SRP) of the Ministry of Production, Foreign Trade, Investments and Fisheries (MPCEIP) are responsible for administering Ecuadorian fisheries, and they develop pertinent regulations (e.g., closures, size minimum catch) through diverse ministerial agreements. Since 2005, the fisheries authority has adopted the responsibility of preparing and implementing five-year National Action Plans for specific fisheries (NAPs)<sup>13</sup>. In previous governments, the MAR Commission in Ecuador, which was constituted by several institutions that are related to Marine-Coastal Management, played an important role in intersectoral coordination. However, in November of this year, the government of Ecuador ordered its reorganization and created the Interinstitutional Committee of the Sea, which among its many attributions include the articulation of national policies related to maritime space, as well as approving and implementing the Intersectoral Agenda of the sea. It is considered an extremely important measure for maintaining continuity between different governments and thereby for reducing the risk of inadequate institutional coordination and regulations. Nowhere do the NAPs mention equitable working income for women, nor ensuring the human rights to Resilient Ecosystem Services to achieve SDG 14, and sustain equitable access to food, livelihoods, CC adaptation, healthy & alternative work options.

The Ecuadorian artisanal fisheries that are found within coastal-marine protected areas (CMPAs) are under the authority of the Ministry of Environment and Water (MAAE) and their regulation depends on the type of management category under which they fall, as well as the corresponding management plan. However, enforcement is limited, and fishermen commonly violate the conditions that govern use of the CMPAs. Recently, this has led to conflicts and some have been violent.

## 3.2 **Problems which the Project attempted to address**

CFI-LA is focused on promoting a learning approach to explore ways to strengthen the governance of coastal fisheries and strengthen the capacities of regional governments to manage artisanal fisheries using an ecosystem-based approach. However, most of those who were the targets of capacity development indicated that they did not sense that their capacities had been significantly strengthened, nor that clearer rules had been developed to

<sup>&</sup>lt;sup>13</sup> Three plans have been issued for sharks, dorado and pomada shrimp. The NAPs establish the management framework and priority actions, which are complemented by specific regulations issued as necessary.

help regulate and reduce conflicts stemming from to open access fishing areas. The following subsection highlights some of the barriers and threats that the CFI project intends to address.

#### 3.2.1 Threats and Barriers

The ProDoc notes that the CFI project aims to address some of the barriers and threats to good governance within the fishing sector of both countries<sup>14</sup>. First, the informality of artisanal fishing and the failure to register their catches and avoid paying taxes is one of the drivers of this rapidly expanding subsector in Ecuador, as well as the cause of many social and economic problems<sup>15</sup> associated with the overexploitation of marine-coastal resources found in both countries. The ProDoc also identified other elements that would affect any initiative to address the unsustainability of artisanal fishing, such as:

- <u>The policy of open access</u> resulting in the proliferation of unsustainable fishing along the Ecuadorian coast, especially with pomada shrimp.
- <u>Poor dialogue and collaboration between key actors</u> both countries lack platforms that could facilitate dialogues between fishermen and formal government authorities, as well as improve on the low levels of trust between of stakeholders throughout fishery value chains. Furthermore, the weaknesses of fishing organizations limit their participation in governance and in the effective application of rules and decisions.
- <u>The limited ability to adapt decision-making to changing situations</u> there are difficulties in capturing and adapting the lessons learned based on the principles of adaptive management systematically so that those lessons can be used in a proactive, rather than a reactive manner. As a result, learning is not internalized within any level of artisanal fisheries management.
- The limited capacity of Peruvian regional governments to apply their authority within the <u>fisheries sector</u> decentralization in 2006 was incomplete, there are no adequately developed technical capacities, financial resources were not reallocated, and local governments do not invest in sustaining the fisheries<sup>16</sup>.

Other barriers to governance in both countries that the project addresses include <sup>17</sup>:

<sup>&</sup>lt;sup>14</sup> Other important barriers identified but not part of the project include: (i) free access political pressure – especially in Peru where some artisanal fishermen press politicians to reject new regulations; And ii) artisanal fisheries are less prized – despite the discourse on their importance to food security and social welfare, they do not have much weight in national and local policies, especially in Peru where they focus on high-value industrial fisheries. Although Ecuador's artisanal fisheries have more weight, the government allocates few resources to assess the state and pressure of its mangrove and coastal waters' resources.

<sup>&</sup>lt;sup>15</sup> For example, in Peru, it is estimated that 70% of the artisanal fishing subsector is informal, and this has driven an expansion and development of some fisheries without correcting the serious problems associated with poor handling of catches on board and in port, the 'laundering 'by intermediate billers who regularize the catches within the value chain and the sale, and the difficulty that governments have to regulate the catches of the resources that are closed and / or with illegal sizes

<sup>&</sup>lt;sup>16</sup> Furthermore, vertical, and cross-cutting coordination is limited, and local governments are highly influenced by political pressures from artisanal fisheries, and the M&E plan of sectoral competencies transferred to these lower practical levels does not include artisanal fisheries.

<sup>&</sup>lt;sup>17</sup> Other barriers shared by both countries include i) Contradictory perspectives between sectoral authorities and key actors - which frequently cause conflicts and tensions to escalate. For example, many artisanal fishermen oppose the creation of MPAs, while in Peru there are conflicts between the energy, mining and aquaculture sectors, which threaten bays and wetlands with pollution; and ii) Unclear or overlapping jurisdictions. Despite the fact that jurisdiction in the coastal zone is clear, some sectoral authorities authorize unsustainable uses in marine spaces that are inconsistent with protecting the resilience of ecosystem services in marine areas- coastal. Although actions have been taken to resolve these problems, inconsistencies and ambiguities persist.

- Lack of mechanisms for intersectoral dialogue and negotiation Although Peru's COMUMA is an excellent and replicable model for harmonizing sector plans, strategies, and policies so that they are congruent with the protection of the resilience of marine-coastal ecosystems, its equivalent in Ecuador was eliminated, and that has resulted in the superimposition of hydrocarbon exploration and production concessions.
- Limited experience with marine spatial planning Although both countries have good experiences with the comprehensive management of marine-coastal zones, both countries lack experience in spatial planning in their marine areas. In addition, there are weaknesses in real-time monitoring and evaluation of the effectiveness of the management of ecosystem services in the marine-coastal environment<sup>18</sup> and the application of adaptive management principles to adjust the approaches as new lessons are learned throughout the implementation process (Olsen *et al.*, 2011).

The MTR finds that there are other barriers that threaten the effectiveness of the CFI-LA:

- <u>Inconsistency of sectoral policies plans and mandates</u> that undermine efforts to manage to focus on ensuring resilient ecosystem services in marine-coastal areas<sup>19</sup>.
- <u>The absence of a real-time M&E platform</u> to measure both the effectiveness of the management of artisanal fisheries in coastal areas with data and information that contribute to the application of adaptive management to make the best decisions and policies in the marine environment coastal in a timely manner.
- Low budgetary investments in ecosystem-based management (EBM) in the artisanal subsector, compared with profitable industrial fisheries. This includes the relatively small budgets for scientific research, integrating traditional knowledge, as well as providing funding for sustainable alternatives to destructive practices.
- Difficulties in creating Binational governance policies and platforms<sup>20</sup>, due to complexities which represents a challenge to achieve a comprehensive approach to shared resources.

#### 3.2.2 Description of the CFI's strategy: Objectives, expected outputs and outcomes

The CFI was developed with the recognition of the importance of the coastal Fisheries in Latin America, and good experiences at the global level, as well as the lack of universally accepted solution about how these fisheries can be environmentally, socially and economically sustainable. For this reason, there is a great need to improve collaboration between countries and identify and refine the practical practices, while acknowledging that many actors work independently and informally, and that many countries care about the skills needed to analyze, initiatives within the fishing industry that can lead them to develop common

<sup>&</sup>lt;sup>18</sup> Although Dorado monitoring is more advanced in Ecuador, it is expensive and is not considered sustainable under conditions of economic contraction.

<sup>&</sup>lt;sup>19</sup> It is important to underline that UNDP promotes respect for the roles and responsibilities that exist between the fishing authority and the research authority at the fisheries level. The project aims to ensure that any instrument of public policy is framed in national regulations and that its powers are clear. At no time should UNDP implement actions in its projects that violate the roles and responsibilities or confuse the responsibilities of the fisheries authority and the investigation authority.

<sup>&</sup>lt;sup>20</sup> At the binational level, the articulation has been very limited, the practical exercises for the improvement of governance and spatial planning have been given independently and in the case of the latter, with different methodologies.

solutions to the problems that prevent artisanal fisheries from being sustainable.

The main objective of the CFI-LA project is to demonstrate holistic management based on the ecosystem and increase the governance of the coastal fisheries of the Southeastern Pacific. The ProDoc does an excellent job of describing the requirements for catalyzing the kinds of changes that are required for managing the fisheries in both countries through strengthening of the ecosystem-based management framework, and the normative, legal and institutional framework (ProDoc 2015<sup>21</sup>). However, the MTR finds several reasons for concern regarding the theoretical approach and the operational aspects described in the ProDoc, and which have not been mentioned in any of the reports to date.

- Despite them being two very different theoretical concepts, the ProDoc and all reporting reviewed by the MTR interchange the terms Ecosystem Based Fisheries Management (EBFM) and Ecosystem Based Management (EBM) as if they are synonymous.
- Another shortcoming is that metaphorical concepts like EBM and EBFM frequently lack indicators that explicitly measure effectiveness, or outcomes that clearly indicate whether the expected changes have occurred. There are many examples of EBM that simply list outputs (*number of people trained, number of Plans,* etc.), without measuring their effects, much less, their contributions to achieving triple bottom line impacts.
- The Project is not based on a coherent causative results chain and it lacks SMART outcomes, the Theory of Change is inadequate and therefore, therefore, the M&E platforms proposed in the ProDoc are incapable of measuring the effectiveness of EBM, EBFM or CMSP.

For this reason, the MTR takes as a point of departure in an effort to follow the project's logic for achieving triple bottom line impacts by addressing the social, environmental and economic dimensions of the sustainable use of ecosystem services and the degree to which the project addresses SDG 14 (Life Under the Oceans).

The evaluator agrees with the observations made by the GEF Panel of Scientists (STAP 2015), that it is not simply governance factors that are the most critical that impede the ecosystem approach to fisheries, but that this also requires a critical mass of interest groups (constituencies – see <u>Olsen *et al.* 2009</u>). In the case of the CFI-LA, they are called the *communities of practice*, who are key drivers of change to the unsustainable practices among fishers. As a result, they can help promote good practices like those which integrate scientific and traditional knowledge, forward-looking strategies such as market-based tools like certification of sustainable fisheries, all of which are important management tools<sup>22</sup>. Women play an extremely important role in the composition of these interest groups and without

<sup>&</sup>lt;sup>21</sup> Paragraph #29

<sup>&</sup>lt;sup>22</sup> The MTR agrees with the STAP report that the term "enabling conditions" implies that fundamental preconditions for an EEP initiative are present and that such conditions cannot be limited to the formal governmental mechanism, as this narrow definition implies.

their involvement, the critical mass for stakeholder involvement will be limited and attaining this critical ingredient for building lasting enabling conditions. Also mentioned in the STAP report is that the formal adoption of some new policies and the legal framework for fishing do not necessarily imply that a government will remain committed to promote the necessary changes for demonstrating effective ecosystem-based fisheries management.

Finally, it is noted that the Project aims to contribute toward achieving four Sustainable Development Goals (SDGs): SDG#2- end hunger, achieve food security; SDG #5 – gender equity and empowering women and Young girls; and SDG#14 – conserve and sustainable us of the oceans, marine resources; SDG#15 – protect, restore and promote the sustainable use of terrestrial ecosystems.

As indicated in the UNADF / Results framework of the country program for Ecuador is that by 2022 the institutional and citizen capacities will be strengthened to promote the rights of nature, conditions have been created for the sustainable development of low emissions and improving resilience and risk management to cope with the impacts of climate change and natural and human-caused disasters. For Peru, it is expected that by 2021 people living in conditions of poverty and vulnerability will enjoy improved access to decent livelihoods and productive employment through sustainable development that strengthens social and natural capital, integrating management of the adequate risk.

## 3.2.3 Description of the places where the Project is implemented

The geographic focus on the CFI in Ecuador is in Anconcito, Chanduy, Playas and Posorja, Gulf of Guayaquil, Manta, Santa Elena and Manabí, while the areas in Peru include Piura, Sechura, Paita, Manglares de San Pedro de Vice, Virrilá Estuary, Tumbes and Illescas Reserve Zone.

#### 3.2.4 Project execution mechanisms

The project is being implemented via UNDP's National Implementation Modality (NIM), based on the basic assistance model with the governments of Ecuador and Peru, and the Country Program Document (CPD). The GEF's implementing agency is UNDP, with the UNDP-Peru office leading the project. The leader agency directly supervises the project and directly administers the bi-national and Peruvian elements, while the UNDP Office in Ecuador collaborates with implementing the project, as well as managing it in that country. Figure 3 shows the organizational diagram for the CFI-LA Project, while Tables 2 and 3 summarize the indicated institutions that support the project, and their roles.

Each country has implementing partner agencies who are responsible for implementing the national activities that each country has agreed upon, as well as Project administration, monitoring and evaluation of the project interventions and results, and for tracking the use of the GEF's resources, since the UNDP is the fiduciary entity for the GEF. The implementing

partner in Ecuador is the Ministry of Production, Exterior Trade, Investments and Fisheries (MPCEIP), whereas the Ministry of the Environment (MINAM) is the responsible agency in Peru. The UNDP Country Offices (UNDP-CO) provide support and direct services to the Project. In the case of Ecuador, the government has designated CI and WWF NGOs as the responsible parties for that country, and this is in line with UNDP policies. CI is responsible for products 1.3, 1.4, 1.5, and 2.1, while WWF will be responsible for products 1.1 and 1.2.



Figure 3: Organigram of the CFI-LA Project (Source: PRODOC)

The Project Board is made up of strategic partners, local representatives, and the project coordinating unit, informed of the institutional, spatial and operational context of the project, and they also understand the functional and operational structure for the development of the project, in accordance with the norms and procedures of the UNDP GEF. Has the responsibility to make management decisions (consensus), approve project plans. Table 2 presents the key members of the Project Board involved with overseeing the project<sup>23</sup>:

INSTITUTION						
VICE-MINISTRY OF STRATEGIC DEVELOPMENT OF VICE-MINISTRY OF AQUACULTURE AND FISHERIES						
NATURAL RESOURCES - PERU - ECUADOR						
VICE-MINISTRY OF FISHERIES AND AQUACULTURE - VICE-MINISTRY OF THE ENVIRONMENT - ECUADOR						
PERU						
TUMBES REGIONAL ECONOMIC DEVELOPMENT						
MANAGEMENT						
PIURA REGIONAL ECONOMIC DEVELOPMENT						
MANAGEMENT						
UNDP PERU						

Table 2: Main institutional actors making up the Project Board.

<sup>&</sup>lt;sup>23</sup> Source: PIR 2020

Tables 3 and 4 summarize the indicated institutions that support the project, and the roles of these institutions. Table 3 presents the key Ecuadorian institutions to implement IFC-AL include the following:

Table 3: Key actors for CFI-LA in Ecuador.				
This is the National Directorate responsible for the project and the institution				
representing Ecuador in the CFI. Its mandate is related to the regulation and control of				
fishing activities at the national level and it is the strategic partner for the development				
of activities in the shellfish, crab, dorado, pole and line tuna and pomada shrimp fisheries.				
It ensures that the management and governance tools that the project has developed are				
elevated to the public policy levels through agreements and ministerial regulations. The				
agency's level of commitment and involvement with the project is strong, and this has				
allowed the development of activities in Ecuador in a fluid manner. However, it has been				
a challenge from the start of the project to maintain the level of commitment and				
involvement, given the frequent changes in the Sub-Secretariat's leadership.				
Currently the Public Institute for Aquaculture and Fisheries Research is a strategic actor				
for the implementation of component 1 activities. It provides the technical approval of the				
instruments developed within the framework of the Project. The signing of a technical				
assistance agreement in the activities planned for the fishing of tuna with pole and line				
has facilitated greater fluidity in the coordination and involvement of this institution, for				
which its participation in the activities of the pomada shrimp fishery are also being				
coordinated.				
It is the competent institution in the area of Marine and Coastal Territory Management,				
it has been an active participant who has risen to become the leader in the coastal-				
marine spatial planning process using the NOAA methodology. This has led to the				
formation of a promoter group, which has been working on the coastal marine spatial				
planning proposal in the Gulf of Guayaquil. It has also played an important role in the				
process of estimating the Ocean Health Index in Santa Elena and Manabí, whose				
results have been validated and presented by the Ministry of Environment and Water				
of Ecuador.				

Table 4 provides a brief description of the key institutions involved with the CFI-La in Peru<sup>25</sup>:

Table 4: Key institutional actors for the Project in Perú.				
The Ministry	of	The Ministry of the Environment is the governing body of the Executive Power of the		
Environment	of	Environmental Sector, which develops, directs, supervises and executes the national		
Peru (MINAM)		environmental policy. It also fulfils the function of promoting the conservation and		
		sustainable use of natural resources, biological diversity, and protected natural areas. On		
		the other hand, it has the responsibility of promoting the balanced and competitive		
		development of the territory, based on its healthy and orderly occupation, as well as the		
		sustainable use of natural resources to guarantee the common well-being and raise the		
		quality of life of people. In this sense, the MINMAM is a key actor for the project's actions		
		with protected natural areas and coastal marine spatial planning.		
The Ministry	of	PRODUCE is the competent entity in the regulation and control of fishing and aquaculture		
Production		activities, and in terms of governance, it is a key actor for the institutionalizing national		
(PRODUCE)		regulatory instruments such as the Fisheries Regulation. While coordination at the level		
		of the General Directorate of Environmental Affairs of Fisheries and Aquaculture and the		
		Directorate of Climate Change and Fisheries and Aquaculture is fluid, the coordination has		
		been weak at the General Directorate for Policies and Analysis for Fisheries and		
		Aquaculture. Since this latter Directorate is the key actor for the implementation of some		

<sup>&</sup>lt;sup>24</sup> The current president of Ecuador ordered the elimination of the Undersecretariat of Marine and Coastal Management (SGMC), and the challenge now is to establish coordination with the new body that assumes the functions of this Undersecretariat so as not to delay the ongoing activities. As described below, the CFI in Ecuador is considered to face a formidable risk in terms of its social and environmental sustainability if there is no high-ranking authority within the government that can ensure harmonization of the sectoral plans, programs and policies that may affect PEMC.

	activities, the project team tried to hold meetings and finally obtained a its commitment
	to participate and technically support the activities implemented by the project.
	However, the Directorate is currently prioritizing its attention to issues related to the
	COVID-19 emergency, so it will be a challenge to resume coordination with this direction
	after the emergency situation stabilizes.
The Natural	In its capacity as governing body, SERNANP has been supervising and providing
Protected Areas	permanent technical support to the Consortium for the implementation of the activities
Secretariat	described above. For the Project, it is a vital strategic ally because, through the Master
	Plan of the Los Manglares de Tumbes National Sanctuary, it lays the foundations for the
	development of the governance model that is being strengthened. Furthermore, during
	this period, its commitment as a strategic partner of the project has been extended to
	actions in other protected areas, such as the Illescas Reserved Zone, the Virrilá Estuary
	Environmental Conservation Area and the San Pedro de Vice Mangroves. The main
	challenge for SERNANP is to initiate a process of implementation of the governance
	model that it has been implementing in the Los Manglares de Tumbes National Sanctuary,
	in the other protected areas.
The General	Charged with leading the development of guiding instruments that promote the
Directorate for	conservation and sustainable use of biodiversity, plays a fundamental role in providing
Biological	technical assistance in the processes related to protected natural areas located in the
Diversity	province of Sechura, which has allowed important advances. But beyond its own
·	technical functions in terms of biodiversity, since December 2019 it has been the National
	Directorate for Projects, having reinforced the practical exercises in the territory on
	governance and planning in the territories linked to artisanal fishing in the two regions of
	the project, thus strengthening communities of practice.
The Multi-	COMUMA is led by the Ministry of the Environment and composed of PRODUCE,
sectoral	SERNANP, the General Directorate of Captaincy and the Coast Guard of Peru, among
Commission for	other entities, it has played an important role in supporting the project through the
Environmental	Specialized Technical Working Group (GTTE), who was responsible for the preparation,
Management of	consensus-building and validation of the ToR for the assessment of the Ocean Health
the Coastal	Index (OHI) in Sechura Bay. A call for proposals has been launched by the UNDP and once
Marine	the consultant is hired, the OHI work in Peru will begin.
Environment	
The General	This Directorate is part of the Ministry of the Environment and it is the competent entity
Directorate for	in matters of land use planning. As a result, it has been a key actor in defining the scope
Environmental	of work and methodology to be developed for the management of the coastal marine
Planning	territory in Sechura Bay. The most important challenge is for this methodology to be
	implemented through practical land use planning exercises, a process that is being
	carried out through the Local Government Management Committees. It is important to
	note that the territorial planning processes in Peru are relatively new, which makes this
	task more complicated.
The Northeast	Is the executor of the administrative contract of the Los Manglares de Tumbes National
Mangrove	Sanctuary, he has a fundamental participation in all the processes that are being
Consortium	implemented in component 1, since he represents artisanal fishing organizations whose
	members are the beneficiaries and administrators of governance tools that are being
	implemented. During this period, said entity has signed a grant agreement with UNDP.
	for the implementation of 3 activities. <sup>26</sup>
The Regional	Their functions include regulating and supervising the exploitation and sustainable use of
Directorates of	fishing resources within their competence, they have become key strategic allies. being
Production - Piura	the partners who are implementing practical exercises of surveillance, monitoring and
and Tumbes	control, in artisanal fishing. With these guidelines, important communication and
	coordination channels have been generated that allow the project actions in the territory
	to be carried out in a fluid and effective manner.

<sup>&</sup>lt;sup>26</sup> These include: i) Pilot test of community management of mangrove areas in the Los Manglares de Tumbes National Sanctuary and its buffer zone; ii) Execution of the training plan for fisheries organizations that use mangroves; iii) Strengthening the value chain of the black shell resource to improve production conditions in the mangrove ecosystem.

#### 3.2.5 Project execution deadlines and milestones to be met.

The project has 4 years to implement and is expected to be completed in October 2021. However, due to delays associated with the start-up associated with implementation in two countries and especially the heavy hits caused by the COVID-19 pandemic, the MTR only began its assessment of the project 3 years from the time the project started.

#### 3.2.6 Principal actors

Other key actors within the CFI-LA include the fishermen and benthic resource extractors, sectoral authorities, the provincial municipal governments of Esmeraldas, Manabí, Santa Elena, Guayas and El Oro in Ecuador; the local Sechura Community, fishermen and extractors from Sechura Bay and the Los Manglares de Tumbes National Sanctuary, sectoral authorities (e.g., DICAPI, PRODUCE, Ministry of Energy and Mines) and the governments of the Paita and Sechura provinces and the regional governments of Piura and Tumbes. Key stakeholders participating in the project include:

PERU	ECUADOR
<ul> <li>Ministry of Environment</li> </ul>	<ul> <li>Provincial Municipality of Paita</li> </ul>
✓ Ministry of Production	✓ Provincial Municipality of Vice
✓ SERNANP	Ministry of Production, Exterior Commerc Investment and Fisheries
✓ Regional Government of Piura	<ul> <li>Ministry of Environment and Water</li> </ul>
✓ Regional Government of Tumbes	✓ Provincial Government of Santa Elena
✓ Directorate of Production for Piura	✓ Provincial Government of Guayas
✓ Directorate of Production Tumbes	✓ Provincial Government of El Oro
✓ Municipality of Sechura	✓ Municipal Government of Playas
✓ Municipality of Talara	<ul> <li>Municipal Government of Guayaquil</li> </ul>

## 4. Achievements

Part II (a) of the ProDoc provides an excellent balanced and thoughtful summary of root causes, barriers, and an outstanding analysis of the complexities associated with the governance of marine-coastal fisheries. Based on the foregoing, the RMT has formulated comments and concerns associated with the approach presented in the CFI-LA to address these challenges identified in the ProDoc. The following subsections answer the Evaluative Questions (PE) described in Table 1.

### 4.1 Project Strategy

# EQ 1: To what extent is the project strategy relevant to country priorities, country ownership, and the best route to expected results?

This subsection examines the design and strategy of the project, focusing on: i) the relevance of the CFI in Latin America; ii) the Theory of Change, its logic and the concepts on which the CFI-LA is based; iii) the extent to which SMART outcome indicators have been developed; and iv) the validity of the Conceptual Framework of applied ecosystem management/ecosystem-based fisheries management.

In general, the project is highly relevant to the priorities regarding the sustainable management of artisanal fisheries in both countries, for the moment, each one is focused on their interests and there is no holistic vision. It is also well aligned to contribute to the strategic objectives and results framework of the GEF International Waters and Biodiversity, focusing both on achieving the GEF goal IW-3 (enhancing multi-state cooperation and catalyzing investments to foster sustainable fisheries, restore and protect coastal habitats), and GEF Goal BD-4 (Mainstream the conservation and sustainable use of biodiversity in production sectors and seascapes).

#### 4.1.1 Design – Weak Theory of Change

Although the GEF 6 projects have focused on the Logical Framework tool, the ProDoc presented a Theory of Change (ToC)<sup>27</sup> for the global CFI project. This ToC was stated to be the backbone of the project, since it would frame both the intervention logic that leads the three components to achieve the expected effects (outcomes) and its main objective. It was also supposed to operationalize the principles of adaptive management, as well as verify the effectiveness of the interventions and new concepts.

The MTR agrees with the observations raised in the Report of the GEF Scientific Panel (STAP 2015) in reference to the ToC presented in the ProDoc (see Annex 7.1) it is more akin to a hypothesis. It does not offer a clear vision with actions and products that guide the project towards tangible results (that is, they are not SMART), with different milestones that trace the progress towards fully operational actions of the Ecosystem-Based Fisheries Management (EBFM). Instead, the CFI simply offers a recipe composed of subjective and "right incentives" along the value chain, rather than a genuinely holistic approach that tests the effectiveness of the various experimental interventions in both countries in a way that drives an adaptive management process.

This is where the ToC has a great weakness. Although these interventions may be attributes of the programs that manage to turn the EBFM into an operational reality, the proposal

<sup>&</sup>lt;sup>27</sup> A theory of change (ToC) identifies and explains the sequence of actions and outputs that lead to desired immediate, intermediate and long term (impacts) outcomes, while examining why and how the expected change occurs (see Vogel 2012).

neither attempts to establish the process, nor the sequence of the chain of results that frames an integrated approach to fisheries management aiming to achieve the triple bottom line<sup>28</sup> (i.e., social and economic sustainability and ecosystem resilience). Despite the relevance of the key STAP and FAO recommendation to improve the theory of change, there is no evidence that this issue was addressed by the project formulators, nor are there indications that it was acted upon during the Inception Phase of the CFI. It is worth mentioning that 100% of the 25 key interviewees of the Binational project were unaware of the STAP report<sup>29</sup>. In addition to its critique of the ToC, it presents additional critiques of the project design. Considering the above and following the STAP Report's recommendation, the MTR reconstructed the ToC (see <u>Annex 7.1</u>), based on the figures of the original ToC presented in the ProDoc.

#### 4.1.2 Lack of SMART Outcome Indicators

It is surprising that after more than 30 years after the GEF began formulating and funding major projects around the world and promoting projects based on SMART outcome indicators, only one third (*four out of eleven*) of the CFI-LA indicators presented in the ProDoc's Results Matrix are SMART. Most of the results are actually outputs (e.g., number of people trained, number of plans formulated)<sup>30</sup>. It is also concerning that three of the main intermediate outcomes are not SMART.

Additionally, the jump from the immediate outcome # 3 of Coastal Marine Spatial Planning (CMSP) is curious, since there is no indicator that measures the effectiveness of the CMSP, much less one that measures the triple line impacts. Regarding the social dimension, for example, there is a lack of clarity between indicator 3.1 (number of people who benefit from strengthened ways of life) and Intermediate Outcome # 3 (the number of people whose ways of life are improved through draft). These two indicators are not SMART, since it is not understood which parameters are used to measure what is explicitly meant by "strengthened livelihoods". Other MSP projects have similarly made vague references to such terms and the lessons from those experiences call for formulating indicators that explicitly stipulate the expected social benefits of MSP (Fairbanks et al. 2019; Clark and Flannery 2019; Tafron 2018). Similarly, shortcomings of several OHI make it difficult to measure management effectiveness, and in the naive assumption that the indicators for Target #7 (increased salaries and contribution of fisheries to the GDP, which say nothing about the quality of the labor conditions, nor the sharing of the benefits from ecosystem services) will ensure equitable development opportunities is considered a weakness that requires adjustments.

<sup>&</sup>lt;sup>28</sup> The triple line impacts refer to the positive impacts in the social, economic and environmental dimensions. In the evaluator's experience, this is a utopian goal, but any effort that seeks to approximate it is important.

<sup>&</sup>lt;sup>29</sup> Currently, this is not surprising based on the experience of the evaluator, as more than 40 GEF projects evaluated there have been few people who have read the STAP Reports of their project.

<sup>&</sup>lt;sup>30</sup> Although another basic condition is a threshold of sufficient capacity to achieve the necessary changes if more sustainable coastal fisheries are to be achieved, the number of people trained and the number of visits to a website are outputs - they are not SMART outcomes. However, three indicators (one in each Component) have this weakness. Therefore, the important thing is to measure how this new knowledge is applied to promote the necessary changes.
The binational CFI-LA project is aligned with the conceptual framework and theory of change of the CFI, and it is intended to achieve a dynamic balance of sustainable coastal fisheries harvests in complex ecosystems. Figure 4 is an adaptation and modification of the same figure presented in the ProDoc.

The figure allows a better visualization of the three levels of the ToC:

• The first level is the creation of enabling conditions, focusing on creating communities of practice with fishermen, with practical exercises with key actors and authorities from both countries (these communities of practice are expected to mature during the implementation of the CFI-LA and also document and share good practices in a participatory way with beneficiaries, and eliminate interventions that were not effective). The best way to examine the effectiveness of these interventions is to apply a SMART output-oriented results framework and capture the lessons learned based on the application of adaptive management, something the project is not doing systematically;



Figure 4: Conceptual framework of the three levels of the CFI's implementation (modified from the ProDoc).

• The second level aims to implement the fisheries and site-specific practices, tools, concepts and methods of governance; In the case of Ecuador, it would be in the Bay of Guayaquil or other areas where the CMSP has been developed. In the case of Peru, it would be in the Bay of Sechura and / the Sanctuary of the Mangroves of Tumbes.

• The third level is where good practices are implemented, and the learned lessons demonstrate an example of holistic management based on ecosystem management aimed at a course to reach the triple line of results.

Based on this context, the fourth level comes after the end of the CFI where it is expected to reach an impact with triple effects, both in the social, economic and environmental

dimensions, ensuring financial, social and ecosystem sustainability in new areas and under different contexts.

According to ProDoc, the project will mainly contribute to the first level of ToC results, creating the enabling conditions to motivate the expected changes and generate initial modifications in the governance of coastal fisheries and produce lessons and experiences to enrich the CFI initiative. Progress to the second level of results is expected through the implementation of new or improved instruments to strengthen fisheries governance, improve dialogue and collaboration among key stakeholders, as well as improve their participation in decision-making. The community of practice and the results of the intervention are expected to motivate future changes in this scenario. Also, it is important that the CFI's set of SMART outcome indicators are monitored as part of the learning approach and the project's M&E strategy.

In addition, the conceptual framework should pay greater attention to the transition from analysis and planning (Phase 1), to the implementation of fisheries management plans that are based on GPBE ecosystem-based fisheries management (Phase 2). For this, a better-developed ToC should be the basis for constructing the indicators of a common ecosystem management (EG) system and applied in all CFI initiatives to assess progress and practice comparative analysis.

Under this circumstance and based on the weak ToC described above, a key part of the intervention logic emerges from its conceptual framework. Although the ProDoc argues that the ToC should generate lessons and good practices, it will be fortuitous and difficult to do anything other than reactive adaptive management without robust assumptions that could frame the systematic capturing of lessons and lead to proactive adaptive management. Furthermore, the M&E platform used for the project is nothing more than the UNDP's standard M&E tracking tool. While important for tracking the CFI's performance, it does not provide the M&E that is required to take real-time results and corrective actions. As a result, it does no contribute to filling in the large gaps created by the lengthy 5-year gap that is common between each calculation of the OHI scorecards.

### 4.1.3 Inadequate Risks and Assumptions

Evaluators must explicitly acknowledge the uncertainties that underlie a project, and the extent to which the assumptions of such a theoretical model match reality. A robust ToC could conceptualize the assumptions and risks as the engine that drives the adaptive management process along each link of the results chain, leading it toward the expected impacts within the delimited coastal marine area. For this reason, it is essential that the assumptions are made explicit and that the number of assumptions is sufficient to describe the model in question. Consequently, any initiative such as the CFI is only as solid as its assumptions.

Although the CFI presents some assumptions related to its strategy, the assumptions presented in the ProDoc monitoring matrix (see Annex 4) they are shallow. In addition, the ProDoc presents some of the risk<sup>31</sup> (see Annex 7.4). Currently, the risks are more akin to assumptions, as they present the fundamental conditions that the project should have addressed up front during the inception phase. For example, changes in ownership of the governments of Ecuador and Peru are nothing new, and UNDP would need to resubmit the project regardless of which new government takes office. On the other hand, the monitoring selected to mitigate the risk of the effects of El Niño and the Pacific Oscillation (ENSO) on coastal marine resources only provides information on the conditions but does not propose any mitigation measures for reducing those risks<sup>32</sup>. On the other hand, the measures to address the risks of hydrometeorological disasters and vulnerability to climate change are adequate<sup>33</sup>.

Together, the weak assumptions and risks presented in the PRoDoc reduce the effectiveness of executing all three components, and this raises questions about the social, environmental and institutional sustainability of the project. Without robust assumptions, it becomes difficult to systematically apply the principles of adaptive management and to capture the lessons learned during the project implementation process.

In summary, the risks and assumptions presented in the ProDoc are inadequate for driving adaptive management, and this raises doubts about the effectiveness of monitoring and responses to the annual project implementation reports (PIRs), as well as for UNDP's ATLAS used for reporting to the GEF. Understanding of the role of individual knowledge transfer and management arrangements is fundamental for following the desired behavioral changes along the path for achieving triple bottom line impacts in coastal-marine environments-coastal environment. It also requires appreciating the opportunity to learn from mistakes, and not to overlook them, as it is essential for continually improving the CFI's overall effectiveness throughout the implementation process.

<sup>33</sup> For example, one risk could be the continuation of centralized, command and control Management and decision making, or a reduction of financial support for sustaining the activities initiated in the provinces and municipalities.

<sup>&</sup>lt;sup>31</sup> ProDoc; #47

<sup>&</sup>lt;sup>32</sup> Annex 6 of the ProDoc indicates that although there are no social risks for local groups, they identified three environmental risks: Risk 1: Intervention in critical habitats and protected areas; Risk 2: Harvesting of fish stocks and other aquatic species. Risk 3: Vulnerability to the potential impacts of climate change (specifically, v) Effects of El Niño and the Pacific Oscillation on issues of coastal marine resources; vi) impacts from hydrometeorological disasters and vulnerability to climate change). The institutional risks identified are 1) Change of central government in Peru. The new president and congress take office in July 2016; ii) Change of local governments in the new authorities in 2018; iii) Change of central government in Ecuador. The new president and do not take office in 2017; iv) Change of local governments in Ecuador. The new authorities take office in 2019.

# 4.2 Progress toward achieving the expected results.

This section has been structured according to the Project's achievements made for; i) each the SDGs; ii) answering the Evaluation Questions (PE) of the RMT; and iii) analyzing the results achieved in the three components of the CFI. Overall, the project is highly relevant to the priorities of both countries. Part II (a) of the ProDoc provides an excellent and balanced and

thoughtful analysis of root causes, the barriers and an outstanding analysis of the complexities associated with the governance of coastal fisheries. The color Highly Satisfactory Satisfactory/Moderately Satisfactory Moderately unsatisfactory

of the shading in each box indicates the qualitative rating that corresponds to each Result stipulated in the ProDoc.

### 4.2.1 Results Framework

EQ 2a: To what degree have the activities, outputs and outcomes contributed to the project's outcomes?

The MTR agrees with the PIRs (2019,2020) in that the progress of the CFI in general is moderately satisfactory. Figure 5 compares the indicators of the logical framework with the MTR's findings about the actual progress to date<sup>34</sup>. It follows a "type traffic light" presentation of the qualitative results based on the level of progress achieved. Recommendations are also made from areas marked "Not on track" (red). The last column indicates whether the indicator presented in the results matrix is SMART. <u>Annex 7.3</u> presents suggested SMART indicators that could be used as a starting point. The only SMART indicators developed but the project shown in Figure 5 below, are immediate outcomes. The remaining results indicators are not outcomes, but they are outputs.

Indicator	Rating	SMART
Indicator 1: Number of fisheries with new or improved management regimes (eg better	MS	Immediat
governance, co-management, secure tenure or access rights regimes).		
Indicator 2: Percentage of fish landings included in the new or improved management	MS	Output
regimes.		
Indicator 3: Number of people (men and women, by nationality) who benefit from ways	MS	Output
of life strengthened through solutions to improve fisheries management. What are		
strengthened life forms? How are they measured?		
Outcome Indicator 1.1 Number of new or modified instruments to strengthen fisheries	HS	Immediate
governance in the coastal fisheries of Ecuador and Peru.		
Outcome Indicator 1.2 Number of people (men and women, by nationality) who have	S	Output
received training (formal, non-formal and on the job) on key issues of improving		
governance and sustainable fisheries management.		
Outcome Indicator 1.3 Number and surface (ha) of coastal and marine protected areas		Immedia
with formal participatory fisheries governance schemes.	MS	te
Outcome Indicator 2.1 Area (ha) in the process of coastal and marine land use planning in	MS	Output
each country.		

<sup>&</sup>lt;sup>34</sup> This is measured based on what is established in the Guide for the Conduct of the Mid-Term Exam in Projects Supported by UNDP and Financed by the GEF

Outcome Indicator 2.2 Area (ha) of coastal and marine protected areas included in the	MS	Immediat
territorial planning process of each country		e
Outcome Indicator 2.3 Number of people (men and women, by nationality) who have	S	Output
been trained (formal, non-formal and at work) in methods and tools for coastal and		
marine spatial planning in the calculation and use of the health index of the oceans		
Outcome Indicator 3.1 Number of people (men and women, by nationality) who have	MS	Output
participated in events to disseminate lessons and best practices (for example, workshops,		
study tours, seminars, CBI)		
Outcome Indicator 3.2 Number of visitors per month (annual average) registered on the	HS	Output
network of electronic platforms used to disseminate learning and best practices of the		
project		

Figure 5: Summary of the CFI's advances in achieving the stipulated ProDoc indicators (see <u>Annex 7.2</u>).

# 4.3 Analysis of progress

This section summarizes the progress made for each component and the status of project targets such as creating communities of practice, gender equity and building fisheries governance platforms, all of which are considered key to the success of the project. Regarding the indicators to be achieved, only four of the eleven indicators have been met<sup>35</sup> (Figure 5).

EQ 2b: To what extent have the expected results and objectives of the project been achieved so far?

Despite the challenges and delays during the first year of execution, the project has made some excellent achievements and achieved several positive results (including outcomes), including some that were not expected. Based on the available evidence, the project successfully adapted to many of the administrative bottlenecks and making better progress in its efforts to establish interesting communities of practice.

Additionally, it is important to mention that while the project is on track to achieve four results, the project is only monitoring of progress in achieving output indicators, instead of SMART outcomes. While there is a high probability that CFI will deliver the results indicated by green shading in Figure 5, there is a risk that these will not lead to the e the changes that are required to demonstrate an effective model of Ecosystem-based Management that can be replicated by the time the project was scheduled to finish. Furthermore, it is noteworthy that the CFI lacks lack of clarity about just what type of ecosystem management the Project aims to adopt (see Annex 7.5), and clarifying whether it is EBM, Ecosystem based Fisheries Management (EBFM) not only has serious implications for the type of governance and management frameworks that the countries aim to apply, but also the criteria and outcome indicators for measuring management effectiveness. Overcoming this bottleneck will require some serious adjustments in the ToC to ensure that it is more attuned to reality, rather than to some metaphorical panaceas whose effectiveness cannot be measured. Annex 7.3 presents some suggestions for SMART outcomes that the PMU could consider.

<sup>&</sup>lt;sup>35</sup> The indicator that measures the number of approved fisheries is an output. However, there are other indicators that are more explicit, such as tons of product captured that fall within a Management regime, and/or operating with regulations.

### 4.3.1 Component 1 – Fisheries Governance

The objective of the Fisheries Governance Component is to improve and strengthen the capacities of the key project stakeholders, as well as strengthen governance arrangements based on collaboration, trust and building the social capital of the resource users. Additionally, the interaction between fisheries and Marine-Coastal Protected Areas (CMPA) is addressed in two geographic locations. This includes the preparation of new management instruments or updating them<sup>36</sup> to improve the governance of coastal fisheries, with an inclusive and gender-sensitive approach to face the particular conditions of the seven target fisheries.

Although fisheries governance is recognized as a central element in reducing conflicts and generating social, economic and ecological benefits (e.g., <u>Olsen *et al.* 2009</u>), it is extremely complex to sustain it. Small scale-fishers and fish workers are the ones suffering the most from weak regulations, and the other challenges facing the sector, their rights are frequently violated, and the governance platforms offer excellent opportunities for them to claim their rights to equal access to fishing grounds, food, an adequate standard of living and to decent work. However, none of these issues are mentioned in the CFI.

However, the greatest challenge to small-scale fisheries management and governance comes from the high levels of uncertainty and unpredictability in the fisheries or other extractive resources resulting from the complexity of the Southeastern Pacific's marine ecosystem dynamic. Couple that with the heterogeneity of socio-ecological landscapes and, the varying levels of knowledge and norms throughout coastal and marine waters represents an additional challenge to any fisheries governance platform. And if that is not enough complexity, add the unpredictable seasonal movements of migratory species (e.g., dorado, tuna) that are shared within open spaces of the two countries, and management becomes even more challenging.

Adaptive management is a key process for dealing with these complex ecosystem dynamics, the uncertainties and the unpredictability of the fisheries dynamics and ecosystem-based management (EBM) is recognized as the best strategy to address complexity and build resilience within these systems. A robust Theory of Change is an excellent tool for building an adaptive management framework, and this requires SMART, measurable outcomes that provide solid evidence about the effectiveness of management interventions (i.e., management tools and institutional arrangements). Not only can tangible evidence influence the level of stakeholder participation (Armitage *et al.* 2017; Olsen *et al.* 2009, 2011), but it can also lead to local innovation that is driven by the resource users. It is under this adaptive management lens that the MTR examined Component 1<sup>37</sup>.

<sup>&</sup>lt;sup>36</sup> One of the assumptions of the CFI strategy is that a resilient system should have: (i) a set of agreed management rules to protect the stock and ensure sustainable fishing performance, (ii) a set of tools to protect the stock and associated biodiversity, (iii) a set of access / use rules that limit fishing effort to ensure sustained social and economic benefits, and (iv) a system of control, compliance and sanction of infractions to ensure the observance of the rules. agreed.

<sup>&</sup>lt;sup>37</sup> The ProDoc recognizes the importance of exercises based on a learning approach and the RMT argues that the application of the principles of adaptive management is the basis for capturing the lessons of the implementation of the CFI.

In the medium term, both countries have achieved excellent results creating communities of practice in specific sites such as the Gulf of Guayaquil in Ecuador and Sechura Bay and the Tumbes Mangrove Sanctuary in Peru, as described in the subsections that follow.

### 4.3.1.1 Advances with governance in Ecuador

Despite the fact that since March 2020, COVID-19 has halted many of the artisanal fishing activities in Ecuador and forced fishermen to stop fishing, especially in the remote coastal communities where it is difficult to get their product to markets. Although communities around the Guayas River estuary were hit hard, they have shown remarkable resilience against all odds, and have reactivated fishing activities.

In this context, communities of practice have been established with the Coalition of Crab and Mussels in the Gulf of Guayaquil, and an agreement was signed to create a self-financed fund by the fishermen themselves. It also appears that they have applied adaptive management (AM), although it appears to be more reactive than proactive AM. For each month of fishing, each organization contributes 100 dollars that are used for future emergencies in these fishing communities. They also hope to further strengthen the fund with other contributions, which come from the certification their captures. Surprisingly, this innovative fund has still not been considered by other fishing communities, nor by the rod-fishing tuna industry, which is one of the strongest. However, it is an important outcome that must be replicated, and it offers an important lesson for the rest of the fishing sector to be shared in both countries.

This same Coalition of Crab and Mussels and the Cañero de Manta Association with the dorado fishermen associations and the bag net shrimp industrial associations have carried out practical exercises with the support and technical advice of the Public Institute for Aquaculture and Fisheries Research (IPIAP) and the Undersecretariat of Fisheries Resources. These practical exercises, based mainly on the development of national action plans and the implementation of participatory monitoring systems of the target fisheries, have allowed fishers, authorities and other key stakeholders to explore new measures together to that they hope will ensure the sustainability of their catches. As a result, this is motivating other resource users and the government authorities to lead and / or implement important changes to overcome unsustainable practices that have been destroying these fisheries.

WWF carried out the first pilot project where an electronic logging system was established with the industrial pomadera fishing fleet<sup>38</sup>, The tool was institutionalized by the State in 2018, and it was replicated in other fisheries, such as the dorado. In the medium term, electronic reports are being applied in another small pilot project with the industrial fleet of pelagic fishers. WWF has also applied an innovative approach to the value chain through the

<sup>&</sup>lt;sup>38</sup> It consists of two subsectors: one is artisanal, and the other is the industrial subsector. Both have constant conflicts due to the overlap of the fishing areas of each subsector and the type of fishing gear used. Some of these practices have currently been regulated and are prohibited in the country.

implementation of the Fisheries Improvement Project (FIP) with artisanal fishing for dorado and tuna. Although this activity was carried out before the start of the CFI-AL, this tool has been incorporated both in the updated PAN for dorado and pomada shrimp, as well as in the new action plan for red crab and tuna cane fishery. These actions have laid the foundations for the San Mateo dorado fishing communities, where a pilot was carried out with a hotel chain and an agreement was signed to purchase this product directly respecting the market price, which it is working well. Also, the children of fishermen have been trained to operate digital equipment to sell their products online.

The dorado fishery is one of the most important artisanal fisheries int he country, and WWF worked to strengthen coordination with the PMU on the intervention. Likewise, the dorado Action Plan (PAN) was strengthened but an opportunity was missed to integrate gender equity into the PAN and there is also evidence that this has had an influence on the developing new public policies that have improved this fishing sector, much less, human rights or gender equity. For example, the pilot of virtual monitoring and traceability of dorado has incorporated a strong gender focus, empowering women in the community in productive entrepreneurship but none of these good results were incorporated into the PAN.

The project developed a system to convert the cooperative into a commercial organization, replacing the traditional intermediaries who are the main economic benefactors of the profits along value chains<sup>39</sup> – they make most of the money and the fishers do most of the work. Also, raising the levels of importance of women in the value chain marks a major shift in local customs, since women traditionally have had a secondary role in their communities, where they have been dominated by male-dominated decision-making.

The electronic tracking using traceability tools for the dorado and bonito fisheries has resulted in new criteria for carrying out virtual monitoring for other species (e.g., turtles, shark) and, tracking the entire fishing activities that can shows where fish are captured via geographical positioning and ensuring that the boats are in the legally designated area. This was successfully adapted for the pomada shrimp fishing subsector, where participatory monitoring was carried out by WWF and fishermen<sup>40</sup>.

Much attention given to governance and the project's relationship between fishermen, because traditionally each fisher looks after their his/her own interests, which makes collaborative work difficult. However, the certification process and reliable traceability tools using electronic labelling has helped overcome some of these bottlenecks in the dorado fishery and this is a major outcome that has incipient indications that suggest that it is on the path for achieving triple bottom line impacts.

<sup>&</sup>lt;sup>39</sup> Both men and women participate in the extraction phase of the fishery. Few women fisherfolk work there, but both men and women work in the processing chain, which is dominated by women.

<sup>&</sup>lt;sup>40</sup> Much attention is being paid to governance and the relationship between fishermen, because each one watches over their own interests and makes the work difficult, which in part has facilitated the work in the dorado fishery has been the certification process and reliable traceability, in this case, just what it is that must be labeled.

Conservation International, the other NGO working in Ecuador, has strongly promoted a gender equity approach by ensuring the participation of women in planning meetings and validating the information proposed in the action and ongoing governance plans that are being developed. They have also driven the participation of male and female students in the Blue Concept-ITSO, which ensures that they participate as equals in academic research.

Also, the company CORAMIR S.A. has designed a governance system and a Monitoring and Tracking System (M&S) for the Dorado Fishery<sup>41</sup>, many important elements. However, none of these documents mention adaptive management that promotes learning and adjusting the approach based on lessons from trial-and-error processes. Although it recognizes the importance of a system of M&S and the importance of transparency in the information of the system collected by all these sectors, it does show any SMART outcome indicators, focusing instead on only measuring the condition of the fishery in question. It also lacks indicators that explicitly measure the pertinent aspects of the social and ecosystem dimension of sustainable development, nor the impacts of this fishery. Finally, it does not specify which institution responsible for maintaining the M&S system.

Finally, the mangrove ecosystem in the Gulf of Guayaquil (c. 900 km<sup>2</sup>) represents more than 80% of the country's important wetlands (Carvahal and Alvala 2007), and the Ministry of Production has created funds for providing loans with low interest rates so that communities can recover from the economic problems they are facing. It is working with an approach to guarantee traceability and certification and order the value chain for the greater benefit of the fisherman, favoring responsible fishing campaigns at the national level<sup>42</sup>.

# 4.3.1.2 Advances with Fisheries Governance in Perú

It is expected that the formalities for fisheries governance are proceeding and meetings are being held with the organizations that specialize in fisheries resources and plans are being made to adapt existing regulatory instruments in normative ones. The project also contributes at the national level to the officialization of the Ordinance on the Fishing of Benthic Resources, which will regulate all the fishing of benthic resources in Peru. This shows the high levels of commitment shown by the national and local authorities. For example, the government has awarded the contract to a Consortium to administer the mangrove protected with its six artisanal and mussel fisherfolk organizations, who are now the responsible custodians for the 1,258 hectares of mangroves in the National Mangrove Sanctuary. They also receive economic support from the project and the governor to cover the costs of traveling and patrolling the mangroves 24 hours a day, 7 days of the week to watch for fishermen who fish illegally inside

<sup>&</sup>lt;sup>41</sup> Regarding the key concept of transparency in the information of the M&S system, it is that all sectors involved in the fishery should be information about the governance process and they should receive information from the system transparently. The M&S of the governance process and its results should measure the compliance of the management interventions and the status of the fishery.

the Sanctuary. It is these types of collaborative arrangements that give the confidence these communities need to feel ownership of the governance platform.

Evidence clearly demonstrates that the project is contributing significantly to establish communities of practice through providing concepts and solutions to improve governance. The Project is also contributing to the conformation and strengthening of dialogue, as well as the creating the Technical Table for the Resources of Tumbes. The communities of practice also are engaging in participatory decision making.

One of the best examples of SMART outcomes that the project has signed with the practice communities in Peru has been the work supported by the INCABIOTEC laboratory who has worked closely with fisherfolk to produce laboratory-reared black mussels and to engage them in participatory monitoring of the status of stocks in the mangroves.

The collaborative work carried out with benthic mangrove fisherfolk and the INCABIOTEC biological laboratory is one of the best examples of applying adaptive management to promote learning and monitoring triple bottom-line impacts. INCABIOTEC has worked closely with benthic resource collectors in the National Sanctuary Management Committee to train them in seeding the mangroves with larvae and eggs, conducting participatory monitoring which has allowed then to discover shown significant increases in the resources they rely on, when compared with the baseline values they established for black mussel and red crab population. This also showed them that the resource densities (animals per M<sup>2</sup>) were significantly higher population inside the protected area when compared with those on the outside. Artisanal scale fishermen also noted an increase in their catches in areas protected by the benthic resource harvesters. Measurements of SMART outcomes showed: i) increased hygienic and certified health quality performance standards of the harvested mangrove resources; ii) increased value in external markets to certified products; and the previously mentioned (iii) significant increases in population resource densities and abundance linked to restoration and 24-7 protection of harvesting are within the Sanctuary, compared with baselines.

In this last instance, the cultivated black mussels planted in the mangroves will produce more than 50,000 larvae, resulting in an increase of between 3-4 times greater densities compared with baselines collected prior to the laboratory intervention, and densities inside the Sanctuary that are 5 to 7 times greater than those area on the outside, which have been severely depleted by illegal resource exploitation. According to representatives of the Tumbes Mangrove Consortium, harvests have increased markedly, and several artisanal scale fishermen say they have also benefited from the surveillance and protection of the mangrove areas, by increasing their catches as well. One women's organization is also engaged in these activities and they form part of the directive leadership board. In summary, this SMART outcome relates to the measurable increase in the density of benthic resources resulting from the restoration, as tracked through participatory research and monitoring the Manglares Consortium in relation to the restoration and protection of the black mussels. Consequently,

this is an excellent management tool that could be replicated and improved, not only in other areas of the Sanctuary, but in other mangrove ecosystems in the two partner countries.

The project has also contributed to building communities of practice, participatory decisionmaking and the execution of applied interventions in protected areas of the Province of Sechura – Piura that have built the capacities for local actors to manage their resources and improve their livelihoods. This has also transferred knowledge used to develop management plans for the protected areas of San Pedro de Vice y Virrilá. Furthermore, there is an important aggregate value associated with SERNANP and the local governors in San Pedro Vice with the local SERNANP officers, and this has helped create conditions for a public investment project that would contribute conservation and sustainable development in the RAMSAR site.

Finally, it should be noted that Peru is quite advanced in terms of the creation of the Multisectoral Commission of the State Action in the Maritime Ambition (COMAEM)<sup>43</sup> and the fact that the body is chaired by the Presidency. Considered to be a high-level authority, like the Coastal-Marine Intermediate Management Commission (COMUMA)<sup>44</sup>, it is an innovative and key body for reducing conflicts related to the finite ecosystems and arms of this system. programs of the various productive sectors. This is considered a key institution for sustaining the donor's investment through ensuring that all sectoral development plans, policies and programs are congruent with building resilient small-scale fisheries, and the MTR considers it to be a model for other fishing countries to examine closely.

# 4.3.2 Component 2<sup>45</sup> – Coastal-Marine Spatial Planning (CMSP) and the Ocean Health Index (OHI)

Historically, marine governance has been fragmented and the management regimes have been centered on individual sectors throughout the world. However, today Coastal-Marine Spatial Planning (SMSP) covers approximately 10% of the territorial marine areas in over 70 countries, looking to transform the use of coastal and marine waters through governing mechanisms to address the fragmented sectoral approaches to management, and harmonize participatory planning and incongruent policies in all sectors. There is also a glaring absence of any references to address human and labor rights violations, and the CFI makes no mention

<sup>&</sup>lt;sup>43</sup> This permanent Commission (https://marina.mil.pe/es/noticia/instalacion-de-la-comision-multisectorial-de-la-accion-del-estado-en-elambito-maritimo-comaem/) and It was created under the PCM in 2018. Its objective is to monitor and control sectoral, regional and local policies and to issue technical reports to prepare the National Maritime Strategy Planning and propose a National Maritime Policy. It is made up of the representatives of the following public entities: National Center for Strategic Planning - CEPLAN, Ministry of Foreign Relations, Ministry of Defense - Peruvian Navy, who is the Technical Secretariat; Ministry of Education, Ministry of Production, Ministry of Foreign Trade and Tourism, Ministry of Energy and Mines, Ministry of Transport and Communications, Ministry of the Environment and Ministry of Culture. <sup>44</sup> The Multisectoral Commission for the Environmental Management of the Marine - Coastal Environment - COMUMA was created by the Executive Power through Supreme Decree No. 096-2013-PCM, endorsed by nine sectors, in accordance with paragraph 3 of article 6 of Law No. 29158, Organic Law of the Executive Power. This permanent Commission is chaired by the Ministry of the Environment and its purpose to coordinate, monitor environmental articulate and management in the marine-coastal environment (http://www.minam.gob.pe/comuma/).

<sup>&</sup>lt;sup>45</sup> I.2.1 Area (HA) in the process of coastal and marine territorial management in each country; I2.2 Area (HA) of coastal and marine protected areas included in the territorial management process of each country. I2.3 Number of people (men and women, by nationality) who have been trained (formal, non-formal and at work) in methods and tools for coastal and marine space planning and the calculation and use of the ocean health index.

of them, and while OHI Target#2 for sustainable artisanal fisheries covers the issues well, it could be considerably tightened with SMART indicators.

Despite considerable evidence showing that CMSP has frequently fallen short on its promise to provide the kind of transformations that were expected, and a gap remains between theoretical CMSP arguments and how it gets implemented in practice (<u>Clarke and Flannery</u> 2019; <u>Tafon 2018</u>), especially when it comes to ocean economies, equity, and measurably improving small scale fisherfolks lives (<u>Fairbanks *et al.* 2019</u>). These critique notwithstanding, CMSP continues to expand through its support from multinational lending organizations.

No single governing body has the human or financial resources to deal with the aforementioned complexity, unpredictability and uncertainties<sup>46</sup> of coastal-marine ecosystems unless governance platforms become as dynamic and adaptive as the ecosystems they aim to manage<sup>47</sup>. This requires experimenting and not being afraid of making mistakes, as long as they are corrected through adaptive learning (Ehler and Douvere 2009). Therefore, both countries have the opportunity to test adaptive approaches within their CMSPs and contribute to the child projects in the other CFI countries. Indeed, several experiences demonstrate the importance of integrating adaptive management principles to the CMSP process (Olsen et al., 2011).

However, none of these documents mention adaptive management. Although it recognizes the importance of a M&E system focused on measuring outcomes and the importance of ensuring transparency in the types of information and data presented by the pertinent sectors that feed into the OHI. Furthermore, it only focuses on the existing condition of the fishery at the time that the data were collected, but in it does not mention the impacts nor does it measure the impacts on that fishing and other activities have on the resilience of coastal and marine ecosystems. It also lacks SMART outcome indicators regarding the changes in the social and ecosystem dimensions of sustainable fishery management. Finally, it does not designate which institution is responsible for maintaining the M&E system, nor where funding will come from. Consequently, the is a major risk to sustaining the CFI's investments.

In view of the development of the Ocean Health Index (OHI), there is an existing methodology for evaluating and promoting the integration of data that is normally dispersed and that is used exclusively for state-of-the-art health information on a topic in particular. Nonetheless, there is no clear description of the linkage how the OHI will measure the effectiveness of the different CMSPs. Furthermore, it is doubtful that OHI can provide real-time evidence that can support institutional (formal and informal) decision-making and more robust policies based on the successes and errors captured through real-time adaptive management. OHI calculations generally tend to be available every 5 years, due to the extensive data collection

<sup>&</sup>lt;sup>46</sup> Furthermore, the knowledge of socio-ecological systems is not incomplete, if not, it is also elusive.

<sup>&</sup>lt;sup>47</sup> Adaptive management is recognized as the best strategy to face this formidable challenge, since it provides a scientifically sound approach that does not make action dependent on extensive studies, but rather an implementation strategy designed to improve the systematic evaluation of policies, sectoral action plans that affect the resilience of the PEMC.

and funding requirements. Given governments generally change every 4-5 years, there is a high risk that an incoming government could eliminate the OHI unless it becomes institutionalized. Therefore, the most pressing questions are: i) how will a government ensure that it is building resilient coastal-marine ecosystem services and effective governance platforms during the period that it is in power; and ii) how will it integrate real-time M&E initiatives between the 5-year gaps for calculating the OHI? It is unclear whether the OHI's TENENDENCY is sufficiently robust to provide the kind of adaptive management process that is required for effective management and governance on a real-time basis.

Regarding the composite indicators that contribute to the OHI, it is noted that Goal 7 (Subsistence and Economy) is measured by two aggregate indicators - i) contribution to GDP and ii) increased salaries. There are many criticisms (van den Berghe 2007) as it identifies, or even is considered synonymous, with social welfare (the substitute phrase "standard of living" attests). Although GDP assumes (unrealistically) that there is a structurally positive (and high) correlation between GDP and social welfare, there are no studies that present convincing evidence of such a strong correlation in countries with emerging economies, such as Peru and Ecuador. In fact, on the basis of theoretical and empirical arguments, it is argued that GDP growth is correlated with a decreasing or constant social welfare in many of these countries, meaning that there is either no correlation, or a negative one. Furthermore, GDP fails to consider natural resource accounting and therefore does not consider the loss of resilience to ecosystem services.

Achieving triple bottom line impacts that are in line with Sustainable Development Goals (SDGs) requires much more than increased wages, GDP and other narrow targets for singularly achieving economic sustainability. For example, the narrow focus of the first indicator (wages) ignores the social and cultural dimension, particularly labor and human rights, which refer to the other dimensions of sustainable development that are key elements for the UN in general, and the FAO, in particular: i) the Principles of the Global Compact<sup>48</sup>; ii) ii) Guidelines for Small-Scale Fisheries <sup>49</sup>. The Danish Institute for Human Rights has developed a Human Rights Guide to examine its link to each of the SDGs, including SDG # 14, and human rights.<sup>50</sup>

Similar criticisms have been levelled against CMSP and experience has shown after stakeholders become engaged and their expectations raised and CMSP has been operationalized, the probability of stakeholders being listened to once they have had time to better understand and gain experiences from the approach, because governments or lending agencies are frequently closed to making changes once the project is well underway. Paradoxically, this period often coincides with the critical point where beneficiaries who do not belong to the formal sector (and usually the most marginalized members of the fishing

<sup>&</sup>lt;sup>48</sup> Ten Principles of the Global Compact Los diez principios | Pacto Mundial de la ONU (unglobalcompact.org)

<sup>&</sup>lt;sup>49</sup> <u>http://www.fao.org/voluntary-guidelines-small-scale-fisheries/es/</u>

<sup>&</sup>lt;sup>50</sup> The guide to human rights and the SDGs (humanrights.dk)

communities) should be joining other constituencies (Flannery et al. 2018). However, the global experience has demonstrated that the participation of beneficiaries is often symbolic, and that it is difficult to make any major changes in CMSP-related and objectives (Clarke and Flannery 2019).

Taking this into account, the MTR considers that CFI-LA can fill these gaps by improving the formulation of its indicators in ways that make OHI SMARTer, integrate a real time an M&E platform that measures the triple bottom lines of the CMSP and EBM to fill in the most likely 5-year OHI calculation gap, and applying an adaptive approach to capture lessons systematically during implementation. This is likely to enhance the utility the OHI. Although the passion of OHI defenders is appreciated, the author of the OHI has actually highlighted that the OHI 'was not perfect when launched in 2012 and it is not perfect now' (Halpern 2020). For this reason, it is necessary to update and improve the OHI with internal and external training based on those lessons and fill in the temporal gaps between its formulation so that countries can respond to pressures and threats to coastal-marine ecosystem service resilience in real-time, and not pass these problems along to a new government.

# 4.3.2.1 Binational Advances with CMSP

Component 2 has advanced with its capacity development activities to train key actors in using the methodology and tools for formulating CMSP initiatives (100% of the output target achieved), as well as developing participatory processes that take the project from a centralized focus to one that is much closer to the activities carried out by the beneficiaries<sup>51</sup>. Both countries have experimented with different approaches to develop and implement CMSP, which will enrich the lessons captured from two different approaches. The CMSP process in Ecuador has been led by international NGOs, and while the costs are higher in comparison with Peru, the evidence appears to indicate that the Ecuadorian model is the most efficient because it does not require multiple levels of approval, compared with execution by government institutions, as it is in Peru. However, an NGO (Conservation International) leads the entire process in Ecuador, while the Peruvian government has chosen to hire a consulting firm and more integrally involve pertinent institutions together with the communities of practice. In the medium term, there is insufficient evidence to discern institutional and social sustainability of either approach, although this should be examined by the Final Evaluation.

One of the good binational achievements is the promotion of exchanging experiences based on the achievements to date. However, interviews indicated that there is still much work to do regarding site visits and exchanges between artisanal fishers in the two countries, as most people interviewed recommended. For example, in Ecuador, the process for calculating the

<sup>&</sup>lt;sup>51</sup> The Project has taken a more practical approach and improved its outreach to beneficiaries in coastal marine areas. For example, the project has been supporting the economic reactivation of artisanal fishing in Tumbes and Piura through actions to facilitate access to financial resources (government funds and collective funds) and to facilitate the commercialization of seafood products through business models of short value chains, and in efforts to address the originally weak focus on gender equity, these actions are taking a more serious approach to gender equity. In Ecuador, there has been a significant effort to involve dorado and tuna fishermen in the certification, traceability and georeferencing of fishing days by the WWF.

Health of the Oceans Index (OHI) was carried out in the provinces of Manabí and Santa Elena, and this information was shared with Peru's Ministry of Production and the Ministry of the Environment leading to corrective actions (although the outcomes of those actions are not known at this time). The participatory research and monitoring in the Tumbes mangroves is another management tool that could be tested in Ecuador.

There is no clarity of whether the OHI or the CMSP should come first. For example, it could be that the CMSP simply provides the georeferenced boundaries (e.g., from the highest point on the land, out to the edge of the continental shelf) of the area in which to apply the OHI. Ecuador has developed its OHI in the Guayaquil Bahia several years ago, which makes it easy to apply the OHI today. However, Peru is still in the process of contracting a company to develop the OHI for the Sechura Bay, and it is advancing in the development of the bases for the construction of the CMSP at that site.

Despite these advances that are leading both countries to have CMSPs that can be compared, the work to date is mainly focused on conceptual approaches, documents and trainings. There is no evidence available that shows the degree to which the approach in Ecuador has been effective in improving the resilience of areas that have been overfished and ecosystem services that have been compromised.

Although it is possible to detect the georeferenced ocean surface boundaries that delimit the CMSPs for Ecuador, it is important to highlight that management in the marine environment must address three dimensions, and there is no indication of the depth boundaries of theses area, as defined by bathymetric contours that demarcate the slope of the continental platform for each country. Including these deeper areas at the shelf edge is important because many species that spawn and take refuge in deeper ocean zones (e.g., the mesophotic), and these areas should be integrated into any ecosystem-based management approach because they may one day become critical area for species to take refuge during climate change impacts that affect relatively shallower ocean water temperatures.

# 4.3.2.2 Advances with the CMSP and the OHI in Ecuador

Ecuador concluded its practical exercise on coastal marine territorial planning, resulting in a study<sup>52</sup> on Coastal-marine Spatial Planning (CMSP)<sup>53</sup> in the Gulf of Guayaquil<sup>54</sup> (Figure 1), with assistance to the MAAE, and support from the SGMC and Cl<sup>55</sup>. The process followed the

<sup>&</sup>lt;sup>52</sup> The CSMP document presents the methodology and the steps to follow for Coastal Marine Spatial Planning in Ecuador.

<sup>&</sup>lt;sup>53</sup> It is a WWF initiative focused on a "capacity building process on the management of marine and coastal space".

<sup>&</sup>lt;sup>54</sup> It contributed to enhancing trust, dialogue and collaboration between key public and private sector actors to maintain the exceptionally high levels of marine biodiversity in the Gulf, while allowing for the sustainable use of marine and coastal resources. As a result, a promoter group has been formed, made up of representatives of public and private actors, who have assumed leadership of the planning exercise in the Gulf.

<sup>&</sup>lt;sup>55</sup> The current initiatives of Marine Spatial Planning Ecuador is a WWF Initiative focused on a process of capacity building on the management of marine and coastal space.

NOAA<sup>56</sup> methodology based on an integrated approach tied to ecosystem functions. According to the interviews, this enhanced dialogue and collaborative efforts that led to the creation of an advocacy group consisting of private and public actors to lead the planning process for maintaining the resilience of the Gulf's ecosystem services. In addition, other practical exercises were carried out to collect data for calculating the OHI for the Gulf of Guayaquil.

Although the theoretical framework of the OHI is based on a "composite indicator" we always have to look for how to improve them in ways that can make policies more effective (Burgass *et al.* 2017). This is echoed by the designer of the OHI, who recognizes that the index was not perfect when it was developed, nor is it now and it remains open to improvement (Halpern 2020). For this reason, it is especially important to have a solid adaptive management framework in place to test the index and adjust it as required over time. As will be described later, the UNDP project performance tracking tool is not adequate for AM.

One of the best experiences (and unexpected outcomes) with the OHI in Ecuador took place in Salinas during a meeting with journalists and decision-makers. When the press reported on one of the OHI indicators, it led decision makers (mayors and directors of AMCP of the Ministry of the Environment) to take action to address one of the main problems related to marine water quality in the province of Santa Elena. This is exactly the kind of response that governments should be taking, and it is an example where a project intervention led to action that was out of the control of the CFI. However, for this to continue to be effective, either the OHI should be funded each year (unlikely), or a complimentary real time M&E platform should be developed to close gaps in time between the calculation of each OHI.

The OHI takes an integrated approach based on the functions of the ecosystems, and according to the interviews, it has helped to improve the dialogue. It also resulted in collaborative efforts promoted by a group of private and public actors to lead a planning process aiming to maintain the resilience of the Gulf's ecosystem services. In addition, the Ecuadorian counterparts have implemented other practical requirements for obtaining data to comply with the requirements for calculating the OHI in the Gulf of Guayaquil.

Despite its strengths, several concerns were raised in the interviews by people who were

<sup>&</sup>lt;sup>56</sup> It is worth mentioning that there is no single CSMP methodology that is recommended universally. It would be interesting if Peru applies another approach. NOAA's presentation of the CSMP is very much like a cookie cutter and does not appear to be developed within the prevailing country contexts. It lacks an adaptive approach and a platform that can provide feedback and adjust its implementation. According to the 2020 PIR, the modality of the NOAA methodology differs from that adopted for the case study of the Gulf of Guayaquil, in which case it is a very short-term contract with a consulting company that has a term of days and at maximum weeks of interval for the presentation of products, while the orders of magnitude of time of the NOAA methodology is foreseen in months and years.

involved with the OHI: i) it completely mis-interprets the realities of severe poverty coastal fishing communities face (this is not captured in either of the OHI indicators Ecuador's Target # 7) and is a good example how outdated indicators fail to capture if either country complies with human rights, including fair wages without discrimination and equity; it also misses some key SDG 14b<sup>57</sup> elements; ii) available data about the pressures and impacts caused by widespread pollution in estuaries receiving sewerage,



agrochemicals and persistent toxins (e.g., mercury) that are not only affecting the quality of water and sediments in estuaries and mangrove ecosystems, but also people's health, which misses another element of SDG #14 and the human right to a healthy environment; iii) it lacks indicators that measure impacts of activities in the productive sectors (for example, the same fishing sector or tourism) and the way in which these activities affect the resilience of the marine-coastal ecosystems.

The above notwithstanding, the CFI-LA has made some concrete advances in meeting the output indicators for Component 2 and it is interesting to note that each country has adopted different institutional arrangements to meet the objectives of the component, and the MTR views this a being positive, since it can help diversify the types of lessons and good practices, based on the how they work within the contextual realities of each country. For example, CI leads in the formulation of OHI in Ecuador<sup>58</sup> and this has large advantages in terms of the efficiency and agility to execute activities because the NGO does not have to worry about the lengthy approval processes by the UNDP and / or by the PMU, once the Annual Operating Plans are approved by the Steering Committee. On the other hand, the model adopted by Peru is led by national institutions and local governments who are actively involved in the formulation processes of CMSP and OHI, but with support from a consultancy firm. The disadvantage is that this arrangement many be slower to develop but is appears to involve government institutions and building their capacity to sustain the investment more so than Ecuador's approach. Only time will show which of these arrangements and approaches will be the most effective, and it may be that each country requires its contextualized approach This is something for the Terminal Evaluation to examine.

Another aspect is related to the composition of the maximum governmental authority that has the responsibility to ensure that the plans, programs and sectoral policies in coastal and marine spaces are in line with the objectives of the CMSP. Experience in other countries clearly demonstrates that initiatives such as CMSP, ICZM<sup>59</sup>, EBFM or EBM have a greater chance of success and being sustained, when collaborative constituents are led a government authority at the highest level (e.g., in the office of the President).

<sup>&</sup>lt;sup>57</sup> Note that SDG 14 has various subsections; see https://sdg.humanrights.dk/en/targets2?goal%5B0%5D=83&goal%5B1%5D=83&page=2

<sup>&</sup>lt;sup>58</sup> The calculation of the ocean health index in the Gulf of Guayaquil has provided an important element for decision-making in the planning process and to evaluate the success of planning in future spaces in this important area.

<sup>&</sup>lt;sup>59</sup> In Ecuador, there are great in the clear orientation of the structure of the institutions and the role of each one of them in PEMC, since there are many entities, such as PLANIFIQUE ECUADOR, the Navy, the Oceanographic Institute of the Navy, the areas coastal marine protected areas, MPAs. Everyone has competencies, but there are overlaps and gaps in comprehensive governance, and for this reason, there are serious conflicts of competencies.

Global experiences on governance indicate that for it to be effective, it requires: i) a key public actor, with articulation to other institutions, whose decisions and transitions governs; (ii) a general policy on marine-coastal spaces that integrates all policies, plans and sectoral programs to promote the resilience of marine-coastal space ecosystems; and (iii) a high-level cross-sectoral institution that can coordinate and give support to good practices and adapt to lessons.

The National Heritage Secretariat, which has responsibilities for many and diverse thematic areas for the entire country, has assumed the responsibility for intersectoral coordination that was previously assigned to the now dissolved Secretariat for Coastal-Marine Issues (SFGMC). Interviewees expressed their concern that the new duties of the Secretariat prevent it from focusing on coastal marine areas and that it lacks the technical expertise to take decisions based on technical and scientific evidence, as well as whether it will be able to ensure sustainable financing for CMSP, EBM, the OHI and sustaining the governance platforms in the coastal fishing communities. *Planifica-Ecuador* is another institution that could assume this important role, but until some of these concerns are resolved, the MTR considers that the CMSP and the OHI run a high risk of not being sustained technically, institutionally and financially, unless a high level of authority assumes the responsibility for ensuring that plans, programs and sectoral policies (PPPs) are congruent with ecosystem management objectives and for achieving triple bottom line impacts for coastal fisheries.

This clearly underscores the reality the artisanal fishing subsector and the existing relations with central and regional levels of government, 90% of those interviewed regarding the issue stated that the persistence of centralized decision--making in Lima and intervening and legislating without reconciling those action with regional interests and those of its own fishermen is a serious problem that complicates trust-building, as well as good horizontal and vertical institutional coordination. There are several examples that are not necessary to list, but which must be addressed at the highest levels during the final years of the Project, as they will influence on the effectiveness of the governance platforms and the degree of trust and the levels at which they are able to use that trust to reach a consensus on planning and decision making at the lowest practical levels to achieve sustainable artisanal coastal fisheries.

# 4.3.2.3 Advances with CMSP in Perú

Peru has been in the process of formulating its Integrated Coastal-marine Management Plan<sup>60</sup> (ICZMP) for Sechura Bay<sup>61</sup> (Figure 2) as part of its first phase of developing its CMSP. The participatory process is led by the General Directorate of the MINAM, with support from local and regional level governors, fishing associations, among others. Capacities have been

<sup>&</sup>lt;sup>60</sup> Integrated Management Plan for the Coastal-marine zones.

<sup>&</sup>lt;sup>61</sup> Exercises have been carried out in the Bay of Sechura (Piura) that involved the local government, the regional government, fishermen associations and other important actors in the territory, obtaining as a product the Comprehensive Management Plan of the Coastal Marine Zone of Sechura (first phase of the spatial planning exercise).

developed for the key actors and local beneficiaries to manage the area based on lessons from practical experiences from the protected natural areas of the Province of Sechura - Piura<sup>62</sup>. Also, the government established a public investment initiative for the conservation and sustainable use of biological diversity and natural resources in the San Pedro de Vice Ramsar site.

The project also helped build constituencies through newly established communities of practice, through capacity building on the methodology to be applied for developing CMSP for the Bahía de Sechura (Piura), led by the MINAM's Territorial office. It also includes the local and regional governments, fishing associations and other important actors in the territory, and the result was an Integrated Coastal Marine Management Plan, which is the first step in building the CMSP.

Although no work has yet stated in calculating the OHI for Sechura bay, the CFI was able to reactivate the Special Technical Working Group called the Ocean Health Index of the Multisectoral Commission for the Environmental Management of Coastal-Marine Spaces (COMUMA), which is comprised of representatives of various ministries, with jurisdiction over coastal areas. This group validates the OHI methodology and leads the process for calculating the index.

It is worth mentioning that the evaluator has assessed other similar projects and considers that COMUMA offers a relevant model for the other countries in which the CFI is implemented, with the capabilities of a technical and multisectoral group (6 Peruvian ministries and 6 accredited institutions + 1 university) to support the implementation of new initiatives such as CMSP and the OHI. What is missing is a critical route with well-defined times to reach agreements between the key constituencies/communities of practice who are essential for leading the project to meeting its final objectives during the remainder of the CFI project.

# 4.3.3 Component 3 – Knowledge Management

Component 3 is the crosscutting axis that reaching through the other two components, according to the ProDoc and the 2020PIR. First, it was envisioned that the CFI's ToC, social media platforms and the UNDP-GEF's performance monitoring platform would contribute toward guiding the evaluation of the effectiveness of the CFI-LA's interventions and compliance with the results framework (see Annex 7.1) throughout implementation. The inadequate design of the Toc invalidates its assumed role in guiding the project through implementation. Regarding the UNDP performance monitoring tool, it is unclear how it should measure effectiveness of interventions on a real time basis, contribute to adaptive management and systematically capture lessons when it is designed to measure

<sup>&</sup>lt;sup>62</sup> These exercises were based on the management plans of the protected areas of San Pedro de Vice and Virrilá, based on the coordination carried out with the General Directorate of Biological Diversity and SERNANP.

administrative performance and not the complexities of applying CMSP, EBM and governance platforms in real time and simultaneously provide evidence that could be used to inform decision makers and beneficiaries who comprise the governance platforms. The supposition that social media and the knowledge/information sharing platform for informing stakeholders could simply capture lessons from the implementation experiences is unrealistic, as it requires much a more systematic approach for measuring the effectiveness of the complexities related to holistic, ecosystem-based management, CSMP and improved governance of the coastal fisheries.

The above problems notwithstanding, the component has progressed well relative to the expectations presented in the ProDoc. It has raised awareness and shared knowledge with over 1700 people who have accessed the project's social media networks<sup>63</sup>. This also included awareness-raising campaigns to disseminate information about key issues such as the ban and solid waste, and these messages came in the form of testimonials from the experiences of fishermen and other key actors. Additionally, the component has documented, exchanged and disseminated practical experiences developed by the other two components through the project's electronic platform. Other relevant achievements in both countries include the following:

• The Knowledge Management (KM) strategy is in line with the expectations laid out in the ProDoc, but the KM expert correctly stated that there are some serious misunderstanding about the difference between Km and a simple Communication Strategy<sup>64</sup> that must be addressed in the second phase of the project.

• Actions taken to empower women have been incorporated in most of the components. However, none of the strategies or specific actions specify just how it is that women should be empowered along fishery value chains. Addressing these points will require taking some practical steps such as integrating women into leadership roles within the processing and commercialization of seafood. Likewise, it should apply the 10 mandates stipulated in the ProDoc (paragraph 103).

• Progress has been made with the second indicator, but limitations include: i) the low participation of women in the events related to the project; ii) the actions that have been carried out in the other components of the project are generating a lot of information that can be linked to CG and that had not been shared. Initially, component 3 did not have a gender approach that was cross-cutting for the three components.

The project has sponsored several national, binational and international events, such as the exchange of experiences in Africa, while it has shared knowledge on issues related to the sustainable extraction of fishery resources on the coast of both countries, relative sizes of the countries for the sustainable capture of crabs, the OHI, monitoring of fisheries, among others.

<sup>&</sup>lt;sup>63</sup> The size of the sampling universe of people is unclear. For example, it is different to say 1700 of 2300, than 1700 of a total of 12000.

<sup>&</sup>lt;sup>64</sup> The evidence shows that the countries view the QA component as an opportunity to communicate in general on various issues, this means that at times this staff is used to coordinate or cover events not related to the project and there is an overload of work.

One thing that stands out is the low levels of budget execution, which is largely because the personnel in charge of this component were only hired in November 2018, so the field work began in 2019. While it is expected that the amount to be budgeted for 2021 for the KM will be relatively high, there are doubts whether all of the money can be fully executed if there is no project extension. Another aspect that is likely to affect budget execution is that a large part of these resources are binational funds and given the slow approval processes by the acquisition departments (according to most of the interviewees). However, there are positive signs that this lengthy process has been addressed by Board of Directors in January 2020, when it was decided to make the budget and the decision-making independent by each country.

In Peru, one of the great achievements was addressing incentives that promote good practices, which resulted in creating a revolving fund under a collective savings and financing system, implemented in collaboration with COFIDE's UNICA (Savings and Credit Unions) methodology. Support has also been given to the organization of fishermen in productive nodes that facilitate aquaculture activities, and the government announced that they would have access to credit financing through FONDEPES (National Fund for Fisheries Development)<sup>65</sup>. Finally, the creation of a competitive fund directed at female entrepreneurs involved in the artisanal fishery with UNDP technical assistance is an excellent initiative.

Despite the good results for Component 3, the MTR finds that reliance on the project performance tracking system (based on GEF Guidelines) is inadequate for measuring overall effectiveness of the project's interventions connected to the CFI-LA. The problem is that the GEF project monitoring tool does not address the urgency of having a reliable, real time M&E platform that measures the effectiveness of specific management interventions in achieving the triple bottom lines. While the ProDoc stipulates that the M&E should be based on the theory of change it presents, the ToC is completely inadequate for this purpose and the limited number of SMART outcome indicators further weakens the ProDoc's recommendation.

Therefore, the MTR finds the project tracking tool used by the UGP is not adequate for providing managers, recourse users and decision makers with the kind of information that they require to apply an adaptive learning process to measure the real-time effectiveness of the interventions related to SCMP, EBM, or the governance platform. Furthermore, there is no explanation of how it could be integrated to fill in the 5-year time gap for compiling individual Ocean Health Indices in the designated areas.

# 4.4 Remaining obstacles for achieving the CFI's objectives

At mid-term, the CFI-AL still has several obstacles to overcome, including:

<sup>&</sup>lt;sup>65</sup> The incentives to change the unsustainable use of ecosystem services can be social or economic. The intention of this sentence is related to good practices to capture and add to a toolbox to check in other areas and under other contexts.

- In Peru, there are still conflicts between the central government and the regions related to the artisanal fishery and the friction has resulted in violence. While there are clear divisions of institutional responsibilities, their specific institutional mandates regarding the artisanal fishing subsector are not clear. Meanwhile, regional participation in decision-making related to the subsector are not taken into consideration, and most decisions about issues like capture quotas, management guidelines and the like are centralized through consensus at the level of ministers, together with the Presidency of the Republic. These institutional gaps and lack of clarity about institutional competences appear to be related to the centralized decision-making, while the regional governments are the ones who end up mediating and resolving the conflicts created by centralized management and decision-making<sup>66</sup>.
- The most serious discussions relate to numerous technical and legal discussions surrounding fishing quotas. Local institutions have the capacity to establish the quotas, but these quotas are decided at the central level, even though the local governments do not have the capacity to verify whether fishermen are complying with quotas set by the central government.
- Establishing a quota for the capture of the umbrella mollusks, dorado and medusa is a continuous problem and the regional government is always the target of complaints from the fishermen. What is lacking is horizontal and vertical interinstitutional coordination.
- The centralized decision-making process also represents a barrier to engaging in participatory and collaborative governance. For example, the Peruvian Fisheries Law establishes that a maximum carrying capacity for artisanal fishing boats of 32 m<sup>3</sup>, but this has been arbitrarily changed by institutions at the central level, and new measures were imposed without consulting with stakeholders at the local levels. The conflict arose when these new measures dictated by the central government institutions will now regulate fishers whose boats have capacities <u>greater</u> 10 m<sup>3</sup>, whereas the regional government will be responsible for regulating boats <u>less than</u> 10 m<sup>3</sup>.
- Artisanal fishermen who use sailing boats sell their seafood products local markets, instead of the processing plants. However, there are no regulations for this fishing activity, and it results in negative impacts on the industrial fishery. While authorities at the central level cannot resolve the situation, the regional governor has proposed measures to regulate these artisanal fishermen.
- In Piura, the number of artisanal fishing boats exceed 10,000 and this is having a serious impact that is causing overfishing of some species. The number of illegal fishing boats is impossible to quantify and there does not appear to be any effort to address this situation by either the national, regional or local governments.
- There is evidence that while PRODUCE has the policy of issuing permits for exploratory fishing, it does not establish minimum fish size limits, because it has no idea about the impacts that that exploratory fishing is causing, according to multiple interviews.

<sup>&</sup>lt;sup>66</sup> For example, when fishermen seize control of the roads to protest problems such as low prices for their catches.

### In Ecuador:

- Legislation related to coastal marine areas is still ambiguous and this creates enforcement and management problems. This has resulted in granting permits for oil and gas concessions in important artisanal fishing areas and this will be further exacerbated because there is no single authority that has been designated for being responsible for CMSP;
- As with Peru, the artisanal fishery subsector in Ecuador is an informal one and this also creates problems that will continue until the sector is formally integrated into the fishing sector;
- The absence of a high-level authority that has the overall responsibility to coordinate sectoral plans, policies and programs and ensure that they are congruent with maintaining/building coastal and marine ecosystem resilience is a serious weakness that creates a high risk in sustaining CSMP, the governance platforms and the effective use of the OHI.

# 4.5 Project implementation and adaptive management

Adaptive management (AM) should be a cross-cutting element throughout this and other similar projects and consequently, it is not surprising to find that AM is one of the evaluation criteria. Consequently, the MTR examined the degree to which the Project Management Unit (PMU)<sup>67</sup> systematically applied AM principles and the degree to which AM was incorporated into each component.

EQ 3a: Has the project been implemented in an efficient, cost-effective way and able to systematically adapt to the changing conditions at the moment?

The project did not make significant advances during the first year of implementation (October 2017 - October 2018) mainly due to the changes of authorities of the social entities in both countries and their weak involvement with the project, all of which slowed the decision-making process. In Peru, between 2018 and the first semester of 2019, the actions of the Sechura Estuary Project were oriented toward generating a methodology for improved coastal marine spatial planning possibly because the National Directorate was in charge of Territorial Planning. This is scheduled for discussion by the National Executive Directive Board, the National and Regional Development authorities, in collaboration with artisanal fishing communities<sup>68</sup>. There were also serious problems with Binational coordination, although these were resolved in meetings to provide follow-up and evaluate the degree to which the Project was complying with planned activities, the advances, as well as identify problems and their solutions. These meetings were held between the Project team members and UNDP Ecuador adopted a more strategic focus from that point onward.

<sup>&</sup>lt;sup>67</sup> La UGP es la coordinadora general y unidades nacionales que manejen la parte administrativa y desembolsos.

<sup>&</sup>lt;sup>68</sup> This sentence differs slightly in the wording used in the Spanish version to make it clearer to understand in English.

The project has been managed by the UNDP Peru since the start, and since it is a Binational project, there were concerns about efficiency and the equity of coordination with both parties. This was addressed successfully during the June 2020 Directive Board meeting, whereby procedures were established for taking decisions on how Ecuador's resources are to be assigned. At md-term, the differences about how the CFI's management had been reconciled and it was also decided that the Project's centralized management style had to move from the capital region to work closely in the project intervention areas of Tumbes and Sechura. This was an eye-opening experience, because it has highlighted the realities on the ground and that costs are very different from were originally envisioned by UNDP and government actors working from their offices in Lima.

There is ample evidence that coordination between the National Directorates was highly strict and demanding during the first years of the Project, and this contributed to top down and bureaucratic Management which led to the inefficient implementation of the Project, resulting in additional delays. Other inefficiencies and delays that have since been addressed, included poor follow-up and delivery of contractually stipulated outputs by the NGOs responsible for implementing the activities in Ecuador. The PMU took drastic action to curtail these issues, and with follow-up by UNDP Ecuador, programmatic implementation increased from 3% to 92% between the months of August and December of 2019.

Although Peru does not yet have a clear methodology for moving forward to create CMSP, it has developed new instruments, norms and protocols. National and regional authorities, as well as other key actors are now familiar with the process and the government is negotiating with a consulting firm to lead the CMSP process<sup>69</sup>, actions have been taken to raise awareness and develop capacities to undertake CMSP with these actors, especially by the Regional Government and local government.

Some concrete examples of the bottlenecks that were overcome from the first phase include actions by the new National Directorate of Projects in Peru to increase the number of decisionmaking processes significantly, both in terms of increasing the turnaround time for approving contracts, as well as other protocols. This modified the strong top-down approach, and this has resulted in working more closely with beneficiaries and local governments. It also resulted in more participatory annual planning processes, which have helped facilitate beneficiaries to implement many of the project-funded interventions in their communities and fishing grounds.

Regarding adaptive management (AM), the inadequate Theory of the Cambio represents the main barrier to applying AM principles systematically, and the CFI has largely been adapting reactively from one crisis to another, rather than proactively, as might occur in a robust, systematic AM process. It is likely that any reconstruction of the TdC will help overcome many

<sup>&</sup>lt;sup>69</sup> This sentence differs slightly from the Spanish version to make it easier to understand.

of these barriers, particularly when new and robust indicators are formulated, along with developing risk-reducing measures.

However, one of the positive accomplishments that took place despite the CFI's reactive adaptive management approach was the transition from taking top-down, centralized management and planning, to one in which fisherman and beneficiaries are now more closely involved. Another positive element is that the PMU has become more responsive in the follow-up on to the different project interventions through the UNDP project-performance monitoring platform monitoring and simplifying administrative procedures between the PMU and the new National Directorates for both countries.

### 4.5.1 Management arrangements

The project has been managed under the UNDP National Implementation Modality (NIM), based on the basic model of assistance and governance of Ecuador and Peru, and the Country Program Document (CPD). The UNDP-Peru is the leader implementing agency of the GEF and has the responsibility to lead and oversee the entire project, including the direct administration of international and Peruvian elements.

The UNDP Office in Ecuador is collaborating on the implementation of the project managing the project's equatorial elements. Each country has an authority responsible for implementing the nationally agreed activities (*associate implementing partners*), and they are responsible for administering the project in their country, as well as monitoring and evaluation of project interventions and its achievements, as well as the degree to which resources are being used effectively and efficiently.

The PMU is responsible for executing and coordinating with all actors, as well as monitoring the project, preparing annual work plans and ensuring the quality of the products. In addition to the first-year setbacks, the project has recovered well since the new Project Coordinator took over and this has led to important changes in the CFI's interventions in the fishing communities. The project coordinator has overcome many obstacles, and his coordination with the focal points and the fishing communities has been exemplary.

Nonetheless, the complexity of the intergovernmental government affects the overall efficiency of the CFI's implementation, mainly due to the multiplicity of actors involved, which complicates the application of an integrated approach, given that different sectors and hierarchical institutional arrangements have different plans and policies that may not necessarily be in line with the CFI. For many reasons, the articulation between the actors has been limited, and until now, each country has been working independently with its own approach to the project based on context-specific local management plans and participatory governing instruments. In the case of CMSP, both countries have different methodologies

applied and this is seen as being positive as it will diversify the number of lessons captured from planning and implementation.

# 4.5.2 Project activity planning

During the first year of implementation (October 2017 - 2018) the project made two significant advances. Both countries experienced changes of their authorities assigned to the project, and this slowed the decision-making process. At the beginning of 2019 Peru's National Board of Directors decided to assume a more active role in the administrative and programming processes of the project (technical approvals and administrative procedures and procedures). For the 2020 period, the PMU proposed the new National Directorate of Projects (assumed by the General Directorate of Biological Diversity of MINAM - Peru) to take the initial modality, so that the Board of Directors assumes responsibility for technical approvals, and this has streamlined the project management approach to meet the necessary requirements for implementing administrative processes under UNDP.

Changes in the governmental authorities in both countries also affected the management approach. For example, during the year 2018 and the first semester of 2019, Peru's actions on the Sechura Bay Project became oriented toward generating a methodology for decentralized CMSP, which was discussed and approved by National Board of the Estuary responsible for the project, and the National Board Environment and Territorial Planning Board has begun to work more closely with the fishing communities and other local beneficiaries.

COVID-19 has significantly slowed down the advances of the project, and it has reduced the possibility of working closely with the communities, especially fishermen and their families who have been affected economically by the pandemic.

# 4.5.3 Financing and co-financing

At mid-term, the Project has spent just over 50% the total budget. Figure 6 presents the expenditures through June 2020.



Table 4 presents the implementation modality and the budgets for each country.

Table 5: Budget allocations for each country <sup>70</sup>			
Country	Modality	National Authority/Partner	Budget USD
Perú	NIM <sup>71</sup>	Ministerio del Ambiente de Perú (MINAM)	4,818,591.00
Ecuador	NIM	Formerly, Ministerio de Acuicultura y Pesca del Ecuador, now Ministerio de Producción, Comercio Exterior, Inversiones y Pesca	1, 770,400.00

# Table 5 summarizes the recurrent expenditures and investments made by each country to date:

#### Table 6: Recurrent expenditures and investments at mid-term.

Country	Recurring expenses to date	Investments Mobilized to date	TOTAL	ProDoc Budget	Cumulative execution 30.06.20	% Execution
Peru	\$3,234,091	\$4,619,790	\$ 2,895,429	\$ 4,818,59	1 \$ 2,163,48	38 44%
Ecuador	\$1,828,913	\$238,638	\$ 2,067,551	\$ 1,770,40	0 \$ 925,898	3 52%
Binational	\$5,063,004	\$4,858,428	\$ 9,921,432	\$ 6,588,99	\$ 3,089,38	36 47%

Annex 8 presents the pertinent information in greater detail regarding the assignment of<br/>budgets for each country for eachPPG Amount\$200,000component as well. The adjacent table<br/>summarizes the financing budgets according<br/>to the last PIR (2020).Grant amount<br/>GEF<br/>Cofinancing\$65,562,889

Table 6 summarizes the amounts attributed to cofinancing.

<sup>&</sup>lt;sup>70</sup> Source: Annual Report 2019 and the ProDoc.

<sup>&</sup>lt;sup>71</sup> National Implementation Modality

Table 7: Data on comancing to date.					
Cofinancer	Amount at signing the ProDoc	Type of cofinancing	Amount contributed to date	Total	% contributed compared with what was promised
UNDP-Ecuador	100,000	In-kind	54,246	54,246	54%
Conservation	1,299,442	In-kind	786,398	2,085,840	100%+
International					
Conservation		Grant	1,299,442		
International					
Exportadores Dorado		In-kind	369,000	369,000	100%
WWF©	1,121,306	In-kind	627,989	866,627	77%
WWF (other)		Other	238,638		
Gob. Regional de Piura	37,874,305	In-kind	49,100	38,065,077	100%+
Gob. Regional de Piura	_	Other	141,672		
Gobierno Regional de		Public	37,874,305		
Piura		invest.			
Gob. Regional de Tumbes	10,000,000	In-kind	310,423	10,378,423	100%+
Gob. Regional de		Other	68,000		
Cob Regional de	-	Dublic	10.000.000		
Tumbes		invest	10,000,000		
Cobierno de Ecuador	10,000,000	In-kind	10,000,000	10,000,000	100%+
	240.000	No	240.000	240.000	100%+
	240,000	information	240,000	240,000	100/01
PNUD-Perú	500.000	In-kind	77.976	77.976	16%
Gobierno de Perú	3,852,836	In-kind	61,617	6,178,971	100%+
Gobierno de Perú		Other	2,264,518	,,,,,,,,	
Gobierno de Perú		Public	3,852,836		
		invest.			
INCABIOTEC©	200,000	In-kind	200,000	200,000	100%
Naturaleza/Cultura Intl.	300,000	No	300,000	300,000	100%
		information			
Intl. Pole & Line	75,000	No	No information	No	No information
		information		information	
TOTAL	USD65,562,889			68,816,160	100%+

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# 4.5.4 Monitoring and evaluation at the Project level

PE 3b: To what extent have the M&E systems at the project level, the reports and communication from the project supported the CFI-LA's implementation?

Feedback on M&E activities are based on PIRs / APRs, Tracking Tools, and minutes of PMU Committee monitoring meetings. The PIRs are objectively formulated and the monitoring system is of a high quality. The PMU has developed an excellent M&E system that can capture information in real time on the progress of the project. This was built based on the knowledge of other M&E systems to monitor the progress of the projects, this system that has been developed by UNDP is one of the most complete that has been seen in more than 40 projects evaluated in other countries.



However, the weakness of the Theory of Change and the indicators creates difficulties in monitoring it via Component 3, as envisioned by the ProDoc and the PIR (2020). The fact that the governance baseline indicators for collaborative analysis are not SMART raises serious doubts arise about monitoring the project's ToC indicators and facilitating the self-assessment processes that should be carried out by the core group of stakeholders .

Regarding the monitoring of the core indicators (Core Indicator # 2) of the GEF, three of the nine marine-coastal protected areas, that is, 29% of the protected areas of both countries<sup>72</sup>, are operating under better management for UNDP for GEF biodiversity conservation projects.

Protected Area	IUCN Classific.	Area (Ha)
Illescas Reserve	VI	37,452.59
Virrila Estuary	VI	14,007.37
Mangroves of Sn. Pedro de Vice	VI	3,399.00
	TOTAL	54,858,95

It is worth mentioning that there are several studies that indicate that the METT<sup>73</sup> only measures the performance and processes (Efficacy) of the management of a protected area, but does not measure the changes in the terrain that currently indicate the management outcomes (Ryan 2018, 2020, 2020b; Ryan et al. In preparation), which are better indicators of Effectiveness. The importance of going beyond solely measuring performance and thus focusing on triple bottom line impacts in protected areas is recognized in the SERNANMP strategy (SERNANMP & WCS 2017) by using the WCS tool named SMART<sup>74</sup>. Also, it is worth mentioning that GEF 6 projects do not require the International Waters Tracking form to be filled out and for that reason it is not presented by the MTR.

# 4.5.5 Participation of the pertinent stakeholders

The high levels of engagement and participation of key stakeholders has been exceptional, with fishermen, women involved in the seafood value chains and communities of change

<sup>73</sup> METT – the GEF's Monitoring and Tracking Tool to follow Management processes and performance (efficacy) of Protected Area management.

<sup>&</sup>lt;sup>72</sup> The total area under protection in both countries is 186,112.46 ha

<sup>&</sup>lt;sup>74</sup> NOTE: The WCS tool is not the same as S.M.A.R.T. indicators.

collaborating well with the CFI in both countries, based on the available evidence. And this has attracted new stakeholder groups such as the Mangrove Consortium of Norwest Peru, which was not included in the ProDoc. Based on the new approach aiming to work more closely with the fishing communities, they will be integrated into Component 1.The Consortium is a key actor in managing Tumbes Mangrove Sanctuary, and it represents most of the artisanal fishing organizations in the region. In Ecuador, the collaborative processes that WWF developed with the fishermen of dorado, tuna and pomada shrimp has also been excellent. Therefore, there is strong evidence that the constituencies made up of the communities of practice are increasingly becoming involved in collaborative planning and management of coastal resources.

# 4.5.6 Information

The information related to the project is complete and well organized and facilitated by the UGP without delay. With so much information available, it is impossible for all actors to review it. On the other hand, there are various threats to human health, human rights issues which are covered in different international agreements that each country, as well as the resilience building of ecosystem and resources that are not incorporated into the information base available for the project. Specifically, there is no mention of the contaminants that affect the biodiversity resilience and human health, and there is no information on the extent to which these pollutants are affecting the resilience of ecosystem services in the CIF-LA target areas.

# 4.5.7 Communication

From the start of implementation, the project has connected the key players to contribute to the participatory governance in the fishing industry. During this reporting period, 1,543 people participated in the dissemination events of lessons and best practices organized in the project, of which 49% were women. During this reporting period, the number of visitors per month (annual average number of hits) registered in the network of electronic platforms used to distribute the apprenticeships and the best practices of the project has 61,375 visits (monthly average hits) with an average of 3,380 unique visits. This is 15 times greater than the original target and it surpasses the target for unique visits.

Since March 2019 after launching the project's electronic platform (Facebook, Twitter and Exhibition), the communication team has made 105 publications of this social networking platform and 36 publications of the project's web page (finalized in February of this year), receiving in 16 months 981,996 visits, which is a promo of 61,375 visits per month. Total number of visits reached 54,087.

While these numbers are impressive and are considered by the MTR to be important achievements of success in terms of exceeding the targets the number of people participating in an event is not a SMART outcome, but rather an output. The next step is to develop

indicators that demonstrate how those outputs were used to change perceptions, behaviors and unsustainable practices,

### 4.5.8 Gender

The effects of the gender equity strategy has been limited to measuring the percentages of women participating in workshops and other events, echoing the use of output/performance indicators, instead of measuring the effects of those capacity building workshops, as there is no indication of how these women applied their new knowledge to achieve the expected changes in gender equity. Nonetheless, both countries have taken more proactive approaches, incorporating actions to empower women to engage in the fishery value chains by strengthening their capacities to develop business plans, take leadership positions in artisanal fishery management and value chain councils, among other positive achievements. However, concrete actions are still lacking that show how women can become empowered to take leadership in entrepreneurial roles and it is there that work needs to focus more on the realities of the lives of women in coastal fishing communities and more practical actions, such as having access to financial resources for the business side of artisanal fishery and changing the mindset of those who can be the drivers of sustainable development. There is a need to develop more realistic targets for increasing women's involvement in this important subsector, improve the efficiency along those value chains. Improve their associations with the sector and at the same time, lead entrepreneurship ventures, while assuming more important roles in decision-making.

Ecuador has shown progress with its focus on gender equality and has developed a

strategy and other documents that can serve the CFI. Nonetheless, there is considerable weakness in terms of harmonizing the different approaches between the two countries and this requires immediate attention in the final phase of the project. It is noteworthy that Ecuador and Peru recently agreed discuss proposals for sharing information on different approaches to mainstreaming gender into the project and develop strategies and actions for overcoming these large gender equality gaps.



# 4.6 Sustainability

EQ 4: To what degree Will the financial, institutional, socioeconomic and environmental risks affect the project's overall sustainability?

Although the CFI's weak ToC is one of the crosscutting issues that could influence the overall sustainability of the Project, it is early to evaluate the sustainability of the financial, environmental, social and institutional dimensions of the project at Mid-term. Nonetheless, some initial findings are presented in the following subsections.

### 4.6.1 Institutional risks to the CFI's Sustainability

The absence of an interinstitutional coordination authority at the highest levels of government to ensure that sectoral plans, policies, programs and projects are aligned with CFI-LA's methods is viewed as a high risk to the institutional and overall sustainability of the CFI-LA. This high-level coordination requires of a high-level government institutional authority that has the power to coordinate sectoral policies, plans and programs in ways that they are congruent with the CFI objectives and help put the country on a path of sustainable use of the marine and coastal spaces, and it responds to the technical and scientific expertise required to prove the need to make effective decisions.

Peru is quite advanced in terms of the high level of coordination of intersectoral actions affecting the marine-costal spaces with the creation of COMAEM and COMUMA. Considering that these interinstitutional arrangements are presided by the Office of President, the country indeed has excellent high-level institutional arrangements for coordinating sectoral development policies, plans and strategies and to mitigate the institutional risks. However, a substantial effort will be required to decentralize planning and management of coastal fisheries.

In Ecuador, the Marine and Coastal Management Secretariat (SGMC) was replaced by the Cultural Heritage Sub-secretariat (SPC)<sup>75</sup>, and this authority is in charge of intersectoral coordination of Ecuador's marine spaces. The SPC covers a variety of topics, which will make it difficult to assign staff with the technical capacity to ensure that sector plans, programs and policies are consistent with the CMSP in the marine and coastal environment. For this reason, it is considered that there is a risk to the sustainability of the CFI, as well as the effective, adaptive and long-lasting ecosystem management if the SPC cannot ensure sectoral congruence with respect to the project goals and promote prioritized actions that protect marine-coastal ecosystems after the project ends.

However, in November of 2020, the government of Ecuador decreed for the reorganization of the Interinstitutional Committee of the Ocean<sup>76</sup>, and it approved and implemented actions by the Intersectoral Agenda for Marine Environments. This is considered by the MTR as a major mitigation measure for reducing the institutional risks to sustaining the CFI.

### 4.6.2 Risks to Social Sustainability

There are two aspects to the social sustainability risks. The CMSP will have to unveil a clearcut path toward achieving incipient signs of social impact, with the objective of improving the well-being of fishing communities who depend on resilient ecosystems and coastal fisheries.

<sup>&</sup>lt;sup>75</sup> The SGMC has been long recognized internationally for being an innovative intersectoral coordination mechanism. The interviewees expressed their concerns that the closure of this authority reorients decision-making and actions aimed at the protection of marine-coastal ecosystems that were decentralized to a centralized level in Quito, where the problems in the territory are not fully known.

<sup>&</sup>lt;sup>76</sup> It was reorganized via Executive Decree 1197 (this is linked with the body of the Executive Function created in 2012 and in charge of coordinating the intersectoral public policy of the sea), which is chaired by the Foreign Ministry

While the OHI's Target #2 on sustainable artisanal fisheries covers a broad range of equitable and fair working conditions and access to fishing grounds among others, it he OHI still lacks SMART indicators that can demonstrate effectiveness of governments and projects like the CFI to meeting their goals, objectives and other targets. Target #7 narrowly focuses on economic indicators (*increased salaries and contribution to the GDP*), and ignores social issues like fair working conditions, absence of discrimination and equity, among other universal rights.

Ecuador has advanced with efforts to mainstream gender equity in many of its initiatives and to ensure recognition of the important role women have in the artisanal fishery, especially benthic coastal resource harvesting and the Dorado fishery. Consequently, some of these achievements should be discussed and where appropriate, shared with Peru. Likewise, the work with the women's groups in the mangrove macrobenthos harvesting areas offers some lessons that must be shared with all CFI partners.

The creation of a rotary credit fund has been an especially important step to reduce social risks facing the CFI, and the application of the UNICA methodology and support from the miniplant for processing hydrobiological resources in Tumbes has been useful for providing economic safeguards and risk-reducing measures through the credit fund, and social safeguards for a healthy environment and empowering women to participate in this intervention. In addition, the support for FONDEPES and PINIPA are funds that are crucial for reducing social risks to the fishing communities. Finally, the Competitive Fund directs women working in the artisanal fishery to engage as entrepreneurs and commercialize hydrobiological products through short-term model business plans.

# 4.6.3 Risks to environmental sustainability

Today the concept of Ecosystem-Based Fisheries Management (EBFM) and Ecosystem-Based Management (EBM) have been applied in a generalized and routine way, as if it were simply a black box. As a result, Ecosystem-based approaches provide little practical guidance on how to achieve effective results (i.e., triple bottom line impacts), and many missing elements remain and definitions of terms to be clarified before these metaphorical ecosystem-based concepts can be tested in either country. The MTR does not find that the CFI-LA presents a sufficiently robust indicator to measure the effectiveness of the interventions that allows the CFI to demonstrate effective Ecosystem Management, and as of now, both EBFM and ecosystem-based Management (EBM) are little more than shallow metaphors.

Regarding the indicator of the Biodiversity Target of the OHI, it relies on an indicator that is based on circular reasoning<sup>77</sup>. Unless these indicators can be made more explicit (e.g.,

<sup>&</sup>lt;sup>77</sup> The Species Sub-goal focuses on estimating how successfully the richness and variety of marine life is maintained, while the indicator for the Habitats Sub-goal measures the extent and condition of habitats that are important to support a wide range of species diversity. Both use circular reasoning that is imprecise.

SMART), the CFI runs the risk that it will not meet its goals and this concerns about the environmental sustainability of the Project.

Although the project has adopted an ecosystem approach, there is no evidence from the available documentation or interviews indicate that the IdSO took into account the problems of contamination in the watersheds draining to the coast, which is reducing the resilience of the biodiversity (species and habitats) in the coastal zone.

The IdSo is one of the various tools that aims to measure both the condition of the marinecoastal environment, and the pressures that threaten its ecosystem resilience. In general, these management instruments lack clear indicators that unequivocally measure management effectiveness, and the indicators selected to measure the triple line of final results (impacts) are often vague. Another weakness that commonly characterizes these framework indicators is that they do not apply the principles of adaptive management, which are recommended by the Convention on Biological Diversity to address the complexity, uncertainty and dynamics of the marine-coastal environment. The IdSO is an important endeavor, but it is not a panacea and there are several elements (discussed in this report) that could be improved if the Index is adjusted to incorporate an adaptive approach where it seeks to continually learn and adapt the Index under the current context. For example, so far, the evidence indicates that the IdSO has not taken into account the measurement of the impacts caused on the marine-coastal ecosystems by the productive sectors, such as the impacts of the fishing sector (both the industrial and the artisanal), tourism, and acute (nutrients, sewage) and persistent (agrochemicals, mercury, and other toxic metals) pollution from activities on the coast and watersheds.

Before implementing the CFI-LA project, both countries worked on a binational National Action Plans for Dorado. The evaluation of dorado stocks carried out by the CIAT indicated that no steps have been taken by either country to ratify the International Agreement on the management of these shared fisheries. This requires immediate action that is essential for achieving permanent milestones to meet the stipulated agreements, rather than *repeating open-ended discussions about the need to evaluate options* for the two governments, without taking concrete actions. Consequently, the CFI could be instrumental in facilitating a binational plan for the shared management of dorado and other common resources, and identify common issues for these fisheries, such as joint research, monitoring, enforcement, as well a common regulations, the continued patterns of overfishing these resources will affect the catch volumes per unit effort, as well as the recruitment of new individuals into the fishery each year. This is potentially a time bomb that will have reverberating impacts on the coastal fisheries if mercury levels exceed national, UNEP and WHO guidelines.

### 4.7 Other Issues

### 4.7.1 Incipient Impacts

EQ 5: Are there preliminary signs of potential impact associated with the activities and outcomes produced at mid-term?

At mid-term, it is not possible to answer this question.

### 4.7.2 Unforeseen results

EQ 6: Have there been any unforeseen results that could affect future interventions?

- Concerns about the inadequacy of the ToC and the fact that no action was taken to the STAP Report regarding the recommendations to address this issue were unexpected, as was the degree to which the weak ToC affects overall efficiency, efficiency and sustainability of the CFI.
- The COVID crisis is the one that is most unexpected for everyone in the project, but it
  also opened opportunities to replenish the strategy and log more closely to the
  fishermen, by other means, it is also an opportunity to reorganize the project's
  strategy and the TOC and work more closely with fishing communities on the one hand
  and use virtual media to save on travel expenses and work more efficiently.
- In Peru, the model of collaborative management being implemented at the National Mangrove Sanctuary at Tumbes could be replicated in other protected areas of both countries, which is surprising because the Consortium was not mentioned in the ProDoc.
- The process for generating methodology for special marine planning adopted an innovative top-down and bottom-up governance platform for developing CMSP, thereby bringing the project much closer to the realities of life in the fishing communities in the Piura Region's project.
- It is important to note thanks to the articulation between the regional government of Tumbes and the General Directorate of Biological Diversity of SERNANP, it was possible to add value to the initiative by formulating a public investment project that aim to contribute toward promoting conservation and sustainable development of the San Pedro de Vice Ramsar using Public Investments.
- The administrative problems related to the NGOs responsible for the project in Ecuador resulted in an unexpectedly high-level inefficiency and delays in the execution of their work plans and in delivering their stipulated outputs. Fortunately, this problem was resolved 2 years later after CI finally contracted someone to take over responsibility for the project.

- Another unexpected result was related to aspect that delays caused by the complex implementation mechanism used in Ecuador regarding the NGOs. Each NGO has its own administrative procedures that are different from that of the government and UDNP, and the process of approving and issuing payments led to some major delays and setbacks in carrying out the project during the first two years of implementation. The procedures were excessively bureaucratic and constant changes in personnel exacerbated these delays<sup>78</sup>. However, these issues improved significantly with the arrival of the new CFI coordinator took over.
- The high level of acceptance of developing for collaborative process between fisherfolk and the INCABIOTEC laboratory in Tumbes leading to restoration of the benthic resources and monitoring changes over time<sup>79</sup> was completely unexpected and one of the most effective interventions to date. This unified and participatory effort also marked a major advance in integrating scientific knowledge with traditional knowledge held by the fisherfolk.

### 4.7.3 Environmental and Social Safeguards

The Social and Environmental Safeguard Strategy for addressing the COVID-19 pandemic described in the 2020 PIR is excellent. However, the MTR notes the is considerable preoccupation about health, safety and labor conditions affecting coastal communities that are related to Norm # 3 and the Environmental Norm, which are related to the presence of toxic chemicals in several watersheds that empty into coastal areas where the project is working. Chemical constituents include the continuous and unchecked discharge of untreated sewerage waters (there are no wastewater treatment plants) high concentrations of faecal matter, as well as persistent and toxic agrochemicals and metals that are discharged into rivers and tributaries that end up in mangrove areas where benthic resources are harvested. Typical chemicals include organochlorinated pesticides and highly neurotoxic mercury originating from the artisanal small-scale gold mining in several watersheds in Ecuador (Figure 7) and Peru (Figure 8). These are taken up by the biota (e.g., black mussels, mangrove crabs and shrimp) and if they exceed safe consumption levels, they can have serious health impacts for both humans and the receiving estuaries in both countries (Marshall et al. 2018; UNEP 2012, Tarras-Wahlberg 2000). However, at this stage, the levels of these toxic pollutants are not known.

<sup>&</sup>lt;sup>78</sup> It happened that the model allowed flexibility to the NGOs in the fulfillment of the delivery of the products, in this case CI initially executed less than 50% of what was budgeted as well as the products, so the JD demanded that it comply with the agreement and could be improved.

<sup>&</sup>lt;sup>79</sup> As of the second semester of 2019, the management to achieve the grant agreement and the work plan with INCABIOTEC was prioritized, with which as of September 2019 the implementation of both activities began, which have a budget of almost USD \$ 200 thousand.
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Figure 7: Location of the microwatersheds that drain to the estuaries adjacent to the Gulf of Guayaquil. (<u>Tarras-Wahlberg *et al.* 2000</u>)

Figure 8: Location of artisanal gold mining areas affecting coastal areas of Perú (<u>UNEP 2012</u>).

Although both countries have demonstrated their commitment to improve the conditions in the artisanal gold mining areas to a certain extent (e.g., awareness campaigns aimed at the miners to eliminate using mercury), this is a work in progress that will not show results in the near future<sup>80</sup>. It is important to note that while Ecuador has banned the use of mercury in small scale mining, it has not provided miners with a non-mercury alternative and this has resulted in an expanding black market for mercury (<u>UNIDO 2017</u>).

Although the MTR has not been shown any data on mercury concentrations in the ecosystem, it is considered that this represents a risk to human health and the resilience of the wild fauna until studies can be made for sediments and biota being harvested for food in the mangrove areas. <u>Barriga-Sánchez y Pariasca</u> (2018) analyzed mercury concentrations in the fan mussel in Sechura, Samanco and Paracas, and in natural banks located in Marcona and Ático, and found that while concentrations were low in that species, there is a health risk. Consequently, if this problem is not resolved, there is a risk to economic and social sustainability of benthic resource harvesters and their families, as contaminated resources may lead public health authorities to close the fishing grounds if they exceed national and international standards.

## 5. Contribution of the CFI to UNDP's Country Program Framework

#### 5.1 The CFI's contribution to UNDP's Strategic Plan and the SDGs

The SDGs are a flagship of the UNDP and in this case, the focus is mainly on SDG 14 – life under the water and sustainable fishing. Meeting this target requires a holistic approach that balances the social, economic and environmental dimensions to achieve sustainable

<sup>&</sup>lt;sup>80</sup> The mercury problem is being addressed by another GEF project (National Chemical Management Program, also part of PlanetGOLD), which is in the initial steps of implementing it new strategy. There is a focused scenario study, which indicates that in 10 years the use of mercury could be reduced by 80% if the strategy is implemented.

development, even considering the human rights obligations of states and companies. Although many of the SDGs are directly or indirectly important for the sustainability of the fisheries and aquaculture sector, SDG 14 (Life below sea: conserve and sustainably use the oceans, seas and marine resources) is the main objective for protecting the planet's oceans and marine resources, and the UNDP has played an important role here and in other parts of the world. Ensuring that fisheries contribute effectively to the achievement of SDG 14 requires a holistic view that recognizes the transversal connections with other SDGs, and in the artisanal fisheries subsector the issue if human rights (food security and nutrition, health, housing, access to safe water and adequate sanitation, safe and healthy working conditions, and a healthy environment) outcomes into play, and the risk of failure increases unless those rights are ensured in local fishing communities. As such, UNDP is making an important contribution to new knowledge surrounding SDG 14.

In relation to the other SDGs, the project still requires efforts to meet SDG #  $2^{81}$ , but good progress has been made with SDG #  $5^{82}$ . For example, Ecuador has developed a strategy to promote gender equality, which includes the establishment of schools for the Leadership and Political Representation of Women and the strengthening of leadership and representation skills for civil society organizations. Despite the fact that Peru had delays in making substantial progress in the first two years of the project, in the medium term there are positive signs with the interventions that are practiced in the groups of women working with resources in the mangroves.

With the support of WWF and CFI-Ecuador, both UNDP offices have contributed additional advances toward meeting SDG#14,<sup>83</sup> with the exemplary approach for improving the traceability and certification of shrimp and tuna resources. In addition, Ecuador was involved in the full evaluation process <sup>84</sup> of the Marine Stewardship Council (MSC), initiated in 2019, which has important lessons for replicating in Peru in future project. In relation to SDG # 15<sup>85</sup>, both countries have advanced with their efforts to create communities of practice to manage the resources in the shortcomings and assimilation, protect these forests through the work of the community.

#### 6. CONCLUSIONS AND RECOMMENDATIONS

#### 6.1 Conclusions<sup>86</sup>

Despite the fact that the project began with many difficulties that delayed progress, the MTR considers that the CFI is progressing well, with new and improved institutional arrangements between national, regional and local governments and greater commitment to decentralized

<sup>&</sup>lt;sup>81</sup> SDG#2- end hunger and achieve food security.

 $<sup>^{82}</sup>$  SDG#5 – gender equality and empower women and girls.

<sup>&</sup>lt;sup>83</sup> SDG#14- conserve and use the planet's oceans, seas and marine resources for sustainable development.

<sup>&</sup>lt;sup>84</sup> The complete evaluation process takes up to 18 months.

 $<sup>^{85}</sup>$  Sustainably manage all kinds of forests, including mangroves.

<sup>&</sup>lt;sup>86</sup> Based on complete and balanced statements (based on the evidence and data collected and connected to the MTR's proven facts) that highlight the strengths, weaknesses and results of the project.

Table 8: Summary of findings, conclusions and recommendations associated with each EQ.

CRITERION	EQ	Finding	CONCLUSION	RECOMENDATION	REPSONSIBLE
Project Strategy & Design	EQ1	<ul> <li>The project strategy is highly relevant to the priorities of the countries.</li> <li>The ToC presented in the ProDoc is inadequately prepared and this weakness affects the application of ecosystem management and systematic adaptation, which is considered key to achieve the objective of the CFI-LA.</li> <li>Only four of the eleven indicators in the results matrix are SMART, and consequently the shortage of SMART Outcome Indicators affects the ability to measure effectiveness.</li> <li>Although progress has been made with excellent results related to the communities of practice, the indicators do not reflect the expected SMART outcomes, since all but only four of the indicators measure outputs.</li> </ul>	The project strategy is relevant to the priorities and fostering country ownership. However, the weak ToC is a barrier for achieving the most efficient, effective and sustainable path toward the CFI-LA's objectives and the expected results. Expected results have been achieved, but most of these are outputs, and not SMART outcomes.	R2: Reconstruct the Theory of Change and the non- SMART indicators (see suggestions in Annex 7.3) and add robust assumptions	PMU
Progress Towards Expected Results	EQ2a	<ul> <li>Excellent examples of strengthened capacity building and awareness among communities of practice.</li> <li>Four important unexpected outcomes (participatory research and monitoring by fisherfolk, Sta. Elena actions by government to address water quality issues and dorado traceability in Ecuador; Credit funds for benthic resource harvesters and women in mangrove capture fisheries) are exemplary.</li> </ul>	All the fishermen and women interviewed recommended that good practices should be shared and replicated in other communities, both in Peru and Ecuador.	R10: Continue experimenting with incentives that catalyze the formalization of artisanal fishermen into the formal sector.	PMU; Country Focal Points

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	EQ2b	<ul> <li>Excellent examples of strengthened capacity building and awareness among communities of practice</li> <li>The weakness of the ToC and the indicators in the results matrix make it difficult to analyze the extent to which the project is on track to meet its objectives.</li> </ul>	Although many of the activities, outputs and outcomes have been achieved, there are serious doubts if the set of results lead the project towards its objectives, mainly due to the weakness in the design.	R4: Exchange practical experiences that have been achieved in each country R2: Reconstruct the Theory of Change and the non- SMART indicators (see suggestions in Annex 7.3) and add robust assumptions	
	EQ3a	Although there were serious delays during the first years of the project, in the medium-term these weaknesses have been overcome and there are good signs that there is better efficiency.	Although the project was highly inefficient at startup, adaptation was reactive, rather than proactive. However, many of these barriers have been overcome and evidence indicates that the project is progressing more efficiently.	R8: Streamline procedures for contracting services, procurement, and budget execution	
Project Implementation and Application of Adaptive Management Principles		There are still delays with the approval of contracts	Currently the bottleneck is in contracts and acquisitions; the TOR and frame of reference are carried out with the participation of the National Directorate team to avoid shortcomings and in this way, approval is rapid	R12: Review processes that result in weakly formulated projects <sup>87</sup>	UNDP/ UGP
	EQ3b	• The UNDP project performance M&E system, communication and quality control have been exemplary. However, this M&E platform only measures project performance and does not measure the effectiveness of component interventions, as specified in Component 3 since.	Although the M&E system at the project level is exemplary, it does not have the capacity to measure the effectiveness (that is, the effects) of the interventions, as outlined in the ProDoc.	R5: Develop an M&E and Knowledge platform in real time that measures the effectiveness of management interventions that promotes adaptive learning.	PMU; Country Focal Points
		• There is a gap in the application of adaptive management and confusion over the definition of	Adaptive Management (AM) is the key to ecosystem management and to address the complex dynamics, uncertainties and inherent	R9: Agree on a single definition of the ecosystem management concept to be	

<sup>87</sup> Disclaimer: R12 did not appear in the Spanish version due to an oversight.

		ecosystem management and ecosystem-based fisheries management due to the fact that for two decades it has applied both concepts in a generalized and routine way, as a black box. In this format, EBFM generally adds little in the form of analytical knowledge or practical guidance and as formulated, it could be used to defend a series of conflicting objectives.	unpredictability of ecosystem services. Nonetheless, the CFI has not applied the principles of AM, largely because of the weak ToC.	applied and SMART indicators that inform the extent to which the triple bottom line impacts are achieved using AM and the preferred EBM concept.	
		<ul> <li>Lack of clarity on the extent to which the OHI will measure the effectiveness of the CMSP; the OHI also does not provide information in real time and there are doubts about its ability to promote the principles of adaptive management.</li> <li>There is an opportunity to develop an approach that integrates both the OHI and a real-time M&amp;E platform.</li> </ul>	Although the OHI may serve as the future platform to inform decision makers, it is prudent for Peru to develop a real-time M&E platform to measure the effectiveness of its interventions related to ecosystem and adaptive management, until Peru's OHI can be institutionalized and to provide lessons on how the Index can be streamlined. The Real time platform should be carried out to fill in the large time gaps (up to 5 years) between OHI calculations.	R7: Develop the OHI in conjunction with a real- time M&E platform in Sechura Bay based on a GBE / MIZC / CMSP approach in conjunction with a real-time M&E platform that applies AM to capture lessons systematically.	PMU; Country Focal Points; Cl
Sustainability	EQ 4	<ul> <li>The risks presented in the ProDoc and the measures to mitigate them are weak and do not touch on the deeper risks that the CFI should address. Among these, we have:</li> <li>Institutional barriers are related to the incongruity of sector policies, plans and mandates with the management of the resilience of ecosystem services in marine-coastal areas.</li> </ul>	Institutional, environmental and social risks threaten the sustainability of the CFI-LA and a weakness with the strategy of mainstreaming the role of women in the value chains of the artisanal fishing subsector is a critical risk, given the important role that women play in seafood value chains.	R6: Strengthen the Binational coordination of the CFI-AL and prepare a risk analysis and a Mitigation Plan.	PMU; Country
		• The lack of inclusion and mainstreaming of a strategy and actions to insert women into the governance platform and in value chains is a worrying gap in the construction of a critical mass	There is a gap between the approaches to addressing gender equity in both countries in terms of mainstreaming gender equity in the value chains of the artisanal fishing subsector.	R3: Update the approaches and indicators related to gender equity in both countries to mainstream it in the CFI-LA	Focal Points

		<ul> <li>(constituents) to carry out interactive governance.</li> <li>Environmental hazards associated with persistent chamicals in lower watershads.</li> </ul>	There is evidence that many watersheds that empty into the coastal areas of both countries are contaminated with toxic and persistent chamicals, that are possibly affecting both	R13: Conduct a survey of the concentrations of persistent pollutants in the	
		persistent chemicals in lower watersheas	human and ecosystem health.	and crabs of the Tumbes Mangrove Sanctuary.	
Impact	EQ5	There are incentives that promote sustainable fishing practices (e.g., the biological laboratory working closely with the black mussels and crabs of Tumbes; the traceability of the catch and added value of Dorado, etc.) Triple bottom line impacts requires more than just an increase in wages and the extent to which artisanal fishing contributes to a country's GDP, as the OHI aims to measure. The CFI does not mention labor rights and it is surprising that there is no mention of the FAO Guidelines for the sustainability of small-scale fisheries.	Progress with the communities of good practice is an incipient sign that the project is moving towards its first stage of good governance. The fact that the project is narrowly focused on the areas of intervention is also key and promising. The sustainability of a project should be focused on achieving triple bottom line of impacts, and although the CFI-LA is focused on improving the economic dimension, it lacks indicators that measure labor rights, access to a healthy environment, (social dimension) and the equitable access to ecosystem services.	R4: Exchange practical experiences that have been achieved in each country R14: It is suggested that the global CFI pay more attention to fishing rights, and particularly human rights, that go beyond the one-dimensional indicators of the OHI.	PMU; Country Focal Points FAO, GEF, World Bank, UGP; Country Focal Points
Others	EQ6	The lack of robust assumptions and indicators of SMART outcomes is an unexpected weakness that was found mid-term. Also, the uncertainty of the magnitude of the potential effects of sewage effluents, agrochemicals, among others that are found in the lower watersheds along the coast of both countries and especially the mangroves of Tumbes was an unforeseen finding that requires data to describe the magnitude of the problem. The estuaries of both countries are of special importance given that	The weak design of the ToC is one of the biggest surprises, given that it was touted to be the strength of the project, despite warnings by the STAP Report. Unless remedied, the poor design will affect future CFI interventions in both countries and elsewhere. Based on the extensive agricultural activity and artisanal gold mining, it is likely that chemical released from with these activities are present in the river basins that overflow into the estuaries along the coasts of both countries.	R2: Reconstruct the Theory of Change and the non- SMART indicators (see suggestions in Annex 7.3) and add robust assumptions A13: Conduct surveys of the concentrations of persistent pollutants in the water, sediments, and especially molluscs and crabs of the Tumbes Mangrove Sanctuary, and	PMU; Country Focal Points

#### FINAL CFI-LA MID-TERM REVIEW

benthic resources being harvest and marketed have a mercury bioaccumulation risk for consumers of those products.		in those adjacent to Guayaquil bay.	
	Several Communities of Practice are now	R4: Exchange practical	PMU;
	demonstrating how triple bottom lines can be	experiences that have	Country
	achieved and measured with SMART outcomes.	been achieved in each	<b>Focal Points</b>
One of the best examples of SMART outcomes that		country	
the project has achieved with the communities of	The participatory benthic resources monitoring		
practice in Peru has been with its support to the	and research by fishers and two other		
INCABIOTEC laboratory, which has been key to	unexpected positive outcomes (Sta. Elena		
supporting the fishermen of the benthic resources	actions by government to address water quality		
in the mangroves.	issues and dorado traceability in Ecuador) offer		
	models that could be tested and replicated in		
	other CFI projects.		

planning and decision-making, which have largely been a consequence of the new PMU leadership. **The MTR agrees** with the latest PIRs (2020), that the CFI's progress towards the objectives are M**oderately Satisfactory**, but after reviewing the plan of action to address the MTR's recommendations, there is no reason why the project cannot achieve the highest rating by its new termination date.

Table 7 summarizes the findings, conclusions and recommendations from the MTR according to the findings of the evaluation questions. This is followed with more details on each finding, and recommendations. Finally, the lessons learned up to midterm are presented.

#### **MAJOR ADVANCES AND ACHIEVEMENTS**

• Strengthened Capacities, knowledge and skills within the communities of practice -Articulating artisanal fishermen into management regimes has always been a formidable challenge, and historically these fishers have avoided attempts to formalize them into the broader fishing sector. Nonetheless, both countries have made significant advances in their efforts to create communities of practice, specifically in Ecuador's Gulf of Guayaquil in Ecuador, and the Bahia de Sechura/Tumbes Mangrove Sanctuary in Peru, where methods, tools and concepts were tested. Also, both countries are conducting practical planning exercises in coastal areas and calculating their respective OHIs. These practical exercises follow national action plans and the implementation of participatory monitoring systems for several fisheries and this has included fishermen, government authorities and other key actors to apply feasible solutions that can help build more resilient resources and create greater commitment by the government and local ownership, whereby both parties can demonstrate good practices that can be shared and replicated in both countries to promote improved governance. The new approach to work more closely with the beneficiaries in base communities has been a big leap forward and a key ingredient for putting the project on path to achieve its objectives.

Four unexpected outcomes stand out as excellent examples of communities of practices that are showing incipient signs of development impacts:

One of the best of these achieved outcomes is intervention related to the fisherfolk-INCABIOTEC<sup>88</sup> participatory monitoring, research and re-stocking that led to more resilient benthic resource populations inside the Tumbes Mangrove Sanctuary, as well as improved scalefish captures by artisanal fishermen<sup>89</sup> in the estuary;

<sup>&</sup>lt;sup>88</sup> One of the best examples of SMART outcomes that the project has registered with the communities of practice in Peru is with its support for the INCABIOTEC laboratory. It is considered as one of the CIF's best examples of the application of adaptive learning and for demonstrating incipient signs of triple bottom line impacts. includes: i) the purification of the marquises in the laboratory in order to increase the standards of hygiene and assimilation as well as its certifiable quality, as well as its value in external markets; (ii) the restoration of the areas above the Sanctuary, and the SMART outcomes of the efforts of the restoration of the black conch are a model for replication.

<sup>&</sup>lt;sup>89</sup> In this last instance, the shells planted more than 50,000 larvae produced in the laboratory, resulting in an increase of 3-4 times greater than the density established by the baseline before this intervention, and densities 5 to 7 times greater than the hacked areas outside the Sanctuary. And as stated by artisanal fishermen, artisanal scale fishermen in the estuary are positively impacted by the vigilant protection of resources by the benthic fisheries who protected the area 24-7.

- Credit funds for benthic resource harvesters, particular women<sup>90</sup> in the value chain to have control over post-harvest resource quality (e.g., refrigeration) and better market values by bypassing middlemen profiteers;
- Experiences WWF and dorado fishers to promote traceability and barcoding that increase profits and quality of seafood sold to local establishments, bypassing middlemen profiteers;
- Response of local and national authorities to address the degraded seawater quality discovered by the OHI in Santa Elena, Ecuador.

Advances with the CMSP and OHI in Ecuador – This concluded with a territorial planning exercise in the coastal-marine areas that resulted in a study of the Gulf of Guayaquil CMSP, which is based on an integrated approach linked to ecosystem functions. According to the interviews, it has helped to improve the dialogue and collaborative efforts in the conformity of a group of private and public actors, which is responsible for leading a planning process to maintain the resilience of the Gulf services. In addition, he has implemented other practical requirements for obtaining data to calculate the OHI in the Gulf of Guayaquil.

**Excellent results with the Socialization of Project achievements** – At mid-term, over 1700 people have logged on to social media, which disseminated information about seasonal fishing bans and solid wastes. Nonetheless, there is no breakdown on the percentage of the universe of beneficiaries that use the project's social media. However, a positive result is the extensive testimonials made by fishermen and other key stakeholders disseminated through social media and other communication tools. Practical experiences and lessons from the other two components have generated lessons and good practices have been documented, exchanged and systematically socialized via the project's electronic platform.

**Creation of incentives to promote sustainable fishing practices** - One of the most notable achievements is related to the incentives for carrying out good practices. This includes the creation of a rotary fund and a collective earning and financing system implemented by the UNICA methodology developed by COFIDE. The project has also supported the organization of fisheries in its central productive axes to facilitate capture fisheries and aquaculture by identifying the steps required to access funding opportunities recently announced by the governor through FONDEPES (National Fund of Development). In sum, the creation of the Competitive Fund is directed to female workers involved in the artisanal fishery to help support them to recover from COVID-19 impacts. PMU and the key institutions participating in the project are united in their efforts to improve their networking through the CFI-LA initiative to work more closely with local actors, which has engendered confidence and good relationships. The coordinator of the project has been especially proactive in helping

<sup>&</sup>lt;sup>90</sup> Also, women's benthic resources organizations have been formed and they now have access to revolving funds to improve their productive activities. Women are also on the boards of directors of these associations.

overcome many obstacles and improving coordination with the focal points and the fishing communities, all of which has been exemplary.

**The Project Evaluation and Evaluation System is exemplary** - The UGP has developed an excellent M&E project tracking model. The Informs and the PIR are only objective (in terms of subjects, languages and as they are found in some FMAM projects) and are used to analyze critical advances in real time. It is important to note that the M&E of the project is very different from an M&E system in the real time that has consequences and the effectiveness of the interventions.

Adaptation to the setbacks during the first year of the project - The PMU and the key institutions participating in the project have joined forces to overcome the delays during the start of the CFI-AL. This harmonized work has helped to recover from setbacks during the first year and it has especially brought the project closer together in working with the targeted fishing communities. This adaptation is largely a result of the new National Project Directorate in Peru that took over in November 2019 and guidelines were issued to the PMU to work more closely with local actors to create greater trust and improve coordination.

#### **WEAKNESSES**

**Design - Weakness in the Theory of Change -** Although the ProDoc and PIR viewed the I Theory of Change (TdC) as the CFI's backbone since it should frame the intervention logic for each component to reach the expected results and its main objective, the TdC is more akin to a hypothesis than a framework for guiding them toward SMART outcomes, with different milestones that trace cause and effect progress along a path that fully operationalizes Ecosystem-Based Management (EBM).

Lack of SMART Outcome Indicators - Only one-third (four of the eleven) of the project indicators are SMART Outcomes, as most of these are Outputs (e.g., number of people trained, number of plans formulated) that are under the project's control. Furthermore, the three intermediate outcome indicators of ProDoc and the PIRs (2019, 2020) are not SMART. In addition, the leap of faith between outputs and outcomes without having formulated robust assumptions that would result in the outputs for Immediate Outcome # 3 (CMSP) to serve as a M&E platform capable of measuring the effectiveness of CMSP is a head-scratcher. While it is important to express that even though four of the results are on the right track to be achieved, the lack of SMART outcome indicators raises concerns about what it will all mean in the long run. For example, without using SMART indicators, it is likely that the CFI will deliver its expected outputs. Even if the project were to achieve the expected results presented in the PRoDoc, it would be unlikely that the CFI-LA could demonstrate the effective implementation of an Ecosystem Management model that could be replicated by the end of the project, given the strong focus on outputs, rather than outcomes. The lack of clarity of Outcome Indicator 3- Number of people (*men and women, by nationality*) who benefit from

strengthened ways of life through solutions to improve fisheries management, is vague and does not meet the criteria for SMART outcomes because it does not specify <u>how</u> their lives are will benefit. Other indicators follow the same logic. Non-SMART indicators like these make it difficult to apply adaptive management principles and to measure the effectiveness of CFI-LA's interventions.

**Inadequate Assumptions and Risks** - The weakness of the assumptions and the risks formulated in the ProDoc will affect the effective implementation of the 3 components, and this raises the risks to the social, environmental and institutional sustainability of the project. Without robust assumptions, it is difficult to apply adaptive management principles and systematically capture lessons during the project implementation process. It is surprising that the makes no mention of these crucial TOC building blocks. The ProDoc also presents several superficial political and environmental risks that should be part of sharing information with any change of government.

**Social and Environmental Safeguards** - Although the Social and Environmental Safeguards strategy that was developed and described in the PIR 2020 is generally considered adequate with the way it addresses the COVID-19 pandemic response measures. However, there is concern about a less-conspicuous threat that goes beyond the project's control, but that may affect the activities related to the harvesting of benthic resources in the Sanctuary of Los Manglares de Tumbes and those facing Guayaquil Bay. These mangrove ecosystems are located in the lower part of the Tumbes watershed, which has historically received toxic mercury discharges from artisanal small-scale gold mining and persistent pesticides. Mercury is not only highly persistent in the planet's food webs, and not surprisingly, it affects the health of humans who consume mercury tainted food and water, as well as the well-being estuarine macrobenthic resources that are a key aspect of the CFI's interventions. While mercury represents a risk to the consumers of those and other estuarine resources, the magnitude of the problem, which could affect the sale of these resources, is not known.

**The Binational project requires better articulation** - Even though the name indicates that it is Binational, it is evident that both countries are working in their own contexts and there have been relatively few significant exchanges of experiences. A comprehensive approach must be strengthened where those common elements in both countries that promote joint action are identified. For example, binational strategy could be harmonized to address gender equity issues, as well as sharing other important lessons from CMSP, GBE and interactive governance. It is especially pertinent to coordinate efforts for the management of migratory species that move freely in the shared coastal marine space and Peru is keenly interested in learning from Ecuador's experiences related to Dorado stocks, as the species requires close coordination regarding binational management actions. One could consider an intersectoral binational planning scheme, with binational governance and agreements for both countries on relevant issues. The use of existing mechanisms (e.g., COREMAHI) or exploring new forms of binational cooperation should be examined. There is a gap with the ability of the Ocean Health Index to measure the effectiveness of CMSP and GBE, and to encourage real-time adaptive management in real time - There is no explicit link to which the OHI can inform policy makers about the effectiveness of existing policies, plans and strategies (e.g., governance, communities of practice, NAPs) for implementing EBM and CMSP on a real time basis (given that they OHIs are most likely to be calculate every 5 years) and simultaneously ensure that these approaches are targeting triple bottom line impacts. While the TRENDS function is a good start toward applying Adaptive Management Principles, how this will be achieved remains nuclear. The OHI developed for Ecuador does not measure the negative social and environmental impacts of the productive sectors (fishing, tourism, agriculture and mining) both at sea and in the upper watershed, and according to multiple interviews, it significantly underestimates the extent and severity of poverty in coastal communities. One of the weaknesses in the two indicators for Goal 7 (Subsistence and Economy) related to increased salaries and contribution of artisanal fisheries to the GDP, is that they ignore labor, fishing rights and other non-quantifiable elements related to improved well-being of the artisanal fishing subsector. The focus on GDP says nothing about the benefits returned to fishing communities. While the Goal related to artisanal fisheries is excellent in addressing human/property rights the indicators could benefit from making them more explicit (i.e., SMART).

Weak strategy to mainstream the issue of gender equity within the project activities -The gender approach has been weak until mid-term, despite the fact that women play an extremely important role, both in the marketing of the products and the processing seafood, as in family safeguards. The gender approach remains outside the governance platform and is not connected to a monitoring and evaluation platform (as an explicit SMART indicator, rather than generalities such as the number of women trained, etc.) of effectiveness (measured by SMART outcomes) of interventions (management tools).

Most "Blue Growth Initiatives", especially intermediaries and industrial fishers, involve artisanal fishers as "stakeholders" and not as holders of fishing rights. On the contrary, artisanal fishermen movements have denounced such privatization policies as "ocean grabbing", emphasizing that in addition to violating their rights to the marine space, they violate their human rights to receive fair payment for their work. This has adverse social and environmental outcomes, especially during closed seasons when intermediaries take advantage of an acute economic crisis due to lack of income.

**The lack of a real-time M&E and Learning platform** - despite the positive of the OHI, its focus on five-year data makes it difficult to apply the principles of adaptive management to make corrective decisions, the systematic capture of the lessons of the learning and the extent to which GBE, CMSP and governance are effective in leading the CFI to the expected impacts (the triple desired outcome line). For this reason, an institution is required that maintains a constant monitoring and evaluation platform, feeding the database with continuous data that

is in line with the requirements to carry out annual, biannual OHI evaluations. The Governance System for the Dorado Fishery and A Monitoring and Evaluation System (M&E) escapes mentioning adaptive management. Although it recognizes the importance of an M&E system of results and the importance of transparency in the information of the system collected by all sectors, it does not present indicators of SMART outcomes and its focus is only focused on the state of the fishery in question, but There are no explicit indicators to measure the key elements of the social and ecosystem dimension, nor the impacts of this fishery. Nor does it stipulate the institution responsible for maintaining the M&S system. This finding represents a lesson learned for the development of future fishing plans.

An Exit Strategy is Lacking not only to respond to the recommendations of this evaluation, but also to address actions set forth in the PIRs for guaranteeing overall sustainability of the project once it has ended.

#### 6.2 Recommendations

#### A. ISSUES REQUIRING IMMEDIATE ATTENTION

**R1: Request a 12-month extension** -Based on the delays in the start-up in combination with the restrictions caused by COVID-19, the PMU must request the UNDP-ROLAC as soon as possible, an extension of 12 more months to the execution of the project. Thus, the PMU must carry out a programmatic and financial analysis to define how long an extension can be sustained (in terms of time and money).

**R2: Reconstruct the Theory of Change** - Taking advantage of the extension of the project, the PMU, together with the entire CFI-LA team, should prepare this strategy, validate it with the Steering Committee and UNDP, and convene a workshop to rebuild the ToC, regarding the revision of the intervention logic in its results chain, replacing the non-SMART indicators, formulating assumptions and identifying risks with its mitigation measures. This should be led by an expert in ToC construction processes, starting its implementation as soon as possible. The table below presents some preliminary suggestions for SMART indicators that the PMU should discuss and improve (see Annex 7.3 for a comparison between these and the original indicators in the results matrix).

#### Suggested Indicator to consider

**OUTCOME 1:** Number of fisheries on a path toward triple bottom line impacts based on SMART indicators **OUTCOME 2:** Percent change in annual production and direct sales to markets with certifiably traceable origins coming from artisanal fisherfolk and form capture of benthic resources in mangroves

**OUTCOME 3.1:** Change in income of the lower quartile of artisanal fishers and women in the value chain of seafood in rural and urban coastal areas conforming to acceptable labor and equity human rights conditions (e.g., FAO, Danish Human Rights SDG tool).

**OUTCOME 3.2:** Change in the proportion of the value of seafood attributed by fishermen and women in the value chain of seafood in rural and urban coastal areas conforming to acceptable labor and equity human rights conditions (e.g, FAO, Danish Human Rights SDG tool).

**RESULT 1.1.1:** Change in the number of new or modified instruments that are being adapted based on the indicators that are measuring: i) the effectiveness of the rights to use marine spaces; ii) the performance of comanagement; iii) the performance of the equity of post-harvest benefits in the coastal fisheries of Ecuador and Peru.

**RESULT 1.1.2:** Change in the number of new or modified Instruments applied by adaptive management to adapt to the results measured by indicators of the Triple Bottom Line of Impacts of fisheries governance in the coastal fisheries of Ecuador and Peru.

**RESULT 1.2.1:** Change in the proportion of beneficiary groups with recognized training on the subject of territorial rights in the governance platforms that incorporate Property rights (Rights to Access to fisheries, Capture Rights), Co-management (Collective action, participation, social cohesion and gender) and post-harvest (markets and institutions, Infrastructure)

**RESULT 1.2.2:** Percent successful judicial claims for Rights to Access in the capture fisheries through collective action, participation and social, economic and gender equity.

**RESULT 1.2.3:** % change in infrastructure to ensure certifiable and traceable post-harvest value chains entering markets.

**RESULT 1.3:** Number and surface area (ha) of coastal and marine Protected areas with formal participatory fishery governance platforms (E.g., Kooimans *et al.* 2018).

**RESULT 2.1:** Surface (ha) area in process of coastal-marine spatial planning in each country with formally institutionalized governance platforms.

**RESULT 2.2:** Surface area of coastal-marine protected areas included in spatial planning in each country with formally institutionalized governance platforms.

**RESULT 2.3:** Number of formal artisanal fisherfolk organizations and women benefitting from adequate incentives that explicitly demonstrate sustainable and equitable value chains (harvest, new or improved management regimes, reduction of post-harvest losses, etc.)

**RESULT 3.1:** Number of regulations, laws and good practices agreed to in the governance platforms in each country that effectively apply adaptive management principles.

#### B. PRIORITY ACTIONS FOR THE SECOND PHASE OF THE CFI-LA – HARMONIZING BINATIONAL ACTIVITIES

Both countries must develop a strategy and actions to be carried out to harmonize the activities that are of common interest. The Steering Committee and UNDP should start its implementation as soon as possible.

# R3: Update the approaches and indicators related to gender in both countries to mainstream them into the CFI-LA

The PMU, together with the gender expert from Component 3, must update the project's gender analysis and strategy based on the recommendations presented herein:

- Develop a comprehensive approach to empower women, in order to mainstream them at a key level of the artisanal fisheries value chain.
- At a key level in the value chain of artisanal fisheries, the gender analysis should include three elements<sup>91</sup>: i) the regulatory framework for gender equality; ii) the current situation of women in the subsector; iii) an analysis of the needs to raise the profile of women in the subsector and the institutional capacity to mainstream the gender approach into National Fishery Action Plans.
- Create / strengthen the capacities of the CFI-LA and the partners, to incorporate the gender approach in the fisheries governance systems supported by the projects and contribute to a greater awareness of gender in the fisheries sector.

<sup>&</sup>lt;sup>91</sup> For example, international norms and/or agreements, compliance with Treaties, National plans, policies and legislation related to gender equity in the country.

- Create an enabling environment to improve the management process with a gender perspective in the fisheries supported by CFI-LA, to ensure that women have the same opportunities, in decision-making and access to resources in accordance with the legislation national and international agreements on gender equality.
- Improve the understanding of the government and civil society about the contribution of women in the fisheries that are supported by the project.
- In Peru, the community management model that is being implemented in the Los Manglares de Tumbes National Sanctuary has high potential for being shared and replicated. It should be verified both in other protected areas and in those that are not legally protected. In the case if it is effective, it should be replicated under an adaptive approach that promotes learning.
- Increase the visibility / coverage of the contributions of the CFI project to gender equality and the empowerment of women with training programs to formulate business plans, manage finances and assume leadership as entrepreneurs in this important subsector.

#### R4: Exchange practical experiences that have been achieved in each country.

- The PMU should develop a binational work strategy on those issues that are of common interest that include gender, interactive governance, ecosystem-based management, binational plans and as a whole, exchange experiences among the beneficiaries of each country, especially with women. This should begin with documenting the lessons learned from each country and to put together a toolbox for managing these resources, and exchange of experiences such as:
  - The black mussel and the mangrove crab management approach in the Tumbes Mangrove Sanctuary;
  - The collaborative research, monitoring of benthic resources involving fisherfolk and the INCABIOTEC;
  - Governance, traceability and participatory monitoring (Electronic Logs) with the pomade shrimp, dorado and pole-tuna fisheries, experiences where governance platforms have been created to include a focus on gender equity issues;
- Exchange practical experiences that each country (or other parts of the world) regarding the processes used to harmonize sectoral policies, plans and programs that affect marinecoastal spaces so that they are congruent with ecosystem-based management (e.g., the presence of a high-level intersectoral institution that can coordinate and sustain the achievements of the CFI).
- Each country should examine the feasibility of formulating a general policy that supports this initiative to ensure that the activities of the productive sectors are congruent with the CMSP, and if it is feasible, develop such a policy. Finally, the communities of practice should be supported to have better capacities to request current funds, such as PINIPA in Peru, FAMAM's Small Donations Funds, among others.

#### For both countries:

**R5: Develop a real-time M&E and Knowledge platform –** This is a high priority for addressing the shortcoming of the UNDP project performance monitoring tool recommended in

Component 3. The exiting approach cannot measure the effectiveness with SMART outcomes, nor the triple bottom line impacts for the CMSP or EBM in Component 1 and 2 interventions. While there is no universally accepted M&E platform. Said platform should be developed based on an approach that frames a causative chain of results directed towards the expected impacts (that is, following a ToC). It is worth mentioning that SERNANP (SERNANP & WCS 2017) has a relevant instrument that could be modified for this purpose. As a basic requirement, the platform must have:

- A Database and knowledge management tools that allow the tracking of georeferenced baselines over time;
- A rapid and integrated analysis of changes in pressure and state to track changes in the social, economic, physicochemical and biological-ecological dimensions of the sustainable biological diversity over time;
- The ability to measure triple bottom line outputs that clearly assess the effectiveness of management interventions and institutional arrangements in the governance platforms, as well as the outcomes of policies and management interventions;
- The ability to develop apply adaptive and ecosystem-based management principles, based on an analysis of discrete but interconnected socio-ecological systems (SES; sensu Ostrum 2009) along the geospatial continuum between the adjacent watersheds on land (the upper part of the watershed) and the slope of the continental shelf.
- A geodatabase as the primary data storage mechanism to store review and professionally reviewed geographic data sets, reports, and scientific articles consisting of feature classes, raster data, and tables that can be created and edited. The workgroup geodatabase enables the use of ESRI products as well as custom applications to store, use and manage all your GIS data in a commercial database management system such as Oracle, Microsoft SQL Server or Postgre SQL. It should allow the user to store and access data placed on the map without using a server.
- Applied research institutions on the subject M&E (e.g., GeoPerú, universities) should, be considered as a neutral party to manage the data, but in collaboration (and independent from) central and local governments and the beneficiaries.
- Develop SMART outcome indicators that measure 'better quality of life' both for the 6 organizations of the Mangrove Consortium, as well as other beneficiaries in both countries (e.g., pomada shrimp, finfish) that depend on the mangrove to complete their cycles of life. This is essential to specify what is expected for those beneficiaries in the CMSP. Furthermore, these indicators should be integrated with the OHI.

Finally, it is imperative that this platform is dynamic and able to use the principles of adaptive management to capture the systematically learned lessons, both good and bad, and socialize them to strengthen the good ones and eliminate the bad ones, as this is essential for building a toolbox that allows sustaining ecosystem management and capturing systematic lessons learned in real time. This process should be led by an intersectoral commission, such as COMUMA in Peru. In addition, that in the event that Ecuador considers that this recommendation is relevant, it should work with the same

approach and designate a high-ranking authority that can lead the process that requires the harmonization of plans, programs and policies. sectoral to be congruent with EBM.

This platform should go hand in hand with ToC consulting and change of the results framework. You should review it before launching that consultancy.

**R6:** Strengthen the Binational coordination of CFI-LA, prepare a risk analysis and a mitigation plan - Both countries should consider the preparation of a Transboundary Diagnosis, since the GEF has supported a CBD in the Amazon River basin. The opportunity of the project should be seized to generate a joint binational plan for dorado and the identification of common elements in other fisheries that may result in joint research, monitoring and control actions, as well as in the definition of harmonized fishing regulations. Another important action would be to have binational fishing regulations that could be binding through some identified legal mechanism. An analysis of the risks associated with the implementation of the second and final phase of the project should also be formulated.

**R7:** Develop the Sechura Bay OHI based on a GBE / MIZC / CMSP approach and exchange experiences - In order to compare binational approaches, it is recommended that:

- Specify the two indicators of Goal # 10 of the IdSO that measures biodiversity, since its formulation is vague, so it is formulated based on circular reasoning (Habitats measure the extension and condition of habitats that are important to support a wide range of species diversity).
- Regarding its MIIZC / CMSP Plan for Sechura Bay, a real-time M&E and knowledge platform must be developed in conjunction with its OHI. Both should be based on a dynamic framework and a theory of change, in order to drive adaptive management with a highly participatory approach, where beneficiaries play a role in the M&E process and learning. This requires SMART indicators, especially for the social dimension.
- In addition, all sectors that affect the CMSP area should provide data and a maximum authority (EX. COMUMA) should lead this process. A clear roadmap should be drawn up with well-defined times to reach agreements that lead to the final objective of this commission in an adequate period. We must remember that in our countries, there is no lack of good ideas or intentions that are not fulfilled later due to lack of budgets, continuity of personnel, complexity of coordination;
- Said platform should be located in a university, or ProPerú, with capabilities to interpret geospatial and satellite imagery and be sufficiently user friendly that it can be used at the lowest and most practical levels.
- Local authorities who know the reality have more decision-making power in the actions carried out with the project should be closely involved, thereby improving the effectiveness of the intervention.
- Adopt SMART outcome indicators, especially the indicator that measures the best quality of life of the beneficiaries.

Finally, it is the evaluator's opinion that both instruments should be developed using different approaches, as long as adaptive management is applied in order to learn from mistakes over time.

#### C. **OPERATIONAL**

**R8: Streamline the procedures for contracting services, procurement and budget execution** Since this is the current bottleneck, mechanisms must be identified to help streamline the approval and execution processes of budgets for carrying out the project activities. It is important that the PMU identify the bottlenecks that make administrative processes slow and build a mitigation mechanism, so that it can be improved in that aspect, this action is key mainly for binational financial resources. It is pertinent to review the form of approval of the products, so that it is more simplified in both countries.

**R9: Agree on single definition of the concept of ecosystem management to be applied** -The PMU team should identify <u>which</u> the concept of ecosystem-based management (EBFM<sup>92</sup> or EBM) is going to be used for CIF-LA and define it clearly as to ensure the use of a <u>single concept</u> <u>of management based on ecosystems</u> within the framework of the project, since it is the added value that the consultant gives. The RMT states that the EBM is the ideal concept to apply in the CMSP, since it has a more comprehensive approach than the EBFM, which is focused solely on the fisheries sector.

**Rio: Continue experimenting with incentives that can speed up the formalization of artisanal fishers** - Delays with the formalization of the artisanal subsector is an impediment to institutionalizing governance platforms, the CMSP or other key elements, such as the certification of small products and access to credit, among others. It is essential to retake the initiative of the regional government of Sechura to find a way to regularize artisanal fishermen to work formally and it is a high priority to overcome this barrier, just as it should be prioritized for other fisheries.

#### E. FOR THE UNDP-GEF IN FUTURE PROJECTS

**R11:** Better use of the Inception Phase to resolve gaps and uncertainties of the projects – The Inception Phase and the Mid Term review are the project's opportunities for adjusting the indicators, results framework and the intervention logic and it can save time and money if errors and shortcomings are corrected early in the project. It is essential that the STAP (Scientific and Technical Advisory Panel) Report is shared with all key stakeholders during the inception phase, as well as its recommendations. None of the UNDP or PMU personnel had

<sup>&</sup>lt;sup>92</sup> Ecosystem based fishery management versus Ecosystem based management. They are two different approaches/concepts.

read the document and this is a common occurrence that the evaluator has noted in most other evaluations<sup>93</sup>.

**R12:** *Review the processes that result in weakly formulated projects* – In a concerted fashion together with their donors, should urgently review the mechanisms and processes, particularly the weaknesses in the intervention logic, the lack of SMART consequence / impact indicators, and also apply the lessons learned from future projects, since it has been noted that they lack an approach oriented towards measurable consequences. It is often understood that the donor has requirements that must be met to request funds, but a project that is product-oriented, instead of adopting an approach based on a causal chain of results measured by SMART consequence indicators and robust assumptions, prevents the application of adaptive management, as stipulated in the Convention on Biological Diversity. Failure to do so is likely to result in additional costs to correct the mistakes if the issues are identified a mid-term.

#### F. SOCIAL AND ENVIRONMENTAL SAFEGUARDS

**R13:** Conduct a survey of the concentrations of persistent pollutants in the water, sediments and shell and crabs of the Tumbes Mangrove Sanctuary - Despite the fact that the Puyango-Tumbes basin has historically received continuous discharges of mercury from mining small-scale artisanal industry, there are no data available on the existing mercury levels in the benthic macrofauna being harvested by fisherfolk within the Tumbes Mangrove Sanctuary. Due to the high toxicity of this metal and its propensity to bioaccumulate and bio-magnify in aquatic fauna (e.g., black mussel, crab), the PMU must coordinate with the appropriate authorities for that institution to determine the baseline mercury concentrations in black shell and red crab. Based on these results, the government should act accordingly. If no dangerous levels are found, then certifications on coliform-free resources sold in markets should be conducted by INCABIOTED in Peru. However, if unsafe mercury levels are found, it is imperative that authorities adopt measures that protect the health of civil society.

**R14: The CFI should pay more attention to fishing, labor and human rights, particularly those indicated in the one-dimensional indicators of the IdSo,** with emphasis on indicators of Goal 07 (increase in wages and contribution to GDP) and the effectiveness indicators of the PEMC; replacing the indicator to GDP by metrics that encompass the three dimensions of sustainable development<sup>94</sup>, include indicators that aggregate working conditions, as mentioned in the FAO voluntary guidelines for the sustainability of small-scale fisheries<sup>95</sup> and formulate SMART outcome indicators that specify the meaning of family well-being means. Any violation of labor and human rights standards (e.g., health, food and nutrition, housing, access to safe drinking water and adequate sanitation, safe and healthy working conditions, and a healthy

94 UN-ESCAP (2017)

<sup>&</sup>lt;sup>93</sup> Disclaimer: This sentence was added in the English version, as it is extremely important to highlight. It did not appear the Spanish version.

<sup>95 &</sup>lt;u>FAO (2017)</u>

environment) must be documented and addressed in the governance platform, with multiple stakeholders. Good practices, tools and guidance to identify, address and monitor the human rights implications and impacts of the fishing sectors should be developed, disseminated and discussed by key actors in the fields of sustainable development, responsible companies and rights. humans on a global scale. One of the weaknesses of Goal 7 (*Subsistence and Economy*) is that it is based on 2 aggregate indicators (e.g., wages and contribution to GDP), which ignore other key elements to address the violation of human rights in processing plants and the imperative need to alleviate poverty. The narrow focus on economic income (*indicator for the coastal livelihoods sub-goal*) without taking into account labor conditions (for example, conditions in processing plants in Ecuador) omits the issues related to labor and human rights stipulated in the Global Compact for the UN and knowledge products related to the issue of human rights in the fishing sector<sup>96</sup>.

**R15: Prepare an Exit Strategy**<sup>97</sup> which includes the responses to the recommendations by the MTR evaluation, as well as the actions stated in the latest PIR.

#### 6.3 Lessons learned.

The following lessons were captured by the MTR:

L1: A weak formulation of the Theory of Change would affect the efficiency, effectiveness and sustainability of the path towards the objectives of a project.

**L2:** The impact of lessons learned and good practices in a binational project is diminished if the results and exchanges of experiences associated with the implementation of a project such as the CFI are not shared.

**L3:** The absence of an M&E and learning platform that applies adaptive management to measure the effectiveness of interventions in real time, can result in a high risk to the institutional, social and environmental sustainability of a project based on the ecosystem approach.

L4: Imprecise indicators, such as "number of people who benefit from the project" or aggregate indicators of the OHI (salary, or contribution to GDP) do not consider the principles of human or labor rights, as stipulated by the UN Global Compact and the FAO Guidelines for Small-scale Fisheries. Global experience indicates that the absence of SMART indicators and the failure to specify indicators of explicit outcomes that quantify the benefits that users enjoy of ecosystem services has been a major weakness in the sustainability of the CMSP.

**L5:** The lack of clarity of the term ecosystem management is a serious weakness in developing CMSP, and this represents a risk to the overall sustainability of the CFI investment.

 $<sup>^{96}\</sup> ttps://www.humanrights.dk/sites/humanrights.dk/files/media/dokumenter/udgivelser/enhancing_accountability_for_small-starter/accountability_for_small-starter/accountability_for_small-starter/accountability_for_small-starter/accountability_for_small-starter/accountability_for_small-starter/accountability_for_small-starter/accountability_for_small-starter/accounta$ 

scale\_fishers\_.pdf; and http://toobigtoignore.net/opportunity/join-us-for-world-ocean-day-2020/).

<sup>&</sup>lt;sup>97</sup> See the following link for the content of said exit strategy. <u>https://iwlearn.net/manuals/project-management-manual/project-check-list/project-closure</u>

#### FINAL MTR FOR THE CFI LATIN AMERICA

**L6:** Both social and economic incentives are key elements to attract artisanal fishermen and key women in the value chain of the subsector to participate in a governance platform, since they have to see a concrete benefit for their participation from the start. However, the participation and mainstreaming of women's empowerment in value chains is key to building a critical mass of constituents that can drive the changes needed to improve the well-being of the actors involved in artisanal fisheries.

**L7:** Any project adopting integrated management of marine-coastal ecosystems, especially the CMSP, that does not incorporate the influence of hydrographic basins within its conceptual and operational framework runs a risk that external threats (e.g., sewerage, agrochemicals and others persistent and toxic chemicals) may result in a failure of the initiative.

**L8:** Any CMSP that does not incorporate strategies to address the potential impacts caused by both persistent pollutants coming from the upper basins puts at risk the social, ecosystemic and economic sustainability of coastal ecosystems, since these can affect human health and hygienic status of seafood to sell in the markets.

L9: Reactivating or strengthening associations already established and recognized by the state, and the creation of small funds to add value to activities in fishing communities is a good strategy to improve governance in fisheries. Good examples include the grant agreements signed with the *Consorcio Los Manglares del Noroeste del Perú*, and in the case of Ecuador, the Coalition of *Cangrejeros del Golfo de Guayaquil* has been reactivated for the participatory monitoring of the red crab resource. Funds such as the Small Grants of the GEF and PINIPA in Peru can play an important role in strengthening the actions that are being carried out during the course of these projects, and it is a powerful incentive for building constituencies of stakeholders to implement projects like the CFI.

MTR Rating (R) Table	MTR Rating (R) Table				
Criterion	R:	Comments			
Strategy and Relevance					
Design	NA	The project is built on a weak Theory of Change.			
Results framework and		Most of the indicators are not SMART, robust assumptions, risks			
logical framework		and mitigation measures are lacking and this prevents the			
		application of adaptive and ecosystem management principles			
Progress towards achievi	ng the	e results and objectives98			
General advances toward	4	Despite the delays at the start, the project is on track to achieve			
the results		its expected results, but there are concerns that only four (4) of			
		the 11 indicators measure SMART objectives.			
Achievements in route to	3	Due to weaknesses in the results framework and design, the			
the objectives		project, coupled with delays with field work due to COVID-19, is			
		far from achieving its goal.			
Component 1	4	Good progress with the governance platform and communities			
		of practice, but more tangible incentives to sustain and replicate			
		good practices are lacking.			
Component 2	4	It is the one with the greatest progress and is almost finishing at			
		the CMSP in Sechura. However, there are risks to the			
		sustainability of the component, due to the lack of indicators and			
		the application of adaptive management in real time.			
Component 3	3	Although excellent results have been achieved, most of these are			
		Products, rather than SMART Outcomes. However, there are			
		three weaknesses associated with the design of the Component's			
		monitoring and evaluation (M&E) system: i) it does not have the			
		capacity to report whether the project is complying with the ToC			
		presented in the ProDoc; ii) the ToC is inadequately formulated,			
		which impedes any effort to measure results consistently; and iii)			
		the M&E system only provides information on the performance			
		of activities and products, but does not have the ability to			
		time and also apply adaptive management to capture the lessons			
		learned systematically			
Project Execution and applicat	ion of a	idantive Management			
Management mechanisms	3	The weakness of the ToC is a barrier to the application of adaptive			
	,	management principles. There are delays, but there are positive			
		signs that these are being overcome, especially the proximity that			
		the project now has with the intervention areas.			
Work planning	6	Highly Satisfactory			
Financing and cofinancing	5	Satisfactory			
Monitoring and	6	Offers an excellent model for replicating			
evaluation at the Project					
level					
Involvement of	6	Excellent			
stakeholders					
Information	5	Good			
Communication	5	Good			
Sustainability <sup>99</sup>					
Financial risks to the	3	Experience indicates that there are doubts about the political will			
project's sustainability		to continue investing in these projects. However, revolving funds,			
-		such as PINIPA in Peru and other initiatives, are measures to			
		mitigate this risk, as long as there are sources of financing for the			
		projects that continually promote incentives for good practices.			

Social and political risks to the project's sustainability	3	It is one of the greatest weaknesses, until a policy for marine- coastal spaces is institutionalized in Ecuador that ensures that sector plans, policies and programs that affect the environment are consistent with management based on ecosystems and their environmental services. Additionally, this requires a high-level governing authority that can ensure compliance. In return, COMUMA of Peru offers a promising model to ensure that sector plans, policies and programs are consistent with the objectives of the CFI-AL project.
Institutional and governance risks to the	4	Same as above
Environmental risks to the		Same as above
project's sustainability	4	

 <sup>&</sup>lt;sup>98</sup> Criteria: 6- highly satisfactory; 1st unsatisfactory
 <sup>99</sup> Scores: 4= high risks; 1= low risk

# ANNEXES

### **ANNEX 1: Terms of Reference**

PNUD/IC-210/2020- REVISIÓN DE MEDIO TÉRMINO DEL PROYECTO INICIATIVA DE PESQUERÍAS COSTERAS - AMÉRICA LATINA

Please see the CFI MTR Report in Spanish

# ANNEX 2: Evaluation Matrix for the MTR: Criteria, Evaluation Questions Judgment Criteria and Methodology

2.1 Evaluation Criteria, evaluation questions, indicators and data/information sources

Evaluation Criteria	Evaluation Questions (EQ)	Judgment Criteria	Indicators	Evidence
Strategy and Project Design	EQ 1: To what extent the project strategy is relevant to country priorities, country ownership, and the best route to expected results?	CJ 1.1 The links between the general objective, the specific objective, the results and the logical activities CJ 1.2 The project design is consistent with a Theory of Change pathway towards development goals, including assumptions and mitigated risks, and objectively verifiable SMART indicators were used CJ 1.3 The action is consistent with the objectives of the policy instrument and cross-cutting issues (e.g. gender, IP, CC) CJ 1.4 The project has gone beyond a strict focus on MBD and included other dimensions of ecosystem services and sustainable development (environmental, economic and social) CJ 1.5 The project is designed in a way that is intrinsically participatory and inclusive, insofar as it creates a sense of ownership of decisions and actions that goes far beyond the managers of the MPAs CJ 1.6: All actions contribute to the most urgent needs to address international waters, the resilience of ecosystem services and losses in fisheries in both countries. CJ 1.7 There are logical links between the expected outcomes and the project design (measurable changes with SMART indicators). CJ 1.8 The project design is coherent, it formulated a series of risks that the project faces and the assumptions adequately and thus it is the most direct route to achieve the expected results of the project. CJ 1.9 The system for monitoring and evaluating the results (consequences) was adequately designed and easily applied to contribute to the adaptive management process.	<ul> <li>I 1.1 The existing design is the most effective and efficient path to the overall goal</li> <li>I 1.2.1 The project used SMART outcome indicators and strong assumptions and appropriately identified / mitigated risks.</li> <li>I 1.3.1 # Initiatives that integrate gender performance indicators</li> <li>I 1.3.2 # Initiatives that integrate human rights in the artisanal fishing subsector and the rights of indigenous peoples are affected</li> <li>I 1.3.3 # Initiatives that integrate climate change in MPAs</li> <li>I.1.4 initiatives with a multidimensional approach</li> <li>I.1.5 # of initiatives that involved beneficiaries of the lowest practical levels</li> <li>I.1.6 There is at least one example in each country that shows positive signals in addressing the loss of transboundary ecosystem services and losses in fisheries in both countries.</li> <li>I.1.7 Both the assumptions linked to the products and the expected consequences, as well as the risks were adequately formulated</li> <li>I.1.8 Products have been integrated into the results chain that are measurable and will effectively contribute to achieving the development objective.</li> <li>I.1.9 Both the PIRs and the Ocean Health index contribute to the systematic application of adaptive management.</li> </ul>	See Annexes
Progress toward expected results	EQ2a: To what extent have the expected results and objectives of the project been achieved so far?	CJ 2.1a The general quality of application and execution. Has it been adequate?	I 2.1 There are measurable signs that at least one fisheries pilot project has been effective in achieving its strategic objectives	See Annexes

Evaluation Criteria	Evaluation Questions (EQ)	Judgment Criteria	Indicators	Evidence
	EQ2b: To what extent have the project activities, outputs and results contributed to the project objectives?	JC 2.1b: The effects observed to date are directly related to the interventions JC 2.2b: Factors influencing observed achievements are related to GEF support JC 2.3c: MPA actions in coastal-marine ecosystems are linked to the harmonization of country policies JC 2.4a: Counterparts and beneficiaries, especially high- level policy makers on both shores of the eastern Pacific, have been willing to collaborate on environmental policy in both countries. JC 2.5b: The action contributed significantly to increasing the role of the GEF in broader cross-border cooperation JC 2.6a: Emerging results are being used in MPA-related management, governance and dialogue processes in both countries JC 2.7a: The planning and implementation of the Action's activities have included relevant stakeholders, especially the beneficiaries of the interventions. JC 2.8a: The project methodology contributed to the effectiveness of the Action JC 2.10a The project's M&E system (for example, the IdSO), the measurement of SMART results to make better decisions and improve public policies) has been effectively operationalized.	<ul> <li>I 2.1b Cause and effect linkages for all Binational activities</li> <li>I 2.2b Linkage of cause and effect for all Binational actions directly linked to GEF aid</li> <li>I 2.3c At least 5 actions of fisheries and CMPA are linked to the harmonization of policies of both countries</li> <li>I 2.4a Counterparts and beneficiaries, especially high-level policy makers for at least 10 CMPA on both shores of the eastern Pacific, have demonstrably committed to environmental and fisheries policy in both countries.</li> <li>I 2.5b: The action contributed significantly to increasing the role of GEF and broader cooperation</li> <li>I 2.6a The results of the project have been applied in at least 2 fisheries and CMPA in each country</li> <li>I 2.7a Planning and implementation has been carried out to the lowest level of practical beneficiaries in at least 2 fisheries and CMPA in each country</li> <li>I 2.8a There is a direct link between the methodological approach of the project in at least 2 fisheries and CMPA in each country</li> <li>I.2.9a The institutional arrangements of the Action in at least 2 fisheries and CMPA in each country</li> <li>I.2.10a The project's M&amp;E system is being used in at least 2 project-supported interventions to make better decisions.</li> </ul>	
3. Project Implementation / application of Adaptive Management	EQ 3a: Has the project been implemented efficiently, profitably and has it been able to systematically adapt to the changing conditions up to this point?	JC 3.1: The costs associated with the intervention are proportional to the benefits it has generated JC 3.2: The administrative and governance processes linked to the intervention influenced the efficiency with which the observed achievements were achieved. JC 3.3: The costs of the intervention borne by different stakeholder groups were in proportion to the GEF investment taking into account the distribution of associated benefits	I 3.1: The costs associated with the twinning projects are proportional to the benefits generated in all the twinning projects 1 3.2 The administrative and governance processes in at least one of the project interventions efficiently in each country I 3.3 Each twinning participant provided a proportional in-kind cost I 3.4 All the processes and interventions have applied the adaptive management approach	See Annexes

Evaluation Criteria	Evaluation Questions (EQ)	Judgment Criteria	Indicators	Evidence
		CJ 3.4 There is evidence that the adaptive approach has been used to adjust the project to the realities on the ground and lessons learned have been captured in the implementation process, effectively achieving the main objective. CJ 3.5 Each outcome (consequences) was actually achieved. CJ 3.6 The institutional arrangements for management have used the principle of subsidiarity effectively to drive the project towards the expected results. CJ 3.7 Funding and co-financing were used effectively to achieve the objectives	systematically to overcome the barriers found and lessons learned from said process have been captured to achieve the expected products and consequences I 3.5 All results demonstrate a SMART consequence I 3.6 All projects integrate the principle of subsidiarity and the principles of adaptive management I 3.7 All co-financiers contributed what was indicated in the PIF.	
	EQ3b: Has the project been implemented efficiently, profitably and has it been able to systematically adapt to the changing conditions up to this point?	JC 3.1b Entry Design and Execution of the M&E plan has been adequate JC 3.2b: The intervention process for reporting and follow-up was timely and efficient JC 3.3b The project has developed formulas so that you can expand the benefits achieved and correct the errors	<ul> <li>I 3.1b The IRP, ISO or other tools demonstrate the key links in the project results chain-</li> <li>I 3.2b reporting and follow-up were timely and efficient for all Binational projects.</li> <li>I 3.3b Checking the validity of assumptions and risk mitigation measures contribute to systematic adaptive management</li> </ul>	See Annexes
Sustainability	EQ4: To what extent are there financial, institutional, socio-economic and / or environmental risks to maintaining project results in the long term?	JC 4.1 There are incipient signs that the project is on track to be environmentally sustainable JC 4.2 There are incipient signs that the project is on track to be institutionally sustainable JC 4.3 There are incipient signs that the project is on the way to being socially sustainable JC 4.4 There are incipient signs that the project is on track to be financially sustainable	<ul> <li>I 4.1 Incipient signs of institutional sustainability in at least one fishery in each country</li> <li>I 4.2 Signs that the management of the resources prioritized by the project has been decentralized within an inclusive governance framework.</li> <li>I 4.3a Signs that the IdSO social index has improved</li> <li>1.4.3b Signs that the gender approach has been mainstreamed in the governance platform</li> <li>1.4.3c Signs that there is a critical mass of congressmen to sustain the project's achievements.</li> <li>I 4.4 Signs that governments have the human and financial resources to strengthen the application of the voluntary guidelines for artisanal fishing</li> </ul>	
Impact	EQ 5: ¿ Are there any preliminary signs of potential impact of the implemented activities?	JC 5.1 To be formulated after consultations		

Evaluation Criteria	Evaluation Questions (EQ)	Judgment Criteria	Indicators	Evidence
Other	EQ 6: Were there any unforeseen results that could compromise future interventions?	JC 6.1 To be formulated after consultations		

#### 2.2 Methodology

The Methodology for the MTR is based on the following aspects:

#### **MTR Criteria**

In accordance with the TOR's guidelines, the Evaluation was framed to provide an objective analysis of the design, the implementation process and the project's achievements using the following criteria:

- **Project Strategy** We are pleased to observe that the ToR emphasize an analysis of the key elements such as design, the logical framework and SMART indicators, among others, which are rooted in the Strategy. In addition, an analysis of Relevance was proposed for the OP's consideration, which includes the extent to which the project's objectives and design coincide with the: i) Demand-driven Relevance, that is, does it connect with the governments' strategies for sustainable development and adaptation to climate change, the needs and priorities of beneficiaries or other stakeholders; ii) Vertical relevance, namely, is the project consistent with the principle of subsidiarity; and iii) Relevance of the supply, that is, does the project satisfy the international consensus and is it meeting the government and the GEF's objectives?
- **Progress in achieving the results of the interventions,** including the extent to which the objectives have been achieved and the expected results have been achieved with a positive effect on institutional development. results obtained compared to the goals for the end of the project
- **Project execution and adaptive management** examines the seven criteria to assess the effectiveness of the use of the investment or the extent to which the products and / or the desired effects were achieved with the most efficient use of available resources. It also includes resource mobilization and financial management;
- **Sustainability** examines the extent to which environmental, social, and institutional benefits will continue after GEF funding support ends.

#### Theory of Change

The causal mechanism, often referred to as a theory of change (TOK) or impact pathway, maps how a project or intervention is expected to lead to the intended results. The evidence used includes both quantitative and qualitative data. Also validating the ToC reduces uncertainty about the contribution of a CFI intervention to the observed results.

Despite the fact that the Project was designed based on the Global CFI Theory of Change (presented in Figure 1 of the ProDoc), the evaluator will reconstruct the intervention logic, analyze the ToC for its reliability and inclusiveness, since said systematic analysis, will allow reviewing the progress of the project in the medium term, in terms of its effectiveness in holistic management based on ecosystem management (of coastal fisheries) of the Southeast Pacific. Furthermore, the extent to which the assumptions remain relevant and contribute to the systematic application of adaptive management principles will be discussed. Likewise, so that this helps in structuring the key questions of the evaluation and an analysis to assess whether the risk mitigation measures have been adequately addressed, including the SESP strategies, gender, and if there is a need to update them. For this reason, further work should be done to understand the extent to which:

- The strategy, design and logic of the Project, the complementary instruments lead the project on the most efficient and effective path towards the results framed by the Results Framework;

- The progress that the Project has achieved in relation to its objectives and results stipulated in the Project (PRODOC), the indications of incipient achievements, the difficulties / impossibility of achieving the project goals and the unforeseen consequences;

- The Project carried out adaptive management in a systematic way;

- The extent to which the assumptions and risks are appropriate for the ToC and for applying adaptive management.

#### Review and Analysis of the available documentation

The review and analysis of the existing documentation, which was already analyzed during the initial phase, helped lay the groundwork for identifying causal links along a path towards project objectives. This helped to assess project activities and achievements, expected and unforeseen results for beneficiaries and service providers, cost and sources of funds, successes and failures, and the extent to which the project consistently applied the results. adaptive management principles. The documentation review also served to identify the interviewees.

#### **Data Collection/Interviews**

Typically, there are two types of data - primary data (collected from interviews, field visits, direct observations) and secondary data (extracted from existing documents). Because the COVID-19 pandemic made field visits impossible, primary data was collected in interviews with key stakeholders, meetings, telephone consultations (Zoom, Skype, etc.) at the local, national (Peru and Ecuador) level, while that secondary data was analyzed through reports, plans, budgets, evaluation reports or other relevant sources. However, due to the time constraints specified in the ToR, the consultant was limited in the possibility of deepening the collection of primary data with the group of beneficiaries, by the technical team of the project and in direct observations in the field with subgroup of the universe of fishermen who belong to the Consocio de Manglares de Tumbes. It should be mentioned that although contacts with artisanal fishermen in Ecuador had been requested through CI and WWF, this was never achieved. The evaluator sent invitations to various guild leaders, but they never responded. Also, the GEF focal points were interviewed, and the 19 and 18 actors from Peru and Ecuador respectively, whose names and institutions appear in ANNEX 6 List of People Interviewed. Also, due to the diversity of the project's actors and beneficiaries, a questionnaire / guide was developed for each thematic group, one week before the interview.

In addition, the consultant held at least three virtual presentation meetings with the key stakeholders in each country: i) one at the beginning, to present the evaluation methodology and work plan; ii) another at the end of the interviews with the main actors, to present the initial findings and conclusions; iii) another at the end of the evaluation, for the presentation of the results.

Finally, precautions were taken to avoid biases such as confirmation bias (only looking for information that is consistent with the logic of the intervention), self-censorship (reluctance of the interviewee to answer the questions freely), empathy bias, bias in the selection of the sampling unit and distorted information (because the person interviewed has personal interests in the Project).

All the information generated during the course of the consultancy was stored in a program such as NVIVO, which has the ability to save photos, recordings of interviews and documents.

#### Limitations of the MTR

The complexity and effort associated with evaluating a binational GEF project is uneven compared to an evaluation of a national project, especially when the number of days to run both types of evaluation are equal, to cover a wide range of visits to the field, interviewing various government actors, NGOs and the beneficiaries and triangulating all the information available in the same period of time. In addition, the guarantines imposed by the COVID pandemic have limited the possibility of visiting all the projects and interviewing the more than 150 actors, beneficiaries and NGOs in their own land, representing a formidable challenge for any evaluator, since it imposes certain limitations on the access to relevant information for such an assessment, in this context this is a good example of these complexities. Furthermore, it regrets that it was not able to interview all the actors that appeared on the list of more than 150 people, and that represents a weakness of this evaluation. However, the evaluator is confident that the information captured in this evaluation is sufficient to generate robust findings, lessons, and recommendations for the CFI implementers and implementers. The biggest limitation was the impossibility of interviewing artisanal fishermen in Ecuador... The time designated for this evaluation was not adequate to interview more than 100 people. Although the support for the PMU in getting interviews with the fishermen in Peru, there was a big gap with the interviews with them in Ecuador. In the future, the PMU of binational projects should ensure that the actors to be interviewed are available, since the follow-up requires an enormous investment of time for the evaluator in cases where the actors to be interviewed did not respond.

# ANNEX 3: Model Questionnaire Guide for the Interviews

Interview@:	(Country)
Date:	
Background:	<ul> <li>Your role in the project</li> <li>Component in which you participate</li> <li>How many people benefit from the activities you participate in? Where?</li> <li>Profession, thematic specialty and history with the Project?</li> </ul>
Questions:	<ol> <li>In general terms, what is your perception of the progress of the project in terms of efficiency, the effects of the Project? Tangible results? Weaknesses?</li> <li>What were your expectations of the Project in the first year? Did the Project meet your expectations? And now?</li> <li>Do you know the Project document? The Theory of Change that was the basis of the Project?</li> <li>To what extent has the Project:         <ul> <li>a) Shared information and knowledge horizontally (at the central level)? Transversely? Has it been effective and efficient? Have you filled the gaps in capacity and knowledge at both the central and local levels (eg beneficiaries)?</li> <li>b) Improved the capacity of beneficiaries in your country? In social, environmental and / economic terms?</li> <li>c) Influenced by sustainable fisheries policy in your country?</li> <li>d) Captured good practices, lessons learned, and applied adaptive management principles? Examples?</li> <li>e) Do you think the Project indicators are still valid? If not, how do you think they can be adjusted?</li> <li>f) Has the Project been a cost-effective model?</li> <li>g) What are the main factors that have contributed or restricted the success of the Project to achieve its goals and objectives? What are the strengths and weaknesses of the Project to achieve its goals and objectives? What are the strengths and weaknesses of the Project's monitoring and evaluation system? The Ocean Health Index?</li> <li>i) What are the unexpected results in your opinion? Please explain.</li> <li>j) On a 1-5 scale, how do you value the project's performance, efficiency, effects and the possibility of sustaining the investments of the GEF and the cofinanciers?</li> </ul> </li> </ol>

#### Questionnaire for Fishermen or Other Beneficiaries x2 Countries

Interview@:	(Country)							
Date:								
Background:	<ul> <li>Your role in the project</li> <li>Component in which you participate</li> <li>How many people benefit from the activities you participate in? Where?</li> <li>Profession, and history with the Project?</li> <li>Name of the community and town where you live?</li> </ul>							
Questions:	a) What are the major challenges that you fase with your work?							
	<ul> <li>a) Do you think the Project indicators are still valid? If not, how do you think they can be adjusted?</li> <li>b) Has the Project been a cost-effective model?</li> <li>c) What are the main factors that have contributed or restricted the success of the Project in meeting the results and objectives? How should they be increased / addressed in the time remaining to finish the Project?</li> <li>d) To what extent have the governance / governance arrangements been adequate and appropriate for the Project to achieve its goals and objectives? What are the strengths and weaknesses of the Project's monitoring and evaluation system? The Ocean Health Index?</li> <li>e) What are the unexpected results in your opinion? Please explain.</li> <li>f) On a 1-5 scale, how do you value the project's performance, efficiency, effects and the possibility of sustaining the investments of the GEF and the cofinanciers?</li> </ul>							

#### **Questionnaire for Women Beneficiaries for both Countries**

Interview@:	(Country)					
Date:						
Background:	<ul> <li>Your role in the project and how many years have you dedicated to this initiative?</li> <li>Activity financed by the project in which you participate</li> <li>How many people or families in the community benefit and participate in the activities generated through the project?</li> <li>Situation of gender equity before the project?</li> <li>Name of the community and town where you live?</li> </ul>					
Questions:	a) What are the major challenges that you fase with your work?					
	<ul> <li>b) What were your expectations of the Project in the first year? Do you think that after three (3) years of Project execution these expectations are being reached?</li> <li>c) Is there capacity to mainstream gender in project-supported fisheries governance systems and contribute to greater gender awareness in the fisheries sector?</li> <li>d) There is an enabling environment to improve the gender-responsive management process in the fisheries supported by the Project to ensure that women and men have equal opportunities for decision-making and access to resources in accordance with the national legislation and international agreements on gender equality?</li> <li>e) is there an understanding of the government and civil society today about the contributions of women to the fisheries that are supported by the project?</li> </ul>					

f)	Do you think there is sufficient visibility / coverage of the project's contributions to gender equality and the empowerment of women in the two countries?
g)	Have the families' living conditions improved since the project started? These improvements have to do with the project?
h)	To what extent has the Project:
i)	Shared information and knowledge with you and your partners? Has the communication and exchanges of experiences been good?
j)	Improved your capacity and knowledge about sustainable fishing?
k)	Improved your family, social, economic and environmental well-being?
I)	Influenced by sustainable fisheries policy in your country?
m)	Captured good practices, lessons learned, and applied adaptive management principles? Examples?
n)	What are the main factors that have contributed or restricted the success of the Project in meeting the results and objectives? How should they be increased / addressed in the time remaining to finish the Project?
o)	To what extent have the local governance arrangements been adequate and appropriate for the Project to achieve its goals and objectives? What are the strengths and weaknesses of the Project's monitoring and evaluation system? The Ocean Health Index?
p)	What are the unexpected results (good and bad) in your opinion? Please explain.
q)	On a 1-5 scale, how do you assess the performance of the project?
r)	How could you improve the project during its last stage? Is there enough time to accomplish that?

Indicator	Baseline	Final Target	PIR 2020 Level	Level at the MTR	Cumulative Progress		Justification of Rating
Objection							
Objective	_	-			To data Facadan baa		While the same DID stated that there are supported and that
fisheries with new or	0	7	No progress against	No progress against target	To date, Ecuador has	MS	while the 2020 PIR stated that there are expectations that
improved management			however important	progress at the level of results	modified fishing regime		one of the seven goals has been met in the medium term. The
regimes (eg hetter			progress at the level	indicators	through the approval of		main reason for this moderately satisfactory rating is that the
governance.			of results indicators	indicators	the approved National		COVID pandemic has considerably delayed much of the work
management. secure					Action Plan (Ministry of		with fishermen. While the 2020 PIR states that much is
tenure or access rights					Production, Foreign Trade,		expected, the RMT examines only what has been achieved to
regimes).					Investments), a		date. It is considered that by adjusting this indicator to a
0 ,					management instrument		SMART consequence, you can reach your expected goal.
					for the dorado fishery;		
					Peru = o		
Indicator 2: Percentage	Mussels	Mussels	No progress in	Mussels	To date, Ecuador has	MS	While the 2020 RIP stated that there are expectations that
of fish landings included	ECU &	ECU 40%	relation to the	Ecuador& Perú= o%	covered a fisheries		more people will benefit from strengthened livelihoods, only
in new or improved	PER= 0	PER 100%	Target Indicators;	Mangrove Crab	management regime for		one of the seven goals has been met in the medium term. The
management regimes.	Mangrove	Mangrove Crab	however, important	Ecuador& Perú= 0%	dorado; Perú = o;		main reason for this moderately satisfactory rating is that the
	Crab	ECU 100%	advances at the	Dorado ECU 100%			COVID pandemic has considerably delayed much of the work
	ECU &	PER 100%	level of Results	Pomada			with fishermen. PERU: 100% of the landings covered by new
	PER= 0	Dorado=ECU	Indicators	ECU 0%			management instruments for the 2 fisheries (Mussels and
	Dorado= 0	100%		Pole caught Tuna			Mangrove Crab) may be reported by Semester # 2 2021 The
	Pomada=0	Pomada=100%		ECU 0%.			plans are already being implemented through agreements
	Pole	Pole caught					Signed with 5 fishing organizations of the Sanctuary Nacional
		Tulla= 100%					Los Mangiales de Tumbes. Management regimes in process.
	Tulla – 0						and the Peruvian Mangrove (rab in the National Sanctuary
							Protected Natural Area through 5 management agreements
							signed with organizations of fishermen, and there is still no
							plan or Regional Ordinance of Tumbes.
							ECUADOR: 100% of dorado landings are covered with
							established management regimes and it is expected that 100%
							of landings are covered with management regimes established
							in the official national action plans for 3 fisheries for Semester
							# 2 of 2020 It is expected that 100% of the ointment shrimp
							landings will be within a management regime by 2021 through
							the official National Law. It is considered that by adjusting this
							indicator to a SMART consequence, you can reach your
							expected goal.

# ANNEX 4: Results framework and Ratings
Indicator 3: Number of	Mussels	Mussels ECU	No progress in	Ongoing: # people benefiting from	Ongoing: # people	MS	While the 2020 RIP stated that there are expectations that
people (men and	Ecuador &	>600	relation to the	strengthening livelihoods through	benefiting from		more people will benefit from strengthened livelihoods, only
women, by nationality)	Perú o%	Mussels PER	target indicators;	improved fisheries management:	strengthening livelihoods		one of the seven goals has been met in the medium term. The
who benefit from ways	Mangrove	>500	however, important	Mussels Ecuador o%	through improved		main reason for this moderately satisfactory rating is that the
of life strengthened	Crab	Mangrove Crab	progress at the level	Perú o%	fisheries management		COVID pandemic has considerably delayed much of the work
through solutions to	Ecuador &	ECU >5k	of results indicators	Mangrove Crab ECU 0%	15.000 Dorado Fishermen		with fishermen. Ecuador: More than 15 thousand fishermen
improve fisheries	Perú o%	Mangrove Crab		PER o%			included in the management regime established in the Dorado
management.	Dorado 0	PER>300		Dorado >15,000			National Action Plan (PIR 2020, Annex 1). It is expected that the
_	Pomada	Dorado ECU		Pomada o			inclusion of fishermen of the Mussels black, Red Mangrove
	0	>10k		Pole caught Tuna o.			Crab and tuna with a fishing pole will be achieved with the
	Pole	Pomada >500		_			officialization of the respective official national action plans
	caught	Pole caught					expected Semester # 2, 2020. Ointment shrimp fishermen will
	Tuna o	<b>Tuna</b> >100					be included once the fisheries action plan is developed and
							institutionalized (Expected Semester # 1, 2021). Peru: Although
							the last PIR indicated that Peru did not have any change in this
							indicator since the beginning of the project, the six
							organizations of the Los Tumbes Mangrove Consortium have
							planted black mussel eggs and mangrove Crab in the
							Sanctuary. However, due to COVID, there are no markets to
							buy the crops. However, this is an important initiative and the
							reason for the moderately satisfactory score. It is considered
							that by adjusting this indicator to a SMART consequence, you
							can reach your expected goal.

Outcome Indicator 11	0	7	Ecuador 8	Number of new or modified	Ecuador and Bory bayo	116	Despite delays in modifying national regulations. Ecuadoris
Outcome malcator 1.1	0	/	Ecuadol &	in the manufactor of the work of the other	Ecuador and Feru nave	нз	final des (table National Action Des for nations, Ecuador s
Number of new or			Peru = 0	instruments to strengthen lisheries	developed five new or		final draft of the National Action Plan for pole-caught tuna is
modified instruments to				governance in the coastal fisheries	modified instruments to		being validated for approval by those interested in tuna fishing.
strengthen fisheries				of Ecuador and Peru.	strengthen fisheries		It is an instrument with normative and organizational
governance in the					governance in coastal		guidelines that strengthen governance in this subsector. Four
coastal fisheries of					fisheries (Ecuador: 4; Perú:		plans are also being developed for the Dorado, Pomada, Black
Ecuador and Peru.					1).		Mussel and Mangrove Crab fisheries (planned for 2020).
					-		Regarding the Mussels and Mangrove Crab fishery in Peru, a
							pilot test has been designed for community management of
							mangrove areas that will be executed by the Consortium Los
							Manglares del Norgeste through a micro donation. One of the
							mangales del Noloeste through a micro donation. One of the
							findingement tools, the process of which has begun in an
							is the participatory monitoring system, for the
							collection of information on fishery resources by fishermen. To
							date, the monitoring systems for the Dorado, Pomada Shrimp,
							Mussels Prieta and Mangrove Crab fisheries have been
							completed, while for Tuna with Pole is in process.
							As a strategy to increase and strengthen the capacities of key
							actors for better governance around the "Red Mangrove
							Crab" fishery, the Coalition of Crab-keepers of the Gulf of
							Guayaquil was reactivated, made up of 34 extractors'
							associations. The advancement of Ecuador's National Action
							Plan for El Dorado includes the design of a participatory and
							profitable monitoring system for this fishery. Ecuador's
							National Ointment Action Plan is in the process of being
							undated and progress is being made in the design of a
							participatory and profitable monitoring system for this fishery
							The Provincial Action Plan for the Environmental Conservation
							Area will include a governance system and the government has
							Area will include a governance system and the government has
							begun to work on a methodological guide for the
							implementation of a participatory monitoring system for the
							Mussels Prieta. As progress, there is also approval of the design
							for the new governance system for the dorado resource
							fishery. Ecuador is preparing an Action Plan for Mangrove Crab
							together with the reactivation of the Mangrove Crab
							Fishermen's Coalition of the Gulf of Guayaquil through 3
							training workshops for the implementation of a participatory
							monitoring system for the Mangrove Crab resource. Peru has
							made an effort to contribute to the implementation of three
							governance instruments for the Black Mussels and Mangrove
							Crab fisheries, including several institutionalized instruments.
							the Technical Table of Benthic Resources of Tumbes. Through
							this agreement, SERNANP's participatory management model
							is being strengthened, which consists of granting the
							administration of the protected natural area to an association
							hased in the area and that meets certain requirements. In
							addition the technical organizational and business
							management capacities of the OSBAS that use the management
							which are part of the Concertium are being strengthered
							which are part of the Consortium, are being strengthened.

						Likewise, it has contributed to strengthening the management capacities of the Regional Governments of Tumbes and Piura.
Number of people (men and women, by nationality) who have received training (formal, non-formal and on-the-job) on key issues of improving fisheries governance and sustainable fisheries management.	> 30% women	(11% in relation to this goal) 27 women (17% of those trained)	on key issues of improving fisheries governance and sustainable fisheries management, 18% were women. For Peru, 314 people 18% women through workshops and training in the field, 239 mangrove extractors, of which 43 were women, have been trained in topics that favor the good management and conservation of natural resources (Mussels and Mangrove Crab)-	significant progress, and this reflects the new emphasis on reaching out to fishing communities and having a presence before COVID. It is surprising that this output indicator was not rectified during the initial phase and that it was approved in the ProDoc.	3	no idea how the participants used the information to contribute to the overall results and objective of the project and the score for this indicator should not be satisfactory. However, since the evaluator focuses on the ProDoc. Indicators, the score is satisfactory. Ecuador: Includes 745 people 17% women trained through workshops to carry out diagnostics and fisheries management instruments, as well as implement participatory monitoring systems (participatory monitoring, governance schemes, good management practices and traceability) that will contribute to improving governance and sustainable management of fisheries. They have also received training in good practices on board tuna vessels and traceability of tuna with pole. Peru: 314 people 18% women Through workshops and training in the field, 239 mangrove extractors have been trained, of which 43 were women, in topics that favor the good management and conservation of the resources of Mussels and Mangrove Crab, such as: the implementation of the community management system of black Mussels, laboratory seed management that includes selection of plant improvers, cultivation and fattening, pathogen-free certification of the seed and installation in production fields. In addition, 46 extractors, of which 7 were women, were trained in "Good extractive practices and application of current regulations in the framework of the closure of the Mangrove Crab and black Mussels". On the other hand, 29 workers and officials of the Regional Directorate of Production of Tumbes, of which 7 were women, were trained in the use of computer tools in order to strengthen their capacities to control the management of Mussels and Mangrove crab resources.

Outcome Indicator 1.3 Number and surface (ha) of coastal and marine protected areas with formal participatory fisheries governance schemes.	0	Number = 3	Number and surface (ha) of coastal and marine protected areas with formal participatory fisheries governance schemes.	<b>Advance:</b> o hectares of AMPCs have formal participatory governance schemes. There is no progress as this depends on the creation of governance instruments	CMPAs are expected to be covered with formal governance schemes: Ecuador: El Morro Mangrove Wildlife Refuge with 10,130.20 ha., Churute Manglar Ecological Reserve with 50,068.00 ha. Peru: Tumbes National Mangrove Sanctuary with	MU	While the 2020 PIR states that Ecuador and Peru are expected to achieve their goals by the end of this year, based on interviewees and available documentation, this is questionable, in part because of the delays associated with the COVID pandemic. That is why it is given an unsatisfactory rating. The PIR 2020 indicates that no progress is reported for this indicator, which depends on the formalization of the governance schemes developed within the framework of the project, mentioned in the progress of indicator 1 of result 1. The scope of these governance schemes or systems , specifically those related to the fishing of Mussels prieta and spider crab,
					2,972.00 ha.		cover the aforementioned protected areas, since it is where these fisheries are developed; therefore, once these participatory governance schemes are formally established, they can be replicated in protected areas. It is considered that by adjusting this indicator to a SMART consequence and taking into account the recommendations of the RMT, that you can reach your expected goal.
Outcome Indicator 2.1 Surface área (ha) in the process of Coastal- marine territorial planning in each country.	0	Ecuador = 751,000 ha Perú = 222,000 ha	Neither country advanced. Nevertheless. Ecuador will implement MCSP in the Gulf of Guayaquil and Peru is planning at the provincial level, with interest from the Municipality of Sechura and the Regional Government of Piura in developing a Coastal Marine Space Planning process (PEMC).	The area (ha) under a coastal and marine spatial planning process in each country is zero. Although it is not yet possible to report compliance with the indicators, the processes to achieve the goals are under way in both Ecuador and Peru.	The COVID situation has delayed this work and it is unlikely that the 2020 target will be met as planned. However, in Ecuador, the agreement and support of the Sub- Secretary for Marine and Coastal Management of the Ministry of the Environment was achieved for the work of coastal marine spatial planning applying the NOAA methodology, for which the implementation of the process, having carried out to date, 2 training workshops for trainers and the promoter group, which will lead the planning process to begin in 2020. Once this process is underway, the 751,000 ha can be reported under spatial planning processes in Ecuador, goal of the indicator.	MS	The evaluator has assigned a moderately satisfactory rating because the goals have not yet been reached, everything is already in 'process', mainly due to the delays in the start of the project and the situation that both Countries have been facing with COVID-19 . Also, up to now, the results on the effectiveness of management in those areas that are under the management scheme are not known. However, the expansion of the scope in Peru is a positive sign that progress is being made since there is interest from the stakeholders in developing a Coastal Marine Spatial Planning (PEMC) process in Sechura Bay. It is considered that by adjusting this Indicator to a SMART consequence and considering the recommendations of the RMT, that you can reach your expected goal.

Outcome Indicator 2.2 Total area (ha) of coastal and marine protected areas included in the territorial planning process of each country	0	Ecuador = >64x103ha Perú = >54x103ha	Neither country advanced	The surface (ha) of the coastal and marine protected areas included in the land use planning process, Ecuador had zero hectares, and although it has not met its goals for the Gulf of Guayaquil, the total protected area covered amounts to 128,283 ha. The Sechura Bay of Peru comprises the following protected natural areas (ANP), which total 54,858.95 ha. Includes Illescas Reserved Area 37,452.58 ha, Virrilá Estuary Environmental Conservation Area 14,007.37 ha, San Pedro de Vice Mangroves 3,399.00 ha.	The COVID situation has delayed this work and it is unlikely that the 2020 target will be met as planned	MS	Given that there are still many expectations expressed in the 2020 RIP, the real situation is that work remains to achieve this indicator. It is also noted that including an area in the CMSP process does not necessarily mean that this will lead to the necessary changes. Therefore, this is considered a result that still requires further attention, but it is anticipated that with the recommended extension it can be achieved. It is considered that by adjusting this indicator to a SMART consequence and taking into account the recommendations of the RMT, that you can reach your expected goal.
Outcome Indicator 2.3 Number of people (men and women, by nationality) who have been trained (formal, non-formal and on the job) in methods and tools for coastal and marine spatial planning and the calculation and use of the ocean health index	0	>400 > 50% women	158 people: 73 women (22% of the total). No training has been done in Ecuador. Peru hired a gender specialist.	In progress: During this reporting period, 407 people have been trained in Peru on methods and tools for coastal and marine spatial planning and the calculation and use of the ocean health index. 29% women. Ecuador trained 274 people, 32% women and 88 key stakeholders participated in the 3 training workshops held to transfer the NOAA methodology to the coastal marine spatial planning process.	The COVID measures taken by UNDP have resulted in a setback and it is unclear whether the expected targets will be met. It is surprising that this output indicator was not rectified during the initial phase and that it was approved in the ProDoc.	S	Even though the indicator was successfully met, this is not a SMART consequence, but rather a product. The evaluator has no idea how the participants used the information to contribute to the overall results and objective of the Project. This indicator should be revised with the exercise in which the PMU would rebuild the ToC.
Outcome Indicator 3.1 Number of people (men and women, by nationality) who have participated in events to disseminate lessons and best practices (for example, workshops, study tours, seminars, CBI)	0	>3000 people > 50% women	248 people were trained: 145 Ecuadorians and 103 Peruvians, which includes 78 women (31%): 43 Ecuadorians and 35 Peruvians.	During this reporting period, 1,543 people have participated in the events to disseminate lessons and best practices organized in the project, of which 49% were women.	As is the case with the process to meet most of the indicators, the COVID preventive measures taken by UNDP have slowed progress. However, it is surprising that this output indicator was not rectified during the initial phase and that it was approved in the ProDoc.	MS	Even though the indicator was successfully met, this is not a SMART outcome, but rather a product. The evaluator has no idea how the participants used the information to contribute to the overall results and objective of the Project. This indicator should be revised with the exercise in which the PMU would rebuild the ToC. It is considered that by adjusting this indicator to a SMART outcome and taking into account the recommendations of the RMT, that you can reach your expected goal.

Outcome Indicator 3.2	Visits o	Visits >4000	Visits 7333	During this reporting period, the	This has been by far the	AS	Although they achieved the indicator, the indicator is not a
Number of visitors per	Unique	Unique visits	One-time visits 4114	number of visitors per month	most visible achievement,		SMART consequence, because the indicator is considered
month (annual average)	visits o	>3200		(annual average) registered in the	surpassing the final goal by		another result (the number of visitors says little about the
registered in the				network of electronic platforms	15x. The goal for unique		changes in unsustainable fishing practices for the 7 target
network of electronic				used to disseminate the learnings	visits has been exceeded.		species). This indicator should be revised with the exercise in
platforms used to				and best practices of the project are:			which the PMU would rebuild the ToC.
disseminate the				Visits 61,375 monthly average			
learnings and best				Unique monthly average of 3,380			
practices of the project				_			

# ANNEX 5: List of People Interviewed

	INSTITUTION	NAME	POSITION	LOCATION
1	Junta Directiva	Sr. Kelvin Luciano Ponce	Subsecretario de Gestión Marina y Costera	Guayaquil – Ecuador
2	Conservación Internacional	Xavier Chalén	Coordinador del Proyecto CFI - CI	Guayaquil-Ecuador
3	Conservación Internacional	Nelson Zambrano	Equipo del CFI en Conservación Internacional	Guayaquil-Ecuador
4	Conservación Internacional	Raúl Carvajal	Gerente de Manejo Costero	Guayaquil-Ecuador
5	Quality Assurance	Fernanda Gonzáles	Experta Técnica Proyectos Ambiente PNUD Coordinador del Componente 1	Quito - Ecuador
0	Equipo del Proyecto	Cristina de la Cadena	(Gobernanza Pesquera)	Manta – Ecuador
7	DIREPRO Tumbes	Ing. Alejandro Barrueto	Director de Extracción y Procesamiento Pesquero	Tumbes- Perú
8	DIREPRO Tumbes	Ing. Sergio Alberto Sandoval Mogollón	Director DIREPRO Tumbes	Tumbes- Perú
9	Asociación de cangrejeros y pescadores artesanales 21 de mayo Puerto Roma	Carpio Baquerizo Ricardo Gregorio	Representante (Mangrove Crab)	Guayas-Ecuador
10	Equipo del Proyecto	José Antonio Mendoza Oliva	UNV GORE Tumbes	Piura – Perú
11 12	Equipo del Proyecto	Estefanía Baquerizo Glevmang Yubert Jaramillo	Especialista en Género	Guayaquil-Ecuador
13	Equipo del Proyecto Cooperativa de producción pesquera artesanal Lucha y	Abad Ramírez Figueroa Máximo	UNV PRODUCE Lima	Lima – Perú
14	Progreso Municipalidad Distritat da Visa	Alberto	Representante (Mangrove Crab)	Guayas-Ecuador
14 15	Municipalidad Distrital de Vice	Niria Fiestas	Representante Coordinadora del Componente 3 (Costión del Conocimiento)	Sechura -Peru
16	WWF	Fernando Rey Diz	Coordinador del Provecto CFI - WWF	Manta-Ecuador
17	Cooperativa de producción pesquera El Musselsl	Moran Giovani	Representante (Mangrove Crab)	Guayas-Ecuador
18	Consorcio Los Manglares del Noroeste del Perú	Henry Preciado Chune	Secretario Técnico del Consorcio I MNP	Tumbes
19	Equipo del Proyecto	Miguel Maldonado Cáceres	Coordinador del Proyecto	Piura – Perú
20	Sernanp - Lima	Marco Arenas Aspilcueta	Responsable de la UOF de Gestión Participativa	Lima – Perú
22	MINAM	Edgardo Marthns Castillo	Especialista en Conservación	Lima – Perú
23	DIREPRO Piura	Ing. Agustín Campos	Especialista DIREPRO Piura	Piura – Perú
24	MINAM	Mariano Benito Valverde Romaro	Especialista I en Ecología Marina de la Dirección de Conservación Sostenible de Ecosistemas y Especies de la Dirección Ceneral de Divorcidad Biológica	Lima – Perú
25	Sernanp - Tumbes	Rosa García	Jefa del ANP	Tumbes- Perú
26			UNV Gestor técnico para la administración de pesquerías	
דר	Equipo del Proyecto	Liliana Reaño	artesanales	Tumbes – Perú Tumbes – Perú
∠/ 28		Benoit Diringer	Coordinador Responsable de la Unidad de Maneio de	iumpes- Peru
29	sernanp - Lima	Carlos Sánchez Rojas	Recursos-DGANP SERNANP. Regional Technical Specialist for Water,	Lima – Perú
30	Punto Focal del GEF- PNUD Municipalidad Provincial de	Ana María Núñez	Oceans, Ecosystems and Biodiversity, PNUD	Ecuador
20	Sechura	Joselyn Cardoza	Representante	Sechura -Perú
31	PRODUCE	Eduardo Salomón Garcia Zamora	Director de Cambio Climático y Biodiversidad Pesquera y Acuícola	Lima – Perú
32	Sernanp - Lima	Jessica Oliveros Bustamante	Responsable de la UOFuncional Dirección de Desarrollo Estratégico Especialista en Cectión de Zenas Marine	Lima – Perú
55	MINAM	Oscar Lazo	Costeras de la DGDB del MINAM	Lima – Perú
34	Instituto Nacional de Pesca	Nikita Gaibor	Subdirector Científico-Técnico del INP	Guayaquil-Ecuador
35	DN (alterna)	Fabiola Núñez	Directora de Conservación Sostenible de Ecosistemas y Especies	Lima – Perú
36	Junta Directiva	Bernardo Hidalgo	Subsecretario de Recursos Pesqueros	Manta-Ecuador

37 38	Viceministerio de Acuacultura y Pesca	Edwin Castro Briones	Analista Subsecretaría de Recursos Pesqueros Coordinador del Componente 2	Manta -Ecuador
50	Equipo del Proyecto	Pedro Zavala Yesán	(Planificación Espacial Marino Costera)	Piura – Perú
39	Equipo del Proyecto	Miguel Maldonado Cáceres	Coordinador del Proyecto	Piura – Perú
40	Dirección Nacional	Sr. José Álvarez Alonso	Director Nacional del Proyecto CFI - Perú	Lima – Perú
41 42	Quality Assurance	Matilde de Mordt	Representante Residente PNUD Ecuador Viceministro de Desarrollo Estratégico	Quito - Ecuador
42	Junta Directiva	Sr. Gabriel Quijandría Acosta	de los Recursos Naturales	Lima – Perú
43	Consorcio Los Manglares del Noroeste del Perú	Julio Cerro Medina	Presidente del Consorcio LMNP	Tumbes
44	Asociación Centro Poblado (ACP) El Bendito (concheros)	Jorge Zapata Atto	Presidente de la asociación	Zarumilla-Tumbes – Perú
45	Extractores para el Desarrollo Sostenible ACODESEM	Junior Ipanaque Cespedes	Socio de la organización	Zarumilla-Tumbes – Perú
46	Asociación de Extractores "Nueva Esperanza" ASEXTRHI	Adolfo lópez Ramirez	Presidente de la Organización	Zarumilla-Tumbes – Perú
47	Asociación de Extractores "San Pedro" ASEPROHI	Javier Zarate Urbina	Presidente de la organización	Tumbes – Perú
48	Asociación de Extractores "Tumpis" AEXAPROH	Wilfredo Rujel Infante	Directivo de la Organización	Tumbes – Perú
49	Asociación de pescadores y extractores de Puerto Perú	Martín Aguayo León	Presidente de la Organización	Tumbes – Perú
50	Consorcio Los Manglares del Noroeste del Perú	Marly Vía García	Equipo Técnico Consorcio	Tumbes
51	Consorcio Los Manglares del Noroeste del Perú	Fiorella Ramírez Guevara	Equipo Técnico Consorcio	Tumbes
52	Consorcio Los Manglares del Noroeste del Perú	Karla Vía García	Equipo Técnico Consorcio	Tumbes
53	Asociación Centro Poblado (ACP) El Bendito (concheros)	Jenny Smith Zapata Lavalle	Socia de ACP	Tumbes – Perú
54	Asociación Comunal Extractores para el Desarrollo Sostenible ACODESEM	Maricela Arenas Pacheco	Socia de ACODESOM	Tumbes – Perú
55	Asociación de Extractores "Nueva Esperanza" ASEXTRHI	Maria Rosa Tocto Torres	Socia de ASEXTRHI	Tumbes – Perú
56	Asociación de Extractores "San Pedro" ASEPROHI	Miriam Deysi Cespedes Falla	Socia de ASEPROHI	Tumbes - Perú
57	Asociación de Extractores "Tumpis" AEXAPROH	Clarita Lizeth Rujel Lupu	Socia de AEXAPROH	Tumbes - Perú
58	Asociación de pescadores y extractores de Puerto Perú	Hilda Fanny León	Presidenta de la asociación	Tumbes - Perú
59	Punto Focal del GEF- PNUD	Joana Troyano	Asociada Regional de Programas PNUD	Panamá
60	PNUD	Jorge Álvarez Carla Zacapa	Oficial de Programa Medio Ambiente Representante Residente adjunta	Lima - Perú
61	Quality Assurance	Sra. Rosa Francisca Zavala Correa	Directora General de Asuntos Ambientales Pesqueros y Acuícolas.	Lima - Perú
62	Equipo del Proyecto	Percy Castillo Palomino	Asistente Administrativo	Lima - Perú
63	Equipo del Proyecto	Patricia de la Torre Ugarte	Especialista en Monitoreo y Evaluación	Piura - Perú
64	Equipo del Proyecto	Teresina Menzala	Líder en Comunicaciones Perú	Piura - Perú
65	Equipo del Proyecto	Sebastián Espín	Técnico Comunicaciones Ecuador	Manta - Ecuador
66	Equipo del Proyecto	Karla Calderón	UNV	Lima

## **ANNEX 6: List of Document Reviewed**

- 1 T d R. Desarrollo e implementación de sistema de monitoreo participativo costo-eficiente para la pesquería del recurso dorado
- 2 T de R desarrollo e implementación de sistema de monitoreo participativo costo-eficiente para la pesquería del recurso camarón pomada.
- 3 T d R Elaboración de la guía metodológica para la implementación de un sistema de monitoreo participativo para el recurso Mussels prieta con énfasis en las comunidades pesqueras del archipiélago de Jambelí.
- 4 Memorias de los talleres de la reactivación de la coalición de Cangrejeros
- 5 Plan de Acción de la Pesquería Atún con caña y línea
- 6 Primer Contrato de Sistema de Monitoreo participativo costo-eficiente para la pesquería del recurso dorado BIOGINIA
- Memorando de entrega Producto 3 (Protocolo/Instructivo para el Seguimiento Participativo Costo/Eficiente de las Capturas Comerciales del Dorado (Coryphaena hippurus) y el Producto
   4 (Manual de capacitaciones para el sistema de seguimiento participativo del recurso dorado (Coryphaena hippurus)
- 8 Evaluación del Actual Sistema de Seguimiento del Recurso Dorado (Coryphaena hippurus)
- 9 Desarrollo e implementación de sistema de seguimiento participativo costo-eficiente para la pesquería del recurso dorado. (Plan de trabajo)
- 10 Protocolo/Instructivo para el Seguimiento Participativo Costo/Eficiente de las Capturas Comerciales del Dorado (Coryphaena hippurus)
- 11 Manual de capacitaciones para el sistema de seguimiento participativo del recurso dorado (Coryphaena hippurus)
- 12 Informe Ejecutivo Proceso de Diseño e Implementación del Seguimiento Participativo Costo/Eficiente de las Capturas Comerciales de Dorado (Coryphaena hippurus)
- 13 Segundo Contrato de Sistema de Monitoreo participativo costo-eficiente para la pesquería del recurso dorado BIOGINIA
- 14 Plan de acción nacional para la conservación y el manejo del recurso dorado en ecuador (pan dorado) 2019-2024.
- 15 Memoria técnica del proceso participativo de planeación estratégica para desarrollar el plan de acción nacional para la conservación y el manejo del recurso dorado en Ecuador (PAN dorado) 2019-2024
- 16 Evaluación del plan de acción nacional para el manejo y conservación del recurso dorado en ecuador (pan dorado) y actualización con arreglos de gobernanza fortalecidos. plan de trabajo
- 17 Evaluación del plan de acción nacional para la conservación y el manejo del recurso dorado en Ecuador (pan dorado) 2011-2016
- 18 Plan de trabajo 5 enero 2019 diseño de un sistema de trazabilidad para la pesquería del recurso dorado en Ecuador.
- 19 Diagnóstico inicial 5 enero 2019 diseño de un sistema de trazabilidad para la pesquería del recurso dorado en Ecuador.
- 20 T d R Diseño de un sistema de trazabilidad para la pesquería del recurso dorado en ecuador.
- 21 Contrato de CORAMIR Diseño de un nuevo sistema de gobernanza para la pesquería del dorado en Ecuador.
- 22 Diseño de un sistema de gobernanza para la Pesquería del Dorado (Coryphaena hippurus) en el Ecuador-Plan de trabajo
- 23 Diseño de un sistema de gobernanza para la Pesquería del Dorado (Coryphaena hippurus) en el Ecuador- Evaluación
- 24 T d R Diseño de un nuevo sistema de gobernanza para la pesquería del dorado en Ecuador.
- 25 T d R Desarrollo e implementación de sistema de monitoreo participativo costo-eficiente para la pesquería del recurso camarón pomada.
- 26 Contrato Desarrollo e implementación de sistema de monitoreo participativo costoeficiente para la pesquería del recurso camarón pomada. Febrero 2019.
- 27 Protocolo/Instructivo para el Seguimiento Participativo de las Capturas Comerciales del Camarón Pomada (Protrachypene precipua)
- 28 Listado de las Organizaciones Pesqueras de las provincias de El Oro y Guayas
- 29 Evaluación del Actual Sistema de Seguimiento del Recurso Camarón Pomada (Protrachypene precipua)

- 30 Protocolo/Instructivo para el Seguimiento Participativo de las Capturas Comerciales del Camarón Pomada (Protrachypene precipua)
- 31 Manual de capacitación para el Seguimiento Participativo de Capturas Comerciales del camarón pomada (*Protrachypene precipua*).
- 32 Proceso de Diseño e Implementación Inicial del Sistema de Seguimiento Participativo Costo/Eficiente de las Capturas Comerciales de Pomada (*Protrachypene precipua*) Informe Ejecutivo.
- 33 Contrato BIOEDUCAR para la Elaboración de una Guía Metodológica para la implementación de un Sistema de monitoreo participativo para el recurso Mussels prieta con énfasis en las comunidades pesqueras del Archipiélago de Jambeli.
- 34 Manejo integrado de espacios marinos y costeros de alto valor para la biodiversidad en el ecuador continental guía metodológica.
- 35 Implementación de un sistema de monitoreo participativo para el recurso Mussels prieta con énfasis en las comunidades pesqueras del archipiélago de Jambelí
- 36 Revisión de guía metodológica: monitoreo participativo de la pesquería de Mussels prieta (Anadara spp.)
- 37 Consultoría: "implementación de un sistema de monitoreo participativo para el recurso Mussels prieta con énfasis en las comunidades pesqueras del archipiélago de Jambelí" producto 3: al menos 600 registros de captura diaria de pesca y tallas de captura llenos y un informe con mapa georreferenciado de los Musselsles
- 38 Consultoría: "implementación de un sistema de monitoreo participativo para el recurso Mussels prieta con énfasis en las comunidades pesqueras del archipiélago de Jambelí" producto 3-b: al menos 600 registros de captura diaria de pesca y tallas de captura llenos y un informe con mapa georreferenciado de los Musselsles
- 39 Ayuda de Memoria Desarrollo de un sistema de gobernanza para la pesquería de Mussels prieta en la provincia de El Oro-Ecuador.
- 40 Diagnóstico situacional, plan estratégico y arreglos para la gobernanza del subsector de pesquería de la Mussels prieta (Anadara tuberculosa y Anadara similis) de la provincia de El Oro, Ecuador
- 41 Diagnóstico situacional de la gobernanza en la pesquería de la Mussels prieta (Anadara tuberculosa) de la provincia de El Oro, Ecuador. Informe de avance.
- 42 marco de Results de la planificación de la gobernanza en la pesquería de Mussels prieta (Anadara tuberculosa) en la provincia de El Oro, Ecuador
- 43 Elaboración del plan de acción provincial para la conservación y manejo del recurso Mussels prieta (Anadara tuberculosa)
- 44 Elaboración del Plan de Acción Provincial para la conservación y manejo del recurso Mussels prieta.
- 45 Experiencia de producción de semilla, de transporte, manipuleo y engorde de individuos de Mussels prieta desde la fase de laboratorio hasta encierros en las comunidades, con enfoque de maricultura social.
- 46 Memoria de los Talleres de capacitación en Monitoreo Participativo a los cangrejeros Puerto Roma y Paraíso del Mangrove Crab.
- 47 Memorias de los talleres de la reactivación de la coalición con toda la documentación, Guayaquil, 21 de enero de 2019
- 48 Memorias de los talleres de la reactivación de la coalición con toda la documentación, Guayaquil, 6 de marzo de 2019
- 49 Memorias de los talleres de la reactivación de la coalición con toda la documentación Guayaquil, 22 de marzo de 2019.
- 50 Plan de Acción Nacional para la conservación del Mangrove Crab rojo ayuda memoria presentación a

recolectores de la provincia de Guayas.

- 51 Plan de Acción Nacional para la conservación del Mangrove Crab rojo ayuda memoria presentación a
  - recolectores de la provincia de El Oro.
- 52 Plan de Acción Nacional para la conservación del Mangrove Crab rojo (Ucides occidentalis).
- 53 Guía Metodológica para el monitoreo participativo de la Pesquería de Atún con caña
- 54 Taller I

"Diseño del monitoreo participativo de pesca del "Atún con Caña" AYUDA MEMORIA SOCIALIZACION

- 55 Apoyo Técnico y Logístico para la identificación de medidas de ordenamiento y regulación de la pesquería de atún con caña y línea en el Ecuador" AYUDA MEMORIA
- 56 Informe de Análisis Situacional sobre Sistema de Trazabilidad y Custodia del Atún con Caña.
- 57 Plan de Gobernanza Pesquería Atún con Caña
- 58 T d R Apoyo técnico y logístico para la identificación de medidas de ordenamiento y regulación de la pesquería de atún con caña y línea en el Ecuador.
- 59 Carta de entendimiento entre el Instituto Nacional de Pesca (INP) y Conservación Internacional Ecuador para la ejecución de acciones relacionadas con el ordenamiento de la Pesquería de Atún con caña.
- 60 Plan de Acción Nacional de Pesquería de Atún con caña y línea.
- 61 T d R para la Planificación Espacial Marino Costero AnneNelson/CollaborativeOcean Planning insupport of InternationalMPACapacity BuildingTeam(IMPACT)
- 62 Planificación Espacial Marina en Ecuador- Propuesta de grupo promotor, memorias de talleres de trabajo de acercamiento a instituciones y actores y establecimiento del grupo promotor, identificación de mecanismos de financiamiento.
- 63 Listado preliminar de actores considerados para el caso de estudio del proceso de PEMC en el caso de estudio del Golfo de Guayaquil.
- 64 DESARROLLO DE LA ESTIMACIÓN DEL ÍNDICE DE SALUD DE LOS OCÉANOS (OHI por sus siglas en Ingles) PARA LA ZONA MARINA Y COSTERA DE LAS PROVINCIAS DE MANABÍ Y SANTA ELENA.
- 65 SERVICE AGREEMENT BETWEEN CONSERVATION INTERNATIONAL FOUNDATION AND ANNE NELSON
- 66 Workplan-Coastal and Marine Spatial Planning Capacity Building, Planning and Stakeholder Partnership Implementation Support for the Coastal Fisheries Initiative – Southeast Pacific -Ecuador
- 67 Coastal and Marine Spatial Planning Training of the Trainers and Mentoring Program August 2018.
- 68 Informe de avance Desarrollo de la Estimación del Índice de Salud de los Océanos (OHI con sus siglas en ingles) para la Zona Marina Costera de las Provincias de Manabi y Santa Elena.
- 69 Diagnostico Índice de Salud de los Océanos (OHI con sus siglas en ingles) para la Zona Marina Costera de las Provincias de Manabí y Santa Elena.
- 70 PRODOC Firmado
- 71 Plan de Trabajo Multianual
- 72 Monitoreo del Plan
- 73 UNDP Project Quality Assurance Report (to be completed by UNDP Country Office)
- 74 Social and Environmental Screening Template
- 75 Cause effect diagram of overfishing and depletion of fishery resources and growing conflicts among users and stakeholders of coastal and marine resources and areas.
- 76 Compliance of Ostrom 's principles in selected fisheries. Using Ostrom (2009) as modified by Cox et al., (2010). Level of compliance: SÍ (YES), PARCIAL (PARTIAL), NO, Ecuador.
- 77 Protected areas covered by the project
- 78 Array of outcomes, outputs and intermediate outputs.
- 79 Interventions in fisheries and sites. Fisheries Ecuador
- 80 List of relevant projects for coordination / collaboration
- 81 Main species mentioned in the document.
- 82 Definiciones.
- 83 Based on UNDP's Tracking Gender-Related Investments and Expenditures in ATLAS
- 84 REQUEST FOR PROJECT ENDORSEMENT/APPROVAL
- 85 Reporte de Avances y Logros del Proyecto 2018
- 86 Informe de Gestión 2019
- 87 Informe Trimestral III,IV 2018
- 88 Informe Trimestral I,II 2019
- 89 POA 2019, 2020
- 90 Reporte Semestral II 2019
- 91 Reporte Semestral I 2020
- 92 Actas de Junta Directiva del Proyecto, mayo 2018,
- 93 Instalación del comité Directivo del proyecto abril 2017
- 94 Reporte taller de incepción del Proyecto junio 2016
- 95 Reporte de Taller de Arranque junio 2018

- 96 Consulta Regional entre Organizaciones de Pueblos Indígenas de Latinoamérica y el Caribe y el Programa ONU-REDD sobre los Procesos de Consentimiento Libre, Previo e Informado y los Mecanismos de Recursos para las actividades de la ONU-REDD
- 97 PIR 2019 y 2020
- 98 Acuerdo de Subvención de bajo valor PNUD Consorcio Manglares Noroeste
- 99 Informe de Progreso de Implementación de Actividades bajo el acuerdo de subvención entre el PNUD y el Consorcio Los Manglares del Noroeste del Perú.
- 100 Plan de trabajo Consorcio los Manglares del Noroeste.
- 101 Informe de Progreso de Implementación de Actividades bajo el acuerdo de subvención entre el PNUD y el Consorcio Manglares del Noroeste del Perú, Marzo 2020
- 102 Informe de Progreso de Implementación de Actividades bajo el acuerdo de subvención entre el PNUD y el Consorcio Manglares del Noroeste del Perú, IV diciembre 2019
- 103 Informe trimestral CI III y IV 2018, I-II-III 2019, I 2020
- 104 Informe trimestral WWF, I-II-III 2019, I 2020
- 105 Estrategia de WWF y CI ante COVID-19.
- 106 Informe de Auditoria diciembre 2018.
- 107 Score Indicator GEF 6 MTR CFI
- 108 Actas de Junta Directiva del Proyecto, marzo 2019.
- 109 Actas de Junta Directiva del Proyecto, Enero 2020.
- 110 Ejecución presupuestaria del proyecto a Julio 2020
- 111 Planilla de cofinanciamiento
- 112 Lista de Control de los Datos Solicitados en el Examen de Mitad de Periodo
- 113 Tabla de cofinanciamiento actualizada

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## **ANNEX 7: Evidence supporting the Findings**

## A7.1 The CIF Theory of Change

The Theory of Change (ToC) is the backbone of the project, since it must frame both the logic of the three components and the course towards the expected consequences and its main objective, as it should operationalize the application of the adaptive management required to verify the interventions and new concepts, in a new unknown and highly essential field. Figure 1a of the ProDoc presents the version of Theory of Change developed by the CFI in English, and Figure 1b presents it in Spanish.



#### Figure A7.1 a: The CFI's ToC (ProDoc 2015).

#### Figure A7.1b: The ToC translated.

To date, there is no evidence that the CFI responded to the key recommendations of STAP and FAO, that the project should develop a better theory of change. Despite the importance of STAP reports, in the experience with more than 40 GEF projects evaluated by the consultant, few people take the time to review them: For this reason, it is not surprising that none of the 25 interviewees Keys to the Binational project know the STAP report.

Another figure analyzed by the RMP is a second version of the ToC that is more complete than that presented in Figure 1 of the ProDoc, since it includes the expected consequences (Figure A7.2).

Finally, Figure A7.3 of the ProDoc presents another version, which is considered extremely ambitious and, as in the other three figures, the key assumptions between each link in the results chain are missing.



Figure A7.2: Los tres niveles de la TdC del CFI (reconstruido del ProDoc).

weaknesses of the ToC. Figure A7.4 presents a more detailed version with some suggested assumptions for the PMU's consideration. As is the reason for Figure 7.3, this should not be the final version, but rather, it should serve as a tool for the PMU's work in preparing its new ToC after the conclusion of the RMT. It should be emphasized that none of these versions is correct. Producing the correct version is the responsibility of the team in conjunction with the PMU.

## A7.2a: The simple, reconstructed ToC (by the MTR)



Figure A7.3: The Reconstructed ToC (without assumptions).

## A7.2b The Complete, MTR-Reconstructed ToC

Based on the recommendation of the STAP and the weaknesses of the project's ToC, the RMT rebuilt it. Figure A7.3 presents The Matrix below was reconstructed only to serve as a guide for the PMU or other key stakeholders of the CFI project. Thus, it is a draft that requires much more work. The evaluator has made some notes with important points to consider.

	OBJETIVE	DEMONSTRATE ECOSYSTEM-BASED HOLISTICT	MANAGEMENT AND IMPROVE THE GOVERNANCE C	FSOUTHEAST PACIFIC COASTAL FISHERIES
		A 1 Adequate human / financial resources and incentives available to replicate a A 2 Harmonized national sectoral policies, legislation, strategies and plans to im A 3 Harmonized binational policies and strategies to improve EBFM to lead coat A 4 Annual increase in the% of earnings of women in the value chains of coasta A 5: Political and institutional commitments to mainstream gender equity in the A 6: Specific explicit increase in earnings of people whose lifestyles improve	and sustain fisheries value chains that contribute to the objective in an equi prove EBFM to drive coastal fisheries to a measurable triple bottom line stal fisheries to a measurable triple bottom line in both countries I fishery products traded by strengthened women's groups value chains of commercialized coastal fishery products	able manner
liate Outcimes	diate Outcimes	COMPONENT 1 FISHERIES GOVERNANCE - Increase and Strengthen the capacities of key stakeholders for a governance of coastal fisheries with an inclusive and gender-sensitive approach	COMPONENT 2: Coastal Marine Spatial Planning - Enhanced enabling conditions for marine and coastal spatial planning in Ecuador and Peru.	COMPONENT 3: Management and Knowledge and M&E - Lessons and best practices on improving fisheries governance and coastal and marine spatial planning have been shared with stakeholders within each country, between the two countries and with global partners in the CFI program.
	ne	⇒ Indicator 1: Número de pesquerías con nuevos o mejorados	⇒Indicator 2: Percentage of fish landings included in new or	$\Rightarrow$ Indicator 3: Number of people (men and women, by

⇒ Indicator 1: Número de pesquerías con nuevos o mejorados ⇒ Indicator 2: Percentage of fish landings included in new or regímenes de manejo (e.g., mejor gobernanza, comanejo, regímenes improved management regimes. seguros de derechos de tenencia o acceso).

A 1.3 Binational work is integrated and articulated to define common

governance mechanisms and regulations. Incoordination between all

(e.g., centralized decisions, lack of formalization of fisheries)

A 1.4 Mechanisms to resolve fisheries conflicts that threaten governance

practices, participatory / collaborative approaches, fisheries, environment, social, economic sustainability assessment tools A 1.1 Adequate human / financial resources available to strengthen the A 2.1 Integrated and articulated binational work to define governance A 3.1: Systematic application of Systematic Adaptive Management application of the voluntary guidelines for artisanal fisheries and fisheries mechanisms and regulations for common fish stocks to capture lessons learned from the application of ToC and A 2.2 An operational M&E platform measuring in real time the monitoring of effectiveness in real time. A 1.2 Cross-cutting gender approach in the processing value chain A 3.2 Critical Mass of Constituents, incl. Women

effectiveness of the Spatial Plan in reducing the pressures of the productive sectors, used by decision makers and linked to the IdSO A 2.3 Adequate human / financial resources available to monitor the IdSO and the implementation of the PEMC

S A 2.4 Data to measure the impact of fisheries on the IdSO, the change in health and the effectiveness of comprehensive fisheries management proposed by the project:

A 2.5 Both countries provide feedback on the ability to supply the IdSO with data collected from commercial fishing and the govt sectors.

management in general

actors

nationality) who benefit from ways of life strengthened

through solutions to improve fisheries management. Best

A 3.3 M&E platform measures the effectiveness (consequences

A 3.5 Artisanal sector formalized, organized and well represented in

A 3.4 A real-time and geospatial M&E platform that is closely

and impacts) of fisheries management in real time

linked to the IdSO is developed and operational

the governance platform

	A 2.6 High-level intersectoral committees that ensure that their plans, policies and strategies are consistent with sustainable fisheries (demonstrating political will).	
<ul> <li>1.1.1 Number of fisheries with new or modified management regimes to strengthen governance in the coastal fisheries of Ecuador and Peru.</li> <li>1 1.2 Number of people (men and women, by nationality) who have received training (formal, non-formal and on the job) on key issues of improving fisheries governance and sustainable fisheries management.</li> <li>1 1.3 Number and area (ha) of coastal and marine protected areas with formal participatory fisheries governance schemes.</li> </ul>	<ul> <li>1.2.1 Area (ha) in the process of coastal and marine land use planning in each country.</li> <li>12.2 Area (ha) of coastal and marine protected areas included in the territorial planning process of each country</li> <li>12.3 Number of people (men and women, by nationality) who have been trained (formal, non-formal and on the job) in methods and tools for coastal and marine spatial planning and the calculation and use of the health index of the oceans</li> </ul>	<ul> <li>13.1 Number of people (men and women, by nationality) who have participated in events to disseminate lessons and best practices (for example, workshops, study tours, seminars, CBI)</li> <li>13.2 Number of visitors per month (annual average) registered in the network of electronic platforms used to disseminate learning and best practices of the project</li> <li>1.3 Number of people (men and women, by nationality) benefiting from strengthening livelihoods through solutions to improve fisheries management</li> <li>This component will facilitate to learn from the other CFI projects, to make available the experience from Ecuador and Peru, and to measure the advance with regards to the CFI theory of change.</li> <li>3: Best Practices, Participatory / Collaborative Approaches, Fisheries, Environment, Social, Economic Sustainability Assessment Tools - THE BACKGROUIND</li> </ul>
ASSUMPTIONS TO REACH THE NEXT LINK IN THE CHAIN:		
A 1.1: Capacity and awareness exist in the public and private sectors that enable a culture of responsible practices with respect to catching and using fish. A 1.2: Understanding and consideration of interactions in the value chain and links between sustainable exploitation and markets A 1.3: Actors are willing to collaborate and see complementary benefits of different competencies.	<ul> <li>A.2.1: Supportive political will, with funding for transitional reform</li> <li>A 2.2: There is an enabling political and institutional environment, including responsibilities delegated to appropriate levels of subsidiarity and organizational structures allow for fair and effective representation</li> <li>A 2.3: There is scientific knowledge about the value of corrective action initiatives based on a robust performance evaluation system</li> <li>A 1.4: There is information on the value of fishery resources and the range of benefits that assets can generate</li> </ul>	A 3.3: Best practices are widely known and shared.
Output 1.1. Enhanced Enabling Conditions for Governance of Seven Coastal Fisheries of Ecuador and Peru. Output 1.2. Ecuador's PAN ointment improved and updated with strengthened governance arrangements Output 1.3. New provincial action plan for Mussels in Ecuador. Output 1.4. New PAN Mangrove Crab in Ecuador. Output 1.5. New PAN of tuna with cane in Ecuador. Output 1.6. Updated handling fixes for Mussels and Mangrove Crab in Peru. Output 1.7. Strategic plan to strengthen governance and fisheries management in the regional governments of Peru.	Output 2.1. Marine and coastal spatial plan for the northern Gulf of Guayaquil (Ecuador). Output 2.2. Marine and coastal spatial plan for the Sechura Bay (Peru). Output 2.3. Lessons on the use of the ocean health index in Ecuador and Peru.	Output 3.1. Electronic platform to facilitate communication between key stakeholders and disseminate lessons and good practices. Output 3.2. Lessons and good practices documented and disseminated. Output 3.3. Experience with the fishing performance evaluation instrument documented and disseminated.
ASSUMPTIONS TO REACH THE NEXT LINK IN THE CHAIN A 1.1: Resource users have tenure over resources	A 2.1: Long / short term distribution costs and benefits recognized when reforms are introduced and trade-offs are addressed	A 3.1: Livelihood diversification and enhancement options available for outgoing fisheries

Final Outputs

- -

#### A 1.2: Established enforcement and compliance tools A 1.3: Markets demand sustainably produced fish

1.1.1 Design of a profitable participatory monitoring system	2.1.1 Awareness and
1.1.2 Training module and guidelines for fishermen / boat owners on	2.1.2 Marine and Coa
participatory monitoring	Modules
1.1.3 At least 30 trainers and 150 fishermen trained in participatory	2.1.3 At least 10 train
monitoring	coastal spatial plannir
1.1.4 External and independent evaluation of current golden bread	2.1.4 Document on le
1.1.4 Golden PAN updated 2017 - 2022	participatory planning
1.1.5 Concept document and statutes of the new governance	2.1.5 Spatial manage
mechanism	2.1.6 Guidelines for c
1.1.6 Report of the pilot of a traceability system with a processing	2.2.1. Awareness and
company and its associated fleet	2.2.2. Marine and Coa
1.1.7 Design of a national traceability system for the dorado fishery	Modules
1.2.1 Stock assessment and protocol for future assessments	2.2.3. At least 10 instr
1.2. 2 Design of a profitable participatory monitoring system	and coastal spatial pla
1.2.3 At least 20 trainers and 100 fishermen trained in participatory	2.2.4. Memory of prac
monitoring	for coastal and marine
1.2.4 Proposal to establish a tariff heading (NANDINA) for ointment	2.2.5. Document on le
1.2.5 Protocol for sampling and evaluation of the composition of bycatch	participatory planning
in trawls, trawls and bags	2.2.6. Sechura Bay S
1.2.6 Concept document and statutes of the new governance	2.2.7. Guidelines for c
mechanism	2.2.8. Management p
1.2.7 Updated regulations for the three fishing components (trawl,	Ramsar site
changa, bag)	2.2.9. Memory of prior
1.2.8 External and independent evaluation of the current PAN 2014-19	Manglares de San Pe
ointment	2.2.10. Declaration of
1.2.9 PAN ointment updated 2020 - 2025	2.2.11. Management
1.3.1. Design of a profitable participatory monitoring system	2.2.12. Memory of pri
1.3.2. Training module and guidelines for community fishermen and	Virrila Estuary
technicians	2.2.13. Management
1.3.3. At least 30 instructors and 500 fishermen trained.	Reserved Zone
1.3.4. Legal instrument that requires mandatory monitoring of fishing in	2.2.14. Memory of priv
mangrove concessions	of the lilescas Reserv
in the province of ELOre	2.3.1 MODULE and trail
III (IIE province of EFOTO 1.2.6 Provincial Action Plan for the Mussella fishery (DAD Mussella El	and loois
1.3.0. Provincial Action Plan for the Mussels lishery (PAP Mussels El	2.3.2 At least 30 peop
1.2.7 Momenties of participatory research on transport	2.5.5 Technical report
arouth of the Mussels	2.3.4 Technical Tepon
1/1 Dosign of an undeted and profitable participatory manifering	in Equador and Poru
- 1.4. T. Design of an updated and profitable participatory monitoring	

information strategy and materials stal Spatial Planning Training Materials and

ers and 200 stakeholders trained in marine and a methods and tools

ssons and recommendations of the process

ment plan for the northern Gulf of Guayaguil

oastal and marine spatial planning in Ecuador

information strategy and materials

astal Spatial Planning Training Materials and

ructors and 200 stakeholders trained in marine anning methods and tools

tical exercises to gain experience and support e spatial planning

ssons and recommendations of the process

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coastal and marine spatial planning in Peru

an for the Manglares de San Pedro de Vice

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plan for the Virrilá Estuary Ramsar site

ority interventions for the conservation of the

strategy for the coastal zone of the Illescas

ority interventions to conserve the coastal zone ed Zone

ning materials on the OHI assessment process

le trained in each country

on IHO in Ecuador

on IHO in Peru

rning and recommendations on the use of OHI

3.1.1 Communication strategy for specific groups and sites. 3.1.2 Web-based communication platform (for example, SKYPE for Business / WebEx) that facilitate virtual communication and meetings.

3.1.3. Project website linked to partner websites and IW: LEARN

3.1.4 YouTube channel documenting experiences and lessons 3.1.5 Project multipurpose social media platforms (e.g. Facebook.

Instagram, Twitter) that disseminate information to stakeholders 3.1.7 Blogs documenting the project experience

3.1.8 Quarterly newsletter in English to disseminate information to CFI members abroad

3.2.1 Documents of learning experiences that systematize the experience of the main project. Each document with executive summaries in Spanish, English, French and Portuguese 3.2.2 Memories of exchange visits between key groups (i.e.

Mussels, Mangrove Crab, marine spatial planning, IHO) 3.2.3 Memoirs of annual binational concheros and cangrejeros *meetings (four meetings)* 

3.2.4 Proceedings of the annual meeting of the binational technical committee on mangrove benthic resources (i.e. Mussels and Mangrove Crab)

3.2.5 Memories of exchange visits to other CFI projects

3.2.6 Memories of CFI program meetings

3.2.7 Reports of presentation of project results in international events (for example, CIAT, CPPS)

3.2.8 Memories of participation to IWC2018 and IWC2020

3.2.9 Monitoring and evaluation plan implemented

3.2.10 Midterm and final evaluation of the project

3.2.11 Project reports understandable and accessible to the public.

3.2.12. Binational public event to close projects

system

1.4.2. Training module and guidelines for community fishermen and	
technicians	
1.4.3. At least 30 instructors and 1,000 fishermen trained	
1.4.4. Legal instrument that requires mandatory monitoring of fishing in	
mangrove concessions	
1.4.5. Concept paper and statutes for the governance of the fishery	
1.4.6. Mangrove Crab National Action Plan (PAN Mangrove Crab)	
1.5.1. Design of a profitable participatory monitoring system	
1.5.2. Training module and guidelines for fishermen and boat owners	
1.5.3. At least 5 instructors and 50 fishermen trained in fishing	
monitoring	
1.5.4. Design of a traceability system	
1.5.5. Design of a fish quality assurance system	
1.5.6. At least 5 instructors and 50 fishermen trained in traceability and	
quality assurance of fish	
1.5.7. Concept document and statutes for the governance of the fishery	
1.5.8. Investment plan to repower / upgrade the fleet	
1.5.9. Tuna bread with cane	
1.5.10. Full Marine Stewardship Council Assessment	
1.6.1. Memory of the trial of community-managed mangrove areas within	
the Tumbes National Mangrove Sanctuary and its buffer zone	
1.6.2. Lessons and recommendations of the technical table of benthic	
16.2 Design of a participatory manifering system for Mussels and	
1.0.3. Design of a participatory monitoring system for mussels and Mongrovo Crob	
1.6.4. At least 20 trainers and 100 fishermen trained in participatory	
monitoring	
1.6.5. Modules and training materials on fisheries governance and	
sustainable fishing for members of the Mussels and Mangrove Crab	
value chains	
1.6.6. At least 20 trainers and 100 members of the value chain trained in	
fisheries governance and sustainable fisheries	
1.6.7. Training modules and materials for strengthening collective action	
and fishermen's organizations of Mussels and Mangrove Crab	
1.6.8. Two-year report of actions to strengthen local fishing organizations	
1.6.9. Two-year operating report to strengthen the capacities of the	
Regional Government of Tumbes to control and supervise the Mussels	
and Mangrove Crab fisheries	
1.6.10. Test report of the traceability system and designation of origin	
1.6.11. Guidelines for artificial propagation of Mussels	
1.0.12. Memories of participatory research on transport, conditioning and	
Growth of the Mussels	
1.6.13. Opdated handling fixes for Mussels and Mangrove Crab	

1.7.1. Analysis of the situation of the administration of artisanal marine fishing in the regional governments of Tumbes and Piura	
1.7.2. Design for pilot tests in two regional governments: (i) Tumbes and	
(ii) Piura	
1.7.3. Document on lessons and recommendations from the pilot tests	
on strengthening the capacities of the regional government to manage	
artisanal fisheries	
1.7.4. Document on lessons and recomend	
More about this source text	
Source text required for additional translation information	
Send feedback	
Side panels	
5,000 character limit. Use the arrows to translate more.	

Figure A7.4: The MTR's reconstructed CFI-ToC with assumptions, outputs and activities

## A7.3 Analysis of the CFI-LA Indicators and the degree to which they are SMART

The Matrix below presents the original ProDoc indicators, the extent to which they are SMART, and suggestions for preliminary SMART indicators, which can form the basis of the exercises to be performed to update the original CFI-AL ToC. It is essential that the definition or change of some indicators include the reference of the time to be completed (eg, annual, ni-annual, etc.). In addition, each indicator must have its baseline for measurement.

Indicator 1:Number of fisheries with new or improved management regimes (e-g., better governance, co-management, secure tenure or access rights regimes).Im. OOUTCOME 1:Number of fisheries on a path toward triple bottom line impacts based on SMART indicatorsIndicator 2:Percentage of fish landings included in new or improved management regimes.OOUTCOME 2:Percent change in annual production and direct sales to markets with certifiably traceable origin: coming from artisanal fisherfolk and form capture o benthic resources in mangrovesIndicator 3:Number of people (men and women, by nationality) who benefit from ways of life strengthened through solutions to improve fisheries management.OOUTCOME 3.1:Change in income of the lower quartile o artisanal fishers and women in the value chain of seafood in rural and urban coastal areas conforming to acceptable labor and equity human rights Coditions (e.g., FAO Danish Human Rights SDG tool).OUTCOME 3.2:Change in the proportion of the value o seafood attributed by fishermen and women in the value o
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<b>OUTCOME 3.2:</b> Change in the proportion of the value o seafood attributed by fishermen and women in the value
seafood attributed by fishermen and women in the value
chain of seafood in rural and urban coastal areas
conforming to acceptable labor and equity human rights
conditions (e.g, FAO, Danish Human Rights SDG tool).
<b><u>Outcome Indicator 1.1</u></b> Number of new or Im. O <b>RESULT 1.1.1:</b> Change in the number of new or modified
modified instruments to strengthen instruments that are being adapted based on the
fisheries governance in the coastal indicators that are measuring: i) the performance of co
inside is of Ecuador and Feru infinite spaces, in the performance of the equity of post
harvest benefits in the coastal fisheries of Ecuador and
Peru.
<b>RESULT 1.1.2:</b> Change in the number of new or modified
Instruments applied by adaptive management to adapt
to the results measured by indicators of the Triple
Bottom Line of Impacts of fisheries governance in the
coastal fisheries of Ecuador and Peru.
Outcome Indicator 1.2 Number of people O RESULT 1.2.1: Change in the proportion of beneficiary
(men and women, by nationality) who groups with recognized training on the subject o
formal and on the job) on key issues of the incorporate Property rights (Rights to Access to ficherios
improving governance and sustainable (Capture Rights) (Company gement (Collective action
fisheries management
harvest (markets and institutions. Infrastructure)
<b>RESULT 1.2.2:</b> Percent successful judicial claims for Right
to Access in the capture fisheries through collective
action, participation and social, economic and gende
equity.
<b>RESULT 1.2.3:</b> % change in infrastructure to ensure
certifiable and traceable post-harvest value chains
entering markets.
<u>Outcome indicator 1.3</u> Number and Im.O <b>RESULT 1.3</b> : Number and surface area (ha) of coastal and
surface (iia) or coastar and manne marticipatory finance platforms (E.g. Kooimans et al. 2018)
fisheries governance schemes.

Outcome Inditador 2.1 Area (ha) in the	0	<b>RESULT 2.1:</b> Surface (ha) area in process of coastal-
process of coastal and marine land use		marine spatial planning in each country with formally
planning in each country.		institutionalized governance platforms.
Outcome Indicator 2.2 Area (ha) of	lm. O	<b>RESULT 2.2:</b> Surface area of coastal-marine protected
coastal and marine protected areas		areas included in spatial planning in each country with
included in the territorial planning process		formally institutionalized governance platforms.
of each country		
Outcome Indicator 2.3 Number of people	0	RESULT 2.3: Number of formal artisanal fisherfolk
(men and women, by nationality) who		organizations and women benefitting from adequate
have been trained (formal, non-formal		incentives that explicitly demonstrate sustainable and
and on the job) in methods and tools for		equitable value chains (harvest, new or improved
coastal and marine spatial planning in the		management regimes, reduction of post-harvest losses,
calculation and use of the ocean health		etc.)
index		

Key: **ImO** = Immediate Outcome; **O**= Output (is not an outcome); **NOTE:** indicator 3.1 could be a change in % while Indicator 3.2 requires a baseline prior to execution of the action to be able to track effectiveness.

### A7.4 Risks and Mitigation Measures presented in the ProDoc, and comments by the MTR

Identified Risks (ProDoc)	Proposed Mitigation	MTR Comments
Change of central government in Peru. The new president and	Present the project to the new authorities in PRODUCE and	The mitigation measure is more like an assumption about what would
congress take office in July 2016	MINAM	be done for any similar Project
Change of local governments in the new authorities in 2018	Present the project to the new authorities of regional governments and municipal authorities in Tumbes Piura	Same as Above
Change of central government in	Present the project to the new	Same as Above
they are inaugurated in 2017.	authorities in MAGAP and MAE	
Change of local governments in	Present the project to the new authorities	Same as Above
Ecuador. The new authorities take	Provincial municipal	Monitoring is only a bangae that
office in 2019		covers a bigger problema. REquires speficying specific
		mitigaiton measures to apply.
Effects of the Child and the Pacific	Monitor information and alerts	
Oscillation on marine issues and	from meteorological entities,	Same as Above
coastal resources.	NOAA and the Meteorological Organization	

## A7.5 Clarification of confusing terms in the ProDoc

The terminology of the concepts related to ecosystem-based management is varied and confusing. The perception of the applicability of the concept depends on the professional discipline or activity (biologist, ecologist, fishery biologist, manager, politician or fisherman) or the organization to which one belongs (FAO, UNEP, NOAA, government or an NGO). The Figure below from NOAA presents a summary of four different levels of fisheries management.

In the LAC region, what is applied is Ecosystem Fisheries Management (EAFM), which has been widely promoted by FAO. If you come from the American academic sector, Ecosystem Management (EBM for its acronym in English) is promoted as something very broad where fishing is just one part of a larger component (which encompasses the PEMC). However, the reality is that to this day, most countries in LAC are still struggling to achieve Single Species Fishery Management. For this reason, achieving EBFM or EBM represents a formidable challenge, as few countries have achieved the simplest level of fisheries

#### management.



The PEMC is very similar to the EBM. For the purposes of this report, EBM and PEMC are considered synonymous. Based on 3 decades of empirical work with these concepts, the evaluator states that they all have in common is that they all lack a platform for monitoring and evaluating the effectiveness of the concept, as well as stable financing. For this reason, none of these have been sustained.

## A7.6 SWOT for the Pelagics and Pomada Shrimp

The RMT constructed the following SWOT to better understand the catalytic elements to strengthen the artisanal fishing subsector in both countries.

#### **STRENGTHS**

- Participatory processes in the execution of the project, but altered by COVID
- Fisheries improvement being implemented and having an impact on public policy (i.e., dorado)
- Action plans established in some species (i.e., dorado)
- Exploratory fishing for dorado, although irregular in time.
- On-board observer program.
- Activities related to traceability of shellfish by WWF and fishermen
- Collaboration and cooperation of NGOs and intergovernmental agencies

#### **OPPORTUNITIES**

• Establish / improve a unified traceability system with better management of the data collected and the databases generated. • Some products of the project can be made official in legal norms, although the application should be strengthened

• Establish / strengthen governance systems and stakeholder participation

- Implement / strengthen better catch management
- Prepare / Update the NAPs for the species indicated in each mentioned fishery.
- Strengthen regional governments in fisheries administration

• Electronic reporting logs are used in industrial and golden shrimp.

• Incidence of the actors and their organization. Cooperatives are strong.

#### WEAKNESSES

• Incomplete or unavailable social, economic and environmental data (eg pollution)

• There are no estimates of the stock of fishery resources in some cases. In dorado the databases collected from fishing are very complex for management and analysis. The geospatial origin of the fishery and the impact of bycatch are unknown if an observer is not on board the ship.

• There are no data to measure the impact of fisheries in the IdSO, nor to measure the change in health and the effectiveness of the integral fisheries management proposed by the project; it also lacks a cross-gender approach in the processing value chain

• Very idealistic theory of change and has no adaptive approach; lacks robust assumptions • Binational work must be integrated and articulated to define common governance mechanisms and regulations. Incoordination between all the actors.

 Institutional changes that affect available expertise in fisheries
 NGOs with different implementation and planning capacities (i.e. Ci and WWF) compared to government institutions

• Lack of a gender mainstreaming strategy in the governance platform

• New fisheries management plans supported by the project do not have a cross-gender approach

• In Ecuador there is no feedback or training for users on the results of the data collected from commercial fishing.

• In Ecuador, the current fisheries monitoring by two institutions duplicates efforts, activities and functions. There is no pre-established • In Ecuador, improve inter-sectorial and institutional cooperation in the management and monitoring of fisheries, which includes a simplification of the records and data collection.

• In Ecuador, promote / improve the participatory management of users and share with them the Results of the data analysis and dissemination of the Results. • Improve the collection of data and knowledge of the reproductive biology of the companion fauna of the dorado in Ecuador

• Possibility of MSC certification of Ecuadorian fisheries • Strengthening inter-institutional and fishermen in fisheries research in Ecuador.

• Development of a new system of governance of the fisheries of one Country in collaboration with the other that exploits the same resource, or at regional level

• Rights-based management in artisanal ointment fishing

• Focus of the new fisheries law and its regulations that can make the agreements binding through consultative committees. Better participatory approach. • Technological improvements for data collection and database management

• Better management of the value chain and commercialization

#### <u>THREATS</u>

• Weak governance system

• Exclusion of women from the governance platform

• Human and financial resources not available to strengthen the application of the voluntary guidelines for artisanal fishing and national action plans.

• Changes in national and regional governments that affect institutional changes

• Lack of a gender mainstreaming strategy in the governance platform prevents reaching the critical mass required to achieve the objective

• Limited inter-sector and inter-institutional collaboration and cooperation

• Dissatisfaction of some key stakeholders with limited participation in the implementation of the plans and little desire to participate in the project

• Impacts of COVID in fishing communities (humanitarian crisis)

methodological framework and inter-institutional collaboration must be improved.

• In Ecuador, in the implementation of the PAN Dorado, low user participation and non-operation of the advisory council.

• Insufficiently regulated fishing effort

• Insufficient financing mechanisms and limited financial sustainability strategies in institutional work, particularly in fisheries research, and implementation of plans

- Public and private leadership
- Safety at sea is poor in deep sea fishing

• Artisanal fishing does not pay taxes and does not work in the economic and banking system of the country. Banking system does not recognize the sector. "Feudal system" of commerce

• Very low first sale prices. Pay attention to marketing to improve the situation of fishermen. Low added value.

• Weaknesses in the implementation of the use of electronic reporting logs for industrial ointment and dorado shrimp. Logs are used.

## A7.7 Matrix of responses to the EQs, JCs and Indicators

The following tables present the Key Questions (PC) for each of the criteria described in the methodology, in which a set of specific questions addressed to the interviewees (executors, focal points and beneficiaries) was used. The questions, Judgments and Indicators in Font negro were taken from the ToR. The categories for field work are: AS = Highly Satisfactory; S = Satisfactory; MNS = Marginally Unsatisfactory; NS = Not Satisfactory. Observations / Conclusions are presented for each PC and these are supported with references to the consulted documentation or with quotes from the interviews (in italics).

EQ-1	To what extent is the project strategy relevant to country priorities, country ownership, and the best route to expected results
JC-1.1	Links between general objective, specific objective, results and activities are logical
Indicator-1.1	The existing design is the most effective and efficient path to the overall goal
Judgment 1.1	HS
Sources	<ul> <li>ProDoc:</li> <li>The Project "Coastal Fisheries Initiative - Latin America" is part of CFI's Global Program (Costal Fisheries Initiative), which has been developed to demonstrate holistic processes and promote more integrated approaches to management and use of coastal fisheries in an inclusive way. IFC will help tackle the global problem of weak governance as a root cause of overfishing and the degradation of fishery resources and marine and coastal biodiversity. CFI has three "child" projects; in Indonesia (WWF- CI), Latin America (this Project- UNDP) and East Africa (UNEP- FAO), as well as a CFI Global Alliance Project (FAO) as a mechanism for coordination and knowledge management, which in turn facilitates technical assistance in the development of a portfolio of investment projects (CFI Competitive Fund, also called Challenge Fund).</li> <li>✓ In Latin America, the Coastal Fisheries Initiative (CFI) project is being carried out in Ecuador and Peru, where due to their high biological diversity and fishery resources, there are important fisheries, which have had an uncontrolled expansion mainly driven by an increase in the market demand, open access policies and the lack or deficiency of regulations, surveillance or sanctions.</li> <li>✓ The CFI project is developed on the coast of Ecuador and the North of Peru, focusing mainly on Anconcito, Chanduy, Playas and Posorja, Gulf of Guayaquil in Ecuador, Piura, Sechura, Paita, Manglares de San Pedro de Vice, Estuary of Virrila, Tumbes and Illescas Reserved Zone in Peru.</li> <li>✓ Other sources:</li> <li>✓ ProDoc</li> <li>✓ PIR 2019, 2020</li> <li>✓ Interviews</li> </ul>
JC-1.2	Project design consistent with a Theory of Change pathway to development goals, including assumptions and mitigated risks, and objectively verifiable SMART Indicators were used
l-1.2	The project used SMART Outcome Indicators and strong assumptions and appropriately identified / mitigated risks.
Judgment 1.2	
Conclusions/ Observations	Several of the Indicators are not SMART and the assumptions weak, which makes a theory of change that presents a logical framework that ensures that the actions are directed to achieve the general objective of the project.

### EQ #1 PROJECT STRATEGY: Strategy and Design

Sources	Source: STAP 2015 Report PRODOC Interviews
Sources	<ul> <li>Source: STAP 2015 Report, PRODOC, Interviews.</li> <li>More than a theory of change, what the CFI puts forward is a hypothesis for the attributes of effective coastal fisheries management. Theories of change address the sequence in which actions and outcomes evolve. However, Figure 1's description of the hypothesis can be interpreted as suggesting three distinct phases in what would more appropriately be called a theory of change for coastal fisheries. In its current form, emphasis and detail are limited to enabling conditions (phase 1).</li> <li>The FAO Response Matrix to a draft of these STAP comments dated 23 April 2015 demonstrates that the concerns and interests of FAO and STAP are fully consistent. After reviewing the responses, STAP recommends that the CFI program make further development of its theory of change a priority.</li> <li>The interviewees expressed that they are concerned about the design of the project, since its activities aim to generate even enabling conditions and agree on the importance of creating the conditions for changes to occur, however, as a CFI project team , it has been discussed and talked about the need to focus on going beyond the scope of the project, so that changes can take place in the key actors, such as fishermen, extractor crab workers both artisanal and industrial and State institutions and governments local.</li> <li>The interviewees continued to express that if this implies reviewing the Theory of Change, it should be done promptly since planning for 2021 is close, they expressed that the uncertainty of not having an approval of the expansion of the project and the revision of the Indicators GEF approved. They expressed concern that this could be a very long process and limits progress.</li> <li>They expressed that the project was conceived, it had two large NGOs that would be the implementers of the CI and WWF binational project, ic ad thior's box, initially when the project was conceived, it had two large RIOs that however it was s</li></ul>
JC-1.3	The action is consistent with the objectives of the policy instrument and cross- cutting issues (eg gender, IP, CC).
l-1.3	<ul> <li>1.3.1. # Initiatives that integrate Gender Performance Indicators</li> <li>1.3.2. # Initiatives that integrate FPIC where indigenous peoples are affected</li> <li>1.3.3. # Initiatives that integrate climate change into MPAs</li> </ul>
Judgment 1.3	
Conclusions/	Despite the list of actions to follow, the great efforts of the project to integrate and
Observations	empower women in small projects, their participation is minimal since the approach has not been mainstreamed, nor have initiatives been generated in which These can be identified throughout the value chain, we believe that in the processing and commercialization of the product they can participate and be empowered as long as projects that encourage these processes are financed. One of the aspects that can be helped is CPLI. Likewise, jointly, the actions that lead to climate resilience must be identified.
Sources	According to PRODOC, to strengthen the gender approach, the project will implement the following actions:

	<ul> <li>a. Measure women's perception of their level of impact on decision-making and governance of the seven target fisheries and the marine spatial planning of the Guayaquil gofo and Sechura Bay. Perceptions and recommendations for improvement will be evaluated at the beginning, mid-term and at the end of the project.</li> <li>b. b. Studies at each project site to understand the role of women in securing protein for the family and the marketing of fish products.</li> <li>c. c. Gender equality will be taken into consideration during the recruitment of staff and the hiring of consultants with GEF funds and / or co-financing.</li> <li>d. The training courses will be gender sensitive in terms of participation, design, training and use of language.</li> <li>e. and. In the diagnosis of information needs and interests of users and key actors and the communication strategy of the project, they will recognize the needs and limitations that women and men face as well as their concerns and perceptions.</li> <li>f. Communication materials, project documents and publications will use gender sensitive language and will be accessible to men and women. The process of documenting the project lessons will record the contribution and role of women men in each exercise performed.</li> <li>g. Gcommunities of practice and participatory processes will facilitate equal participation, mutual respect, and collective decision-making by women and men.</li> <li>h. Participation in meetings, training courses and other events will be documented using data disaggregated by gender.</li> <li>i. Where possible, women are encouraged to participate in aquaculture trials.</li> <li>j. j. Women from seafood processing plants will be encouraged to participate in communities of practice.</li> <li>k. It comes directly from an interview: In relation to the management of knowledge of each member of the PMU, the IdSO is not able to classify the gender approach or the issues related to the violation of human rights. However, in the reports, specifically</li></ul>
JC-1.4	The project has gone beyond focusing strictly on MBD and included other
	dimensions of ecosystem services and sustainable development (environmental,
I-1 /	Initiatives with a multidimensional approach
Judgment	
1.4	
Conclusions/	The focus of the initiatives has been limited to a biodiversity approach, since it seeks to generate enabling actions to generate governance and falls short in seeking to
Observations	improve the living conditions of the fishermen's families.
Sources	$\checkmark$ PRODOC, PIR 2019, Annual and semi-annual Reports, Interviews. They
	expressed that they are concerned about the design of the project, since its
	activities aim to generate even enabling conditions and they agree on the
	CEL project team, we He has discussed and spoken about the need to focus on
	the fact that the scope should go further, so that changes can take place in the

	key actors, such as fishermen, extractor crab workers, both artisanal and industrial and State institutions and local governments
JC-1.5	The project is designed in a way that is inherently participatory and inclusive, insofar as it creates a sense of ownership of decisions and actions that goes far beyond the managers of AMP.
l-1.5	# of initiatives that involved beneficiaries of the lowest practical levels
Judgment 1.5	
Conclusions/ Observations	Consortium initiatives are successful at the level of community participation and ownership of the fishermen is evident. However, the low participation of women is a weakness that the project has to correct. It is considered that women give a very high value to what has to do with the family and this generates a more sense of belonging and therefore sustainability.
Sources	PRODOC, Interviews
	The Pomada Shrimp Fishery (CP) is Peculiar in its conflicts that are significant, despite the above, the first pilot project was carried out with the fishermen, where the first electronic blog was established with the pomadera industrial fishing fleet, which generated Unique electronic report in the country and in the region, which was institutionalized by the state in 2018, which made it officially recognized as a directory this Electronic Bitácora (BE). Such was the success that this action was and is being replicated by other initiatives, this BE is also working with the goldfish fishery. He explained that there are other pilot small pelagic fish fisheries projects that are applying this electronic report with a business fleet from several communities. He explained that his expectations go beyond reaching agreements with fishermen, expressing that he hopes that the project will generate real impacts, he continued, that it is being achieved step by step and would eventually be proposing a FIP soon, to bring the fishery to better standards , the same, it is evident and can be verified, a radical leap has been hit in some of the fisheries.
	He continued to say that the project goes further, seeks the participation of all stakeholders in the processes to improve artisanal and industrial fishing. He expressed that there is a history regarding the pomade shrimp fishery, between 2012 and 2014, the PAN for pomade shrimp was prepared and implemented, with a validity of 5 years, it was evaluated in 2019, when the The CFI project, monitoring it was key, in this context the project has had an impact on 80% of the public policies and regulations that have been generated by the State for this fishery. He indicated that COVID-19 has been a strong problem, we were working with artisanal fishermen and in March of this year, all productive activity was closed, I had to define a strategy of how we were going to do it, because it was not known what was going to happen, it is It is important to clarify that these communities are remote, that they live in the mangroves, there the pandemic occurred because they did not have a biosafety system, and they had to provide us in Guayaquil, which was the epicenter of this disease in Ecuador, the system collapsed health care, for what it was a terrible humanitarian crisis, we asked them what we could do, they asked us to give them food and that was done, but against all odds they recovered, they have reactivated and this event became a catalyst, a An agreement that created a fund, which is fed by the fishermen themselves (each fishing month, each
	organization contributes \$ 100) this fund is for emergencies that may happen in the communities, They also agreed to strengthen the fund, with other contributions, expressly, that these fishermen hope to be certified, and from there they are going

to create a capture tax to give more contributions, he explained, that not even the tuna boats have made that decision, this is a lesson for the rest of the country's fishing sector.

He explained that this is a huge area of mangrove forest, there are some blue economy initiatives but at the moment they have not advanced; He also explained that the Ministry of Production has created funds for soft and low interest loans so that the communities can recover and are working with those of San Mateo in fishing for dorado and applying technology to guarantee traceability and certification and order the value chain For the greater benefit of fishermen and to favor responsible fishing campaigns at the national level is the approach.

Consortium initiatives are successful at the level of community participation and ownership of the fishermen is evident. However, the low participation of women is a weakness that the project has to correct. It is considered that women give a very high value to what has to do with the family and this generates a more sense of belonging and therefore sustainability. PRODOC, Interviews.

The Pomada Shrimp Fishery (CP) is Peculiar in its

I continue to express that in San Mateo, a pilot was carried out with the Oro Verde Hotels, they signed an agreement with the fishermen, for the purchase of gold fish always respecting the market price directly, which is giving good results.

The other part of the project is the Dorado fishery, he explained that it is one of the most important fisheries for artisanal fishing, it is also the most important fishing resource in the country, there are two types of fleets, the small ones that are vessels of 6 to 7 meters that fish with mesh or longline nets, an estimated 6000 vessels with the two gears, and fish in two zones, half up the northern part of Ecuador that fish with longlines and down the southern part of Ecuador, that fish with Trammel, the other fleet which is the semi-industrial one, these are vessels called motherships, which fish for days of more than 10 days, their working area is beyond the Galapagos, they fish for tuna, dorado and other species per season, which are two. These Nurses carry at least 10 small boats that when they reach a point they disperse in a fan shape and travel three days away from the mother ship and without navigation equipment, with this WWF fishing fleet has been working for more than 11 years, implementing Fishing improvement projects that have been 80% completed, with a recent initiative, work was carried out on strengthening coordination, designs of new gear and fishing equipment technology and the Golden Fish PAN has been strengthened, there is evidence that it has had influence on the generation of public policies, which have improved this fishing sector. Also, this project has influenced public policies for positioning before the IATTC, for monitoring the Stock of fish, coordinating citizen participation in the management of fisheries.

The Electronic Log was also established, which is based on a participatory monitoring labeled with a QR code at the product landing site in a plant, where the product is processed by a group of women respecting the cold chain and is subsequently commercialized mainly for women, always with their QR code.

	I explain that the project is working on a responsible fishing campaign and for this,
	agreements have been signed with some restaurants Aligned with artisanal fishing,
	he explained that these codes are on the table and he who eats a fish, just scans the
	code QR, you can see on your cell phone all the details about how it was fished by
	those who processed it, all the banned history, size, with what type of gear it was
	captured if the origin is legal, it made noise, and more money was given for this
	Responsible fishing campaign, also to be replicated in other areas and with other
	species such as shrimp, it is also expected to take this compaign to the Calapages
	species, such as simility, it is also expected to take this campaign to the Galapagos.
JC-1.6	All actions contribute to the most urgent needs to address international waters.
	the resilience of ecosystem services and losses in fisheries in both countries.
I-1.6	There is at least one example in each country that shows positive signals in
	addressing the loss of transboundary ecosystem services and losses in fisheries in
	both countries.
Judgment	
1.6	
Conclusions/	In PRODOC, he urges that the project be binational, however in the field there are
Observations	few activities carried out with a binational approach, which would allow the
	generation of regulations that lead to improving the fishery between both countries
	The methodology implemented to evaluate the IdSO is of different origin, which
	makes it difficult to make evaluations also to define binational strategies in the
	approach of the problem that can be identified.
Sources	PRODOC. PIR 2019 and 2020. Reports Interviews 2018. 2019. Reports
	They explained that the realization of the IdSO for its cost in each of the countries is
	complex, in Ecuador the process was carried out by an NGO, and if there are no
	resources it will hardly be practiced again, unless a university assumes that
	leadership In order to lower costs, the Peruvian model used by State institutions is
	more functional, but high staff turnover is the risk.
	The OHI will be evaluated in Sechura Bay, within the Coastal Marine Spatial Planning
	(CMSP) process. This exercise will build on the Ecuadorian experience in the use of
	the index. In Ecuador, the CMS process will use the results of the previous process
	serve as input to the CMSP process. This contains the main fishing areas for tuna
	with angling and for the bait of the bait used in the dorado and tuna with angling
	fisheries. The results of the OIH will be inputs in the process of strengthening
	governance in these fisheries.
JC-1.7	There are logical links between the expected outcomes and the project design
	(measurable changes with SMART Indicators).
l-1.7.1	Both the assumptions linked to the products and those with expected
_	consequences, as well as the risks were properly formulated
Judgment	
I./ Conclusions/	Seven Indicators are not SMART, they are products, in addition the assumptions
Observations	are weak and poorly raised.
Sources	PRODOC, PIR 2019, 2019, Interviews
	They expressed that there are several planned binational actions, they stated that
	what the team has addressed is developing knowledge exchange and that it is
	important that in the process they can participate in what is being done in Peru
	and, perhaps, in the closing assemblies of IdSO, so they can see how it is done and
	something else can be channeled.

	They stated that one of the drawbacks is the constant restructuring of the government, personnel changes, which has complicated the appearance and participation of the State of Ecuador in the processes. They spoke that the new commission integrated lately has to be something managed by a delegate from the State and with an institution at the head fully identified. They indicated that he is putting a lot of meat on the grill, in terms of governance and the relationship between fishermen, because each one watches over his own interests and makes work difficult, which in part has facilitated the work in the dorado fishery. been the certification process and reliable traceability, in this case
	When the analysis of how the goldfish is traded was carried out, what does the consumer, the market know, and you see that the value chain is a disaster, after years of working on traceability with the fishermen, you realize that the serious problem It was not the fishermen, since the fishermen are well organized and some have political weight, which they can use to influence, that is where you understand the true situation. And the other subsector, which are artisanal, which does not pay tax or are recognized in the state income, who do not have access to bank benefits and are low-income people, who are affected by the beach price because their product has been compromised with an intermediary at a beach market price of \$ 1 and that the market price at that time is \$ 5. That there is no opportunity to add value in processing and marketing, the problem is beginning to be understood.
JC-1.8	The project design is coherent, it formulated a series of risks that the project faces and the assumptions adequately and thus it is the most direct route to achieve the expected results of the project.
I-1.8	Products have been integrated into the results chain that are measurable and will effectively contribute to achieving the development objective.
Judgment	
1.8	
<b>1.8</b> Conclusions/ Observations	The project is coherent in the first two phases, and in the third phase it is diluted in reaching products, not generating consequences that really improve the living conditions of the fishermen and strengthening the actions that lead to the resilience of the ecosystem services of the project intervention areas. It is evident that the theory of change was not reviewed in depth as stated in the Stap report.

	and industrial, and state institutions and local governments . They continued to
	express that if this implies reviewing the Theory of Change, it should be done
	promptly since planning for 2021 is close, they expressed the uncertainty of not
	having an approval of the project expansion and the revision of the Indicators
	approved by the GEF is concerned that this could be a very long process and a
	limiting factor in moving forward.
	They talked about how important it was to review the indicators on paper, also, they
	expressed that they can remain the same, the key is that the team is aware that it
	can go further based on the work done with the people in field.
JC-1.9	The system for monitoring and evaluating the results (consequences) was properly
	designed and easily applied to contribute to the adaptive management process.
l-1.9	Both the PIRs and the Ocean Health Index contribute to the systematic application
	of adaptive management.
Judgment	
(onclusions)	Insufficient efforts were made to apply adaptive management, because much
Observations	remains to be done as proposed in PRODOC. IdSO is key in Coastal Marine Spatial
objervations	Planning.
	The IdSO is an excellent tool to identify the problem, establish and implement the
	measures, but its weakness is that it can only be practiced every five years, leaving
	a gap of four years, in this context it is difficult to apply adaptive management in real
	time.
Fuente	PRODOC, PIR 2019, 2020, interviews.
	They expressed that after the evaluation of the IdSO, they have to wait five years,
	to know again the status of these resources, something that would not be the right
	thing, they continued to express, that is not what they intended, in that context it is
	expected to continue with real-time monitoring, by various state institutions that
	comprehensively it is also important that it promotes its systematization and
	analysis processing according to the interest of The government stated that the
	IdSO, not a number, must be seen as a trend, that it generates recommendations
	and that the States can adopt measures to mitigate the problems identified, and
	that these can be monitored by the training and knowledge management
	component.
	They spoke of the commitments that the States would assume from the
	assessments generated from the evaluation of the IdSO, they continued to express
	that in Peru there is an intersectoral group that brings together several institutions,
	it was created in 2013, and this is the entity that addresses the coastal marine issue,
	and this would be responsible for applying the measures, based on the
	recommendations arising from the IdSO. They also stated that it is important to
	review the functionality of the IdSO, since other projects are being developed, such
	as one of the German cooperation, which is considering practicing the IdSO under
	this same methodology in other regions of Peru
	uns same methodology, mother regions of refu.

## A7.8 Bathymetric Maps of the Intervention Areas

The following maps show the bathymetry off the coasts of Ecuador and Peru (Navionics.com).



https://webapp.navionics.com/?lang=en#boating@3&key=rdwl%40%7C%60yyM

A7.8b Example of a Real-time M&E platform

The link below offers an example of a real-time M&E platform, which was developed to measure the management effectiveness of Protected Areas from another GEF project located in Cape Verde.


## **ANNEX 8: Table of Financing and Co-financing**

- ilialicial Status of the CFI - Feru al 31 de july 2020	- inancial	Status o	f the CFI	- Perú al 🛛	31 de ju	ly 2020
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Cumulative execution										Balances			
2018 2019		)	January-July 2020				Total	%	Budget	Balance	%		
RESULT 1	69,260.85		ACTIVITY1	419,052.25		ACTIVITY1	147,905.69		636,218.79	28%	1,596,400.00	960,181.21	37%
RESULT 2	97,836.66		ACTIVITY2	440,328.34		ACTIVITY2	103,387.51		641,552.51	29%	1,081,400.00	439,847.49	17%
RESULT 3	173,534.00		ACTIVITY3	395,661.24		ACTIVITY3	213,230.05		782,425.29	35%	1,868,100.00	1,085,674.71	42%
MANAGEMENT	76,630.41		MANAGEMENT	66,564.92		MANAGEMENT	31,999.46		175,194.79	8%	272,691.00	97,496.21	4%
Total	\$417,261.92		\$	1,321,606.75		\$	496,522.71		\$ 2,235,391.38	100%	\$ 4,818,591.00	\$ 2,583,199.62	100%

Financial Status of the CFI - Ecuador al 31 de july 2020

Cumulative execution									Balances			
20	18	201	9		January-Ju	uly 2020		Total	%	Budget	Balance	%
RESULT 1	159,446.80	ACTIVITY1	210,358.58		ACTIVITY1	210,358.58		580,163.96	62%	1,282,000.00	701,836.04	83%
RESULT 2	108,329.60	ACTIVITY2	119,794.11		ACTIVITY2	119,794.11		347,917.82	37%	483,000.00	135,082.18	16%
MANAGEMENT	208.31	MANAGEMENT	178.17		MANAGEMENT	178.17		564.65	0.1%	5,400.00	4,835.35	1%
Total	\$ 267,984.71	\$	330,330.86		\$	330,330.86		\$ 928,646.43	100%	\$ 1,770,400.00	\$ 841,753.57	100%

Consolidated Financial Status of the CFI31 de july 2020

Cumulative execution									Balances				
2018			2019			January-July 2020			Total	%	Budget	Balance	%
RESULT 1	228,707.65		ACTIVITY1	629,410.83		ACTIVITY1	358,264.27		1,216,382.75	38%	2,878,400.00	1,662,017.25	49%

Total	\$ 685,246.63	\$	1,651,937.61	\$	826,853.57	\$ 3,164,037.81	100%	\$ 6,588,991.00	\$ 3,424,953.19	100%
MANAGEMENT	76,838.72	MANAGEMENT	66,743.09	MANAGEMENT	32,177.63	175,759.44	6%	278,091.00	102,331.56	3%
RESULT 3	173,534.00	ACTIVITY3	395,661.24	ACTIVITY3	213,230.05	782,425.29	25%	1,868,100.00	1,085,674.71	32%
RESULT 2	206,166.26	ACTIVITY2	560,122.45	ACTIVITY2	223,181.62	989,470.33	31%	1,564,400.00	574,929.67	17%

The Following table is the Cofinancing information based on data provided to the consultant:

Sources of Co-financing	Name of Co-financier	Type of Cofinancing	Investment Mobilized	Amount (\$)
Donor Agency	PNUD Ecuador	In-kind	Recurrent expenditures	54,526
Donor Agency	PNUD Perú	In-kind	Recurrent expenditures	77,976
Donor Agency	Conservación Internacional	In-kind	Recurrent expenditures	786,398
Donor Agency	World Wide Fund for Nature	In-kind	Recurrent expenditures	627,989
Donor Agency	World Wide Fund for Nature	In-kind	Investment mobilized	238,638
Private Sector	Consorcio de Exportadores de Dorado	In-kind	Investment mobilized	360,000
Recipient Country Government	Gobierno Regional de Piura	In-kind	Recurrent expenditures	49,100
Recipient Country Government	Gobierno Regional de Piura	Other	Investment mobilized	141,672
Recipient Country Government	Gobierno Regional de Tumbes	In-kind	Recurrent expenditures	310,423
Recipient Country Government	Gobierno Regional de Tumbes	Other	Investment mobilized	68,000
Recipient Country Government	Gobierno de Perú	In-kind	Recurrent expenditures	61,716
Recipient Country Government	Gobierno de Perú	Other	Investment mobilized	2,264,518
Recipient Country Government	Gobierno de Ecuador	In-kind	(select)	
Recipient Country Government	Gobierno de Ecuador	Other	(select)	
Total Co-financing				5.040,956

## ANNEX 9: Code of Conduct Signed

(see Spanish Version)

## ANNEX 10: Signed MTR Final Report Approval Form

See Spanish Version