



联合国  
粮食及  
农业组织

Food and Agriculture  
Organization of the  
United Nations

Organisation des Nations  
Unies pour l'alimentation  
et l'agriculture

Продовольственная и  
сельскохозяйственная организация  
Объединенных Наций

Organización de las  
Naciones Unidas para la  
Alimentación y la Agricultura

منظمة  
الأغذية والزراعة  
للأمم المتحدة

**E**

# PROGRAMME COMMITTEE

**Hundred and Sixteenth Session**

**Rome, 3-7 November 2014**

**Follow-up on the Evaluation of FAO's support to the implementation of the  
Code of Conduct for Responsible Fisheries**

**Queries on the substantive content of this document may be addressed to:**

Mr Arni Mathiesen  
Assistant Director-General, Fisheries and Aquaculture Department (FI)  
Tel. (06) 570-56423

*This document can be accessed using the Quick Response Code on this page;  
a FAO initiative to minimize its environmental impact and promote greener communications.  
Other documents can be consulted at [www.fao.org](http://www.fao.org)*



m1867e

1. As per the FAO evaluation policy, the present report is presented to the Programme Committee for review at its November 2014 session in follow-up to the *Evaluation of FAO's Support to the Implementation of the Code of Conduct for Responsible Fisheries* and the Management Response<sup>1</sup> which were considered at the 112<sup>th</sup> Session of the FAO Programme Committee (5-9 November, 2012). The Follow-up Report presents the actions taken by the Organization to implement the accepted Recommendations. The actions taken to implement the Recommendations were self-assessed according to the new Management Action Records (MAR) that operates with a six-point scoring table.<sup>2</sup>
2. Management found that the Evaluation Report was well formulated, insightful and constructive. The Report showed strong recognition of the Importance of the Code of Conduct for Responsible Fisheries and of FAO's work in supporting it. Management concurred with most of the findings and recommendations presented. Out of the 16 main recommendations, 9 were accepted, 6 were partially accepted, and 1 was rejected.
3. Of the 16 recommendations, 11 are rated as "good" in terms of implementation, four as "adequate" and one is not rated (as it was rejected by Management), indicating a high degree of implementation with some initial evidence of its impact on the intended targets. Furthermore, the implementation of the recommendations has taken place parallel to, and has been facilitated by the introduction of the reviewed Strategic Framework and Medium Term Plan 2014-17, as well as other Organizational reforms.
4. In 2013 the Organization launched the Blue Growth Initiative (BGI) that takes account of most of the Evaluation recommendations and the agreed actions presented in the Management Response, including advocacy, development objectives, resource mobilization, capacity development, sustainable aquaculture development and the strategic role of the Organization in emergency, rehabilitation and disaster preparedness in the fisheries and aquaculture sector.
5. Implementation efforts are being accelerated during the 2014-15 biennium, with an increasing number of countries and partners developing activities under the Blue Growth Initiative. Special attention will be given to implementation of the four recommendations that –were rated "adequate", as reflected in the matrix.
6. In several cases it is too early to report systematically on the full impact of the action taken on the Recommendations. More tangible results and impacts are expected to be available in the beginning of the 2016-17 biennium following further development and implementation of the Blue Growth Initiative.

#### **Guidance sought**

7. The Programme Committee may wish to note progress in the implementation of the Evaluation recommendations and provide its views on the follow-up report.

---

<sup>1</sup> PC 112/4; PC 112/4 Sup.1

<sup>2</sup> Management Action Records Scoring: **1 - None:** no action was taken to implement the Recommendation. **2 - Poor:** plan and actions for implementation of the Recommendation are at a very preliminary stage. **3 - Inadequate:** implementation of the Recommendation is uneven and partial. **4 - Adequate:** implementation of the Recommendation has progressed; there is no evidence yet of its results on the intended target. **5 - Good:** the Recommendation has been fully implemented and there is some initial evidence of its impact on the intended target. **6 - Excellent:** there is proven evidence that the Recommendation has had a positive impact on its intended target.

*Follow-up report of the Management Response to the Evaluation of FAO's Support to the Implementation of the Code of Conduct for Responsible Fisheries*

**Matrix with Management Action Records (MAR) column**

Evaluation Recommendation	Action Agreed	Comments on actions taken, including reasons for actions not taken	Impact (changes) of actions taken in terms of programme, policies and/or procedures	MAR score <sup>3</sup>
<p><b>Recommendation 1: To FI, on its Vision for the implementation of the Code of Conduct for Responsible Fisheries</b></p> <p>As the Code of Conduct for Responsible Fisheries is the key pillar of FAO's mandate and mission for fisheries and aquaculture, the Fisheries and Aquaculture Department should make the promotion, development and implementation of the Code central to its strategies, planning and management. To achieve this, the FI-ADG should explicitly be the chief Code promoter and manager, responsible in FI and FAO for Code coordination and resource mobilization through direct reporting lines.</p>	<p>1.1 Designate FI-ADG as chief Code promoter, motivator for resources, and manager, working in close collaboration with DOs, TC and OSP.</p> <p>1.2 The Fish Code unit will support the ADG in these activities, working within the approved corporate Resources Mobilization Management Strategy (RMMS) in close coordination with TC and OSP.</p>	<p>Under the instructions of ADG-FI as the chief Code promoter, FI has committed itself to engage in more strategic and prioritized development and support for the implementation of the Code, improved outreach, closer articulation between the normative and operational work including capacity development, and more attention to the human dimensions.</p> <p>In its endeavors to promote and reinforce the implementation of the Code worldwide, FI is working to improve the functioning of Regional Fisheries Bodies (RFBs) which play a central role in developing and ensuring the sustainable management of fisheries in line with the objectives and provisions of the Code and its related instruments. This is being achieved through FI's increased engagement in and support to the activities of RFBs, including through efforts to mobilize substantial financial resources to facilitate the accomplishment of their mandate.</p> <p>Furthermore, FI is striving to enhance its relationships and develop partnerships with the governments, intergovernmental organizations,</p>	<p>FI is uniting these advocacy and related activities under the banner of the FAO Blue Growth Initiative, launched in 2013.</p> <p>FI has intensified its focus on supporting FAO RFBs and enhancing cooperation with non-FAO RFBs.</p> <p>A number of concrete partnerships with CSO, Industry, Intergovernmental Organizations, Government and RFBs are under development in support of the FAO Blue Growth Initiative.</p>	5

<sup>3</sup> **1 - None:** no action was taken to implement the recommendation; **2 - Poor:** plan and actions for implementation of the recommendation are at a very preliminary stage; **3 - Inadequate:** implementation of the recommendation is uneven and partial; **4 - Adequate:** implementation of the recommendation has progressed; there is no evidence yet of its results on the intended target; **5 - Good:** the recommendation has been fully implemented and there is some initial evidence of its impact on the intended target; **6 - Excellent:** there is proven evidence that the recommendation has had a positive impact on its intended target.

Evaluation Recommendation	Action Agreed	Comments on actions taken, including reasons for actions not taken	Impact (changes) of actions taken in terms of programme, policies and/or procedures	MAR score <sup>3</sup>
		<p>industry and the civil society community (including the major conservation NGOs and foundations); with support from the Global Environment Facility (GEF) and other donors, FI intends to bring about transformational impacts in the management and conservation of resources both within and beyond exclusive economic zones (EEZs). These initiatives will pursue the principles of FAO's Blue Growth Initiative to address food security and poverty alleviation by quality capture fisheries and aquaculture production through processes which are integrated, sustainable and socioeconomically sensitive.</p>		
<p><b>Recommendation 2: To FI, on its developmental objectives</b></p> <p>The Fisheries and Aquaculture Department should ensure that human developmental objectives such as gender equality, food security and poverty reduction become the primary driver of its work, across all types of fisheries and aquaculture. Greater attention should be paid to the social and economic context in which fishing and fish farming populations live; and fishing and aquaculture should be approached within this wider context. This will require the greater involvement of professionals competent in</p>	<p>2.1 Reinforce cross-organizational linkages with emphasis on the MDGs and outcomes of RIO+20, covering human development objectives.</p> <p>2.2 Promote multidisciplinary work in project design, implementation, and monitoring and evaluation to enhance positive impacts on the ground.</p>	<p>FI has been continuously working with all relevant units in headquarters and decentralized offices to reflect fisheries and aquaculture priorities within the SOs in the process of elaborating the MTP 2014-17 and PWB 2014-15. Within this process, FI also expanded its area of work to better address the socio-economic context within which fishing and fish farming communities operate, e.g. with regard to decent work and employment and social protection.</p> <p>FI participates actively in the FAO Gender Focal Points Network and supports the implementation of the FAO Policy on Gender Equality. FI's Gender Task Force has taken the lead in undertaking a gender stocktaking exercise and the formulation and implementation of a capacity development programme on gender mainstreaming for FI staff.</p> <p>FAO has launched the Blue Growth Initiative in 2013 as a follow-up up to Rio+20 outcomes, and is being delivered as a major area of work under</p>	<p>The Blue Growth Initiative embraces all aspects of the Code and constitutes a multidisciplinary approach which is being taken up in work carried out by FI with a specific focus on food security and poverty reduction.</p> <p>The SSF Guidelines endorsed by COFI in June 2014, which complement the Code, are a new important global tool which takes a holistic and human rights based approach to development. The implementation of the SSF Guidelines will operationalize this comprehensive approach.</p>	5

Evaluation Recommendation	Action Agreed	Comments on actions taken, including reasons for actions not taken	Impact (changes) of actions taken in terms of programme, policies and/or procedures	MAR score <sup>3</sup>
social, economic and gender analysis and action.		<p>SO2 with contributing activities from the other SOs. Likewise, a regional initiative on Blue Growth (Aquaculture) is being developed and implemented by FAORAP in Asia Pacific.</p> <p>FI has continued and upscaled collaboration with partner organizations with complementary expertise in socio-economic issues relevant to FI, including for example with ILO on decent work and employment.</p> <p>COFI 31 has endorsed the Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the Context of Food Security and Poverty Eradication (SSF Guidelines) which were developed to complement the CCRF. The SSF Guidelines bring together responsible fisheries and social development and addresses, among others, governance of tenure; social development, employment and decent work; value chains, post-harvest and trade; gender equality; and disaster risks and climate change.</p> <p>FI has a high level of activity in S03 - <i>Reduce Rural Poverty</i>.</p>		
<p><b>Recommendation 3: To FI, on CCRF monitoring</b></p> <p>The Fisheries and Aquaculture Department should:</p> <p>(a) develop in a participatory manner with Member Countries, a set of objective indicators and benchmarks for reporting at national and sub-national level on progress in Code implementation;</p>	<p>3.1 The development of a set of objective indicators and benchmarks for reporting at national and subnational level on progress in Code implementation has been an ongoing activity since the adoption of the Code, which depends on the willingness and efforts of Member Countries. For this exercise</p>	<p>The responses to the Code questionnaire provide information which constitutes the basis for developing indicators of implementation of the Code in general and for each component of the Code. It is for this reason that FI has invested effort in finding ways to improve the response rate and is seeking ways to improve the quality and precision of information submitted, including through targeted training at national and regional level.</p> <p>FI has organized a series of national workshops</p>	<p>The monitoring of the implementation of the Code is included as a core activity under SO2 - <i>Increase and improve provision of goods and services from agriculture, forestry and fisheries in a sustainable manner</i>, outcome 3, and Output 3.3.</p> <p>The RFB and INGO questionnaires were radically reviewed and circulated for the first time in electronic format through the Web-based system. Web-</p>	5

Evaluation Recommendation	Action Agreed	Comments on actions taken, including reasons for actions not taken	Impact (changes) of actions taken in terms of programme, policies and/or procedures	MAR score <sup>3</sup>
<p>(b) include in every issue of SOFIA a stand-alone section on the Code, and</p> <p>(c) in consideration of current budget restrictions, propose again to COFI to extend the frequency of the CCRF questionnaire to four years so as to redirect efforts to increase response rates.</p>	<p>to progress, technical regional and global consultations and training will be required.</p> <p>3.2 A stand-alone section on the Code will be included in future issues of the SOFIA.</p> <p>3.3 The Secretariat will propose to COFI to change the frequency of the main CCRF questionnaire to four years.</p> <p>3.4 FAO will develop a more efficient reporting process through electronic means, including for reporting by RFBs and NGOs, together with the development of a database to better manage information submitted and monitor progress of the various components of the Code over time.</p>	<p>to review and develop at national level the questionnaire on reporting on the Article 9 of the CCRF, including in Chile, Egypt, Vietnam, Nicaragua, China, Thailand and Brazil.</p> <p>A special section on the implementation of the Code has been included in the 2014 edition of the State of World Fisheries and Aquaculture (SOFIA).</p> <p>COFI opted to keep the current reporting frequency of two years with the understanding that Web-based reporting would improve the response rate and that FAO would continue to assist developing countries to implement the Code more effectively including, as requested, the compilation of the questionnaire.</p> <p>A Web-based questionnaire has been developed in six FAO official languages and launched in October 2013 with successful results. A 71% increase in response rate by FAO Members has been achieved. The Web-based reporting by RFBs and INGOs increased the response rate respectively by 60% and 175% respectively.</p> <p>The questionnaire was reviewed prior to being launched through the Web-based system. Comments received on particular questions, through the submitted questionnaires, shall be taken into consideration in the next edition prior to COFI 32 in 2016. Specific questionnaires on Article 9 and Article 11 of the Code, which are submitted to the COFI Sub-Committee on Aquaculture and Sub-Committee on Trade respectively, are also currently being developed in the same Web-based platform.</p>	<p>based reporting by RFBs and INGOs proved to be a success – the response rate increased by 60% and 175% respectively.</p>	

Evaluation Recommendation	Action Agreed	Comments on actions taken, including reasons for actions not taken	Impact (changes) of actions taken in terms of programme, policies and/or procedures	MAR score <sup>3</sup>
		<p>Specific tools were developed to analyze the needs of developing countries and a number of capacity development activities were carried out and the most common were regional/subregional/national training sessions and workshops to acquire knowledge and develop technical skills on various aspects of fisheries management.</p>		
<p><b>Recommendation 4: To FI, on an Immediate strategy for Code dissemination</b></p> <p>By COFI 2014, the Fisheries and Aquaculture Department should:</p> <p>(a) develop a Code dissemination strategy for the next 6 years; and</p> <p>(b) Develop strategies to promote, encourage and recognize innovation and achievement by stakeholders such as fishing and fish farmers groups and Member Countries agencies, in promoting the implementation of the Code.</p>	<p>4.1 Review existing CCRF information dissemination and advocacy strategies and means including FAO Web site and CCRF home pages, as well as social media, and develop a new dissemination strategy.</p> <p>4.2 Implement new dissemination and advocacy strategies.</p> <p>4.3 Use novel approaches to help countries effect change among stakeholders.</p>	<p>In accordance with the guidance given by COFI 30 for clearly indexing and streamlining the Code and its related instruments, the pages on the FI Web site related to the Code have been revised.</p> <p>FI supports the Code's implementation in a variety of ways including through regular and field programme activities. Directed activities to support the Code's implementation, including regional and national workshops to deepen the Code's implementation, as well as ongoing work for the development of technical guidelines, the translation of some guidelines and assistance to elaborate national plans of action, are regularly undertaken by FI. Presentations on the Code and its related instruments have been delivered by FI on several occasions, including at international seminars organized by national / regional / international entities including those led by stakeholders of the sector.</p> <p>The 20<sup>th</sup> Anniversary of the Code will be commemorated at major events (e.g. the EXPO 2015 (Milan) in close collaboration with OCC.</p>	<p>In the run-up to the 20<sup>th</sup> Anniversary of the Code and beyond, FI is giving prime importance to reviewing its dissemination and advocacy strategies.</p>	5
<p><b>Recommendation 5: To FI, on a simplified version of the CCRF</b></p>	<p>5.1 Create "ownership" with Code users, by (1) reducing traditional emphasis on a</p>	<p>The over-arching message delivered by FI when promoting the Code is the importance of the role and commitment of all stakeholders in the</p>	<p>FI is fully aware of the importance to disseminate the principles of the Code in a clear, attractive and understandable</p>	4

Evaluation Recommendation	Action Agreed	Comments on actions taken, including reasons for actions not taken	Impact (changes) of actions taken in terms of programme, policies and/or procedures	MAR score <sup>3</sup>
<p>The Fisheries and Aquaculture Department needs to produce a simplified version of the Code, written in plain English, to serve as template for adaptation of the Code to national contexts, and foster its translation into the national spoken languages, and subsequently used as the basis for awareness creation and implementation of the Code at the district level. To support the successful implementation of the Code at national levels, the Code must be more widely appreciated and the Code's principles must be better understood. To achieve this result, a document is required that both describes the essence of the Code, the Code's aim and objectives, the Articles of the Code - avoiding technical, legal, legislative or bureaucratic jargon - and contextualizes the Code by incorporating national examples of irresponsible/responsible and unsustainable/sustainable fisheries practices and management.</p>	<p>“FAO document” and stressing the Code as an intergovernmental agreement and the countries’ commitment to the Code, and (2) suggesting incentives and demonstrating the many benefits that can be derived from implementing and adapting the guidance given with the Code.</p> <p>5.2 Review the 2001 simplified version of the Code and update/modify if necessary.</p>	<p>implementation of responsible fisheries and aquaculture practices with a view to securing a long-term sustainable supply of fish and fishery products.</p> <p>Using simplified and innovative approaches, presentations on the benefits of implementing the Code and related instruments have been delivered in, <i>inter alia</i>:</p> <ul style="list-style-type: none"> <li>- international symposia organized by stakeholders of the fisheries and aquaculture industry;</li> <li>- initiatives of Regional Fisheries Bodies;</li> <li>- intergovernmental fora, including at meetings organized by the UN;</li> <li>- university courses on fisheries governance;</li> <li>- international seminars organized by FAO Members and CSOs.</li> </ul> <p>The review of the simplified version of the Code will be carried out in preparation for COFI 32. It is envisaged that the revised version include elements from the various technical guidelines produced on the implementation of the Code. It will also address the international plans of action, strategies and international guidelines adopted within the framework of the Code, and show linkages between them. Subject to the availability of funds, a short film to complement the document may also be produced.</p>	<p>by all stakeholders manner, so that the Code could be more widely appreciated, accepted and implemented at all levels.</p> <p>The recent adoption of the SSF Guidelines opens new opportunities for better translating the CCRF into the context of SSF.</p>	
<p><b>Recommendation 6: To FI, on Establishing a system for</b></p>	<p>6.1 Define categories of Code instruments,</p>	<p>Categories of instruments developed and adopted within the framework of the Code have been</p>	<p>FI is fully committed to improving the cataloging of the instruments and</p>	<p>4</p>

Evaluation Recommendation	Action Agreed	Comments on actions taken, including reasons for actions not taken	Impact (changes) of actions taken in terms of programme, policies and/or procedures	MAR score <sup>3</sup>
<p><b>relevant and effective CCRF products</b></p> <p>By COFI 2014, the Fisheries and Aquaculture Department should:</p> <p>(a) define the different categories of Code instruments (Technical Guidelines, IPOAs, Agreements, Strategies, etc.), giving consideration to the procedures for the development, review and clearance of each category;</p> <p>(b) establish clear and transparent criteria for assessing the need for new TGs and submit to COFI for endorsement; and</p> <p>(c) ensure that participants in technical consultations represent the diversity of FAO membership and regions, represent the range of necessary fields of expertise including human dimensions, and aim for gender-balance.</p>	<p>distinguishing between guidelines, usually developed by the Secretariat with input from expert consultations, and international instruments (e.g. IPOAs, Strategies, Agreements, and international guidelines) which are negotiated separately in international fora.</p> <p>6.2 Establish criteria for assessing the need for new or updated TGs.</p>	<p>clearly defined in the revised pages of the FI Web site and in the chapter on the Code in SOFIA 2014. A distinction has also been made between the international guidelines which have been negotiated and adopted and the technical guidelines (total of 28, to date) for responsible fisheries drawn up by FI to assist stakeholders in the implementation of the Code.</p> <p>In accordance with the guidance from COFI, priorities for the review of existing technical guidelines and the production of new ones will be set.</p> <p>The requirement for developing or revising technical guidelines on various aspects of the Code is assessed by the relevant branches within FI.</p>	<p>products developed under the Code, and to making them readily accessible to stakeholders.</p> <p>The SSF Guidelines endorsed by COFI in June 2014 have been developed through a participatory process over more than 3 years and are an important new instrument to guide future work of FI on small-scale fisheries.</p>	
<p><b>Recommendation 7: To FI, on Resource Mobilization approach</b></p> <p>The Fisheries and Aquaculture Department should maintain a strategic and programmatic approach to Resource Mobilization through a</p>	<p>7.1 Under the leadership of the ADG/FI and in close collaboration with TC and OSP, prepare a resource mobilization plan. Priority will be given to sustainable aquaculture development, capacity development for</p>	<p>The BGI is one of FAO's Corporate Resource Mobilization areas. Brochures have been prepared and the BGI features in FAO Works that is promoted by TC and FI at the corporate level with major FAO donors. Sustainable aquaculture development, Status and Trends in Fisheries/Aquaculture (STA/STF) and inland fisheries are prominently featured.</p>	<p>FAO has embarked in a comprehensive exercise to lead a coalition of GEF agencies to implement the project on fostering coastal fisheries to be funded by GEF6. Upscaling the CCRF will be a major component of this project.</p> <p>Likewise, the Global Aquaculture Advancement Partnership Programme</p>	5

Evaluation Recommendation	Action Agreed	Comments on actions taken, including reasons for actions not taken	Impact (changes) of actions taken in terms of programme, policies and/or procedures	MAR score <sup>3</sup>
<p>dedicated unit that manages the umbrella programme and has trust and visibility with traditional and new resource partners.</p> <p>In its Resource Mobilization strategy, FI should give priority and make specific effort to mobilize resources for:</p> <p>(a) Sustainable aquaculture development;</p> <p>(b) Capacity development for STA/STF; and</p> <p>(c) Inland fisheries.</p>	<p>STA/STF, inland fisheries, as well as other priority areas within fisheries and aquaculture in the context of food security and poverty elimination.</p>		<p>(GAAP), which has been adopted by COFI Sub-Committee on Aquaculture and COFI 31 is the banner to mobilize resources for sustainable aquaculture development.</p>	
<p><b>Recommendation 8: To FI and TC, on advocacy in development assistance for the implementation of the CCRF</b></p> <p>The Fisheries and Aquaculture Department and the Technical Cooperation Department, including the Investment Centre should engage more effectively with major resource partners, such as the IFIs, to influence their programmes in the fisheries and aquaculture sector towards promoting the implementation of the Code.</p>	<p>8.1 Engage further and strengthen interactions with GEF, World Bank (Global Partnership for Oceans) and other development agencies, IGOs and IFIs active in fisheries and aquaculture and related fields. Such engagement will include promotion of the Code and proposals for specific initiatives.</p>	<p>FI has expanded and strengthened its relationship with TC and international partners with a view to developing joint programmes to enhance the implementation of the CCRF.</p> <p>To promote the BGI as CRM, work TC and FI have engaged with the WB, GEF, ADB (Africa and Asia), OECD, UNEP, UN DOLOS, WWF and others to ensure coherence in fisheries and aquaculture development and its funding.</p>	<p>The endorsement of the International Guideline for Sustaining Small-Scale Fisheries, Port State Measures (PSMA), the Flag-State Performance and the Global Aquaculture Advancement Partnerships have prompted significant interest for support and collaboration by international organizations, such as ILO, Interpol and civil society (e.g. International Collective in Support of Fish workers, 50 in 10, Fish Forever, World Forum of Fish Harvesters and Fish workers).</p>	5
<p><b>Recommendation 9: To FI, on Human Capacity Development within the</b></p>	<p>9.1 Prepare an action plan as follows:</p> <ul style="list-style-type: none"> <li>- conduct a capacity</li> </ul>	<p>1) Since 2012, FAO launched a comprehensive exercise to redefine the necessary skill mix in support of the reviewed Strategic Framework.</p>	<p>The launching of the BGI entails a new focus on HCD to ensure a balance between production growth, social</p>	4

Evaluation Recommendation	Action Agreed	Comments on actions taken, including reasons for actions not taken	Impact (changes) of actions taken in terms of programme, policies and/or procedures	MAR score <sup>3</sup>
<p><b>Department</b></p> <p>The Fisheries and Aquaculture Department should develop and implement an action plan for improving the planning, implementation, coordination, and monitoring of HCD in fisheries and aquaculture. The plan should:</p> <p>(a) be informed by the 2005 Strategic Framework on Human Capacity Development in Fisheries, the 2008 FAO Corporate Strategy on CD, existing success stories and internal support and learning resources;</p> <p>(b) assign to the FI Focal Point for Capacity Development, responsibility for leading the action plan development and implementation within the department;</p> <p>(c) make provisions for training FI staff in incorporating the three dimensions of HCD in their HCD activities;</p> <p>(d) make full use of FI staff comparative advantage as technical experts while facilitating and partnering with other organizations in HCD efforts;</p>	<p>development needs assessment of staff, identify targets and train staff accordingly;</p> <ul style="list-style-type: none"> <li>- conduct an inventory and review of existing FAO products, tools and practices on HCD;</li> <li>- conduct an inventory and analysis of regional institutions involved in HCD – who is doing what, how, when and where and the gaps that need to be filled. Revisit existing HCD strategies and revise if necessary; and</li> <li>- plan for developing guidelines, standards, quality controls and impact measures for HCD interventions.</li> </ul> <p>9.2 Develop guidelines, standards, quality controls and impact measures for HCD interventions.</p>	<p>The aim was to strengthen technical skills of the FI staff, but broaden skills mix to ensure proper support to the cross-sectoral Strategic Objectives for planning and implementing the MTP 2014-17 and PWB 2014-2015. This exercise provided relevant and useful information on skills mix, but did not allow a full assessment of the capacity development needs as agreed. It has however provided information on the skills mix required to support implementation of CCRF within the reviewed Strategic Framework.</p> <p>2) This information will be complemented and used to feed in a future corporate exercise to develop guidelines, standards, quality control and impact measures for HCD interventions. A FI working group has been set-up for this purpose.</p> <p>3) Additional interventions used the FI resources for staff development to train and strengthen technical and operational expertise of several staff. Close coordination with partner institutions (World Fish Center, OECD, WB) is undertaken to coordinate the HCD work.</p> <ul style="list-style-type: none"> <li>- Various projects (e.g. The Nansen programme, FMM, Fund VII, TCPs) have targeted specific training and HCD interventions to address gaps and needs at the national, regional and global levels;</li> <li>- The corporate standards for monitoring and assessing impacts within the new FAO strategic framework will be used to monitor and report on the impact of HCD interventions; and</li> <li>- Close consultation with other institutions (World Fish Center, OECD, the World Bank, NGOs) is undertaken to coordinate HCD work).</li> </ul>	<p>development and sustainable management of aquatic natural resources. Pilot countries are being supported, including the HCD component. Successful experiences will be scaled-up to benefit other countries and regions.</p>	

Evaluation Recommendation	Action Agreed	Comments on actions taken, including reasons for actions not taken	Impact (changes) of actions taken in terms of programme, policies and/or procedures	MAR score <sup>3</sup>
<p>(e) focus on training of trainers and development of national and regional capacity to do HCD work. Regional networks of experts and organizations can be built to assist regional, sub-regional and national HCD implementation;</p> <p>(f) make provision for developing specific guidelines for HCD in EAF and EAA in the three dimensions, i.e. beyond the provision of tools and training activities;</p> <p>(g) ensure HCD standards are set and met and quality control of HCD interventions are imposed; and</p> <p>(h) develop indicators or other means for measuring HCD impacts.</p>				
<p><b>Recommendation 10: To FI, on Human Capacity Development for the implementation of the CCRF in Member Countries</b></p> <p>The Fisheries and Aquaculture Department should support Member Countries and RFBs/RFMOs in developing capacity to implement the Code at the individual, organizational</p>	<p>10.1 Enhance partnerships with RFBs/RFMOs, other agencies, NGOs, universities, and other FAO units dealing with HCD, to strengthen HCD in support of implementation of the Code and its instruments.</p> <p>10.2 Enhance efforts in the development of Country Programming Frameworks</p>	<p>FI has contributed to a training course on Fisheries Governance organized by the Centre for Development Innovation (CDI), Wageningen University for over a decade. FI delivers lectures on the Code with particular focus on multidisciplinary fisheries management approaches, co-management, the implementation of international fisheries management instruments and the role of RFBs.</p> <p>FI has also supported Universities in Africa to develop their capacity for providing training in</p>	<p>Through partnerships with academic institutions and relevant regional and international entities, together with the support of extrabudgetary funds, albeit limited, FI has engaged in effective capacity development programmes both at regional and country level.</p> <p>CSOs are important partners at global, regional and in particular national and local level and through FAO's new strategy for CSO engagement there are</p>	5

Evaluation Recommendation	Action Agreed	Comments on actions taken, including reasons for actions not taken	Impact (changes) of actions taken in terms of programme, policies and/or procedures	MAR score <sup>3</sup>
<p>and enabling environment level by:</p> <p>(a) providing assistance in assessing the actions they need to take to improve their capacity in the three dimensions;</p> <p>(b) strengthening human capacity development as an integral part of plans and strategies for fisheries and aquaculture; and</p> <p>(c) Identifying common needs available expertise and resources, and potential partnerships and networking opportunities at national, regional and interregional levels, which might serve to assist and implement respective HCD plans. Universities and other training organizations should be given special focus as outreach partners for the long term.</p>	<p>with a view to including HCD components supporting fisheries and aquaculture priorities and portfolios.</p>	<p>Fisheries Management and Fisheries and Fish Stock Assessment, providing opportunities for training-of-trainers and by supplying curricula and training support material.</p> <p>FI has organized training programmes in stock assessment and sustainable management of fisheries according to the Code and its practical implementation, the Ecosystem Approach to Fisheries (EAF) for member countries of RECOFI, GFCM, SWIOFC, and SNG and for Iran.</p> <p>FI has enhanced its global capacity development programme on Port State measures to combat illegal, unreported and unregulated fishing through the delivery of a series of regional workshops in collaboration with RFBs, NGOs and other international organizations. FAO has also provided specific support to Thailand in the training of Port inspectors relevant to the PSMA agreement and resolutions of IOTC. This has resulted in the development of a FAO/APFIC training course for training in Port inspections of fishing vessels.</p> <p>During the development process of the SSF Guidelines, civil society organizations played a major role and received support from FI to actively organize the consultation process. These activities contributed to strengthening the organizational capacities of CSOs which participated also actively in the technical consultation of the SSF Guidelines. Regional organizations like SPC, CRFM, WECAFC and others also were important partners in the SSF Guidelines development process.</p>	<p>new opportunities to further support CSOs. The same goes for regional partner organizations.</p>	

Evaluation Recommendation	Action Agreed	Comments on actions taken, including reasons for actions not taken	Impact (changes) of actions taken in terms of programme, policies and/or procedures	MAR score <sup>3</sup>
<p><b>Recommendation 11: To FI, on Fishing capacity reduction</b></p> <p>The Fisheries and Aquaculture Department should increase momentum in addressing the management of fishing capacity, to include complex multi species/multi gear fisheries and small-scale fisheries. It should revise its technical guidance on Fishing Capacity, to better address the complexity of issues that relate to fisheries management, fishing effort and capacity reduction and national economic planning. This should focus especially on:</p> <ul style="list-style-type: none"> <li>- defining excess fishing effort, capacity and over-fishing in view of assessments of resource sustainability and existing fishing capacity and effort levels;</li> <li>- social and economic consequences of, as well as resistance to, effort and capacity reduction on employment, income, food security, poverty; and</li> <li>- links between excess capacity and IUU fisheries management, subsidies and fishing rights.</li> </ul>	<p>11.1 Develop proposals and seek funding for a concerted effort to make progress regarding the governance and technical management of fishing capacity at national, regional and global levels.</p> <p>11.2 Implement work plan and projects for effective governance and management of fishing capacity at regional and sub-regional levels.</p>	<p>FI continues its work on the development and implementation of National and Regional Plans of Action for the Management of Fishing Capacity. FAO and the EU co-organized in 2014 the International Conference on the Management of Global Fishing Capacity.</p> <p>FI assisted Vietnam in the development of its NPOA as well as Congo, Burundi, Zambia, and Tanzania, with the Lake Tanganyika Regional Plan of Action for Managing Fishing Capacity.</p> <p>FAO is also working with countries to facilitate the implementation of the IPOA-Capacity by supporting countries in the development of regional and national plans of action. A major stream of work is undertaken on fishing capacity in Eastern Africa and Indian Ocean, in particular through the projects SMARTFISH and NFPP.</p>	<p>The implementation of IPOAs developed under the Code remains a priority for FI, particularly the IPOA-Capacity and IPOA-IUU which are particularly challenging. The important tasks involved and the limited resources available have resulted in relatively slow progress, but efforts are being made to engage more with RFMOs in order to address these issues more effectively.</p>	4

Evaluation Recommendation	Action Agreed	Comments on actions taken, including reasons for actions not taken	Impact (changes) of actions taken in terms of programme, policies and/or procedures	MAR score <sup>3</sup>
<p><b>Recommendation 12: To FI, on Strategic outlook for sustainable aquaculture</b></p> <p>The Fisheries and Aquaculture Department should engage more vigorously with Member Countries and the private sector, fostering awareness of resource demands associated with further development and intensification of aquaculture, including in particular the pressure on marine resources associated with high demand for under-valued fish and fish meal.</p>	<p>12.1 Work on a global/regional aquaculture advancement programme involving countries. Focus efforts on private sector engagement.</p> <p>12.2 Develop a strategy for raising extra budgetary funds in support of implementation of programme.</p>	<p>FI assisted governments and the private sector, to promote aquaculture development plans in several countries.</p> <p>Technical assistance has been provided to member countries on an array of issues pertaining to sustainable aquaculture development.</p> <p>Regional aquaculture networks have been established in the Africa and Latin America regions. The same process was initiated in the Pacific region in order to support SIDS.</p> <p>Technical assistance has been provided to several countries to address disease control and health management in aquaculture, a major constraint and a concern for investment in sustainable development of aquaculture.</p> <p>Many activities have been conducted as reported in COFI:</p> <p>AQ/VII/2013/2 and the report of the COFI/AQ/VII. FAO/APFIC have been working with regional and international experts and member countries in the Asia region to develop an aquaculture planning and management toolkit for responsible aquaculture development.</p> <p>Scarce extrabudgetary funds have been received and the lack of financial and human resources has affected implementation of some recommendations of COFI and COFI/AQ.</p> <p>The Global Aquaculture Advancement Programme (GAAP), a part of BGI, was endorsed by COFI Sub-committee on Aquaculture.</p>	<p>FI has a robust strategic outlook for the further expansion of sustainable aquaculture worldwide to enhance food and nutrition security and meet the growing demands of quality fish products in the coming decades, in particular under the umbrella of GAAP.</p>	<p>5</p>

Evaluation Recommendation	Action Agreed	Comments on actions taken, including reasons for actions not taken	Impact (changes) of actions taken in terms of programme, policies and/or procedures	MAR score <sup>3</sup>
<p><b>Recommendation 13: To FI, on Aquaculture Certification</b></p> <p>The Fisheries and Aquaculture Department should take stock of – and clarify - its role in certification, in terms of both guidance and possible further engagement in the setting of minimum international standards for sustainable aquaculture development, determining its most appropriate and strategic role in certification and labelling of fish products, with reference to FAO’s mandate and the requirements of the CCRF.</p>		<p>The COFI Sub-Committee on Aquaculture (COFI AQ) guides the work of FI in aquaculture certification.</p> <p>Following the endorsement of the FAO Guidelines for certification in aquaculture, several certification schemes have adopted or claim to have adopted the FAO Guidelines.</p> <p>To ensure that these claims are correct, COFI AQ has requested FI to develop a benchmarking tool that enables interested parties to assess various certification schemes against the FAO Guidelines for aquaculture certification.</p> <p>Likewise, FI is working to develop international guidance for good traceability practices in support of aquaculture certification.</p>	<p>Following the adoption of the FAO Guidelines for certification in aquaculture, certification schemes have been developed, including national and NGOs schemes, with the view to harmonize with FAO Guidelines and provide transparency, in particular in relation to international markets for aquaculture products.</p>	Not scored
<p><b>Recommendation 14: To FI, on the Code and the Ecosystem Approach to Fisheries and Aquaculture</b></p> <p>The Fisheries and Aquaculture Department should explain the EAF and EAA for its primary fisheries and aquaculture sector stakeholders by:</p> <p>(a) Making explicit references to the embodied Articles of the CCRF and its technical guidelines, especially in fisheries management, the precautionary approach, fishing operations, sustainable</p>	<p>14.1 Reinforce and accelerate work on EAF/EAA, including more emphasis on environmental, social and economic aspects, noting that socio-economic wellbeing is one of the three pillars of EAF/EAA.</p> <p>14.2 Make additional and more explicit references to CCRF articles and technical guidelines.</p> <p>14.3 Provide further clarification on definitions, objectives and CBD linkages.</p>	<p>All EAF/EAA work fully acknowledges the importance of considering the three dimensions of sustainability (ecological, social and economic) and of good governance as this is one of the fundamental aspects of the EAF/EAA approach. The nature of EAF/EAA is well documented (FAO 2003 and 2010), including how its principles can be implemented in practice (EAF toolbox, FAO 2012).</p> <p>On 14.2 and 14.3, references exist where the relationship with the Code and CBD has been discussed and clarified (Bianchi, 2008). These are also frequently presented in connection with international conferences where the subject is discussed.</p>	<p>The Blue Growth Initiative promotes sustainable growth and development emanating from economic activities in the Ocean, wetlands and coastal zones that minimizes environmental degradation, biodiversity loss and unsustainable use of natural aquatic resources, and maximizes economic and social benefits.</p> <p>The BGI has refocused FAO’s work clarifying the environment, social and economic dimensions of fisheries and aquaculture, thus reinforcing and accelerating work on EAF and EAA.</p>	5

Evaluation Recommendation	Action Agreed	Comments on actions taken, including reasons for actions not taken	Impact (changes) of actions taken in terms of programme, policies and/or procedures	MAR score <sup>3</sup>
<p>aquaculture and integrated coastal management.</p> <p>(b) Exploring whether the EAF and EAA could be renamed or rebranded to emphasise more its people-centred approach and links with the CCRF.</p> <p>(c) Clarifying:</p> <ul style="list-style-type: none"> <li>- the FAO definition and principles or equivalent, of EAF and EAA;</li> <li>- the environment, social and economic objectives of the EAF and EAA;</li> <li>- commonalities and differences between the EA principles and practices adopted under the Convention on Biological Diversity and its decisions;</li> </ul> <p>(d) Forming partnerships to accelerate, coordinate and assess practical applications with a view to supporting faster development of robust governance and management systems and gathering experience on putting fisheries into Marine Spatial Planning; and</p> <p>(e) Developing the EAF toolbox as a more comprehensive and rebranded</p>	<p>14.4 Identify and develop partnerships and strategic alliances aiming at implementing robust management systems, especially with RFBS/RFMOs.</p> <p>14.5 The EAF/EAA toolbox, will be completed and accommodate relevant tools for fisheries and aquaculture management.</p>	<p>EAF is being used as main framework in many EBF-funded projects relevant to RFMOs (such as the ABNJ programme).</p> <p>Through extrabudgetary funding, FI is assisting many countries with practical implementation of the Code through the EAF/EAA, such as:</p> <ul style="list-style-type: none"> <li>- a collaborative arrangement between BOBLME, NOAA, FAO and APFIC has resulted in the development of a regional training course for capacity building in application of the EAF, which was followed by nationally-driven training courses in Malaysia, Philippines, Thailand and Indonesia;</li> <li>- project development in numerous areas has incorporated ecosystem approach, e.g. Malawi, Lake Chad, and capacity building workshops have been implemented by NFFP and others;</li> <li>- FI carried out projects in different regions in order to enhance implementation of EAF; mainstream EAF in national policies; develop management plans in line with EAF principles. Activities were carried out in Asia and the Pacific, Africa, Caribbean, Central America, Mediterranean, both on marine and inland fisheries (e.g. Norway-funded EAF Nansen, Sweden-funded African Programme, GEF-funded projects);</li> <li>- FI convened a workshop in 2013 with the objective of developing a manual for decision-makers and resource users on how to involve local ecological knowledge in fisheries management; and</li> <li>- a full programme on deep-sea fisheries has been initiated, including a GEF-funded project on the Deep Seas which addresses EAF in</li> </ul>		

Evaluation Recommendation	Action Agreed	Comments on actions taken, including reasons for actions not taken	Impact (changes) of actions taken in terms of programme, policies and/or procedures	MAR score <sup>3</sup>
CCRF toolbox to serve wider Code needs.		<p>deep-sea fisheries and associated biodiversity conservation.</p> <p>Biodiversity conservation and an ecosystem approach are embodied in FAO's International Guidelines on Bycatch Management and Reduction of Discards. FI's efforts to implement the Guidelines are currently focused on minimizing negative impacts associated with bycatch and discarding in tropical coastal trawl fisheries. Increasing the level of FAO technical assistance is planned subject to availability of funds. The FAO Technical Paper 585 on "Fish identification tools for biodiversity and fisheries assessments: review and guidance for decision-makers" was published in 2014.</p> <p>The SSF Guidelines specifically refer to EAF in the guiding principles, confirming the importance of this approach for the implementation of the Code and its related instruments.</p>		
<p><b>Recommendation 15: To FI, on Research in Fisheries and Aquaculture</b></p> <p>By COFI 2014, the Fisheries and Aquaculture Department should have conducted an Expert Consultation to explore the issues concerning research and research systems to support the development and implementation of the Code. In particular, the Consultation should address:</p> <p>(a) what types of research are</p>	<p>15.1 Alternatives to the Expert Consultation will be explored as means to address the important questions posed in this recommendation. Work is ongoing on issues concerning research and research systems to support the development and implementation of the Code, but greater emphasis will be placed on promoting opportunities for strategic alliances with partners</p>	<p>Several activities have been undertaken to identify research issues in support of the implementation of the CCRF. These activities include an expert workshop with CGIAR, the Bellagio Conference meeting Fishing for a Future held in 2013 in collaboration with the World Fish Center, The Hague Summit on Blue Growth and Food Security, the regional expert workshops on the Guidelines for Sustaining Small-Scale Fisheries, the FAO/EC Conference on fishing capacity, related agenda items during the annual meetings of the RFMOs (GFCM, IOTC).</p> <p>Additional key research data and information have been developed through the compilation of</p>	<p>FI has expanded and strengthened its relationship with RFMOs, OECD, the World Bank and UNEP with a view to developing a common understanding of the research issues in support of the implementation of the Code.</p> <p>FI is a partner of the Too Big To Ignore (TBTI) research network on small-scale fisheries. This network, together with partners, is organizing the second World Congress on Small-Scale Fisheries in Merida, Mexico in which FI has two sessions, including one specifically on the SSF Guidelines</p>	5

Evaluation Recommendation	Action Agreed	Comments on actions taken, including reasons for actions not taken	Impact (changes) of actions taken in terms of programme, policies and/or procedures	MAR score <sup>3</sup>
<p>needed to support Code implementation, especially giving greater emphasis on the social science research for rights (including community rights) based governance and inter-disciplinary approaches to understanding social-ecological linkages. Specific recognition should also be given to peoples' science, e.g., traditional knowledge, in fisheries and aquaculture;</p> <p>(b) the organizational and institutional arrangements within which research operates and provides advice/seek directions;</p> <p>(c) how to ensure that research is directed at solving pressing short term practical sustainability issues as well as at developing frameworks to better address longer-term issues; and</p> <p>(d) FAO's roles in coordinating and facilitating research linkages among national, regional and academic agencies in support of the Code.</p>	<p>competent in research coordination and the development of research policy. Such alternatives would rely heavily on partnerships with research agencies.</p>	<p>the questionnaire on the CCRF in general and its Articles 9 (aquaculture) and 11 (utilization and trade).</p> <p>All this research information was presented to COFI 31 in June 2014 and research gaps in support of CCRF were discussed. FI and the World Fish Center are jointly continuing the work on Fishing for a Future, with the financial support from Rockefeller Foundation and the Dutch Government.</p>	<p>implementation.</p> <p>The impact is reflected in Blue Growth, Bellagio document, ICN2, SOFIA, OECD outlook and COFI 31.</p>	
<p><b>Recommendation 16: To FI and FAO, on the strategic role of the organization in</b></p>	<p>16.1 Update the policy and strategy in emergency preparedness and response</p>	<p>Emergency response, rehabilitation and preparedness, including in the fisheries and aquaculture sector, is part of the reviewed</p>	<p>The BGI integrates preparedness and resilience to threats in its action plan, in particular in relation to climate change</p>	<p>5</p>

Evaluation Recommendation	Action Agreed	Comments on actions taken, including reasons for actions not taken	Impact (changes) of actions taken in terms of programme, policies and/or procedures	MAR score <sup>3</sup>
<p><b>emergency, rehabilitation and disaster preparedness in the fisheries and aquaculture sector</b></p> <p>The Fisheries and Aquaculture Department and FAO should develop a corporate policy and strategy defining its role and mandate in emergency, rehabilitation and disaster preparedness in the fisheries and aquaculture sector, in line with the current focus on enhancing resilience. The policy should be informed by the CCRF, ensure that FAO engages exclusively on rehabilitation needs assessment, coordination and technical advisory role and clarify FAO's role in input distribution and boat-building.</p>	<p>relating to fisheries and aquaculture.</p> <p>16.2 Build partnerships and consult stakeholders at all levels, identify and prioritize FAO actions.</p> <p>16.3 Develop guidance to support the sector and partners in preparing for, and responding to emergencies to facilitate transition to development – always ensuring that response is aligned to the Code and other international instruments.</p> <p>16.4 Support policy integration between humanitarian/DRM sectors and the fisheries and aquaculture sectors.</p> <p>16.5 In vulnerable countries, support DRM planning and capacity development for the sector at all levels to build resilient communities.</p> <p>16.6 Carry out capacity development for stakeholders and partners in aligning their preparedness and response actions to the Code.</p>	<p>Strategic Framework, in particular, Strategic Objective 5 on <i>Increasing resilience of livelihoods to threats and crises</i>.</p> <p>Building on the Hyogo Framework for Action and the recommendations made by FAO governing bodies, including the Committee on Fisheries, SO5 supports resilience building, linking humanitarian and development interventions to risk management for the agriculture sectors (including fisheries and aquaculture), and food and nutrition security.</p> <p>SO5 and its related action plan build on best practice and experience in disaster risk reduction and management, such as lessons learnt from the 2005 Tsunami, and in turn help to ensure that disaster prevention, preparedness, response and recovery is consistent with best practices and standards such as the Code of Conduct for Responsible Fisheries.</p> <p>At the request of FAO partners, key instruments have been developed in support of this strategy. These include the Guidelines for the fisheries and aquaculture sector on damage and needs assessments in emergencies, the fisheries and aquaculture emergency response guidance – which cover good practices in technical areas such as fisheries policy and management, fishing gear, vessels and engines, aquaculture, post-harvest, etc. - and section 9 (disaster risks and climate change) of the SSF Guidelines.</p>	<p>and the importance of ecosystems services (blue carbon sinks, protection from erosion, storm and wave damage).</p>	