

**Project Evaluation Series**

# **Mid-term evaluation of the Coastal Fisheries Initiative Global Partnership Project**

**Project code: GCP/GLO/838/GFF  
GEF ID: 9128**

**Annex 6. Summary of findings and recommendations/lessons learned from the child projects' mid-term reviews/evaluations**

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

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# **1. The Challenge Fund-CFI Mid-term Review report (December 2020)**

## **1.1 Summary of findings and lessons learned**

1. The CFI-CF had a slow start following the WB management approval of its concept note in June 2016. While the global component produced two reports by 2017, it was not able to establish the Investment Advisory Facility, through which TA was to be provided in CFI countries to assist development of a pipeline of return-seeking responsible investments in coastal fisheries. Without clarity on the CFI-CF implementation modality, initial country engagement was limited in Peru, where activities were initiated in early 2018.
2. CFI-CF activities accelerated since January 2019, when the new implementation modality was designed and targeted outreach to identify relevant WB country teams was initiated. Subsequently, Indonesia joined the CFI-CF in the summer 2019, Ecuador in the fall 2019, and Cabo Verde in February 2020. Unfortunately, participation of Senegal and Cote d'Ivoire did not materialize. The change in the country mix and the implementation modality in the CFI-CF was formalized in the GEF project amendment, which was approved in August 2020.
3. Activities in Peru were to be scaled up and those in Indonesia, Ecuador, and Cabo Verde to be accelerated in 2020. However, starting with the early termination of the March 2020 mission in Cabo Verde, progress of CFI-CF has been hampered by the Covid-19 pandemic. Several events for consultation and knowledge sharing had been planned but were cancelled or postponed. Nonetheless, each country moved forward through virtual consultation and adjustment of activities towards meeting the required indicators.
4. Meanwhile, the global component has made an important progress towards delivering the Global Knowledge Product. Since the dedicated team was established in 2020, the format of the GKP was determined (i.e. Global Knowledge Competition) through consultation with the larger CFI-CF team, the concept paper was developed, and the contracting process for Competition design consultancy has begun. Given the uncertainty due to Covid-19, the format of Competition, in particular whether there will be in-person component, has not yet been determined.
5. One important lesson learned thus far is that the country mix that had been pre-determined at the CFI Program level at the project concept stage did not necessarily match the situation of World Bank country engagement at the implementation stage. As a result, engagement of all six countries of the CFI Program was not possible in the CFI-CF.

## 2. CFI-West Africa Mid-term Evaluation report (April 2020)

### 2.1 Observations principales

6. Malgré des retards accumulés lors du démarrage du projet, puis dus à l'impact de COVID-19, des efforts sont en cours pour rattraper le temps perdu et mener à bien les activités décrites dans le cadre de résultats du projet d'ici son terme en mai 2022.
7. Pertinence. L'IPC-AO répond bien aux besoins et aux priorités de développement des pays où il est exécuté, de la FAO et du FEM. L'avènement de l'économie bleue ne fait qu'accroître sa pertinence pour la région.
8. Efficacité. À la mi-parcours, les progrès accomplis vers la réalisation des résultats anticipés sous chaque composante du projet sont raisonnablement satisfaisants (voir tableau 1). Une étape essentielle a été franchie avec la préparation d'un état des lieux (ci-après nommés « états de référence ») concernant la gouvernance des pêches et les chaînes de valeur, mais ceux-ci n'ont pas encore amené aux changements et aux améliorations de pratiques envisagés et tous les pays ne sont pas au même niveau. La mise en pratique de l'instrument d'évaluation de la performance des pêcheries a peu progressé, tandis que les activités de réhabilitation des mangroves sont en cours. Une coopérative de transformatrices de poisson a été créée, mais les petits équipements (non prévus par le projet) font défaut pour améliorer la qualité du poisson après débarquement. Bien que le niveau d'interactions au sein de l'IPC-AO entre les trois pays soit très élevé, et que le projet soit officiellement reconnu et approuvé par chaque gouvernement, les interactions avec les autres projets de l'IPC sont limitées et n'ont pas encore permis le partage de connaissances envisagé par le projet. Le système de suivi et évaluation en place est minimal et ne génère pas d'apprentissages. Des efforts de communication sont néanmoins en cours.
9. Efficience. Bien que les déboursements se soient accélérés au cours des 12 mois précédant l'évaluation, sur la période allant du 4<sup>ème</sup> trimestre 2019 au 3<sup>ème</sup> trimestre 2020, et qu'il soit estimé que 33% du budget (subvention FEM) a été dépensé en février 2021 (soit 2.5 ans depuis le début effectif des activités en septembre 2018), cela reste relativement faible à seulement 17 mois de la fin prévue du projet. Les déboursements par composantes s'alignent cependant sur ce qui était attendu. Le mécanisme de partage du personnel entre l'IPC-AO et le projet de partenariat mondial (PPM) gérant l'IPC fait l'objet de peu de suivi. Il est aussi difficile d'évaluer précisément les contributions en nature des co-financements des partenaires de l'IPC-AO.
10. Durabilité. Certaines dispositions ont été prises, notamment concernant l'ancrage institutionnel du projet auprès des institutions gouvernementales partenaires, pour assurer la pérennité des résultats du projet. Elles restent toutefois à renforcer afin que les résultats du projet atteignent au moins un état stable lorsque le projet arrivera à son terme. La difficulté de mobilisation des co-financements des partenaires, de capitaliser sur les bases jetées par le projet et l'impact du COVID-19 risquent d'amoinrir la probabilité d'impact du projet.
11. Facteurs affectant la performance du projet. Un certain nombre de facteurs œuvrent en faveur du projet, tandis que d'autres enfreignent ses progrès. Parmi les facteurs positifs on peut compter : la gestion dynamique du projet et la bonne organisation et la capacité d'adaptation des équipes nationales, notamment face aux contraintes imposées par la pandémie, la motivation du personnel et des partenaires d'exécution, la capacité d'initiative (ex. recherche d'alternatives aux difficultés administratives et de capacité humaine et technique au travers de protocoles d'accord) et la capacité à saisir les opportunités de collaboration au sein de la FAO et avec d'autres institutions sur des thématiques spécifiques, les mesures prises pour institutionnaliser le projet

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auprès des partenaires, et les échanges entre les équipes des trois pays. Ces efforts compensent cependant juste les difficultés que le projet a rencontrées jusqu'à présent pour avancer. Parmi celles-ci on dénombre : un fort roulement du personnel et étiolement de la « mémoire » du projet en conséquence, un nombre d'activités considérables à mettre en œuvre de manière égale dans les trois pays, la difficulté de traçabilité du temps passé par tous les membres du personnel de l'unité de coordination du projet au siège de la FAO et des contreparties des partenaires, la fonctionnalité partielle de certains organes de gestion (ex. Comité de pilotage) qui entrave le pilotage stratégique du projet, le fait que le projet opère en relative isolation par rapport aux autres projets de l'IPC, et des partenariats encore insuffisants – à l'exception de celui établi avec le projet SIDA sur la pêche artisanale – avec les organisations de la société civile et le secteur privé. Les activités de communication et de partage des connaissances ont fait l'objet d'attention récente, mais restent à développer. Le système de suivi et évaluation est actuellement insuffisant pour suivre la contribution du projet à l'IPC plus généralement et pour satisfaire les exigences du projet en termes d'apprentissages.

12. Problématiques transversales. La dimension genre a été bien intégrée au projet, tant au niveau des activités (le cadre de résultats a été rendu sensible au genre) qu'au niveau de la conscientisation des équipes sur l'importance de cet aspect. Les préoccupations environnementales et sociales sont au cœur de l'IPC-AO et en conséquence bien prises en compte.

## 2.2 Conclusions

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

**Conclusion 2. Malgré une amélioration du taux de réalisation des activités au cours des derniers mois, et ce malgré les délais accusés dans la phase de démarrage du projet puis dus à la pandémie de COVID-19, il reste à faire pour que de vrais apprentissages et des changements réels de pratiques et de comportement au niveau des acteurs et des institutions aient lieu.**

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

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

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

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

## 2.3 Recommandations

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

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

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

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

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

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

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

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

### 3. CFI-Latin America mid-term review report (January 2020)

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

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

CRITERION	EQ	FINDING	CONCLUSION	RECOMMENDATION
		<ul style="list-style-type: none"> <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	<ul style="list-style-type: none"> <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.	R2: Reconstruct the Theory of Change and the non-SMART indicators (see suggestions in Annex 7.3) and add robust assumptions
Project Implementation and Application of Adaptive Management Principles	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
		There are still delays with the approval of contracts	Currently the bottleneck is in contracts and acquisitions; the TOR and frame of reference are carried out with the participation of the National Directorate team to avoid shortcomings and in this way, approval is rapid	A12: Review processes that result in weakly formulated projects

CRITERION	EQ	FINDING	CONCLUSION	RECOMMENDATION
	EQ3b	<ul style="list-style-type: none"> <li>The UNDP project performance M&amp;E system, communication and quality control have been exemplary. However, this M&amp;E platform only measures project performance and does not measure the effectiveness of component interventions, as specified in Component 3 since.</li> </ul>	Although the M&E system at the project level is exemplary, it does not have the capacity to measure the effectiveness (that is, the effects) of the interventions, as outlined in the ProDoc.	R5: Develop an M&E and Knowledge platform in real time that measures the effectiveness of management interventions that promotes adaptive learning.
		<ul style="list-style-type: none"> <li>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.</li> </ul>	Adaptive Management (AM) is the key to ecosystem management and to address the complex dynamics, uncertainties and inherent unpredictability of ecosystem services. Nonetheless, the CFI has not applied the principles of AM, largely because of the weak TOC.	R9: Agree on a single definition of the ecosystem management concept to be applied and SMART indicators that inform the extent to which the triple bottom line impacts are achieved using AM and the preferred EBM concept.
		<ul style="list-style-type: none"> <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.
Sustainability	EQ 4	<ul style="list-style-type: none"> <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</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	R6: Strengthen the Binational coordination of the CFI-AL and prepare a risk analysis and a Mitigation Plan.  R3: Update the approaches and indicators related to gender



CRITERION	EQ	FINDING	CONCLUSION	RECOMMENDATION
		<p>of sector policies, plans and mandates with the management of the resilience of ecosystem services in marine-coastal areas.</p> <ul style="list-style-type: none"> <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> </ul>	<p>chains.</p> <p>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.</p>	<p>equity in both countries to mainstream it in the CFI-LA</p>
		<ul style="list-style-type: none"> <li>Environmental hazards associated with persistent chemicals in lower watersheds</li> </ul>	<p>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.</p>	<p>R13: Conduct a survey of the concentrations of persistent pollutants in the water, sediments, and shell and crabs of the Tumbes Mangrove Sanctuary.</p>
Impact	EQ5	<p>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.)</p>	<p>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.</p>	<p>R4: Exchange practical experiences that have been achieved in each country</p>
		<p>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.</p>	<p>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 .</p>	<p>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.</p>

<b>CRITERION</b>	<b>EQ</b>	<b>FINDING</b>	<b>CONCLUSION</b>	<b>RECOMMENDATION</b>
Others	EQ6	The lack of robust assumptions and indicators of SMART outcomes is an unexpected weakness that was found mid-term.	The weak design of the TOC is one of the biggest surprises, given that it was touted to be the strength of the project, despite warnings by the STAP Report. Unless remedied, the poor design will affect future CFI interventions in both countries and elsewhere.	R2: Reconstruct the Theory of Change and the non-SMART indicators (see suggestions in Annex 7.3) and add robust assumptions
		Also, the uncertainty of the magnitude of the potential effects of sewage effluents, agrochemicals, among others that are found in the lower watersheds along the coast of both countries and especially the mangroves of Tumbes was an unforeseen finding that requires data to describe the magnitude of the problem. The estuaries of both countries are of special importance given that benthic resources being harvest and marketed have a mercury bioaccumulation risk for consumers of those products.	Based on the extensive agricultural activity and artisanal gold mining, it is likely that chemical released from with these activities are present in the river basins that overflow into the estuaries along the coasts of both countries.	A13: Conduct surveys of the concentrations of persistent pollutants in the water, sediments, and especially mollusks 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.

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