**FAO/GLOBAL ENVIRONMENT FACILITY**

PROJECT DOCUMENT

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| --- | --- | --- | --- |
| PROJECT TITLE: The coastal fisheries initiative’s global partnership  FAO PROJECT SYMBOL: GCP/GLO/838/GFF | | | |
| Recipient Country: Global | | | |
|  | | | |
| Resource Partner: Global Environment Facility (GEF) | | | |
|  | | | |
| FAO Project ID: 641579 | | GEF Project ID: 9128 | |
|  | | | |
| Executing Partner(s): CI, UNDP, UNEP, WB, WWF and University of Washington | | | |
|  | | | |
| Expected EOD (starting date): 1 October 2016 | | | |
|  | | | |
| Expected NTE (End date): 30 September 2021 | | | |
|  | | | |
| Contribution to FAO’s  Strategic Framework | **a. Strategic Objective: SO2**  **Organizational Outcomes: 2.1, 2.2, 2.3 and 2.4**  **b. Strategic Objective: SO3**  **Organizational Outcomes: 3.1 and 3.3**  **c. Strategic Objective: 4.2 and 4.3** | | |
|  | | | |
| GEF Focal Area IW3: Enhance multi-state cooperation and catalyse investments to foster sustainable fisheries, restore and protect coastal habitats, and reduce pollution of coasts and large marine ecosystems. | | | |
|  | | | |
| GEF/LDCF/SCCF Strategic Objective: Program 7 – Foster Sustainable Fisheries | | | |
|  | | | |
| Environmental Impact Assessment Category: Low risk | | | |
|  | | | |
| Financing Plan: GEF/LDCF/SCCF allocation:  Co-financing:  FAO (in-kind)  UNEP (in-kind)  University of Washington (grant and in-kind)  Subtotal Co-financing:  **Total Budget:** | | | USD 2,652,294  USD 9,200,000  USD 150,000  USD 2,500,000  USD 11,850,000  **USD 14,502,294** |
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# EXECUTIVE SUMMARY

Coastal fisheries represent a critical provider of livelihoods, particularly in coastal areas of developing countries, and they have a key role in ensuring food security as well as economic and social well-being of the populations involved. But there is now compelling evidence of growing global problems in the form of serious and sometimes irreversible damages to habitats, ecological functions and biodiversity of these fisheries; and this at a time when coastal areas are becoming home to an increasing percentage of the world's population. The root causes of these problems are overfishing, use of destructive harvesting practices, poor processing and marketing practices, habitat degradation, pollution and extreme climatic conditions. The key barriers to eliminating these problems are the lack of political commitment for implementing the existing international/national instruments and mechanisms for ensuring sustainable coastal fisheries as well as the insufficient institutional and technical capacities for implementation. The primary constraints to address are: (i) the lack of due and strong governance, (ii) inadequate mechanisms to address growing competition for limited coastal space and resources, (iii) inappropriate economic incentives encouraging overfishing, (iv) absence of a widely agreed methodology for an environmental, social and economic (triple-bottom line) assessment of coastal fisheries performance, and (v) limited possibilities for alternative livelihoods.

The GEF mandate emphasizes the protection of Global Environment Benefits and the promotion of environmentally sustainable development. Under this framework, the Coastal Fisheries Initiative (CFI) Program aims to contribute to the global objective of having coastal fisheries delivering sustainable environmental, social and economic benefits; mainly through demonstrating holistic, ecosystem-based management and improving coastal fisheries governance. The CFI has been developed based on the recognition of the importance of coastal fisheries, the richness of initiatives and experiences in coastal fisheries but also that there is still no globally agreed solution to how to make them environmentally, economically and socially sustainable. Because many actors work independently from one and other and because there is limited capacity in many countries, in particular developing countries, to analyze, coordinate and effectively steer various initiatives towards a similar outcome, there is a great need to improve collaboration and to identify and refine agreed best practices.

As a Programme, consisting of 5 interlinked Projects, the CFI will play an important role in catalyzing greater collaboration and fostering knowledge sharing in coastal fisheries.The CFI will examine how different approaches work in different situations – at the same time as impact is generated on the ground – through its regional/national child projects and in bringing this new knowledge to the international arena to be examined, shared, understood and replicated, as appropriate. The CFI will work towards a more harmonized view on what different approaches and concepts in coastal fisheries mean and can do and promote a more holistic process for and integrated perspective on sustainable management.. The CFI as a Programme will therefore deliver much more than just the sum of its Projects; while individually, the Projects will deliver valuable outputs in their geographies, aggregation of the knowledge gained from activities across a range of projects and contexts, together with the synthesis and dissemination of that knowledge, is something that can only be done at the global level, and thus the CFI is somewhat unique in this respect.

At the core of the Programme are three regional projects (West Africa, Latin America and Indonesia – totaling 6 countries) with common elements such as integrating “ecosystem based management” into fisheries policies, promoting marine protected areas and furthering gender equality. The outcomes of these elements will be shared between projects, creating opportunities to learn from each other’s unique experiences as well as draw lessons across common elements – so that each project will benefit from, and contribute to, the other projects.

The Programmme will, assess fisheries management performance (via the Fisheries Performance Indicators project using a methodology for fisheries assessments from a social, economic and environmental perspective specific to data poor contexts. It will be piloted in the three regions, including this project, to consolidate the tool for wider dissemination globally. Similarly the Partnership Project will play a key role in knowledge sharing and analyses of outputs and outcomes across the three regions and with coastal fisheries globally for the production of global knowledge products and coordination of dissemination mechanisms.

Given the importance of M&E and KS, for each project a total of 25% of funds have been allocated to these components, including 5-10% for M&E, 10-15% for KS within the project and 10-15% for KS with the program. Knowledge sharing products, including the themed product that this project will champion, developed in this project as well as the lessons learned will be shared through the various platforms coordinated by the Global Partnership as well as through regional and national platforms.

The CFI Program is informed by the CFI Theory of Change (Appendix 11), which identified a series of tiered building blocks critical to achieving the program’s outcomes. The projects are expected to progress through these tiers starting with establishing necessary enabling conditions (Tier 1), which will lead to implementing changes in practices (Tier 2), achieving benefits to fisheries and stakeholders (Tier 3) and ulimately leading to system sustainability (Tier 4). This Theory of Change, therefore, provides a programme-level framework for the analysis of emerging challenges and learning across the various initiatives making up the CFI.

The objective of the Project is therefore to strengthen global cooperation and collaboration for the purpose of enhancing the understanding and application of integrated and participatory approaches, among local and global partners who co-develop and utilize frontier tools to assess coastal fisheries performances, and identify empirically effective pathways toward environmental, social and economic sustainability for these fisheries. This is in line with the GEF Focal Area IW3 (Enhance multi-state cooperation and catalyse investments to foster sustainable fisheries, restore and protect coastal habitats, and reduce pollution of coasts and large marine ecosystems); and with the GEF Strategic Objective: Program 7 – Foster Sustainable Fisheries. The Project’s objective is also in line with the FAO strategic framework – more specifically SO1, SO2, SO3, SO4 and SO5 – since it will ultimately contribute to improving fisheries, restoring coastal habitats and more efficient fisheries value chains.

The Project consists of three interlinked and mutually-reinforcing components addressing the barriers and constraints to sustainable coastal fisheries:

Component 1 - *Strengthening of CFI Coordination and Adaptive Management* establishes the institutional structures and methodological tools required for the efficient implementation, monitoring an evaluation of the CFI Program in general and the Global Partnership Project in particular;

Component 2 - *Promotion of Policy Influence and Catalytic Role* implements knowledge management and outreach strategies, aimed at improving the broad sharing of information and knowledge among coastal fisheries as well as explicitly extending the communication outside of the CFI geographies and as wide-reaching as possible;

Component 3 - *Establishment of a Fisheries Performance Assessment Instrument* develops and provides technical support for the wide adoption of, a commonly agreed measurement instrument allowing for an effective coverage of the environmental, social and economic impacts of coastal fisheries; in close collaboration with CFI partners, the academia and research networks.

The total project costs over five years are estimated at USD 14.50 million of which USD 2.65 (18%) is GEF financing and USD 11.85 (82%) is co-financing (mainly in kind) from the FAO, UNEP and the University of Washington. 25% of the total costs is allocated to Components 1 and 2 respectively whereas Component 3 accounts for 39% and the project management costs for 11% of the total.

Without the Project, the potential value of the CFI Program will not be achieved; the key instruments, tools and best practices required for sustainable coastal fisheries would not be developed, widely shared and broadly put into practice. With the Project and its knowledge management and outreach strategies, all actors in coastal fisheries will be better informed about the correctness and effectiveness of their interventions. Moreover, the establishment of a Fisheries Performance Assessment Instrument will allow for a more effective coverage of the triple-bottom line and serve as guide for more efficient policies and practices at national, regional and global levels. The resulting substantial improvements in coastal fisheries management will translate into better jobs, revenues and food security for all the populations concerned. Equally importantly, the Project will contribute to stronger resilience of coastal fishery resources to climate change impacts and to better adaptation by coastal communities dependent on such fishery resources.

The overall potential risk associated with the achievement of the Project’s objectives is rated as low. The only moderate specific risk identified is that some partners in the geographies of the CFI Program might not be willing or able to adopt a more integrated and coordinated approach to coastal fisheries. The mitigation measure indicated is that the Project’s Steering Committee and Reference Group will ensure that the partners are able to work collectively and lessen any issues or differences in their approaches. The other four risks indicated are all rated low and adequate mitigation measures have been identified. None of the Project activities carry any particular risk for causing negative environmental impacts and the environmental review of the Project arrives at the conclusion that the Project may be classified as Low Risk and thus conforming to the pre-approved list of projects excluded from further environmental assessment.

The institutional structure for this present Project has a dual purpose: first, at the program level, with FAO as coordinator of the CFI Program; and, second, at the project level, with FAO as executing agency of the Project. Given this dual purpose, a Global Steering Committee will be acting as the main policy body overseeing the CFI Program, and a Global Coordination Unit will be in charge of coordinating the CFI Program as well as being responsible for the implementation of the Global Partnership Project. A Global Reference Group will also be established, mainly for the purpose of providing an independent oversight of the CFI’s implementation as well as serving as standard-setting channel in the context of the CFI Knowledge Management Strategy and CFI Communication and Outreach Strategy.

The overall Monitoring and Evaluation of the CFI Program will be carried out on the basis of the CFI Program Results Matrix contained in the CFI Program Framework Document. The project-level M&E results, from each of the five child projects, will be linked to the CFI matrix/framework in order to track the respective progress and achievements as well as to provide comparative evidence-based analysis. In addition, midterm and terminal program assessments against the Theory of Change (ToC) will be carried out. The ToC aims to provide a wide-ranging framework that will help the CFI partners to understand how specific project outputs and achievements fit into a broader framework that seeks to track change in coastal fisheries. Following GEF policies and procedures, the relevant IW tracking tools will be updated at the midterm review and terminal evaluation of each child project. The FAO being the executing agency in the case of the Project, the FAO’s Office of Evaluation will field an independent Final Evaluation, which will be carried out three months prior to the terminal review meeting of the project partners, following the GEF Terminal Evaluation Guidelines.

# GLOSSARY OF ACRONYMS

|  |  |
| --- | --- |
| ABNJ | Areas Beyond National Jurisdiction |
| AWP/B | Annual Work Plan and Budget |
| BGI | Blue Growth Initiative |
| BH | Budget Holder |
| CFI | Coastal Fisheries Initiative |
| CI | Conservation International |
| COFI | Committee on Fisheries |
| CPUE | Catch Per Unit Effort |
| CSO | Civil Society Organization |
| EEZ | Exclusive Economic Zone |
| FAO | Food and Agriculture Organization |
| FLO | Funding Liaison Officer |
| FPAI | Fisheries Performance Assessment Instrument |
| GCU | Global Coordination Unit |
| GEB | Global Environment Benefit |
| GEF | Global Environment Facility |
| GRG | Global Reference Group |
| GSC | Global Steering Committee |
| IUCN | International Union for Conservation of Nature |
| LME | Large Marine Ecosystem |
| LTO | Lead Technical Officer |
| M&E | Monitoring and Evaluation |
| NGO | Non-Governmental Organization |
| PIR | Project Implementation Review |
| PPR | Program Progress Report |
| PSC | Project Steering Committee |
| PTF | Project Task Force |
| PTM | Project Task Manager |
| RFB | Regional Fisheries Body |
| RSCAP | Regional Seas Convention and Action Plan |
| ToC | Theory of Change |
| ToR | Terms of Reference |
| UNDP | United Nations Development Program |
| UNEP | United Nations Environment Program |
| WWF | World Wildlife Fund |

# SECTION 1 – Relevance

## 

## 1.1 General Context

1. The Coastal Fisheries Initiative (CFI) has been developed within the framework of the Global Environment Facility (GEF) on safeguarding world oceans and the marine environment and focuses on fisheries carried out within the Exclusive Economic Zones (EEZs) of coastal states. Its aim is to demonstrate and promote more integrated and holistic processes leading to sustainable use and management of coastal fisheries complementing the GEF multi-country Large-Marine Ecosystem (LME) approach. The CFI consists of a combination of national and sub-regional projects, a technical assistance facility to develop a pipeline of investable projects (CFI-Challenge Fund) and a global partnership mechanism for sharing experiences and furthering effective fisheries management globally. The strategic approach lies in its combination of methods that have proven successful for fisheries management and securing sustainable resource utilization.
2. Coastal fisheries represent a critical provider of livelihoods, particularly in coastal areas of developing countries, and they have a key role in ensuring food security as well as economic and social well-being of the populations involved. Marine fisheries are estimated to directly employ over 60 million people, including both fishers and postharvest jobs, and 85 percent are small-scale fishers and fish workers primarily operating in coastal waters in developing countries; almost 300 million people are estimated to depend on the sector. But overfishing, pollution and unsustainable coastal development, are actually contributing to irreversible damage to habitats, ecological functions and biodiversity. Currently, at least 543 aquatic species are on the globally threatened IUCN Red-list. Climate change is compounding such impacts and at a time when coastal areas are becoming home to a growing percentage of the world’s population. The FAO State of Fisheries and Aquaculture Report (2014) released in July of 2016 highlighted the social and economic importance of fisheries to developing countries where the majority of fishers and fish farmers are located. The table below illustrates the relatively high importance of fisheries has as a source of employment and income generation in the regions were CFI will be implemented (Africa, Latin America and the Caribbean and Asia) which make up more thatn 98% of fishers globally.



1. More specifically, fish remains among the most traded food commodities worldwide and is especially important for developing nations, in some cases accounting for more than half of the total value of traded commodities. The figure below illustrates the growing importance of fish as a traded agricultural commodity and the growing value which contributes to sustainable development if fisheries are managed appropriately.



1. It is estimated that overfishing worldwide results in economic losses of up to $50 million annually in potential earnings (Arnason ed al., 2008). Moreover, recent studies suggest that losses in post-harvest handling could be equivalent to around 35% of total catches. This constitutes a substantial opportunity cost in terms of fishers’ incomes and food security. For instance, in West African coastal countries where fish has been a central element in local economies for many centuries, the proportion of animal protein that comes from fish is very high; e.g. 44 percent in Senegal. The same holds for some Asian countries and small island States, where the contribution from fish as a source of protein is also significant; 54 percent in Indonesia. Moreover, the labour-intensive processing methods used by large numbers of people in coastal areas provide crucial livelihood support and are therefore essential for poverty alleviation.
2. Indeed, as the 2014 FAO State of Fisheries and Aquaculture Report notes “achieving [socio-economic] objectives involves monitoring the performance and sustainability of activities relating to the use of aquatic resources throughout the whole value chain, and separately from other agricultural and commercial activities. However, information on the social and economic contributions of the sector is fragmented, often aggregated with other sectors, and with a focus on commercial (rather than artisanal and subsistence) activities of the primary production sector, not fully recognizing the full value chain or associated activities. Such data deficiencies can result in mistaken policies. For example, the contribution of women is poorly assessed and, thus, gender-aware policies cannot be adequately formulated.” The same holds true for information on the status of stocks as shown in many of the CFI countries as listed below:

|  |  |
| --- | --- |
| **Fishery** | **Stock Status** |
| ***Peru & Ecuador*** (from CFI-LAC Project Document) | |
| Dorado | Currently under development |
| Concha prieta / concha negra | In Ecuador, clear signs of overfishing |
| Cangrejo rojo / cangrejo de manglar | Information not available |
| Pomada | No information on the stock |
| Pole and line tuna | In Ecuador, no fishery information. |
| ***Indonesia*** (from CFI-Indo Project Document) | |
| Shrimp | Overexploited |
| Demersal fish | Moderately Exploited |
| Grouper | Fully Exploited |
| Red Snapper | Fully Exploited |
| Flying Fish | Fully Exploited |
| *Decapterus kuroides* | Fully Exploited |
| *Decapterus macarellus* | Moderately Exploited |
| Skip Jack (tuna) | Moderately Exploited |
| Yellow Fin (tuna) | Fully Exploited |
| Big Eye (tuna) | Overexploited |
| ***Cabo Verde, Senegal, Côte d’Ivoire***[[1]](#footnote-1) | |
| Small pelagics - CECAF North | |
| Sardine *S. pilchardus* Zone A+B | Non-fully exploited |
| Sardine *S. pilchardus* Zone C | Non fully exploited |
| Sardinella *S. aurita S.maderensis Sardinella* spp. Whole subregion | Overexploited |
| Horse mackerel *T. trachurus* Whole subregion | Fully exploited |
| Horse mackerel *T. trecae* Whole subregion | Overexploited |
| Chub mackerel *Scomber colias* Whole subregion | Fully exploited |
| Anchovy *Engraulis encrasicolus* North Fishery | Overexploited |
| Bonga Ethmalosa fimbriata | Overexploited |
| Small pelagics - CECAF South | |
| Sardinella *Sardinella aurita* West12 | Overexploited |
| *Sardinella maderensis* **West** | Fully exploited |
| *Bonga E. fimbriata* West | No reliable results from model. Catches fluctuate annually |
| Anchovy (*E. encrasicolus*) West | fully exploited |
| Horse mackerel and other *Carangidae Trachurus* *trecae* West | No reliable results from assessments |
| Demersals- CECAF North | |
| *Arius spp* | Non- Fully Exploited |
| *Pseudotolithus spp.* | Not conclusive |
| *Epineplehus aeneus* | Overexploited |
| *Pagrus caeruleostictus* | Not conclusive |
| *Dentex macropthalmus* | NA |
| *Pagellus belottii* | Non-Fully Exploited |
| *Parapenaeus longirostris* | Non-Fully Exploited |
| *Parapenaeus longirostris* | Non-Fully Exploited |
| *Penaeus notialis* | Overexploited |
| *Octopus vulgaris* | Overexploited |
| *Sepia officinalis* | Non-Fully exploited |
| *Loligo vulgaris* | Not Known |
| Demersals- CECAF South |  |
| *Cephalopholis taeniops* | Fully exploited |
| *Muraenidae* | Fully exploited |
| *Pseudopeneus prayensis* | Fully exploited |
| *Seriola spp* | No results from assessment |
| *Diplodus spp* | No results from assessment |
| *Brachydeuterus auritus* | Overexploited |
| *Galeoides decadactylus* | Overexploited |
| *Dentex spp.* | No results from model |
| *Pagellus bellottii* | Overexploited |
| *Pseudotolithus spp* | Fully exploited |

1. The key threats to coastal fisheries are:

* Overfishing, particularly of high-value target species;
* Use of inappropriate or destructive harvesting practices that also cause harm to non-target species and habitats, as well as mining of coastal resources such as sand, stones, corals, etc.;
* Poor handling, processing, distribution and marketing practices that reduce the nutritional and commercial value of harvested fish;
* Habitat conversion and degradation – including land reclamation and the use of mangroves for fish processing as well as inappropriate installation of tourism infrastructures, ports, etc. – thereby degrading coral reefs and other coastal habitats;
* Pollution at sea as well as in the coastal areas, mainly from settlements, mining sites and the emerging issue of micro-plastics; and
* Erratic and extreme climate conditions.

1. The first barriers to reducing and eventually eliminating these threats are:

* The lack of political will and therefore commitment for implementing the existing international and national instruments and mechanisms for ensuring sustainable coastal fisheries;
* The non-existent or only partial implementation of these instruments and mechanisms;
* The insufficient institutional and technical capacities for their implementation.

1. The main constraints causing these barriers are as follows:
2. Lack of strong governance. The roles and responsibilities of the often weak and underfunded relevant fishery institutions are poorly defined or overlapping, and an effective implementation of rules and regulations is frequently lacking. Moreover, there is often limited involvement of resource-users in decision-making**,** which tends to weaken the soundness of the decisions taken as well as the adhesion of the users.
3. Inadequate mechanisms to address competition for limited coastal space and resources.Ways and means of arbitrating and regulating the competing uses of coastal space and related resources, between fisheries and also with other activities, are often absent. This is partly due to the inadequacy of the policy and institutional contexts for integrating fisheries into multi-sectoral approaches through cross-sectoral planning. The situation is exacerbated by the absence of coordination, knowledge sharing and therefore synergies among various approaches and initiatives related to coastal fisheries by different government, non-government and international agencies.
4. Inappropriate and sometimes conflicting economic incentives encouraging overinvestment and overfishing.For instance, misguided direct and indirect subsidiescan lead to damageable and unsustainable fishery activities. Moreover, different treatments for diverse resource-users encourage organized resistance to changes and can inhibit the realization of effective and sustainable fisheries.
5. Absence of an all-encompassing performance assessment instrument for coastal fisheries.Presently, there is no agreed understanding on how to measure the environmental, social and economic impacts (triple-bottom line) in data-poor fisheries. The wide diversity of methodologies uses makes it extremely difficult to compare the different approaches used by countries and/or agencies, and draw up lessons or share them in appropriate formats. It therefore impedes seriously the wide sharing of knowledge and best practices for achieving sustainable coastal fisheries management;
6. Limited possibilities for alternative livelihoods. Most of the people involved all along the fisheries value-chain (from fishing to processing and marketing) have very few alternatives in terms of jobs and sources of revenue. Often, they have to remain involved in unsustainable and destructive activities because of a lack of other income-generating opportunities.
7. Reducing and eventually eliminating these constraints and barriers will definitely require concerted efforts as well as knowledge sharing and wide coordination among all the partners involved in coastal fisheries. The Coastal Fisheries Initiative (CFI) Program consists of a combination of three sub-regional projects covering selected countries in West Africa, Latin America and Indonesia, in addition to a technical assistance facility to develop a pipeline of investable projects (CFI-Challenge Fund) and the present CFI Global Partnership Project. While all five projects are aimed at overcoming the constraints and barriers, the present CFI Global Partnership Project is focussing on program coordination and knowledge management for the purpose of furthering effective fisheries management globally.

## 

## 1.2 Rationale

1. Baseline projects and investments for the next 3-5 years addressing the identified GEB threats and causes (main co-financing sources of the project)
2. The regular work of the FAO Fisheries and Aquaculture Department is set out by the Committee on Fisheries (COFI) and centres on “Sustainable management and use of fisheries and aquaculture resources” and is therefore particularly relevant in the present context. It focuses on: (i) improved formulation of policies and standards that facilitate the implementation of the Code of Conduct for Responsible Fisheries and other international instruments, as well as response to emerging issues; (ii) improved governance of fisheries and aquaculture through the establishment or strengthening of national and regional institutions, including RFBs; (iii) improved state of fisheries resources, ecosystems and their sustainable use through more effective management of marine and inland capture fisheries; (iv) increased production of fish and fish products from sustainable expansion and intensification of aquaculture; (v) operation of fisheries, including the use of vessels and fishing gear, is made safer, more technically and socio–economically efficient, environmentally-friendly and compliant with rules at all levels; (vi) more responsible post-harvest utilization and trade of fisheries and aquaculture products, including more predictable and harmonized market access requirements.
3. Different mechanisms exist to facilitate global cooperation and coordination on marine fisheries issues. Key amongst these is the Regional Secretariats Network of the Regional Fisheries Bodies (RFBs) which is meant to facilitate information exchange among the different RFB Secretariats. There are currently around 50 RFBs with various mandates and capacities, some having no formal management mandate. RFBs are increasingly working with the Regional Seas Conventions and Action Plans (RSCAPs) promoting an ecosystem-based approach. Moreover, RFBs and RSCAPs are involved in a number of LMEs projects with important initiatives in ecosystem governance and management. In the case of the Areas Beyond National Jurisdiction (ABNJ), the GEF-supported Program “Global sustainable fisheries management and biodiversity conservation in the ABNJ” does promote efficient and sustainable management of fisheries resources and biodiversity through partnerships amongst the different organizations involved (private concerns, foundations, development agencies, etc.). So far however, there are no fully-functioning cooperation and coordination mechanisms for coastal fisheries within the EEZs.
4. Efficient cooperation and coordination mechanisms imply the use of a common methodological approach for facilitating the transfer and generalization of the lessons learnt in different ongoing programs and projects. Presently, there are methodologies being developed for low-information stock assessment. These utilize different combinations of species life history traits along with time series of landings, size composition and Catch per Unit Effort (CPUE), to provide an index of stock size and an indication of whether current fishing pressure is sustainable. Also, FAO has developed a monitoring system for the state of world fisheries since 1974, providing data on production, value, effort and employment at the country or regional level. Moreover, environmental outcomes are the focus of Marine Stewardship Council certification at the fishery level; the Ocean Health Index and the Environmental Performance Index, both integrate fishery metrics within their broader environmental assessment tools. However, relatively few of these methodologies address the enabling conditions – the legal policy context, institutional arrangements and capacities throughout the value chain – leading to projected outcomes. There is still no agreement on a methodological tool for an effective and all-encompassing coverage of the triple-bottom line (environmental, social and economic aspects).
5. Remaining barriers to address
6. As already indicated, there are still no fully-functioning cooperation and coordination mechanisms for coastal fisheries. But the ABNJ Program has shown the way in terms of the initial steps to take for greater coordination between various relevant organizations and projects. One lesson learned to date is that good governance and efficient use of resources along the value-chain are two key knowledge areas necessary for improving fisheries management. It is also obvious that setting up cooperation and coordination mechanisms is not sufficient; these mechanisms must be transmitting concrete and practical knowledge to retain the interest and involvement of all the actors.
7. Concerning the need to have a common methodological approach for efficient cooperation and coordination mechanisms, the present wide diversity in methodologies constitutes an important obstacle. Each methodology is based on different measures and combines them differently and at different levels, to meet the purposes and goals of the supporting organizations. Key points of divergence include: (i) enabling conditions in terms of governance and management as well as political and social criteria, (ii) models used for assessing catalytic changes, (iii) scope of actors considered, and (iv) data requirements. Although the methodologies are all meant to support altering fisheries governance to improve outcomes, they are, in many cases, assessing different factors based on their intended pathways for change.
8. Incremental/additional reasoning
9. Globally small-scale and coastal fisheries are under threat from overfishing, pollution and climate change. Consequently, coast communities, in particular fishing communities in many developing countries are struggling to advance socially and economically making sound fisheries management decisions difficult in the face of food security and poverty. Current efforts to sustainably manage these fisheries and to support coastal fishing communities have yielded some success stories. Factors such as weak governance and limited monitoring control and surveillance, along with up to 30% of catch waste and losses along the seafood value chain create challenges in making the needed changes at national and community levels. Existing initiatives such as fisheries improvement projects, multiple-use community based marine protected areas and innovative financing are suggesting change is possible. While there has been progress with some changes along with the sharing of lessons learned and success stories, it is slow these have not translated wider fisheries management changes. There is a need to accelerate and scale up promising new approaches to fisheries management and support to fishing communities, especially in light of the emerging sustainable development goals and the 2030 Agenda.
10. The GEF mandate emphasizes the protection of Global Environment Benefits (GEBs) and the promotion of environmentally sustainable development. Under this framework, the CFI will have a strong focus on ecosystem health, but it will succeed only if it is supported by action in the social and economic dimensions. Food security will be a priority, especially in the context of poverty and livelihood dependence on fisheries among many coastal fishing communities. The goal and objectives of the CFI are in line and support the achievement of the Sustainable Development Goal. The CFI aims to contribute to the global objective of having coastal fisheries delivering sustainable environmental, social and economic benefits; mainly through demonstrating holistic, ecosystem-based management and improving coastal fisheries governance and better use of seafood along the value chain and ensuring the outcomes of the CFI are shared globally (see CFI Strategic Framework, Appendix 5).
11. The CFI is a new concept that uses a holistic approach to the process of establishing better governance arrangements for coastal fisheries as a core value and which will underpin its activities. This holistic approach has several important dimensions. It recognizes the importance of addressing all three pillars of sustainable development – the environmental, social and economic dimensions – and ensuring that attention to all of these is integrated into all of CFI's activities on the ground. In the environmental dimension, this will require taking an ecosystem approach to management of coastal fisheries, ensuring the maintenance of ecosystem functions and taking into account interactions with other linked ecosystems. In the social dimension, it will mean adopting a participatory, inclusive approach that engages with all the stakeholders involved in coastal fisheries, and takes full account, from the start, of their objectives and priorities in fisheries and their rights to livelihoods, to food, and to representation and participation in decision-making processes. In the economic dimension, it will recognize that economic viability, and realizing the economic potential of fisheries in coastal areas, will be the key to achieving sustainable fisheries. The holistic approach will be based on the following guidelines principles: (i) participation and inclusiveness, (ii) gender equality and equity, (iii) compatibility with international instruments, (iv) adaptability and flexibility, (v) building on strengths and addressing the whole fisheries value chain, and (vi) transparency and accountability.
12. The CFI has been developed based on the recognition of the importance of coastal fisheries, the richness of initiatives and experiences in coastal fisheries but also that there is still no globally agreed solution to how to make them environmentally, economically and socially sustainable. Because many actors work independently from one and other and because there is limited capacity in many countries, in particular developing countries, to analyze, coordinate and effectively steer various initiatives towards a similar outcome, there is a great need to improve collaboration and to identify and refine agreed best practices.
13. As a Programme, consisting of 5 interlinked Projects, the CFI will play an important role in catalyzing greater collaboration and fostering knowledge sharing in coastal fisheries globally.The CFI will examine how different approaches work in different situations – at the same time as impact is generated on the ground – through its regional/national child projects and in bringing this new knowledge to the international arena to be examined, shared, understood and replicated, as appropriate. The CFI will also examine existing initiatives and results generated by such programmes and projects with a view to identify good (and bad) practices, including from ongoing LME projects. The CFI will work towards a more harmonized view on what different approaches and concepts in coastal fisheries mean and can do and promote a more holistic process for and integrated perspective on sustainable management. This implies an integration of approaches and priorities in respect of sector-focused management, safeguarding of human well-being, biodiversity and ecosystem health, postharvest and value chain, and wealth and investments. The CFI as a Programme will therefore deliver much more than just the sum of its Projects; while individually, the Projects will deliver valuable outputs in their geographies, aggregation of the knowledge gained from activities across a range of projects and contexts, together with the synthesis and dissemination of that knowledge, is something that can only be done at the global level, and thus the CFI is somewhat unique in this respect.

The Programme consists of 5 inter-linked Projects that benefit from, and contribute, to each other to ensure a Programme that is greater than the sum of its individual parts (Appendix 6). At the core of the Programme are three regional projects (West Africa, Latin America and Indonesia – totaling 6 countries), which are structured to test and pilot frontier tools and approaches in these three geographies. Each regional project is tailored to its own regional context, and contains unique elements (e.g. CFI-Indonesia is developing a trust fund; CFI-LA is conducting an Ocean Health Index assessment; CFI West Africa is improving working conditions). There are also some similar or common elements such as integrating “ecosystem based management” into fisheries policies, promoting marine protected areas and furthering gender equality. The outcomes of these elements will be shared between projects, creating opportunities to learn from each other’s unique experiences as well as draw lessons across common elements – so that each project will benefit from, and contribute to, the other projects.

1. These three regional projects are supported by the Challenge Fund Project, which will provide technical asssistance for the development of a pipeline of investable projects, while providing a platform for interested investors to engage early and adequately assess—and address—potential investment risks. The Challenge Fund will also benefit from the on-the-ground linkages to expertise and experience that the projects can provide. The ultimate outcomes are private investments made in the fisheries of the three regions.The Challenge Fund will benefit the regional projects by providing access to technical assistance for developing investable projects and ties to potential investors. At the same time, the regional projects will contribute to the Challange Fund by providing local knowledge and context, including fisheries assessment information
2. Coordination of CFI , including ensuring the projects are working together as a Program, assessing fisheries management performance (via the Fisheries Performance Assessment project), conducting analyses of the four projects’ outcomes and M&E activities, and sharing knowledge within and beyond the CFI Programme, will be managed through the Global Partnership Project. The FPA project will develop a methodology for fisheries assessments from a social, economic and environmental perspective suitable to data poor contexts. It will be piloted in the three regions to consolidate the tool for wider dissemination globally. It will benefit the projects by providing access to the latest tool for assessing the status of their fisheries ato guide data collections for key indicators and to provide pathways towards sustainability. In turn, projects will contribute to FPA by providing data and serving as a testing ground for the tool
3. Similarly the Partnership Project will play a key role in knowledge sharing and analyses of outputs and outcomes across the three regions and with coastal fisheries globally for the production of global knowledge products and coordination of dissemination mechanisms (e.g. Listserves, webinars, knowledge products, website, workshops, newsletters, blogs, stakeholder exchanges, conferences) (Figure 1). Contributions from the other 4 projects will be critical to the success of this KS. At the same time, the other four projects will benefit from learning about experiences from the other projects as noted earlier. Given the importance of M&E and KS, for each project a total of 25% of funds have been allocated to these components, including 5-10% for M&E, 10-15% for KS within the project and 10-15% for KS with the program.

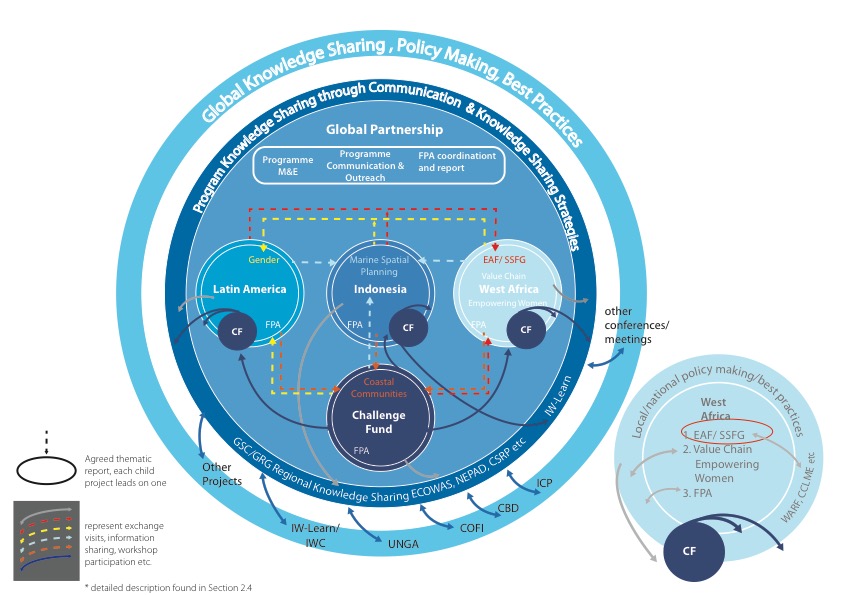


Figure 1: Knowledge Sharing

1. Overall guidance of the programme will be provided by a Global Steering Committee and technical advice as needed through a Global Reference Group (Figure 2).



Figure 2: Institutional Structures

1. The CFI Program is informed by the CFI Theory of Change (Appendix 7), which identified a series of tiered building blocks critical to achieving the program’s outcomes. The projects are expected to progress through these tiers starting with establishing necessary enabling conditions (Tier 1), which will lead to implementing changes in practices (Tier 2), achieving benefits to fisheries and stakeholders (Tier 3) and ulimately leading to system sustainability (Tier 4) (Figure 3 in Appendix 7).
2. This Theory of Change, therefore, provides a programme-level framework for the analysis of emerging challenges and learning across the various initiatives making up the CFI. It has also be used to formulate a small set of indicators to provide insights into how the various activities lead to change, and will be measured at the beginning, mid-point and end of the project.
3. The Program Results Framework builds upon the CFI Theory of Change, specifically the Tier 1 enabling conditions, which are focused around conditions and incentives for stakeholders, institutions and collaboration. As noted in the first component, CFI will promote sustainability incentives in the value chain addressing the need for correct incentives at the harvesting stage, including new or amended management regimes, reduction in post-harvest losses, implementation of private-public partnerships and development of innovative market incentive systems. As noted in the second component, CFI will strengthen institutional structures and processes, including policy, legislation and institutions, including co-management and access rights regimes, and integrate MPAs into fisheries. Finally, as noted in the third component, CFI will share best practices, promote collaborate and strengthen fisheries performances measures and assessments.
4. Within the Programme, the objective of the Global Partnership Project is to coordinate the other four CFI projects described above so that collectively the CFI Program goal is achieved. Given the strong coordination and knowledge management role of the Global Partnership Programme across the four CFI projects, within the Results Framework, this project will contribute strengthening the impact of the CFI interventions and outcomes through coordination of project outputs, knowledge sharing.
5. However, without a global partnership in place among the different actors involved in coastal fisheries (mainly government, non-government and international agencies), the systematic cooperation and coordination necessary for sustainable ecosystem-based management and improved governance would probably never exist. This would continue to lead to a diversity of approaches, some of which may be at odds with each other and missing the mutually reinforcing effects that a common vision would bring. National, regional and global efforts to halt the decline in fisheries performance would not be informed by the best experiences and practices of the various actors. Dissimilar concepts could be promoted by separate agencies and the development of a holistic approach to coastal fisheries management would probably never be achieved.
6. As lead Agency for the CFI, FAO will ensure through the Global Partnership Project that the Program will be managed by the implementing Agencies via the Global Steering Committee, supported by a Global Reference Group. These bodies will support the coordination and communication required between the different projects in order to maintain a technical synchronization of activities and maximize synergies. They will also serve to analyze changing priorities or conditions for implementation to review programming and allocation of efforts, and further, they will facilitate south south cooperation and technology transfer between the participating countries allowing lessons learned to be replicated efficiently. The Global Coordination Unit, the Global Steering Committee and the Global Reference Group will support the coordination and communication required between the different projects in order to synchronize activities and synergies. Members of the Global Reference Group serve in their individual capacities, not as institutional representatives.
7. In particular, without the Global Programme, the existing situation of partial exchanges of information and limited joint lessons learning between some of the agencies will continue. The results of testing new tools and practices will not be adequately disseminated, resulting in duplication of efforts and inefficient resource allocation. With GEF support, the Project will be able to leverage existing investments, capacities and knowledge within several GEF agencies and other partners supporting coastal fisheries management so that the above problems are addressed.
8. Extensive efforts have been made by numerous stakeholders to improve the sustainability of coastal fisheries, and high levels of commitment and dedication have been invested. As a result of these efforts, vast amounts of knowledge, lessons and information have been generated to the extent that some of those wishing to benefit from such information may feel overwhelmed and frustrated in their attempts to retrieve and utilise information that may be relevant to their specific contextual needs. At the same time, those who have generated this knowledge, and who wish to share it, may be unsure about how to do so effectively. Some coastal states often voice concerns that they do not have the technology, knowledge and capacity to more effectively manage their coastal resources because the subject is so complex and dynamic. To effectively prepare and implement interventions that result in more sustainable fisheries requires a means of accessing the latest crosscutting knowledge of cost-effective and tested solutions, and the CFI Programme intends to provide the means of collecting, collating and diseminating relevant knowledge that is derived from both CFI and non-CFI activities; it will deliver unique and comprehensive knowledge management and communications platforms to support sustainable coastal fisheries management. (Figure 1) and where relevant include existing and emerging platforms and social media.
9. The Global Partnership will facilitate and coordinate the sharing of lessons learned from the unique and tailored activities of each project not only between the projects, but also more widely at local, national, regional and global levels. Knowledge sharing will include agreed crossing cutting themes which will be championed by one of the projects that will coordinate and be supported by the Global Partnership project to synthesize the information for the development of a unique knowledge product (video, ebook, posters etc.) on themes such as gender, MSP or innovative financing.
10. Given that there are different methodologies being used to measure and compare various fisheries performance – thus impeding the collation, synthesizing and dissemination of experiences and lessons – it is now urgent to engage in a consultative process to arrive at an agreed understanding on how to assess the environmental, social and economic impacts in data-poor fisheries (based on the experience acquired so far) and develop a fisheries performance assessment (FPA) instrument allowing for an effective coverage of the triple-bottom line. The pluralism of locally determined project objectives will continue, but lessons learnt and best practices can then be shared and interpreted across contexts with this new instrument. Moreover, an all-encompassing fisheries performance instrument will better inform actors about the effectiveness of their interventions.
11. The broad goal of the Fisheries Performance Assessment instrument (FPAI) is to systematically organize information on triple-bottom line fishery outcomes and to associate them with the exogenous and management-influenced drivers that improve performance. The instrument to be developed for FPA will have the following capacity: (i) assess and track performance of the state of coastal fisheries, (ii) enhance information on pathways and management interventions that lead to improvements in performance, and (iii) facilitate knowledge sharing and lessons learnt aimed at replicating successful cases, as recommended by the two-day expert consultation workshop held in February 2016 at the FAO Headquarters in Rome. The FPA instrument will be tested by the 3 regional child projects as well as fisheries not subjected to CFI interventions.
12. The FPAI will support knowledge sharing, particularly about the types of interventions that best improve triple-bottom line fishery outcomes in different contexts. It is not meant to replace project-specific M&E systems, but rather to provide a readily usable methodology that projects can use to ensure a common and uniform standard of monitoring across the triple bottom line (see Technical document on FPAI, Appendix 9).
13. The environmental benefits derived from the Project will primarily be in the safeguarding of the sustainability of globally important coastal fisheries and associated ecosystems, including diversities in coastal fisheries resources. Moreover, as coastal fisheries areas are often nurseries for oceanic species, investments in sustainable coastal fisheries reinforce the numerous conservation efforts of large marine areas outside the EEZs. Without the effective partnerships and coordinated efforts that the Project will promote, such global environmental benefits would instead be very limited.

## 1.3 FAO’s comparative advantages

1. FAO is the United Nations agency with competency in all areas of fisheries and aquaculture, and enjoys a worldwide reputation, including with its 191 member countries, for the quality and effectiveness with which it is fulfilling its mandate. The Fisheries and Aquaculture Department provides technical inputs to the COFI which is presently the only global inter-governmental forum where major international fisheries and aquaculture problems and issues are examined. COFI is also used as a forum in which global agreements and non-binding instruments are negotiated. FAO has a long and successful track record of building capacity and promoting regional collaboration in fisheries, through its country offices and also its technical/administrative support to RFBs.
2. FAO has also developed instruments setting global standards for fisheries management, fighting IUU and bycatch. It has also led work on implementing an ecosystem approach to fisheries and has produced codes of practices and standards related to product safety and responsible trade, including guidelines for the eco-labelling of fish and fishery products. Moreover, FAO holds a leadership role in global fisheries information with the Coordinating Working Party on Fishery Statistics Secretariat for fishery statistical data standards, and the Fishery Information Resources Monitoring System Secretariat which coordinates fisheries. FAO chairs the i-Marine initiative which promotes innovative distributed data infrastructure in support to the ecosystem approach to fisheries management and conservation of marine living resources.
3. FAO is above all a global policy setter, facilitator and coordinator, in addition to carrying out specific development programs and projects in the field of food and agricultural production, processing and marketing. FAO’s comparative advantages in the present project are derived from the following parts of its mandate:

* Facilitate and support countries in the development and implementation of international agreements, codes of conduct, technical standards and other international instruments through global governance mechanisms and policy dialogue;
* Advise and support countries on their active and informed participation in the development of those global and regional international instruments and on developing the policies and institutional capacities necessary for their implementation at national and regional level;
* Assemble, analyze, monitor and improve access to data and information in areas related to FAO’s mandate, including global and regional trends and perspectives and associated responses by governments and other stakeholders (e.g. policies, legislation and actions);
* Facilitate, promote and support better governance and policy dialogue at global, regional and country levels;
* Advise and support capacity development at country and regional level, to prepare, implement, monitor and evaluate evidence-based policies, investments and programs;
* Facilitate partnerships for food and nutrition security, agriculture and rural development between governments, development partners, civil society and the private sector;
* Carry out advocacy and communication programs at national, regional and global levels in the context of its mandate; and
* Support its member-countries in formulating investment options to promote inclusive value-chains and targeted provision of public goods.

## 1.4 Participants and other stakeholders

1. GEF is the main donor of the CFI Program and FAO is the GEF Lead Agency for the CFI Program as well as the GEF Executing Agency for the Global Partnership Project. The five other GEF Executing Agencies for the four other child projects are: Conservation International (CI), United Nations Development Program (UNDP), United Nations Environment Program (UNEP), World Bank and World Wildlife Fund (WWF). The University of Washington will also act as partner - although not being a GEF agency – in the case of the Global Partnership Project. In addition, the CFI will continue to ensure broad participation and involvement of other key stakeholder representatives. In addition to project partners engaging their internal networks (regional, national and local offices/chapters) and external partners, the CFI Global Partnership project in collaboration with the child projects will have a presence at major meetings (e.g. COFI) and events (e.g. World Food Day) to promote the Programme and to link to the work of the CFI projects with non-CFI projects in two-way dialogues and activities through direct engagement, sharing knowledge products and promoting the Programme website, twitter feeds, exchange of twitter hashtags and blogs.
2. For example, the Global Partnership Project will set up a Global Reference Group (GRG) to provide independent oversight of the CFI’s implementation and also serve as a standard-setting channel for the information and knowledge shared within and beyond the context of the Global Partnership Project. Membership will include experts acting in their individual (rather than institutional) capacities, representing RFBs, regional projects, producers groups and others involved in the fisheries value-chains, CSOs and the academia. The GRG will extend its membership as needed while ensuring a proper north/south and gender representation. The TOR and current membership of the GRG is included in Appendix 10 (Report of CFI Stakeholder Consultation in Vitorchiano/Italy). Appendix 11 provides a list of CFI Consultations demonstrating the high degree of inclusion during the development phases. This level of consultation will be maintained over the CFI implementation through the various bodies mentioned here above.

## 1.5 Links to national development goals, strategies, plans, policy and legislation, GEF focal area and FAO’s strategic objectives

1. Alignment national development goals and policies

Not relevant in the present context.

1. Alignment with NAPA, NAPs, NBSAP, NIPs, NAMA

Not relevant in the present context.

1. Alignment with GEF focal area

The objective and components of the Project are in line with the GEF Focal Area IW3: Enhance multi-state cooperation and catalyse investments to foster sustainable fisheries, restore and protect coastal habitats, and reduce pollution of coasts and large marine ecosystems. The Project’s objective is also fully in line with the GEF Strategic Objective: Program 7 – Foster Sustainable Fisheries.

1. Alignment with FAO Strategic Framework and Objectives

The Project will ultimately contribute to improving fisheries, restoring coastal habitats and more efficient fisheries value chains, and is therefore aligned with FAO’s Strategic Framework. Specific outcomes to which this Project will contribute include:

* SO 2: Increase and improve provision of goods and services from agriculture, forestry and fisheries in a sustainable manner. The Project is fully aligned with the Major Area of Work: Blue Growth Initiative in SO2 and will enhance the application of sustainable fisheries practices (Outcome 2.1) as well as strengthening governance, including with regard to governments’ partnerships with development and environmental agencies, to ensure sustainability in the fisheries sector (Outcome 2.2). The Project will also promote the application of international instruments and mechanism for sustainable coastal fisheries practices (Outcome 2.3). Supporting systematic knowledge-sharing and establishing a FPAI, the Project will enable evidence-based decisions in the planning and management of the fisheries sector (Outcome 2.4).
* SO4: Enable more inclusive and efficient agricultural and food systems. Improved coastal fisheries management will result in post-harvest losses reduction and in more traded fish (Outcome 4.2). Thanks to the CFI engagement with the private sector, cost-effective transformations in the value chains, resulting in more financial benefits and investment opportunities for the local and national economies (Outcomes 4.3), are part of the results foreseen in the Project.

1. Within the FAO strategic framework, the Blue Growth Initiative (BGI) which is a major area of work, is also aligned with the Project. The BGI is focusing on transformative changes in the fisheries sector, including fisheries and fishing communities, through: (i) the development of sustainable consumption and production systems that reduce waste and discards, (ii) more efficient energy use and reduced carbon footprint along the value chain, (iii) expansion of decent employment along the value chain, and (iv) innovative technologies and financing mechanisms for blue growth.

# SECTION 2 – Project Framework And Expected Results

## 2.1 Project strategy

1. The overall purpose of the Coastal Fisheries Initiative (CFI) is to contribute to the global goal of having, worldwide, coastal fisheries delivering sustainable environmental, social and economic benefits. The specific objective of the CFI is to demonstrate holistic, ecosystem-based management and improved governance of coastal fisheries, focusing on three geographical areas; West Africa, Latin America and Indonesia. It consists of a combination of three national and sub-regional child projects, plus a technical assistance facility to develop a pipeline of investable projects (CFI-Challenge Fund), supported by a global knowledge management mechanism (the present Global Partnership Project). The CFI strategic approach lies in its combination of methods that have proven successful for fisheries management and securing sustainable resource utilization. By carefully assessing past and ongoing experiences, holistic and integrated interventions will be undertaken through collaborative efforts by six GEF Agencies and with the participation of resource users and other relevant stakeholders.
2. The present Project is one of the five child projects under the CFI umbrella and its purpose is to ensure, through appropriate consultative and management structures and mechanisms, the systematic and regular sharing of all meaningful experiences, lessons and best practices acquired among all CFI child projects as well as with other relevant initiatives. In particular, a plan will be developed and initiated at project start for facilitating/catalysing discussions – and eventually establishing a continuous dialogue – with key actors in non-GEF supported fisheries, with a view to enlarge the global partnership and enrich the knowledge-sharing taking place. GEF says:
3. The CFI Stakeholder Consultation in Vitorchiano recommended that the key thematic areas upon which collaborative learning should focus in the three regions are as follows:

* Fisheries Governance: legislation/policies and management plans that apply the principles and practices of EAF (these are not yet explicitly defined in the CFI documents but stem from the FAO Code of Conduct and similar guidance);
* Gender issues: the involvement and responses to issues raised by women involved in the fisheries value chain;
* Application of Marine Spatial Planning (MSP) to EAF principles and practices (including tenure and user rights), with an emphasis upon Marine Protected Areas (MPAs) that allow some forms of fishing;
* Recognition that coastal community well-being is a foundation for sustainable coastal fisheries outcomes.

1. It is expected that the main lessons and best practices shared through the knowledge management mechanism will originate mainly from the following cross-cutting subjects/issues with the thematic areas [as listed above]:

* Participation and inclusiveness: Ensuring that all concerned stakeholders are engaged in the process of decision-making about the resources they depend on is vital;
* Gender equality and equity: Gender equality is fundamental to any development but particular attention will be paid to this principle in CFI in recognition of the vital role of women in coastal fisheries. CFI will promote equal rights and opportunities for women and men, and ensure women's representation and involvement in decision-making that effects them and their livelihoods;
* Compatibility with international instruments: CFI will ensure that its activities incorporate and are compatible with other key instruments related to fisheries including international conventions and guidelines to which countries and international organizations have subscribed;
* Adaptability and flexibility: Global experience in fisheries management has demonstrated clearly that solutions need to be adapted to local contexts. While transferable lessons and best practice will be sought out and disseminated, the limitations of replicability will be recognized;
* Building on strengths: CFI will seek to build on the strengths and capacities of the partners involved. This will include the GEF Agencies cooperating in the initiative, governments, other partner organizations involved in its different components, the wider international community of concerned agencies, academia, civil society and private sector representatives;
* Addressing the whole fisheries value chain: CFI will ensure that initiatives it supports address issues along the entire fisheries value chain and the stakeholders involved from production to sale;
* Transparency: Clearly defining and widely publicizing policies, laws and procedures in applicable languages, and widely publicizing decisions in applicable languages and in formats accessible to all;
* Accountability: Holding individuals, public agencies and non-state actors responsible for their actions and decisions according to the principles of the rule of law, and providing opportunities for feedback and discussion of interventions between agencies responsible for their implementation and those affected by them.

1. The CFI geographical focus will be: West Africa, Latin America, and Indonesia. The process of identifying the geographical focus of CFI has taken into account:

* **The existence of appropriate enabling conditions**: The initiative will be working on establishing what key enabling conditions need to be in place to enable coastal fisheries management, but regions and countries will be selected where, either because of existing initiatives, government commitment or local institutional arrangements, there is an opportunity for the initiative to assist in creating an appropriately enabling environment for innovation in fisheries management within the timeframe of the initiative;
* **The potential for attracting further investment, whether public and private:** The opportunities for attracting or leveraging additional investment in the area will be considered, based on both on-going initiatives and interest expressed by potential partners;
* **Areas with a significant fishing foot print:** Pilot activities will be focused on countries (and regions) where fisheries represents a significant activity in terms of levels of dependence on fisheries among the population, the role of fisheries in ensuring food security, nutrition and livelihoods, and the contribution of fisheries to the local economy;
* **Areas where CFI's interventions can generate significant Global Environmental Benefits:** CFI will seek to work where there is a clear opportunity of generating significant Global Environmental Benefits within the timeframe envisaged for the initiative;
* **Areas where there is demand for improvements in fisheries management and governance:** CFI will seek to work where there is clear demand among key institutions and stakeholders for interventions to improve coastal fisheries management and governance and the appropriate aptitudes and expectations of local stakeholders are high;
* **Seek to balance relatively short-term opportunities for success and challenges requiring innovative approaches and new ways of working;** CFI will seek to work in areas where it can identify both opportunities for short-term success (clear demand-driven interventions which already have significant support and enabling circumstances in place) and more challenging issues that are likely to require the introduction of innovative approaches, new institutional arrangements and work on the enabling environment;
* **Opportunities to build on, and add value to, existing initiatives**: CFI will seek to build on existing initiatives and support them in scaling up existing interventions, replicating best practice where appropriate, and innovating through integration of other approaches into their work ;
* **Seek to balance tangible results within a short timeframe and longer term objectives**: CFI will aim to generate both relatively short-term outcomes which can be achieved within a 4-year initial timeframe and objectives that are likely to see results over the longer-timeframe envisaged for the initiative;
* **Seek out opportunities for unique added value by partners**: CFI will seek to identify opportunities where partners involved in the initiative can bring unique added value to the process;
* **Seek out opportunities for innovation in terms of GEF's normal interventions**: The CFI will actively seek to go beyond the type of intervention which GEF is normally engaged in and look for opportunities to "push the envelope". This could involve innovative arrangements to implementation or new sets of relationships with partners and stakeholders.

1. The finalization of the geographical focus of the CFI took place in close consultation with GEFSEC, national governments and regional organizations concerned with coastal fisheries, and through a process of close consultation with the stakeholders directly concerned and their representative organizations.
2. Moreover, the Project will also support an efficient adaptive management of the CFI itself by ensuring that the experiences and lessons are fully taken into account in the CFI’s implementation as they become available. Although the CFI is expected to bring about relatively limited transformational changes in coastal fisheries management during its implementation and within its geographical areas of intervention, the concentrated knowledge-sharing and advocacy activities taking place over this period and projected to continue after implementation, particularly with high-level policy/decision makers, will eventually result in substantially more sustainable coastal fisheries management.
3. In order to ensure a true and richer sharing and learning of the practical knowledge generated through CFI and non-CFI Projects – as well as with any other relevant development initiatives of interest – two-way dialogues and concrete interactions will be actively sought out between all actors concerned – for example, through webinars and active list-serves for less formal discussions. Moreover, dialogues can also be built on the very large audience (digital and otherwise) of the GEF agencies involved in the CFI: FAO, UNDP, UNEP, World Bank and WWF. For instance, the FAO Blue Growth blog can be used to document and discuss experiences and lessons with CFI and then link up with the CFI Web Page. The work will take place under the guidance and oversight of a CFI Communications Team (see Outcome 2.2).

**2.2 Project objective**

1. Global Environmental Objective: The objective of the Global Partnership project is to coordinate, support, strengthen and consequently add value to the efforts of the CFI Partners in the achievement of the CFI Program goal.
2. Project Development Objective: To strengthen global partnerships for the purpose of enhancing the understanding and application of integrated, participatory and collaborative approaches, among local and global partners who co-develop and utilize frontier tools to assess coastal fisheries performances, and identify empirically effective pathways toward environmental, social and economic sustainability for these fisheries and efficient use of resources along the value chain.

## 2.3 Expected project outcomes

1. Following the structure of the GEF Project Framework, the description of expected outcomes will be included in the following Sub-section 2.4, linked to specific project components, outcomes and outputs.

## 2.4 Project components, expected outcomes and outputs

1. The project consists of three interlinked and mutually-reinforcing components addressing the remaining barriers described previously. Components 1 and 2 are aimed at establishing the fully-functioning cooperation and coordination mechanisms for coastal fisheries that are now urgently needed, whereas Component 3 is focussed on the development of a common methodological approach that is presently lacking but is absolutely necessary for achieving efficiency in the cooperation and coordination mechanisms. The nature of the three components coordination, knowledge sharing and communication and the fisheries performance assessment instrument require all three components to link to the other child projects.

**Component 1: Strengthening of CFI Coordination and Adaptive Management.**

1. Component 1 will establish the institutional structures and methodological tools required for the efficient implementation, monitoring an evaluation of the CFI Program in general and the Global Partnership Project in particular so that the five child projects can be coordinated efficiently and effectively. (See Section 4 for details on the implementation arrangements.)

**Outcome 1.1: Collaboration among environmental and development agencies and organizations is managed, coordinated, enhanced and intensified, at the global as well as national and regional levels**. The main tangible achievements for this outcome will be that: (i) fully functioning partnership mechanisms will result in efficient collaboration and coordination among environmental and development organizations operating in CFI coastal fisheries; (ii) at least three newnational and/or regional and/or global initiatives will be linked to CFI best practices (see Sub-section 2.1) and entail strong collaboration between various GEF agencies and other partners; and (iii) the CFI Program’s overall progress and achievements will be rated satisfactory or highly satisfactory at midterm review and terminal evaluation.

- **Output 1.1.1**: Global Coordination Unit (GCU) and Global Steering Committee (GSC) established and operational. The GCU will be set up within the FAO Fisheries Department and the necessary staff will be provided by the FAO in coordination with the FAO/GEF Coordination Unit. It will be in charge of coordinating the CFI Program as well as responsible for the implementation of the Global Partnership Project. The GCU will then set up the GSC whose main responsibility will be the oversight of the CFI Program. The GCU will maintain functional linkages among the five CFI projects and act as secretariat of the GSC and GRG (see hereafter) as well as facilitate and coordinate with the child projects engagement with non-CFI projects for two-way sharing of information and possible synergies between projects.

- **Output 1.1.2**: Global Reference Group (GRG) established and operating as needed. The GRG will provide an independent oversight of the CFI’s implementation and also serve as a standard setting channel for the information and knowledge shared within and beyond the context of the Global Partnership Project. Members of the Global Reference Group serve in their individual capacities, not as institutional representatives.

- **Output 1.1.3**: Program Governance and Coordination Arrangements developed and operational. Operational arrangements will be established, monitored and maintained with all stakeholders involved in five CFI projects.

**Outcome 1.2: Progress of CFI Program is systematically monitored and reported.** The main tangible achievements for this outcome will be that: (i) a CFI Program-level M&E System will be fully operational; (ii) the periodic implementation reviews and progress reports will be prepared in time and according to agreed standards; (iii) ToC assessments will be carried out to provide a wide-ranging framework that will help the CFI partners to understand how specific project outputs and achievements fit into a broader framework that seeks to track change in coastal fisheries; and (iv) the Program’s implementation will be efficiently managed and methodically adjusted throughout as required by the circumstances. The contribution of project targets to CFI Programme level targets will be monitored on the basis of the CFI Programme mapping (Appendix 6).

- **Output 1.2.1**: CFI Program-level Monitoring and Evaluation (M&E) System established and operational, with effective linkages among the four CFI projects. The M&E System will be located in the FAO Fisheries Department and its indicators, milestones and targets will be based on the results matrix of the respective project document of the five child projects.

- **Output 1.2.2**: Timely biannual Program Progress Reports (PPRs) available to GCU and GSC. The main purpose of the PPRs is to identify problems and constraints that impede efficient and timely implementation and to propose appropriate remedial actions. They also report on risks facing the Project and the carrying out of the risk mitigation plan.

- **Output 1.2.3**: Midterm program review and terminal evaluation carried out and reports available. The main purpose of the two evaluations is to assess the overall progress realized with the Program, report on the achievement of the milestones and targets associated with the five child projects, and provide co-financers with information on how the funds were utilized. The terminal evaluation will also give guidance on the policy decisions required for the follow-up of the program.

- **Output 1.2.4**: Midterms and terminal program assessments against Theory of Change carried out, and reports available (see Sub-section 1.2 and Appendix 7). These will serve to assess the CFI Program’s progress in achieving the conditions presented withing the ToC during execution. Having a wider analytical framework, the ToC will complement the M&E of the CFI Program and help better assess the overall changes and impacts on coastal fisheries generated by the CFI child projects and other related initiatives. Each child project will be responsible (including funding) for measuring the indicators (see below), while the Global Partnership will collate and where feasible sythesize and analyse the results across the other 4 child projects and report the findings through the Communication Group and other channels. Potential Theory of Change indicators are listed below; the final selection of 1 to 3 in each theme for Tier 1 and Tier 2 will done during project inception.

|  |  |
| --- | --- |
| Potential Theory of Change Indicators | |
| ***Tier 1 Enabling Conditions*** | |
| Fisheries Stakeholder | Fishers, fishworkers & fisheries-related business & groups support CFI goals & practices |
|  | Fishers, fishworkers & fisheries-related business & groups view governance mechanisms as transparent & equitable. |
| Concerned Institutions | Fishers, fishworkers & fisheries-related business & groups participate in rule definition |
|  | Legal framework and governmental procedures incorporate CFI goals and practices |
| CFI Partner Collaboration | CFI partners agree on common (generic) indicators for tracking CFI initiatives that follow the expanded CFI Theory of Change (TOC). |
|  | Women's issues and perspectives are recognized as important by CFI partners |
| ***Tier 2 Behavioral Change*** | |
| Fisheries Stakeholder | Regular collaboration & dialogue between CFI agencies & fisheries stakeholders . |
|  | Fishers & fishworkers initiating new or improved forms of economic activity |
| Concerned Institutions | Enforcement of CFI-supported rules & regulations is effective |
|  | Evidence of stakeholders participating in decision-making through collective choice / representative mechanisms |
| CFI Partner Collaboration | Regular collaboration & dialogue between CFI agencies, partner institutions & fisheries stakeholders. |
|  | Linkages & cooperation with regional & global fisheries management projects, programs & mechanisms active |

**Component 2: Promotion of Policy Influence and Catalytic Role.**

1. Component 2 will implement knowledge management and outreach strategies, aimed at improving the broad sharing of information and knowledge among coastal fisheries as well as explicitly extending the communication outside of the CFI geographies, Challenge Fund and as wide-reaching as possible. The project will use a knowledge strategy to collate and synthesize information from the child projects and to create knowledge for sharing within and outside of the CFI Programme (Figure 1) which encompasses all five child projects. A CFI Communications Group will be formed with focal points (communication and/or knowledge sharing experts) from all the child projects and they will provide technical inputs into the knowledge management and communication strategies and meet virtually at regular intervals, the group will be initially chaired by FAO’s communications focal point. A communication and outreach strategy will be used by the project focal points to disseminate the knowledge as well as to capture and share information from outside of the CFI Programme. This will involve two-way knowledge sharing a) drawing lesson from outputs and activities of the projects, synthesizing and analysing across projects and disseminating conclusions and recommendations through various communication channels and 2) engaging other projects to capture new information and to identify possible synergies and opportunities to leverage resources.

**Outcome 2.1: Best practices and tools for environmentally, socially and economically sustainable fisheries are documented, analyzed and shared.** The main tangible achievements for this outcome will be that: (i) four technical documents on selected topics of mutual interest among the CFI Projects will be prepared and disseminated through IW:LEARN and other learning mechanisms; (ii) six countries and/or regional organizations will implement national and/or regional strategies incorporating CFI best practices; (iii) three south/south learning exchanges will be facilitated between the 3 geographies subject to availability of funding; and (iv) a triple-bottom fish performance assessment methodology will be widely promoted through IW:Learn and at least four knowledge-sharing occasions.

- **Output 2.1.1**: Knowledge Management Strategy developed and operational. The strategy and its accompanying Action Plan, developed through a consultative process with all the partners concerned and building on the strategic principles of the 2011 FAO Knowledge Strategy, will be aimed at collating, synthesizing, creating new knowledge products. The knowledge products may be in the form of physical documents (e.g. guidebooks, reports, booklets) and/or video or presentations. These will be disseminating widely in collaboration with CFI partners based on a communication strategy (Output 2.2) that will communicate more than just knowledge products (see Output 2.2). Channels for dissemination include websites, blogs, launches, press-releases, IW-Learn, listserves (non-FAO), publications and other relevant media – for all practical experiences and lessons contributing to the improvement and sustainability of coastal fisheries management. It is anticipated that with this information and knowledge transfer the 6 CFI countries and regional organizations will include at least one CFI Best Practice in their work and/or strategies.

This strategy and action plan will be supported by the child projects, which will provide the information regarding outputs and outcomes, lead on 4 technical documents as well as products and in some cases financial and human resources. At the annual Programme Steering Committee meetings communication will be a specific agenda item while the Global Partnership will lead on the dissemination, taking advantage of FAO’s wide network of communication channels as well as with the communication channels of the other CFI partners. It is anticipated that a specific knowledge/communication meeting of the CFI Communication Group (focal points) including the Global Steering Committee and the Global Coordination Unit will be held to review and endorse the strategies and action plans as well as a mid-point meeting to review progress; these will be held back-to-back with other meetings. In addition, the Project will offer technical support to all relevant stakeholders requesting it for their participation in the implementation of the Action Plan.

- **Output 2.1.2**: Four commonly agreed CFI knowledge products, with a dissemination/uptake plan, prepared. These four knowledge products will highlight the lessons learned in relation to fisheries management and sustainable resource utilization, and will be defined at the Project Inception meeting with each child project championing one of the themes. Innovative financing is one of the proposed themes, which may provide some guidance on developing private-public partnerships. Another proposed theme is gender where there will be strong links to the FAO Voluntary Guidelines for Small Scale Fisheries. The dissemination of these products in particular – as well as of experience notes or other forms of knowledge messages in general – will include the use of global/regional workshops and dedicated conferences, interactive website, project newsletters, blogs and social media (Facebook, Twitter, etc.) as well as a dedicated [CFI@fao.org](mailto:CFI@fao.org) (or similar) email for sharing information among the projects. Projects will be encouraged to provide English versions of their products for global distribution, the Global Partnership will provide editorial support where possible.

- **Output 2.1.3**: CFI global consultations held annually to share lessons learned and strengthen coordination among agencies and partners. Specific background materials, including a status report on the previous year, will be prepared before each annual consultation. Conclusions and recommendations for the next year will also be prepared at the end of each consultation. In addition, to encourage two-way interactions for true and richer knowledge-sharing and learning between CFI and non-CFI projects, as well as with other relevant development initiatives, events such as webinars and active list-serves for discussions will be organized. These consultations can also serve as a platform for the development of south-south learning exchanges between the 3 geographies. The cost of these annual meeting will be held back-to-back with the Programme Steering Committee meetings and will be on a cost-share basis. A project’s share will be assessed using the proportion of each project funding level within the CFI Programme funding envelope for shared expenses such meeting venue, interpretation, learning sessions and the travel of selected GRG members while each project will fund the participaton of project staff and stakeholders.

- **Output 2.1.4**: Fishery performance assessment methodology and experiences published and disseminated. A report evaluating all relevant fishery performance assessment methodologies and experiences will be prepared and shared with all stakeholders concerned. This report will detail the structure of the FPAI, lessons learnt and potentially some outputs aimed at a more general audience (i.e., a user-friendly, didactic manual, while the report produced under Output 3.1.3 would be a how-to-guide technical manual to be used in the field).

**Outcome 2.2: CFI Program Communication and Outreach Strategy is established and operational.** The main tangible achievements for this outcome will be that: (i) a CFI communications team will operate efficiently and coordinated by the Science-to-Policy specialist to foster information sharing by the projects’ communication focal points and that FPA information from the projects is also captured; (ii) a CFI Web Portal will fully function and be updated regularly with the ability to provide differentiated access to various areas of the portal depending on the security needs of the information; and (iii) the GRG will set the standards for the knowledge shared among CFI partners and extended to other geographies.

- **Output 2.2.1**: CFI communication toolbox developed and used across different media. The strategy and its accompanying Action Plan will play a catalytic role, among all the stakeholders in coastal fisheries management to contribute to two-way dialogue between CFI and Non-CFI projects. Workshops will be held at different child project locations to ensure “field” learning from each other. CFI projects will attend various key meetings and events to identify and engage non-CFI projects for sharing lessons learned, tools/approaches and possibly synergies. Communication focal points and the Science-to-Pollicy Specialist will be engaged with technical specialists in how to best disseminate this information including the FPA. The participation of projects in these events will generally be covered by each project.

- **Output 2.2.2**: Targeted external communication activities carried out. With side-events in relevant fora as well as through social and commercial media, the Project will seek to extent all practical knowledge acquired to other coastal fisheries outside of the CFI geographies as well as capture lessons learned for sharing among partners. The project will participate in GEF LME and IW-Learn events as appropriate.

**Component 3: Establishment of a Fisheries Performance Assessment Instrument.**

1. Component 3 will develop, and provide training and technical support for the wide adoption of, a commonly agreed measurement instrument allowing for an effective coverage of the ecological, social and economic impacts of coastal fisheries; in close collaboration with CFI partners, the academia and research networks. The instrument will be used by the other child projects to ensure common measures of fisheries performance for assessment and monitoring purposes.

**Outcome 3.1: Fisheries Performance Assessment Instrument is developed and in operation for both CFI and non-CFI fisheries.** The three pillars (ecological, social and economic) of fisheries are interrelated and none can provide benefits without the others. The main tangible achievements for this outcome will therefore be that: (i) a Fisheries Performance Assessment Instrument (FPAI), covering the triple bottom-line, will be developed and pilot-tested in CFI and potentially non-CFI fisheries; and (ii) a capacity building program for using the FPAI, essentially training and technical support, will be carried out as necessary and requested. The FPAI will be developed taking into consideration the FAO Guideline for Small-Scale Fisheries along with other international instruments and guidelines.

To ensure the impact of the CFI interventions can be measured a preliminary FPA containing core indicators will be developed in consultation with FAPI experts within the first 3-6 months of the start of the project and will measure the FP baseline covering the three aspects of the triple bottom line for selected fisheries as identified by the child projects in discussions with FPAI experts. This first version will include a combination of data driven and expert judgement indicators, which are commonly available in the selected fisheries of the three regional child projects and will allow a first diagnosis of the pilot fisheries as well as identification of priorities for data collection. Once a full suite of indicators, which include the core indicators used during the baseline are developed, they will be used to assess the state of fisheries and to measure their performance. There will be 3 assessment events: (1) a Baseline assessment by using a pre-FPAI tool (in development); a mid-term (year 3) assessment with the FPAI-Beta version; and final assessment with the finalized FPAI version. The GP Project will provide training through a series of train-the-trainer workshops and relevant materials. These workshops will be either in the 3 regions (LA, WA, and Indonesia) or in Rome. Flights and DSA will be paid by the GP Project. However, the GP Project will not pay for (1) data collection or any data preparatory meetings for each of the pilot fisheries; (2) translations of information, training materials and/or reports.

- Output 3.1.1: Ecological assessment toolkit, including data-limited stock assessment methods developed and pilot-tested in both CFI and potentially non-CFI fisheries. A number of methodological tools exist for ecological assessment but none can meet the CFI objectives. The development of an ecological assessment toolkit will start with a review of existing tools and the design of a draft methodology based on the CFI objectives, followed by a consultative process for assessing the ecological aspects of coastal fisheries, particularly in data-poor situations. The toolkit will then be pilot-tested and validated with all the parties concerned in CFI fisheries as well as in non-CFI fisheries if and when possible.

- Output 3.1.2: Fisheries Performance Assessment Instrument, for triple-bottom line, developed. A workshop will be carried out for setting the framework/parameters of the FPAI and an economic/social performance scorecard will be developed and validated. The focus will be on adopting/fine-tuning existing methods and the selection of performance indicators that are broadly accepted and can detect changes in fisheries performance within time-frames. The preparation of the FPAI will then be completed and corresponding operation guidelines produced.

- Output 3.1.3: FisheriesPerformance Assessment Instrument pilot-tested and its use technically supported in both CFI and potentially non-CFI fisheries. The FPAI will be pilot-tested in CFI fisheries as well as in non-CFI fisheries when possible. Since the instrument has ecological, social and economic dimensions, it is expected that a wide range of stakeholders will be involved. The users of the FPAI (e.g., managers from pilot fisheries) will be engaged through the following activities: (1) consultation during the development of the Baseline tool (via Skype or email); (2) training/application of the Baseline assessment (pre-FPAI; in-person workshops); (3) application of the pre-FPAI tool (mid-term assessment).; and (4) training application of the final FPAI. It is important to note that most of these activities will be structured as train-the-trainer since it would be not feasible to train all managers from all pilot fisheries.

The design of the FPAI will be adjusted and completed on the basis of the experiences and lessons acquired. Accompanying how-to-use technical Manual will also be drafted to facilitate the adoption of the FPAI in the field. This Manual and the FPAI itself will be as user-friendly as possible and as budget allows, and finalized once all fisheries have been piloted. A report/manual and communication materials will be developed under Output 2.1.4. The pilot test will be carried out jointly by the global partnership project and the regional child projects. The former takes technical lead and the latter provides data collection and technical feedback and fine tuning support. Also, training and technical guidance will be provided by the Global Partnership project for the systematic use of the FPAI in CFI fisheries and possibly non-CFI fisheries, as necessary and requested.

The cost of the joint work between the Global Partnership project and other child projects should be shared accordingly. Child projects should collect data of the CFI fisheries under their responsibility and bear the costs of data collection. The Partnership project shall provide child projects with specific data requirements and assist with the baseline assessment once necessary data has been gathered. All information and materials provided by the projects to the Global Partnership (FAO) need to be in English. Costs associated with the analytical part for the assessment will be covered by the Partnership project. Child Projects will be responsible for any translations required. Training and materials will be delivered in English.

**2.5 Cost effectiveness**

1. Without the CFI and its global partnership of all stakeholders in its geographies, the key instruments, tools and best practices required for sustainable coastal fisheries would not be developed, widely shared and broadly put into practice. This would result in distinct development initiatives being duplicated or used at cross-purposes, as well as confusion in concepts - as presently the case in a number of instances. With the Project, mechanisms will be in place to systematically share, on commonly agreed bases, the practical results and lessons of various initiatives, and also to ensure a more effective coverage of the triple-bottom line. This, in turn, will allow all actors in coastal fisheries to be better informed about the appropriateness and effectiveness of their interventions and serve as guide for more efficient policies and practices at national, regional and global levels. The resulting substantial improvements in coastal fisheries management will translate in better jobs, revenues and food security for all the populations concerned.

**2.6 Innovativeness**

1. The main innovativeness of the Project resides in the new collaborative and participatory approach to be developed and used for sharing acquired knowledge. With GEF financing, the Project will:

* Greatly strengthen the momentum towards sustainable coastal fisheries by bringing together for the first time all stakeholders, including UN Agencies and conservation organizations, under a common vision and strategic results on coastal fisheries. In particular, the global partnership will actively engage foundations, academia, the private sector and regional fisheries bodies, through its Global Reference Group. This is the first time such a partnership has been envisaged at the global level to support coastal fisheries.
* Use innovative processes leading to the use of appropriate and more integrated approaches in coastal fisheries. The global partnership will support the development of detailed guidelines for best practices in coastal fisheries management, and will also develop the FPAI that can be used for fisheries with limited information and poor data, particularly in developing countries, including for small-scale fisheries.
* Help prioritise environmental issues in coastal fisheries for a wide range of stakeholders from local, sub-national, national, regional and global levels. Through the global partnership, all practical experiences and lessons on environmental matters – presently available but also acquired through the CFI projects’ activities –will be used to inform and influence regional and global organizations and mechanisms on coastal fisheries.

# SECTION 3 – Feasibility

## 3.1 Environmental impact assessment

1. Overall, none of the Project activities carry any particular risk for causing negative environmental impacts. Accordingly, the Environmental and Social screening of the Project arrives at the conclusion that the Project may be classified as Low Risk and thus conforming to the pre-approved list of projects excluded from further environmental assessment (see Appendix 14: Environmental and Social Screening). The Project will have minimal or no adverse environmental impacts. No further analysis is required.

## 3.2 Risk Management

1. The potential risks associated with the achievement of the Project’s objectives are reflected in the following table. The overall risk is rated as low and appropriate mitigation measures will be put into place to reduce to a minimum (if not eliminate) these risks. The table summarizes the main risks and indicates the risk level (rating) as well as the planned mitigation measures included in the project design.

|  |  |  |
| --- | --- | --- |
| **Risk** | **Rating** | **Mitigation measures** |
| Some partners in the geographies of the CFI Program are not willing or able to adopt a more integrated and coordinated approach to coastal fisheries. | Moderate | The CFI Global Partnership includes several organizations whose primary goals are conservation related, whilst some others are focussing on food security. By developing a common vision in the CFI Program Framework, the partners have committed themselves to working through a shared platform and towards joint results. The Project will further cement this commitment and will also work to realign and harmonize different approaches and practices through a strong knowledge sharing programme. The Project’s Steering Committee and Reference Group will ensure that the partners are able to work collectively and mitigate any issues or differences in their approaches. |
| The CFI Global Partnership is not as effective as distinct regional advocacy and coordination mechanisms. | Low | The imperative need for harmonizing the different approaches and practices in coastal fisheries management, when advocated through the global partnership, will be far more convincing to the national policy makers, than when addressed in more localized fora. Moreover, the global partnership will allow for the development and dissemination of a commonly agreed (across the regions) FPAI that will greatly help the policy-makers and other actors in judging the triple-bottom impacts of their interventions and making improvements and to track progress towards improved fisheries management outcomes. |
| The knowledge capitalized and shared through the CFI Global Partnership is compromised or misconstrued by actors with vested interests, particularly in the case of the fisheries performance assessment. | Low | Actors within the CFI geographies may wish to portray their fisheries as performing well and use methodologies masking *a priori* shortcomings. Numerical and quantitative scoring rubrics will be set when assessing fisheries performance, to limit subjectivity. Moreover, information/data collection will be led by regional projects with personnel who are familiar with the situation in each fishery, thereby making large distortions difficult. |
| Some CFI child projects lack the technical and institutional capacities to use the FPAI efficiently. | Low | The methodology on which the FPAI is based has been successfully used in a range of low-information fisheries, and is within the technical and financial reach of users who only need to make modest investments in data gathering, even relying primarily on expert knowledge. Moreover, the Project will provide customized training and technical support to the partners who need and request it. |
| Climatic events could have adverse effects on fishery resources and, consequently, on the CFI Program in general and on the Global Partnership Project in particular. | Low | The present El Nino is one of the strongest ever recorded. If a La Nina develops, global weather patterns could (again) be thrown into chaos.  The GCU as well as the respective management unit of each child project will carefully monitor the situation and adapt their strategies and work plans accordingly. |

# SECTION 4 – IMPLEMENTATION and MANAGEMENT ARRANGEMENTS

## 4.1 Institutional arrangements

1. General institutional context and responsibilities
2. The CFI Program is based on a partnership of six GEF agencies leading one or more of the three national and sub-regional child projects covering six countries, plus the Challenge Fund and the present Global Partnership Project. The six GEF agencies are FAO (the overall lead agency for the CFI Program), CI, UNDP, UNEP, World Bank and WWF.
3. The CFI child projects with the project lead agencies and the six countries are:

* Child 1: Ecosystem-based management and improved governance of coastal fisheries in the Southeast Pacific, implemented by UNDP in collaboration with WWF and CI;
* Child 2: Delivering sustainable environmental, social and economic benefits in West Africa (Cabo Verde, Côte d'Ivoire and Senegal), implemented by FAO in collaboration with UNEP;
* Child 3: Ecosystem approach to fisheries management in Eastern Indonesia, implemented by WWF in collaboration with CI;
* Child 4: The Challenge Fund, for sustainable marine resources management, implemented by the World Bank;
* Child 5: Global Partnership project implemented by FAO in collaboration with the other CFI agencies and the University of Washington.

1. The Program’s institutional structure is as follows:



1. Each of the three CFI regional child projects (Latin America, West Africa and Indonesia), as well as the Challenge Fund, has its own institutional arrangements, including a Project Steering Committee (PSC), which are described in the specific project document prepared for each of the projects.
2. The CFI Program will be guided by a Global Steering Committee (GSC) comprising representatives of the participating states, the GEF implementing and executing agencies, co-financing partners and other strategic stakeholders. The GSC will act as the main policy body overseeing the program execution, and accordingly, will review and approve all technical documents, review budgets and financial reports and provide general strategic and implementation guidance to the Global Coordination Unit (GCU). It will meet at least once a year and all its decisions will be made on the basis of consensus.
3. The role of the GSC has to be functional within the policies and conditions of the UN, WWF and GEF. The UN has policies and regulations on such matters as contracting, procurement of equipment and materials, staff salaries, etc. All project activities must conform to these regulations.
4. Specific functions of the GSC will include:

* Provide overall strategic policy and management direction to the program and projects;
* Annually review project activities to assess the progress of the projects;
* Annually review and approve the project work plans and budgets and any changes thereto, in accordance with GEF, FAO, UNDP and WWF guidelines;
* Provide strategic direction on the work plan;
* Assist in identifying and allocating project support for activities consistent with project objectives;
* Facilitate and promote regional and national inter-project coordination;
* Share and disseminate Project-funded and Project-generated results and experiences, fostering sharing of information among projects as well as externally and seek additional funding to support the outputs and activities of the project;
* Act as PSC for the Global Partnership and Challenge Projects Fund;
* The GSC’s responsibilities, when acting as PSC at the project level, are as described for the PSCs of the child projects – see the next paragraph;
* Any other business brought before the GSC by one of its members.

1. In the case of the Global Partnership Project (Child 5), the institutional structure has a dual purpose: first, at the program level, with FAO as coordinator of the CFI Program; and, second, at the project level, with FAO as executing agency of the Global Partnership Project. For this dual purpose, and as part of Component 1 of the Project, a Global Coordination Unit (GCU) will be established. The GCU, under the authority of the Budget Holder, will be in charge of coordinating the CFI Program as well as responsible for the implementation of the Global Partnership Project.
2. Specifically, the GCU will:

At the program level;

* Ensure the efficient and effective implementation of the CFI Program, in accordance with the CFI Strategic Framework Document;
* Develop and implement a suitable Monitoring and Evaluation (M&E) System for the CFI Program, based on the ToC and with effective linkages among the five CFI projects;
* Develop and implement a CFI Knowledge Management Strategy as well as a CFI Communication and Outreach Strategy which will include engaging in global conferences and events especially for small scale fisheries to showcase experiences and results, including events such as. COFI, IUCN Conference, CBD Conference of the Parties, Our Oceans, etc.;
* Develop and actively promote the use of an Ecological Assessment Toolkit and a Fisheries Performance Assessment Instrument;
* Coordinate all activities across the CFI components;
* Organize and prepare reports of GSC meetings, and interact on a regular basis with the GRG;
* Respond adequately to all specific issues and concerns raised by the GSC and GRG.

At the project level;

* Prepare draft Annual Work Plans and Budgets (AWPs/Bs) for the Project, in consultation with the project executing partners, which will be reviewed and cleared by the FAO/TF;
* Implement the project in accordance with the approved project document and the AWPs/Bs, and in compliance with FAO procedures and GEF requirements;
* Coordinate, review and review work of the project executing partners in accordance with the AWPs/Bs;
* Maintain records pertaining to the technical and financial aspects of project operation, including the monitoring of project activities and their outcomes;
* Establish a specific project-level M&E system based on the results matrix in the project document;
* Prepare quarterly and six-monthly PPRs;
* Provide six-monthly results-based financial reports to FAO;
* Prepare draft Project Implementation Reviews (PIRs);
* Update project tracking tools regularly;
* Provide any information requested by midterm review team and terminal project evaluators.

1. A Global Reference Group (GRG) will also be established and composed mainly of the RFBs, project regional representatives, representatives from producers groups and others involved in the fisheries value-chains, CSOs and the academia. The GRG itself will extend its membership as needed while ensuring a proper north/south and gender representation. (See Appendix 109 concerning the ToR and composition of the GRG.) Currently, the activity sectors related to fisheries management and socio-economics as well as the donor community, international fisheries organisations and research, CSOs and the private sector, are all represented on the GRG, while nominations are still required in respect of the economics sector and the bilateral organisations.
2. The GRG will provide an independent oversight of the CFI’s implementation and will report on a regular basis to the GSC. Initially, it will serve as a standard setting channel for the knowledge (experiences, lessons and other forms) shared in the context of the CFI Knowledge Management Strategy and CFI Communication and Outreach Strategy. The GRG will review the reports of consolidated peer reviews on major project outputs and advise the GCU and GSC on required actions if needed. It will submit a further elaboration of its responsibilities to the GSC for approval, if found necessary.
3. The PSC of each CFI child projects will meet at least once a year (GSC in the case of the Global Partnership Project) and – to the extent applicable to the respective project implementation mechanisms and subject to the policies and procedure of the respective IA/EAs – its main responsibilities should include to: (i) provide oversight of the project, ensuring that its implementation is in line with the Project Document, and AWPs/Bs; (ii) review and approve the Inception Report, six-monthly PPRs and AWPs/Bs; (iii) facilitate the collaboration between the Project and other relevant initiatives, mainly by advising on other relevant on-going and planned activities and seeking support at the regional and local levels; and (iv) interact with external actors as requested.
4. Coordination with other ongoing and planned related initiatives
5. The CFI Program will have strong coordination and knowledge-sharing arrangements with the GEF-funded multi-country LMEs Projects, partly through the GSC of the CFI, since GEF agencies are involved in both. Moreover, other related initiatives (such as the GEF-funded ABNJ Program) will be invited to attend GSC meetings, to share the accumulated knowledge, experiences and lessons. In addition, the CFI Global Partnership Project will continuously seek additional methodological knowledge, for instance in terms of fisheries assessment methods, from other relevant initiatives around the world. A key mechanism for the CFI learning and outreach functions is the GRG which will be used to enhance the CFI profile and make it an international recognized initiative.

## 4.2 Implementation arrangements

### 4.2.1 GEF Agency

1. The FAO will be the GEF Lead Agency for the CFI Program as well as the Executing Agency for the Global Partnership Project. The FAO will provide supervision and technical guidance services during program and project execution. The administration of the GEF grant will be in compliance with the rules and procedures of FAO, and in accordance with the agreement between FAO and the GEF Trustee.
2. As the Lead Agency, FAO will:

* Manage and disburse GEF funds in accordance with the rules and procedures of FAO;
* Enter into Execution Agreements, Letters of Agreement and/or UN to UN Agreements, with the CFI executing partners/agencies (CI, UNDP; UNEP, WB, WWF and the University of Washington) for the provision of services to the Program and Project;
* Oversee program and project implementation in accordance with the relevant documents (project document and AWPs/Bs in the case of the Project), agreements with the co-financiers and the rules and procedures of FAO;
* Provide technical guidance to ensure that appropriate technical quality is applied to all program and project activities;
* Report to the GEF Secretariat and Evaluation Office on program and project progress (through annual PIRs for the Project) and provide financial reports to the GEF Trustee;
* Carry out midterm review and terminal project evaluation through the FAO Office of Evaluation.

1. The Budget Holder (BH) will be responsible for the management of the GEF resources as well as for all aspects in the Execution Agreements, Letters of Agreements and/or UN to UN Agreements, which will be signed between FAO and the concerned executing agencies. As a first step at project start, a Project Task Force (PTF) is established. This is done in consultation with the Lead Technical Officer (LTO) and with the lead Strategic Objective Core Team, integrating the necessary technical qualifications from relevant units at FAO Headquarters and in decentralized locations, and also including a Funding Liaison Officer (FLO) to guide the implementation of the Global Partnership Project. The BH will in particular be responsible for:

* Ensuring that PTF members are aware of their obligations regarding the project and that the Project Document and related annexes (including results matrix, work plans, budgets) and the composition of the PTF – are available and known to all members;
* Contacting the FAO Finance Division (CSF) - through the FLO or with copy to the FLO - to request the payment of the first instalment of project funds by the resource partner/s;
* Reviewing the adequacy of the PTF skills mix with other PTF members (such as the LTO) and with the Technical Officer from the FAO headquarters technical unit (through the LTO), and ensures that membership of the PTF is continuously updated in response to changing needs;
* In close consultation with the LTO, the officer from the FAO headquarters technical unit to which the LTO directly relates from a technical perspective, and other PTF members as needed, the BH leads the finalization of the Terms of Reference (ToR) for project staff who need to be recruited and appointed (such as national coordinators and project staff) and proceeds with recruitment and appointment procedures;
* In prompt consultation with PTF members, the BH monitors the work plan and budget and prepares work plan and budget revisions, according to established procedures and whenever updated planning indicates that a budget revision is required;
* Identifying requirements for cash and notifies the FAO Finance Divisionto prepare a call for funds to the resource partners (through the FLO);
* With the support of the FLO and the FAO Finance Division as/if needed, the BH ensures that all conditions in the agreement with the resource partners are respected;
* By drawing on the expertise of other PTF members, the BH coordinates all project activities related to results monitoring, performance assessment and reporting, including the timely and quality preparation and submission of PPRs, midterm and terminal reports.

1. The BH will, in consultation with the FAO/GEF Coordination Unit, give no-objection to the AWPs/Bs submitted by the executing agencies. Disbursement of GEF funds for the provision of goods, minor works, and services to the Project will be carried out by the BH in accordance with the provisions of the Execution Agreement. The disbursement will be carried out upon submission by the executing agencies to the BH of six-monthly financial statements of expenditures, procurement and contract documentation, and disbursement requests based on an updated AWP/B including detailed budget for the following six months period to be cleared and approved by the BH and a PPR to be approved by the PTM. The BH will submit the PPR to the FAO/GEF Coordination Unit for clearance and uploading on the FAO/FPMIS.
2. An internal FAO Project Task Force (PTF) will be established for the Global Partnership Project and consists of designated FAO staff possessing the appropriate authority and skills mix to ensure effective technical, operational and administrative project management throughout the project cycle. The PTF is responsible for:

* Quality of project documentation and implementation throughout the cycle;
* Work within the team to manage for the agreed results of the project, and;
* Ensure appropriate use of resources, as per project document and related agreements.

1. The role of the LTO is central to FAO’s comparative advantage for projects and is designated with due attention to the location (subsidiarity principle), technical expertise, and available time to support the project. The LTO coordinates and ensures the flow of technical expertise and backstops the project throughout the project cycle. In the formulation phase, the LTO’s roles and responsibilities cover three broad areas: (i) management and technical oversight of the PTF, (ii) environmental and social risk management, and (iii) technical clearance.
2. The LTO will:

* Maintain a technical support and backstopping schedule, in consultation with PTF members, other technical officers, and the BH;
* Oversee and carry out technical backstopping to the project and prepare back-to-office reports from all backstopping missions and submit them to the PTF members and others;
* Support the BH in the implementation and monitoring of the work plan and the budget, including work plan and budget revisions and the preparation of progress and terminal reports;
* For technical information in project standard narrative reports for which the BH is responsible (such as progress, terminal), ensure accuracy and soundness;
* Prepare other technical reports or oversees their preparation by technical staff;
* Technically clear all project reports (progress, terminal and ad hoc technical reports);
* Prepare (or oversees preparation) of technical specifications for procurement, and provides or obtains clearance of technical specifications for procurement;
* If not already finalized during project formulation and implementation, support the BH and oversees the technical aspects in the development of ToR for staff who are recruited for the project implementation (such as national coordinators and technical staff);
* Beyond individual projects, all technical officers (regardless of whether they are the LTO) are required to share knowledge with other projects to contribute to good results.
* Support the PTM in reviewing and clearing final technical products delivered by consultants and contract holders financed by GEF resources before the final payment can be processed;
* Assist with the review and provision of technical comments to draft technical products/reports on request from the executing agencies during project execution;
* Review and approve PPRs submitted by the executing agencies to the BH in coordination with the PTM;
* Prepare the annual PIR, supported by the PTM and inputs from the executing agencies, to be submitted for clearance and completion by the FAO/GEF Coordination Unit which will subsequently submit the PIR to the GEF Secretariat and its Evaluation Office as part of the Annual Monitoring Review Report of the FAO-GEF portfolio;
* Review and revise the TOR for the midterm review and participate in the midterm workshop with all key project stakeholders.

1. The FAO/GEF Coordination Unit will review PPRs, financial reports and budget revisions. It will review the annual PIR and undertake supervision missions if considered necessary. The PIRs will be included in the FAO/GEF Annual Monitoring Review submitted to GEF by the FAO/GEF Coordination Unit. The Unit will also participate in the midterm review and terminal evaluation as well as the development of corrective actions in the project implementation strategy in the case needed to mitigate eventual risks affecting the timely and effective implementation of the Project. The FAO/GEF Coordination Unit will, in collaboration with the FAO Finance Division, request transfer of project funds from the GEF Trustee based on six monthly projections of funds needed.
2. The FAO Finance Division will assist in the provision of annual Financial Reports to the GEF Trustee and, in collaboration with the FAO/GEF Coordination Unit, call for project funds from the GEF Trustee upon the approval of the project document.
3. A CFI Program Coordinator will be appointed by FAO. S/he will have an overall managerial role in the CFI Program.

### 4.2.2 Executing Partners

1. FAO is the GEF Lead Agency of the CFI Global Partnership Project and its CFI Partners are CI, UNDP, UNEP, WB, WWF and the University of Washington. The Project will support the overall implementation and coordination of the CFI Program and will establish the GSC whose members will include CI, FAO, UNDP, UNEP, World Bank, WWF and the GEF Secretariat as well as other relevant partners and donors. In respect of Component 3, the University of Washington, as CFI Partner, will enter into an Execution Agreement with FAO allowing for the purchase of goods, minor works, and services needed to execute its part of the planned activities. FAO will ensure that the rules and procedures set out in the Project’s Operational Manual are in accordance with FAO rules and regulations and GEF minimum fiduciary standards. The University of Washington will follow rules defined in the Execution Agreement which will outline in details the roles and responsibilities and procedures with respect to financial management, procurement, recruitment, project progress reporting, financial reporting and audit, copyright, and other legal aspects of collaboration.

## 4.3 Financial planning and management

### 4.3.1 Financing plan (by components, outputs and co-financiers)

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Component / output** | **UNEP** | **Univ. Washington** | **FAO** | **Total Co-financing** | **% Co-financing** | **GEF** | **Total** |
| **Component 1: Strengthening of CFI Coordination and Adaptive Management.** |  |  |  |  |  |  |  |
| **Sub-Total** | 65,625 | 1,093,750 | 3,955,000 | 5,114,375 | 781% | 654,522 | 5,768,897 |
| **Component 2: Promotion of Policy Influence and Catalytic Role.** |  |  |  |  |  |  |  |
| **Sub-Total** | 56,250 | 937,500 | 3,390,000 | 4,383,750 | 460% | 953,521 | 5,337,271 |
| **Component 3: Establishment of a Fisheries Performance Assessment Instrument.** |  |  |  |  |  |  |  |
| **Sub-Total** | 28,125 | 468,750 | 1,695,000 | 2,191,875 | 239% | 917,951 | 3,109,826 |
| **PMC** |  |  | 160,000 | 160,000 | 127% | 126,300 | 286,300 |
| **Total Project** | **150,000** | **2,500,000** | **9,200,000** | **11,850,000** | **447%** | **2,652,294** | **14,502,294** |

### 4.3.2 GEF inputs

1. The GEF contribution to the Project will be used to support the described activities (see Section 2) insofar as they support the generation of global environmental benefits and cannot be adequately funded by local stakeholders at present. These activities will complement the baseline projects as described in detail in previous sections, leveraging and complementing the existing investments.

### 4.3.3 Government inputs

1. No government co-financing is planned for the Global Partnership Project.

### 4.3.4 FAO inputs

1. FAO as the project’s implementing agency will contribute US$ 9.2 million in kind.

### 4.3.5 Financial management of and reporting on GEF resources

1. All financial management and reporting in relation to the GEF resources will be carried out in accordance with FAO’s rules and procedures for the implementation of projects under FAO direct execution.
2. Financial Records: FAO shall maintain a separate account in United States dollars for the project’s GEF resources showing all income and expenditures. Expenditures incurred in a currency other than United States dollars shall be converted into United States dollars at the United Nations operational rate of exchange on the date of the transaction. FAO shall administer the project in accordance with its regulations, rules, and directives.
3. Financial Reports. The BH shall prepare six-monthly project expenditure accounts and final accounts for the project, showing amount budgeted for the year, amount expended since the beginning of the year, and separately, the un-liquidated obligations as follows:

* *Annually*: Details of project expenditures on a component-by-component and output-by-output basis, reported in line with project budget codes as set out in the Project document, as at 30 June and 31 December each year.
* *Final report*: Final accounts on completion of the Project on a component-by-component and output-by-output basis, reported in line with project budget codes as set out in the Project document.
* A *final statement of account* in line with FAO Oracle Project budget codes, reflecting actual final expenditures under the Project, when all obligations have been liquidated.

1. Financial reports for submission to the donor (GEF) will be prepared in accordance with the provisions in the GEF Financial Procedures Agreement and submitted by the FAO Finance Division
2. Budget Revisions. Budget Revisions: Budget revisions will be prepared by the BH in accordance with FAO standard guidelines and procedures as needed. The budget revision will take into consideration the status of the implementation of the project activities towards achieving specific outputs and outcomes. The budget revision will be submitted by BH through FPMIS. The budget revision should be prepared based on field needs and the agreed AWP. PMU normally prepares the draft budget revision proposal to BH and LTO for their reviews, and then BH will submit the budget revision to FAO/GEF Coordination Unit for approval. Budgets are the costed equivalent of the work plan in that they foresee the transformation of inputs into activities and activities into outputs. Budget management, monitoring, and revision are the responsibility of the BH and constitute a substantive, integral, and essential component of project management. The BH is required to carry out at least two budget revisions per year in full consultation with the FAO Project Task Force: (i) in March following the corporate equalization process (explained in the following paragraph), and (ii) in September/October to support work-planning for the following year, to ensure that expenditures that have occurred in the year are adequately covered by the corresponding budget.
3. Responsibility for Cost Overruns. The BH is authorized to enter into commitments or incur expenditures up to a maximum of 20 percent over and above the annual amount foreseen in the project budget under any budget sub-line provided the total cost of the annual budget is not exceeded.
4. Any cost overrun (expenditure in excess of the budgeted amount) on a specific budget sub-line over and above the 20 percent flexibility should be discussed with the FAO/GEF Coordination Unit with a view to ascertaining whether it will involve a major change in project scope or design. If it is deemed a minor change, the BH shall prepare a budget revision in accordance with FAO standard procedures. If it involves a major change in the project’s objectives or scope, a budget revision and justification should be prepared by the BH for discussion with the GEF Secretariat.
5. Savings in one budget sub-line may not be applied to overruns of more than 20 percent in other sub-lines even if the total cost remains unchanged, unless this is specifically authorized by the GCU upon presentation of the request. In such a case, a revision to the Project document amending the budget will be prepared by the BH. Under no circumstances can expenditures exceed the approved total Project’s budget or be approved beyond the NTE date of the project. Any over-expenditure is the responsibility of the BH.
6. Audit: The Project shall be subject to the internal and external auditing procedures provided for in FAO financial regulations, rules, and directives and in keeping with the Financial Procedures Agreement between the GEF Trustee and FAO. The audit regime at FAO consists of an external audit provided by the Auditor-General (or persons exercising an equivalent function) of a member nation appointed by the Governing Bodies of the Organization and reporting directly to them, and an internal audit function headed by the FAO Inspector-General who reports directly to the Director-General. This function operates as an integral part of the Organization under policies established by senior management, and furthermore has a reporting line to the governing bodies. Both functions are required under the Basic Texts of FAO, which establish a framework for the ToR of each. Internal audits of accounts, records, bank reconciliation, and asset verification take place at FAO field and liaison offices on a cyclical basis.

## 4.4 Procurement

1. Careful procurement planning is necessary for securing goods, services and works in a timely manner, on a “Best Value for Money” basis. It requires analysis of needs and constraints, including forecast of the reasonable timeframe required to execute the procurement process. Procurement and delivery of inputs in technical cooperation projects will follow FAO’s rules and regulations for the procurement of supplies, equipment, and services (i.e. Manual Sections 502 and 507). Manual Section 502: “Procurement of Goods, Works and Services” establishes the principles and procedures that apply to procurement of all goods, works and services on behalf of the Organization, in all offices and in all locations, with the exception of the procurement actions described in Procurement Not Governed by Manual Section 502. Manual Section 507 establishes the principles and rules that govern the use of Letters of Agreement by FAO for the timely acquisition of services from eligible entities in a transparent and impartial manner, taking into consideration economy and efficiency to achieve an optimum combination of expected whole life costs and benefits.
2. As per the guidance in FAO’s Project Cycle Guide, the BH will draw up an annual procurement plan for major items, which will be the basis of requests for procurement actions during implementation. The first procurement plan will be prepared at the time of project start-up, if not sooner, in close consultation with the PTM and LTO. The plan will include a description of the goods, works, or services to be procured, estimated budget and source of funding, schedule of procurement activities and proposed method of procurement. In situations where exact information is not yet available, the procurement plan should at least contain reasonable projections that will be corrected as information becomes available.
3. The procurement plan shall be updated every 12 months and submitted to BH and LTO for clearance, together with the AWP/B and annual financial statement of expenditures report for the next instalment of funds.
4. The BH, in close collaboration with the technical staff, the LTO and the Budget and Operations Officer (if in place) will procure the equipment and services provided for in the detailed budget in Appendix 3, in line with the AWPs/Bs and in accordance with FAO’s rules and regulations.
5. The BH for extra budgetary funds is responsible for development and submission of a Procurement Plan for use of the extra budgetary funds based on reasonable estimates of annual requirements or as soon as possible after identifying new requirements (which may be at the time of finalization of the project documents).

4.5 Monitoring and Reporting

### 4.5.1 Oversight and monitoring responsibilities

1. The overall Monitoring and Evaluation (M&E) System of the CFI Program will be conducted on the basis of the indicators and milestones of the CFI Program Results Matrix/Framework contained in the CFI Program Framework Document. The framework of the CFI M&E System will be developed at the start of the Global Partnership Project, and the project-level M&E results of each of the five child projects will be linked to the CFI framework in order to track the respective progress and achievement as well as to provide comparative evidence-based analysis. To facilitate the transmissibility and comparability of M&E data between project and program levels, the indicators and targets for both the Program and child projects will be set so as to ensure maximum uniformity and compatibility. The contribution of project targets to CFI Programme level targets will be monitored on the basis of the CFI Programme mapping (Appendix 6).
2. In addition, the CFI/ToC (see Sub-section 1.2c) has been developed bearing in mind the importance of dynamic learning based on the experience generated within the various child projects of the initiative. Four orders of outcomes will be used for the ToC midterm and terminal assessments: (i) enabling conditions, (ii) changes in behaviour, (iii) improvements to the fisheries-related social and environmental conditions, and (iv) ultimate goal of dynamic sustainability in resilient ecosystem.
3. The ToC aims to provide a wide-ranging framework for this learning process that will help the partners involved in the CFI to understand how specific project outputs and achievements fit into a broader framework that seeks to track change in coastal fisheries. It is not directly integrated with the CFI Results Framework which provides a series of milestones and indicators that will help in the monitoring and evaluation of the implementation of the CFI. The means by which the ToC will be applied and operationalized are fully described in the Theory of Change document, attached as Appendix 7.
4. The common ToC indicators that will be monitored at project inception, mid-term and at the final review across all the projects will be finalized within the first *3-*6 months of the start of the full CFI Programme. The cost of measuring these indicators will be funded by the projects.

The FPAI developed under Component 3 of the Global Partnership Project will also come in complement to the CFI M&E System. The FPAI will provide a readily available methodology that will be used at project-level M&E to ensure a common and uniform standard of monitoring across the triple bottom line. To the extent relevant, first-order M&E indicators and targets for each of the child projects should mirror those used in the FPAI. Technical assistance, training and procurement of the necessary *tools* to administrate the M&E System will be provided by FAO *while other costs such as travel associated with training and data collections will be covered by the projects.*

1. The Global Partnership Project and regional child projects will jointly carry out a preliminary baseline evaluation based on a subset of indicators that will be included in the full FPA at the earliest possible time (expecting 6 months to one year) of the project. Once the revised FPA is developed it will be trialled with the projects and may be sufficiently developed for the mid-review and the final review. It is expected that regional projects will collect, validate and report all data and/or information needed for baseline and diagnostic analyses of the fisheries the projects select for interventions as well as for monitoring purposes during the project cycle This process may entail field programs to collect information, desktop reviews of published information and/or stakeholders’ consultations. This project will provide guidelines for data collection, validation and reporting as well as all necessary templates and tools. Project will be responsible for any translations to their national or local languages.
2. Considering pilot fisheries have different degrees of data availability, the most straightforward approach will be to agree on a set of minimum indicators during inception that cover the three dimensions and can be assessed by using diverse sources of information and data availability (from questionnaires to data time series). This will provide baseline information in a comparative way across fisheries.

**4.5.2 Indicators and information sources**

1. The M&E System will be planned in a way that combines traditional on-going monitoring of the child projects’ activities, external/participatory impact evaluations and triple-bottom accountability mechanisms. Each child project (and its PTM) – including the Global Partnership Project – will be directly responsible for the M&E of its own activities and the collection of the baseline data to be compiled into a base document.

### 4.5.3 Reporting schedule

1. The specific project-level reports to be prepared for the Project are:
   1. Project Inception Report;
   2. Annual Work Plans and Budgets (AWPs/Bs);
   3. Project Progress Reports (PPRs);
   4. Annual Project Implementation Reviews (PIRs);
   5. Technical reports;
   6. Co-financing reports; and
   7. Midterm and terminal reports.
2. Project Inception Report: After FAO approval of the Project and signature of the execution agreement, an inception workshop will be held. The GCU will prepare a draft project inception report in consultation with the Project Task Force and other project partners prior to the Inception Workshop. Key information from this report should be discussed during the Project Inception Workshop and the report subsequently finalized. The report will include a narrative on the institutional roles and responsibilities and coordinating action of project partners, progress to date on project establishment and start-up activities, and an update of any changed external conditions that may affect project implementation. It will also include a detailed first year AWP/B and a detailed project monitoring plan. The draft inception report will be circulated to the GSC for review and comments before its finalization, no later than one month after project start-up. The report should be cleared by the BH, LTO and the FAO/GEF Coordination Unit, and will be uploaded by the Unit in the FPMIS
3. Annual Work Plans and Budgets (AWPs/Bs): The executing agencies will submit to the BH AWPs/Bs which will be divided into monthly timeframes detailing the activities and progress indicators that would guide implementation during the year of the Project. The GCU will include inputs from executing agencies and draft of the first AWP/B, in consultation with the FAO Project Task Force. As noted earlier, the first AW/B will be presented at the project Inception Workshop. As part of the AWP/B, a detailed project budget for the activities to be implemented during the year should be included together with all monitoring and supervision activities required during the year. The inputs of the Inception Workshop will be incorporated and the GMU will submit a final draft AWP/B within two weeks of the workshop to the BH. For subsequent AWP/B, the GCU will organize a project progress review and planning meeting for its review. Once comments have been incorporated, the BH will circulate the AWP/B to the LTO and the FAO/GEF Coordination Unit for comments/clearance prior to uploading in FPMIS. The AWP/B must be linked to the Project’s Results Framework indicators so that the project’s work is contributing to the achievement of the indicators. The AWP/B should include detailed activities to be implemented to achieve the project outputs and output targets and divided into monthly timeframes and targets and milestone dates for output indicators to be achieved during the year. A detailed project budget for the activities to be implemented during the year should also be included together with all monitoring and supervision activities required during the year. The AWP/B should be approved by the GSC and uploaded on the FPMIS by the BH.
4. Project Progress Reports (PPRs): PPRs will be prepared by the GCU based on the systematic monitoring of output and outcome indicators identified in the Project’s Results Framework. The purpose of the PPR is to identify constraints, problems, or bottlenecks that impede timely implementation and to take appropriate remedial action in a timely manner. They will also report on projects risks and implementation of the risk mitigation plan. The PPR will be submitted to the BH and LTO for comments and clearance. The FAO/GEF Coordination Unit will upload the PPR on the FPMIS. The executing agencies will submit to the BH six-monthly project progress reports. The 3rd report should accompany the following year’s draft AWP/B and the 1st and the 2nd reports should be accompanied by the updated AWP/B, for review and no-objection by FAO.
5. Project Implementation Reviews (PIRs): The GCU will prepare annual PIRs covering the period July (the previous year) through June (current year) to be submitted to the LTO for finalization, which will be shared with BH and the relevant Funding Liaison Officer in the FAO/GEF Coordination Unit for review and approval no later than (check each year with GEF Unit but roughly end June/early July each year). The FAO/GEF Coordination Unit will submit the PIR to the GEF Secretariat and GEF Evaluation Office as part of the Annual Monitoring Review report of the FAO-GEF portfolio. PIRs will be uploaded on the FPMIS by the FAO/GEF Coordination Unit.
6. Key milestones for the PIR process:

* Early July: the LTOs submit the draft PIRs (after consultations with the BH and project teams) to the FAO/GEF Coordination Unit for initial review;
* Mid July: the FAO/GEF Coordination Unit’s responsible officers review the main elements of PIR and discuss with the LTO as required;
* Early/mid-August: the FAO/GEF Coordination Unit prepares and finalizes the FAO Summary Tables and sends to the GEF Secretariat by a date that is communicated each year by the GEF Secretariat;
* September/October: the PIRs are carefully and thoroughly reviewed by the FAO/GEF Coordination Unit and discussed with the LTOs for final review and clearance;
* Mid November 17: (date to be confirmed by the GEF): the FAO/GEF Coordination Unit submits the final PIR reports to the GEF Secretariat and GEF Evaluation Office.

1. Technical Reports: Technical reports will be prepared by national and international consultants as part of project outputs and to document and share project outcomes and lessons learned. The drafts of any technical reports must be submitted by the PMU to the BH who will share it with the LTO. The GRG may also be involved in peer review of relevant technical reports. The LTO will be responsible for ensuring appropriate technical review and clearance of the reports. Copies of the technical reports will be distributed to project partners and the Project Steering Committee as appropriate.
2. Co-financing Reports: The BH, with support from the GCU, will be responsible for collecting the required information and reporting on co-financing as indicated in the Project Document and CEO Endorsement Request. The GCU will compile the information received from the executing partners and transmit it in a timely manner to the LTO and BH. The report, which covers the period 1 July through 30 June, is to be submitted on or before 31 July and will be incorporated into the annual PIR. The format and tables to report on co-financing can be found in the PIR.
3. Tracking Tools: Following GEF policies and procedures, the relevant IW tracking tools submitted with the Project Document, at CEO Endorsement Request, will be updated at the project’s midterm review, and with the project’s terminal evaluation or final completion report. The tools will be uploaded in FPMIS by the FAO/GEF Coordination Unit. The GCU will coordinate the filling of the tools, with inputs from relevant stakeholders. The LTO will ensure the technical accuracy of the tools.
4. Terminal Report: Within two months before the end date of the project, and one month before the final evaluation, the GCU will submit to the BH and LTO a draft Terminal Report. The main purpose of the Terminal Report is to give guidance on the policy decisions required for the follow-up of the project, and to provide the donor with information on how the funds were utilized. The report is accordingly a concise account of the main products, results, conclusions, and recommendations of the project, without unnecessary background, narrative, or technical details. The target readership consists of persons who are not necessarily technical specialists but who need to understand the policy implications of technical findings and needs for insuring sustainability of project results.

### 4.5.4 Midterm Review and Final Evaluation Plan

1. The BH, in consultation with the FAO Project Task Force, and with concurrence of the GSC, will field independent midterm review of the project. This midterm review will be undertaken at project mid-term to review progress and effectiveness of implementation in terms of achieving the project objectives, outcomes, and outputs. Findings and recommendations of this review/evaluation will be instrumental for bringing improvement in the overall project design and execution strategy for the remaining period of the project’s term. FAO will arrange for the mid-term review/evaluation in consultation with the project partners. The evaluation will, inter alia:

* review the effectiveness, efficiency and timeliness of project implementation;
* analyse effectiveness of partnership arrangements;
* identify issues requiring decisions and remedial actions;
* propose any mid-course corrections and/or adjustments to the implementation strategy as necessary; and
* highlight technical achievements and lessons learned derived from project design, implementation, and management.

1. The FAO’s Office of Evaluation will field an independent Final Evaluation, which will be carried out three months prior to the terminal review meeting of the project partners, following the GEF Terminal Evaluation Guidelines. The evaluation will be aimed at identifying the Project’s impacts, the degree of achievement of the Project’s results and their sustainability. This evaluation will also have the purpose of indicating future actions needed to sustain project results and disseminate products and best practices within the country and to neighbouring countries.
2. A summary of the Project’s M&E activities at the project level is presented below.

| Type of M&E activity | Responsible Parties | Time-frame | Budgeted costs |
| --- | --- | --- | --- |
| Inception Workshop  (as part of annual project management workshop including M&E system application) | Executing agencies, BH, LTO and PTM | Within two months of project start | USD 16,000  (annual project management workshop & M&E system application) |
| Project Inception Report | Executing agencies, BH, LTO and PTM | Immediately after workshop | None (in-kind co-financing and GEF agency fee) |
| Design and set-up of M&E System including training of staff and equipment | PTM and executing agencies | As early as possible after project start | USD 20,000 |
| Supervision visits and Implementation Reports | PTM with inputs from executing agencies | Quarterly | FAO visits to be paid by GEF agency fee. PTM’s visits to be paid from project travel budget. |
| Project Progress Reports | Executing agencies | Four-monthly | In-kind co-financing |
| Project Implementation Review | PTM and FAO/GEF Coordination Unit | Annually | Paid by GEF Agency fee |
| Co-financing Reports | Executing agencies | Annually | In-kind co-financing |
| Technical reports | PTM and executing agencies | As appropriate | In-kind co-financing and GEF agency fee |
| Supervisory visits to project and field sites | LTO and PTM | Yearly or as required | Paid by GEF Agency fee |
| Midterm Review | External consultant, FAO/GEF Coordination Unit with the project team and stakeholders | At mid-point of project implementation | USD 30,900 |
| Terminal evaluation | FAO Office of Evaluation in consultation with the project team and stakeholders | At the end of project implementation | USD 40,000 |
| **Total (GEF funding)** | | | **USD 106,900** |

## 4.6 Provision for evaluations

1. An independent midterm review will be undertaken during the third year of project implementation. The review will determine progress being made towards achievement of objectives, outcomes, and outputs, and will identify corrective actions if necessary. It will, inter alia:
2. review the effectiveness, efficiency and timeliness of project implementation;
3. analyze effectiveness of implementation and partnership arrangements;
4. identify issues requiring decisions and remedial actions;
5. identify lessons learned about project design, implementation and management;
6. highlight technical achievements and lessons learned; and
7. propose any mid-course corrections and/or adjustments to the implementation strategy as necessary.
8. An independent terminal evaluation will take place three months prior to the terminal review meeting of the project partners and will focus on point (d) and (e) listed above. In addition, the final evaluation will review the Project’s impacts, analyze the sustainability of the results and whether the Project has achieved its environmental and development objectives. The evaluation will furthermore provide recommendations for follow-up actions.
9. Draft ToR for the midterm and terminal evaluation will be prepared and finalized in close consultation with the PTM, the FAO/GEF Coordination Unit; under the ultimate responsibility of the FAO Office of Evaluation, in accordance with FAO evaluation procedures and taking into consideration evolving guidance from the GEF Evaluation Office.

## Communication and visibility

1. Through Component 2 of the Global Partnership Project, the CFI will develop a Knowledge Management Strategy at project start, building on the strategic principles contained in the 2011 FAO Knowledge Strategy. The CFI strategy will use existing GEF approaches and platforms such as IW-LEARN. The purpose is to stimulate the generation, dissemination and application of information and knowledge, including statistics. The strategy will use the GRG as one important source of knowledge; the group participants will serve as peer reviewers and disseminators of lessons learnt. The strategy will also build on the best practices that have been outlined in the Knowledge Management Toolkit (<http://www.kstoolkit.org/home>).
2. The CFI Knowledge Management Strategy will assist the five child projects in developing their own knowledge strategies and ensuring strong coherence and linkages between them. The CFI knowledge strategies (at program and project levels) must be conceptually rigorous, practical and results-based. They will build upon successful techniques already being used and encourage innovation. Technology is an important enabler but it should be subordinated to policy, people and process considerations. Since certain technologies change over time, the strategy will strive to be “technology-neutral”. To promote continuous improvement, the strategies will also be iterative and every opportunity will be taken to learn from both successes and failures. The scope of support activities may include coordination, provision of an enabling environment, specific services to technical programs, and direct services to member states.
3. One important benefit of the CFI knowledge strategies will be to make the CFI Program (including its five child projects) much more flexible and adaptable, and thus significantly more capable of taking advantage of favorable exogenous developments and, at the same time, more resilient to external adverse factors.

# SECTION 5 – Sustainability of RESULTS

1. The Global Partnership Project will strengthen global knowledge and capacities to support effective ecosystem-based coastal fisheries management amongst national, regional and global stakeholders, particularly through the development and wide promotion of methodological tools that can assist effective long term planning and decision making across the triple bottom line. By setting up institutional channels and arrangements for global knowledge-sharing that are meant to be self-sustaining, the Project will ensure that the CFI partners – and, in as much as possible, all other stakeholders in coastal fisheries management – remain engaged throughout the life of the project and well beyond.

## 5.1 Social Sustainability

1. The CFI Program in general – and the present Project in particular – are addressing important dimensions of human well-being through their focus on the social aspects, which constitute one of the three pillars of its strategy. By seeking to empower fishers and fish workers to engage effectively in coastal fisheries governance, management and development along the value chain, the CFI will ensure that all actors – men, women and youth - have a stake in the overall sustainability of coastal fisheries. This, combined with the CFI’s advocacy for better working conditions and gender equality, in line with the Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the Context of Food Security and Poverty Eradication and other relevant instruments, as well as the expectation of better food security, will certainly result in improved social sustainability. Particular attention will be given to the need to strive for a proper gender balance, not only in terms of the immediate CFI target groups – especially fish workers (processing and marketing activities involving predominantly women) – but also among all actors in the CFI institutional arrangements, including those for peer reviewing and dissemination of the lessons learnt through the Knowledge Marketing Strategy. The CFI Program will examine and address women’s as well as men’s needs, priorities and experiences as part of its activities and knowledge sharing initiatives, so that women and men benefit equally from coastal fisheries along the value chain and that women like men make their voice heard in decision-making processes. All capacity development activities of the Program will integrate gender issues, as relevant. Where the gender gap is so large that women have no access to available opportunities, the Program will carry out activities that specifically target women. Knowledge on gender equality will systematically be documented and shared. Moreover, the FPAI developed under the Global Partnership Project will contribute to achieving and maintaining social sustainability by systematically providing practical information on the advancement of agreed social/gender indicators on coastal fisheries, thereby allowing the relevant actors to revise and adjust their interventions as necessary.
2. The outcome document of the United Nations Conference on Sustainable Development, held in 2012, entitled “The future we want”, reiterated the need to enhance the resilience of marine ecosystems and of the communities whose livelihoods depend on them, while enhancing resilience to climate change and natural disasters in line with relevant key instruments (the “Sendai Framework” and the “Paris Agreement”). The CFI Program will contribute to reducing the exposure and vulnerability of coastal ecosystems and the livelihoods of coastal fishing communities through dedicated action focusing on preventing and reducing underlying risk drivers, such as poor management and unsustainable uses of fisheries resources and compounding factors such as weak institutional arrangements. The Program will focus on reducing existing risks, preventing new risks and strengthening resilience in the context of sustainable development and poverty eradication.

## 5.2 Environmental sustainability

1. Through its child projects, the CFI will aim at the restoration, maintenance and improvement of the globally important coastal fisheries and associated ecosystems, including diversity in the resources. The CFI’s emphasis on an effective ecosystem-based management approach, particularly through its Global Partnership Project, will contribute to stronger resilience of coastal fishery resources to climate change impacts especially related to fisheries such as changes to species distributions, abundance and species compositions, and to better adaptation of coastal communities dependent on such fishery resources including where appropriate to disaster preparedness and recovery readiness for increased storms and storm frequency.
2. In many instances, the positive impacts on coastal fisheries with the CFI may also reduce threats on in-land biodiversity. Some studies have suggested that marine primary producers (such as macro-algae) contribute at least 50% of the world’s carbon fixation and 70% of the global carbon storage. Effective coastal fisheries management would therefore greatly support greenhouse gas sequestration and thus provide additional global environmental benefits.
3. Furthermore, the FPAI will provide practical information on the advancement of agreed environmental indicators on coastal fisheries, thereby contributing to achieve and maintain environmental sustainability.

## 5.3 Financial and economic sustainability

1. The CFI investments in sustainable coastal fisheries as well as in supporting efficient value chains are expected to directly benefit fishers and fish workers in the countries involved, through better access to fishery resources, increased and more stable catches in medium to longer term, more jobs and household incomes, and consequently better financial sustainability for all those involved along the value chains. Moreover, the CFI engagement with the private sector may lead to substantial cost-effective transformations in the value chains, resulting in even more financial benefits for the local and national economies.
2. From an economic viewpoint, improved coastal fisheries management could result in larger quantity and better quality of traded fish over the long term, subject mainly to the populations’ growth rate and their demand. Depending on each country’s level of self-sufficiency, this could mean either higher export earnings or lower import costs. In addition, any reduction of losses in post-harvest handling would also result in more traded fish. Furthermore, improved coastal fisheries management could lead to better public finances for the governments involved; for instance through more tax revenues from trading and lower disbursements in subsidies to support various operators.
3. As in the case of social and environmental sustainability, the FPAI will provide practical information on the advancement of agreed economic indicators.

## 5.4 Sustainability of capacities developed

1. The Global Partnership Project will provide technical support to all participants in the Knowledge Management Strategy and Action Plan, as well as in the use of the ecological assessment toolkit and FPAI. Through the global partnership arrangements put into place, the ecosystem-based management approach and associated methodological tools developed under the CFI will gradually be recognized and adopted in other fisheries. There will be numerous opportunities to share with actors in different geographical areas the experiences and knowhow acquired, beyond the life of the CFI itself.

## 5.5 Appropriateness of technology introduced

1. The development of the methodological tools planned under the CFI will build upon relevant approaches, experiences and knowhow that are already proven in numerous organizations: development agencies such as the World Bank and USAID; governmental agencies such as NOAA; NGOs such as WWF; foundations such as Packard and Walton; and the industry such as the International Coalition of Fisheries Associations. The Global Partnership Project will provide the institutional channels for sharing the accumulated knowledge concerning the practicability of the tools developed, allowing for their improvement until they meet the needs and expectations of the intended users.

## 5.6 Replicability and scaling up

1. The Global Partnership Project will be instrumental in promoting the replicability and scaling up of the ecosystem-based management approach promoted under the CFI. Through systematic knowledge sharing with all interested stakeholders in coastal fisheries, the sustainable management approach and associated methodological tools will be tested and adopted in other fisheries. The potential for scaling up will depend on the circumstances in different geographical areas, particularly in the case of the ecological assessment toolkit and FPAI, but is expected in any event to be substantial.

# APPENDICES

## Appendix 1: Results Matrix

**Project outcomes and impacts:**

|  |  |  |  |
| --- | --- | --- | --- |
| **Objective/Impact** | **Baseline** | **Outcome indicators** | **Assumptions** |
| Global Environmental Objective:  **The CFI aims to contribute to the global objective of having, worldwide, coastal fisheries delivering sustainable environmental, social and economic benefits.**  Project Development Objective:  **To strengthen global partnership for the purpose of enhancing the understanding and application of integrated, participatory and collaborative approaches, among local and global partners who co-develop and utilize frontier tools to assess coastal fisheries performances, and identify empirically effective pathways towards environmental, social and economic sustainability for these fisheries.** | **Component 1: Strengthening of CFI Coordination and Adaptive Management.**  BASELINE:   * Inadequate global platform or mechanism for collaboration among development and environmental agencies and organizations working in fisheries * Lack of coherence across mechanisms which might facilitate global cooperation and coordination on marine fisheries issues. * Limited integration among the different approaches that are used by governments in their partnerships with developments and environmental agencies and organizations to ensure sustainability in the fisheries sector * No Project or Programme M&E system in place * CFI Programme Theory of Change developed in collaboration with CFI Partner Agencies | Outcome 1.1: Collaboration among environmental and development agencies and organizations is managed, coordinated, enhanced and intensified, at the global as well as national and regional levels.  ***Indicators***   * *Platform or mechanisms functioning which permits collaboration among development and environmental agencies and organizations working in fisheries* * *Annual internal review by partners rate coordination efforts as satisfactory or highly satisfactory* * *Independent midterm review and terminal evaluation of the CFI rate progress towards CFI objective as satisfactory or highly satisfactory* * *At least 3 new national and/or regional and/or global project/program proposals by GEF Agencies, other partners and governments are based on CFI best practices and include strong collaboration between different GEF agencies and other partners*   Outcome 1.2: Progress of CFI Program is systematically monitored and reported.  ***Indicators***   * *CFI M&E system defined and operational* * *Reports and evaluations published on schedule;* * *Annual review meetings (GSC GRG etc) monitor and guide Programme performance* * *Programme and projects are well managed and addressing risks and challenges* * *Midterm and terminal program assessments against ToC carried out, and reports available.* | * Development and environmental agencies and organizations remain committed to project objectives. * Sufficient political will * Sufficient and timely co-financing * GCU is functioning as foreseen |
| **Component 2: Promotion of Policy Influence and Catalytic Role**  BASELINE:   * lessons learned from major relevant programmes not being applied to better influence fisheries policies and strategies * governments currently do not receive consistent advice from development and environmental agencies and organizations * CFI Communications and Outreach strategy does not exist | Outcome 2.1: Best practices and tools for environmentally, socially and economically sustainable fisheries are documented, analysed and shared.  ***Indicators***   * *4 technical documents on selected topics prepared and disseminated through IW:LEARN activities and other learning mechanisms* * *4 global workshops carried out targeting key government officials, RFBs and staff of environmental/development agencies and organisations and to promote a shared understanding on key fisheries governance and management concepts* * *6 countries / regional organisations refer to CFI best practices (in) national and regional policies and strategies and are under implementation, as appropriate* * *3 south-south learning exchanges through field visits and other learning events* * *FPAI disseminated widely through IW:Learn platforms and shared at 4 knowledge sharing events*   Outcome 2.2: CFI Program Communication and Outreach Strategy is established and operational.  ***Indicators***   * *Communications Team for CFI Program is established, composed of communications specialists from CFI Agencies* * *CFI Web Portal functioning and regularly updated* * *GRG effective as CFI ambassadors as indicated by web references to CFI,* | * GCU, GSC and GRG functioning as foreseen * Communications team fully supported by CFI Agencies * GCU, GSC and GRG functioning as foreseen |
| Component 3: Establishment of a Fisheries Performance Assessment Instrument.  BASELINE:  There are some tools available to assess whether fisheries are sustainably managed, but none can meet the needs for the CFI performance evaluation. | Outcome 3.1: FPAI is developed based on existing tools for both CFI and non-CFI fisheries  ***Indicators***   * *FPAI developed* * *Pilot test for CFI and non-CFI fisheries are completed* * *Training and capacity building program for using the FPAI carried out* |  |

**Project outputs and outcomes:**

| **Indicators** | **Baseline** | **Target** | **Milestones towards achieving output and outcome targets** | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Year 1** | **Year 2** | **Year 3** | **Year 4** | **Year 5** | **Means of**  **verification** | **Responsible for Data Collection** |
| **Output 1.1.1** Global Program Coordination Unit and Global Program Steering Committee established and operational. | Global Program Coordination Unit and Global Program Steering Committee are being set up | GPCU and GSC both functioning well with linkages well defined | Inception workshop;  GPCU and GSC both functioning well with linkages well defined | GPCU and GSC both functioning well with linkages well defined | GPCU and GSC both functioning well with linkages well defined | GPCU and GSC both functioning well with linkages well defined | GPCU and GSC both functioning well with linkages well defined | Meeting reports | GCU |
| **Output 1.1.2** Global Reference Group established and operating as needed. | Global Reference Group being set up | GRG functioning | GRG functioning | GRG functioning | GRG functioning | GRG functioning | GRG functioning | Meeting reports | GCU |
| **Output 1.1.3** Program Governance and Coordination Arrangements developed and operational. | Program Governance and Coordination Arrangements being developed and operationalised. | Program Governance and Coordination Arrangements functioning smoothly | Program Governance and Coordination Arrangements functioning smoothly | Program Governance and Coordination Arrangements functioning smoothly | Program Governance and Coordination Arrangements functioning smoothly | Program Governance and Coordination Arrangements functioning smoothly | Program Governance and Coordination Arrangements functioning smoothly | GSC meeting reports | GCU |
| **Output 1.2.1** CFI Program-level Monitoring and Evaluation System established and operational. | Program-level Monitoring and Evaluation System inexistent | M&E system functioning | PIR complete | PIR complete | PIR complete | PIR complete | PIR complete | Reports as defined | GCU |
| **Output 1.2.2** Timely biannual PPRs available to GCU and GSC. | Nil | Reporting conforming with schedule | biannual PPRs available to GCU and GSC | biannual PPRs available to GCU and GSC | biannual PPRs available to GCU and GSC | biannual PPRs available to GCU and GSC | biannual PPRs available to GCU and GSC | Reports as defined | GCU |
| **Output 1.2.3** Midterm program review and terminal evaluations carried out and reports available. | Nil | Reporting conforming with schedule |  |  | Midterm program review carried out and reports available. |  | Terminal program evaluation carried out and reports available. | Reports as defined | GCU |
| **Output 1.2.4** Midterm and terminal program assessments against ToC carried out, and reports available. | Nil | Reporting conforming with schedule |  |  | Midterm program assessment carried out and reports available |  | Terminal program assessment carried out and reports available. | Reports as defined | GCU |
| **Output 2.1.1** Knowledge Management strategy developed and operational. | CFI Knowledge Management Strategy does not exist | Knowledge Management Strategy developed and operational. | Defined audiences informed of CFI lessons learned | Defined audiences informed of CFI lessons learned | Defined audiences informed of CFI lessons learned | Defined audiences informed of CFI lessons learned | Defined audiences informed of CFI lessons learned | Reports as defined | GCU |
| **Output 2.1.2** Four commonly agreed CFI knowledge products, with a dissemination/uptake program, prepared with proposed themes that include gender and innovative financing with links to PPPs. | Nil | 4 best practices publications published on CFI Portal and project results presented at global decision-making meetings | 1 CFI Knowledge product under preparation | 1 CFI Knowledge product prepared and disseminated | 1 CFI Knowledge product prepared and disseminated | 1 CFI Knowledge product prepared and disseminated | 1 CFI Knowledge product prepared and disseminated | Knowledge product disseminated | GCU |
| **Output 2.1.3** CFI global consultations held annually to share lessons learned and strengthen coordination among agencies and partners. | Nil |  | CFI global consultations held annually to share lessons learned and strengthen coordination among agencies and partners. | CFI global consultations held annually to share lessons learned and strengthen coordination among agencies and partners. | CFI global consultations held annually to share lessons learned and strengthen coordination among agencies and partners. | CFI global consultations held annually to share lessons learned and strengthen coordination among agencies and partners. | CFI global consultations held annually to share lessons learned and strengthen coordination among agencies and partners. | Consultation reports | GCU |
| **Output 2.1.4** Fishery performance assessment methodology and experiences published and disseminated. | Nil |  |  |  |  | Fishery Performance Assessment methodol-ogy pub-lished | Report of experiences published and disseminated | User friendly manuals and communication materials for operationalization of the FPA system |  |
| **Output 2.2.1** CFI communication toolbox developed and used across different media. | Nil | CFI communication toolbox developed and used across different media | Development of CFI communication toolbox |  |  |  |  |  |  |
| **Output 2.2.2** Targeted external communication activities carried out. | Nil | CFI Portal monthly updated with information from this project; project experience notes prepared and published on IW:Learn  15 key government representatives and project staff supported to participate in GEF IW Biennial Conferences, learning exchanges and key meetings relevant to the project | CFI Portal updated; project experience notes prepared and published on IW:Learn  3 key government representatives and project staff supported to participate in GEF IW Biennial Conferences, learning exchanges and key meetings relevant to the project | CFI Portal updated; project experience notes prepared and published on IW:Learn  3 key government representatives and project staff supported to participate in GEF IW Biennial Conferences, learning exchanges and key meetings relevant to the project | CFI Portal updated; project experience notes prepared and published on IW:Learn  3 key government representatives and project staff supported to participate in GEF IW Biennial Conferences, learning exchanges and key meetings relevant to the project | CFI Portal updated; project experience notes prepared and published on IW:Learn  3 key government representatives and project staff supported to participate in GEF IW Biennial Conferences, learning exchanges and key meetings relevant to the project | CFI Portal updated; project experience notes prepared and published on IW:Learn  3 key government representatives and project staff supported to participate in GEF IW Biennial Conferences, learning exchanges and key meetings relevant to the project | Project reports | GCU |
| **Output 3.1.1** Ecological assessment toolkit, including for data-poor fishery stocks, developed and pilot-tested in both CFI and non-CFI fisheries. | Inadequate tools and capacity for ecological assessment of CFI fisheries | Ecological component of Fisheries Performance Assessment System developed, consulted and validated | Existent ecological assessment tools reviewed and further development of ecological component of FPA system started | Ecological component of FPA system fully developed and validated with fisheries practitioners |  |  |  | Ecological Assessment module to assess stock status and other ecological components | GCU, regional child projects |
| **Output 3.1.2** Fisheries Performance Assessment Instrument, for triple-bottom line, developed. | Existing assessment systems for ecological, economic and social performance of fisheries do not meet the needs of CFI | Broadly applicable triple bottom line Fisheries Performance Assessment System developed, consulted and validated | Existent socio-economic assessment tools reviewed and further development of socio-economic component of FPA system started | Socio-economic component of FPA system fully developed and validated with fisheries practitioners | Triple bottom line FPA full integrated and developed, ready for piloting | Operational guidelines and manuals for implementation of FPA system developed (i.e. how-to-use field gudie) |  | Socio-economic assessment module | GCU, regional child projects |
| **Output 3.1.3** Fisheries Performance Assessment Instrument pilot-tested and its use technically supported in both CFI and non-CFI fisheries. | No pilot test of the FPAI | Triple bottom line Fisheries Performance Assessment System piloted, refined, designed and trained |  |  |  | At least six CFI fisheries piloted; consultation and refining of the FPA system completed | Final FPA system designed and capacity building tools d and delivered | Final FPA system | GCU |

## Appendix 2: Workplan (results based)

| **Output** | **Activities** | **Responsible institution/ entity** | **Year 1** | | | | **Year 2** | | | | **Year 3** | | | | **Year 4** | | | | **Year 5** | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Q1** | **Q2** | **Q3** | **Q4** | **Q1** | **Q2** | **Q3** | **Q4** | **Q1** | **Q2** | **Q3** | **Q4** | **Q1** | **Q2** | **Q3** | **Q4** | **Q1** | **Q2** | **Q3** | **Q4** |
| Output 1.1.1 Global Program Coordination Unit and Global Program Steering Committee established and operational. | Contracting of staff for Global Coordination Unit. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Establishment of Unit, with functional linkages among the five CFI projects. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Setting up of Global Steering Committee. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Carrying out of Committee’s meetings when scheduled. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Output 1.1.2 Global Reference Group established and operating as needed. | Setting up of Global Reference Group with membership and ToR defined. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Carrying out of Group’s meetings when requested. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Output 1.1.3 Program Governance and Coordination Arrangements developed and operational | Preparation of Program Governance and Coordination Arrangements, with all stakeholders involved in five CFI projects. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Continuous liaising with stakeholders through Arrangements, and carrying out of meetings when required. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Monitoring of Arrangements and preparation of periodic reports, through Program M&E System. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Output 1.2.1 CFI Program-level Monitoring and Evaluation System established and operational. | Setting-up of Program M&E System.  Data processing and operation of Program M&E System. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Output 1.2.2 Timely biannual PPRs available to GCU and GSC. | Preparation of biannual PPRs. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Submission of PPRs to GEF Secretariat. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Output 1.2.3 Midterm program review and terminal evaluations carried out and reports available. | Carrying out of midterm program review, and report prepared. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Carrying out of terminal program evaluation, and report prepared. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Output 1.2.4 Midterm and terminal program assessments against ToC carried out, and reports available. | Carrying out of midterm program assessment for ToC, and report prepared. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Carrying out of terminal program assessment for ToC, and report prepared. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Output 2.1.1 Knowledge Management Strategy developed and operational. | Carrying out of consultative process with all stakeholders concerned, for defining Knowledge Management Strategy. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Formulation of Knowledge Management Strategy and accompanying Action Plan. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Provision of support to all stakeholders involved for their participation in implementation of Action Plan. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Output 2.1.2 Four commonly agreed CFI knowledge products, with a dissemination/uptake program, prepared. | Definition of four common CFI knowledge products. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Preparation of dissemination/uptake program for CFI knowledge products. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Output 2.1.3 CFI global consultations held annually to share lessons learned and strengthen coordination among agencies and partners. | Production of background materials for CFI global consultations each year, including status report on previous year. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Carrying out of consultations each year, including preparation of conclusions and recommendations for year to come. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Output 2.1.4 Fishery performance assessment methodology and experiences published and disseminated. | Preparation of report on fishery performance assessment methodology and experiences acquired. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Publication and dissemination of the report through the Knowledge Management Strategy. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Output 2.2.1 CFI communication toolbox developed and used across different media. | Formulation of a CFI Program Communication and Outreach Strategy and accompanying Action Plan. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Production of audio-visual and media supports. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Carrying out of information/mobilization campaigns through social and commercial media. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Output 2.2.2 Targeted external communication activities carried out. | Production and broadcasting of CFI Program video and short-film documentaries. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Organization of CFI Program side-events and workshops. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Output 3.1.1 Ecological assessment toolkit, including for data-poor fishery stocks, developed and pilot-tested in both CFI and non-CFI fisheries. | Reviewing of existing methodologies, and design of draft methodology meeting CFI objectives |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Carrying out consultative process with all parties concerned, in CFI and non CFI projects, to develop methodology and tools for assessing ecological aspects of fisheries, particularly data-poor and capacity limited fisheries |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Production of toolkit for assessing the ecological sustainability of coastal fisheries |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Pilot-testing and validation of the ecological assessment toolkit with all parties concerned |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Output 3.1.2 Fisheries Performance Assessment Instrument, for triple-bottom line, developed. | Carrying out a workshop for setting framework of FPAI (including economic and social aspects) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Development of economic/social performance scorecard |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Validation of the economic/social performance scorecard |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Production of FPAI (triple-bottom line). |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Preparation of operation guidelines for FPAI |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Output 3.1.3 Fisheries Performance Assessment Instrument pilot-tested and its use technically supported in both CFI and non-CFI fisheries. | Pilot-testing of FPAI in CFI-fisheries first, and in non-CFI fisheries second. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Completion of design of FPAI |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Provision of training and technical support to all parties in systematic use of FPAI in CFI and non-CFI fisheries, as required. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

Appendix 3: Results Based Budget

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Oracle code and description** | **Unit** | **No. of units** | **Unit cost** | **Total** | **Component 1:** | | | **Component 2:** | | | **Component 3:** | | **PM** | **TOTAL** | **Year 1** | **Year 2** | **Year 3** | **Year 4** | **Year 5** |
|  | **1.1** | **1.2** | **Total** | **2.1** | **2.2** | **Total** | **3.1** | **Total** |  | **GEF** |  |  |  |  |  |
| **5300 Salaries professionals** | | |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Admin and Operational Officer (P3) (PMC) | Person months | 9.7 | 12,976 | 126,300 |  | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 126,300 | 126,300 | 41,140 | 21,279 | 21,279 | 21,279 | 21,323 |
| Project Manager (P4) cost-share | Person months | 12.6 | 16,308 | 205,482 | 153,533 | 51,949 | 205,482 | 0 | 0 | 0 | 0 | 0 |  | 205,482 | 0 | 0 | 68,494 | 68,494 | 68,494 |
| General Service support staff (G3) part-time | Person months | 11.4 | 6,444 | 73,560 | 73,560 | 0 | 73,560 | 0 | 0 | 0 | 0 | 0 |  | 73,560 | 0 | 18,390 | 18,390 | 18,390 | 18,390 |
| **5300 Sub-total salaries professionals** | | | | **405,342** | **227,093** | **51,949** | **279,042** | **0** | **0** | **0** | **0** | **0** | **126,300** | **405,342** | **41,140** | **39,669** | **108,163** | **108,163** | **108,207** |
| **5570 International Consultants** | | | |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.1.1 Training expert (4 global workshops) | Person months | 6 | 10,300 | 61,800 |  |  | 0 | 61,800 |  | 61,800 |  | 0 |  | 61,800 | 20,600 | 10,300 | 10,300 | 10,300 | 10,300 |
| 2.1.1 Science to policy expert (high level prog. Objectives and M&E) | Person months | 7 | 9,631 | 67,414 |  |  | 0 | 67,414 |  | 67,414 |  | 0 |  | 67,414 | 9,631 | 14,446 | 14,446 | 14,446 | 14,446 |
| 2.1.2 Science to policy expert (high level prog. Objectives and M&E) | Person months | 7 | 9,631 | 67,414 |  |  | 0 | 67,414 |  | 67,414 |  | 0 |  | 67,414 | 9,631 | 14,446 | 14,446 | 14,446 | 14,446 |
| 2.1.3 Science to policy expert (high level prog. Objectives and M&E) | Person months | 7 | 9,631 | 67,414 |  |  | 0 | 67,414 |  | 67,414 |  | 0 |  | 67,414 | 9,631 | 14,446 | 14,446 | 14,446 | 14,446 |
| 2.1.4 Science to policy expert (high level prog. Objectives and M&E) | Person months | 7 | 9,631 | 67,414 |  |  | 0 | 67,414 |  | 67,414 |  | 0 |  | 67,414 | 9,631 | 14,446 | 14,446 | 14,446 | 14,446 |
| 2.2.1 Science to policy expert (high level prog. Objectives and M&E) | Person months | 7 | 9,631 | 67,414 |  |  | 0 |  | 67,414 | 67,414 |  | 0 |  | 67,414 | 9,631 | 14,446 | 14,446 | 14,446 | 14,446 |
| 2.2.2 Science to policy expert (high level prog. Objectives and M&E) | Person months | 7 | 9,631 | 67,414 |  |  | 0 |  | 67,414 | 67,414 |  | 0 |  | 67,414 | 9,631 | 14,446 | 14,446 | 14,446 | 14,446 |
| 2.2.1 Partner liaison expert (implementation, M&E of the CFI info and knowledge sharing strategies) | Person day | 347.6 | 160 | 55,620 |  |  | 0 |  | 55,620 | 55,620 |  | 0 |  | 55,620 | 12,360 | 12,360 | 12,360 | 12,360 | 6,180 |
| 2.2.2 Partner liaison expert (implementation, M&E of the CFI info and knowledge sharing strategies) | Person day | 347.6 | 160 | 55,620 |  |  | 0 |  | 55,620 | 55,620 |  | 0 |  | 55,620 | 12,360 | 12,360 | 12,360 | 12,360 | 6,180 |
| 3.1.1 Principle Investigator (dev and pilot testing of the FPAI on triple bottom line fishery outcomes) | Person day | 224.8 | 515 | 115,772 |  |  | 0 |  |  | 0 | 115,772 | 115,772 |  | 115,772 | 47,174 | 68,598 | 0 | 0 | 0 |
| 3.1.2 Principle Investigator (dev and pilot testing of the FPAI on triple bottom line fishery outcomes) | Person day | 70.6 | 515 | 36,359 |  |  | 0 |  |  | 0 | 36,359 | 36,359 |  | 36,359 | 12,875 | 14,935 | 8,549 | 0 | 0 |
| 3.1.3 Principle Investigator (dev and pilot testing of the FPAI on triple bottom line fishery outcomes) | Person day | 41.6 | 515 | 21,424 |  |  | 0 |  |  | 0 | 21,424 | 21,424 |  | 21,424 | 0 | 0 | 4,275 | 17,150 | 0 |
| 3.1.1 Fisheries stock assessment post-doc (dev and pilot testing of the FPAI on triple bottom line fishery outcomes) | Person day | 127.7 | 500 | 63,860 |  |  | 0 |  |  | 0 | 63,860 | 63,860 |  | 63,860 | 31,930 | 31,930 | 0 | 0 | 0 |
| 3.1.2 Fisheries stock assessment post-doc (dev and pilot testing of the FPAI on triple bottom line fishery outcomes) | Person day | 143.7 | 500 | 71,843 |  |  | 0 |  |  | 0 | 71,843 | 71,843 |  | 71,843 | 23,948 | 31,930 | 15,965 | 0 | 0 |
| 3.1.3 Fisheries stock assessment post-doc (dev and pilot testing of the FPAI on triple bottom line fishery outcomes) | Person day | 95.8 | 500 | 47,895 |  |  | 0 |  |  | 0 | 47,895 | 47,895 |  | 47,895 | 0 | 0 | 7,983 | 31,930 | 7,983 |
| 3.1.1 Fisheries social science post-doc (dev and pilot testing of the FPAI on triple bottom line fishery outcomes) | Person day | 127.7 | 500 | 63,860 |  |  | 0 |  |  | 0 | 63,860 | 63,860 |  | 63,860 | 31,930 | 31,930 | 0 | 0 | 0 |
| 3.1.2 Fisheries social science post-doc (dev and pilot testing of the FPAI on triple bottom line fishery outcomes) | Person day | 143.7 | 500 | 71,843 |  |  | 0 |  |  | 0 | 71,843 | 71,843 |  | 71,843 | 23,948 | 31,930 | 15,965 | 0 | 0 |
| 3.1.3 Fisheries social science post-doc (dev and pilot testing of the FPAI on triple bottom line fishery outcomes) | Person day | 95.8 | 500 | 47,895 |  |  | 0 |  |  | 0 | 47,895 | 47,895 |  | 47,895 | 0 | 0 | 7,983 | 31,930 | 7,983 |
| 3.1.1 Peer reviewer stock assessment (in-depth review of the eco indicators dev and the data-limited stock assessment methods) | Person day | 7.0 | 515 | 3,605 |  |  | 0 |  |  | 0 | 3,605 | 3,605 |  | 3,605 | 0 | 3,605 | 0 | 0 | 0 |
| 3.1.2 Peer reviewer stock assessment (in-depth review of the eco indicators dev and the data-limited stock assessment methods) | Person day | 3.0 | 515 | 1,545 |  |  | 0 |  |  | 0 | 1,545 | 1,545 |  | 1,545 | 0 | 1,545 | 0 | 0 | 0 |
| 3.1.1 Peer reviewer fisheries econ (in-depth review of the social and economic indicators developed ) | Person day | 7.0 | 515 | 3,605 |  |  | 0 |  |  | 0 | 3,605 | 3,605 |  | 3,605 | 0 | 3,605 | 0 | 0 | 0 |
| 3.1.2 Peer reviewer fisheries econ (in-depth review of the social and economic indicators developed ) | Person day | 3.0 | 515 | 1,545 |  |  | 0 |  |  | 0 | 1,545 | 1,545 |  | 1,545 | 0 | 1,545 | 0 | 0 | 0 |
| 3.1.3 Programmer (transition an Excel- or R-based tool in an user-friendly, web-based platform) | Person day | 95.0 | 515 | 48,925 |  |  | 0 |  |  | 0 | 48,925 | 48,925 |  | 48,925 | 0 | 0 | 0 | 24,463 | 24,463 |
| Sub-total international Consultants | | | | 1,177,496 | 0 | 0 | 0 | 331,454 | 246,067 | 577,521 | 599,975 | 599,975 | 0 | 1,177,496 | 274,910 | 343,247 | 182,412 | 227,166 | 149,761 |
| **5570 Sub-total consultants** | | | | **1,177,496** | **0** | **0** | **0** | **331,454** | **246,067** | **577,521** | **599,975** | **599,975** | **0** | **1,177,496** | **274,910** | **343,247** | **182,412** | **227,166** | **149,761** |
| **5650 Contracts** | | | |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.2.2 CFI knowledge products | Lumpsum | 4 | 15,000 | 60,000 |  |  | 0 |  | 60,000 | 60,000 |  | 0 |  | 60,000 | 0 | 15,000 | 15,000 | 15,000 | 15,000 |
| **5650 Sub-total Contracts** | | | | **60,000** | **0** | **0** | **0** | **0** | **60,000** | **60,000** | **0** | **0** | **0** | **60,000** | **0** | **15,000** | **15,000** | **15,000** | **15,000** |
| **5900 Travel** | | | |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Component 1 Travel - Project Staff | Lumpsum | 40 | 4000 | 158000 | 158,000 |  | 158,000 |  |  | 0 |  | 0 |  | 158,000 | 31,600 | 31,600 | 31,600 | 31,600 | 31,600 |
| Component 1 DSA - Project Staff | Lumpsum | 258 | 250 | 64500 | 64,500 |  | 64,500 |  |  | 0 |  | 0 |  | 64,500 | 12,900 | 12,900 | 12,900 | 12,900 | 12,900 |
| Component 2 Travel - Consultants | Lumpsum | 33 | 4000 | 130000 |  |  | 0 | 130,000 |  | 130,000 |  | 0 |  | 130,000 | 16,400 | 28,400 | 28,400 | 28,400 | 28,400 |
| Component 2 DSA - Consultants | Lumpsum | 204 | 250 | 51000 |  |  | 0 | 51,000 |  | 51,000 |  | 0 |  | 51,000 | 6,600 | 11,100 | 11,100 | 11,100 | 11,100 |
| Component 3 Travel - Consultants | Lumpsum | 49 | 3691 | 181600 |  |  | 0 |  |  | 0 | 181,600 | 181,600 |  | 181,600 | 72,000 | 64,000 | 7,600 | 38,000 | 0 |
| Component 3 DSA - Consultants | Lumpsum | 682 | 200 | 136376 |  |  | 0 |  |  | 0 | 136,376 | 136,376 |  | 136,376 | 43,176 | 48,000 | 7,600 | 37,600 | 0 |
| **5900 Sub-total travel** | | | | **721,476** | **222,500** | **0** | **222,500** | **181,000** | **0** | **181,000** | **317,976** | **317,976** | **0** | **721,476** | **182,676** | **196,000** | **99,200** | **159,600** | **84,000** |
| **5920 Training and workshops** | | | |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.1.1 Inception workshop | Lumpsum | 1 | 35,000 | 35,000 |  |  | 0 | 35,000 |  | 35,000 |  | 0 |  | 35,000 | 35,000 | 0 | 0 | 0 | 0 |
| 2.1.3 Training materials | Lumpsum | 4 | 10,000 | 40,000 |  |  | 0 | 40,000 |  | 40,000 |  | 0 |  | 40,000 | 0 | 10,000 | 10,000 | 10,000 | 10,000 |
| 2.2.2 Training materials | Lumpsum | 4 | 15,000 | 60,000 |  |  | 0 |  | 60,000 | 60,000 |  | 0 |  | 60,000 | 0 | 15,000 | 15,000 | 15,000 | 15,000 |
| **5920 Sub-total training** | | | | **135,000** | **0** | **0** | **0** | **75,000** | **60,000** | **135,000** | **0** | **0** | **0** | **135,000** | **35,000** | **25,000** | **25,000** | **25,000** | **25,000** |
| **6100 Non-expendable procurement** | | | |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.1.1 Furniture, fixtures and office equipment | Lumpsum | 2 | 5,000 | 10,000 | 10,000 |  | 10,000 |  |  |  |  |  |  | 10,000 | 10,000 | 0 | 0 | 0 | 0 |
| **6100 Sub-total non-expendable procurement** | | | | **10,000** | **10,000** | **0** | **10,000** | **0** | **0** | **0** | **0** | **0** | **0** | **10,000** | **10,000** | **0** | **0** | **0** | **0** |
| **6150 Technical Support Services** | | | |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.2.3 Mid-term report costs (evaluation) | Lumpsum | 1 | 30,900 | 30,900 |  | 30,900 | 30,900 |  |  | 0 |  | 0 |  | 30,900 | 0 | 0 | 30,900 | 0 | 0 |
| 1.2.3 OED report costs (evaluation) | Lumpsum | 1 | 40,000 | 40,000 |  | 40,000 | 40,000 |  |  | 0 |  | 0 |  | 40,000 | 0 | 0 | 0 | 0 | 40,000 |
| 1.2.3 Terminal report costs (evaluation) | Lumpsum | 1 | 37,080 | 37,080 |  | 37,080 | 37,080 |  |  | 0 |  | 0 |  | 37,080 | 0 | 0 | 0 | 0 | 37,080 |
| 1.2.4 ToC assessments | Lumpsum | 3 | 10,000 | 30,000 |  | 30,000 | 30,000 |  |  | 0 |  | 0 |  | 30,000 | 10,000 | 0 | 10,000 | 0 | 10,000 |
| 1.2.1 M&E system (smart sheet rental) | Lumpsum | 5 | 1,000 | 5,000 |  | 5,000 | 5,000 |  |  | 0 |  | 0 |  | 5,000 | 1,000 | 1,000 | 1,000 | 1,000 | 1,000 |
| **6150 Technical Support Services** | | | | **142,980** | **0** | **142,980** | **142,980** | **0** | **0** | **0** | **0** | **0** | **0** | **142,980** | **11,000** | **1,000** | **41,900** | **1,000** | **88,080** |
| **TOTAL** |  |  |  | **2,652,294** | **459,593** | **194,929** | **654,522** | **587,454** | **366,067** | **953,521** | **917,951** | **917,951** | **126,300** | **2,652,294** | **554,726** | **619,916** | **471,675** | **535,929** | **470,048** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **SUBTOTAL Comp 1** | **654,522** | 24.7% |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **SUBTOTAL Comp 2** | **953,521** | 36.0% |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **SUBTOTAL Comp 3** | **917,951** | 34.6% |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **SUBTOTAL Project Management** | **126,300** | 4.8% |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **TOTAL GEF** | **2,652,294** |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

1. The CECAF Report of the seventh session of the Scientific Sub-Committee, Tenerife, Spain, 14–16 October 2015 is available at www.fao.org/3/a-i5301b.pdf. [↑](#footnote-ref-1)