



Global Sustainable Supply Chains for Marine Commodities (GMC) Project

Midterm Review

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LIST OF ACRONYMS & ABBREVIATIONS

AP2HI Indonesian Pole & Line and Handline Fisheries Association

APRI Indonesian Blue Swimming Crab Association

BAPPENAS Ministry of National Development Planning, Indonesia

BFAR Bureau of Fisheries and Aquatic Resources, Philippines

BSC Blue Swimming Crab

CANEPP National Chamber of Exporters of Fishery & Aquacultural Products, Costa Rica
(Cámara Nacional de Exportadores de Productos Pesqueros y Acuícolas)

CAPAP Chamber of Artisanal Fishers of Puntarenas, Costa Rica (Cámara de pescadores
artesanales de Puntarenas)

CASS Conservation Alliance for Seafood Solutions

CFI Coastal Fisheries Initiative of the UNDP

CO Country Office of UNDP

CRI Costa Rica ISO 3166-1 alpha-3 code

CTC Compliance and Technical Committee of a RFMO

ECU Ecuador ISO 3166-1 alpha-3 code

DIM Direct Implementation Modality

DOL Mahi-mahi or Dorado (in Spanish)

FIP Fisheries Improvement Project

FMAM Fondos del Medio Ambiente Mundial (GEF in Spanish)

FMP Fisheries Management Plan

FSM Federated States of Micronesia



- GCP** Green Commodities Programme
- GEF** Global Environment Facility
- GMC** Global Sustainable Supply Chains for Marine Commodities
- IATTC** Inter-American Tropical Tuna Commission
- IDN** Indonesia ISO 3166-1 alpha-3 code
- INCOPESCA** Costa Rican Institute of Fisheries & Aquaculture (Instituto Costarricense de Pesca y Acuicultura)
- IFFO RS** International Fishmeal & Fish Oil - Responsible Supply
- IPCU** International Project Coordinating Unit
- IUU** Illegal, Unreported & Unregulated
- LPF** Large Pelagic Fish
- MAG** Ministry of Agriculture and Livestock, Costa Rica (Ministerio de Agricultura y Ganadería)
- MCEIP** Ministry of Foreign Trade, Investment & Fisheries, Ecuador (Ministerio de Comercio Exterior, Inversiones y Pesca)
- Metrics** Sustainable Seafood Metrics System
 - MT** Metric tonnes
 - MTR** Mid-term Review
 - NFI** National Fisheries Institute – Crab Council
 - NIM** National Implementation Modality
 - NFI** National Fisheries Institute
 - P&L** Pole and line
- PACPI** Philippine Association of Crab Processors, Inc.

- PCPEAI** Philippine Cephalopods Producers & Exporters Association Inc.
- PHL** Philippines ISO 3166-1 alpha-3 code
- PIR** Project Implementation Report
- RFMO** Regional Fisheries Management Organisation
- SFAP** Sustainable Fisheries Action Plan (of Platform)
- SFP** Sustainable Fisheries Partnership Foundation
- SKJ** Skipjack Tuna
- SMCP** Sustainable Marine Commodities Platform
- SPN** National Longline Sector, Costa Rica (Sector Palangrero Nacional)
- SWO** Swordfish
- TAG** Technical Advisory Group
- TWG** Technical Working Group
- UNDP** United Nations Development Programme
- UNEG** United Nations Evaluation Group
- WCP** West & Central Pacific
- WCPFC** West & Central Pacific Fisheries Commission
- YFT** Yellowfin Tuna

1. Resumen Ejecutivo

Tabla de información del proyecto

ID	5271 (GEFSEC ID)
Título	Proyecto Cadenas Mundiales Sostenibles de Productos del Mar (GMC)
Período de reposición del FMAM	5
Agencia del FMAM (Agencias)	PNUD
Países	Ecuador, Costa Rica, Indonesia, Filipinas
Socios	Sustainable Fisheries Partnership (SFP)
Tamaño	Completo
Financiación	Subvención del FMAM: 5.500.000 USD Cofinanciación: 34.550.000 USD
Tipo de cofinanciación	En especie: 34.550.000 USD
Estado y Cronología clave	Autorización PIF: 25 de diciembre de 2012, Aprobado por el CEO: 21 de enero de 2016 Evaluación medio término: Actualmente en curso
Enfoque multisectorial	Aguas internacionales; productos básicos (comodities)
Alineamiento de las Prioridades Estratégicas Clave del FMAM 2020	a) abordar los factores que impulsan la sobreexplotación de los recursos pesqueros b) ofrecer soluciones integradas c) aumentar la resiliencia y la adaptación e) centrarse en la elección del modelo de influencia adecuado <ul style="list-style-type: none"> • Transformar los entornos normativos y de políticas • Fortalecimiento de la capacidad institucional y de los procesos de toma de decisiones • Convocatoria de alianzas de múltiples partes interesadas (alianzas público-privadas) • Demostrar enfoques innovadores • Despliegue de instrumentos financieros innovadores
Características principales del proyecto	Participación del sector privado; Género; Participación de las partes interesadas; Gestión del conocimiento; Cofinanciación; Ampliación o proyecto modelo; Implicaciones políticas; Enfoque integrado; Sostenibilidad; Potencial de reproducción; Gestión adaptativa.

Descripción del proyecto

El Proyecto Cadenas Mundiales Sostenibles de Productos del Mar (GMC) aborda aspectos clave de las fuerzas del mercado que impulsan la sobrepesca mediante la incorporación de la sostenibilidad en la cadena de valor de importantes productos básicos de los países en desarrollo, la mejora de instrumentos emergentes como las políticas de compra sostenibles de empresas, las plataformas de productos marinos sostenibles (SMCP) y los proyectos de mejora de pesca (FIP), el desarrollo de las capacidades nacionales y la generación de enseñanzas que se pueden compartir en todo el mundo. El objetivo del proyecto es (1) involucrar a los principales compradores de productos del mar en los principales mercados mundiales (UE, Japón, EE.UU.) en el abastecimiento responsable, proporcionando herramientas para preparar e implementar políticas sostenibles de abastecimiento de productos del mar, (2) adaptar el concepto de SMCP (actualmente utilizadas en la agricultura) a la cadena de valor de los productos del mar, y apoyar a los SMCP público-privados en Costa Rica, Ecuador, Indonesia y Filipinas para generar experiencias que puedan ser utilizadas en otros países, (3) apoyar a las partes interesadas de estas plataformas para que desarrollen experiencias prácticas con proyectos de mejora de la pesca y mejoren las herramientas existentes para la implementación

y el seguimiento de los FIP, y (4) mejorar las plataformas de información existentes en apoyo de la toma de decisiones razonable, así como para captar, documentar y difundir los aprendizajes del proyecto. Las pesquerías objetivo del proyecto incluyen el Dorado (DOL) y los peces pelágicos grandes y pequeños en el Océano Pacífico oriental, el atún indonesio, el pulpo filipino y las pesquerías de cangrejo nadador azul en Indonesia y Filipinas.

El PNUD es el organismo de ejecución del FMAM y, en consecuencia, el proyecto debe aplicar los procedimientos del PNUD. El proyecto opera en los cuatro países y cuenta con una Unidad de Coordinación Internacional del Proyecto (IPCU) compuesta por personal del PNUD y un socio facilitador, Sustainable Fisheries Partnership (SFP).

Información básica por país/ agencia facilitadora

País/ agencia facilitadora	Modalidad de contratación	Autoridad nacional/ socio de ejecución	Fecha de la firma del ProDoc	Fecha de inicio de la ejecución del proyecto
Costa Rica	Modalidad de Implementación Nacional (NIM) con Servicios de Apoyo del PNUD	Ministerio de Agricultura y Ganadería (MAG)	Mayo de 2016	Julio de 2016
Ecuador	NIM con Servicios de Apoyo del PNUD	Ministerio de Comercio Exterior, Inversiones y Pesca (MCEIP)	Septiembre de 2016	Noviembre de 2017
Filipinas	NIM con Servicios de Apoyo del PNUD	Oficina de Pesca y Recursos Acuáticos (BFAR)	Marzo de 2017	Noviembre de 2017
Indonesia	NIM con Servicios de Apoyo del PNUD	Ministerio de Planificación del Desarrollo Nacional (BAPPENAS)	Marzo de 2018	Marzo de 2018
IPCU	Modalidad de Implementación Directa (DIM) ¹	PNUD; SFP	Noviembre de 2016	Noviembre de 2017 ²

La duración prevista del proyecto es de 48 meses, más un período de cierre de dos meses. El presupuesto total procedente del FMAM es de 5,5 millones de dólares. La evaluación medio término considera que el proyecto sigue siendo pertinente para los problemas que aborda, aunque el diseño tiene defectos relacionados con la institucionalización, la titularidad, la escala temporal y el presupuesto.

Resumen del progreso del proyecto

La evaluación medio término (MTR) considera que el alcance del objetivo es moderadamente satisfactorio, teniendo en cuenta una serie de preocupaciones fundamentales. El progreso hacia los resultados se considera moderadamente satisfactorio o satisfactorio, como se resume en el cuadro que figura a continuación. La ejecución del proyecto y la gestión adaptativa son globalmente satisfactorias, pero un examen minucioso de la composición de esta calificación revela que los logros

¹ Originalmente, el componente internacional del proyecto operaba bajo la Modalidad de Implementación Nacional (NIM), con la Autoridad Nacional Ecuatoriana (antes Ministerio de Agricultura, Ganadería, Acuicultura y Pesca) y el SFP como socios ejecutores. Sin embargo, desde 2018, y sobre la base de la solicitud de la SFP, el componente internacional ha operado bajo la Modalidad de Implementación Directa (DIM). Además, durante una reunión del Comité Directivo del Proyecto para el Componente Nacional Ecuatoriano del proyecto en noviembre de 2017, la Autoridad Nacional Ecuatoriana también solicitó cambiar el componente internacional de NIM a DIM.

² En noviembre de 2017, el proyecto celebró su taller de inicio, lo que brindó a las autoridades nacionales de los cuatro países la primera oportunidad de interactuar y planificar las actividades del proyecto en coordinación. Además, el proyecto contrató a su coordinador internacional de proyectos, se inició la aplicación de la SPP y se iniciaron las actividades del PNUD relacionadas con la aplicación en el Ecuador y Filipinas.

oscilan entre Satisfactorios y Moderadamente Insatisfactorios, siendo estos últimos principalmente debidos a inicios de actividades tardíos y escalonados. En la actualidad, las perspectivas de sostenibilidad son sólo moderadamente probables, pero la evaluación medio término espera que esto mejore a probable, con la aplicación de sus recomendaciones. Las calificaciones y las descripciones de los logros se presentan en la siguiente tabla.

Calificación³ del MTR en relación con las cuatro medidas y los logros del proyecto GMC

Calificación MTR	Descripción de los logros
Estrategia del proyecto	
N/A	El proyecto GMC es pertinente a niveles mundial y nacional. Desde el punto de vista conceptual, existe una buena complementariedad entre los tres instrumentos principales (mesas redondas de cadenas de suministro -SR-, FIP y SMCP).
Progreso hacia los resultados	
Objetivo Integrar la sostenibilidad en las cadenas de suministro de alimentos de origen marino mediante mecanismos y asociaciones de mercados y de políticas, con el objetivo general de reconstituir y proteger las poblaciones de peces y los medios de subsistencia. Calificación de logros: Moderadamente satisfactorio (MS): se espera que el objetivo alcance la mayoría de sus objetivos al final del proyecto, pero con deficiencias significativas.	El MTR reconoce que se ha alcanzado la meta de acuerdo con el indicador, pero el indicador como en todos, se trata de un indicador y no de una medida completa de los logros. El proyecto está acercando la meta de apoyar la certificación o mejora de 500.000 toneladas métricas por año, una contribución significativa teniendo en cuenta el presupuesto total. Existen otras preocupaciones a la hora de realizar esta evaluación. Las reservas expresadas en las discusiones sobre los Resultados en las siguientes secciones deben afectar al Objetivo, y por esa razón una calificación de MS.
Resultado 1 Aumento de la demanda del mercado mundial de productos marinos sostenibles certificados y reducción conexa de la pesca ilegal, no declarada y no reglamentada (INDNR). Calificación de logros: Satisfactorio (S): Se espera que el resultado alcance la mayoría de sus objetivos al final del proyecto, con sólo algunas deficiencias menores.	Se ha alcanzado uno de los indicadores y uno de ellos se encuentra al nivel previsto. Existe un aumento manifiesto de la demanda de productos marinos sostenibles, pero hay espacio para pequeñas mejoras en los SR, y es necesario que esta actividad continúe hasta el final del proyecto.
Resultado 2 Aumento de la presión sobre las Organizaciones Regionales de Ordenación Pesquera (OROP) y sus Partes contratantes para que adopten prácticas más sostenibles y basadas en la ciencia para la conservación y ordenación de tiburones y túnidos mediante la participación de cadenas de valor internacionales. Calificación de logros: S: Se espera que el resultado alcance la mayoría de los objetivos de fin de proyecto, con sólo pequeñas deficiencias.	Hay una mayor presión sobre las OROP a través de varias cartas, de delegados nacionales y de agrupaciones de la industria. Fuera del ámbito del proyecto, es demasiado pronto para evaluar la adopción de prácticas mejoradas por parte de las OROP y las CPC. La presión continua es apropiada y es probable que se produzca a través del SFP.
Resultado 3 Mayor sinergia y participación de los agentes nacionales e internacionales (es decir, minoristas, comerciantes, elaboradores, pescadores y autoridades pesqueras) en las cadenas de valor de los productos pesqueros sostenibles. Calificación de logros: MS: Se espera que el resultado alcance la mayoría de los objetivos de fin de proyecto, pero con deficiencias significativas.	Existe una mayor sinergia y participación de los agentes nacionales e internacionales, lo que es un buen presagio para las pesquerías implicadas y es coherente con la metodología del Programa de Productos Verdes (GCP). En vista de las reservas (sobre el funcionamiento de las plataformas, la participación de los actores internacionales en ellas, el anclaje y fortalecimiento institucional, el inicio tardío y la financiación) la evaluación de medio término otorga una calificación moderadamente satisfactoria.

³ Véase el [Annex 5](#) para las escalas de calificación del PNUD/ FMAM.

Calificación MTR	Descripción de los logros
Resultado 4 Aumento de las puntuaciones de sostenibilidad de los productos marinos comprados a los pescadores del proyecto. Calificación de logros: MS: Se espera que el resultado alcance la mayoría de los objetivos de fin de proyecto, pero con deficiencias significativas.	Es demasiado pronto para concluir que la mayoría de las pesquerías han demostrado mejoras en la sostenibilidad hasta la fecha, pero los indicadores sobre el desempeño de los FIP están en camino. Al MTR le preocupa el realismo y la financiación de algunos de los planes FIP, así como el inicio tardío de algunos FIP y, por lo tanto, da una calificación de MS.
Resultado 5 La información fiable y verificable de los productos marinos objetivo está a disposición del público y es utilizada por las partes interesadas de la cadena de valor para la toma de decisiones y la participación en proyectos de mejora de la pesca. Calificación de logros: S: Se espera que el resultado alcance la mayoría de los objetivos de fin de proyecto, con sólo pequeñas deficiencias.	Los instrumentos están disponibles y se utilizan, pero este era el caso antes de que el proyecto comenzara. No ha sido posible determinar el progreso en cuanto a la satisfacción, y el progreso en los trabajos científicos está atrasado. Estas reservas probablemente se abordarán antes de que finalice el proyecto, el MTR evalúa el progreso hacia este resultado como S.
Resultado 6. Mejor gestión de los conocimientos sobre la integración de la sostenibilidad en las cadenas de valor de los productos del mar. Calificación de logros: MS: Se espera que el resultado alcance la mayoría de los objetivos de fin de proyecto, pero con deficiencias significativas.	En vista de las reservas con respecto a la disponibilidad de documentos básicos, que podrían haber incluido materiales de capacitación y directrices documentadas para los diferentes componentes, y los escasos vínculos entre el sitio web del proyecto y los de sus asociados, y sus contenidos, el MTR atribuye una calificación de moderadamente satisfactorio.
Implementación del Proyecto y Gestión Adaptativa	
Se espera que el proyecto se implemente de manera eficiente y rentable y que sea capaz de adaptarse a las condiciones cambiantes; y se espera que el Monitoreo y Evaluación, la presentación de informes, la participación de las partes interesadas y las comunicaciones del proyecto apoyen la implementación del proyecto. Calificación de logros: Satisfactorio: La aplicación de la mayoría de los siete criterios está conduciendo a una ejecución eficiente y eficaz de los proyectos y a una gestión adaptativa, salvo en el caso de unos pocos que están sujetos a medidas correctivas.	Las calificaciones de los siete criterios ⁴ de esta medida son: disposiciones de gestión (sección 5.3.1), moderadamente satisfactorias; planificación y calendario del trabajo (5.3.5.3.2), moderadamente insatisfactorias; financiación y cofinanciación (5.3.5.3.3), satisfactoria; sistemas de monitoreo y evaluación a nivel de proyecto (5.3.5.3.45.3.4), satisfactorias; informes (5.3.5.3.4), satisfactorias; participación de las partes interesadas (5.3.5.3.5), altamente satisfactorias; comunicaciones (5.3.5.3.5), moderadamente satisfactorias. El MTR arroja una puntuación global satisfactoria porque de este análisis se derivan pocas recomendaciones para el proyecto existente y porque se han hecho esfuerzos para recuperar un comienzo ineficaz; la calificación de moderadamente insatisfactorio se refiere al comienzo escalonado en diferentes países y al reclutamiento tardío de la Unidad de Coordinación Internacional (IPCU).
Sostenibilidad	
La sostenibilidad es moderadamente probable. Existen riesgos moderados, pero se espera que al menos algunos resultados sean sostenidos debido al progreso hacia los resultados al momento del MTR.	El MTR confía en que las actividades de los resultados 1 y 2 continúen, y que los procesos de los FIP continúen. Las reservas surgen con el apoyo directo del proyecto a algunos de los planes del FIP en lugar del sector privado, y con la institucionalización de algunas de las plataformas y el financiamiento de sus planes.

Después de un comienzo escalonado, el proyecto ha logrado algunos indicadores y está logrando las metas en la mayoría de los restantes. Debido al inicio tardío de la mayoría de los componentes, la ejecución financiera, que asciende a un 42% en total, está retrasado en la mayoría de los países y en el componente internacional. Los indicadores no reflejan plenamente los progresos realizados hacia

⁴ La metodología de MTR del PNUD/ FMAM se refiere a siete "componentes"; a fin de evitar confusiones con los componentes de los proyectos, en el MTR se utiliza el término "criterios".

el objetivo y los resultados previstos, y MTR señala varias preocupaciones. Estos incluyen (i) la institucionalización de las plataformas de productos marinos sostenibles que el proyecto está promoviendo; (ii) la financiación de los planes de acción (o de gestión) para la pesca sostenible y de los planes de acción del FIP; (iii) la posible dilución del enfoque de la cadena de suministro, al centrarse cada vez más en la gestión de la pesca; y (iv) la disponibilidad de los documentos de básicos del proyecto. El MTR formula varias recomendaciones para resolver estos problemas. Éstos se comparan con los resultados y conclusiones pertinentes del cuadro que figura a continuación.

Hallazgos, Conclusiones y Recomendaciones

Hallazgos	Conclusiones	Recomendaciones
A pesar de algunas debilidades de diseño, el proyecto es relevante a nivel internacional y nacional. Está bien diseñado y aborda las barreras necesarias a través de mecanismos apropiados con el PNUD y la SFP (secciones 4, 5.1).	La relevancia del proyecto a las barreras y los mecanismos que el proyecto promueve ofrecen una oportunidad para futuras intervenciones. Cinco debilidades se han manifestado durante la ejecución: los comités directivos nacionales no abarcan explícitamente todos los componentes; los coordinadores de las plataformas nacionales son financiados por el proyecto; los planes derivados de los procesos del FIP y de las plataformas corren el riesgo de no ser financiados; la escala de tiempo de los procesos que el proyecto apoya es más larga que la del propio proyecto; y los bajos presupuestos para algunos puestos clave.	-El PNUD podría reproducir provechosamente la asociación entre el PNUD y una ONG en futuras intervenciones. Debe basarse en las conclusiones de este MTR y en las que se extraigan de los procesos de aprendizaje que se están llevando a cabo en el marco del proyecto. -La IPCU debe establecer métodos de medición de las acciones que los socios han emprendido como resultado del proyecto, y aspectos cualitativos como el nivel de confianza en los procesos de la Plataforma y el FIP.
La redacción de algunos indicadores y la formulación de algunos valores de base y metas no son óptimas (5.1.2).	El proyecto podría beneficiarse del mejoramiento de los indicadores, los valores de base y las metas.	El IPCU debería integrar las sugerencias del MTR sobre la redacción de los indicadores y las expresiones en las líneas de base y las metas, tal como se sugiere en detalle en el Annex 10.
En el caso del objetivo, el indicador se ha alcanzado, y partes clave de la cadena de suministro integran más la sostenibilidad.	El indicador no representa plenamente el logro del objetivo, y las debilidades con respecto a los resultados se filtran hasta este nivel.	-.
A raíz del proyecto, la demanda de productos marinos sostenibles ha aumentado (Resultado 1); los aspectos comerciales podrían recibir más atención en las SR.	Los vínculos y la complementariedad entre los SR, los FIP y las plataformas garantizan un enfoque integral de la cadena de suministro; el refuerzo de una perspectiva comercial en las SR aumentaría la adhesión a los principios.	-DFP (y cualquier proyecto futuro) debe asegurar que la sostenibilidad y los aspectos de cadenas de suministro (en plataformas y en los FIP, así como en los SR) se presenten desde una perspectiva empresarial: valor añadido potencial, mantenimiento o aumento de la cuota de mercado.
Las OROP han sido presionadas a través de comunicaciones, nuevas agrupaciones industriales y la asistencia de la SFP a las OROP (Resultado 2).	Existe una mayor presión sobre las OROP (de acuerdo con el resultado). La asociación con la SFP aporta un valor añadido a este componente (Resultados 1 y 2).	-
Aunque existe preocupación en cuanto a la institucionalización, se han creado cinco Plataformas de	Las lecciones pueden y deben ser aprendidas de la experiencia de Costa Rica para los otros tres países.	-Las Autoridades Nacionales y el PNUD deben hacer todo lo posible para asegurar que las Plataformas apoyadas



Hallazgos	Conclusiones	Recomendaciones
<p>Productos Marinos Sostenibles (Resultado 3). En Costa Rica se ha elaborado un Plan de Acción para la Pesca Sostenible, pero existe preocupación por su financiación.</p>	<p>La sinergia ha mejorado, pero aún no se han institucionalizado las plataformas, lo que compromete la sostenibilidad y el impacto a largo plazo.</p> <p>Es importante garantizar la gobernanza de la plataforma y de la pesca (que de la plataforma se deriven medidas concretas de gestión de la pesca).</p> <p>Es importante asegurar que <i>las cadenas de valor</i> sigan siendo un foco de atención.</p> <p>Si la Plataforma se orienta a un plan de acción de pesca sostenible o a un plan de gestión dependerá del contexto.</p>	<p>por el proyecto estén ancladas en instituciones permanentes legalmente constituidas, y que los coordinadores nacionales de las plataformas provengan de puestos permanentes;⁵el personal del GMC debe asumir el rol de facilitador y asesor.</p> <p>-Las Autoridades Nacionales y el PNUD deben tomar nota de que los productos de la Plataforma podrían ser planes de ordenación respaldados por los gobiernos en lugar de planes de acción para la pesca sostenible, caso por caso, y que los Comités Directivos de la Plataforma deben garantizar la pertinencia de la <i>cadena de valor</i> con una participación continua de los grandes actores internacionales y un mayor enfoque en la financiación realista de los planes.</p> <p>-Desde 2020 hasta el final del proyecto, el IPCU debe contratar a una persona para el puesto de Asesor de Plataforma Mundial, con el fin de extraer lecciones aprendidas y mejores prácticas, y proporcionar coherencia.</p>
<p>El resultado 4 se relaciona con los puntajes de sostenibilidad de los productos marinos comprados a las pesquerías del proyecto; el proyecto monitorea los FIP y las pesquerías y los FIP están en el buen camino en términos de progreso, pero el financiamiento no está a la altura de las metas.</p>	<p>Los FIP sufrieron un comienzo tardío en la mayoría de los países y un apoyo limitado del SFP, sin culpar al SFP, en Costa Rica e Indonesia⁶. El calendario de los FIP es más largo que el del proyecto GMC. El GMC está financiando la ejecución de partes de los planes FIP, lo que podría desalentar la participación del sector privado. Se ha avanzado hacia la sostenibilidad, pero es demasiado pronto para verificarlo. La SFP aporta valor añadido en el ámbito de la participación y la financiación del sector privado.</p>	<p>-La PESC y las autoridades nacionales deben garantizar que los FIP estén dirigidos por la industria y que todos los planes de acción del FIP sean realistas, financiados e implementados; de lo contrario, el proceso se verá socavado.</p> <p>- SPP & IPCU deben renovar esfuerzos, y el PNUD debe apoyar estos esfuerzos, para que el SFP apoye la sostenibilidad a largo plazo de FIP liderados por la industria en Costa Rica e Indonesia.</p> <p>-Los Coordinadores de Plataformas Nacionales, el SFP y el PNUD deben garantizar vínculos claros y sólidos entre los FIP, la Plataforma y el gobierno para garantizar que los resultados del FIP apoyen las medidas de gestión a largo plazo.</p>
<p>El Resultado 5 espera que información fiable y verificable esté más disponible y sea más utilizada por las partes implicadas en la cadena de valor. Se manifiesta un aumento</p>	<p>Se dispone de más información y es apropiado contar con un apoyo científico preciso para los FIP, siempre y cuando no socava el compromiso del sector privado. Las</p>	<p>-El SFP debe seguir prestando apoyo científico específico a los FIP, pero debe considerar la posibilidad de condicionarlo a una financiación significativa del plan FIP por parte del</p>

⁵ El MTR señala que un funcionario público permanente ha asumido el título de Coordinador de la Plataforma Nacional en Filipinas.

⁶ Incluso si el SFP no tiene un presupuesto para Indonesia, estaba previsto que la SFP coordinara con Indonesia.

Hallazgos	Conclusiones	Recomendaciones
del número de pesquerías y de usuarios registrados en los sitios web, así como un aumento del número de visitantes. El nivel general de satisfacción con las diferentes herramientas se aproxima a las expectativas. Los informes científicos están inferiores la meta.	perspectivas de sostenibilidad de las herramientas (Fishsource, Metrics, Fisheryprogress) y de los informes científicos son buenas.	sector privado y a la participación del sector público, según corresponda.
El Resultado 6 tiene por objeto mejorar la gestión de los conocimientos y a la incorporación de la sostenibilidad en las cadenas de valor. El proyecto ha tomado algunas iniciativas para la elaboración de documentos de mejores prácticas y lecciones aprendidas. Aunque se reconoce la cobertura de los medios de comunicación social, la información del sitio web es limitada, en particular la de la biblioteca, y no existen documentos de referencia hasta la fecha. El MTR observa poca participación de GCP, Monterey Bay Aquarium o el National Fisheries Institute – Crab Council - en los aspectos de conocimiento.	Uno habría esperado un reclutamiento más temprano del Oficial de Comunicaciones ⁷ , más documentos de referencia y una biblioteca más completa en el sitio web. Es necesario involucrar a GCP, Monterey Bay Aquarium y otros más en las discusiones técnicas.	-El personal del proyecto en cada país y los especialistas y asesores de cada componente deben contribuir a la producción de las lecciones aprendidas y de los documentos de mejores prácticas, y el IPCU debe asegurarse de que se incluyan en los sitios web de GMC, SFP e instituciones asociadas. -El IPCU y las oficinas de país deben coordinar los Talleres Nacionales a principios del año 3 para recopilar las lecciones aprendidas y contribuir a los documentos de mejores prácticas, y coordinar Talleres Nacionales e Internacionales basados en las experiencias en el año 4. -El IPCU debe asegurar que se elabore en el año 3 una metodología para los SMCP <i>Marinos</i> , así como orientación sobre otros aspectos.
Los Comités Directivos Nacionales del Proyecto están centrados en el Componente 2 de un proyecto multicomponente.	Aunque las autoridades nacionales están incluidas en el Comité Directivo Global, la sinergia entre los componentes a nivel nacional se ve comprometida por la concentración en C2 y Plataformas en Comités Directivos Nacionales.	-Todos los Comités Directivos Nacionales del Proyecto GMC deben considerar las actividades C1, C3 y C4 de oficio, no para su aprobación, sino para asegurar la complementariedad y el intercambio de información.
El Grupo Asesoría Técnica (TAG) no ha sido técnicamente funcional y el Comité Directivo global se ha reunido con poca frecuencia, sólo dos veces desde que el proyecto comenzó en julio de 2016 en Costa Rica, con una membresía anómala de la SFP (5.3.1).	Los aspectos técnicos, basados en una mayor comunicación y uso de la GCP, el Monterey Bay Aquarium y otros, se tratarán mejor directamente con estas instituciones informando al Comité Directivo Global según corresponda; reuniones semestrales del Comité Directivo Global facilitarían la coordinación; la supervisión estaría mejor atendida por otra persona designada formalmente por la SFP para el Comité Directivo Global.	-El IPCU debe convocar al Comité Directivo Global cada seis meses, después de haber consultado y recibido retroalimentación sobre los aspectos técnicos relevantes, y debe proponer a la SFP el nombramiento de un nuevo miembro.
Aunque se reconoce que los cambios políticos pueden haber contribuido a una firma tardía de los documentos nacionales, el escalonamiento de las	La contratación tardía de la IPCU puede haber contribuido a la firma tardía en otros países, pero, sin embargo, la contratación de	-Las oficinas regionales y nacionales del PNUD deben reunirse para establecer cómo fue posible permitir un comienzo tan escalonado y un

⁷ ProDoc determinó el reclutamiento de un Oficial de Comunicaciones sólo en el año 2, siendo el año 2 para el IPCU el tercer año después de su inicio en Costa Rica.



Hallazgos	Conclusiones	Recomendaciones
fechas de inicio en los diferentes países y en el IPCU es contrario a la razón de ser del proyecto global. (5.3.2)	personal clave en los diferentes países llevó aún más tiempo (tanto para la SFP como para el PNUD), debido en parte al bajo presupuesto, particularmente cuando un socio y sus empleados están sujetos a impuestos locales.	reclutamiento tan lento, y cómo se puede evitar esto en futuros proyectos de este tipo.
La tasa de gastos es baja como resultado de un comienzo escalonado y tardío (5.3.3).	El índice de gastos es variable, pero en general permite una ampliación del proyecto.	-
Los sistemas de monitoreo son claros y están bien presentados, y tratan de informar sobre los indicadores y las actividades (5.3.4).	Aunque se centran en los indicadores, los informes ponen poco acento en la discusión de resultados reales que se derivan del proyecto. Con el tiempo, el aprovechamiento de las lecciones aprendidas será más importante.	-El IPCU debe tomar en consideración los cambios sugeridos por el MTR en la redacción de los indicadores y en la presentación de las líneas de base y metas, y liderar el proceso para su mejora.
No todas las plataformas están institucionalizadas (véase el resultado 3), y hasta la fecha no se han financiado los planes elaborados por las plataformas y los FIP.	La sostenibilidad financiera e institucional no está garantizada hasta que las plataformas se integren en las estructuras permanentes y se financien los planes de los FIP. El proyecto GMC tiene que apoyar estos procesos.	Véase el Resultado 3 más arriba.
Se han abordado sólo parcialmente algunos de los factores que garantizan la sostenibilidad, como la financiación, la institucionalización, la distribución de beneficios y el género (no previstos en el documento del proyecto) (sección 5.4). Otros aspectos, como el medio ambiente y la economía, presentan menos riesgos.	Se está abordando la cuestión del género, aunque con retraso y hasta la fecha parcialmente. La sostenibilidad financiera e institucional no está garantizada hasta que las plataformas se integren en las estructuras permanentes y se financien los planes de los FIP, definido en una estrategia de salida.	-El IPCU y el SFP deben definir una estrategia de salida, incluyendo el género y con un enfoque en la sostenibilidad, antes de finales de 2019.
En la actualidad no existe ningún mecanismo de ampliación. Dado el tiempo transcurrido y el bajo gasto hasta la fecha (debido a la tardía puesta en marcha de la mayoría de los componentes), existe el riesgo de que no se gaste el presupuesto. Es necesario extraer lecciones y mejores prácticas del proyecto en su conjunto. La experiencia general del proyecto es positiva a pesar de las deficiencias señaladas en el presente informe.	Parcialmente dado a que en algunos países los procesos están menos avanzados, es demasiado pronto para asegurar la sostenibilidad, o para sacar conclusiones y ampliar adecuadamente las actividades. Hay posibilidad de armonizar la fecha final del proyecto y extraer lecciones para una futura intervención.	-Todos los componentes deben extender hasta finales de octubre de 2021, permitiendo el cierre para diciembre de 2021. -Aunque es demasiado pronto para determinar qué forma debería adoptar, el PNUD y la SFP deberían considerar la posibilidad de una segunda fase, teniendo en cuenta las lecciones aprendidas en relación con el calendario, el escalonamiento y el presupuesto, <i>entre otras cosas</i> , y utilizando las mejores prácticas.

2. Executive Summary

Project Information Table

ID	5271 (GEFSEC ID)
Title	Global Sustainable Supply Chains for Marine Commodities (GMC) Project
GEF Replenishment Period	5
GEF Agency (Agencies)	UNDP
Countries	Ecuador, Costa Rica, Indonesia, Philippines
Partners	Sustainable Fisheries Partnership (SFP)
Size	Full size
Financing	GEF Grant: USD 5,500,000 Co-financing: USD 34,550,000
Type of Co-financing	In-kind: USD 34,550,000
Status and Key Timeline	PIF Clearance: 25Dec12, CEO Endorsed: 21Jan16 Mid-term evaluation: Currently underway
Multi-sectoral Approach	International Waters; Commodities
GEF 2020 Key Strategic Priority Alignment	(a) address drivers of overexploitation of fishery resources (b) deliver integrated solutions (c) enhance resilience and adaptation (e) focus on choosing the right influencing model <ul style="list-style-type: none"> • Transforming policy and regulatory environments • Strengthening institutional capacity and decision-making processes • Convening multi-stakeholder alliances • Demonstrating innovative approaches • Deploying innovative financial instruments
Key Project Features	Private sector engagement; Gender; Stakeholder engagement; Knowledge management; Co-financing; Scaling up; Policy implications; Integrated approach; Sustainability; Replication potential; Adaptive management.

Project Description

The Global Sustainable Supply Chains for Marine Commodities Project (GMC) addresses key aspects of the market forces that drive overfishing by mainstreaming sustainability in the value chain of important commodities from developing countries, improving emerging tools such as corporate sustainable purchase policies, sustainable marine commodities platforms (SMCP), and fisheries improvement projects (FIP), developing national capacities, and generating learning to be shared worldwide. The project aims to (1) engage major seafood buyers in the main world markets (EU, Japan, US) into responsible sourcing, providing tools to prepare and implement sustainable seafood sourcing policies, (2) adapt the concept of green commodities platforms (currently used in agriculture) to the seafood value chain, support public-private SMCPs in Costa Rica, Ecuador, Indonesia and the Philippines to generate experience that could be used in other countries, (3) support the stakeholders of these platforms to develop practical experience with fisheries improvement projects and upgrade existing tools for FIP implementation and monitoring, and (4) upgrade existing information platforms in support of sound decision making, and capturing, documenting and disseminating the learnings of the project. The project target fisheries include Mahi-mahi and large and small pelagic fish in the Eastern Pacific Ocean, Indonesian tuna, Filipino octopus, and blue swimming crab fisheries in Indonesia and the Philippines.

UNDP is the GEF implementing agency (IA), and as a result UNDP procedures are to be followed. The project operates in the four countries and has an International Project Coordination Unit (IPCU) comprising staff from UNDP and facilitating partner, Sustainable Fisheries Partnership (SFP).

Core information by country/ facilitating agency

Country/ Facilitating Agency	Contract Modality	National Authority/ Implementing Partner	Date of ProDoc Signature	Date of Project Implementation Start
Costa Rica	National Implementation Modality (NIM) with UNDP Support Services	Ministry of Agriculture and Livestock (MAG)	May 2016	July 2016
Ecuador	NIM with UNDP Support Services	Ministry of Production, Export Industry, Investment and Fisheries (MCEIP)	September 2016	November 2017
Philippines	NIM with UNDP Support Services	Bureau of Fisheries and Aquatic Resources (BFAR)	March 2017	November 2017
Indonesia	NIM with UNDP Support Services	Ministry of National Development Planning (BAPPENAS)	March 2018	March 2018
IPCU	Direct Implementation Modality (DIM) ⁸	UNDP; Sustainable Fisheries Partnership	November 2016	November 2017 ⁹

The planned duration of the project is 48 months, plus a two-month closure period. The total budget from GEF sources is USD 5.5M. The MTR judges that the project is still relevant to the problems it addresses, though the design does have flaws relating to institutionalization, ownership, timescale and budget.

Project Progress Summary

The MTR finds that progress towards the Objective is moderately satisfactory, bearing in mind a number of fundamental concerns. Progress towards the Outcomes is found to be either moderately satisfactory or satisfactory, as summarised in the table below. Project implementation and adaptive management are found to be satisfactory overall, but a close look at the composition of this rating reveals that achievement ranges from Satisfactory to Moderately Unsatisfactory, the latter primarily from late and staggered starts. At present prospects for Sustainability are only Moderately Likely, but the MTR hopes that with the application of its recommendations this will improve to Likely.

The ratings and achievement descriptions are presented in the table below.

⁸ Originally, the international component of the project operated under the National Implementation Modality (NIM), with the Ecuadorian National Authority (formerly Ministry of Agriculture, Livestock, Aquaculture and Fisheries) and SFP as implementing partners. However, since 2018, and based upon the request from SFP, the international component has operated under the Direct Implementation Modality (DIM). In addition, during a Project Steering Committee meeting for the Ecuadorian National Component of the project in November 2017, the Ecuadorian National Authority also requested changing the international component from NIM to DIM.

⁹ In November 2017, the project held its inception workshop providing the first opportunity for national authorities from the four countries to interact and plan project activities in coordination. In addition, the project hired its international project coordinator, SFP implementation initiated, and UNDP activities related to implementation commenced in Ecuador and the Philippines.

MTR Rating against the four Measures & Achievement Summary Table¹⁰ for the GMC Project

MTR Rating	Achievement Description
Project Strategy	
N/A	The GMC project is relevant globally and nationally. Conceptually, there is good complementarity between the three main instruments (Supplychain Roundtables, Fishery Improvement Projects and Sustainable Marine Commodity Platforms).
Progress Towards Results	
Objective To mainstream sustainability into seafood supply chains through market and policy mechanisms and partnerships with the overarching goal of rebuilding and protecting fish stocks and livelihoods. Achievement Rating: Moderately Satisfactory (MS): the objective is expected to achieve most of its end-of-project targets but with significant shortcomings	The MTR recognises that the target according to the indicator has been achieved, but as with all indicators, it is an indicator, and not a full measure of achievement. The project may be on target to support the achievement or certification of 500,000 Metric tonnes per annum, a significant contribution given the overall budget. At the time of this review there are other concerns. The reservations voiced in the discussions on the Outcomes in the following sections must filter up to the Objective, and for that reason a rating of MS is accorded.
Outcome 1 Increased global market demand for sustainable certified marine commodities and associated reduction of Illegal, Underreported and Unregulated (IUU) fisheries. Achievement Rating: Satisfactory (S): The outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.	One of the indicators has been achieved and one is on target. There is manifest increased demand for sustainable marine commodities, but room for small improvements in the SRs, and a need for this activity to continue to the end of the project.
Outcome 2 Increased pressure on Regional Fishery Management Organizations (RFMOs) and their Contracting Parties to adopt more sustainable and science-based practices for shark and tuna conservation and management measures through engagement of international value chains. Achievement Rating: S: The outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.	There is increased pressure on RFMOs through various letters, from national delegates and industry groupings. Though beyond the remit of the project, it is too early to evaluate the adoption of improved practices by the RFMOs and CPCs. Continued pressure is appropriate and is likely through SFP.
Outcome 3 Increased synergy and involvement of national and international players (i.e. retailers, traders, processors, fishermen and fisheries authorities) in sustainable seafood value chains. Achievement Rating: MS: The outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.	There is increased synergy and involvement of national and international players, which bodes well for the fisheries involved and is consistent with Green Commodities Programme (GCP) methodology. In view of the reservations with regard to the operation of the platforms, the involvement of international players in these, institutional anchoring and strengthening, the late starts, and financing, the MTR gives a rating of moderately satisfactory.
Outcome 4 Increased sustainability scores of marine commodities purchased from project fisheries. Achievement Rating: MS: The outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.	It is too early to say whether most fisheries have demonstrated improvements in sustainability to date, but indicators on the performance of FIPs are on target. The MTR is concerned about the realism and financing of some of the FIP plans, and the late start in the project cycle of some FIPs and therefore gives a rating of MS.
MTR Rating	Achievement Description

¹⁰ See Annex 5 for UNDP/ GEF's Ratings Scales

<p>Outcome 5 Reliable and verifiable information of target marine commodities is publicly available and is used by value chain stakeholders for decision making and engagement in fishery improvement projects. Achievement Rating: S: The outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.</p>	<p>The instruments are available and used, but this was the case before the project started. It has not been possible to determine the progress on satisfaction, and progress on scientific papers is behind schedule. These reservations will probably be addressed before the end of the project, the MTR assesses progress towards this outcome as S.</p>
<p>Outcome 6. Better knowledge management on mainstreaming sustainability into seafood value chains. Achievement Rating: MS: The outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.</p>	<p>In view of the reservations regarding the availability of resource documents, which might have included documented training materials and guidelines for the different components, and sparse links between the project's web site and those of its partners, and their contents, the MTR attributes a grading of MS.</p>
<p>Project Implementation & Adaptive Management</p>	
<p>The project is expected to be implemented efficiently and cost-effectively and be able to adapt to changing conditions; and project Monitoring and Evaluation, reporting, stakeholder engagement & communications are expected to support project implementation. Achievement rating: Satisfactory: Implementation of most of the seven criteria is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.</p>	<p>The ratings of the seven criteria¹¹ of this measure are: management arrangements (section 5.3.1), moderately satisfactory; work planning & timing (5.3.2), moderately unsatisfactory; finance and co-finance (5.3.3), satisfactory; project-level monitoring and evaluation systems (5.3.4), satisfactory; reporting (5.3.4), satisfactory; stakeholder engagement (5.3.5), highly satisfactory; communications (5.3.5), moderately satisfactory. The MTR gives an overall score of satisfactory because few recommendations for the existing project stem from this analysis, and because of the efforts made to recover an inefficient start; the rating of moderately unsatisfactory refers to the staggered start in different countries and the late recruitment of the IPCU.</p>
<p>Sustainability</p>	
<p>Sustainability is moderately likely: ML: There are moderate risks, but expectations are that at least some outcomes will be sustained given the progress towards results on outcomes at the Midterm Review: MR</p>	<p>The MTR is confident that the activities in Outcomes 1 and 2 will continue, and that the processes of FIPs will continue. Reservations arise with the project's direct support of some of the FIP plans in lieu of the private sector, and with the institutionalization of some the Platforms and the financing of their plans.</p>

Even after a staggered start, the project has achieved some indicators and is on target on the majority of those remaining. Because of the late start of most components, expenditure, at 42% overall, is behind schedule for most countries and for the international component. Indicators are not a full reflection of progress towards achievement of the expected Objective and Outcomes, and the MTR identifies a number of concerns. These include: (i) the institutionalisation of the Sustainable Marine Commodities Platforms that the project is promoting; (ii) the financing of Sustainable Fisheries Action (or Management) Plans and FIP Action Plans; (iii) the potential dilution of the supply chain approach in increasing focus on fisheries management; and (iv) the availability of resource documents resulting from the project. The MTR makes a number of recommendations to address these concerns. These are to be found against the relevant findings and conclusions in the table below.

¹¹ The UNDP GEF MTR Methodology refers to seven "components"; in order to avoid confusion with project components, the MTR uses the term "criteria".

Findings, Conclusions & Recommendations

Findings	Conclusions	Recommendations
Notwithstanding some design weaknesses, the project is relevant internationally and nationally. It is well designed and addresses the necessary barriers through appropriate mechanisms with UNDP and SFP (sections 4, 5.1)	The relevance of the project to barriers and the mechanisms it promotes provides potential for future interventions. Five weaknesses have manifested themselves in implementation: national steering committees do not explicitly encompass all Components; the National Platform Coordinators are financed by the project; the plans arising from FIP and Platform processes run the risk of not being financed; the timescale of the processes the project supports are longer than the project itself; and low budgets for some key positions	-UNDP might usefully replicate the UNDP/NGO partnership in future interventions. It must draw on the conclusions of this MTR and those to be drawn by the learning processes being implemented by the GMC project. -IPCU to establish methods of measuring what actions partners have undertaken as a result of the project, and qualitative aspects such as how levels of trust have been engendered in the Platform & FIP processes.
The wording of some indicators and formulation of some baselines and targets is suboptimal (5.1.2).	The project could benefit from tightening of the indicators, baselines and targets.	The IPCU should integrate the MTR's suggestions on the wording of indicators and the expressions in Baselines and Targets, as suggested in detail in Annex 10.
For the Objective, the indicator has been achieved, and key parts of the supply chain have sustainability integrated.	The indicator does not fully represent the achievement of the Objective, and the weaknesses with respect to Outcomes filter up to this level.	-.
There is an increase in demand for sustainable marine commodities as a result of the project (Outcome 1); commercial aspects could be given more emphasis in Supplychain Roundtables.	Links and complementarity between SRs, FIPs and Platforms ensure a comprehensive supply-chain approach; reinforcing a commercial perspective at Supplychain Roundtables would increase buy-in.	-SFP (and any future project) to ensure that sustainability and supply chain matters (in platforms and FIPs as well as SRs) are presented from a business perspective: potential value-added, maintaining or increasing market share.
RFMOs have been pressurised through letters, new industry groupings, SFP's attendance at RFMOs (Outcome 2).	There is increased pressure on RFMOs (as per Outcome). There is value added from the partnership with SFP for this Component (Outcomes 1 & 2)	-
Five Sustainable Marine Commodities Platforms have been created (Outcome 3), though there are concerns about institutionalisation. One Sustainable Fisheries Action Plan has been produced in Costa Rica, but there are concerns about financing.	Lessons can & should be learnt from Costa Rica's experience for the other three countries. Improved synergy, but platforms have yet to be institutionalised, thus compromising sustainability and long-term impact. Important to ensure governance of platform <i>and</i> of fisheries (that concrete fisheries management measures result from the platform).	-National Authorities and UNDP to do all that is possible to ensure that Platforms supported by the project are anchored in existing permanent legally constituted institutions, <i>and</i> that national platform coordinators are from permanent staff positions ¹² ; GMC staff to take role of facilitator and advisor. -National Authorities and UNDP to note that output of the Platform might be government-endorsed

¹² The MTR notes that a permanent civil servant has assumed the title of National Platform Coordinator in the Philippines.



Findings	Conclusions	Recommendations
	Important to ensure that <i>value chains</i> remain a focus. Whether the Platform aims for SFAP or FMP will depend on context.	management plans instead of Sustainable Fisheries Action Plans, case by case, and Platform Steering Committees need to ensure <i>value chain</i> relevance with continued involvement of big international players and an increased focus on realistic financing of the plans. -From 2020 to project end, IPCU to recruit one person under the post of Global Platform Advisor, in order to draw lessons learnt and best practices, and provide coherence.
Outcome 4 relates to the sustainability scores of marine commodities purchased from project fisheries; the project monitors FIPs and fisheries and FIPs are on target in terms of progress, but financing is short of target.	The FIPs suffered from a late start in most countries and limited SFP support, through no fault of their own, in Costa Rica and Indonesia ¹³ . The timescale of the FIPs is longer than that of the GMC project. The GMC is financing the implementation of parts of FIP plans, which might undermine private sector involvement. There is progress towards sustainability but it is too early to verify. SFP provides value-added in the realm of private sector involvement and financing.	-SFP and national authorities to ensure that FIPs are industry-led, and all FIP action plans are realistic, financed and implemented, otherwise the process is undermined. - SFP & IPCU to renew efforts, and the UNDP to support these efforts, for SFP to support long-term sustainability of industry-led FIPs in Costa Rica & Indonesia. -National Platform Coordinators, SFP & UNDP must ensure strong clear links between FIPs, Platform & government to ensure that FIP outcomes support long-term management measures.
Outcome 5 expects reliable and verifiable information to be more available and used more by value chain stakeholders. There have been increases in the number of fisheries and registered users on the sites, and an increase in the number of visitors. The overall level of satisfaction with the different tools accords with expectations. Scientific reports are behind target.	More information is available, and precise scientific support to FIPs is appropriate, as long as it does not undermine private sector commitment. The outlook for the sustainability of the tools (Fishsource, Metrics, Fisheryprogress), and scientific reports is good.	-SFP to continue to provide specific scientific support to FIPs but consider making this conditional on significant financing of the FIP plan by the private sector, and involvement of the public sector, as appropriate.
Outcome 6 aims for better knowledge management on mainstreaming sustainability into seafood value chains. Various steps taken for best practice documents & lessons learned. While recognising social media coverage, Web site information is limited, in particular the library, and no guidelines to date. The MTR observes little involvement of GCP, Monterey Bay Aquarium or National Fisheries Institute – Crab Council - in knowledge aspects.	One would have expected earlier recruitment of Communications Officer ¹⁴ , more guidelines & fuller library on the web site. There is a need to involve GCP, Monterey Bay Aquarium and others more in technical discussions.	-Project staff in each country and the Specialists and Advisor for each Component must contribute to the production of lessons learnt and best practice documents, and the IPCU must ensure they are put up onto the GMC, SFP & partner institution web sites -IPCU & country offices to coordinate National Workshops early in Yr3 to collect lessons learned & contribute to best practice documents, & National

¹³ Even if SFP does not have a budget for Indonesia it was foreseen that SFP coordinate with Indonesia.

¹⁴ ProDoc determined recruitment of Communications Officer only in Year 2, Year 2 for the IPCU being the third year after start in Costa Rica

Findings	Conclusions	Recommendations
		and International workshops drawing on experiences in year 4 -IPCU to ensure that methodology or guidance for <i>Marine</i> Commodities Platforms be elaborated in Yr3, as well as guidance on other aspects.
National Project Steering Committees are more focussed on Component 2 of a multi-component project.	Though national authorities are included in Global PSC, synergy between components at national level is compromised by concentration on C2 & Platforms in National PSC.	-All National GMC Project Steering Committees to consider C1, C3 & C4 activities as matter of course, not for approval but to ensure complementarity & information exchange.
TAG has not been technically functional & global PSC has met infrequently, only twice since the project started in July 2016 in Costa Rica, with an anomalous membership of SFP (4.3.1)	Technical aspects, based on increased communication and use of GCP, Monterey Bay Aquarium and others, best dealt with directly and reported to PSC as appropriate; six-monthly PSC meetings would facilitate coordination; oversight better served by another SFP formal appointee to PSC	-IPCU to convene global PSC every six months, having consulted and received feedback on relevant technical aspects, .and to propose SFP appoint new member.
While recognising that political changes may have contributed to a late signature of national documents, staggered start dates in the different countries and IPCU is contrary to <i>raison d'être</i> of global project. (4.3.2)	Late recruitment of IPCU may have contributed to late signature in other countries, but even so, recruitment of key staff in country took even longer (for both SFP & UNDP), due in part to low budget, particularly where a partner and its employees are subject to local taxes.	-UNDP regional and Country Offices to convene to establish how it was possible to allow such a staggered start, and such slow recruitment, and how such can be avoided in future projects of this kind.
Expenditure rate low as a result of staggered and late start (4.3.3).	The rate of expenditure is variable, but overall it allows for an extension of the project.	-
Monitoring systems are clear and well presented, and attempt to report on indicators, and on activities (4.3.4).	Whilst focussing on indicators, the reporting is a little light on discussion of potential outcomes resulting from the project. Drawing on lessons learnt will become more important with time.	-The IPCU take into consideration the MTR's suggested changes in wording of indicators and presentation of baselines and targets and lead the process for their improvement.
Not all platforms are institutionalised (See Outcome 3 above), and to date plans produced by Platforms and FIPs have not been financed.	Financial & institutional sustainability not ensured until Platforms integrated into permanent structures and FIP plans financed. The GMC project needs to support these processes.	See Outcome 3 above.
Some of the factors ensuring sustainability, such as financing, institutionalisation, income distribution and gender (not foreseen in the project document) have been addressed only partially (section 4.4). Other aspects, such as the environment and economics present less of a risk.	Gender is being addressed, albeit late and to date partially. Financial & institutional sustainability not ensured until Platforms integrated into permanent structures and FIP plans financed. GMC needs to support these processes (this needs to be defined in an exit strategy)	-IPCU and SFP to define an exit strategy, including gender and with a focus on sustainability before the end of 2019.

Findings	Conclusions	Recommendations
<p>There is no scaling up mechanism at present. Given the time that has elapsed and the low expenditure to date (because of late start-up of most components) there is a risk of that the budget not be spent. There is a need to draw lessons and best practices from the project as a whole. The overall experience of the project is positive despite the shortcomings highlighted in this report.</p>	<p>Partly because in some countries processes are less advanced it is too early to ensure sustainability, or to draw conclusions and appropriately scale up activities. There is room for harmonising the end date of the project and drawing lessons for a future intervention.</p>	<p>-All components be extended to end October 2021, allowing for closure by December 2021. -Though it is too early to determine what form this should take, UNDP & SFP should give consideration to a second phase, taking into consideration lessons learned regarding timescale, phasing and budget <i>inter alia</i> and using best practices.</p>

3. Introduction

3.1 Purpose & Objectives

This Mid Term Review (MTR) covers the totality¹⁵ of the Global Sustainable Supply Chains for Marine Commodities Project. It was commissioned by UNDP Ecuador in response to requirements by the project agreement for a Mid-term Review in the last quarter of the second year.

In accordance with the Terms of Reference ([Annex 1](#)) the MTR will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document. It will also assess early signs of project success or failure with the goal of identifying the necessary changes to be made to set the project on-track to achieve its intended results. The MTR will also review the project's strategy and its risks to sustainability.

The MTR will critically appraise the strategy & design (including the theory of change, the results framework) of the project, Progress towards Results (the Objective and Outcomes), Project Implementation & Adaptive Management, and Sustainability, across the four Components. It will assess the alliances with the implementing partners as well as those with the project's strategic partners¹⁶: Monterey Bay Aquarium, National Fisheries Institute Crab Council, the Marine Stewardship Council and the UNDP Green Commodities Programme.

The MTR will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document and its updates¹⁷, and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results.

3.2 Scope & Methodology

According to the GEF UNDP Guidance for Conducting Mid-Term Reviews of UNDP-Supported, GEF-Financed projects, the MTR team (or consultant in this case) prepared a MTR inception report, which outlined the MTR team's understanding of the project being assessed and the methodology to be used, to ensure the data collected is credible, reliable and useful. This report draws on the methods in the inception report.

The scope of the MTR is limited to the Global Sustainable Supply Chains for Marine Commodities Project and associated activities.

Considering the multi- country arrangement of the project, it started at various dates (because a country's endorsement is required): Costa Rica in July 2016; the IPCU in July 2017 with the recruitment of the International Project Coordinator; Ecuador and Philippines in November 2017; and Indonesia in March 2018. The MTR is due in the last quarter of the second year of implementation (say the 22nd month), so this date varies between May 2018, May 2019, September 2019 and January

¹⁵ By the totality of the project, is meant the operations of the project in the four countries (Costa Rica, Ecuador, Indonesia and the Philippines) and the International Project Coordination Unit, which coordinates global components, comprising the financing by the UNDP of USD 5.5M. The global components have SFP as implementing partner and UNDP Ecuador – lead CO as implementor

¹⁶ Prior to consulting any strategic partner, the consultant will consult with the International Project Coordinator and SFP Point of Contact.

¹⁷ Such as the revised table of indicators approved by UNDP Regional Technical Advisor.

2020. The end dates of the various contracts are therefore staggered (Costa Rica December 2018¹⁸, Ecuador January 2020, Philippines March 2020, IPCU January 2021, and Indonesia December 2021). Therefore, the MTR is a little late, but still early enough to be useful.

The MTR follows the GEF UNDP Guidance for Conducting Mid-Term Reviews of UNDP-Supported, GEF-Financed Projects¹⁹, the UNEG Guidance on Evaluating Institutional Gender Mainstreaming²⁰ and the requirements of the Terms of Reference (ToR) (see Annex 1).

The consultant reviewed literature produced by and relevant to the project, held written and telephone interviews and communications with various stakeholders (See Annex 6), either individually or in focus groups. The Consultant visited offices and consulted in person with stakeholders in Costa Rica, Ecuador (Guayaquil, Manta and Quito), Indonesia and the Philippines. The International Project Coordinating Unit (IPCU) distributed a questionnaire prepared by the Consultant to certain stakeholders.

The Consultant attended two debriefings with key stakeholders after the end of the field phase, and the reactions to these contributed to the Draft MTR Report. The draft report was sent to key project stakeholders and their comments have been considered and integrated into the Final version where appropriate.

Thus, the Review has been divided into four phases: inception; field and remote consultations and debriefing; drafting; and finalisation. The MTR was limited to face-to-face meetings at the six locations of the main offices responsible for project coordination and implementation.

3.3 Structure of the MTR Report

The MTR Report is structured in response to the 15 Evaluative Questions prepared by the Consultant and accepted by the project during the Inception Phase. The Evaluative Matrix including these questions are to be found in Annex 2. They are grouped under the four main criteria, in accordance with UNDP/ GEF MTR Methodology: project strategy; progress towards results; project implementation and adaptive management; and sustainability.

Thus, this report comprises six sections: 1 an Executive Summary in Spanish; 2 an Executive Summary in English; this Introduction ; 4 Project Description & Background Context ; 5 Findings following the four main criteria and answering the 15 Evaluative Questions; and 6 Lessons Learnt, Conclusions & Recommendations .

¹⁸ Costa Rica has already finished its budget and completed the national activities, but global activities including Costa Rica are underway.

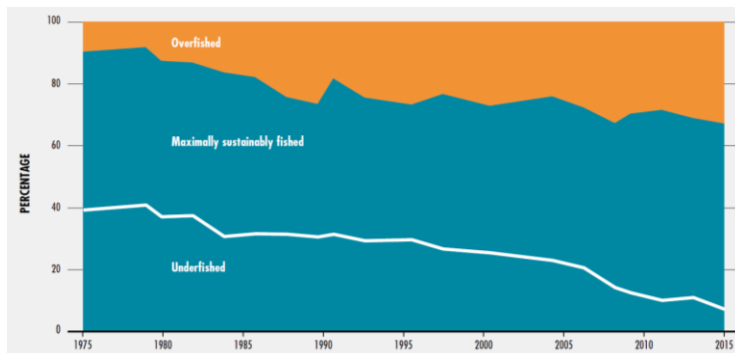
¹⁹ http://web.undp.org/evaluation/documents/guidance/GEF/mid-term/Guidance_Midterm%20Review%20_EN_2014.pdf

²⁰ <http://www.unevaluation.org/document/detail/2133>

4. Project Description & Background Context

4.1 Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope

Ocean warming has contributed to an overall decrease in maximum catch potential, changes in the ocean have impacted marine ecosystems and ecosystem services with regionally diverse outcomes, challenging their governance, and the rate and magnitude of decline are projected to be highest in the tropics (IPCC, 2019, pp. 13, 17, 25). Strengthening precautionary approaches, such as rebuilding overexploited or depleted fisheries, and responsiveness of existing fisheries management strategies reduces negative climate change impacts on fisheries (IPCC, 2019, p. 36). Ending overfishing would reduce the cumulative pressures on the ocean and increase its resilience, potentially mitigating the effects of climate change. Due to the current inefficiencies and operating at below MSY, improvements in management to achieve MSY would not only increase long-term catch, but actually offset some of the negative effects of climate change on catch (Tai, 2019, pp. 2, 12).



The proportion of fish stocks that are overfished continues to increase, and the proportion of underfished stocks continues to decline (see Figure 1 (FAO, 2018, p. 56/227), threatening livelihoods, particularly of the most vulnerable, as well as the supply of affordable fish to the international markets.

Figure 1 Global trends in the state of the World's marine fish stocks 1974-2015

In per capita terms, food fish consumption grew from 9.0 kg in 1961 to 20.2 kg in 2015, at an average rate of about 1.5 percent per year. Preliminary estimates for 2016 and 2017 point to further. With continued population growth, global demand²¹ can be expected to increase. Increased demand can increase fishing pressure and provides an incentive to Illegal, Unreported and Unregulated (IUU) fishing. Fishing restrictions in developed nations have resulted in reduced domestic fishery production and reduced self-sufficiency. To compensate for their decline in production so as to meet high demand from domestic consumers, developed countries have increased their imports of fish and fish products from developing countries or in some cases made fishing access agreements with them to allow developed country fleets to fish in their national waters. The resulting economic interdependencies, coupled with limited management and governance capacity in developing countries, have increased the sustainability divide between developed and developing countries (FAO, 2018, p. 107/227).

²¹ Strengthened demand and higher prices increased the value of global fish exports in 2017 to USD 152 billion, 54 percent originating from developing countries (FAO, 2018, p. 9/227).

Fisheries continue to be important to the four targeted countries: Costa Rica, Ecuador, Indonesia and the Philippines.

The two Regional Fisheries Management Organisations (RFMO) targeted by the project continue to exercise their mandates in the regions targeted: Inter-American Tropical Tuna Commission (IATTC) and the West and Central Pacific Fisheries Commission (WCPFC).

The main directly manageable threat to biodiversity is overfishing, caused by a series of factors that pervade fisheries worldwide, including excess fishing pressure, open access, increased demand for seafood, insufficient scientific knowledge, lack of awareness, weak enforcement and inappropriate subsidies. UNDP and the countries involved in the project adhere to the Sustainable Development Goals (SDG). The principal SDG that the project contributes is number 14, life below water, whose goal is to conserve and sustainably use the oceans, seas and marine resources for sustainable development, and to a lesser extent Goal 12 (responsible production and consumption) and others.

Thus, the factors and rationale for the GMC project are still valid and have been reinforced by recent global trends in climate change, overfishing and demand for fish products.

4.2 Problems that the project sought to address: threats and barriers targeted

The premise that the GMC project addresses is that high prices and increased demand (coupled with insufficient conservation and management measures and ineffective control) can, via the supply chain from end users (consumers) to harvesters (fishers), motivate increased fishing pressure (through overcapacity, illegal fishing, use of destructive fishing gear and practices, and seafood fraud), leading to overfishing, potential fisheries collapse and ecosystem degradation. This is presented graphically the project document and reproduced in Figure 2 (UNDP, undated , p. 55/153).

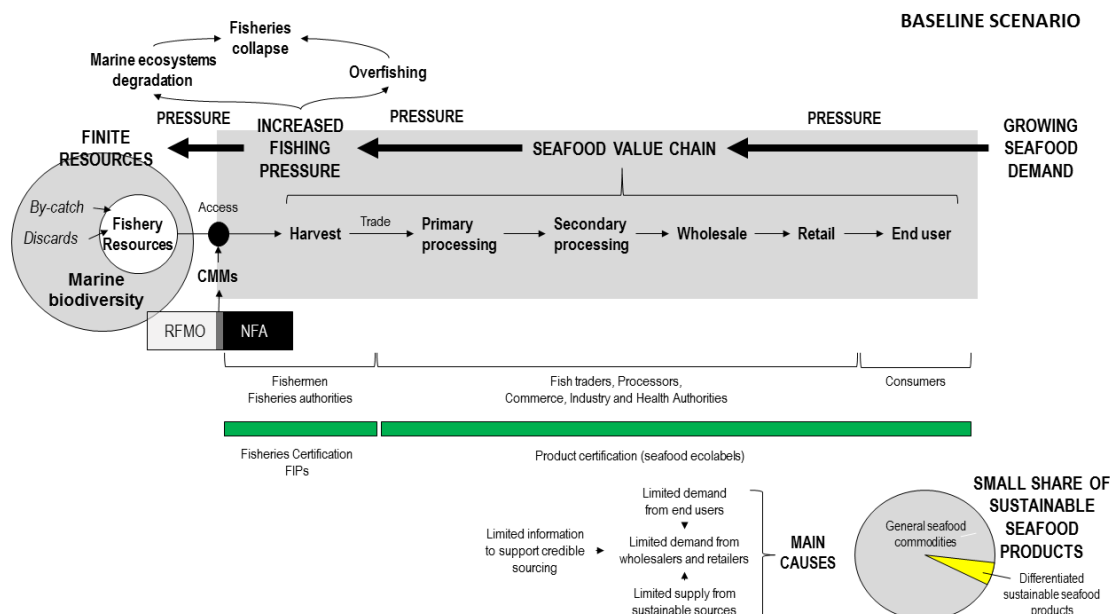


Figure 2 Effect of growing seafood demand on marine fisheries and biodiversity

The Project Document (ProDoc) contends that “The long-term solution is a transformation of the market in which sustainable seafood is adequately valued²² by consumers, there are public policies and instruments to support sustainable fisheries, and the stakeholders of the value chain, public and private, contribute to this end.” The main barriers to achieving this are:

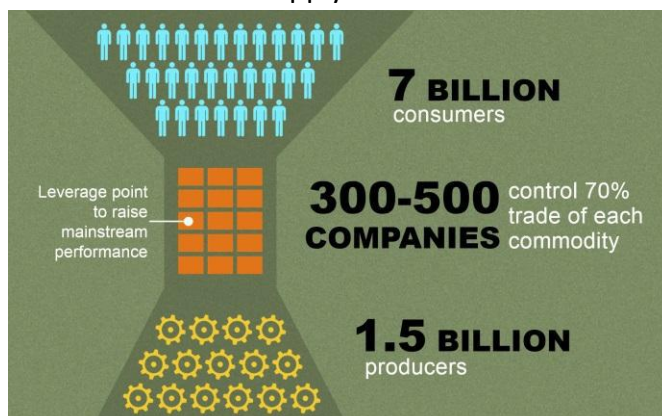
- Limited demand from end users;
- Limited demand from wholesalers and retailers;
- Limited supply from sustainable sources;
- Limited information to support credible sourcing and fisheries improvement.

Barrier 1: Limited demand from end users. Despite the importance of the first barrier, the GMC project, legitimately, is not designed to contribute to consumer education and awareness. Despite the importance of this barrier, the present project will not contribute to consumer education and awareness: other organisations such as the Marine Conservation Society, the Monterey Bay Aquarium, the Seafood Choices Alliance and WWF are involved in this domain.

The project concentrates on the relationship among the other members of the value chain, from fishermen to retailers.

Barrier 2: Limited demand from wholesalers and retailers. SFP and WWF and others have already been involved in addressing this barrier, and some major buyers are committed, but demand is still limited and for restaurants, retailers, wholesalers and consumers environmental concerns are secondary to quality and price, and they are uncertain of the sustainability of their sources. SFP has advanced in addressing an important information gap, through Fishsource²³ and Metrics, but maintenance and inclusion of new fisheries is costly. Thus, the project is designed to address this barrier through: by (i) developing tools to assist retailers, wholesalers and processors to prepare and implement sustainable seafood sourcing policies and to better capture sourcing information, (ii) direct work to increase the number of major buyers that demand sustainable seafood from the Pacific Ocean -- mainly tuna, Mahi-mahi, large pelagic fish and blue swimming crab --, and (iii) mobilize market leverage to request CMMs for tuna in the WCPFC and the IATTC

Barrier 3: Limited supply from sustainable sources. Though the supply of certified seafood has increased from 7%²⁴ at project design (MSC, 2013, p. 6) to more than 12% (MSC, Marine Stewardship Council: Global Impacts Report 2017, 2017), overall supplies are still far from



²² This should not imply more costly seafood products. It entail that consumers, and society at large, give appreciate sustainability and incorporate the concept and practice in daily live.

²³ FishSource provide scores about five aspects of fishery sustainability: Score 1: Is the management strategy precautionary? Score 2: Do managers follow scientific advice? Score 3: Do fishers comply with managers decisions? Score 4: Is the fish stock healthy? Score 5: Will the fish stock be healthy in future?

²⁴ 7% of global wild capture and 8% of fisheries.

the SFP's T75 target²⁵ overall, the target fisheries of this project are still not certified. Thus, if more wholesalers and retailers want to buy sustainable seafood supplies will be short. Even in those fisheries where FIPs were started before the project, certification has lagged. At project start-up in 2016 or 2017 there was still no certified fishery in the four countries of the project. The project is designed to address this barrier by developing Sustainable Marine Commodities Platforms in each of the four countries and supporting ongoing or new Fishery Improvement Projects.

Figure 3 Leverage point for global commodity supply chains

Barrier 4: Limited information to support credible sourcing and fisheries improvement. Information is crucial to facilitate changes along the value chain. Though information on fisheries and FIPs exists in Fishsource, Fisheryprogress and Metrics (a tool provided by SFP to wholesalers and retailers that subscribe), there all of these require updating and improving where necessary. Moreover, the initiatives taken by the project on SMCPs will need to be analysed and diffused. Scientific knowledge will be necessary to feed into Fishery Improvement Projects and the Sustainable Fishery Action Plans to be produced by the Platforms.

Essentially, the theory of change hinges upon leveraging the influence upstream and downstream on the supply chain of the fewer larger companies in the supply chain, as demonstrated in Figure 3 above. The project's theory of change may be presented succinctly as follows (adapted from the IPC):

If there an increased international and national demand for sustainable seafood (by retailers, supply chain and consumers) **and** these actors are keen to invest in sustainable fisheries (through FIPs, and environmentally responsible policies); *if* players at the national level collaborate in participatory management for sustainable seafood (fishers, supply chain) **and** these actors are keen to invest in sustainable fisheries (through FIPs); **and** national governments enable dialogue based on transparency and, and considering the results of fisheries research; **then** all ends of supply chain (from producers to retailers) will participate in a governance system characterized by women and men actively managing fisheries and ecosystems, supply chain stakeholders agreeing on gender-fair policies, strategies, management plans for resilient and sustainable fisheries, governments facilitating structured and systemic dialogue (supported by law), managers considering decisions based on consultation and with the technical support/consideration of the fisheries research institutions; **which will then** result in increased healthy supply chains; **and in turn will** reduce fisheries and marine ecosystems pressure, leading to long-term cascade ecosystem benefits.²⁶

4.3 Project Description and Strategy

The project aims to use demand for seafood for sustainably-sourced marine commodities as a driver for incentivising good fisheries management and sustainable exploitation. The Project's objective is to mainstream sustainability into seafood supply chains, through market and policy mechanisms and partnerships. It has the overarching goal of rebuilding and protecting fish stocks and livelihoods.

²⁵ 75% of world production in key sectors is – at a minimum – either sustainable (i.e., certified by the MSC program, or green-listed in SFP's Metrics tool) or making regular, verifiable improvements. <https://www.sustainablefish.org/Programs/Target-75>

²⁶ The IPCC in a recent report forecasts a "decrease in global biomass of marine animal communities, their production, and fisheries catch potential, and a shift in species composition" (IPCC, 2019, p. 27/1170). Healthy fish stocks can mitigate such trends.

The Project Document (ProDoc) states that “market forces are strong and can pull the seafood value chain to motivate sourcing from sustainable sources and, therefore, an improved management of the fishery resources.” It intends to achieve this objective through four components covering six outcomes (see Table 1).

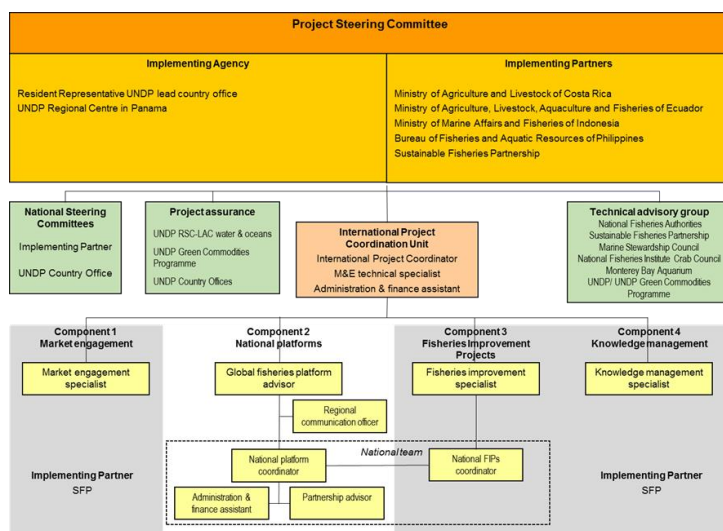
Table 1 GMC Project Components, Outcomes & Implementing Partners

Component	Outcome	Implementing Partner
Component 1. Promotion of global demand for sustainable marine commodities	Outcome 1. Increased global market demand for sustainable certified marine commodities and associated reduction of Illegal, Underreported and Unregulated (IUU) fisheries.	SFP (DIM) in Costa Rica, Ecuador & Philippines; National Authority (NIM) in Indonesia
	Outcome 2. Increased pressure on Regional Fishery Management Organizations (RFMOs) and their Contracting Parties to adopt more sustainable and science-based practices for shark and tuna conservation and management measures through engagement of international value chains.	SFP (DIM) in Costa Rica, Ecuador & Philippines; National Authority (NIM) in Indonesia
Component 2. Enabling environments for sustainable marine commodities supply chains	Outcome 3. Increased synergy and involvement of national and international players (i.e., retailers, traders, processors, fishermen and fisheries authorities) in sustainable seafood value chains.	National authority (NIM) with UNDP Country Offices (CO) implementation support
Component 3. Demonstration fisheries improvement projects (FIP)	Outcome 4. Increased sustainability scores of marine commodities purchased from project fisheries.	SFP (DIM) in Costa Rica, Ecuador & Philippines; National Authority (NIM) in Indonesia
Component 4. Sustainable marine commodities information and knowledge management systems	Outcome 5. Reliable and verifiable information of target marine commodities is publicly available and is used by value chain stakeholders for decision making and engagement in fishery improvement projects.	UNDP (DIM) IPCU
	Outcome 6. Better knowledge management on mainstreaming sustainability into seafood value chains	

At the time of design, there was no certified fishery in any of the four targeted countries.

4.4 Project Implementation Arrangements.

The project’s organigramme is presented in Figure 4 below, bases on ProDoc. At the core an International Project Coordination Unit (IPCU) is to be created, comprising an International Project Coordinator (IPC), a Monitoring and Evaluation (M&E) Technical Specialist, a Communication Specialist and an Administration and Finance Assistant. The IPC will work in close cooperation with, and oversee, the SFP team.



Oversight and strategic guidance of the project is to be provided by a Project Steering Committee (to meet once a year and when necessary), comprising the Implementing Agency (Resident Representative UNDP Lead Country Office (Ecuador) and UNDP Regional Centre in Panama). and each of the five Implementing Agencies (the Sustainable Fisheries Partnership and the four relevant country Ministries or Bureaus). It is not specified why Ecuador is the lead CO if UNDP’s Regional Centre is in Panama.

Figure 4 Project Organigramme as per Project Document²⁷

These bodies are assisted by National Steering Committees (to meet every six months) comprising the Implementing Partner and the UNDP CO, a Technical Advisory Group comprising national fisheries authorities, the SFP, the Marine Stewardship Council, the National Fisheries Institute Crab Council, the Monterey Bay Aquarium and the UNDP Green Commodities Programme. Project assurance is complemented by UNDP Water and Oceans, the UNDP GCP and the UNDP Country Offices (CO).

SFP will appoint one Project Coordinator (who does not appear in the organigramme in the ProDoc), three Component Specialists (to be located in SFP facilities around the world) and three National FIP Coordinators (one to be located in each participating country and forming part of the national team). The component specialists will be financed with co-funding resources and the project coordinator and the national FIP coordinators will be financed with GEF resources. The SFP Project Coordinator will oversee all the elements executed by SFP and will make sure that all activities and deliverables are executed according to the work plan. The SFP Project Coordinator will closely harmonize his/her activities with the International Project Coordinator. The SFP coordinator will not be responsible over the activities carried out in Indonesia under components 2, 3 and 4 but will coordinate with the official in the country in charge of overseeing these components.

The UNDP will be the Implementing Agency, and as such will provide project cycle management services and oversight of project implementation. The international part and Outcome 6 will be implemented under Direct Implementation Modality (DIM) by UNDP²⁸. The international part will be executed under the direction of the International Project Coordination Unit (IPCU) and facilitated by SFP.

²⁷ Note that for the GMC project the Ministry of Marine Affairs in Indonesia has been replaced by BAPPENAS.

²⁸ Originally, the international component of the project operated under the National Implementation Modality (NIM), with the Ecuadorian National Authority (formerly Ministry of Agriculture, Livestock, Aquaculture and Fisheries) and SFP as implementing partners. However, since 2018, and based upon the request from SFP, the international component has operated under the Direct Implementation Modality (DIM). In addition, during a Project Steering Committee meeting for the Ecuadorian National Component of the project in November 2017, the Ecuadorian National Authority also requested to change the international component from NIM to DIM.

SFP will be responsible for the implementation of component 1 (outcome 1 and 2) project wide, and component 3 (outcome 4) and component 4 (outcome 5) in Costa Rica, Ecuador and the Philippines. UNDP will be responsible for component 2 (outcome 3) and component 4 (outcome 6). SFP’s implementation is governed by an MoU between SFP and UNDP.

The four countries will implement component 2 of the project under the NIM modality through the respective national institutions with support from UNDP country offices (CO) in Costa Rica, Ecuador, Indonesia and Philippines. There will be three NIM arrangements for component 2, one for each country. In the case of Indonesia, there will be a NIM arrangement for component 2, 3 and 4, which will count on the collaboration of SFP.

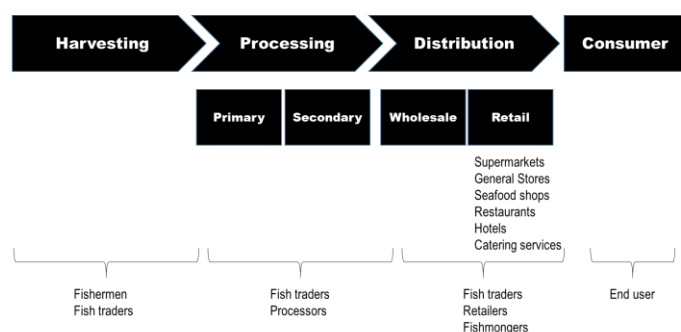
UNDP will recruit the IPCU, a Global Fisheries Platform Advisor, a Regional Communications Officer²⁹. The national Implementing Partners will recruit the members of the national teams (save for the National FIP Coordinators in Costa Rica, Ecuador and the Philippines) with GEF monies.

4.5 Project timing and milestones

The project is to be implemented over 48 months and there will be two months for closure. The IPC and the Administrative and Financial Assistant is to be contracted for 50 months, so the ProDoc assumes that project implementation starts on recruitment of the IPC.

4.6 Main stakeholders: summary list

The main stakeholders of the project are those involved in the supply chain, presented in Figure 5 below.



These stakeholders (save for the consumer as indicated in section 4.2 above) are actively involved in project activities, such as Sustainable Marine Commodities Platforms (SMCP), FIPs and Supplychain Roundtables, each of which comprise a multiplicity of institutions, including fishers’ associations, processors, chambers of commerce, wholesalers and retailers.

Adopted from: Gudmundsson et al., (2006) and M&A International (2013).

Figure 5 Simplified Seafood Value Chain³⁰

In accordance with UNDP’s principle of partnership with host countries, official bodies in each country will be members of the PSC, the national steering committees and will be involved in SMCPs and FIPs.

²⁹ IPCU proposed to the Ecuador UNDP CO that as part of its adaptive management, the IPCU Communication Specialist post, should be updated to a new position “Communication and Knowledge and Management Specialist”, in order to better coordinate activities, products and documents generated by knowledge management. This new post has partial funding by the Ecuadorian national platform component.

³⁰ (UNDP, Project Document Global Sustainable Supply Chains for Marine Commodities , undated , p. 28/153)

5. Findings

5.1 Project Strategy

The overall question in accordance with UNDP/ GEF methodology regarding strategy is: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?

Evaluative question (EQ) 1: Does the project address the necessary factors to bring about positive changes in mainstreaming sustainability in seafood supply chains to rebuild & protect fish stocks & livelihoods?

Each one of the four countries have signed up to the Agenda 2030 Sustainable Development Goals. The GMC project is financed under the International Waters instrument linked to SDG 14, Life under Water, and is relevant to others. Each country has policy instruments that lead the country to same, if not similar, goals, and fisheries, and their sustainable exploitation, are of continued relevance. The project is therefore still relevant to country priorities. Thus, the project should lend itself to country ownership.

A supply chain roundtable (SR) is essentially a forum for processors, importers, and others that buy directly from a specific seafood sector to work together in a pre-competitive environment to achieve improvements in fisheries or aquaculture.³¹ It also enables the industry to receive updates and information regarding which FIPs or certified fisheries suppliers should seek to purchase from.

A FIP is a “multi-stakeholder effort to address environmental challenges in a fishery. These projects utilize the power of the private sector to incentivize positive changes toward sustainability in the fishery and seek to make these changes endure through policy change.” (CASS, undated, p. 6/22)

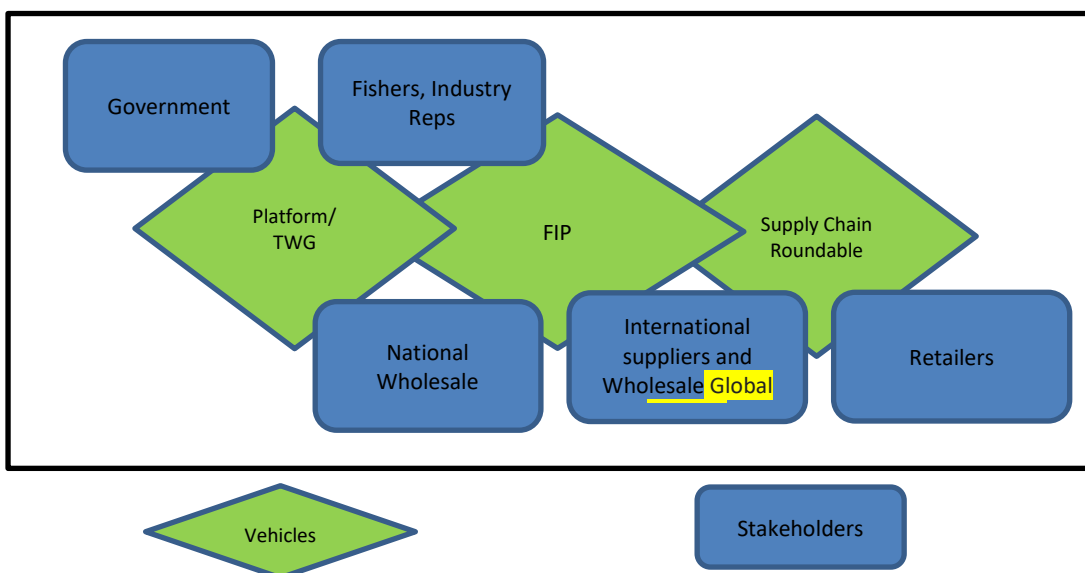


Figure 6 Synergy between Stakeholders & Project-supported Vehicles for Change

³¹ <https://www.sustainablefish.org/Programs/Improving-Wild-Fisheries/Seafood-Sectors-Supply-Chain-Roundtables>

A National Commodity Platform is a mechanism for government, supported by UNDP, to convene and coordinate the public and private sector to promote sustainable production at a country level and to define the country’s sustainability priorities and policies for the selected commodity. The Goal is to secure sustainable supply and enhance a country’s competitiveness based on improved environmental and social performance within an agricultural supply chain. The overall objective is to institutionalize best practices within the country’s governance and supply chains. (UNDP, 2019)

Table 2 Relationship between Platforms, Fishery Improvement Projects & Supply Chain Roundtables & Other Actors

RFMO	Regional Associations	Country	Platform	National Association(s)	Associated GMC-supported FIP	Supply Chain Roundtable (SR)
IATTC	COREMAHI	Costa Rica ³²	Large Pelagics	Cámara Industria Palangrera de Costa Rica; CANEPP ³³ ; Organizaciones Pesqueras del Sector Palangrero Nacional, (CAPAP)	Large Pelagics FIP (YFT, Mahi-mahi and Swordfish)	Global Fresh & Frozen Tuna SR and Global Mahi-mahi SR (both) ³⁴
IATTC		Ecuador	Large Pelagics	Asociación Cañeros de Manta	Tuna Pole & Line ³⁵	Global Fresh & Frozen Tuna SR
IATTC	COREMAHI	Ecuador	Large Pelagics	Consorcio de Exportadores de Dorado en Ecuador (Conservation Mahi-mahi)	Mahi-mahi Longline FIP, ³⁶ ³⁷	Global Mahi SR
-	-	Ecuador	Small Pelagics	Cámara Nacional de Pesquería	Small Pelagics FIP	Latin American Reduction Fisheries SR
WCPFC	-	Indonesia	BSC ³⁸ & Tuna / Multi-stakeholders' Platform for Sustainable Fisheries	APRI ³⁹	BSC Gillnet & Trap FIP	SE Asia BSC SR/ NFI Crab Council
				AP2HI ⁴⁰	SKJ P&L (W&C Pacific); YFT P&L (W&C Pacific)	Global Fresh & Frozen Tuna SR
-	-	Philippines	BSC TWG	PACPI	BSC Bottom-set Gillnet & Box Trap FIP	SE Asia BSC SR/ NFI Crab Council
-	-	Philippines	Octopus TWG	PCPEAI	Octopus FIP	Global Octopus SR

These are the three main vehicles that the GMC project works with along the supply chain. A simplified picture of the relationship between these three instruments and different stakeholders is presented in Figure 6 above. In addition, the project supports the three vehicles with communication tools such as Fishsource and Fisheryprogress, and also by scientific inputs.

³² The MTR will present countries in alphabetical order; no hierarchy is implied.
³³ Cámara Nacional de Exportadores de Productos Pesqueros y Acuícolas, Costa Rica
³⁴ The Global Mahi SR Formed 2019 - focus mainly on Mahi-mahi fisheries, but will also monitor other large pelagic FIPs in the Eastern Pacific Ocean
³⁵ These FIPs are monitored by the project and minor support was provided to connect them with international supply chains, but not supported by it, because other actors are heavily involved. GMC resources diverted to supporting Small Pelagics FIP. Note that the main problem that the Pole and Line FIP is addressing relates with baits, i.e. small pelagics, so the Small Pelagics FIP is addressing a big part of the improvements they need to make.
³⁶ FIP is completed and no support was required further to FIP monitoring
³⁷ These FIPs are monitored by the project and minor support was provided to connect them with international supply chains, but not supported by it, because other actors are heavily involved. GMC resources diverted to supporting Small Pelagics FIP. Note that the main problem that the Pole and Line FIP is addressing relates with baits, i.e. small pelagics, so the Small Pelagics FIP is addressing a big part of the improvements they need to make.
³⁸ Blue Swimming Crab
³⁹ Indonesian Blue Swimming Crab Association
⁴⁰ Indonesian Pole & Line and Handline Fisheries Association

It is worth noting that at this central part of the supply chain where the project works, relatively few actors are to be found, in contrast to the large numbers of consumers at one end and fishers at the other. The principal hypothesis in the transforming supply chains is that acting on this central part of the supply chain both nationally and internationally will be most effective in transforming supply chains, as demonstrated in Figure 1 above in page 29.

In an effort to clarify a rather complex set of actors, Figure 6 above shows the necessary overlaps between the three main vehicles that the project uses for change. Of course, the FIPs do involve government stakeholders, and a Platform might include an international wholesaler, but the emphasis in a FIP is much more towards a section of the fishery led, for sustainability, by the private sector, and in a Platform more towards the whole fishery led, for sustainability, by the government.

Precise examples from the project of the composition and relationship between these different instruments and their membership is provided in Table 2 above.

The MTR finds that the barriers and the project's way of addressing them have continued relevance.

5.1.1 Project design

The project design takes cognisance of the fact that UNDP's experience is primarily related to interactions with government institutions and with end beneficiaries of interventions, and both of these primarily related to poverty reduction. UNDP does not historically have the institutional experience with the large-scale private sector, as required by the theory of change of this project. The Sustainable Fisheries Partnership SFP's mission is to engage and catalyse global seafood supply chains in rebuilding depleted fish stocks and reducing the environmental impacts of fishing and fish farming. SFP fills a specific gap between industry and the marine conservation community, utilizing the power of the private sector to help less well-managed fisheries meet the environmental requirements of major markets. Complementarity between UNDP and SFP is innovative and potentially powerful.

As demonstrated above, the project is focused around six Outcomes, grouped into four Components, and works in four countries. Whereas this is a complex set-up, it does in theory permit this project to draw lessons from the different countries and fisheries that would be involved. Overall coordination is ensured in project design by an International Project Coordinating Unit (IPCU), and critically, one Expert for each one of the components. Overall coordination is ensured by an overarching steering committee and national coordination by national steering committees for the project. Overall technical guidance is ensured by a Technical Advisor Group.

As demonstrated in section 3, the project addresses a relevant series of problems. The theory of change of the project is logical and causal changes are likely to take place if implementation is efficient and effective. Of course, a given change in demand for sustainable seafood might not necessarily bring about a proportional change in sustainable fish stocks or livelihoods.

The project directly addresses certain factors, such as demand (using the supply chain and market forces), weaknesses in fisheries management, public-private discourse and science. Others factors are addressed indirectly in the plans produced by the FIPs and the Platforms. These include monitoring, control and surveillance, and technology.

There are five weaknesses in project design that have manifested themselves in implementation. First, the project envisages national steering committees, but the remit of these is not entirely clear in the ProDoc⁴¹. As will become manifest in section 5.3, this has meant that some of them have focused on Component 2 (platforms), with the other components not being considered. Thus, the potential complementarity between the Components within countries was weakened by not making this clear.

Second, naming the GEF-financed staff in country National Platform Coordinators, and indicating that the Platforms *will be* handed over to government, potentially reduces government ownership. An alternative and perhaps better route would have been that adopted by the Philippines of its own accord: the relevant head of department is National Platform Coordinator and the GEF financed staff takes an advisory role.

Third, the project promotes the development of Fishery Action Plans under the FIPs, to be financed by the private sector, and the development of five-year strategies and Sustainable Fishery Action Plans under the Platforms. Despite an indicator regarding financing of FIPs, and the integration of monitoring mechanisms for implementation, little is envisaged regarding financing these initiatives. Financing and follow through are key to legitimizing the processes supported by the project. Whereas it would not be incumbent on the project to finance the initiatives itself (and the ProDoc very clearly says it should not finance FIPs, for example), finance may yet prove to be a weak point in project design.

Fourth, the timescale a FIP Action Plan alone is normally five years, without counting the time of identification, mobilization of partners and financing. Similarly, sustainable commodity platforms, in a context where dialogue is not practiced, may well take longer to establish, take root, produce an action plan and begin monitoring the plan than the three to four years that the ProDoc gives. Thus, the project's timescale is disproportional to the processes that it is engendering.

Five, some of the problems of recruitment were due to low remuneration. The post of M&E Officer was only filled once sufficient time had passed to be able to use the unused budget to increase the unit rate for the remaining period. There appears to have been a USD 5.5M limit to the overall budget, which is perhaps not commensurate with the required timescale or the required expertise for such a project.

The extent to which the project design has been adhered to in implementation is addressed in the sections on implementation and adaptive management below in section 5.3.

Despite the three reservations above, the MTR finds that the design of the project is strong. Given its innovative character and diverse geographical locations, key to its effectiveness would be the IPCU, the steering committees and the specialists and advisor leading each one of the four components across the four countries. Unfortunately, we will see that the project suffered setbacks on all three of these aspects.

⁴¹ GCP methodology would determine that the National Steering Committees steer the Platforms. The GMC project has several Components, so the National Steering Committee should not be supposed to be a copy of GCP's.

5.1.2 Results Framework/ Logframe1

Since the project addresses three out of four barriers, the question arises whether these are sufficient to achieving the project objective of mainstreaming sustainability into seafood supply chains. The answer of this MTR is positive: the six Outcomes in the vertical logic of the project should contribute to the project's objective. The MTR would not suggest any change in this regard. Consumer demand is addressed by other movements in the countries where demand is generated.

The indicators have been revised, which shows adaptive management (see section 5.3), and these were approved by the Project Steering Committee in February 2019. The MTR would not suggest another change to these.

The MTR considers that the indicators are generally SMART⁴². The MTR does have several comments and suggestions on the wording of some indicators and the values of some of the baselines and targets. These are presented in [Annex 10](#).

As to whether GEnDER⁴³ aspects are built into project design, the MTR finds:

- The design does not specifically address the gaps and inequalities between women and men, boys and girls, but the project is addressing this;
- Project design seems to have been developed in participatory manner and processes that the project introduces (FIPs, Platforms) are highly participative;
- Indicators are not disaggregated by sex, but then no indicator counts people, and the project is in a position to take some steps to remedy the gap in gender considerations;
- The project has a shorter time-frame than the institutions it builds, so the long-term aims and perspective are difficult to ensure in practice; and
- Human rights are not directly mentioned but the project is in a position to remedy this.

In response to the Evaluative Question, the MTR does find, as do the respondents to the questionnaire, that the project addresses the necessary factors for mainstreaming sustainability in supply chains. Other interventions are needed, beyond the scope of the present project, to *ensure* rebuilt and protected fish stocks and livelihoods.

5.2 Progress towards Results

The overall question regarding progress towards results is: To what extent have the expected outcomes and objectives of the project been achieved thus far? In accordance with UNDP methodology, this section will take the Project Objective and each one of the six Outcomes in turn and attempt to answer this overall question as well as the corresponding Evaluative Questions (EQ).

5.2.1 Progress towards Outcomes Analysis

Project objective: To mainstream sustainability into seafood supply chains through market and policy mechanisms and partnerships with the overarching goal of rebuilding and protecting fish stocks and livelihoods

⁴² Specific, Measurable, Achievable, Relevant, and Time-bound

⁴³ Gap-minded, Encompassing, Disaggregated, Enduring and Rights observing. It might be relevant to observe that the GEnDER requirement appears in the MTR Guidelines of 2014 and the project was designed prior to this.

EQ2: As a result of the project, to what extent is sustainability mainstreamed into seafood supply chains through market & policy mechanisms & partnerships, with the overarching goal of rebuilding & protecting fish stocks & livelihoods?

From the progress documented against each one of the outcomes below, the answer is that sustainability is clearly not mainstreamed yet. The project has a short time span in relation to the process of identifying a FIP, harnessing resources and interest from the private sector, and launching and completing the FIP action plan. The time span is also short in relation to the processes that the SMCPs start: the implementation of the five-year Sustainable Fishery Action Plan. Thus, it was never to be expected that sustainability would be fully mainstreamed all along the supplychain within the project life. On a positive note, one can say that links in some supplychains have been reinforced:

- Membership and commitment of supplychain roundtables have been increased, thereby
- Putting increased pressure on RFMOs;
- Wholesalers and suppliers are better informed through the different tools at their disposal;
- Important FIPs have been formed and supported, incorporating new sectors; and
- Sustainable Marine Commodity Platforms have been created and reinforced, bringing together diverse stakeholders.

Though progress on the different FIPs has been maintained, there is no discernible effect on the protection of fish stocks nor on livelihoods as yet, but neither would one expect this to be the case, as these are goals beyond the direct influence of the project. The MTR recognises that the target according to the indicator against the Objective has been achieved (see [Annex 3](#)), but as with all indicators, it is an indicator, and not a full measure of achievement. The precise target has been met but the direct effect of the project at this level is unproven, and other concerns must be recognised when making an assessment.

Though the project has supported actions towards sustainability (proxy indicators e.g. letters to RFMOs, purchases from sustainable sources) it was not envisaged to measure behaviour change as a result of the project. Fishery progress rates improvements in five of the FIPs (see Table 6 below), where Fishsource have improved. The 2019 PIR reports that improvements have been found in fisheries where FIPs represent 270,440MT, but the MTR would exclude Tunacons but include Small Pelagic Fisheries in Ecuador resulting in 246,900MT⁴⁴. Though Fishsource scores have improved in five targeted fisheries, it is too early to judge the long-term impact on rebuilding & protecting fish stocks & livelihoods. Of interest would be the effect the project has had on changing beneficiaries' and partners' behaviour, a subject to be addressed in advance of the Final Evaluation. Respondents to the questionnaire were confident about the prospects of sustainability, giving an average score of 5 out of 6, and none lower than 4.

The reservations voiced in the discussions on the Outcomes in the following sections (in particular Outcomes 3 and 4) must filter up to the Objective, and for that reason a rating of MS: the objective is expected to achieve most of its end-of-project targets but with significant shortcomings to date.

Outcome 1 Increased global market demand for sustainable certified marine commodities and associated reduction of IUU fisheries

⁴⁴ The 2019 PIR report reports 270,440MT; MTR would exclude Tunacons (113,568MT) from the measure but include the small pelagic fisheries (90,000MT), resulting in 246,900MT.

EQ3: As a result of the project, is there increased global market demand for sustainable certified marine commodities & an associated reduction of IUU fisheries?

The first and third expected outputs are sustainable seafood purchasing policies. Activities foreseen include events at seafood expo and stands, sector group and supplier roundtables and face to face meetings with buyers and processors though meetings at expos, the events related to T75 related events, webinars and the Global Fisheries Forum, among others. The SFP has started and maintained a number of Supplychain Roundtables (SR) and invited new members. Most of the SRs existed before the GMC project started, but during the project membership has increased. In addition, the new Global Mahi-mahi SR split from the Eastern Pacific Ocean Large Pelagic SR. Increased membership has been manifest in the following SRs since the project started: Global Mahi SR (13); Global Fresh & Frozen Tuna SR (9); Latin American Reduction Fisheries (4); Global Octopus SR (13). Meetings have been held during the Seafood Expo North America, as well as other fora. A supply chain roundtable is essentially a forum for processors, importers, and others that buy directly from a specific seafood sector to work together in a pre-competitive environment to achieve improvements in fisheries. Through SRs SFP provides information to the supply chain on ongoing improvement initiatives, encourages buyers to source from them as well, and encourages them to initiate new improvement projects within their sector.

As shown in Table 2 above, five of SFP's SRs are germane to the project. Additional details are provided in Table 3 below.

Table 3 Supplychain Roundtables relevant to the GMC

Supplychain Roundtable	Creation	No of Participants	Comments
Global Fresh & Frozen Tuna	2018	37	Merge between WCPO Longline Tuna & Indonesia Tuna & Large Pelagics; 17 FIPs supported including Costa Rica, Indonesia (4), Philippines
Global Mahi	2019	14	Also monitors large pelagics in the EPO; supports 6 FIPs including Ecuador
Latin America Reduction Fisheries	-	4	FIPs supported in Ecuador, Panama, Peru
SE Asia BSC Roundtable	2009	33	Hosted by NFI Crab Council Represents c85% of US BSC imports; FIPs supported in Philippines (2), Indonesia & 4 other countries
Global Octopus	2018	14	There are several Octopus FIPs now, and suppliers are encouraging those in the Philippines to initiate the Octopus FIP

Feedback to the MTR has indicated that some presentations that were aimed at increasing buyer engagement on GMC fisheries have been overly focussed on the project or administration, and that a shorter and more commercial perspective may increase buy-in. In contrast to other commodities, such as cocoa where the price premium for a Fairtrade chocolate product is considerable, marine

commodities in general terms do not benefit from that price premium on certification⁴⁵. The economic incentive appears to be one of opportunity cost: that if the company does not source sustainably it will lose access to certain markets, and if the fisheries are not sustainable, it will lose its source of supply. The private sector therefore has an interest in FIPs and Platforms addressed in the following sections. Part of the reality is that investors are increasingly investing in fishing activities in sustainable fisheries: a non-certified fishery will attract less private investment and therefore the business will be worth less. The MTR finds that the present focus by GMC in presentations on science and fisheries management is relevant (and that on the project and administration less so), but they should be wary of putting too much emphasis on lofty and laudable principles such as T75⁴⁶. Within the limits of antitrust rules that SFP and SR members are bound to, the presentations and discussions could and should be complemented by inclusion of elements such as value-added and maintaining or increasing market share.

One of the expected results is that the private sector engages more in sustainable sourcing, and in particular in FIPs and MSC certified fisheries: from a baseline of 63 the total for Indicator 1a is now 88, which is over the 78 in the project target. This evident success by SFP early in the project can lead one to surmise that the target was rather low during design phase. Moreover, raw numbers hide the observation that engaging those companies that are vertically integrated (and the project has involved these companies) can have more effect. Though the stated outcome refers to demand, the activities carried out by the GMC project through SFP clearly also contribute to increased supply. This success leaves no room for complacency: as argued in section 5.1, the link between supply chain roundtables in particular (but also the other activities carried out under this Outcome) and the FIPs is key to the theory of change of the GMC project. Thus, the activities under this Outcome must continue to the end of the project, not only to surpass the target even more but to achieve Indicator 1b.

In terms of the number of buyers with sustainable seafood purchasing policies, Indicator 1b, eight out of fifteen have been achieved to date, so this indicator is on track.

Arguably, the SRs will be sustained after the project, since they are core to SFP's mandate and role and SFP will continue to have a role to play until its Target 75 is achieved.

The second expected output pertains to sustainable seafood policy guidelines. SFP is developing these and promoting, sometimes on GMC-financed platforms, is the Metrics tool, which allows suppliers to establish the fisheries they source their seafood from and see how they are scored against sustainability performance. At present companies make a voluntary financial contribution, and a significant number of companies are subscribed to date (see Outcome 5 below)⁴⁷. SFP is also developing a Sustainable Seafood Sourcing Toolkit with the help of the GMC project.

Thus,

- there is an increased number of suppliers that target sustainable or improving fisheries,

⁴⁵ This true for those commodities whose sector has large volumes of raw material from certified or FIP fisheries. Where these volumes are lower, there is typically a price premium for the first mover that attracts buyer interest. In GMC project there is no first mover fishery within their sector. SFP as an NGO cannot promise a price premium

⁴⁶ T75 is a target that SFP created to align buyers under a common goal.

⁴⁷ SFP intends to introduce a subscription fee for Metrics.

- supplychain roundtables appear to be a good forum for garnering support but could be improved from an increased emphasis on commercial and financial aspects, whilst still adhering to antitrust rules,
- the project works along the supplychain (except for the end user) as planned, and the links and feedback loops are beneficial,
- there is evidence of improved seafood policies, the number of fisheries in a FIP or certified and sourced by SFP partners has increased (indicator 1a achieved), and
- the number of buyers with sustainable seafood policies is on track (indicator 1b).

Links and complementarity between SRs, FIPs and Platforms ensure a comprehensive supply-chain approach; reinforcing a commercial perspective at Supplychain Roundtables would increase buy-in. Thus, the MTR would suggest that SFP (and any future project) ensure that sustainability and supply chain matters are presented from a business perspective: potential value-added and maintaining or increasing market share.

The MTR is in a position to say that there is an increased demand for sustainable [and] certified marine commodities and would give an assessment of S: The outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.

Outcome 2: Increased pressure on RFMOs and their Contracting Parties to adopt more sustainable and science-based practices for shark and tuna conservation and management measures through engagement of international value chains

EQ4: As a result of the project, is there increased pressure on RFMOs and their Contracting Parties to adopt more sustainable & science-based practices and management measures through engagement of international value chains?⁴⁸

The first expected output is position papers from major international seafood buyers or their suppliers in support of more effective Conservation Management Measures (CMM) in support of tuna, shark and large pelagic fisheries are presented to IATTC and WCPFC. Through the Supplychain Roundtables, Regional Key Vendor Groups (in particular for Mahi-mahi) and in other fora, SFP have successfully lobbied buyers, suppliers and vendors to pressurise their national delegates to achieve more stringent management measures. Though the indicator in the framework refers to procurement policies that include support for more effective CMMs, what is germane to this output is the number of position papers, and this is what is being reported by the project. The project has mobilised four position papers for IATTC and one for WCPFC, thus achieving the target (>4). The NGO Tuna Forum IATTC campaign was launched in June 2019, with SFP's input; this focuses on at-sea transshipment and observer coverage. The first four letters were signed by 53 different industry partners; the fifth contained 131 signatories, symptomatic of increased awareness and mobilisation within the industry. Other interventions include letters to national delegates, and support to industry to attend RFMO sessions, where at least one intervention has been formally minuted.

The second expected output is that draft regional management rules for Mahi-mahi are presented to IATTC, which involves support not only for US buyers to press for more stringent management

⁴⁸ This question was phrased as follows in the Inception Report: "As a result of the project, have RFMOs adopted CMMs & CPCs adopted more science-based & sustainable practices through engaging international value chains?" The MTR feels such phrasing is more appropriate for an *ex-post* evaluation, and has rephrased it to be more faithful to the expected Outcome.

rules, but also support to Costa Rican and Ecuadorian delegations among others. In fact, SFP has also been able to influence other delegations beyond the GMC target countries to lobby the IATTC. A major barrier in the IATTC is that resolutions, must be passed by consensus, thereby underlining the importance of the GMC project's approach to pressurise different points of the supply chain. Significantly, SFP with GMC support facilitated the formal creation of the Regional Committee of Producers and Processors of Mahi-mahi (COREMAHI), to leverage policy change at the IATTC. COREMAHI delegates attended the IATTC Scientific Advisory Committee Meeting in 2019 and presented to their national delegates a position statement advocating increased knowledge on stock status, and analysis of FADs on regional stocks.

To achieve this Outcome, and the Objective of the GMC project, one-off letters will probably have little long-term impact. Importantly, the project has moved beyond the submission of letters and has supported the operations of the NGO Tuna Forum, and creation of COREMAHI, both hopefully long-term institutions that will lobby for change.

The MTR finds that through letters, new industry groupings, SFP's attendance at RFMOs, that there is increased pressure on RFMOs, and their Contracting Parties to adopt more sustainable and science-based practices for shark and tuna conservation and management measures through engagement of international value chains. The MTR gives a rating of: S: The outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.

Of course, of greater interest than mere pressure, is whether RFMOs have *adopted* CMMs and whether these have been *applied*, but this is beyond the remit of the project and too early to comment on.

Though the indicator has been achieved (see [Annex 3](#)), beyond this MTR the project should continue its reinforcement of mechanisms that will apply sustained pressure on the RFMOs, and this will no doubt be supported by SFP in the long term.

The GMC project is unusual in that it involves SFP, an entity that historically works exclusively with the private sector, unlike the UNDP, whose main counterpart is the government. Thus, it is legitimate to ask what value-added SFP provided to the traditional UNDP model in Component 1. Since UNDP's strategy is primarily to work with government, and with NGOs, for the benefit of the population, it does not have a history of working with and gaining trust with the commercial private sector; SFP *rains d'être* is to work with the private sector. If the theory of change of this project is to be accepted, and this MTR does accept it in general terms as analysis in sections 4 and 5.1 shows, then a suitable partner needed to be found for Component 1 (which covers both Outputs 1 and 2). SFP is in a unique position to provide the experience and resources for the implementation of this component, and it would seem that there is reason to believe that the UNDP partnership, at least for this Component, has provided significant value-added.

Outcome 3 Increased synergy and involvement of national and international players (i.e., retailers, traders, processors, fishermen and fisheries authorities) in sustainable seafood value chains

EQ5: As a result of the project, is there increased synergy & involvement of international & national players in sustainable seafood value chains?

This Outcome (Component 2) draws on the experiences and methodology developed under the Green Commodities Programme, established by UNDP in 2009. The hypothesis under the project is that platforms, involving different actors in the supply chain for a particular commodity, will increase the synergy and involvement of the different parties. As Figure 6 above shows, platforms involve both the private sector and government, and as such are placed at the interface between the supply chain and government.

The first output expected under this Outcome is that Sustainable Marine Commodity Platforms be created in each of the four countries with the aim of assisting buyers and suppliers to coordinate improvements in the environmental performance of target supply chains.

Project design follows the methodology of the GCP in advocating a sequential approach:

- an in-depth sector (or root cause) analysis,
- engagement of stakeholders;
- information and training meetings;
- the establishment of the platform;
- the elaboration of a five-year strategic plan;
- support to the platform and monitoring of the said plan.

Five platforms (or their equivalent) have been established (see Table 4 below). This means that the project has achieved the target for this indicator. A sixth platform, large pelagics in Ecuador, is planned for early 2020.

Costa Rica signed the Project Document in May 2016, and UNDP recruited the National Platform Coordinator in July of the same year (to December 2018). The project started the process of creating a Large Pelagics Sustainable Fisheries Platform and this was formalised in May 2017. It is composed of a Steering Committee and four working groups: Sustainable Production and Precision Fisheries; Effective public-private management; Development and consolidation of markets; and Fisheries Improvement Projects. Through a comprehensive series of workshops and meetings, and National Project and Platform Steering Committees, the Platform has succeeded in producing an impressive National Sustainable Large Pelagic Fisheries Action Plan, comprising actions under three axes: Sustainable production and precision fisheries; Effective public-private management; Development and consolidation of markets and Responsible Consumption of Fish Products. Under the auspices of the Ministry of Agriculture and Livestock, the plan involved a full range of government and private stakeholders. Though discussions with INCOPESCA revealed a possibility that the platform be anchored in the Large Pelagics Unit (Unidad de Grandes Pelágicos) in the General Technical Department (Dirección General Técnica), at present it is not institutionalised.

Table 4 **Platforms (or equivalent) supported by the project**

Platform	Associated GMC FIP	Date launch	National Action or Management Plan	Institutional link
CRI Large Pelagics Platform	Large Pelagics FIP	May17	National Action Plan for Sustainable Large Pelagics 2019-2029 produced Nov18; yet to be formally accepted	Undefined & uncertain given recent MINAE Decree
ECU Large Pelagics	Mahi-mahi Longline FIP; Tuna Pole & Line ⁴⁹	Due early 2020	Mahi-mahi NAP to be updated; Tuna NAP drafted by Tunacons;	To be determined
ECU Small Pelagics	Small Pelagics FIP	Nov18	Root cause analysis conducted; NMP under development	Not defined; potentially Grupo intersectorial de trabajo ⁵⁰
IDN Multistakeholder Platform for Sustainable Fisheries	BSC Gillnet & Trap FIP; SKJ P&L (W&C Pacific); YFT P&L (W&C Pacific)	Aug19	Root cause analysis in Bahasa; NMPs exist for Tuna (to end 2019) & BSC (to end 2020); new NMP foreseen for Tuna; GMC assisting implementation of BSC NMP	Under the SDG-14 Working Group/ Multistakeholder Platform in BAPPENAS
PHL BSC TWG	BSC Bottom-set Gillnet & Box Trap FIP	Jun18	NMP exists; will be updated New Root Cause Analysis draft Sep19	Defined as Technical Working Groups created under BFAR FOO; BSC FOO under Joint Administrative Order for BSC
PHL Octopus TWG	Octopus FIP	Oct18	NMP under development; scientific information received from FIP Oct19	

Questions of sustainability are addressed in section 5.4, but it is fitting here to draw on the experience of Costa Rica. It is intuitively appealing that platforms be led by government, driven by the participants and facilitated by UNDP.

This would imply that the National Platform Coordinator be a permanent representative of Government, who holds functions that are compatible with such a forum. However, the project design determined that National Platform Coordinators (and the Partnership Advisors) be recruited by UNDP, and that after the first three years this position be institutionalised in country (UNDP, undated, pp. 74-75). The fact that project design undermined ownership from the outset may explain, at least in part, why 11 months after the formal presentation of the Plan, it has yet to be formalised, the plan has yet to be financed and the Platform itself (that arguably should continue to exist in order to coordinate and monitor implementation, and to deal with changes in the sector) has yet to be anchored in a permanent institution⁵¹.

In June 2019 the MINAE issued a Decree on the Management of Marine Areas⁵² without consultation with the industry; industry pressurised government and the Decree was changed and reissued at the end of September 2019. This is indicative that the process of consultation that the Platform engendered, much needed in Costa Rica, has not fully taken root.

A workshop held in Costa Rica in July 2019 to draw on lessons learned makes a number of positive points:

- channels of communication and trust have been opened;

⁴⁹ These FIPs are monitored by the project, but not supported by it, because other actors are heavily involved. GMC resources diverted to supporting Small Pelagics FIP.

⁵⁰ Acuerdo Ministerial 047/2010 Art. 7 <http://www.acuaculturaypesca.gob.ec/subpesca332-acuerdo-ministerial-n-047-reforma-al-acuerdo-ministerial-018.html>

⁵¹ The MTR understands it is possible for it to be integrated in the Unit for Large Pelagics in the General Technical Department of INCOPECA, but of course this anchoring would ideally have been established from the outset

⁵² Decreto 41775 Creación del mecanismo de gobernanza de los espacios marinos sometidos a la Jurisdicción del Estado Costarricense. The decree creates a Commission for Marine Governance comprised of various ministries (Ambiente y Energía, Obras Públicas y Transportes, Seguridad Pública, Turismo, Agricultura y Ganadería), which must create a work plan that promotes the sustainable use of marine resources and their conservation.

- high commitment from the industry;
- positive spinoffs such as a satellite precision fishing project managed by the sector (CATSAT);
- inclusion of restaurants and supermarkets opened national and international markets;
- value of including FIPs and certification.

Two of the observations made by participants are rather salutary:

- Low participation and commitment by some key institutional players, including MINAE, on the government side; and
- Poor participation of NGOs, showing their reluctance to be involved in sustainable *exploitation* of marine resources.

Participants in the workshop also feared that if the plan is not formalised it is vulnerable to political changes, the actions will not be integrated in participating institutions' action plans and that it will not be implemented.

Sustainability is key in order to fully achieve the project outcome of increased synergy and involvement of national and international players in sustainable seafood value chains.

Ecuador signed the project document in September 2016, but the National Platform Coordinator was only recruited in July 2018, leaving in March 2019. A second National Platform Coordinator started in August 2019 (contracted to February 2020). The Small Pelagics National Platform was launched in November 2018 and a Steering Committee held in March 2019. The root cause analysis has been carried out (after the launch of the Platform), with an action plan for a small pelagics management plan, whose finalisation is expected in November 2020 once the dialogue process has started in November 2019. Inter alia, this raised concerns about the institutionalisation of the Platform, suggesting that the Coordination might pass to the Department of Policy and Legislation (Dirección de Políticas y Ordenamiento) in the SRP. The MTR raises concerns about the sustainability of the Platform processes, partly because the National Platform Coordinator is contracted by UNDP. This is in accordance with project design, but it runs the same risks as Costa Rica's experience. The MTR notes that there is a Ministerial Agreement⁵³ that created an intersectoral working group for small pelagics and that this could provide an opportunity for institutionalisation. The Ecuador Large Pelagic platform's scope, purpose, and some key stakeholders to participate have been identified, but it has not yet been launched. The Large Pelagic Platform will cover tuna, Mahi-mahi and shark, being a governance tool to promote management measures. The National Action Plans for these stocks are being updated independently of the GMC Project.

Indonesia signed the project document in March 2018 and the project was launched in August 2018. The National Platform Coordinator was recruited in July 2018. A root cause analysis was drafted (only in Bahasa), following a series of focus group discussions and roundtable meetings in three different regions. and this apparently guided the decision to form the Platform. The Multistakeholder Platform for Sustainable Fisheries (MPSF), chaired by the Director of Marine Affairs and Fisheries, under the SDG 14 Working Group, was launched in August 2019. Since the SDG 14 Working Group is a permanent institution, the MPSF seems to be well anchored. The platform has successfully improved synergy with the industry and it has involved international partners.⁵⁴ The Partnership Advisor, also

⁵³ Acuerdo Ministerial 047/2010 Grupo intersectorial de trabajo

⁵⁴ International Pole and Line Foundation, MSC's Fish for Good, Walton Family Foundation, Packard Foundation.

the Vice Chair of the Platform, has produced a Framework for Multistakeholder Platform for Sustainable Fisheries, which is guiding the process. A five-years' strategic plan focussing on selected root problems is being drafted. The National Management Plan (NMP) for BSC will expire at the end of 2020, so the project is focussing on its implementation through the BSC FIP. The NMP for Tuna will expire at the end of 2019. The GMC project has drafted a new NMP for further public consultation. The GMC also supports the implementation of the existing NMP (as there are many of issues in the previous NMP are carried over to the new one) especially on harvest strategies for tuna in archipelagic waters of Indonesia. Since the MPSF covers various sector, the focus on fisheries and value chains of the GMC runs the risk of being diluted.

Philippines signed the project document in March 2017 and inception was in February 2018. The National Platform Officer was recruited with UNDP monies in April 2018. Two Technical Working Groups (TWGs) were created by BFAR Fisheries Office Orders (FOO). They include different players involved throughout the value chain, i.e., BFAR Regional National and Field Offices, fisherfolk, NGOs and Civils Society Organisations (CSO), private sector, and academia, and others. Membership may eventually be expanded. The BSC TWG met four times in 2018 and four times so far in 2019, while the Octopus TWG met twice in 2018 and once in 2019. Given the presence of existing national government policies, plans, and initiatives, these activities have focused on strengthening inclusiveness on the crafting and/or update of respective five-year strategic plans, as well as the sustainable fisheries action/management plans for both commodities. The GMC galvanised the creation of the Philippine Cephalopods Producers and Exporters Association, Inc. (PCPEAI). Reportedly the strengthening of the platforms has drastically improved the relationship between stakeholders. There was a lack of data for Octopus; this was addressed in October 2019 in the pre-FIP phase by sharing information with the NSAP, and the Octopus TWG can now intensify its work on a NMP. A root cause analysis for BSC was drafted in September 2019. Each technical working group performs the functions of a "Sustainable Marine Commodity Platform". They are institutionally anchored in BFAR Fisheries Office Orders. The BSC TWG will further evolve into a National Crab Council to be created under a Fisheries Administrative Order, a stronger instrument. Institutionally the UNDP financed position is National Platform Officer, while the government nominated the Head of BFAR as the National Platform Coordinator, thus ensuring institutionalisation and ownership. The National Project Steering Committee has met as planned, and though discussions have revolved mainly around Component 2, the presence of a SFP National FIP Coordinator has facilitated information exchange on activities.

Thus, in the three remaining countries significant progress has been made, despite the late start in all three. Five platforms have been created overall (Indicator 3a), thereby materially achieving the target.

The second output foreseen under this Outcome is that Sustainable Fisheries Action Plans are in place for best practices in fish harvesting.

This would require:

- the formation of a working group;
- a situation analysis;

- the elaboration of a sustainable fisheries action plan (not the same, in the ProDoc, as the five-year strategic plan under the first output); and
- monitoring and evaluation mechanisms.

The indicator under the GMC Project, sustainable fisheries action plans under *implementation*, has yet to be achieved. Since the Costa Rican action plan has yet to be implemented, the MTR would put this indicator's achievement at 0⁵⁵, rather than 6 (baseline of five, plus one).

For this output, the ProDoc defines in-depth sector analyses, and a five-year strategic plan. Under the second output Sustainable Fisheries Action Plans are foreseen. Should the same sector have a FIP, a fisheries improvement plan would also be expected. This makes for a rather lot of plans.

Costa Rica appears to have conflated the five-year strategic plan and the Sustainable Fisheries Action Plan into one National Action Plan for Sustainable Large Pelagics 2019-2029. The Philippines has done the same, with the National Management Plan serving as a policy recommendation instrument, and as a five-year action plan.

Other countries appear not to be focussed on five-year strategic plans. The platforms for the Small Pelagic fishery in Ecuador, Blue Swimming Crab fishery in the Philippines, Tuna in Indonesia and Octopus in Philippines are all focused on updating or generating National Management Plans for different fisheries. The development of management plans for these fisheries is ambitious, but if implemented will provide an important contribution to the sustainability of fisheries in GMC countries. National authorities in Ecuador, Indonesia and the Philippines support this strategy, and public/private partnerships for necessary data collection to inform management measures have been developed or are in the process of being developed in each of the three countries. A SFAP potentially describes the commitments from the government and actors within the sector to take actions for the sustainability of the resource. A NMP contains concrete fishery management measures to be adopted by government decree based on a solid scientific understanding of the status of the fish stock.

The ProDoc and project methodology puts the focus on stakeholders in *the value chain*, rather than on the industry/ government interface, which the development of a management plan requires. The shift to science-based management plans is potentially significant. In order to benefit from *both* the precision of fisheries management, *and* the involvement of the value chain, it is important to verify that the composition of the steering committees and working groups in each of the countries reflect the whole value chain, and not just the fishing sector.

FIPs interact differently with the platforms in each of the countries. FIPs can contribute to the design and implementation of a SFAP or NMP in a variety of ways and should also be encouraged to participate in the platform dialogue spaces.

There are good reasons to believe that the methodology developed by UNDP under the Green Commodities Project cannot be transferred wholesale to fisheries commodities. The underlying dynamics are fundamentally different. Whereas in agriculture the farmer has an inherent interest in maintaining and conserving his or her soils, a fisher has a personal interest in exploiting the resource

⁵⁵ For indicator 3b, the MTR suggests a Baseline of 0 and a rewording to: 'Number of project-supported Sustainable Fisheries Action or management Plans under implementation' (see Annex 10).

as much as possible, hence the mythical “tragedy of the commons” (Hardin, 1968), which is in fact a tragedy of open access, since commons can be and have been managed sustainably. Without restrictive measures there is a tendency to over exploitation. Thus, the interest of the individual is different to the interest of society as a whole. For this reason, whereas an action plan may be an appropriate and sufficient output of an agricultural commodity platform, this will not *necessarily* be the case for fisheries. In terms of process, the project has had to adapt the methodology to local understanding and context. This may be perceived as a strength, but the different courses in each country may have the effect of diluting the core rationale of using *value chains* as a lever and move the project to fisheries management.

Fortunately, the project has started a process of learning, having encouraged Costa Rica to draft lessons learned and having tasked the Asia and Latin America Fisheries Advisors to draw lessons too.

The Advisors have brought up the following important points, among others:

- Political instability and limited governmental commitment (a stated risk in the ProDoc) can play a critical role, requiring careful evaluation of the context to ensure institutionalisation.
- During the root cause analysis, the project prioritised the identification and strengthening of existing consultation and participatory fishery management decision-making spaces before establishing new multi-stakeholder platforms that operate outside the existing institutional frameworks.
- The objectives of the sustainable marine commodities platform need to be adapted to the context and reality of each fisheries. The output of the platform, the SFAP, needs to be adapted to the national reality in terms of finance and institutionalisation, and it does *not* need to address all of the problems in the root cause analysis.
- The three to four-year time frame of the GMC project is insufficient to ensure permanent processes of consultation are engrained and recognised in national systems.
- Given the limited interest in some institutions to date, and general problems of capacity, a focus of the platforms should be on institutional capacity building, through FIPs and otherwise.
- On both the government and the private sides, the fisheries sector can be fragmented, have competing mandates and priorities, and low levels of trust. Thus, there is a need for flexibility and adaptability.
- The goal of this Component under the GMC should be to institutionalise the multi-stakeholder platform to implement action in the national action plan; a FIP is in principle a shorter term more focused intervention (though it is expected to have long-term impact). The two institutions can compete for time and resources. Thus, the timelines and responsibilities of each need to be clearly defined and agreed.

These are just some of the issues that have arisen from experience to date. Given that Platforms are relatively young in Ecuador, Indonesia and Philippines, and there is the experience of Costa Rica to draw on, it is fully appropriate for the IPCU, early in 2020, to bring parties together, including the Global Commodities Project itself, in a seminar to draw on lessons learned and draft the main broad lines of GCP methodology for fisheries.

As noted previously the post of Global Fisheries Platform Advisor was not only split into two, but one was recruited only in August 2018 and the other only in 2019. This split was approved by the PSC, but the project runs a risk of continuing widely different actions and experiences and compromising the

process of lessons learned. Whereas adaptation to local conditions should be regarded as a strength, from 2020 the experiences must be compared to the methodology at start-up, and conclusions and lessons drawn. The product can and should be Guidelines for Sustainable Marine Commodities Platforms (see Output 6 below). In order for this process to be led and consolidated, the appointment of one person to the intended role of Global Fisheries Platform Advisor would be desirable.

In terms of defined indicators' assessment, the first indicator, Number of Sustainable Marine Commodities Platforms is achieved, and the second, Number of Sustainable Fisheries Action Plans under implementation, is on target.

In answer to the evaluative question, the processes of sustainable marine commodities platforms have created more synergy, but sustainability and long-term impact are compromised unless they are institutionalised; GMC must put a focus on this institutionalisation (of the platforms and of the national platform coordinators).

It is important to ensure governance of *both* the platform *and* the related fisheries (and that concrete measures arise from the platform), otherwise progress in certification (a specific objective of most FIPs) may be compromised.

However, in view of the reservations with regard to the operation of the platforms, and the involvement of national and international players in these, and the concerns about institutional anchoring and strengthening, the MTR gives a rating of moderately satisfactory (MS): the outcome is expected to achieve most of its end-of-project targets, but with significant shortcomings, unless the concerns raised in this section and the MTR's recommendations are implemented.

Outcome 4 Increased sustainability scores of marine commodities purchased from project fisheries

EQ6: As a result of the project, is there increased sustainability (improved management, sustainable exploitation, improved MCS, reduced IUU) in the fisheries targeted by the FIPs?

The first expected Output under this Outcome are updated guidelines for developing responsible FIPs and a progress classification instrument or tracking tool.

In the time between project design and start-up both of these activities had been developed by SFP and others. For example, there are Guidelines for FIPs published by the Conservation Alliance for Seafood Solutions (CASS); these provide the methodology that Fishchoice and Fisheryprogress use to monitor advances in FIPs, which is itself used by GMC to monitor advances in the FIPs it supports. These are tightly linked to MSC requirements. The reason for this is that the incentive for the FIP comes from the market for sustainable sourcing, of which MSC is the leader, and it is this that ensures financing. However, the scientific rigours of the MSC approach are more suited to industrial fisheries than artisanal fisheries. The GMC has widened the remit of FIPs somewhat by including small pelagics in the list of FIPs, where IFFO RS certification (of a plant, not of a fishery) is the aim.

Fisheryprogress, Fishsource and Seafoodwatch are all well-developed online tools, and GMC no longer has a role in supporting their development. Fisheryprogress, in particular, started in 2014 after the project design. Over and above monitoring the use of the three tools, the project intends to

evaluate the use of the progress rating tool over the last two years, which should provide valuable insight for SFP, which provides the progress ratings. SFP is discussing the inclusion of more social factors in the evaluation of FIPs, as these issues go up the agenda in fisheries. These include human rights, gender, forced labour, trafficking and modern slavery.

Thus, GMC’s support under this output includes updating ratings of FIPs, identifying gaps in the current FIP tracking tool and expanding suppliers’ use of the tool.

The second output pertains to the implementation of ten FIPs. On inception, this list was reviewed and a revised list drawn up. The original list and the revised list, with reasons for the changes, are indicated in Table 5 below.

Table 5 List of original FIPs and changes

Country	List of fisheries to be supported by FIPs in ProDoc (10 total)	Current list of FIPs supported after adaptive management decisions (9 total)
Costa Rica:	-Mahi-mahi -Large pelagic fish.	-Large Pelagic Longline and Greenstick FIP *includes Yellowfin Tuna, Swordfish and Mahi-mahi
Ecuador:	-Industrial fisheries for tuna -Artisanal fisheries for large pelagic fish -Hake.	-Small Pelagic Purse Seine FIP -Mahi-mahi Longline FIP (Artisanal fisheries for LPF). *Receives direct implementation support from WWF. -Tuna Pole and Line FIP (Artisanal fisheries for LPF) *Will receive direct implementation support from Conservation International under the Coastal Fisheries Initiative. *Hake removed, and Small Pelagic FIP prioritized by national authority. Small Pelagic has significantly higher annual landings and is a much larger contributor to national economy. *Industrial Tuna FIP (called TUNACONS) removed, as it already has significant funding and the FIP is making strong progress
Indonesia:	-Tuna -Blue swimming crab -Snapper.	-Skipjack Pole and Line FIP -Yellowfin Pole and Line FIP -BSC FIP *Snapper FIP removed at the request of BAPPENAS, as Tuna and BSC were prioritized.
Philippines:	-Blue swimming crab -Octopus.	-BSC FIP -Octopus FIP

Though the number of FIPs actively supported is fewer than foreseen in the ProDoc, the Large Pelagic FIP in Costa Rica encompasses the two it replaces, and the small pelagics FIP in Ecuador is much larger than the hake FIP it replaces. It is also innovative, in that it is the first time that IFFO RS certification has been integrated into the Fishsource and Fisheryprogress processes. The project does not support Mahi-mahi longline, Tuna Pole and Line and Tunacons directly, as other actors are involved. The change in Indonesia from snapper to BSC also demonstrates adaptive management.

Table 6 below lists the nine FIPs either directly or indirectly supported by the project, indicating various key characteristics.⁵⁶

In addition to the finalisation of the MSC pre-assessment and workplan, after an exhaustive process under the Platform, the *Costa Rican Large Pelagic FIP* has been launched and presented to partners

⁵⁶ Though the GMC project is monitoring the progress of Tunacons in indicator 4d, the MTR has recommended that this this is not appropriate (see Annex 10) since the support to Tunacons that GMC provides perhaps does not merit that.

in the Boston Seafood show. To date, at least USD 350,000 has been committed out of a total budget of USD 2.2M. The FIP process can be attributed to the project. The project will provide scientific support, for example for determining whether Mahi-mahi is one stock or two, but it begs the question whether more might have been done upstream and internationally to garner funding. Here Costa Rica’s full ownership of the FIP process, the lack of IPCU and Fisheries Improvement Specialist in the first year of operation and limited SFP and private sector involvement (the government and SFP did not reach agreement on the posting of the National FIP Coordinator as per the ProDoc and the despite overtures neither the IPCU nor SFP managed to meet directly with government) may have borne its toll. It may be appropriate for UNDP, IPCU and SFP to meet to discuss cooperation over the remaining period of the GMC project.

Table 6 Key Characteristics of FIPs Supported by the GMC Project

Country	FIP	Type ⁵⁷	Dates	Stage ⁵⁸	Progress Grade ⁵⁹	Aiming for	Seafood Watch ⁶⁰	Comments
CRI	Large Pelagics – longline & green stick	C	Apr19-Apr23	2	Rating not yet available	MSC	Avoid 2.1	Uploaded fishery progress in 2019; MSC preassessment & workplan finalised in 2019
ECU	Mahi-mahi longline	C	Jan10-Jun19	5	A	MSC	Avoid 1.9 Good alternative 2.	Completed; not supported but monitored; entered full MSC assessment in 2019; GMC supported creation of COREMAHI
ECU	Small Pelagic Fish	n/a	n/a	n/a	Not yet listed	IFFO RS	n/a	Not uploaded in Fishery progress, but closed season has been increased by 15 days
ECU	Tuna Pole and Line	-	-	n/a	Not yet listed	Fair Trade	Best 3.3 Good alternative 3.0	Not supported but monitored; GMC indirectly supporting revival; CFI involved
IDN	BSC / gillnet-trap	C	Jan12-Dec22	5	A	MSC	Avoid 1.7	Support in filling gaps in FIP workplan harvest strategy & gender
IDN	Skipjack Tuna Pole & Line	C	Nov17-Jun23	4	A	MSC	Best 3.9	Strengthening AP2HI, closing gaps in FIP WP, training; gender profile
IDN	Yellowfin Tuna Pole & Line	C	Nov17-Jun23	4	A	MSC	Best 3.9	
PHL	BSC / bottom-set gillnet and box trap	C	May15-Jun21	4	A	MSC	1.5-1.7 Avoid 19Dec18	Scientific support
PHL	Octopus	n/a	n/a	n/a	Not yet listed	-	1.7-1.8 Avoid 14Jun17	GMC instrumental in creating PCPEAI

The *Ecuador Mahi-mahi drifting longlines FIP* has entered full MSC assessment. The GMC project has been involved institutionally with the fishery in facilitating the formation of COREMAHI, a regional fishing industry interest group pushing for improved management measures (see Output 2 above) and in garnering support for this FIP through the Supplychain Roundtables (see Outcome 1 above).

The *Ecuador small pelagics FIP* has made progress with a workplan, a governance structure and a funding mechanism and commitments. As well as supporting this process (SFP is a FIP Committee member), the project has supported two hydro-acoustic surveys to inform stock analysis, whose report was drafted in September 2019. This FIP is different in that certification with IFFO RS will not

⁵⁷ B: Basic; C: Comprehensive

⁵⁸ Fisheryprogress.org Stages (for FIPs): Stage 0: FIP Identification. Target fishery identified and supply chain analysis conducted. Stage 1: FIP Development. Assessment of the fishery's environmental performance conducted and participants recruited. Stage 2: FIP Launch. Participants and workplan finalized and made public. Budget adopted (but need not be public). Stage 3: FIP Implementation. Workplan implemented and progress tracked. Stage 4: Improvements in Fishing Practices or Fishery Management. Demonstrated improvements in policy, management, or fishing practices documented. Stage 5: Improvements on the Water. Demonstrated improvements on the water documented.

⁵⁹ Fisheryprogress.org grades A (Advanced Progress) • A comprehensive FIP that has achieved a stage 4 or 5 result within the last 12 months. B (Good Progress) • A FIP that has achieved a stage 4 or 5 result more than 12 months ago, and stage 3 activity within the last 12 months. • A basic FIP that has achieved stage 4 or 5 results within the last 12 months. C (Some Recent Progress) • A FIP that has achieved a stage 4 or 5 result in more than 12 (but less than 24) months but has not generated a stage 3 result within the last 12 months. • A FIP younger than one year that has never achieved a stage 4 or 5 result but has completed a stage 3 activity. D (Some Past Progress) • A FIP for which the most recent publicly reported stage 4 or 5 result is more than 24 (but less than 30) months. E (Negligible Progress) • A FIP older than one year that has not reported a stage 4 or 5 result in more than 30 (but less than 36) months. • A FIP younger than one year that has not reported a stage 3 activity.

https://fisheryprogress.org/sites/default/files/FP%20guidance%20doc%20for%20buyers_FINAL.pdf

⁶⁰ <https://www.seafoodwatch.org/seafood-recommendations> Final Score = geometric mean of the four Scores (Criterion 1 Impacts on the Stock, Criterion 2 Impacts to Other Species, Criterion 3 Management Effectiveness, Criterion 4 Impacts on Habitats & Ecosystems). Best Choice/Green = Final Score >3.2, Final Score >3.2, and either Criterion 1 or Criterion 3 (or both) is Green, and no Red Criteria, and no Critical scores; Good Alternative/Yellow = Final score >2.2, and no more than one Red Criterion, and no Critical scores, and does not meet the criteria for Best Choice (above) Avoid/Red = Final Score ≤2.2, Final Score ≤2.2, or two or more Red Criteria, or one or more Critical scores. <https://www.seafoodwatch.org/-/m/sfw/pdf/criteria/mba-seafoodwatch-recommendation-process.pdf?la=en>

be related to the fishery *per se* but to the plants that source from this fishery⁶¹. The FIP covers 30% of the fishing capacity of the industry. Significant has been the project's contribution to increasing the closed season by six weeks.

Though the *Ecuador Tuna Pole and Line FIP* was established before the GMC, it lost momentum and GMC intends to mobilise the Coastal Fisheries Initiative, a sister project financed by GEF. The GMC has facilitated contacts with the private sector at the Global T75 event in the USA, with restaurateurs from Quito and in the Supplychain Roundtable (see Outcome 1 above).

The GMC is supporting the *Indonesia BSC FIP* by closing certain gaps in the FIP workplan, in particular preparation of the Madura fishery for MSC certification through, *inter alia*, the exchange of information. Agreement has been reached on a harvest strategy, a gender profile finalised and Control Document Audit System designed with project support.

With respect to *Indonesia's Skipjack and Yellowfin Pole and Line FIPs*, the project has supported activities to close existing gaps in the FIP workplan, through technical and ethical training and drafting a gender profile.

The GMC has hired a consultant to work on reference points and stock assessment for the *Philippines BSC FIP* and is working closely with the National Stock Assessment Programme to establish reference points, a specific point brought up by Seafoodwatch programme to pass the fishery from red to yellow (see Table 6 above). The project has mapped BSC supply chain actors and designed a Control Document Audit System that will allow for traceability if finally implemented. These experiences have fed into the Public Consultation of Technocratic document of the National Medium-Term Development Plan 2020-2024 on Marine and Fisheries Sector. The message from the market (the Crab Council in the USA) is clear: that there must be proven sustainability in the sector if purchases are to continue, and for this reason the NFI-CC had provided finance before the GMC project

The *Philippines Octopus FIP* is being set up, with the national industry mobilized, and links forged with the Global Octopus SR. The GMC successfully facilitated the formation of the Philippine Cephalopods Producers and Exporters Association, Inc. (PCPEAI), and an initial FIP plan was presented at Boston Seafood show in 2019. Key going forward will be the GMC's support to an Octopus data gathering exercise with a view to stock assessment. The message from the market is less immediate, the private sector does not have an immediate incentive to invest in FIPs, so garnering support from the sector will be more of a challenge.

Under this Output, the project included field visit to Galicia to exchange management experiences and best practices with key fishery stakeholders and regulators. Participants from Ecuador, Indonesia and the Philippines⁶² travelled to Galicia to learn about small-scale fisheries and governance systems, surveillance and control systems, management measures of size selectivity, and data gathering and analysis. Participants were able to address country-specific objectives and also exchange experiences across project countries⁶³.

⁶¹ The IFFO RS certifies three aspects: a) plant, b) chain of custody and c) fishery management and sustainability. So there is nevertheless a strong link to the fishery, its management and sustainability.

⁶² MTR found no documented evidence why Costa Rica did not attend.

⁶³ Relevant to Knowledge Management, Outcome 6.

In general terms, as is manifest by the indicators presented below and in Annex 3, the project has provided substantial support and there is some progress.

Some concerns or issues arise:

- Where the project has started a FIP, the time needed for the plan to be implemented and full implementation (normally five years according to the MSC model, for example) exceeds the time scale of the project.
- Financing of the new FIPs is not yet guaranteed, and some FIPs, such as the Ecuador Tuna Pole and Line FIP, have fallen on hard times. Others, such as both BSC FIPs, have existed for some time, long before the GMC project, but have needed to be resuscitated. The project, perhaps legitimately, is supporting precise activities within FIP Action Plans. It is to be noted that the ProDoc states that GEF resources will be invested for launching new FIPs, but it is expected that the FIPs will become fully industry-driven by the end of year 3 (UNDP, undated, p. 79). Whether GMC financing specific activities to create the conditions for pre-assessment (data collection for stock assessment, for example) or filling in the gaps of the FIP workplan undermine private sector participation is a moot point, and one that the GMC project should reflect on in its deliberations in 2020.
- SFP's involvement in the FIPs in Costa Rica have been limited by the impossibility to post the National FIP Coordinator, and in Indonesia because that country assumed responsibility for recruiting FIP facilitators. It was intended that SFP coordinate with the FIP Facilitators in Indonesia, if previously agreed between MMAF and SFP. There are opportunities for SFP to support the FIPs in Costa Rica and Indonesia, and given what SFP has the potential to contribute, in terms of reinforced links to the private sector, the UNDP COs and counterpart agencies of Costa Rica and Indonesia might explore avenues of cooperation, with the facilitation of both the IPCU and the PSC. In particular, it would seem that UNDP's leading the FIP in Costa Rica may have discouraged or alienated the private sector, and the SFP private sector dynamic must be allowed to develop in order for the FIP to stand a chance of being financed by the private sector.

It is difficult to attribute improvements to fisheries to the project, but this does not undermine the benefits that the project may have contributed to⁶⁴.

There are four indicators associated with this output:

- The Number of FIPs uploaded to FisheryProgress.org, have progressed by at least one grade, or have maintained an 'A' grade is on target to be achieved. According to project reporting there are seven FIPs in this category out of a target of 10. However, the project has included three from Ecuador (two of those listed above receiving indirect support and Tunacons, which GMC has removed from the list of FIPs targeted). Thus, in terms of those FIPs supported by the project, the figure for this indicator would be 4. If the target were to be reduced from ten to 7, then this indicator can be deemed still to be on target.
- Private investment in FIPs (USD) is not on target to be achieved. This is partly because the target of USD1.5M per year may have been an error. The MTR suggests revising this down to USD 1.5M for the life of the project (see [Annex 10](#)).
- Number of fisheries in certification process (have entered process, undergoing assessment, or have been certified) is, according to PIR 2019 reporting, on target to be achieved, at two

⁶⁴ The multistakeholder approach of the GMC project means that the project can contribute to changes in a given fisheries but such changes cannot be attributed wholly to the project.

out of four to date. Similarly, the MTR would propose removing Tunacons, which actually pushes this indicator to red at present. But the project should be able to achieve it with an extension.

- MSC & Fishsource scores are on target to be achieved, but it has been necessary to adjust the number of fisheries to be included. This indicator seeks to capture the positive impact that project intends to generate for target fisheries via the establishment of national action and/or management plans as well as through its support to the associated FIPs. It is important to note that benefits of the project in this regard can lag.

The project monitors the Fisheryprogress ratings, which rate progress on a FIP, and Fishsource, which monitors fisheries. It is to be noted that the Outcome for this Component is improved sustainability scores for marine *commodities*, as opposed to fisheries or FIPs. To that end, it would have been advisable to monitor the Seafoodwatch scores, which provide ratings for seafood commodities. If it is possible to gather historical data on these scores, it might be appropriate for the project to monitor Seafoodwatch scores. It is to be noted that at least two fisheries already have green sustainability ratings under the Seafoodwatch.

In answer to the question on improved sustainability in the targeted fisheries as a result of the project, arguably the answer for the present is 'not yet'. Though there is progress towards sustainability, one cannot argue that sustainability has been improved to date. It is also important to note that a fundamental principle of a FIP is that it is driven by the private sector, and for this to be the case, they must see material value and potential in the FIP and be prepared to fund it accordingly. If financing from the private sector is not forthcoming, then the *raison d'être* of the FIP must be reviewed. Sustainability, and the enduring effects of any FIP, that normally has the specific target of certification, depend on the long-term management measures enforced by government. Hence the potential complementarity of this Outcome with Outcome 3 that supports the Platforms.

As with Component 1, a question germane to this Component is whether the partnership with SFP has provided value-added. To the extent that FIPs are private initiatives that should be intimately linked to SRs to ensure commitment and financing, the answer to the question is positive, as UNDP alone would not be able to forge that bridge. However, there are questions of conflict of interest in SFP running stock and FIP evaluations that feed into Fishsource and Fisheryprogress and implementing FIPs. For that reason, SFP is not managing and leading FIPs under GMC and will no longer be involved in managing FIPs. It may still be appropriate to partner with SFP for a similar component, to draw on expertise in terms of FIP design, planning and budgeting, linking FIPs with their supply chains, facilitating financing of FIPs and implementing complementary activities (such as stock assessment to be carried out by national institutes). This comment does not obviate the value that could be provided by SFP under an intervention similar to Component 1, and under an intervention similar to Output 5.

In view of the progress made and considering the severe concerns regarding the implementation and realism of the FIP plans to date, the MTR rates this Output Moderately Satisfactory: the outcome is expected to achieve most of its end-of-project targets, but with significant shortcomings.

Outcome 5 Reliable and verifiable information of target marine commodities is publicly available and is used by value chain stakeholders for decision making and engagement in fishery

improvement projects

EQ7: As a result of the project, is reliable & verifiable information more available to & used more by the value chain stakeholders for decision making & engagement in FIPs

The first output of this Outcome relates to updating fisheries profiles, principally in Fishsource, and linking Metrics where profiles are complete enough. Between project identification and start-up, SFP had significantly developed the two. Here, SFP has been maintaining and updating profiles, is introducing various translation options into Spanish and Bahasa and linking Metrics to relevant fisheries. Metrics is a tool that retailers and suppliers can subscribe to in order to link their purchases to source fisheries and track their purchases. The MTR notes that this information is the basis for objective assessments that facilitate discussion in other fora related to the other Outputs. The project has developed 12 new Fishsource profiles and is currently working on a further five.

The second output relates to scientific working groups, whose intention was to help Fishsource refine the profiles. However, the way this precise activity was formulated⁶⁵ is no longer relevant, so this activity has been converted to precise scientific support to FIPs, as demonstrated in Outcome 4. The first draft output has been stock assessment of small pelagics for Ecuador. Work that is advanced includes the establishment of reference points for Philippines BSC, and work with NSAP of the Philippines for estimating stocks of Octopus. The project intends to improve stock estimation of and reference points for Mahi-mahi, of relevance to Costa Rica and Ecuador. In terms of the permanent services in this regard, the publicly available Fishsource and Fisheryprogress ratings, Fishsource uses independent consultants for assessing stocks and each assessment is peer reviewed. Fisheryprogress is supported by a reviewer and technical oversight committee of representatives with expertise in developing and evaluating fishery improvement projects. The FisheryProgress reviewer ensures that FIP profiles on the website are accurate and provide full documentation and evidence of their status and progress. This includes working one on one with FIP implementers to improve the quality and consistency of progress reporting. A technical oversight committee is a team of experts that provides input on FIP reviews where necessary, spot checks FIP data to ensure consistency, and reviews appeals and makes recommendations for the advisory committee's consideration.

The third output relates to tailoring information systems to help industry adopt appropriate purchasing policies, providing them with advice on necessary improvements in problematic fisheries and tracking improvements towards set goals (Fishsource, Fisheryprogress, and T75). Here, the tools were already advanced by the time the project started. SFP is working on the integration of social aspects in Fishsource, including gender aspects, and before the end of 2019 will produce an evaluation of the progress of the FIP tracking tool over the last two years.

With respect to the indicators (see Annex 3):

- The number of registered users has increased and is on target.
- Having shown increases, the number of visitors per month to Fishsource and to the FIP Directory is on target.
- The level of satisfaction of users with the information contained in the sites was not established at baseline (probably because of the recruitment of the M&E Officer only in 2018),

⁶⁵ "Scientific Working Groups for key commodities created, SFP coordinators appointed and work plans implemented in support of expert networks." (UNDP, undated, p. 80)

and only at the end of 2019 were results of a satisfaction survey available. These show levels of satisfaction moderately exceed expectations, at 2.27⁶⁶ as a combined average for Fishsource, 2.22 for Metrics and 2.07 for Fisheryprogress. The MTR notes that the score for content in Fishsource, at 2.06, is relatively low, and this might be investigated by SFP. This indicator is on target, but without a baseline one cannot know if satisfaction has increased or not.

- The number of scientific reports published is behind target. Two published scientific reports were expected in Year 2. However, one scientific report has been drafted (stock assessment of small pelagics), and more are in the pipeline.

In response to the evaluative question, reliable and verifiable information is more available and used more by value chain stakeholders. There is no direct evidence that information is used for decision-making, but it is reasonable to assume that a tool such as Metrics would not garner financial contributions if it was not going to feed into decision-making within the private sector. The influence of these tools on engagement and in particular on precise management measures probably depends more on the dynamism and involvement of the sector in a FIP and of the relevant platform in country. The GMC might endeavour to ensure that scientific support does not undermine private sector involvement in FIPs, by making this support conditional on financial support to FIP activities from the private sector. Because it has not been possible to determine the progress on satisfaction, and because progress on scientific papers is behind schedule, the MTR assesses progress towards this outcome as S: Satisfactory, with only minor shortcomings.

Outcome 6: Better knowledge management on mainstreaming sustainability into seafood value chains

EQ8: As a result of the project, have best practice documents increased stakeholders' mainstreaming of sustainability into seafood value chains?

The one output relating to this Outcome is that best practice documents and experiences are shared with other projects to incentivise change in other fisheries, through IW Learn and other web sites. Unfortunately, none was expected until Year 3.

Best practice documents are due in year 3. To date the project has taken various steps towards this:

- the IPCU has prepared Guidelines for the countries for drawing up lessons learnt;
- Costa Rica has run a workshop on experiences of the work through the Large Pelagics Platform (some of whose observations were presented under Output 3 above); and
- The Fishery Advisors for Asia and Latin America (the posts that replaced the Global Platform Coordinator foreseen in the ProDoc) have drafted interim lessons learned and best practice ideas from the experiences to date in their regions with a view to producing concluding documents before the end of 2019.
- During a coordination meeting by GMC team (includes SFP and Asia Regional Advisor) in May 2019 at Peru (GCP Amazon Conservation conference), project team agreed: 1) during project implementation, platform coordinators and SFP country consultants will document implementation of platforms and FIPs, respectively; 2) by last quarter of 2020, each platform coordinator and SFP country consultant will prepare a draft version of a technical (white)

⁶⁶ The scores are on a scale of three (1-3), not four (0-3).

paper/study case publication; and 3) that by the end of 2020, all platform coordinators and SFP team will meet in a one-week long “writing workshop”. The later meeting will be place were GCM team will review each study case and will draw some preliminary findings from the GMC project.

These provide elements for consolidating a series of lessons learnt and bringing them together. These should be useful not only for the wider public, as implied by the ProDoc, but should also guide the project going forward and in the design of any future intervention.

However, the MTR notes that the information on the different web sites (both of the project and those associated with it) is rather piecemeal, is oriented towards activities rather than content and does not do the GMC credit. To date few resource documents are available from the project, which is probably symptomatic of the erratic start of the project in the different countries, the fact that the IPCU started a year after the first country started activities, and that the key technical posts were either not filled as intended or not totally transparently so⁶⁷. To this end, an organigram and who is in each one would be helpful for all partners.

Given the multi-country nature of the project, and the inbuilt need for coordination by the IPCU and by each of the component coordinators or experts, one would have expected some guidelines to date, even if these were to be considered drafts and were to be updated during implementation. This would normally include guidance on the potential peculiarities of Multistakeholder Platform for *Marine* Commodities, the links between Supplychain Roundtables and FIPs, particular pointers for FIPs and a precise communications and knowledge management strategy at outset.

Moreover, since the project has conducted training, one would have expected a repository of training materials used to date for each one of the training sessions, so that these are available to those who wish to conduct training on similar subjects. It is to be noted that the project organised a field visit to Galicia, which provided an opportunity for project participants from the four countries to exchange experiences on fisheries management and control.⁶⁸

National, regional and international workshops are spelt out in the ProDoc. Arguably, a regional workshop covering merely two countries provides little value-added. In 2020, it is time for the GMC project draw on the different experiences, to facilitate national workshops and at least one international workshop. The exercise may well be repeated in 2021 before closure, should an extension be granted.

As and when best practice documents (including training materials) are produced, GMC Communications should ensure they are put up onto the GMC, SFP & partner institution⁶⁹ web sites. IPCU & UNDP Country Offices might coordinate National Workshops early in Yr3 to collect lessons learned & contribute to best practice documents, and National and International workshops drawing on experiences in year 4. IPCU might ensure that methodology or guidance for *Marine* Commodities Platforms be elaborated in Yr3, as well as guidance on other aspects.

⁶⁷ The MTR had difficulty in getting clarity as to who occupied the different posts in the organigramme, and there is very little reference to these posts in project reports or documents.

⁶⁸ Costa Rica did not take the project up on this opportunity.

⁶⁹ It would be appropriate that the web sites of national government and other institutions involved with the GMC have links to the GMC project web site, and contain the useful resource materials.

With respect to the two indicators, the number of visitors to best practice documents, and their level of utility, these will only be measurable once those documents are uploaded from 2020. We can also not answer the evaluative question regarding best practice documents to date, save to say that the project has taken initiatives to feed into at least one. In terms of the expected outcome (better knowledge management in seafood value chains), there is little evidence of this that has not already been discussed under Outcome 5 above.

In view of the reservations regarding the availability of resource documents, which might have included documented training materials and guidelines for the different components, sparse links between and contents of the project's web site and those of its partners and the sparse links from partners to the resource documents of the GMC (which would help incorporate those practices within the institution) the MTR attributes a grading of moderately satisfactory (MS): The outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.

5.2.2 Tracking Tool Comparison

The MTR is obliged to make reference to the tracking tool, and compare the tools as they were on signature, on start-up and at the time of the MTR. The GMC project prepared the tracking tool at April 2015 and at August 2019.

Detailed comments are presented in [Annex 11](#). With respect to process indicators, the first three comments (Regional legal agreements/cooperative frameworks; Regional Management Institutions; (ABNJ only):⁷⁰ Management measures incorporated in the institutional mandates and/or management action frameworks of Global/Regional Management Bodies) reiterate statements of context, rather than contributions of the project. The fourth, on national inter-ministerial committees, does indeed refer to a project contribution. The fifth refers to issues germane to project implementation (national or local reforms), but specifically refers to some that existed before the project started.

In general terms it seems that it is not clear to those completing this part of the tool whether they should make statements of context or highlight the effects of the project.

With respect to stress reduction indicators, the GMC refers appropriately to relevant aspects that the GMC is contributing to, including monitoring fisheries, reduced fishing pressure, local investment. Gender activities are reiterated, as are environmental tracking tools and International Waters (IW) events.

With the exception of some of the process comments, the tracking tool appears to be adequately completed.

5.2.3 Remaining Barriers to Achieving Project Objectives

The three barriers indicated in the ProDoc are being addressed and no new barrier has presented itself.

⁷⁰ The GMC project does not form part of the four projects under the Area Beyond National Jurisdiction (ABNJ Programme see <http://www.fao.org/3/a-i7539e.pdf>), so perhaps this should not be completed by the GMC project.

5.3 Project Implementation & Adaptive Management

The UNDP GEF Mid-term Review Methodology determines two overall questions regarding project implementation and adaptive management: (i) Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far?; and (ii) To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project’s implementation?

There are seven components to this assessment, which together will determine an overall rating: management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications. As discussed in the different sub-sections below, the seven components in Project Implementation & Adaptive Management are assessed by this MTR as follows:

- management arrangements (section 5.3.1), moderately satisfactory;
- work planning and implementation (5.3.2), moderately unsatisfactory;
- finance and co-finance (5.3.3), satisfactory;
- project-level monitoring and evaluation systems (5.3.4), satisfactory;
- reporting (5.3.4), satisfactory;
- stakeholder engagement (5.3.5), highly satisfactory;
- communications (5.3.5), moderately satisfactory.

The MTR assigns an overall rating of Satisfactory: Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.

5.3.1 Management Arrangements

EQ9: Are project management arrangements clear, transparent and effective?

The Organigramme as presented in the ProDoc is clear and logical, with the exception of the omission of the SFP Project Coordinator. However, the ProDoc does indicate that the SFP Coordinator should work with the IPC. This has been the case: the IPC and the SFP Coordinator have weekly teleconferences and communication appears to be very good, an essential element in such a complex project. The respondents to the questionnaire, significantly all involved in project implementation, respond favourably to this question, with an overall score of 5.2 out of six (see Annex 4).

Table 7 Project Steering Committee Meetings & Attendance

1st Meeting 09Nov17	2nd Meeting 19Feb2019
Jorge Costain, Sec of Fisheries ECU (Chair)	Stalin Suarez, International Cooperation MPCEIP, EUC
Juan Albaladejo, Regional Director, BFAR, PHL	Rafael Ramiscal, Chief of Fisheries Division, BFAR, PHL
Roby Fadillah, Deputy Director IMDMA, MNDP, IDN	Roby Fadillah, IDN (Chair)
Ana Maria Conejo, Fisheries Advisor, MAG, CRI	CRI Absent
Enrique Alonso, Latin America Fisheries Coordinator, SFP	Enrique Alonso, SFP

Jose Vicente Troya, Regional Technical Advisor, Water & Oceans, UNDP, Regional Bureau for Latin America & the Caribbean, Panama	Joana Troyano, Programme Associate, UNDP, RBLAC
Ana María Nuñez, Representative Lead Country Office, UNDP ECU	Monica Andrade, Environment & Energy, Lead CO, UNDP ECU
Diego Orellana, International Project Coordinator, GMC (Secretary)	Diego Orellana, (Secretary)
Plus 6 advisors	Plus 8 observers

The *project steering committee* has only met in November 2017 and in February 2019. It was to have met annually. Since the project started in July 2016, by the time of the MTR it should have met four times, even if the early meetings' quorum might have excluded those who had not yet signed the project document. Table 7 below shows the attendance at the two meetings. Significant is Costa Rica's absence from the second meeting, and that only two members (plus the Secretary) were the same individuals in both meetings.

In ProDoc, retained in Steering Committee Minutes, it is stated that the PSC will approve AWP&B and approve any major changes in project plans or strategy, and that the UNDP would give final approval. It is clarified in the First Steering Committee Minutes (GMC, 2017, p. 5) that minor changes will be approved by the UNDP Ecuador Country Office, and that changes in Outcomes by the UNDP Regional Office in Panama. In this case the PSC recommends for approval; it does not actually approve.

In the Minutes of the first meeting the "IPC indicated that all decisions will be made by consensus (majority agreement)." (GMC, 2017, p. 5). Consensus and majority are different, so this point still must be clarified⁷¹; in view of the need for progress in the project and the advisory nature of the PSC, the MTR would suggest majority agreement. In practice, most decisions will be reached by consensus.

The Steering Committee has agreed to main changes (such as the fisheries to be addressed, and the hypothesis of extending the project, to be considered by this MTR), but it does not seem to have addressed qualitative aspects such as the effects of late signature and posting of staff. In view of the role of the Steering Committee in oversight, and the changes that have occurred in the project, there would have been a role for six-monthly meetings.

The MTR notes that the SFP Latin America Coordinator sits on Global Steering Committee, acts as SFP Project Coordinator (in ProDoc but not in Organigramme) *and* Fisheries Improvement Specialist. Whereas it is understood that the posts of SFP Project Coordinator and Fisheries Improvement Specialist are part-time⁷², the oversight and guiding role of the PSC is compromised by the same person as member of the steering committee. For that reason, it would be more effective to have another SFP nominee as member of the Steering Committee.⁷³

National Steering Committees to provide oversight and strategic guidance to the implementation in the country and should meet every six months. The MTR's review of national project steering committee proceedings notes that they have been oriented towards Component 2. The project's rationale is that the four components complement each other, as demonstrated in section 4.3. If indeed the project is to work in the value chain in each country, and internationally, then the national steering committees must also consider C1, C3 and C4 GMC activities as a matter of course, not for

⁷¹ It would appear that what is meant by consensus is open discussion before majority voting. Again, this is not what consensus means.

⁷² Whether a post happens to be financed by GEF monies or by SFP counterpart monies is not germane to the point.

⁷³ In making this recommendation there is no suggestion of impropriety.

approval⁷⁴, but to ensure complementarity and information exchange. Whereas the MTR understands that the Annual Work Plan of the IPCU is prepared in coordination with national teams, and that they are therefore aware of IPCU plans, overt consideration of all components at all meetings is important for maintaining and reinforcing the complementarity between the components. The fact that the national authorities are members of the global PSC is not sufficient to ensure complementarity at a national level.

A *Technical Advisory Group* (TAG) will support project implementation by providing technical advice and recommendations to the project partners. The ProDoc determines that it will meet every six months by teleconference (UNDP, undated, p. 94). The members of the TAG are enumerated in the Minutes of the First Steering Committee, but they do not include the private sector, as stipulated in the ProDoc⁷⁵. Despite the discussion on the TAG and agreement that it can be convened, in actual fact the TAG has not played an active role and nor has it been consulted. The GCP, MSC, National Fisheries Institute and the Monterey Bay Aquarium have been consulted and involved relatively little to date. Since the TAG has a varied membership and in reality, technical aspects are precise and focussed, it would seem that the artificial resuscitation of the TAG may serve little purpose. Technical advice might be given by those technically qualified and the Secretariat can report this to the PSC as appropriate with the technical involvement of these institutions as appropriate.

It is worth noting that the GCP, Marine Stewardship Council, the Monterey Bay Aquarium and the National Fisheries Institute Crab Council were foreseen as members of the TAG. These four institutions must be consulted and included as and when appropriate. It will be particularly important to actively involve them, in particular the GCP, in the deliberations on lessons learned.

Increased involvement of these four institutions in the methodological and technical aspects of the project should be a major focus of the IPCU from now to the end of the project.

The UNDP/ GEF Guidelines for MTRs require an assessment of the quality of UNDP's support to the project. In terms of finance, and on technical oversight, this appears to have been satisfactory. UNDP's major shortcoming relates to delays in project start-up and implementation, which the Guidelines determine should be discussed in the next section.

Thus, the component of in Project Implementation & Adaptive Management relating to management arrangements does not appear to be leading *fully* to efficient and effective project implementation and adaptive management, but can be assessed as Satisfactory:

5.3.2 Work Planning

The Initiation plan of February 2014 (UNDP, 2014) is laudably comprehensive, and includes elements that different parties (SFP, UNDP) were responsible for. Its implementation appears not to be reported on by the UNDP. The implementation of this plan would have provided a solid and uniform start to the GMC project. The reality is very different, as can be seen from Table 8 below.

⁷⁴ This would be unworkable for the parts that are managed by SFP's budget. Should there be any additional funding or support needed nationally it can be passed by the NSC to the Global PSC for decision at that level.

⁷⁵ technical representatives of the national fisheries authorities of the four countries, SFP, GCP, UNDP (COs and/or Regional), MSC, NFI-CC, MBAq and private companies (e.g., McDonald's, Walmart).

Dates and timelines are also presented graphically in [Annex 9](#). Start up in different countries is spread over a period of one year and nine months from July 2016 to March 2018. Recruitment of key posts is spread over a period of two and a half years, from July 2016 in Costa Rica to February 2019 for the second of the (Global) Fisheries Platform Advisor. This record is not good. The staggered start in each country, in terms of country document signature, and that of the UNDP/SFP Cooperation Agreement, and the subsequent delays in recruitment are at odds with the design of the project. This has potentially undermined methodological coherence the *raison d'être* of the project. UNDP might have found a way of recruiting IPCU on start-up in Costa Rica; that in itself would have accelerated start-up in other countries. The UNDP's different offices would be advised to consider – together - how this came about and how such delays in recruitment can be avoided for future projects of this kind.

Table 8 Implementation dates

Country	Date of ProDoc Signature	Date of Project Implementation Start-up	Dates of key recruitment
Costa Rica	May 2016	July 2016	National Platform Coordinator (NPC) Jul16
Ecuador	September 2016	November 2017	NPC Jul18-Mar19; Aug19 National FIP Coordinator Apr18
Indonesia	March 2018	March 2018	NPC Jul18
Philippines	March 2017	November 2017	NPC (or Officer) Apr18 National FIP Coordinator Sep18
International Component	November 2016	November 2017	IPC Sep17 SFP Coordinator Oct17 ⁷⁶ M&E Officer Oct18 Global Fisheries Platform Advisor Latin America Jul18; Asia Feb19

Apart from technical oversight and finance, the UNDP's main and most useful contribution to the project is arguably setting up the IPCU and recruiting the staff for Component 2 in the various countries. In this it performed poorly.

In addition to the observations above, the MTR finds:

- Good coordination & communication between UNDP IPCU & SFP Project Coordinator;
- Though posts of Market Engagement Specialist, Fisheries Improvement Specialist and Knowledge Management Specialist are part-time, SFP provides good backstopping from other staff members in various fields (e.g. IT, scientific paper reviews);
- UNDP's post of Global Fisheries Platform Advisor was split into two with PSC approval;
- Other posts were not filled or filled late (UNDP Partnership Advisors in country; SFP FIP Coordinators in country⁷⁷, IPCU posts), even with respect to the late signature of the ProDoc

⁷⁶ Available on signature of UNDP/ SFP Coordination Agreement

⁷⁷ SFP's difficulties in recruitment can partially be explained by a limited project budget and by the fact that they and their staff are subject to taxes in country.

by beneficiary country governments. Recruitment of key positions in country and for the IPCU should not have taken so long.⁷⁸

Thus, the aspect regarding work planning, and timeline, is well below what one would have desired, not only in terms of the delays, but also because one country started before the IPCU. The IPCU have tried to recover the situation, and their communication with all the different partners is good, so the overall assessment of this component of in Project Implementation & Adaptive Management is moderately unsatisfactory.

5.3.3 Finance & Co-finance Commitments & Expenditure

EQ10: Is the project cost-effective?

Co-financing is determined in kind from host governments, and of SFP. Host governments have not been found to have been lax in this regard, and SFP has also provided back-up on a variety of fronts.

Expenditure to 31 August is presented in [Annex 8](#) This shows that despite 99% of the budget being spent for Costa Rica, overall expenditure stands at 42%⁷⁹. Philippines has spent 49%, and the other two countries 27% and 31%. In the International component both SFP and UNDP have spent 37%. In terms of Components, 70% has been spend on C2, 25% on C1, 29% on C3, 44% on C4 and 17% on project management. There is clearly money to extend the project to allow for the delays in start-up and to allow consolidation of certain activities.

A full economic and financial analysis is not possible at this stage since effects on stocks and livelihoods is as yet to be manifest. Of interest, for a final or *ex post* evaluation, would be benefit (increased volumes, incomes and employment as a result of the project –with and without project scenarios- in the targeted fisheries receiving direct support) against overall project costs, also providing data to determine willingness to pay and opportunity costs of not being in FIP or Platform. To this end, the IPCU can begin to gather certain data. Only nine FIPs are being worked on (seven directly and two⁸⁰ indirectly), instead of ten planned in the ProDoc. This does not imply less volume or impact as the small pelagics fisheries is larger than the FIP it replaced.

Given the staggered start overall and the late start of different components, the evaluation of this component of Project Implementation & Adaptive Management is satisfactory.

5.3.4 Project-level Monitoring & Evaluation Systems & Reporting

This sub-section covers two of the components to be assessed under project implementation and adaptive management (project-level monitoring and evaluation systems, and reporting) under one evaluative question.

EQ11: Are project/programme results (outputs, outcomes, impacts) qualitatively & quantitatively demonstrated through regular collection and analysis of monitoring data?

⁷⁸ Recruitment was hampered by lack of clarity from the UNDP as to when the project started officially, in order for the IPCU to recruit according to the timetable in the ProDoc.

⁷⁹ There are existing commitments, but they do not alter the general picture.

⁸⁰ Or three if one includes ECU Tunacons.

The MTR finds that quarterly reports, annual reports and PIRs are clear and well presented, and attempt to report systematically on the indicators. The phrasing of some indicators is suboptimal, as is the presentation of some of the baselines and targets, and the MTR has a number of suggestions (see [Annex 10](#)). As one would expect for a project with such a long chain of cause and effect, indicators alone are insufficient to demonstrate progress in achieving Outcomes and Objectives. Thus, data beyond the indicators in the indicator framework is necessary to appreciate the full effects of the project. The MTR notes that the IPCU has demonstrated good adaptive management by reviewing the indicators, and that these have been revised and approved by the Steering Committee. Therefore, the MTR would not suggest changing them again, but it does have a number of recommendations on the phrasing of the indicators, and on the baselines and targets. These are to be found in [Annex 10](#). It is clear that many of the indicators (scores on fisheries, for example, are indicators of what the project may have contributed to, but by no means can those changes be wholly attributed to it. The project, in its regular reports, might begin to consider and document what precise changes can be attributed to the project, and what events, behaviours would have taken place without it.

In answer to the evaluative question, the quantitative results of the project relating to indicators is reported well, but qualitative self-evaluation of the project's work in the reports would benefit adaptive management.

EQ12: Does the project/programme team use these findings, as well as those from related projects/efforts, to strengthen their work and performance?

Some changes have been made, such as the different FIPs and Platforms, and the composition of staff, and these show a relatively high degree of adaptive management. The guidelines for lessons learnt and assignments to the Asia and Latin America Advisors in a similar vein show a willingness to demonstrate learning. The IPCU's frequent contact with different parties is also commendable. Drawing on lessons learnt and coordination across the different countries will become more important with time. For this reason, the MTR proposes that the PSC meets every six months. Thus, the MTR would rate monitoring and evaluation systems, and reporting, as satisfactory.

5.3.5 Stakeholder engagement

Stakeholders are engaged. Engaging stakeholders is core to Components 1, 2 and 3, and arguably the main activity of each one of these. Thus, this component of Project Implementation and Adaptive Management is not found lacking and may be rated as Highly Satisfactory.

5.3.6 Communications & Visibility

EQ13: Is learning documented and shared for project/programme and organisational learning?

The project has taken the initiative of preparing a template for lessons learnt, which was sent to Costa Rica for their completion (they conducted a workshop whose proceedings have been documented, but the format was not followed), and of requesting the two Fisheries Advisors under Component 2 for their analysis of lessons learnt (they have both drafted preliminary documents). Learning is not yet documented, as the process of drawing on lessons learnt has not been completed. This issue has been addressed in the analysis on Outcome 6 in section 5.2.1.

However, the most important of the lessons to date relate to the process of Marine Commodity Platforms, and the salient points have been introduced to the discussion under Outcome 3 in section 5.2.1 above.

As pointed out with respect to Outcome 5, the documentation produced by the project and available to the public is sparse to date. This results from late recruitment and unclear designation of the SFP Knowledge Management Specialist, as discussed above in relation to Output 5, and also the late recruitment of the UNDP Communications specialist. Increased documentation (training manuals etc.) and accessibility has been recommended above, so does not need to be repeated here.

5.4 Sustainability

The overall question regarding sustainability is: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?

EQ14. Have most or all factors for ensuring sustainability (financial, institutional, economic, social/gender, environmental) of results/impacts been established?

The risks and factors are discussed in each one of the sections below. The GMC project has complied with social and economic requirements through the Social and Environmental Screening Plan (SESP) in both July 2018 and July 2019.

5.4.1 Financial Risks to Sustainability

Financially, and at a micro-economic level this MTR has serious concerns. These have been raised in particular with respect to Components 2 and 3 and Outcomes 3 and 4 and relate to the financing to date of FIP Action Plans and Platform Sustainable Fisheries Action Plans. A plan that is not financed runs the risk of undermining future processes of consultation and stakeholder engagement.

Financial sustainability is not ensured until Sustainable Fisheries Action Plans are financed, and GMC needs to support these processes (this needs to be defined in an exit strategy).

5.4.2 Economic Risks to Sustainability

Economically, one can expect existing consumer demand for fish products to continue to grow, and for demand for sustainably sourced seafood to become an increasing share of that demand. This providing a continuing and strong incentive for all actors in the value chain to improve the sustainability of fisheries.

The transformations in the private sector can expect to be matched by increased government strictures through regulation internationally (such as the EU's IUU Regulation and the USA's application of long-arm jurisdiction) and nationally as international controls cascade into national jurisdictions, increased controls on criminal activities generally (UNODC; OECD) and improved traceability of some of the most important seafood products through the RFMOs' future application of catch documentation schemes.

5.4.3 Social & gender risks to sustainability

The social risks of the GMC project's approach relate to the fact that it is likely to be the most industrialised fisheries that will achieve certification; artisanal fisheries, where the largest number of

poorer fishers work, are unlikely to be covered. Whereas MCS certification does not yet have a social dimension, the Fairtrade label does.

The project is using participatory approaches to both the FIPs and the Platforms, the latter tried and tested by the GCP model, and these should minimise the risk of conflict between different parties. That said, since certified fisheries will have access to certain markets, and will therefore have a comparative advantage, there is a risk that those *not* involved in certified fisheries are marginalised from the mainstream and suffer from resource access. This is most likely to happen if FIPs and fisheries worked on by the project are smaller. Thus, the project's merging of some fisheries under the platforms and supplychain roundtables is a positive move for more inclusion.

The project is aware of the increasing attention being given to human rights in fisheries and is advocating the use of the Seafood Slavery Risk Tool to address this⁸¹. This tool is currently being updated. The FAO is exploring the human rights-based approach to small scale fisheries⁸² and has drafted but not yet published guidelines. It would be advisable for the project to take these on board.

With regards to gender, it is notable that the 5th Replenishment of the GEF, under which the GMC project is financed, did not have a gender requirement⁸³. The SFP as an institution does not have a gender strategy. The IPCU has taken the initiative to introduce elements on gender by recruiting a specialist who has produced a gender strategy and drafted an action plan. This plan clearly and usefully details those actions that do not normally require additional resources, and those that might. It also gives recommendations as to what the final evaluation and the design of any future intervention should include with respect to gender. The project endeavours to have a gender balance in the different fora created by the Platform, as well as the platform itself. Gender has only been expressly considered through studies on a minority of FIPs: the BSC and Pole and Line FIPs in Indonesia. Because of the late initiatives regarding gender, there is no evidence yet that these documents have led to changes in the FIPs or to Platforms' approach and actions, to positively affect gender imbalances. It would of course be advisable for the Platforms and FIPs to overtly consider gender aspects, as recommended in the gender action plan that was drafted in September.

But an institution can only promote certain values if it applies them itself; for this reason, the recommendations in the draft gender action plan, that those involved in the project receive training and awareness and that certain checks exist, are welcome.

Thus, the integration of gender aspects across the board has been compromised by the absence of a gender strategy and action plan in the ProDoc.

5.4.4 Institutional framework and governance risks to sustainability

The major risk to sustainability from the perspective of institutional framework, from the experience of the four countries of the project alone, appears to be of a changing staff when government changes. This is particularly the case in Latin America, but also affects Asia.

⁸¹ A current search reveals that there are concerns in tuna fisheries where Taiwan fleets are involved and in purse seining in the west and central Pacific, but not with respect to the fisheries covered by the GMC project. The tool is currently undergoing an overhaul.

⁸² <http://www.fao.org/policy-support/resources/resources-details/en/c/879584/>

⁸³ Apparently the 7th Replenishment corrects this,

The needs for integration of platforms with permanent institutions has been discussed at length under Outcome 3 above, and continued efforts are needed. The need for financing the outputs of the FIPs and Platforms has also been discussed at length under Outcomes 3 and 4 above.

An exit strategy, which ideally would have been drafted at the outset, should be drafted before the end of 2019 in order to concretely address issues of sustainability before the end of the project.

5.4.5 Environmental risks to sustainability

Environmental sustainability is core to the objectives of the project. If the project succeeds, fisheries resources will be more environmentally sustainable; if it fails, this will not be the case. Thus, there is no specific analysis required on this aspect, save to indicate that the environment is core to the main technical components of the project: supplychain roundtables, platforms and FIPs.

5.4.6 Scaling up mechanisms

EQ15. Have scaling up mechanisms been put in place with risks and assumptions re-assessed and addressed

Risks & assumptions have been reconsidered by the project. There is no serious new assumption or risk faced by the project. No scaling up mechanism has been put in place, and this should not be the case until the project's experiences are more advanced over the four countries. Lessons learned & guidelines may eventually be used by other initiatives, including a follow-up project.

Various starting dates might and have been used during implementation: CEO Endorsement Jan16; Costa Rica signature May 2016; Global ProDoc signature November 2016. Given project duration of 48m (+2m closure) there are various end dates, indicating up to 75% of project time has passed; 42% of the overall budget has been spent to date.

If one takes the recruitment of IPC in September 2017 as the true start date of the global project (inception was November 2017 but ProDoc does not establish an inception phase over & above the 48m), then half the project's real time has elapsed. It is not for the MTR to determine the legal end of the project, as this seems to vary according to the opinion of the different parties involved. What is clear is that sustainability is compromised by the end of the project coming potentially November 2020 (Prodoc signature plus 48 months).

Through no fault of any particular implementing partner, or of the IPCU, time is short for obtaining significant results.

Since expenditure is behind the time that has passed, money runs the risk of not being spent, and associated activities of not being completed. To date there has not been enough consideration of sustainability, particularly institutionally of Platforms, nor finance of FIPs (see details in previous sections that bear on this question). There is a need to draw lessons from the project, and it is not in a position to do this across the board yet. Some desired interim objectives (e.g. certification) will require more time. The overall experience of the project is positive, notwithstanding the shortcomings highlighted in this report.

For these reasons, the MTR recommends that:

- All components be extended to end October 2021, allowing for closure by December 2021; and
- Though it is too early to determine what form this should take, consideration to be given to a Phase II.

6. Lessons Learnt, Conclusions & Recommendations

The main lessons learnt to date might be:

- The tardy and incomplete recruitment of the IPCU can lead to further delays in buy-in of partners.
- If permanent structures (such as a Sustainable Commodity Platform) that a project creates are not led by permanent structures, in this case government, and anchored in them from the outset, sustainability can be compromised.
- Without such anchoring, the products of such institutions run a greater risk of not being adopted and implemented by the parties.
- Plans must be focussed, feasible and financed to be effective.
- If methodological guidelines (to be updated during the project if needed) are not drafted from the beginning, coherence across countries can be compromised.

The Conclusions and recommendations are presented in Table 9.

Table 9 Conclusions and Recommendations

Conclusions	Recommendations
<p>The relevance of the barriers and challenges contributing to overexploitation of fishery resources identified in the Project Document, and the mechanisms it promotes to address these, provides potential for future interventions.</p> <p>Five weaknesses have manifested themselves in implementation: national steering committees do not explicitly encompass all Components; the National Platform Coordinators are financed by the project; the plans arising from FIP and Platform processes run the risk of not being financed; the timescale of the processes the project supports are longer than the project itself; and low budgets for some key positions</p>	<p>-UNDP might usefully replicate the UNDP/NGO partnership in future interventions. It must draw on the conclusions of this MTR and those to be drawn by the learning processes being implemented by the GMC project.</p> <p>-IPCU to establish methods of measuring what actions partners have undertaken as a result of the project, and qualitative aspects such as how levels of trust have been engendered in the Platform & FIP processes.</p>
<p>The project could benefit from tightening of the indicators, baselines and targets.</p>	<p>The IPCU should integrate the MTR's suggestions on the wording of indicators and the expressions in Baselines and Targets, as suggested in detail in Annex 10.</p>
<p>The indicator does not fully represent the achievement of the Objective, and the weaknesses with respect to Outcomes filter up to this level.</p>	
<p>Links and complementarity between SRs, FIPs and Platforms ensure a comprehensive supply-chain approach; reinforcing a commercial perspective at Supplychain Roundtables would increase buy-in.</p>	<p>- SFP to ensure that sustainability and supply chain matters throughout its interventions are presented from a business perspective and include information sharing regarding for example the potential value-added of sustainability initiatives, or how to maintain or increase market share.</p>
<p>There is increased pressure on RFMOs (as per Outcome). There is value added from the partnership with SFP for this Component (Outcomes 1 & 2)</p>	<p>-</p>

<p>Lessons can & should be learnt from Costa Rica's experience for the other three countries. Improved synergy, but platforms have yet to be institutionalized, thus compromising sustainability and long-term impact.</p> <p>Important to ensure governance of platform <i>and</i> of fisheries (that concrete fisheries management measures result from the platform).</p> <p>Important to ensure that <i>value chains</i> remain a focus.</p> <p>Whether the Platform aims for SFAP or FMP will depend on context.</p>	<p>-National Authorities and UNDP to do all that is possible to ensure that Platforms supported by the project are anchored in existing permanent legally constituted institutions, <i>and</i> that national platform coordinators are from permanent staff positions [1]; GMC staff to take the role of facilitator and advisor.</p> <p>-National Authorities and UNDP to note that output of the Platform might be government-endorsed management plans instead of Sustainable Fisheries Action Plans, case by case, and Platform Steering Committees need to ensure <i>value chain</i> relevance with continued involvement of big international players and an increased focus on realistic financing of the plans.</p> <p>-From 2020 to project end, IPCU to recruit one person under the post of Global Platform Advisor, in order to draw lessons learnt and best practices, and provide coherence.</p>
<p>The FIPs suffered from a late start in most countries and limited SFP support, through no fault of their own, in Costa Rica and Indonesia[2]. The timescale of the FIPs is longer than that of the GMC project. The GMC is financing the implementation of parts of FIP plans, which might undermine private sector involvement. There is progress towards sustainability but it is too early to verify. SFP provides value-added in the realm of private sector involvement and financing.</p>	<p>-SFP and national authorities to ensure that FIPs are industry-led, and all FIP action plans are realistic, financed and implemented, otherwise the process is undermined.</p> <p>- SFP & IPCU to renew efforts, and the UNDP to support these efforts, for SFP to support long-term sustainability of industry-led FIPs in Costa Rica & Indonesia.</p> <p>-National Platform Coordinators, SFP & UNDP must ensure strong clear links between FIPs, Platform & government to ensure that FIP outcomes support long-term management measures.</p>

<p>More information is available, and precise scientific support to FIPs is appropriate, as long as it does not undermine private sector commitment. The outlook for the sustainability of the tools (Fishsource, Metrics, Fisheryprogress), and scientific reports is good.</p>	<p>-SFP to continue to provide specific scientific support to FIPs but consider making this conditional on significant financing of the FIP plan by the private sector, and involvement of the public sector, as appropriate.</p>
<p>One would have expected earlier recruitment of Communications Officer^[3], more guidelines & fuller library on the web site. There is a need to involve GCP, Monterey Bay Aquarium and others more in technical discussions.</p>	<p>-Project staff in each country and the Specialists and Advisor for each Component must contribute to the production of lessons learnt and best practice documents, and the IPCU must ensure they are put up onto the GMC, SFP & partner institution web sites</p> <p>-IPCU & country offices to coordinate National Workshops early in Yr3 to collect lessons learned & contribute to best practice documents, & National and International workshops drawing on experiences in year 4</p> <p>-IPCU to ensure that methodology or guidance for <i>Marine</i> Commodities Platforms be elaborated in Yr3, as well as guidance on other aspects.</p>
<p>Though national authorities are included in Global PSC, synergy between components at national level is compromised by concentration on C2 & Platforms in National PSC.</p>	<p>-All National GMC Project Steering Committees to consider C1, C3 & C4 activities, not for approval but to ensure complementarity & information exchange.</p>
<p>Technical aspects, based on increased communication and use of GCP, Monterey Bay Aquarium and others, best dealt with directly and reported to PSC as appropriate; six-monthly PSC meetings would facilitate coordination; oversight better served by another SFP formal appointee to PSC</p>	<p>-IPCU to convene global PSC every six months, having consulted and received feedback on relevant technical aspects, and to propose SFP appoint new member.</p>

<p>Late recruitment of IPCU may have contributed to late signature in other countries, but even so, recruitment of key staff in country took even longer (for both SFP & UNDP), due in part to low budget, particularly where a partner and its employees are subject to local taxes.</p>	<p>-UNDP regional and Country Offices to convene to establish how it was possible to allow such a staggered start, and such slow recruitment, and how such can be avoided in future projects of this kind.</p>
<p>The rate of expenditure is variable, but overall it allows for an extension of the project.</p>	<p>-</p>
<p>Whilst focussing on indicators, the reporting is a little light on discussion of potential outcomes resulting from the project. Drawing on lessons learnt will become more important with time.</p>	<p>-The IPCU take into consideration the MTR's suggested changes in wording of indicators and presentation of baselines and targets and lead the process for their improvement.</p>
<p>Financial & institutional sustainability not ensured until Platforms integrated into permanent structures and FIP plans financed. The GMC project needs to support these processes.</p>	<p>See Outcome 3 above.</p>
<p>Gender is being addressed, albeit late and to date partially.</p>	<p>-IPCU and SFP to define an exit strategy, including gender and with a focus on sustainability before the end of 2019.</p>
<p>Partly because in some countries processes are less advanced it is too early to ensure sustainability, or to draw conclusions and appropriately scale up activities. There is room for harmonising the end date of the project and drawing lessons for a future intervention.</p>	<p>-All components be extended to end October 2021, allowing for closure by December 2021.</p> <p>-Though it is too early to determine what form this should take, UNDP & SFP should give consideration to a second phase, taking into consideration lessons learned regarding timescale, phasing and budget <i>inter alia</i> and using best practices.</p>

ANNEXES

Annex 1: Terms of Reference

GLOBAL SUSTAINABLE SUPPLY CHAINS FOR MARINE COMMODITIES PROJECT UNDP MID-TERM REVIEW

Terms of Reference for the Midterm Review (MTR)

Project Name: Global Sustainable Supply Chains for Marine Commodities Project (GMC)

Functional Name: Independent consultancy for the Midterm Review (MTR)

Duration: 47 days over a period of 11 weeks

1. INTRODUCTION

This is the Terms of Reference (ToR) for the UNDP-GEF Midterm Review (MTR) of the *full-sized* project titled Global Sustainable Supply Chains for Marine Commodities Project (PIMS #4754) implemented through the United Nations Development Programme and Implementing Partner Agency, Sustainable Fisheries Partnership (for the international component), which is to be undertaken in 2019. The project operates in four countries (Ecuador, Costa Rica, Indonesia and the Philippines) and has an international component, and therefore has five distinct budgets and project document cover pages. The project is in its third year of implementation (See table 1 for the ProDoc cover page signature dates). This ToR sets out the expectations for this MTR. The MTR process must follow the guidance outlined in the document [Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects](#).

2. PROJECT BACKGROUND INFORMATION

The Global Sustainable Supply Chains for Marine Commodities Project (GMC Project) is an inter-regional project implemented under differing types of National Implementation Modality (NIM) in Costa Rica, Ecuador, Indonesia and Philippines (see Table 1). The United Nations Development Programme is the **GEF implementing agency** (IA) and is therefore ultimately responsible to GEF for the channelling of resources to the executing agencies in accordance with UNDP rules and regulations. The **implementing partners (IPs)** are the Ministry of Agriculture and Livestock of Costa Rica (MAG), the Ministry of Production, Export Industry, Investment and Fisheries of Ecuador (MPCEIP), the Ministry of National Development Planning of Indonesia (BAPPENAS), and the Bureau of Fisheries and Aquatic Resources of Philippines (BFAR). The project has an international project coordination unit (IPCU) comprised of service contracts from UNDP and its implementing partner, international NGO Sustainable Fisheries Partnership (SFP).

Responding to requests from both the Ecuadorian national authority in November 2017 (Ministry of Aquaculture and Fishing) and from SFP in early 2018, the international component has since operated under the Direct Implementation Modality (DIM). The ProDoc cover page signatures differ between countries and the IPCU, and timing of commencement of project activities also differs (See Table 1).

Table 10: Project Unit/Country general information

Country/Facilitating Agency	Contract Modality	National Authority/Implementing Partner	Date of ProDoc cover page signature	Date of Project Implementation Start
Costa Rica	National Implementation Modality (NIM)	Ministry of Agriculture and Livestock of Costa Rica (MAG)	May 2016	July 2016 (platform launch date – May 2017)

	with UNDP Support			
Ecuador	NIM with UNDP Support	Ministry of Production, Export Industry, Investment and Fisheries (MPCEIP)	September 2017	November 2017
Philippines	NIM with UNDP Support	Bureau of Fisheries and Aquatic Resources of Philippines (BFAR)	March 2017	November 2017
Indonesia	Full NIM (funding managed by the national government, including the SFP component)	Ministry of National Development Planning of Indonesia (BAPPENAS)	March 2018	March 2018
IPCU	Direct Implementation Modality (DIM)	UNDP and Sustainable Fisheries Partnership	September 2017	November 2017 ⁸⁴

The GMC Project objective is to contribute to the transformation of the seafood market by mainstreaming sustainability in the value chain of important seafood commodities from developing countries, improving emerging tools such as corporate sustainable purchasing policies and Fishery Improvement Projects (FIPs)⁸⁵, developing a shared vision and agenda for long-term action and investment on sustainable commodity production with multi-stakeholders dialogue, thereby driving changes in national fisheries policy for improved fisheries administration.

The project will allocate Global Environment Facility (GEF) resources strategically to:

1. Engage major seafood buyers in the main world markets (EU, Japan, US) into responsible sourcing, providing tools to prepare and implement sustainable seafood sourcing policies.
2. Establish green commodities platforms (currently used in a variety of agricultural sectors) for target seafood value chains in Costa Rica, Ecuador, Indonesia and Philippines.
3. Generate experience that could be used in other countries, support the stakeholders of these platforms to develop practical experience with FIPs and upgrade existing tools for FIP implementation and monitoring, and,
4. Upgrade existing information platforms to facilitate access to reliable materials to value chain stakeholders in support of sound decision making, and capturing, documenting and disseminating the learnings of the project.

The project has four Components and six distinct Outcomes. While UNDP is responsible for the implementation of Component 2 and Outcome 6 under Component 4, SFP implements Components 1, 3 and Outcome 5 of Component 4 of the Project (See table 2).

⁸⁴ In November 2017, the project held its inception workshop providing the first opportunity for national authorities from the four countries to interact and plan project activities in coordination. In addition, the project hired its international project coordinator, SFP implementation initiated, and UNDP activities related to implementation commenced in Ecuador and the Philippines.

⁸⁵ A multi-stakeholder effort to address environmental challenges in a fishery. These projects utilize the power of the private sector to incentivize positive changes toward sustainability in the fishery and seek to make these changes endure through policy change (CASS, 2015).

Table 11: Project Components, Outcomes and Facilitating Partners

Component	Outcome	Implementing Partner
Component 1. Promotion of global demand for sustainable marine commodities	Outcome 1. Increased global market demand for sustainable certified marine commodities and associated reduction of Illegal, Underreported and Unregulated (IUU) fisheries.	SFP
	Outcome 2. Increased pressure on Regional Fishery Management Organizations (RFMOs) and their Contracting Parties to adopt more sustainable and science-based practices for shark and tuna conservation and management measures through engagement of international value chains.	SFP
Component 2. Enabling environments for sustainable marine commodities supply chains	Outcome 3. Increased synergy and involvement of national and international players (i.e., retailers, traders, processors, fishermen and fisheries authorities) in sustainable seafood value chains.	UNDP Country Offices (CO)
Component 3. Demonstration fisheries improvement projects (FIP)	Outcome 4. Increased sustainability scores of marine commodities purchased from project fisheries.	SFP in coordination with UNDP COs
Component 4. Sustainable marine commodities information and knowledge management systems	Outcome 5. Reliable and verifiable information of target marine commodities is publicly available and is used by value chain stakeholders for decision making and engagement in fishery improvement projects.	SFP
	Outcome 6. Better knowledge management on mainstreaming sustainability into seafood value chains	UNDP IPCU

Total amount of GEF resources committed to the GMC Project by country and international coordination unit is described in the table below.

Table 12: Resources committed per country, GMC Project

Project Unit/Country	Total GEF Resources Committed
International Project Coordination Unit (UNDP and SFP)	\$3,053,301.35
Philippines	\$505,974.19
Indonesia	\$1,002,880.19
Costa Rica	\$505,974.19
Ecuador	\$431,870.08
Total	\$5,500,000.00

The project has strategic alliances with three US-based organizations that actively contribute to advancing sustainable seafood production and demand: the Monterey Bay Aquarium, National Fisheries Institute Crab Council and the Marine Stewardship Council. The National Fisheries Institute Crab Council

provides funding to support the Blue Swimming Crab FIPs in Indonesia and the Philippines, the Monterey Bay Aquarium collaborates with the project through its ongoing work in building the demand for sustainable seafood in the United States, and the Marine Stewardship Council implements awareness-raising campaigns for international consumers and provides training on sustainable seafood certification and MSC standards for sustainable fishing and chain of custody to private sector representatives in GMC project countries.

3. OBJECTIVES OF THE MTR

The MTR will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document, and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR will also review the project’s strategy, its risks to sustainability.

4. MTR APPROACH & METHODOLOGY

The MTR must provide evidence-based information that is credible, reliable and useful. The MTR consultant will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Environmental & Social Safeguard Policy, the Project Document, project reports including Annual Project Review/PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the consultant considers useful for this evidence-based review). The MTR consultant will review the baseline GEF focal area Tracking Tool submitted to the GEF, and the midterm GEF focal area Tracking Tool that will be completed before the MTR field mission begins.

The MTR consultant is expected to follow a collaborative and participatory approach⁸⁶ ensuring close engagement with the Project Team, government counterparts, the GEF Operational Focal Point, the UNDP Country Offices, UNDP-GEF Regional Technical Advisers, and other key stakeholders.

Engagement of stakeholders is vital to a successful MTR⁸⁷ and should include interviews with stakeholders who have project responsibilities, including but not limited to executing agencies, senior officials and task team/component leaders, key experts and consultants in the subject area, Project Steering Committee members, academia, local government representatives, etc. Additionally, the MTR consultant is expected to conduct field missions to Quito and Manta (Ecuador), San Jose (Costa Rica), Jakarta (Indonesia) and Manila (Philippines) to carry out meetings and consultations with, at minimum, the following stakeholders.

Table 13: Stakeholder group list by location

Location	Stakeholder Group List	Number of days to be spent in each location ⁸⁸
Quito, Ecuador	<ul style="list-style-type: none"> · UNDP Country Office (CO) · Sustainable Fisheries Partnership (SFP) Consultant · Project Coordinator · Monitoring and Evaluation specialist · Knowledge Management and Communications specialist · Finance and Administration specialist 	2
Manta, Ecuador	<ul style="list-style-type: none"> · Under-secretary of Fisheries Vice Ministry of Fisheries and Aquaculture · Ecuador Platform Coordinator 	2

⁸⁶ For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results](#), 05 Nov 2013.

⁸⁷ For more stakeholder engagement in the M&E process, see the [UNDP Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 3, pg. 93.

⁸⁸ Does not include time for travel between countries.

	<ul style="list-style-type: none"> · Additional project stakeholder meetings (Platform and FIP) to be determined 	
San Jose, Costa Rica	<ul style="list-style-type: none"> · UNDP CO · Government representatives · Former Platform Coordinator · Additional project stakeholder meetings (Platform and FIP) to be determined 	2
Manila, Philippines	<ul style="list-style-type: none"> · UNDP CO · Bureau of Fisheries and Aquatic Resources (BFAR), National Coordinator · National Platform Officer · SFP Consultant · Additional project stakeholder meetings (Platform and FIP) to be determined 	3
Jakarta, Indonesia	<ul style="list-style-type: none"> · UNDP CO · Platform Coordinator · Ministry of National Development Planning (BAPPENAS) · Additional project stakeholder meetings (Platform and FIP) to be determined 	3
At-a-distance consultation	<ul style="list-style-type: none"> · GMC Project Latin America Regional Fisheries Advisor · GMC Project Asia Regional Fisheries Advisor · SFP Latin America Coordinator and GMC Point of Contact · Green Commodities Programme Global Head 	2

The final MTR report should describe the full MTR approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the review.

5. DETAILED SCOPE OF THE MTR

The MTR consultant will assess the following four categories of project progress. See the *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for extended descriptions.

i. Project Strategy

Project design:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?

- Review the extent to which relevant gender mainstreaming elements were raised in the Project Document. See Annex 9 of *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.
- If there are major areas of concern, recommend areas for improvement.

Results Framework/Logframe:

- Undertake a critical analysis of the project’s logframe indicators and targets, assess how “SMART” the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
- Are the project’s objectives and outcomes or components clear, practical, and feasible within its time frame?
- Examine if progress so far has led to or could in the future catalyse beneficial development effects (i.e. income generation, women’s empowerment, improved governance etc.) that should be included in the project results framework and monitored on an annual basis.
- Ensure the project is in the process of developing and/or implementing its gender mainstreaming strategy and that it has a plan for the monitoring and evaluation of this strategy. Gender aspects of the project are being monitored effectively.

ii. Progress Towards Results

Progress Towards Outcomes Analysis:

- Review the logframe indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix and following the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*; colour code progress in a “traffic light system” based on the level of progress achieved; assign a rating on progress for each outcome; make recommendations from the areas marked as “Not on target to be achieved” (red), include/ or recommend sex disaggregated data.

Table. Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets)

Project Strategy	Indicator ⁸⁹	Baseline Level ⁹⁰	Level in 1 st PIR (self-reported)	Level in 2 nd PIR (draft) ⁹¹	Midterm Target ⁹²	End-of-project Target	Midterm Level & Assessment ⁹³	Achievement Rating ⁹⁴	Justification for Rating
Objective:	Indicator (if applicable):								
Outcome 1:	Indicator 1:								
	Indicator 2:								
Outcome 2:	Indicator 3:								
	Indicator 4:								
	Etc.								
Etc.									

Indicator Assessment Key

⁸⁹ Populate with data from the Logframe and scorecards
⁹⁰ Populate with data from the Project Document
⁹¹ Initial results from the 2nd PIR process will be available for review at the time of the MTR
⁹² If available
⁹³ Color code this column only
⁹⁴ Use the 6-point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

Green= Achieved

Yellow= On target to be achieved

Red= Not on target to be achieved

In addition to the progress towards outcomes analysis:

- Compare and analyse the GEF Tracking Tool at the Baseline with the one completed right before the Midterm Review.
- Identify remaining barriers to achieving the project objective in the remainder of the project, including those related to gender-based power relations, or any other cross-cutting issue.
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

iii. Project Implementation and Adaptive Management

Management Arrangements:

- Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Does the team have gender equality capacities? Recommend areas for improvement.
- Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.
- Review the quality of support provided by the GEF Partner Agency (UNDP) and recommend areas for improvement.

Work Planning:

- Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved.
- Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results?
- Examine the use of the project's results framework/logframe as a management tool and review any changes made to it since project start.
- Determine whether gender mainstreaming activities have been planned and/or implemented and are appropriately aligned with the project's gender marker rating.

Finance and co-finance:

- Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions.
- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.
- Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?
- Review the results of the project Audit carried out in 2019 to determine the status of implementation of the measures recommended by the Audit.
- Informed by the co-financing monitoring table to be filled out, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?

Project-level Monitoring and Evaluation Systems:

- Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive? Are they considering the gender sensitive results?⁹⁵
- Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?

Stakeholder Engagement:

- Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
- Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?
- Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?

Reporting:

- Assess how adaptive management changes have been reported by the project management and shared with the Project Board.
- Assess how well the Project Team and partners undertake and fulfil GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs, if applicable?)
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

Communications:

- Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?
- Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?).
- For reporting purposes, write one half-page paragraph that summarizes the project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.

iv. Sustainability

- Validate whether the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why.
- In addition, assess the following risks to sustainability:

Financial risks to sustainability:

⁹⁵ See the UNDP Ecuador "Guía para para incorporar el género en programas y proyectos, 2019", the UNDP GENDER EQUALITY SEAL "Recommendations & Good Practices Guidance Note, 2019", and the United Nations Evaluation group "Guidance on Evaluating Institutional Gender Mainstreaming 2018."

- What is the likelihood of financial and economic resources not being available once the GEF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?

Socio-economic risks to sustainability:

- Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long-term objectives of the project? Are lessons learned being documented by the Project Team on a continual basis and shared/transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?

Institutional Framework and Governance risks to sustainability:

- Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/mechanisms for accountability, transparency, and technical knowledge transfer are in place.

Institutionalization of Gender Mainstreaming

- Has the project effectively left capacities and/or knowledge installed within host government or host country institutions to continue mainstreaming gender issues in decision making processes regarding legal frameworks, policies, governance structures?

Environmental risks to sustainability:

- Are there any environmental risks that may jeopardize sustenance of project outcomes?

Conclusions & Recommendations

The MTR consultant will include a section of the report setting out the MTR's evidence-based conclusions, in light of the findings.

Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report's executive summary. See the *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for guidance on a recommendation table.

The MTR consultant should make no more than 15 recommendations total.

Ratings

The MTR consultant will include its ratings of the project's results and brief descriptions of the associated achievements in a *MTR Ratings & Achievement Summary Table* in the Executive Summary of the MTR report. See Annex E for ratings scales. No rating on Project Strategy and no overall project rating is required.

Table. MTR Ratings & Achievement Summary Table for the Global Marine Commodities Project

Measure	MTR Rating	Achievement Description
Project Strategy	N/A	
Progress Towards Results	Objective Achievement Rating: (rate 6 pt. scale)	
	Outcome 1 Achievement Rating: (rate 6 pt. scale)	

	Outcome 2 Achievement Rating: (rate 6 pt. scale)	
	Outcome 3 Achievement Rating: (rate 6 pt. scale)	
	Etc.	
Project Implementation & Adaptive Management	(rate 6 pt. scale)	
Sustainability	(rate 4 pt. scale)	

6. TIMEFRAME

The total duration of the MTR will be approximately 47 days over a period of 11 weeks starting July 15. The tentative MTR timeframe is as follows:

TIMEFRAME	ACTIVITY
July 1	Application closes
July 12	Select MTR consultant
July 15	Prep the MTR consultant (handover of Project Documents)
July 15 – July 19 (5 days)	Document review and preparing MTR Inception Report
July 22	Submission of the MTR Inception Report First Draft
August 5 – 9 (5 days)	Reception of Project Steering Committee comments, and finalization of MTR Inception Report
August 9	Virtual presentation of MTR inception report and work plan for MTR mission to the Project Steering Committee.
August 12 – August 29 (18 days, including weekend days)	MTR mission: stakeholder meetings, interviews, field visits
August 29	Virtual mission wrap-up meeting & presentation of initial findings to the Project Steering Committee.
August 30 – September 9 (11 days, including weekend days)	Prepare and submit draft report. Report must be submitted in English with an executive summary translation in Spanish
September 23 – 30 (8 days, including weekend days)	Incorporating audit trail from feedback on draft report/Finalization of MTR report including the Management Response
September 30	Expected date of full MTR completion

7. MIDTERM REVIEW DELIVERABLES

#	Deliverable	Description	Timing	Responsibilities
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1	MTR Inception Report⁹⁶	MTR consultant clarifies objectives and methods of Midterm Review	No later than 2 weeks before the MTR mission: July 22	MTR consultant submits to the Project Steering Committee
2	Virtual Mission Wrap-Up Presentation	Initial Findings	End of MTR mission: August 29	MTR Consultant presents to Project Steering Committee
3	Draft Final Report	Full report (using guidelines on content outlined in Annex B) with annexes	Within 11 days of the MTR mission: September 9	Sent to the Project Steering Committee
4	Final Report*	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report, as well as the Management Response indicating how the recommendations will be addressed.	Within 1 week of receiving UNDP comments on draft: September 30	Sent to Project Steering Committee

*The final MTR report must be in English. A Spanish language translation of the executive summary must be provided.

8. MTR ARRANGEMENTS

The principal responsibility for managing this MTR resides with the Project Steering Committee (PSC). The PSC is comprised of the following individuals:

Name	Job title	Institution	Acronym
Nelson Zambrano	Under-Secretary of Aquaculture and Fisheries	Ministry of Production, Foreign Trade, Investment and Fisheries	MPCEIP
Victor Fernandez	Advisor to the Executive Presidency	Costa Rican Institute of Fishing and Aquaculture	INCOPECA
Rafael Ramiscal	Chief of Fisheries Division	Bureau for Fisheries and Aquatic Resources of The Philippines	BFAR-RD
Roby Fadillah	Deputy Director for Institutional Marine Development and Maritime Affairs <i>Chairman of Steering Committee</i>	Ministry of National Development Planning of Indonesia	BAPPENAS-DD
Enrique Alonso	Latin America Fisheries Coordinator	Sustainable Fisheries Partnership	SFP LatC
Joana Troyano	Programme Associate UNDP RBLAC	United Nations Development Programme, Regional Center	UNDP-RH

⁹⁶ The inception report is a means to ensure that the evaluator and the project stakeholders have a shared understanding of the objective(s), scope, expected contents and structure of the evaluation and its related deliverables or outputs in the form of reports and (de)briefings. The inception report, which is the first contractual deliverable of the MTR, presents the Consultant's understanding of the purpose and scope of the evaluation, and how the evaluation questions will be addressed.

		for Latin America and the Caribbean, Panama	
Ana María Núñez	Program Officer Environment and Energy Area UNDP Ecuador	United Nations Development Programme, Ecuador	UNDP-lead CO
Diego Orellana	International Project Coordinator (IPC) <i>Secretary of Steering Committee</i>	United Nations Development Programme	IPCU

The lead UNDP Country Office (Ecuador) will contract the consultants. Per diem and travel costs for the MTR field mission to Ecuador, Costa Rica, Indonesia and Philippines is included in the consultant's fee. Air fare should consider the most direct and economic route to the place and country, and the consultant must include in its economic proposal a daily expense allowance that does not exceed the United Nations rate for the place and country in which the MTR mission will be performed.⁹⁷

The Project Team will be responsible for liaising with the MTR consultant to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

9. DESIRED EXPERIENCE

The MTR consultant must have experience and exposure to GEF projects, project evaluations, and fisheries management in either Latin America or Asia (ideally in both regions). The consultant cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project's related activities.

The following list of qualifications and experience describes the ideal candidate for the MTR consultant.

- At minimum, must possess a master's degree in Marine biology, fisheries management, oceanography, natural resource management, or other closely related field. MA or certification in Gender Studies considered an asset.
- At least 8 years' experience in fisheries or marine/ocean policy in either Latin America or Asia with preference for both regions;
- Has carried out at least 5 evaluations that follow result-based management methodologies;
- Experience in at least one (1) process applying SMART indicators and reconstructing and validating baseline scenarios in the last five years;
- Verifiable experience of participation in at least two (2) UNDP or GEF project evaluation processes, either midterm or final reviews, in the last five years;
- Demonstrated experience in gender sensitive evaluation and analysis;
- Fluency in English required, working proficiency in Spanish, Bahasa or Filipino preferred;
- Demonstrable analytical skills.

10. PAYMENT MODALITIES AND SPECIFICATIONS

Payments will be made in two disbursements after the PSC approval of each deliverable, or as otherwise agreed between the UNDP Ecuador Country Office and the MTR Consultant.

- 20% upon approval of Inception Report as an advance to cover costs of travel.
- 30% upon approval of the draft MTR report.
- 50% upon approval of the final MTR report and management response.

⁹⁷ See United Nations Daily Subsistence Allowance rates by country and city published here: <https://icsc.un.org/>

11. APPLICATION PROCESS

Applicants must submit their CV, a Technical Proposal, Economic Proposal, and a separate attachment that describes the scope of at least two (2) UNDP or GEF project midterm or final evaluation processes that the consultant led over the last five years, including a description of the evaluations' activities, methodology, contract value and time-period.

Only those applications which are responsive and compliant will be evaluated. Offers will be evaluated according to the Combined Scoring method – where the educational background and experience on similar assignments will be weighted at 70% and the price proposal will weigh as 30% of the total scoring. The applicant receiving the Highest Combined Score that has also accepted UNDP's General Terms and Conditions will be awarded the contract.

The evaluation criteria are the following:

Criteria	Points	Percentage
CVs:		
• General experience	100	30%
• Specific experience		
Technical proposal	100	40%
Economic proposal	100	30%
		100%

Rating parameter	Criteria	Score	Percentage
CV	Education:		30%
	• Undergraduate degree in science, economics, administration, or similar fields	10	
	• Master's or PhD. degree in marine biology, fisheries management, marine economics or policy, oceanography, natural resource management, environmental sciences or another related field.	10	
	• Fluency in reading, speaking and writing English	7	
	• Working proficiency in either Spanish, Bahasa or Filipino	3	
	General experience:		
	• Has carried out at least 5 project/program evaluations utilizing a result-based management methodology	20	
	Specific experience:		
	• Verifiable experience of participation in at least two (2) UNDP or GEF project evaluation processes, either midterm or final reviews, in the last five years.	20	
	• At least 8 years' experience in fisheries in either Latin America or Asia.	15	
	• Experience in fisheries in both Latin America and Asia.	5	
	• Experience in at least one (1) process applying SMART indicators and reconstructing and validating baseline scenarios in the last five years.	10	
TOTAL	100		
	Methodology, agenda and implementation schedule:		40%

<i>Rating parameter</i>	<i>Criteria</i>	<i>Score</i>	<i>Percentage</i>
Technical Proposal	• Appropriate understanding the nature of work and understanding of the ToR.	25	
	• Development of the relevant aspects of the work with a sufficient level of detail.	25	
	• Development of appropriate conceptual and methodological framework for the work to be performed.	25	
	• Appropriate sequence of activities and planning.	25	
	TOTAL	100	

Economical proposal

Score Percentage

The highest score (30%) will be awarded to the most economical offer and the inverse proportional to the other offers.

100 30%

Only the technical proposals that achieve a score of at least 49/70 will proceed to the economic proposal review stage.

ToR ANNEX A: List of Documents to be reviewed by the MTR Consultant

1. PIF
2. UNDP Initiation Plan
3. UNDP Project Document
4. UNDP Environmental and Social Screening results
5. Project Inception Report
6. All Project Implementation Reports (PIR's)
7. Quarterly progress reports and work plans of the various implementation task teams
8. Audit reports
9. Finalized GEF International Waters Tracking Tools at CEO endorsement and midterm
10. Oversight mission reports
11. All monitoring reports prepared by the project
12. Financial and Administration guidelines used by Project Team

The following documents will also be available:

13. Project operational guidelines, manuals and systems
14. UNDP country/countries programme document(s)
15. Minutes of the GMC Project Steering Committee Meetings and other meetings (i.e. Project Appraisal Committee meetings)

ToR ANNEX B: Guidelines on Contents for the Midterm Review Report⁹⁸

- i.** Basic Report Information (*for opening page or title page*)
 - Title of UNDP supported GEF financed project
 - UNDP PIMS# and GEF project ID#
 - MTR time frame and date of MTR report
 - Region and countries included in the project
 - GEF Operational Focal Area/Strategic Program
 - Executing Agency/Implementing Partner and other project partners
 - MTR Consultant
 - Acknowledgements
- ii.** Table of Contents
- iii.** Acronyms and Abbreviations
- 1.** Executive Summary (*3-5 pages*)
 - Project Information Table

⁹⁸ The Report length should not exceed 40 pages in total (not including annexes).

- Project Description (brief)
 - Project Progress Summary (between 200-500 words)
 - MTR Ratings & Achievement Summary Table
 - Concise summary of conclusions
 - Recommendation Summary Table
2. Introduction (2-3 pages)
 - Purpose of the MTR and objectives
 - Scope & Methodology: principles of design and execution of the MTR, MTR approach and data collection methods, limitations to the MTR
 - Structure of the MTR report
 3. Project Description and Background Context (3-5 pages)
 - Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope
 - Problems that the project sought to address: threats and barriers targeted
 - Project Description and Strategy: objective, outcomes and expected results, description of field sites (if any)
 - Project Implementation Arrangements: short description of the Project Board, key implementing partner arrangements, etc.
 - Project timing and milestones
 - Main stakeholders: summary list
 4. Findings (12-14 pages)
 - 4.1 Project Strategy
 - Project Design
 - Results Framework/Logframe
 - 4.2 Progress Towards Results
 - Progress towards outcomes analysis
 - Remaining barriers to achieving the project objective
 - 4.3 Project Implementation and Adaptive Management
 - Management Arrangements
 - Work planning
 - Finance and co-finance
 - Project-level monitoring and evaluation systems
 - Stakeholder engagement
 - Reporting
 - Communications
 - 4.4 Sustainability
 - Financial risks to sustainability
 - Socio-economic to sustainability
 - Institutional framework and governance risks to sustainability
 - Environmental risks to sustainability
 5. Conclusions and Recommendations (4-6 pages)
 - 5.1 Conclusions
 - Comprehensive and balanced statements (that are evidence-based and connected to the MTR's findings) which highlight the strengths, weaknesses and results of the project
 - 5.2 Recommendations
 - Corrective actions for the design, implementation, monitoring and evaluation of the project
 - Actions to follow up or reinforce initial benefits from the project
 - Proposals for future directions underlining main objectives
 6. Annexes
 - MTR ToR (excluding ToR annexes)
 - MTR evaluative matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)
 - Example Questionnaire or Interview Guide used for data collection
 - Ratings Scales
 - MTR mission itinerary
 - List of persons interviewed



- List of documents reviewed
- Co-financing table (if not previously included in the body of the report)
- Signed UNEG Code of Conduct form
- Signed MTR final report clearance form
- *Annexed in a separate file:* Audit trail from received comments on draft MTR report
- *Annexed in a separate file:* Relevant midterm tracking tools (*METT, FSC, Capacity scorecard, etc.*)

ToR ANNEX C: Midterm Review Evaluative Matrix Template

Evaluative Questions	Indicators	Sources	Methodology
Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results? (include evaluative question(s))	(i.e. relationships established, level of coherence between project design and implementation approach, specific activities conducted, quality of risk mitigation strategies, etc.)	(i.e. project documents, national policies or strategies, websites, project staff, project partners, data collected throughout the MTR mission, etc.)	(i.e. document analysis, data analysis, interviews with project staff, interviews with stakeholders, etc.)

Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?

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

Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?

ToR ANNEX D: UNEG Code of Conduct for Evaluators/Midterm Review Consultants⁹⁹

Evaluators/Consultants:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

MTR Consultant Agreement Form

Agreement to abide by the Code of Conduct for Evaluation in the UN System:

Name of Consultant: _____

Name of Consultancy Organization (where relevant): _____

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at _____ (Place) on _____ (Date)

Signature: _____

ToR ANNEX E: MTR Ratings

Ratings for Progress Towards Results: (one rating for each outcome and for the objective)

6	Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as "good practice".
5	Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
4	Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
3	Unsatisfactory (MU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.

⁹⁹ www.undp.org/unegecodeofconduct

- 1 Highly Unsatisfactory (HU) The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets.

Ratings for Project Implementation & Adaptive Management: (one overall rating)

- 6 Highly Satisfactory (HS) Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as “good practice”.
- 5 Satisfactory (S) Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
- 4 Moderately Satisfactory (MS) Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
- 3 Moderately Unsatisfactory (MU) Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
- 2 Unsatisfactory (U) Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
- 1 Highly Unsatisfactory (HU) Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

Ratings for Sustainability: (one overall rating)

- 4 Likely (L) Negligible risks to sustainability, with key outcomes on track to be achieved by the project’s closure and expected to continue into the foreseeable future
- 3 Moderately Likely (ML) Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review
- 2 Moderately Unlikely (MU) Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
- 1 Unlikely (U) Severe risks that project outcomes as well as key outputs will not be sustained

ToR ANNEX F: MTR Report Clearance Form

(to be completed by the Commissioning Unit and the UNDP-GEF Regional Technical Advisor)

Midterm Review Report Reviewed and Cleared By:	
Commissioning Unit	
Name: _____	
Signature: _____	Date: _____
UNDP-GEF Regional Technical Advisor	
Name: _____	
Signature: _____	Date: _____

Annex 2: MTR Evaluative Matrix

Evaluative Questions	Indicators	Sources	Methodology
Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?			
1. Does the project address the necessary factors to bring about positive changes in mainstreaming sustainability in seafood supply chains to rebuild & protect fish stocks & livelihoods?	Degree that the necessary factors are addressed (by the project or others) to bring about positive changes in mainstreaming sustainability in seafood supply chains to rebuild & protect fish stocks & livelihoods	Project documents, particular the logic in the ProDoc; documents from other institutions; Target 75 initiative	Document review. Stakeholder interviews: UNDP, SFP, Country governments, private sector. Questionnaire.
Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?			
2. Project Objective: As a result of the project, to what extent is sustainability mainstreamed into seafood supply chains through market & policy mechanisms & partnerships, with the overarching goal of rebuilding & protecting fish stocks & livelihoods?	Landings from fisheries either certified sustainable or making regular, verifiable improvements.	Target 75 Initiative Annual Reports. APR/PIR GEF Tracking tool	Document review. Stakeholder interviews: UNDP, SFP, Country governments, private sector. Questionnaire.
3. Outcome (O) 1: As a result of the project, is there increased global market demand for sustainable certified marine commodities & an associated reduction of IUU fisheries?	1a. No of fisheries (in targeted fisheries) sourced by SFP partners & either in FIP or MSC certified. 1b. Number of international seafood buyers ('buyers' = SFP partners plus suppliers to SFP partners) with sustainable seafood purchasing policies	SFP Metrics Annual Report; APR/PIR GEF Tracking tool	Document review. Stakeholder interviews: UNDP, SFP, Country governments, private sector. Questionnaire?
4. O2: As a result of the project, have RFMOs adopted CMMs & CPCs adopted more science-based & sustainable practices through engaging international value chains?	2. No of buyers with procurement policies for tuna that include support of more effective CMMs for tuna, sharks and LPF in IATTC and WCPFC ¹⁰⁰ [No of CMMs adopted by IATTC & WCPFC as a result of the project. ¹⁰¹]	SFP Annual report of IATTC and WCPFC meeting ¹⁰² APR/PIR GEF Tracking tool	Document review. Stakeholder interviews: UNDP, SFP, Country governments, private sector; RFMOs.
5. O3: As a result of the project, is there increased synergy & involvement of international & national players in sustainable seafood value chains?	3a Number of Sustainable Marine Commodities Platforms 3b. Number of Sustainable Fisheries Action Plans under implementation (by partners)	Legal instruments adopting the SFAPs APR/PIR GEF Tracking tool	Document review. Stakeholder interviews: UNDP, SFP, Country governments, private sector. Questionnaire?
6. O4: As a result of the project, is there increased sustainability (improved management, sustainable exploitation, improved MCS, reduced IUU) in the fisheries targeted by the FIPs?	4a. Number of FIPs uploaded to FisheryProgress.org, have progressed by at least one grade, or have maintained an 'A' grade. 4b. Private investment in FIPs 4c. Number of fisheries in certification process (have entered process, undergoing assessment, or have been certified) 4d. FishSource scores	FishSource (Fishery) FIP Progress Metrics ¹⁰³ APR/PIR GEF Tracking tool	Document review. Stakeholder interviews: UNDP, SFP, Country governments, private sector. Questionnaire?
7. O5: As a result of the project, is reliable & verifiable information more available to & used more by the value chain stakeholders for decision making & engagement in FIPs?	5a. Number of registered users 5b. Number of visitors (average visitors per month to the site) 5c. Level of satisfaction	FishSource SFP Fishery Progress (FIP Directory): Metrics APR/PIR GEF Tracking tool Survey reports from SFP	Document review. Stakeholder interviews: UNDP, SFP, Country governments, private sector. Questionnaire?

¹⁰⁰ Such measures may be adopted either by national authorities or by global, regional or subregional fisheries organizations, subject to the rights and obligations of their members, or by treaties or other international agreements.

¹⁰¹ In square brackets is the original indicator in the ProDoc.

¹⁰² Are buyers' statements & policies really recorded in these documents

¹⁰³ Fisheryprogress.org

Evaluative Questions	Indicators	Sources	Methodology
	5d. Number of scientific reports published by technical experts contracted by the project		
8. O6: As a result of the project, have best practice documents increased stakeholders' mainstreaming of sustainability into seafood value chains?	6a Number of visitors of best practice documents 6b Level of utility of best practice documents	APR/PIR GEF Tracking tool	Stakeholder interviews: IPCU
Project Implementation and Adaptive Management: Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?			
9. Are project management arrangements clear, transparent and effective?	Effectiveness of changes in management arrangements. Clarity of reporting lines. Capacity within the team on gender.		
10. Is the project cost-effective?	Disbursement rates. Financial controls. Co-financing levels. Value for money (expenditure wrt results).	IPCU reports. APR/ PIR	Document review. Triangulation with partners.
11. Are project/programme results (outputs, outcomes, impacts) qualitatively & quantitatively demonstrated through regular collection and analysis of monitoring data?	Rate of reporting on indicators Quality of narrative in reports (covering all levels of logframe?)	APR/PIR GEF Tracking Tool	Document review. Stakeholder interviews UNDP, SFP
12. Does the project/programme team use these findings, as well as those from related projects/efforts, to strengthen their work and performance?	Quality of effective changes to strategy & mitigation actions. No of adaptive proposals presented to PSC.	PSC Minutes APR/PIR	Document review. Stakeholder interviews: UNDP, SFP
13. Is learning documented and shared for project/programme and organizational learning?	Degree or specific reference to lessons learnt. Reach & impact of communications.	PSC Minutes APR/PIR	Document review. Stakeholder interviews: UNDP, SFP
Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?			
14. Have most or all factors for ensuring sustainability (financial, institutional, economic, social/gender, environmental) of results/impacts been established?	Status of appraisals & analyses: Financial (Global, FIPs); Economic (Global); Institutional (SFP; Partner countries; Platforms) Social/Gender (UNDP, FIPs)	Project & partners' Analyses Policy documents APR/ PIR	Document review. Stakeholder interviews: UNDP, SFP, Country governments, private sector. Questionnaire?
15. Have scaling up mechanisms been put in place with risks and assumptions re-assessed and addressed?	Status of assumptions in LF & Risk Matrix. Synergies with other initiatives (government, national, international, other projects)	APR/PIR	Document review. Stakeholder interviews: UNDP, SFP, Country governments, private sector. Questionnaire?

Annex 3: Progress towards Results Matrix

Project Strategy	Indicator ¹⁰⁴	Baseline Level	Level in 1 st PIR (self-reported)	Level in 2 nd PIR (self-reported)	End-of-project Target	Midterm Level & Assessment ¹⁰⁵	Achievement Rating ¹⁰⁶	Notes on Indicator Scores & Justification for Rating
Objective: To mainstream sustainability into seafood supply chains through market and policy mechanisms and partnerships with the overarching goal of rebuilding and protecting fish stocks and livelihoods	Landings from fisheries either certified sustainable or making regular, verifiable improvements.	2017: 14.9 million tonnes	n/a	15.9 Dec18	>15.4 million tonnes	15.9 million tonnes	MS	The MTR recognises that the target according to the indicator has been achieved, but as with all indicators, it is an indicator, and not a full measure of achievement. The project may be on target to support the achievement or certification of 500,000 Metric tonnes per annum, a significant contribution given the overall budget. But other concerns must be recognised when making an assessment. The reservations voiced in the discussions on the Outcomes in the following sections must filter up to the Objective, and for that reason a rating of MS
Outcome 1: Increased global market demand for sustainable certified marine commodities and associated reduction of IUU fisheries	1a. Number of fisheries for the targeted commodities (tuna, large pelagics, blue swimming crab and octopus) that are sourced by SFP partners and their suppliers and that are either in a FIP or MSC certified	Tuna: 36 (20 FIP, 16 MSC) LPF: 20 (13 FIP, 7 MSC) Crab: 9 (All FIP) and Octopus: 0 Total: 65	n/a	Tuna 63 (37 FIP, 26 MSC) LPF 15 (10 FIP, 5 MSC) BSC 8 (8 FIP) Octopus (0 FIP, 0 MSC) Total 88	Year 2. >10% increase (72) Year 4. >20% increase (78)	Tuna 63 (37 FIP, 26 MSC) LPF 15 (10 FIP, 5 MSC) BSC 8 (8 FIP) Octopus (0 FIP, 0 MSC) Total 88	S	One of the indicators has been achieved and one is on target. There is manifest increased demand for sustainable marine commodities, but room for small improvements in the SRs, and a need for this activity to continue to the end of the project.

¹⁰⁴ Indicator, Baseline & Target populated with approved logframe & indicator update 07Jul19.

¹⁰⁵ This column to be colour-coded.

¹⁰⁶ The 6-point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU to be used.

Project Strategy	Indicator ¹⁰⁴	Baseline Level	Level in 1 st PIR (self-reported)	Level in 2 nd PIR (self-reported)	End-of-project Target	Midterm Level & Assessment ¹⁰⁵	Achievement Rating ¹⁰⁶	Notes on Indicator Scores & Justification for Rating
	1b. Number of international seafood buyers ('buyers' = SFP partners plus suppliers to SFP partners) with sustainable seafood purchasing policies	0	n/a	7	Year 3.>9 Year 4.>15	8 ¹⁰⁷		
Outcome 2 :Increased pressure on RFMOs and their Contracting Parties to adopt more sustainable and science-based practices for shark and tuna conservation and management measures through engagement of international value chains	2. Number of buyers ('buyers' = SFP partners plus suppliers to SFP partners) with procurement policies for tuna that include support of more effective CMMS for tuna, sharks and LPF in IATTC and WCPFC	0	IATTC 1 WCPFC 1	IATTC 3 WCPFC 1	Year 2. >2 (IATTC = 1; WCPFC = 1) Year 4. >4 (IATTC = 2; WCPFC = 2)	IATTC 4 ¹⁰⁸ WCPFC 1	S	There is increased pressure on RFMOs through various letters, from national delegates and industry groupings. Though beyond the remit of the project, it is too early to evaluate the adoption of improved practices by the RFMOs and CPCs. Continued pressure is appropriate and is likely through SFP.
Outcome 3 : Increased synergy and involvement of national and	3a Number of Sustainable Marine Commodities Platforms	1 ¹⁰⁹	1	3	Year 2: >3 Year 3: 5	5 ¹¹⁰	MS	

¹⁰⁷ Publix updated their seafood policy and made it public in July 2019: <https://blog.publix.com/publix/why-sustainable-seafood-matters/> Jealsa, which updated its policy in May 2018 and therefore is not double-counted, updated it again in July 2019 and developed its WeSea, publicizing their CSR engagements, disclosing their commitments in terms of responsible sourcing, and publicizing their SFP partnership and support for Target 75 and SDGs (July 2019). <https://wesea.es/jealsa-y-sfp-trabajan-juntas-en-materia-de-sostenibilidad-pesquera/> and <https://wesea.es/en/>

¹⁰⁸ The NGO tuna forum IATTC campaign was launched on June 24, (coordinated by the NGO Tuna Forum with SFP's input). Priorities are strengthening the regulation of at-sea trans-shipment and requiring 100% observer coverage on industrial tuna fishing vessels – primarily longline and trans-shipment vessels
[http://www.iatct.org/Meetings/Meetings2019/IATTC-94/OtherDocs/_English/IATTC-94-OTR_Non-Governmental Organizations \(NGO\) Tuna Forum letter.pdf](http://www.iatct.org/Meetings/Meetings2019/IATTC-94/OtherDocs/_English/IATTC-94-OTR_Non-Governmental Organizations (NGO) Tuna Forum letter.pdf)

¹⁰⁹ By November 2017, the GMC project had supported project implementation in Costa Rica for over one year, and UNDP/Costa Rica had established the [Large Pelagic Sustainable Fisheries platform](#).

¹¹⁰ Indonesia officially launched its sustainable marine commodity platform under the umbrella of the SDG 14 national working group.

Both of Philippines' Technical Working Groups are now functioning and have met. CRI completed.

ECU Small Pelagics launched and meetings scheduled for 2019.

ECU Large Pelagic Platform still in the conceptual design phase. Targeted for launch in 2020, bringing the total # of platforms to 6

Project Strategy	Indicator ¹⁰⁴	Baseline Level	Level in 1 st PIR (self-reported)	Level in 2 nd PIR (self-reported)	End-of-project Target	Midterm Level & Assessment ¹⁰⁵	Achievement Rating ¹⁰⁶	Notes on Indicator Scores & Justification for Rating
international players (i.e., retailers, traders, processors, fishermen and fisheries authorities) in sustainable seafood value chains	3b. Number of Sustainable Fisheries Action Plans under implementation	5 ¹¹¹	5	6	Year 3: >6 Year 4: 9	6		There is increased synergy and involvement of national and international players, which bodes well for the fisheries involved and is consistent with GCP methodology. In view of the reservations with regard to the operation of the platforms, the involvement of international players in these, institutional anchoring and strengthening, the late starts, and financing, the MTR gives a rating of moderately satisfactory.
Outcome 4: Increased sustainability scores of marine commodities purchased from project fisheries	4a. Number of FIPs uploaded to FisheryProgress.org, have progressed by at least one grade, or have maintained an 'A' grade.	6 ¹¹²	6 (with Tunacons)	6 (with Tunacons)	Year 3: >8 Year 4: >10	7	MS	It is too early to say whether most fisheries have demonstrated improvements in sustainability to date, but indicators on the performance of FIPs are on target. The MTR is concerned about the realism and financing of some of the FIP plans, and the late start in the project cycle of some FIPs and therefore gives a rating of MS.
	4b. Private investment in FIPs (USD)	250,000/year	50,000 one off ECU small pelagics	330,000	Year 3: ≥US\$1,500,000/year	330,000		
	4c. Number of fisheries in certification process (have entered process, undergoing assessment, or have been certified)	Fisheries entered into certification process: 0	0	2 (with Tunacons)	Year 3: >2 Year 4: >3	1		
	4d. MSC & FishSource scores	Presented in the table Indicator 4d Baselines below			Presented in the table Indicator 4d Baselines below	In 4 fisheries there was an improvement in at least 2 scores		

¹¹¹ Costa Rica: O. Ecuador: PAN-Dorado, PAT-EC. Indonesia: Indonesia National Tuna Management Plan and Indonesia Blue Swimming Crab Management Plan. Philippines: The Philippine Blue Swimming Crab Management Plan.

¹¹² ECU Tuna Purse Seine (TUNACONS); ECU Mahi Mahi Longline; PHI Blue Swimming Crab bottom-set gillnet and pot/trap; IND Yellowfin Tuna Pole and Line; IND Skipjack Tuna Pole and Line; IND Blue Swimming Crab gillnet/trap.

Project Strategy	Indicator ¹⁰⁴	Baseline Level	Level in 1 st PIR (self-reported)	Level in 2 nd PIR (self-reported)	End-of-project Target	Midterm Level & Assessment ¹⁰⁵	Achievement Rating ¹⁰⁶	Notes on Indicator Scores & Justification for Rating
Outcome 5: Reliable and verifiable information of target marine commodities is publicly available and is used by value chain stakeholders for decision making and engagement in fishery improvement projects	5a. Number of registered users	FishSource : 2,270 Metrics: 1,381	Fishsource 7,135 Metrics 1,287	FS 5,490 Metrics 1,636	FS Year 3: >15% increase FS Year 4: >25% increase Metrics Year 3: >10% increase Metrics Year 4: >20% increase	FS achieved; Metrics on target. FS 5,710 (151.5% up on BL) Metrics 1,688 users (20.8% up on BL)	S	The instruments are available and used, but this was the case before the project started. Because it has not been possible to determine the progress on satisfaction, and because progress on scientific papers is behind schedule. These reservations will probably be addressed before the end of the project, the MTR assesses progress towards this outcome as S: Satisfactory, with only minor shortcomings.
	5b. Number of visitors (average visitors per month to the site)	FishSource : 2,019 FisheryProgress (FIP Directory): 1,155	FS 3,447¹¹³ Fisheryprogress FIP directory n/a	FS 7,325 FIP Directory 2,227	Year 3: >15% increase Year 4: >30% increase	FS 6,886 FIP Directory 2,283		

¹¹³ See Table 5b below

Project Strategy	Indicator ¹⁰⁴	Baseline Level	Level in 1 st PIR (self-reported)	Level in 2 nd PIR (self-reported)	End-of-project Target	Midterm Level & Assessment ¹⁰⁵	Achievement Rating ¹⁰⁶	Notes on Indicator Scores & Justification for Rating
	5c. Level of satisfaction (in terms of meeting user expectations) of information users for each site (exceeds expectations =3; meets expectations = 2; below expectations = 1; averaging scores for all areas)	FishSource : NA ¹¹⁴ Metrics: NA FisheryProgress (FIP Directory): NA	n/a	n/a	Year 1: baseline for all sites. ¹¹⁵ Year 3: average=2 Year 4: average=2.5	Year 2 weighted means (baseline) FishSource: ¹¹⁶ Information Content: 2.06 Organization: 2.21 Navigation: 2.55 Combined: 2.27 Metrics: ¹¹⁷ Information Content: 2.16 Organization: 2.11 Navigation: 2.35 Combined: 2.22 FisheryProgress /FIP Directory: Overall satisfaction 2.07 ¹¹⁸		
	5d. Number of scientific reports published by technical experts contracted by the project	0	n/a	0	Year 2: 2 Year 4: 4	0		

¹¹⁴ IPCU: A baseline was not taken in Year 1, as the M&E Specialist was not hired until the end of year 1.

¹¹⁵ IPCU: The project does not see the value in performing two additional measurements of this indicator, since, significant improvements were made to FishSource between the ProDoc design and project implementation, and additional updates to FishSource over the coming years will not be significant, rather small tweaks can be made in response to comments received in baseline survey. The project proposes removing the year 3 measurement, and leaving in a final year 4 measurement to gauge whether there has been any improvement in user satisfaction

¹¹⁶ IPCU: 30 question survey, participants given 2 months to respond. Received 31 responses. Weighted averages reported.

¹¹⁷ IPCU: 18 question survey, participants given 1 month to respond. Received 100 responses. Weighted averages reported.

¹¹⁸ IPCU: Since the ProDoc was written, the FIP Directory has migrated to the FisheryProgress.org website, which is managed by the NGO FishChoice. Since the project does not have interaction with FishChoice, the survey to measure user satisfaction with the SFP-run FIP rating information was conducted by collecting feedback regarding the FIP rating information published on FishSource profiles. There were only two questions related to general satisfaction of the FIP rating section of the FishSource profiles, which is why results are presented as "overall satisfaction."

Project Strategy	Indicator ¹⁰⁴	Baseline Level	Level in 1 st PIR (self-reported)	Level in 2 nd PIR (self-reported)	End-of-project Target	Midterm Level & Assessment ¹⁰⁵	Achievement Rating ¹⁰⁶	Notes on Indicator Scores & Justification for Rating
Outcome 6: Better knowledge management on mainstreaming sustainability into seafood value chains	6a Number of visitors of best practice documents	0	n/a	n/a	Year 2: 0 Year 3: >750 total Year 4: >1500 total	n/a	MS	In view of the reservations regarding the availability of resource documents, which might have included documented training materials and guidelines for the different components, and sparse links between the project's web site and those of its partners, and their contents, the MTR attributes a grading of moderately satisfactory (MS): The outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
	6b Level of utility of best practice documents (exceeds expectations =3; meets expectations = 2; below expectations = 1; averaging scores for all areas)	0	0		Year 2: n/a Year 3: 2 average ¹¹⁹ Year 4: 2.5 average	n/a		

Indicator Assessment Key

Green= Achieved

Yellow= On target to be achieved

Red= Not on target to be achieved

¹¹⁹ Three-point scale: 3: exceeds expectations, 2: meets expectations, 1: below expectations

Indicator 4d Baselines & Level at MTR

Country	Baseline ¹²⁰ & Level at MTR ¹²¹ per Fishery addressed by GMC FIPs						1 st PIR (self-reported)	2 nd PIR (final)	End-of-project Target ¹²²	MTR Level & Assessment
Costa Rica	<u>CRI Mahi-mahi</u> (longline) BL score 1: <6 score 2: ≥6 score 3: ≥6 score 4: ≥6 score 5: ≥6 MTR Score 1: ≥6 (+1) Score 2: ≥6 (0) Score 3: ≥6 (0) Score 4: Not yet scored (n/a) Score 5: Not yet scored (n/a) https://www.fishsource.org/stock_page/1036 Improvement of score 1,		<u>CRI Tuna Yellowfin</u> (longline) BL Score 1: ≥6 Score 2: ≥6 Score 3: ≥6 Score 4: 7.96 Score 5: 8.56 MTR Score 1 ≥ 8(+2) Score 2 ≥ 6(0) Score 3 ≥ 6(0) Score 4 10(+2) Score 5 8.6(+0.1) . Improvement of scores 1, 4		<u>CRI Swordfish</u> (longline) BL Score 1: <6 Score 2: <6 Score 3: ≥6 Score 4: ≥6 Score 5: ≥8 MTR Score 1: <6(0) Score 2: ≥6(1) Score 3: ≥6(0) Score 4: 10(4) Score 5: ≥8(0) Improvement of scores 2, 4		In 2 fisheries there was an improvement in at least two scores	In 5 fisheries there was an improvement in at least 2 scores	Year 1: baseline FishSource scores for all fisheries Year 3: For 50% of the target fisheries (50% = 5 fisheries) there is an improvement of at least one level (levels = <6, ≥6, and ≥8) in 2 of the 5 FishSource scores	In 4 fisheries there was an improvement in at least 2 scores ¹²⁴ . NB Re PIR 2019 indicators: ¹²⁵ Re PIR 2019 reporting: ¹²⁶ 127 128 129 ¹³⁰
	<u>ECU Mahi-mahi</u> (longline) Indirect BL	<u>ECU Yellowfin</u> (Pole and Line) Indirect	<u>ECU Skipjack</u> (Pole and	<u>ECU Skipjack</u> (PS) Indirect	<u>ECU Bigeye</u>	<u>ECU Yellowfin Tuna</u>				

¹²⁰ Sourced from revised indicator logframe.

¹²¹ Sourced from PIR & IPCU

¹²² Populated with approved logframe & indicator update 07Jul19.

¹²⁴ GMC must reconsider their sample of fisheries, as there is inconsistency between: (a) those in the revised PIR 2019 indicators (n=15) -CRI DOL longline; -CRI YFT longline ; -CRI SWO longline; -ECU DOL longline; -ECU YFT P&L; -ECU SKJ P&L;124 -ECU SKJ Purse seine; -ECU Chub Mackerel; -ECU Frigate tuna; -ECU Thread herring; -PHL BSC all gear; -[PHL OCT?] all gear; -IDN BSC all gear; -[IDN SKJ?] P&L -IDN YFT P&L; and (b) those in PIR 2019 reporting (n=11); -CRI DOL longline; -CRI YFT longline ; -CRI BET EPO; NEW -CRI SKJ EPO; NEW - ECU DOL longline; -ECU BET longlines NEW -ECU YFT Purse seine; NEW -IDN BSC; -IDN BET; NEW -PHL BSC; -PHL OCT

¹²⁵ ECU SKJ These ECU pole and line profiles do not exist yet, but project is currently supporting their development.

¹²⁶ IPCU: CRI BET EPO This was supposed to be ECU BET and SKJ Purse Seine, as reported on FishSource. The CRI and ECU stocks for these fish are considered the same, and specific gear/flag profiles for CRI have not yet been developed

¹²⁷ IPCU: CRI SKJ EPO This was supposed to be ECU BET and SKJ Purse Seine, as reported on FishSource. The CRI and ECU stocks for these fish are considered the same, and specific gear/flag profiles for CRI have not yet been developed

¹²⁸ IPCU: ECU BET longlines To be removed from future reporting

¹²⁹ IPCU: ECU YFT Purse seine This should be included as per the project's indirect support to the TUNACONS FIP. I now added the baseline to the table. MTR estimates that GMC's limited support does not merit its inclusion.

¹³⁰ IPCU: IDN BET To be removed from future reporting.

Country	Baseline ¹²⁰ & Level at MTR ¹²¹ per Fishery addressed by GMC FIPs									1 st PIR (self-reported)	2 nd PIR (final)	End-of-project Target ¹²²	MTR Level & Assessment	
	score 1: <6 score 2: ≥6 score 3: ≥6 score 4: ≥6 score 5: ≥6 MTR 1≥ 6(+1) 2≥ 6(0) 3≥ 6(0) 4Not yet scored(n/a) 5Not yet scored(n/a) Improvement in score 1. This is considered the same fishery as CRI Mahi-mahi.	No developed baseline	profile at	(Line) Indirect No profile at baseline	<u>BL</u> 1: ≥6 2: ≥6 3: ≥6 4: ≥8 5: ≥8 MTR 1: ≥6(0) 2: ≥6(0) 3: 6(0) 4: ≥8(0) 5: ≥8(0) No improvement	(Purse Seine) ¹³¹ Indirect BL 1: ≥6 2: ≥6 3: ≥6 4: 7.1 5: 8.4	(Purse Seine) Indirect BL 1: ≥6 2: ≥6 3: ≥6 4: 7 5: 7.5 MTR 1≥ 8(+1) 2≥ 6(0) 3≥ 6(0) 4=10(+3) 5=8.6(+1.1) Improvement in scores 1, 4 and 5.	1:<6 2:≥6 3:n/a 4: <6 5: n/a MTR 1: <6(0) 2: ≥6(0) 3: n/a 4: n/a 5: n/a No improvement	No profile developed at baseline MTR 1: <6 2: ≥6 3: /a 4: /a 5:n/a	No profile developed at baseline MTR 1: <6 2: ≥6 3: <6 4: <6 5: n/a			(assuming not ≥8) ¹²³ Year 4: For 80% of the target fisheries (80% = 8 fisheries) there is an improvement of at least one level (levels = <6, ≥6, and ≥8) in 2 of the 5 FishSource scores (assuming not ≥8)	
Philippines	<u>PHL BSC</u> (all gear profiles) BL Score 1: ≥6 Score 2: ≥6 Score 3: <6 Score 4: n/a Score 5: <6 MTR 1 ≥ 6 (0) 2 ≥ 6 (0) 3 < 6 (0) 4 < 6 (+1) 5 < 6 (0) Improvement in score 4.				<u>PHL Octopus</u> (all gear profiles traps, vertical lines & harpoons) No profile developed at baseline MTR 1 ≥ 6 (0) 2 Data deficient n/a 3 ≥ 6 (0) 4 Data deficient n/a 5 Data deficient n/a No improvement (profiles created by GMC project in Q1, 2019).									
Indonesia	<u>IDN BSC</u>			<u>IDN Skidjidi</u> Tuna Pacific Ocean		<u>IDN Yellowfin Tuna Pacific Ocean</u>								

¹³¹ IPCU added this and YFT to the table to account for the project's indirect support to TUNACONS; MTR does not believe it is merited.

¹²³ IPCU note: As noted, we will identify THREE levels of FS scores: <6, ≥6, and ≥8. If a score is 8 or above– and we do have scores in the range of 9 and 10 – it will count the same as a score of 8 exactly.

Country	Baseline ¹²⁰ & Level at MTR ¹²¹ per Fishery addressed by GMC FIPs			1 st PIR (self-reported)	2 nd PIR (final)	End-of-project Target ¹²²	MTR Level & Assessment
	(all gear profiles) BL Score 1: ≥6 Score 2: ≥6 Score 3: <6 Score 4: <6 Score 5: <6 <u>MTR</u> 1 ≥ 6(0) 2 ≥ 6(0) 3 < 6(0) 4 < 6(0) 5 < 6(0) No improvement	(Pole and Line) BL Score 1: ≥8 Score 2: ≥8 Score 3: <6 Score 4: 10.0 Score 5: 9.52 MTR Score 1: ≥6(-1) Score 2: ≥6(+1) Score 3: ≥6(0) Score 4: 10(0) Score 5: 10(+.48) Improvement in scores 2, 5 (but this last not to be counted see footnote 123)	(Pole and Line) BL Score 1: ≥6 Score 2: ≥6 Score 3: <6 Score 4: 7.6 Score 5: 7.6 MTR Score 1: ≥6(0) Score 2: ≥6(0) Score 3: ≥6(+1) Score 4: 9.5(+1.9) Score 5: 8.8(+1.2) Improvement in scores 3, 4, 5				

Table for indicator 5b

Site	Average monthly site visitors				
	Baseline	PIR 2018	Q1 2019	Q2 2019	Q3 2019
FishSource.org	2,019	3,447	5,397	7,325	6,886
FisheryProgress.org (FIP Directory)	1,155	n/a	1,837	2,227	2,283

Annex 4: Questionnaire & Stakeholder ratings - detail

CONFIDENTIAL¹³² STAKEHOLDER RATING AGAINST EVALUATIVE QUESTIONS (Stakeholders would only answer questions against the Outcomes you are involved in); you may refer to the attached updated project logframe.

Stakeholders are kindly asked to assign the project/programme a Rating and Score for each criterion as indicated in the Ratings Matrix below (see Annex 5).

Stakeholders are also kindly asked to provide a brief justification for the rating and score assigned. Identify most notable strengths to build upon as well as highest priority issues or obstacles to overcome. If you are unsure about how to rate or respond to any evaluative question below, or for those project outcomes that do not correspond to the activities that you are involved in, please enter “n/a” in the righthand column.

Rating/ Score	Evaluative Question	Stakeholder Rating/ Score	Stakeholder Brief Justification (please comment in each one of the boxes below)
1 Strategy	1. Does the project address the necessary factors to bring about positive changes in mainstreaming sustainability in seafood supply chains to rebuild & protect fish stocks & livelihoods?	N/A A score is not required [- 5 -] ¹³³	<p>Yes, the project itself helps to all parts of the supply chain in the four countries to better understand the sustainability demands of the global seafood market, and also allow them to realise of the role and the responsibilities each stakeholder has to play to achieve sustainability while getting the recognition of the market for the improvements taken and changes made in the process</p> <p>With regards to promoting Fisheries Improvement Projects (FIPs) in The Philippines, the work with blue swimming crab (BSC) and octopus supply-chains at domestic and international level has supported the following factors to stimulate this positive change: for BSC, the project is strengthening the FIP generating science-based information to establish reference points more appropriate for the BSC, a work that is being done in agreement with the FIP coordinator, with BFAR and with the National Stock Assessment Programme (NSAP). This will allow to better assess and manage BSC stocks, with the information being used to develop more rigorous policies, such as the National Management Plan. This work with reference points was a specific requirement of the Seafood watch programme (to support the process to change their red rating to yellow) and will also contribute to improve MSC and Fishsource profile ratings.</p> <p>For octopus, the project is creating the enabling conditions to launch an octopus FIP (basic) led by the industry, engaging domestic value-chain and involving international market leverage. The goal of the FIP will be to conduct the first octopus stock assessment in The Philippines to be able to establish reference points and harvest control rules to better manage the fishery, contributing as well to the development of more rigorous policies, such as the National Management Plan. Seafood Watch rates this fishery as red (avoid) and, together with the Fishsource profile for this specie, points the lack of information on the status of octopus and inadequacy of the fishery management as key factors for this rating. It is expected that the FIP will improve this rating</p> <p>Yes, as it institutionalizes key elements that would galvanize this change: (i) a strong and functioning multi-stakeholder platform for dialogue and synergy of commodity specific initiatives; and (ii) foundation of local and national policies supporting the changes, such as the National Management Plan</p> <p>1-The project outcomes/components well aligned with the issues identified by the Indonesia’s 5-year National Development Planning as aspects that need to be addressed for fisheries sector</p>

¹³² The questionnaire is confidential in the sense that you will not be quoted on your scores or comments. You will not be quoted in the Mid Term Review Report.

¹³³ Scores are presented as follows: “[high score|number of respondents|lowest score] mean”.

Rating/ Score	Evaluative Question	Stakeholder Rating/ Score	Stakeholder Brief Justification (please comment in each one of the boxes below)
			<p>2-The multi-stakeholder platform established by the project provide the neutral and coordinated space for participation of all stakeholders to mainstream sustainability according to each stakeholder’s role. The platform is established under the coordinated effort towards SDGs that has been mandated through Presidential Regulation.</p> <p>3-The support for Fisheries Improvement Project provides model and best practices for improving sustainability in the seafood supply chain, which directly impacted fish stocks and livelihood of coastal community</p> <p>The data and information collected through stakeholder engagements are contributing for development of 5-year National Development Planning in fisheries sector</p> <p>Yes. The project builds upon already existing mechanisms of BFAR and attempts to strengthen them. This includes the Technical Working Groups, the National management plans, and the Fishery Management Areas (FMAs) system and the new paradigms of the new Secretary for Agriculture. All of which are aligned with the development role of government, including sustainability of seafood supply chains</p> <p>In my opinion, yes the project has addressed all the necessary factors to: a) using market forces to engage stakeholders of the all supply chain in the improvements of the fisheries, and b) providing support to generate scientific information. Also, the project is developing platforms to have transparent and participatory decision-making processes. These three elements are essential to bringing positive changes to rebuild and protect fish stocks and livelihoods</p>
<p>2 Progress Towards Results</p>	<p>2. Project Objective: As a result of the project, to what extent is sustainability mainstreamed into seafood supply chains through market & policy mechanisms & partnerships, with the overarching goal of rebuilding & protecting fish stocks & livelihoods?</p>	<p>[high score n low score] mean [6 6 4] 5.0</p>	<p>The project is key to mainstream sustainability in two different ways;</p> <p>1 – Through increasing awareness of the improvement work being done in each of the fisheries covered under the project within the current supply chain that place the seafood products in the market. This increased awareness provides current national supply chain actors with the required tools to better market these products into those markets with higher sustainability demands. The possibility of marketing these products into markets that where till now blocked due to the lack of sustainability evidences, empower national supply chain actors from the four countries to request and support policy mechanisms that will ensure in the long term the sustainability of the resources in order to keep the doors of this high sustainability demand markets open.</p> <p>2 – Generating commercial advantages for the products coming from the fisheries under the project. Once national supply chain actors placing these seafood products in the market place value and have public evidences of the improvement work being done to ensure sustainability in the fisheries the relay on, then they can provide clients in other markets with increasing or low sustainability demands with public and reliable information that generates a competitive advantage. This advantage (sustainability component in a given product) is then requested by seafood buyers to other fisheries that compete or fight for that market niche, making other origins and fisheries aware of the need of engaging in sustainability to keep access to the market.</p> <p>The project keeps working to mainstream sustainability into the seafood supply-chain of The Philippines octopus and BSC as explained in the answer to question one.</p> <p>On the top of the work described to support the FIPs, the project is catalysing the creation of the Philippines Cephalopod Producers and Exporters Association Inc. (PCPEAI). A group of sixteen producers and exporters, representing the majority of octopus exports in The Philippines, has started the process to constitute the PCPEAI (last meeting celebrated in July 26 to select positions and start the process to legalize the entity). In the initial discussion they wanted to be able to be taken into consideration during the national management plan elaboration and explore the possibility to support the FIP. In fact, the basic FIP document was presented to this group of companies, who showed their initial support.</p>

Rating/ Score	Evaluative Question	Stakeholder Rating/ Score	Stakeholder Brief Justification (please comment in each one of the boxes below)
			<p>Furthermore, the proposed president PCPEAI was invited to participate in the Global Octopus Supply Chain Roundtable (GOSR) held in the Boston Seafood Show in March 2019, giving him an opportunity to showcase the Philippines octopus FIP and to attract importers interest, bringing international market leverage to the FIP.</p> <p>BFAR, PCPEAI and Philippines Association of Crab Processors Inc. (PACPI) (the association leading the BSC FIP) participated in a peer to peer learning for sustainable fisheries management in Galicia, Spain, with the aim to i) understand small-scale fisheries governance and management systems that meet the highest sustainability standards with special focus in small pelagics, octopus and crabs; ii) understand surveillance and control systems used to guarantee enforcement or contribute to the compliance of small-scale fisheries management plans and iii) how catches size selectivity is ensured through management measures and the use of fishing gears : octopus and crabs’ case. This experience has allowed seafood key stakeholders from The Philippines (public and private) to have reference models (private and public) to better manage the fisheries. Given the timeframe and constraints to the project, its performance was exceptionally well. Key policies for the formation of the platform was achieved within first year of implementation, while said platforms were further strengthened and their respective management plans have commenced second year of implementation. In the 3rd year, policies and management plans are expected to begin roll-out, spearheaded by respective commodity platforms</p> <ol style="list-style-type: none"> 1. On market, project support to Fisheries Improvement Projects, which serves as a validation tool for market on the sustainability, contribute to improvement in the tuna and blue swimming crab fisheries in Indonesia 2. On partnership, the establishment of multi-stakeholder platform, help coordinate dialogue, identify bottleneck, and cooperation, towards sustainable fisheries <p>On policy mechanism, the project focus on facilitating revision tuna management plan, channelling input from Fisheries improvement project to policy maker (such as the need for harvest strategy, Fish Aggregating Device management, better data collection, co-management, etc.), channelling input from stakeholders through platform to revitalise the use of Fisheries Management Areas to ensure sustainable management of the fisheries</p> <p>The project is going the right direction. Building upon the answer in no. 1, the project builds upon existing mechanisms of BFAR, and its policy mechanisms, which inherently mainstreams initiatives through policy and government activities ensuring synergy. The different TWG members are working together because of this</p> <p>In the small pelagic fishery, the sustainability mainstreamed is fully integrated into the industrial fleet, fish meal, and fish feed companies. They are funding and implementing a FIP to achieve market sustainability requests. Although the artisanal feet are not part of the FIP, the improvements generated by the FIP will impact them to be more sustainable. Regarding Mahi fishery, producers, processors, international buyers, and suppliers have been informed through roundtables or key vendor groups about the importance of the sustainability for their business and the health of the oceans. Nowadays, they are promoting improvements at the national and regional level</p>
	3. Outcome (O) 1: As a result of the project, is there increased global market demand for sustainable certified	[5 1 5] 5.0	As commented above, marine commodities under the project count now with an improvement work aimed to get a sustainability certification, something that has proved to have a contagious effect on origins supplying the same product and even on other substitute or alternative marine commodities that compete for that market niche. This generates a cascade effect that allows more seafood volume to meet the sustainability requirements of major market operators while allowing others to commit to sour from sustainable sources due to the possibility of finding the products they need from sustainable sources. Without enough offer of sustainable certified products or products with an improvement

Rating/ Score	Evaluative Question	Stakeholder Rating/ Score	Stakeholder Brief Justification (please comment in each one of the boxes below)
	marine commodities & an associated reduction of IUU fisheries?		component, it is difficult for any major seafood buyers to commit in sourcing from sustainable sources, and the project is contributing to increase not only the volumes of raw material from responsible sources in seafood sectors that currently suffer a shortage of sustainable offer, but also helping some seafood sectors to count for the first time with an offer of sustainable products with volumes that can help major buyers to commit in sourcing from certified or improving sources
	4. O2: As a result of the project, have RFMOs adopted CMMs & CPCs adopted more science-based & sustainable practices through engaging international value chains?	[5 3 4] 4.7	<p>Yes, while the national government has already adopted a “science-centered” approach even prior the GMC project, the entry of the project clarified the global interactions, the role of FIPs, and more important new opportunities for synergy and co-financing from buyer networks. These new modes of collaboration resulted in more holistic, synergistic, inclusive, and efficient harmonized approach to sustainable fisheries management.</p> <p>The government has always adopted a science-based approach. The value added of the project is through introduction/ capacity-building of BFAR of global mechanisms that strengthened learnings of government, e.g., buyer and exporter interactions, new FIP perspectives, among others</p> <p>Regarding Mahi fisheries, COREMAHI requested to the IATTC, through their national delegates, to continue with researches of Mahi in the EPO. Although the IATTC approved this request, it is not clear how the research will continue, because there is not a scientific plan to develop this. Also, some requests from the SR and COREAMHI have been widely discussed on, but not adopted. For example, 100% of observer coverage, or improve the use of FADs. For the next RFMOs meetings these requests should be part of a draft resolution to be discussed</p>
	5. O3: As a result of the project, is there increased synergy & involvement of international & national players in sustainable seafood value chains?	[6 5 5] 5.4	<p>Yes. Please see answers to question 2 and 3</p> <p>A good example of increased involvement of national players in sustainable seafood value chains is the process to create PCPEAI and their exposure to the GOSR in Boston Seafood Show. GOSR members have also encourage the creation of the octopus FIP in The Philippines</p> <p>Yes, in addition to the answer to the above question 4, the strengthening of the platforms and the intervention of the GMC project has drastically improved working relationship of stakeholders, and served to broker and avoid miscommunications and misunderstanding between players, resulting into a harmonious partnership with increased synergy and transparency</p> <p>While effort to engage international market mostly conducted by SFP, the project in national level able to promote synergy for sustainable fisheries, through fisheries improvement project and through multi-stakeholder platform. The project also build coordination with other initiatives and organisations who work on fisheries sustainability such as SFP in Indonesia, International Pole and Line Foundation in Indonesia, MSC’s Fish for Good Initiative in Indonesia, and also with Walton Family Foundation and Packard Foundation</p> <p>Yes, the SRs have recruited new participants and have worked activity to requests improvements from fishery authorities. Also, they have supported the implementation of FIPs. COREMAHI members are involved in promoting regional improvements</p>
	6. O4: As a result of the project, is there increased sustainability (improved management, sustainable exploitation, improved MCS, reduced IUU) in the	[6 3 5] 5.3	<p>As referred in answer to question one, the project is supporting the BSC FIPs through the revision of NSAP (National Stock Assessment Program) historical series of data, testing other assessment tools, to establish new reference points specifically tailored to the blue swimming crab. It is anticipated that these new references points will contribute to improve the fisheries management towards its sustainability. This should contribute to change red (avoid) rating from Seafood Watch to yellow (good alternative), improve MSC and Fishsource ratings.</p> <p>There are scarce data about octopus’ production in The Philippines and the specie has never had specific management plans, both facts pointed in Seafood Watch (red rating for the octopus) and Fishsource profile for the octopus in The Philippines. The proposed octopus FIP will set up the basis of a data gathering programme that will allow the conduction of the first assessment of octopus, to establish reference points and harvest</p>

Rating/ Score	Evaluative Question	Stakeholder Rating/ Score	Stakeholder Brief Justification (please comment in each one of the boxes below)
	fisheries targeted by the FIPs?		<p>control rules. The ultimate goal of the FIP is to generate needed data to contribute with science-based information to the specie management plan for the sustainable exploitation of this cephalopod. This should also improve Seafood Watch and Fishsource profiles</p> <p>The FIPs will be re-assessed in the coming weeks. However, given progress since 2018 especially on development of harvest strategy of blue swimming crab and tuna, placement of enumerator dan observer to improve fisheries catch data will increase the score of the FIPs against MSC standard</p> <p>Yes, the Ecuador small pelagic fishery has increased its sustainability-related to:</p> <p>Improve management: Based on hydroacoustic surveys, the managers have set up close periods for this fishery. These surveys are part of the FIP activities.</p> <p>Stock assessments: Currently, the INP with the support of an international expert has conducted stock assessments for nine species. These studies will allow the establishment of reference points and a harvest strategy.</p> <p>IUU fishing: The root cause analysis has identified the main problems related to IUU fishing. This analysis will help to develop a strategy to fight against IUU fishing</p>
	7. O5: As a result of the project, is reliable & verifiable information more available to & used more by the value chain stakeholders for decision making & engagement in FIPs?	[6 3 5] 5.3	<p>Resulting from the project, new FishSource profiles have been generated to enable better decision making by value chain stakeholders. Furthermore, two new FIPs are public as a result from the project, enabling buyers to improve their purchasing decision</p> <p>Catch data collected through enumeration on blue swimming crab fishery, and observer on-board for pole and line tuna fishery have been used for the development of harvest strategy for respective fisheries</p> <p>The Small Pelagic FIP has developed its own webpage, where scientific information and regulations are publicly available. Also, there are new and update Fish Source profiles with relevant information. This information is useful for decision making and engagement in FIPs</p>
	8. O6: As a result of the project, have best practice documents increased stakeholders' mainstreaming of sustainability into seafood value chains?	[5 2 5] 5.0	<p>This is yet to be fully realized but the vision is, at the project level at least, is the collaboration and the heavy integration of the Project Implementation Unit (PIU) of UNDP and BFAR (government implementing partner) in all the project initiatives, the documents and best practices are necessarily shared and institutionalized using already existing national mechanisms, which are thereby translated into policy</p> <p>No best practice document developed yet. The project will start the development of the document in the 1st quarter of 2019 following progress update on the FIPs and finalisation of Action Plan of the Multi-stakeholder Platform</p> <p>Yes, the UNDP project team is integrated in the BFAR office under the supervision of the BFAR-CFD Chief as the National Platform Coordinator. This helps in synergy of activities and learnings for application in other BFAR activities</p>
3 Project Implementation & Adaptive Management	9. Are project management arrangements clear, transparent and effective?	[6 5 5] 5.2	<p>Project management arrangements are clear, transparent and effective within the three partners working in The Philippines.</p> <p>Probably, in the remaining time of the project BFAR should have even a more active role promoting platforms activities and activities to support FIPs launchings (in case the industry keeps asking for this "neutral" support at the beginning to facilitate consensus among industry competitors) to facilitate its replication in the future</p> <p>Yes. An existing PIU was created to support the National entity BFAR in implementing the project. Roles are defined, both from BFAR and the PIU, thus effectiveness is achieved</p>

Rating/ Score	Evaluative Question	Stakeholder Rating/ Score	Stakeholder Brief Justification (please comment in each one of the boxes below)
			The coordination between global project (IPCU) and national project (NCU) are effective optimising use of online communication. Progress and issues are transparently and clearly discussed with the whole project team, include with the Government counterparts and UNDP Country Offices
	10. Is the project cost-effective?	[6 4 6] 5.3	Yes, as targets are achieved at minimal cost The implementation of the project especially related to the procurement are conducted following standard procurement including price comparison (canvassing). The project in Indonesia conducted a budget revision to change mode of procurement from recruitment of individual consultant to contracting service company, for facilitating the implementation of Fisheries Improvement Project. The decision was taken to accelerate the implementation of FIPs without impacting the budget availability Yes. Interest of all stakeholders are assured with the constant updating of and inputs from TWG platforms.
	11. Are project results (outputs, outcomes, impacts) qualitatively & quantitatively demonstrated through regular collection & analysis of monitoring data?	[6 5 5] 5.2	Yes, all results are incorporated in regular reports There is a good reporting mechanism in place, with activities conducted by SFP with work linked to The Philippines being reported in the Quarterly Progress Reports, providing all specific material generated as attachment (meeting minutes, presentations, etc.), gathering information of activities impacts, contributing to the project outputs and outcomes Yes, there are quality assurance mechanisms in place wherein the PIU are required to accomplish such as Quarterly Progress Reports to UNDP-CO, Activity Reports to BFAR-CO and DA-SPCMAD (monitoring office of the Department of Agriculture), PIR update to DENR-FAPMS (monitoring office of the Department of Environment and Natural Resources overseeing GEF-funded projects), and of course annual reports to the Project Steering Committee (PSC) The project regularly produces quarterly monitoring report to track the progress of the projects, including documenting achievement of the projects. Yes, multiple reports for different monitoring institutions are in place
	12. Does the project team use these findings, as well as those from related projects/ efforts, to strengthen their work and performance?	[6 4 6] 5.3	There is good coordination at country level with BFAR and UNDP project staff and weekly meetings within SFP to analyse project activities and best ways forward, using the experience and lessons learnt from other countries to support FIP activities in the Philippines. Yes, there is constant self-assessment and reflection with consistent team meetings. Following stakeholders' input in the 1 st 3 months of the project starting, the project revisited the strategy in developing multi-stakeholder platform to utilise existing coordination mechanism for SDGs instead of creating new mechanism. This strategy will save time and resources to build legal basis for the project. Also, for the FIPs works, the project decided to support existing FIPs instead of starting new FIPs
	13. Is learning documented and shared for project/programme and organisational learning?	[6 4 6] 5.3	SFP in the Philippines is documenting the support to the BSC and the octopus FIP set up process to provide lessons learnt by the end of 2020, contributing to project and organisational learning and helping to replicate good practices used and avoid missteps made Yes, there is always full documentation The project documentations are compiled in the e-filing system in UNDP, as well as share to the global team. The project actively participates in the Green Commodities learning forum both offline and online, as well as in the GEF International Waters Learning Conference
6 Sustainability	14. Have most or all factors for ensuring sustainability (financial,	[3 3 3] 3.0	With regards to FIPs: It will be critical for the octopus FIP success to have industry funding. The project is working to create the necessary conditions to obtain this financial support (FIP action plan broken done by region, with possibility to start the assessment focusing efforts in some of the regions, show-

Rating/ Score	Evaluative Question	Stakeholder Rating/ Score	Stakeholder Brief Justification (please comment in each one of the boxes below)
	institutional, economic, social/ gender, environmental) of results/impacts been established?		<p>casing the FIP in the GOSR and engaging international market leverage, exploring possibilities of further funding, etc.). Once the FIP is conducted, it is expected that the national fisheries administration will be able to keep supporting the data gathering program targeting octopus, with NSAP continuing to support this program.</p> <p>In the case of the BSC the FIP is active and have been obtaining rate A in Fisheryprogress. The FIP is consolidated and is receiving support from different actors besides GMC project, such as the Fish Right Program where SFP is also a partner. The cooperation between both projects, together with BFAR and NSAP – among other stakeholders, has allow to create good synergies that contribute to the FIP success.</p> <p>In the remaining time of the project, efforts should also trigger involving small-scale fisheries and incorporate an inclusive gender component into the project components in The Philippines</p> <p>Yes, for same reason as above question 8</p> <p>Financially, for the FIPs, depends on type of FIPs indicators in each principle, have been integrated into supply-chain cost as well as government program. While for the platform, the cost will be borne by Bappenas program and or MMAF program</p> <p>Institutionally, the principle of FIPs have been aligned and well-accepted by government as a principle for good fisheries management through the tuna and blue swimming crab fishery management. While for the platform, the strategy to establish it under the existing mechanism of SDGs provide strong legal and institution for the platform sustainability</p> <p>Specifically, for gender, following preliminary gender profiles submitted by tuna pole and line and handline industry association and blue swimming crab industry association the project has commissioned in-depth analysis for the gender in the fisheries and develop gender inclusion plan that will benefit the sector for the long run</p>
	15. Have scaling up mechanisms been put in place with risks & assumptions re-assessed and addressed?	[3 2 3] 3.0	<p>Yes, for same reason as above question 8</p> <p>Approach that is applied to implement FIP in tuna and blue swimming crab will be scaled-up, or replicated, to other fisheries with understanding that socio-economic and ecological factors of other fisheries will be vary and thus need adjustment. Similarly, for the platform, as it established in the national level with coverage for all fisheries, the scale-up will be focused on ensuring similar approach in the provincial level</p>

Based on your review of this component of UNDP & SFP's activities as presented in the logframe, and the precise activities that you are involved in, what *recommendations* would you propose?

- Regards to Ecuador, it is necessary to improve coordination with the government. The government is not so involved in the project. It is not clear the designated SRP technicians with whom we can coordinate, and they do not answer requests to hold meetings.
- In Costa Rica, I believed that the FIP should be led by the industry and not by the UNDP. The FIP should have a financial mechanism as Ecuador FIP and not depend only on the funding from the project.
- There should be support for stock assessment for both commodities, operationalization of the management plans, and support for the TWGs.
- A phase 2 of the project would focus on ensuring the operationalization and institutionalization of the NMP development and implementation process. Support should not stop up to the development phase only of the management/ action plan. This would allow the creation of a “true” end-to-end replicable model for institutionalizing sustainable fisheries management.
- A second phase of the project will allow to consolidate and replicate the model “platform-FIP”, also targeting other species, supporting mainstreaming seafood sustainability in the country, using lessons learnt from this phase for its improvement and contributing to the implementation of the management plans, with the support of the actions of existing FIPs.
- Promotional activities at tradeshows have to be more business to business and less bureaucratic or project implementation related.

What are the main *lessons learned* to date with respect to the Outcomes you are involved in?

-It is not enough sending letters to national delegates who will participate in RFMO meetings requesting changes. It is necessary to prepare draft resolutions to present it in the RFMOs meetings. These draft resolutions will develop by the regional groups as COREMAHI and coordinated with national authorities.

FIPs should be leaded and funded by the industry. The support from the project or SFP should be to ensure industry engagement through market forces from the SRs.

Scientific National Fisheries institutes are vital implementers of FIP actions (they conduct stock assessments, fishery impacts evaluations, etc). However, some of them don't have the resources and capabilities to perform these kinds of studies. A good lesson learned is the agreement between Ecuador Industry and the INP. On the frame of this agreement the industry: a) lend their boats to the INP to conduct the hydroacoustic research, b) funding a technical team to strength the INP small pelagic unit, c) comply the INP management recommendations

-The integration of the UNDP into the BFAR system is important to ensure the mainstreaming of project outputs, for sustainability of gains from the project. The project is transient after all.

-There are two (2) key components to the success of institutionalizing sustainable fishery management for marine commodities: (i) there has to be a strong multi-stakeholder commodity platform to absorb all efforts, initiatives, funds/resources directed for the sustainability of specific commodities, or it will run the risk of overlapping initiatives, or worse, conflicting initiatives that may negate the gains from one initiative to the other; and (ii) there has to be a well-represented business group/alliance for the commodity in the country that can champion/ push for the Fishery Improvement Project (FIP) in the country. This will allow the industry to absorb potential co-financing from international buyers/ or buyer groups that will support the FIPs, and further allow it to be well represented in said multi-stakeholder platform/s.

-As strong/ standardized fishery profile that would be the basis of the National Management Plan (NMP) should be in place, otherwise varying quality and methods for the development of the NMP may be adopted by different commodities. This would also incentivize strong scientific basis for commodity-specific initiatives in the country (which will of course be steered/ directed by the multi-stakeholder platform).

-The partnership BFAR/SFP/UNDP has worked efficiently implanting project activities. BFAR plays a critical role develop national policies, such as the national management plan for octopus and BSC, his institutional role is also important to convene value-chain stakeholders in "neutral" meetings for them to collaborate. UNDP has incorporated their expertise with the platforms and dynamized the technical working groups in the country, strengthening their capacities and contributing to the elaboration of the national management plans. SFP has used its FIPs expertise to identify a suitable FIP for the octopus in The Philippines, creating the enabling conditions for the local industry to engage in this FIP launch (providing contacts with GOSR, designing the FIP document based on the FishSource and Seafood Watch information, including the FIP action plan, developing the data gathering and assessment methodology to be use dby the FIP, et.) , it has also strengthened BSC FIP with science support what should benefit improving its rating in Seafood Watch, FishSource and also MSC.

-Platform stakeholders driving FIPs have a lack of expertise in marketing of seafood products and they are attempting to drive the design of the marketing actions of the project.

Please add any other comment or comments that you feel are relevant to your work and which the Mid Term Review should take into consideration

-All SFP partnership are covered by non-disclosure agreements, and these agreements are a barrier to report back to the project on actions taken by SFP with current partners. We are open to arrange a meeting with one of the new partners that SFP has been able to start working with on seafood sustainability during the project to answer any questions the project might have.



Annex 5: Ratings scales

Ratings for Progress Towards Results: (one rating for each outcome and for the objective)		
6	Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as “good practice”.
5	Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
4	Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
3	Moderately Unsatisfactory (HU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
1	Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets.

Ratings for Project Implementation & Adaptive Management: (one overall rating)		
6	Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as “good practice”.
5	Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
4	Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
3	Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
2	Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
1	Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

Ratings for Sustainability: (one overall rating)		
4	Likely (L)	Negligible risks to sustainability, with key outcomes on track to be achieved by the project’s closure and expected to continue into the foreseeable future
3	Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review
2	Moderately Unlikely (MU)	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
1	Unlikely (U)	Severe risks that project outcomes as well as key outputs will not be sustained

Annex 6: Itinerary & key informants

Dates	Place	Activity
		Phase 1 .Inception
We07Aug19	Brussels	A.1 Preparation of Inception Report; Telcon M&E Officer
Th08 Aug19	Brussels	Teleconference Inception meeting. UNDP CO & IPCU
Fr09-Mo12Aug	Brussels	Preparation of Inception Report
Tu13-Mo19 August		A.2 PSC review of Inception Report & delivery of comments
Tu20-Th22Aug19	Brussels	A.3 Reception of PSC comments & finalisation of Inception Report
Fr23Aug19	Home base	A.4 Virtual presentation of MTR inception report and work plan for MTR mission for the PSC (recorded Powerpoint)
Mo26Aug-Tu03Sep		Preparation for MTR Mission, questionnaire & at a distance consultations: Lise Melvin 28Aug19
		Phase 2 Field mission
		B.2 Field
We04Sep19	Travel	Travel Brussels to Quito 07h40 BRU UIO 15h45
Th05-Fr06Sep19	Quito	Field
Sa07Sep19	Manta	Travel Quito to Manta
Su08-MoSep19	Manta	Field & travel
Tu10Sep19	Guayaquil	Field
We11Sep19	Travel	Travel Guayaquil to San Jose 09h28 GYE SJO 14h40
Th12-Fr13Sep19	San Jose	Field
Sa14-Mo16Sep19	Travel	Travel San Jose to Jakarta 12h40 SJO CGK 12h15 +2
Tu17-WeSep19	Jakarta	Field
Th19 Sep19	Travel	Travel Jakarta to Manila 00h10 CGK MNL 05h40 & Field
Fr20 Sep19	Manila	Field
Fr20 - Sa21 Sep19	Travel	Travel Manila to Brussels 20h20 MNL BRU 08h55 +1
Tu24 Sep19	Brussels	Virtual mission wrap-up Latin America
		Phase 3. Drafting Report
We25Sep-We19Oct19	Home	C.1. Writing Draft Report
We16-Tu26 Oct19		Review of first draft by PSC & delivery of comments
		Phase 4 Finalising Report
Mo 25-Tu26Oct19	Home	D.1 Receipt of comments
Fr18 - Th31 Oct19	Home	D.2 Finalisation of Report including audit trail & management response

KEY INFORMANTS

Name	Position & Institution	Location	Email	Comments
International				
UNDP				
Matilde Mordt	UNDP Resident Representative	Quito, Ecuador	matilde.mordt@undp.org	Mtg 05Sep19
Monica Andrade	UNDP Coordinator for the Energy & Environment Programme	Quito, Ecuador	-	Telcon 08Aug19
Ana María Núñez	Programme Officer, Energy and Environment, UNDP Ecuador (PSC),	Quito, Ecuador	Anamaria.nunez@undp.org	PSC 08Aug Telcon & Mtgs 05&06Sep19; Questionnaire sent
Carlos Montenegro	Programme Officer, Energy and Environment, UNDP Ecuador	Quito, Ecuador	Carlos.montenegro@undp.org	Written comments on Draft MTR
Joana Troyano	Acting Regional Technical Advisor UNDP Latin America Regional Office	Panama City, Panama	Joana.troyano@undp.org	PSC; Questionnaire sent
Nathalie Trejo	Gender Specialist UNDP Ecuador	Quito, Ecuador	Nathalie.trejo@undp.org	Mtg 06Sep19
Maria Albuja	Programme Assistant, monitoring	Quito, Ecuador	Maria.albuja@undp.org	Written comments on Draft MTR
Gabriela Anhalzer	Latin American Fisheries Advisor	S. Francisco, CA, USA	GANhalzer@scsglobalsevices.com	Questionnaire sent ; Telcon
Duncan Leadbitter	Asia Fisheries Advisor	Sydney, Australia	dleadbitter@fishmatter.com.au	Telcon 29Aug19; Questionnaire sent
Carolina Estrada	GMC Project Gender Consultant	Nicaragua	cestrada@ensomeinfo.com	Telcon 20Sep
Andrew Bovarnick	UNDP GCP Global Head	Panama	Andrew.Bovarnick@undp.org	GMC Technical Advisory Group Member; Telcon 14Oct19
Lise Melvin	UNDP Green Commodities Programme		Lise.Melvin@undp.org	Telcon 28Aug19
IPCU				
Diego Orellana	International Project Coordinator GMC Project, IPCU	Manta, Ecuador	Diego.orellana@undp.org	PSC Secretary 22Aug Telcon; Mtgs 05&06Sep; Questionnaire sent
Mike Seager	Monitoring and Evaluation Specialist GMC Project, IPCU	Manta, Ecuador	Michael.seager@undp.org	08Aug & various Telcon; Mtgs 05&06Sep; Questionnaire sent
Carolina Díaz	Knowledge Management Specialist & Comms Officer ECU	Manta, Ecuador	Silvia.diaz@undp.org	Resp C4 06Telcon 08Aug; Mtgs 05&06Sep; Questionnaire sent
María Fernanda Rivadeneira	Admin and Finance Specialist GMC Project, IPCU	Quito, Ecuador	Fernanda.rivadeneira@undp.org	08Aug Telcon; Mtgs 05&06Sep; Questionnaire sent
SFP				
Enrique Alonso	SFP GMC Project Coordinator, IPCU (Latin America Coordinator SFP); Fisheries Improvement Specialist	Santiago de Chile	Enrique.alonso@sustainablefish.org	Also Responsible C3; PSC Member; 12Aug Telcon; Mtgs 05&06Sep; Questionnaire sent
Teddy Escarabay	Ecuador Consultant SFP	Quito, Ecuador	Teddy.escarabay@sustainablefish.org	Mtgs 05&06Sep; Questionnaire sent
Bernal Vilela	Philippines Consultant SFP National FIP Coordinator	Manila, Philippines	bernal.vilela@sustainablefish.org	Questionnaire sent; Mtg 19Sep

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Indrani Lutchman	Fisheries Improvement Specialist SFP Component Specialist C4	United Kingdom	indrani.lutchman@sustainablefish.org	Telcon 07Oct
Other Int Partners				
Francisco Aldon	General Manager, IFFO	UK	FAlдон@iffo.net	Small Pelagic FIP; Telcon 30Sep
Segundo Coello	Gerente General, Ecobiotec del Ecuador	?	Segundo.coello@ecobiotec.org	Telcon 04Oct19
Costa Rica				
Jose Vicente Troya	Costa Rica Country Office Resident Representative	San Jose	jose.troya@undp.org	Was Regional TA in Panama when project designed; Questionnaire sent; Mtg 12Sep19
Kifah Sasa	UNDP CO GMC Contact Point	San José	Kifah.sasa@undp.org	Mtg 13Sep19
Sandra Andraka (former)	Large Pelagic Platform Coordinator GMC Project & National Platform Coordinator & National FIP Coordinator	San José	Sandra.andraka@undp.org	SMCP & value chain working groups; one FIP in CRI. 1 FIP so no Natl FIP Coord.; Questionnaire sent; Mtg 11Sep19
Daniel Carrasco Sánchez	Presidente, INCOPESCA	San José		Mtg 12Sep19
José Centeno	Jefe, Cooperación Internacional, INCOPESCA	San José		Mtg 12Sep19
Victor Fernández	Asesor a la Presidencia, INCOPESCA	San José	vfernandezr@mag.go.cr	PSC; Mtg 12Sep19
José Miguel Carvajal	Investigación, INCOPESCA	San José		Mtg 12Sep19
Haydé Rodríguez	Vice Ministra, MINAE	San José		Mtg 12Sep19
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Robert Nunes	Presidente Camara Industria Palangrera de Costa Rica	San Jose	hanaapa@yahoo.com	Mtg 12Sep19
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Rosa Brenes S	Prensa, MAG	San Jose		Mtg 12Sep19
Rafael Acuña	Cámara de Pescadores de Punta Arenas	Punta Arenas	-	Sistema Información Oceanográfica para Pesca (CATSAT) Telcon 12Sep19
Ecuador				
Tito Navia	Ecuador Platform Coordinator UNDP C2 & National FIP Coord.	Manta	tnavia@produccion.gob.ec	SMCP & value chain working groups. Telcon 29Aug19; Questionnaire sent; Mtg 09Sep19
Carolina de la Torre	Partnership Advisor C2/ Strategic Alliances Specialist UNDP	Manta	cdeletorre@produccion.gob.ec	Telcon 29Aug19; Questionnaire sent; Mtg 09Sep19
Edwin Castro	Asesor del Subsecretario, Subsecretaría de Pesca	Manta		Telcon 10Sep19
Stalin Suarez	Cooperación Internacional	Manta		Mtg 09Sep19

Name	Position & Institution	Location	Email	Comments
Theo Calderero	Planta de Procesamiento	Manta		Mtg 09Sep19
Jimmy Anastacio	Asesor Económico Cámara Nacional de Pesquería	Guayaquil	Janastacio86@gmail.com	Telcon 10Sep19
Pilar Solís Coello	Directora General, Instituto Nacional de Pesca	Guayaquil		Mtg 10Sep19
Viviana Jurado	Jefe programa de pelágico pequeño, Instituto Nacional de Pesca	Guayaquil	viurado@institutopesca.gob.ec	Mtg 10Sep19
Carlos Cacao	Director Pesquera Polar, Coordinador Área Pelágicos Pequeños Cámara Nacional de Pesquería	Guayaquil	carlos@pesquerapolar.com	Mtg 10Sep19
Augusto López	Presidente de la Asociación Cañeros de Manta	Manta	Carlos@pesquerapolar.com	Tuna pole and line FIP; Mtg 09Sep19
Carlos Quijije	Armador Cañero	Manta		Mtg 09Sep19
George Pinto	Armador Cañero	Manta		Mtg 09Sep19
Alfonso Delgado	Coordinador de Organizaciones Pesqueras y Afines del Ecuador	Manta		Mtg 09Sep19
Cristina de la Cadena	GEF/FAP Coastal Fisheries Initiative.	Manta	Maria.de.la.cadena@undp.org	Mtg 09Sep19
Indonesia				
Jensi Sartin	Platform Coordinator C2 GMC Project	Jakarta	Jensi.sartin@undp.org	SMCP & value chain working groups; Questionnaire sent; Mtg 17Sep19
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Dewi Rianti	Communications Officer IDN	Jakarta	dewi.rianty@undp.org	Mtg 18Sep19
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Philippines				
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Romel Sotto	President of the Philippine Cephalopods Producers and Exporters Association Inc (PCPEAI)	Manila	romel_sotto@seachamp.com	FIP (Octopus); Mtg 20Sep19
Marinelle Espino	Philippine Association of Crab Processors, Inc. (PACPI)	Manila	mespino@philcrab.com	FIP (BSC); Telcon 19Sep19

Annex 7:

List of some of the documents & Web Sites Reviewed

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Annex 8: Expenditure

Expenditure by component (USD)	Budget As per signed PIF Jan13	Budget As per endorsement Nov15	2016	2017	2018	2019 (to 31Aug19)	Total	%
Component 1 Promotion of global demand for sustainable marine commodities	920,000.00	485,112.00	-	34.02	123,908.27	110,251.63	234,125.88	25%
Component 2 Enabling environments for sustainable marine commodities supply chains	1,700,000.00	2,317,874.08	118,647.41	233,246.90	432,127.25	405,435.74	1,189,457.30	70%
Component 3 Demonstration fisheries improvement projects (FIP)	1,614,955.00	1,230,591.20	-	-	295,056.69	171,440.43	466,497.12	29%
Component 4 Sustainable marine commodities information and knowledge management systems	720,000.00	1,190,659.96	-	31,876.46	162,540.08	123,237.17	317,653.71	44%
Project Management Cost (1)	545,045.00	275,762.76	-	37,191.08	39,721.42	13,193.09	90,105.59	17%
Total (2)	5,500,000.00	5,500,000.00	118,647.41	302,280.42	1,053,353.71	823,558.06	2,297,839.60	42%

Notes: (1) incl Direct Project Costs: USD\$107,852.76

(2) Excl Agency fee USD\$22,500 see request for CEO endorsement

Expenditure by Country/ Implementing Agency/ Partner (USD)	ProDoc	Expenditure to 31 August 2019 (USD)					% Spent to 31Aug19
		2016	2017	2018	2019	Total	
TOTAL	5,500,000.00	118,647.41	302,280.42	1,053,353.71	823,558.06	2,297,839.60	42%
Costa Rica	505,974.19	118,647.41	207,815.82	172,421.60	0.00	498,884.83	99%
MAG C2	475,261.00	118,647.41	207,815.82	172,421.60	0.00	498,884.83	105%
UNDP Project Management	30,713.19	0.00	0.00	0.00	0.00	0.00	0%
Ecuador	431,870.08	0.00	13.45	47,570.22	70,052.80	117,636.47	27%
MAGAP C2	428,120.08	0.00	13.45	47,570.22	70,052.80	117,636.47	27%
UNDP Project Management	3,750.00	0.00	0.00	0.00	0.00	0.00	0%
Indonesia	1,002,880.19	0.00	0.00	128,966.58	178,828.43	307,795.01	31%
MMAF/ BAPPENAS	972,167.00	0.00	0.00	128,966.58	178,828.43	307,795.01	32%
Component 1	18,760	0.00	0.00	285.87	1,955.80	2,241.67	12%
Component 2	520,340	0.00	0.00	57,421.16	109,468.30	166,889.46	32%
Component 3	317,250	0.00	0.00	58,637.01	60,086.23	118,723.24	37%
Component 4	115,817	0.00	0.00	12,622.54	7,318.10	19,940.64	17%
UNDP Project Management	30,713.19	0.00	0.00	0.00	0.00	0.00	0%
Philippines	505,974.19	0.00	0.00	90,213.53	155,536.00	245,749.53	49%
BFAR C2	475,261.00	0.00	0.00	90,213.53	155,536.00	245,749.53	52%
UNDP Project Management	30,713.19	0.00	0.00	0.00	0.00	0.00	0%
UNDP Ecuador Lead Office/ SFP	3,053,301.35	0.00	94,451.15	614,181.78	419,140.83	1,127,773.76	37%
Sustainable Fisheries Partnership	1,874,836.96	0.00	0.00	432,154.94	264,499.44	696,654.38	37%
UNDP Ecuador International	1,178,464.39	0.00	94,451.15	182,026.84	154,641.39	431,119.38	37%
Component 1	466,352.00	0.00	-34.02	123,622.40	108,295.83	231,884.21	50%
SFP C1	387,798.40	0.00	0.00	104,285.16	89,268.42	193,553.58	50%
UNDP C1	78,553.60	0.00	-34.02	19,337.24	19,027.41	38,330.63	49%
Component 2	418,892.00	0.00	25,417.63	64,500.74	70,378.64	160,297.01	38%
SFP C2	0.00	0.00	0.00	0.00	0.00	0.00	-
UNDP C2	418,892.00	0.00	25,417.63	64,500.74	70,378.64	160,297.01	38%
Component 3	913,341.20	0.00	0.00	236,419.68	111,354.20	347,773.88	38%
SFP C3	837,949.20	0.00	0.00	222,084.82	99,616.25	321,701.07	38%
UNDP C3	75,392.00	0.00	0.00	14,334.86	11,737.95	26,072.81	35%
Component 4	1,074,842.96	0.00	31,876.46	149,917.54	115,919.07	297,713.07	28%
SFP C4	649,089.36	0.00	0.00	105,784.96	75,614.77	181,399.73	28%
UNDP C4	425,753.60	0.00	31,876.46	44,132.58	40,304.30	116,313.34	27%
Project Management	179,873.19	0.00	37,191.08	39,721.42	13,193.09	90,105.59	50%
SFP Project Management	0.00	0.00	0.00	0.00	0.00	0.00	-
UNDP Project Management	179,873.19	0.00	37,191.08	39,721.42	13,193.09	90,105.59	50%

Annex 10: Suggested Changes to Indicators, Baselines & Targets

Indicator ¹³⁴	Baseline Level	End-of-project Target	MTR's Suggested Changes
Landings from fisheries either certified sustainable or making regular, verifiable improvements.	2017: 14.9 million tonnes	>15.4 million tonnes	
1a. Number of fisheries for the targeted commodities (tuna, large pelagics, blue swimming crab and octopus) that are sourced by SFP partners and their suppliers and that are either in a FIP or MSC certified	Tuna: 36 (20 FIP, 16 MSC) LPF: 20 (13 FIP, 7 MSC) Crab: 9 (All FIP) and Octopus: 0 Total: 65	Year 2. >10% increase (72) Year 4. >20% increase (78)	Putting target in plain numbers rather than percentages.
1b. Number of international seafood buyers ('buyers' = SFP partners plus suppliers to SFP partners) with sustainable seafood purchasing policies	0	Year 3. >9 Year 4. >15	1. rephrasing 1b to "Additional number..." 2. target >9, >15 unclear; rather 10, 16
2. Number of buyers ('buyers' = SFP partners plus suppliers to SFP partners) with procurement policies for tuna that include support of more effective CMMs for tuna, sharks and LPF in IATTC and WCPFC	0	Year 2. >2 (IATTC = 1; WCPFC = 1) Year 4. >4 (IATTC = 2; WCPFC = 2)	1. rephrasing to "Number of position statements issued by industry for IATTC & WCPFC" as this is what the project is reporting; 2. targets as >2, >4 unclear; rather 3, 5.
3a Number of Sustainable Marine Commodities Platforms	1 ¹³⁵	Year 2: >3 Year 3: 5	1. adding '...created with project support & functional.' 2. Target >3 unclear; rather 4. 3b MTR suggests 1. "...of project-supported Sustainable Fisheries...Action or management Plans under implementation" thus allowing a BL of 0; 2. BL = 0 as CRI platform was supported by GMC; 3. Target at >6 unclear; rather 7.
3b. Number of Sustainable Fisheries Action Plans under implementation	5 ¹³⁶	Year 3: >6 Year 4: 9	
4a. Number of FIPs uploaded to FisheryProgress.org, have progressed by at least one grade, or have maintained an 'A' grade.	6 ¹³⁷	Year 3: >8 Year 4: >10	1 "...FIPs that have been uploaded...or have progressed...grade with project support." 2. Removing Tunacons as the indirect support is negligible compared to others' contributions
4b. Private investment in FIPs (USD)	250,000/year	Year 3: ≥US\$1,500,000/year	1. "Additional private...FIPs supported by the project." 2. Thus permitting a BL of 0. 3. Removing ".../year" from the target. 4. Removing Tunacons from the list thus having 6.

¹³⁴ Indicator, Baseline & Target populated with approved logframe & indicator update 07Jul19.

¹³⁵ By November 2017, the GMC project had supported project implementation in Costa Rica for over one year, and UNDP/Costa Rica had established the [Large Pelagic Sustainable Fisheries platform](#).

¹³⁶ Costa Rica: 0. Ecuador: PAN-Dorado, PAT-EC. Indonesia: Indonesia National Tuna Management Plan and Indonesia Blue Swimming Crab Management Plan. Philippines: The Philippine Blue Swimming Crab Management Plan.

¹³⁷ ECU Tuna Purse Seine (TUNACONS); ECU Mahi Mahi Longline; PHI Blue Swimming Crab bottom-set gillnet and pot/trap; IND Yellowfin Tuna Pole and Line; IND Skipjack Tuna Pole and Line; IND Blue Swimming Crab gillnet/trap.

4c. Number of fisheries in certification process (have entered process, undergoing assessment, or have been certified)	Fisheries entered into certification process: 0	Year 3: >2 Year 4: >3	1. "...of additional..." 2. MTR suggests not including Tunacons 3. Targets >2, >3 unclear; rather 3, 4
4d. MSC & FishSource scores	Presented in the table Indicator 4d Baselines below	Presented in the table Indicator 4d Baselines below	MTR sees inconsistency between list of fisheries in revised framework and reporting in PIR see table 4d in Annex 3
5a. Number of registered users	FishSource: 2,270 Metrics: 1,381	FS Year 3: >15% increase FS Year 4: >25% increase Metrics Year 3: >10% increase Metrics Year 4: >20% increase	Target simply be the numbers concerned rather than % eg FS Yr 3 will be 2,611 (rounded please) %s can be put in parentheses
5b. Number of visitors (average visitors per month to the site)	FishSource: 2,019 FisheryProgress (FIP Directory): 1,155	Year 3: >15% increase Year 4: >30% increase	Target numbers (%s in brackets)
5c. Level of satisfaction (in terms of meeting user expectations) of information users for each site (exceeds expectations =3; meets expectations = 2; below expectations = 1; averaging scores for all areas)	FishSource: NA ¹³⁸ Metrics: NA FisheryProgress (FIP Directory): NA	Year 1: baseline for all sites. ¹³⁹ Year 3: average=2 Year 4: average=2.5	Averages to be weighted means
5d. Number of scientific reports published by technical experts contracted by the project	0	Year 2: 2 Year 4: 4	
6a Number of visitors of best practice documents	0	Year 2: 0 Year 3: >750 total Year 4: >1500 total	Targets of > unclear; rather round numbers ie 750 & 1500 in this case
6b Level of utility of best practice documents (exceeds expectations =3; meets expectations = 2; below expectations = 1; averaging scores for all areas)	0	Year 2: n/a Year 3: 2 average ¹⁴⁰ Year 4: 2.5 average	BL not be 0 as this is not in the scale in the indicator; better n/a

¹³⁸ No user satisfaction data has been collected yet.

¹³⁹ We cannot differentiate visitors to the websites or their satisfaction level by marine commodities, only by the site itself (overall)

¹⁴⁰ Three-point scale: 3: exceeds expectations, 2: meets expectations, 1: below expectations

Annex 11: Tracking tool comparison

The GMC project prepared the tracking tool at April 2015 and at August 2019. The results indicated apply to both years, unless otherwise indicated.

IW GEF 6 Core Indicators are not tracked but the following Process Indicators are:

1. Regional legal agreements/cooperative frameworks. Score 4: Legal agreement ratified and entered into force. The note states (in both periods): “The project will work with two tuna RFMOs: WCPFC and IATTC. These commissions have fully functional legal basis and the participating countries are members of these RFMOs.” It has to be said that this is not as a result of the project, so is a statement of context, rather than project process
2. Regional Management Institutions. Rating 4: RMI in place, fully functioning and core functions fully sustained by at or near 100% country contributions or other sustainable revenues of the RMI. The note states (in both periods): “WCPFC and IATTC are fully functional.” It has to be said that this is not as a result of the project, so is a statement of context, rather than project process.
3. (ABNJ only:) Management measures incorporated in the institutional mandates and/or management action frameworks of Global/Regional Management Bodies. Score 2: Management measures in ABNJ designed but not formally adopted. The note states (in both periods): Both tuna RFMOs have management measures for tuna. However, the management strategies need strengthening. In addition, the management of other species (e.g., large pelagic fish, small pelagic fish, sharks) is still weak. By the end of 2019, a sub-set of participating public and private sector actors will have adopted management measures within national commodity platforms and action planning frameworks. It has to be said that this is not as a result of the project, so is a statement of context, rather than project process. Indeed, this does refer to processes supported by the project, but it is not the national commodity platforms supported by the project that have put pressure on the RFMOs (responsible for activities in the ABNJ) but the private sector through the activities of the Supplychain Roundtables.
4. National Inter-Ministerial Committees. Score 2 (only for 2019): National/local policies drafted but not adopted. The note states: “The IMC refers to the sustainable marine commodity platform steering committees that have been established or will be established by the project in its four operating countries.” Indeed, the project has supported these steering committees (and inter-ministerial platforms). The one plan that has been produced by the project (for Costa Rica) has yet to be formally endorsed.
5. National/ Local Reforms. Score 3 (only for 2019): National/ legal policies adopted with technical/ enforcement mechanism in place. The note states: “The project will support the implementation of 5 existing National Action or Management Plans (NAPs and NMPs) for fisheries and the creation and full adoption/implementation of an additional 4 NAPs/NMPs. Some of the NAPs are already being implemented such as the Costa Rica Large Pelagic NAP and the Ecuador Mahi-mahi NAP. By the end of the project these criteria are expected to receive a grade 4.” Indeed, this score refers to those plans already existing, not those supported by the project.

In 2015 no rating was given to the Stress Reduction Indicators. In 2019 the following were rated and commented on:

- 13. Types of mechanisms in place to produce a monitoring report on stress reduction measures? Score 4: Mechanisms in place and sustainable for long-term monitoring. The comment, legitimately, refers to the Root Cause Analyses providing a baseline, stock assessments, and importantly, Fishsource, a sustainable tool for the long-term monitoring of stressors.
- 14. Stress reduction measurements incorporated by project through improved management of: Marine Protected Areas. The note states that the project does not aim to improve protected area management but fisheries, which may have positive externalities on biodiversity.
- Local investment #2. 6 Reduced fishing pressures. 15 days additional days per year of fishery closure in Ecuadorian Small Pelagics Fishery.
- Local investment #3. 17 Amount of \$ leveraged from private sector. The note states that USD1.5M have been committed for the implementation of the Small Pelagics FIP over a five-year period. It is worth commenting that this refers to commitment, not actual expenditure.

Moreover the 2019 Tracking Tool states correctly that gender has been incorporated into the National Action Plan for Costa Rica, and that a gender analysis and strategy are being drafted. It is worth noting that at the time of the MTR the gender strategy is now complete and the gender action plan is in draft form.

With respect to the environmental status of the waterbody the tracking tool states mechanisms are in place and refers specifically to support given to Fishsource.

The project claims strong participation in IW Events, and that the project web site is in line with IW:LEARN guidelines and regularly updated.

Annex 12: Signed UNEG Code of Conduct Form

Evaluators/Consultants:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

MTR Consultant Agreement Form

Agreement to abide by the Code of Conduct for Evaluation in the UN System:

Name of Consultant: Carlos Palin

Name of Consultancy Organization (where relevant): n/a

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at *Brussels* on *6 September 2019*



Annex 13: Signed MTR Final Report Clearance Form

Midterm Review Report Reviewed and Cleared By:

Commissioning Unit

Name: _____

Signature: _____ Date: _____

UNDP-GEF Regional Technical Advisor

Name: _____

Signature: _____ Date: _____
