Global Sustainable Supply Chains for Marine Commodities (GMC) Project

PIMS: 4754
GEF Project ID: 5271

FINAL REPORT

Terminal Evaluation (TE)

Date of the Report: August 31, 2021

Consultant: Joe Ryan

Regions and countries covered by the project

Latin America:	Costa Rica and Ecuador
Asia:	Indonesia and the Philippines

ACKNOWLEDGEMENTS

The consultant appreciates the great support that UNDP Ecuador has provided to achieve this independent evaluation (especially the IPCU of the GMC), in terms of organization of information and access, links with interested parties and follow-up and feedback to the permanent consultations derived from this evaluation process, considering the challenges that the evaluation represented in terms of the short period assigned to this task. The time and contribution to the evaluation carried out by all different implementers is also recognized, and special thanks to the many country stakeholders who provided time and some excellent comments on the GMC project, and on the Draft TE Report. Matilde Mordt, Ana Maria Núñez, Kifah Sasa, Sandra Andraka, the Indonesia and Philippine teams, Enrique Alonso, Teddy Escarabay and three different private sector representatives provided invaluable insights into the design and implementation of the GMC from a partner's perspective. José Troya is especially acknowledged for his forward-looking insights. However, the ease to which information was obtained and excellent sounding board feedback could not have been done without the support form Mario Rodas, Maria Fernanda Rivadeneira, and especially Karen Hildahl, and Diego Orellana – all provided constant and invaluable support throughout the evaluation, which is appreciated tremendously.

Finally, the consultant would like to thank two people for capturing the essence of the GMC project long before it was conceived in the following quotes:

"It is trust, more than money, that makes the world go round".
Economics Nobel Prize winner Joseph Stiglitz

"You never lose - you either win or you learn, but you lose when you don't learn" – C. Wirges, Chef's Trading.

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LIST OF ACRONYMS AND ABBREVIATIONS

BAPPENAS	Ministry of National Development Planning, Indonesia
BFAR	Bureau of Fisheries and Aquatic Resources, Philippines
BSC	Blue Swimming Crab
CASS	Conservation Alliance for Seafood Solutions
CFI	Coastal Fisheries Initiative of the UNDP
CMM	Conservation Management Measures
CO	Country Office of UNDP
COVID-19	COVID-19
FAD	Fish Aggregation Device
FAO	Food and Agriculture Organization
FIP	Fisheries Improvement Project
FMP	Fisheries Management Plan
GCP	Green Commodities Programme
GEF	Global Environment Facility
GMC	Global Sustainable Supply Chains for Marine Commodities
IATTC	Inter-American Tropical Tuna Commission
IPCC	Intergovernmental Panel on Climate Change
IPCU	International Project Coordinating Unit
IUU	Illegal, Unreported and Unregulated
M&E	Monitoring and Evaluation
MAG	Ministry of Agriculture and Livestock, Costa Rica
Metrics	Sustainable Seafood Metrics System
MPCEIP	Ministry of Production, Export Industry, Investment and Fisheries
MSC	Marine Stewardship Council
MTR	Mid-term Review
NAP	National Action Plans
NIM	National Implementation Modality
PIR	Project Implementation Report
ProDoc	Project Document
PSC	Project Steering Committee
RFMO	Regional Fisheries Management Organisation
SDG	Sustainable Development Goals
SESP	Social and Environmental Screening Plan
SFAP	Sustainable Fisheries Action Plan (of Platform)
SFP	Sustainable Fisheries Partnership Foundation
TE	Terminal Evaluation
ToC	Theory of Change
ToR	Terms of Reference
UNDP	United Nations Development Programme
WCPFC	West & Central Pacific Fisheries Commission
WWF	World Wildlife Fund

EXECUTIVE SUMMARY

Project Information Table

Table 1. GMC Project Information Table

Project Details		Project Milestones	
Project Title	Global Sustainable Supply Chains for Marine Commodities	PIF Approval Date:	Apr 12, 2013
UNDP Project ID (PIMS #):	4754	CEO Endorsement Date (FSP) / Approval date (MSP):	Jan 21, 2016
GEF Project ID:	5271	ProDoc Signature Date:	Costa Rica: May 2016 Ecuador: Sept 2017 Philippines: March 2017 Indonesia: March 2018
UNDP Atlas Business Unit, Award ID, Project ID:	Project ID: ECU 92045 CRI 92047 PHI 92092 IND 92095 IPCU 96079	Date Project Manager hired:	NA
Country/Countries:	Ecuador, Costa Rica, Indonesia, Philippines	Inception Workshop Date:	Nov 6, 2017
Region:	Latin America and Asia	Mid-Term Review Completion Date:	November 2019
Focal Area:	International Waters	Terminal Evaluation Completion date:	September 2021
GEF Operational Programme or Strategic Priorities/Objectives:	Key strategic priorities of the *GEF 2020 Strategy:* a) address the drivers of environmental degradation; (b) deliver integrated solutions; (c) enhance resilience and adaptation; and (e) focus on choosing the right influencing model (Transforming policy and regulatory; environments, Strengthening institutional capacity and decision-making processes, Convening multi-stakeholder alliances, Demonstrating innovative approaches and Deploying innovative financial instruments	Planned Operational Closure Date:	November 2021
Trust Fund:	GEF Trust Fund		
Implementing Partner (GEF Executing Entity):	UNDP		
NGOs/CBOs involvement:	SFP Mbaq MSC NFI GCP		
Private sector involvement:	CNP		

Financial Information		
PDF/PPG	at approval (US$M)	at PDF/PPG completion (US$M)
GEF PDF/PPG grants for project preparation	150,000.00	148,499.74[1]
Co-financing for project preparation	200,000.00	
Project	at CEO Endorsement (US$M)	at TE (US$M)
[1] UNDP contribution:	200,000.00	193,883.00
[2] Government:	12,950,000.00	10,841,797.98
[3] Other multi-/bilaterals:		
[4] Private Sector:		736,477.64
[5] NGOs:	21,400,000.00	37,091,982.13
[6] Total co-financing [1 + 2 + 3 + 4 + 5]:	34,550,000.00	48,864,140.75
[7] Total GEF funding:	*5,500,000.00*	*5,500,000.00*[2]
[8] Total Project Funding [6 + 7]	***40,050,000.00***	***54,364,140.75***

Source: The Consultant based on Project information

Project Description

The inter-regional GMC project addressed several formidable barriers to sustainable seafood production based on the hypothesis that an increased demand for sustainable seafood products will drive positive changes in the industry, such as seafood commodity certifications or improved stock management. The overall development objective is *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.

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," and it contends that the "long-term solution is a transformation of the market in which sustainable seafood is adequately valued 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

Accordingly, the GMC Project was designed to address the inadequate governance that is a major barrier to shifting to the sustaining resilience of marine fisheries. It aims to create interactive governance processes involving public and private sector actors to help drive sustainable fishery management implementation in partner countries. Furthermore, the GMC project addresses the premise 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.

[1] According to CEO Endorsement
[2] According to summary of expenses provided by GMC as a June 2021, the executed expenses as a June 2021 was USD 4,815,150.58.

The Project aimed to achieve 6 expected results, which refer to:

- **Outcome 1.** Increased global market demand for sustainable certified marine commodities and associated reduction of IUU fisheries.
- **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. *It only deals with fisheries taking place in international waters.*
- **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.
- **Outcome 4.** Increased sustainability scores of marine commodities purchased from project fisheries.
- **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.
- **Outcome 6.** Better knowledge management on mainstreaming sustainability into seafood value chains.

Three countries (Ecuador, Philippines and Indonesia) tested the GMC model recommended in the ProDoc, whereas Costa Rica tested a hybrid model that was built on the UDNP's Green Commodity Program.

Summary of Findings and Conclusions

The ProDoc-recommended model tested in the three inter-regional countries not only achieved, but surpassed the expected results indicators, whereas the hybrid model fell far short of expectations, despite Costa Rica having invested considerable time and energy. Valuable lessons were captured from the implementation of the project in all countries and these will be invaluable for future projects following the GMC model.

While the overall project is rated as being ***Highly Satisfactory***, the project primarily focused on the economic dimension of sustainable development and recommendations in the original Environmental, Social Safeguards Plan were not incorporated into the ProDoc. Consequently, key issues such as biodiversity considerations linked to reducing bycatch (defines as incidental and intentional capture of CITEs-protected species and the destruction of marine habitats), human and labor rights were not included in the project. Although the inclusion of gender mainstreaming was also overlooked, the project's leadership found innovative solutions to fund a badly needed gender strategy midway through implementation.

The project led to several unexpected, positive results, which included the creation of a regional management organization that now focuses specifically on mahi-mahi fishery in the Eastern Pacific Ocean, considerable co-financing and in-kind contributions from artisanal fishers, and the active involvement of fishermen in monitoring and data collection. The GMC model is likely to be sustained, whereas this is unlikely with the Green Commodity approach is not, given that is overly simplistic for a complex sector like fisheries and the dynamic ecosystems that drive them.

Evaluation Ratings Table

The following table summarizes the rating assigned to the GMC project by the TE. Rating scales are given in Annex 10.

Measure	TE Rating	Achievement Description
Project Strategy	Relevance Rating: *5 (S)*	The ProDoc's GMC model contained key elements for addressing historical barriers to sustainable seafood commodity value chains and provides an important global contribution to the sector. However, there were several shortcomings in the original approach that were addressed midway through implementation and other issues that remain to be strengthened in future endeavors. Costa Rica not only invested considerable time and energy to test the UNDP's Green Commodities Program approach, but also created the first large pelagics FIP in the world. However, the available evidence demonstrates unequivocally that the hybrid approach is not viable, as it lacks some of the key ingredients. It is noteworthy that Costa Rica was handicapped by a change of government during the first years of implementation and many of the hybrid model's tools were not adopted by the new government. The original GMC model not only surpassed expectations by contributing to robust new fishery administration processes and building solid partnerships that are continuing to date, but it was successful in attracting unexpected cofinancing from FIP partners in three countries and policy changes. These successful achievements notwithstanding, the TE noted that several of the purported outcomes were outputs in the GMC design, and although the Theory of Change the GMC developed midway through implementation clearly illustrated the results chain leading to the overall objective, it lacked robust assumptions and risk-reducing measures that might have helped Costa Rica adapt to some of it's the hybrid model's shortcomings by applying real-time adaptive management responses. The ProDoc did not incorporate recommendations from the original project Environmental and Social Safeguard recommendations (GEF 2012) that highlighted the importance of environmental issues (e.g., bycatch) not covered by the project document, as well as gender and human rights which were absent in the ProDoc.
Progress Towards Results	Overall Objective *Rating: 5 (S)*	The Project exceeded its global indicator target (*landings from fisheries either certified sustainable or making regular, verifiable improvements*). Key seafood sector landings reached c. 23 million metric tons (Mt), which were either certified sustainable or making regular verifiable improvements (12/2020). The annual data are available through SFP's T75 automated data collection and reporting Tableau system. The Project also made verifiable improvements over 325 Mt through direct actions in GMC supported FIPs. The Project actions have impacts on over 377 Mt of overexploited/overfished fisheries. As a direct result of Project activities, three species that are no longer overexploited.
	Outcome 1a *Rating: 6 (HS)*	This outcome was not only achieved but exceeded. Targeted commodities (tuna, large pelagics, blue swimming crab and octopus) that are sourced by SFP partners, and their suppliers increased by nearly 97%, and they are either in a FIP or certified under Marine Stewardship Council (MSC). The creation and continuation the SFP Supply Chain Roundtables (SRs) have been a positive achievement. Outreach activities were limited mainly due to impacts from the pandemic.
	Outcome 1b *Rating: 6 (HS)*	The GMC exceeded the target, reaching 19 major seafood buyer and retailer companies that have adopted 22 sustainable seafood purchasing policies.
	Outcome 2 *Rating: 4 (MS)*	Although this is an OUTPUT indicator, it has been exceeded, with seven position statements having been sent requesting improved Conservation and Management Measures (CMMs) at the IATTC, as well as at the WCPFC.
	Outcome 3a *Rating 4 (MS)*	This indicator is an **Output** as it stands. The GMC Project facilitated the official launch of five (5) Sustainable Marine Commodity Platforms (SMCPs), but most importantly, the platforms were not only effective in three countries, but they are being sustained, and new platforms are being established for new FIPs.
	Outcome 3b *Rating 4 (MS)*	The Project has achieved its target with seven project-supported National Sustainable Fisheries Action Plans (SFAP)/National Action Plans (NAPs) under implementation and one (1) action plan (Costa Rica Large Pelagic Action Plan) for which the Project supports certain implementation actions, with another for Octopus being developed in Indonesia.

Measure	TE Rating	Achievement Description
	Outcome 4a *Rating 5 (S)*	The project achieved its target of nine FIPs that have progressed by at least one grade or have maintained an 'A' grade and the year 4 target has been met, while eight progressed their grades and one (1) maintained an A rating on FisheryProgress, while three FIPs have also entered MSC full assessment and achieved certification.
	Outcome 4b *Rating 6 (HS)*	The end of project target has been exceeded with additional private investment commitments towards FIPs supported by the Project reaching $4,171,932, of which $1,911,447 has been invested to date.
	Outcome 4c *Rating 6 (HS)*	The project went from zero to three fisheries (achieving the target) that have entered the certification process with direct support from the GMC Project.
	Outcome 4d *Rating 4 (MS)*	While this indicator is an **OUTPUT**, the end of Project target has been exceeded. What is relevant is how those registrations translated into collective outcomes/changes in the status quo.
	Outcome 5a Rating 4 (MS)	Again, this is an **OUTPUT**. Nonetheless, the project met its target with a 330% increase in FishSource visits and an increase of 60% of registered, significantly exceeding the end-of-Project target. However, the question is how did they use the information?
	Outcome 5b Rating 5 (S)	The end-of-Project target has been met and exceeded. FishSource visitors (monthly average) are 5,100 (average total users over past year), which represents an increment of 152.6% compared to the baseline. However, this is an **OUTPUT.**
	Outcome 5c Rating 4 (MS)	While the level of satisfaction in the exit survey did not meet the indicator goal of 2.5, the overall level of satisfaction increased from 2.19 in 2019 to 2.3 in 2021. The survey response averages both in 2019 and 2021 are between "meets expectations" and "exceeds expectations." However, this is another **OUTPUT**.
	Outcome 5d Rating 3 (MU)	While publishing scientific papers is an important conduit for sharing good results with other scientists working in the field, there is no evidence that these publications will result in a measurable change (e.g., changes in policies, decision-making mechanisms, etc.) in the status quo. Further, the expected outcome from the scientific publications is not mentioned in the GMC's Theory of Change (GMC 2020). Therefore, it is clearly an output.
	Outcome 6a Rating 3 (MU)	Another **OUTPUT**. However, for what it's worth, over 5000 visitors have been registered to receive the documents generated by the Project. Utility for measuring on the water and institutional change = 0
	Outcome 6b Rating 3 (MU)	The general average rate of the documents utility is 2,85 and the year 4 indicator target has been met and exceeded. However, utility for measuring on the water and institutional change =0 because it is an **OUTPUT.**
Project Implementation & Adaptive Management	Rating 5 (S)	While implementation has been superb in all of the countries, the IPCU and partner countries took some excellent actions to adapt, the weak/inexistent assumptions could have helped overcome many challenges. Nonetheless, the unexpected results mentioned in the text arose from the IPCU's ability to adapt and address the obstacles.
Sustainability	4 (ML)	There is strong evidence that three of the four countries are likely to sustain the achievements, whereas it is *moderately unlikely* that Costa Rica will do so.
Overall Rating	6 (HS)	Highly Satisfactory

The matrix below summarizes the Findings, Conclusions and Lessons captured during the TE.

Concise summary of findings, conclusions and Lessons

FINDING	CONCLUSIONS	LESSONS LEARNED
Finding (Relevance): The Global Marine Commodities model was *highly satisfactory* in its relevance for contributing good practices and replicable country experiences to the global knowledge and strengthening Global Partnerships to transform markets whose consumers value sustainably harvested and processed seafood throughout sustainable marine commodity sourcing value chains. Furthermore, the model promotes country ownership, transparency, stakeholder trust by creating synergies for public-private funding investments. It also contributed to six SDGs (#1,2,5,12,14 and #17), GEF and UNDP Outcomes, and GEF additionality criteria.	**Conclusion: The GMC model's relevance is *highly satisfactory*, as it not only addressed the GEF-5 objectives, but also contributed to six SDGs (1,2,5,12,14,17) and the GEF IW Objective 2,** which aims to catalyze multi-state cooperation to rebuild marine fisheries and better manage fisheries in Large Marine Ecosystems (LMEs) by implementing innovative solutions to rebuild and protect fish stocks by harnessing the incentives from international trade.	**Lesson:** Regardless of whether management plans are based on poor data or purely unsupported evidence used for politically motivated decisions, they require measurable actions, robust assumptions, clearly designated responsibilities assigned, and most importantly, measurable outcomes and development impacts.
Finding (Design): There is no question that the project design was *Satisfactory* in mainstreaming sustainability into GMC supply chains and the results confirm this finding. While the implementation framework presented in the Project design helped build upon and improve corporate sustainable purchase policies, sustainable marine commodities platforms (SMCPs), fisheries improvement projects (FIPs), as well as developed national capacities and generating good practices and other lessons to be shared worldwide the, Theory of Change presented in the GMC Implementation Report (Orellana et al. 2020) lacks many of the key assumptions that are fundamental for driving the systematic application of adaptative management principles.	**Conclusion: The ProDoc's GMC *Satisfactory* model contained key elements for addressing historical barriers to sustainable seafood commodity value chains and provides an important global contribution to the sector.** However, there were several shortcomings in the original approach that were addressed midway through implementation and other issues that remain to be strengthened in future endeavors.	
Finding (Overall Outcomes): The GMC Project model was effective in facilitating the application of market mechanisms and improved tools (FIPs, Governance Platforms) to mainstream sustainability into global seafood supply chains, while introducing good practices and promoting multi-stakeholder dialogue to craft science-based, as well as consensus-driven policies for improving the administration of the targeted fishery subsectors. It was not only effective in addressing some of the historical barriers to be overcome to improve fisheries management through shared decision-making and implementation arrangements leading to better legislated and institutionalized fishery management processes that lead to, but it met most of its expected results.	**Conclusion: The GMC's achievement of overall outcomes is Highly Satisfactory**. The GMC model explicitly described in the ProDoc has been effective in achieving the objectives and overshooting many of the outcome indicators. The results are impressive and offer new knowledge from the many lessons captured during implementation that can benefit future endeavors.	**Lesson:** A financially, institutionally, socially, and environmentally sustainable FIP requires transparent, vertical and horizontal dialogue that creates trust in the process, as well as government responsiveness to act on the group's recommendations.
Finding (Overall Outcomes): Overall, **the effectiveness of the overall outcome was highly satisfactory**. However, the degree to which the four countries met the TE's evaluation criteria, results and assumptions varied between the two GMC implementation models, and their effectiveness for improving fishing performance on the water, mainstreaming policies that aimed to curb bycatch and scientific data, rather than maintaining politically motivated management actions, as well as unforeseen new cofinancing income depended on whether the multi-sectoral stakeholder recommendations presented in FIP Roundtable dialogue spaces created trust among the participating members.		
Finding (Adaptive Management): The GMC adapted to most design shortcomings and the unexpected results further contribute to emerging models aiming to sustain new and existing global fisheries. Not only did it adapt to unforeseen bottlenecks such as the absence of a strategy to incorporate gender aspects, testing a hybrid GMC model in Costa Rica and the need to create COREMAHI to fill in coordination in reducing bycatch and gaps in the IATTC's mandate that is singularly focused on tuna fisheries and associated bycatch, the latter output produced and an immediate outcome in which fishers, in collaboration with scientists, collected empirical data and conducted monitoring related to stock assessments.	***Conclusion*: Overall adaptation was excellent both at the IPCU and adaptations by Indonesia, Philippines and Ecuador were positive.** The results and the good practices responsible for those results offer a solid base upon which to develop a second phase. Two of the most important ingredients for catalyzing and building synergies leading to adaptive decisions are related to platform spaces and FIPs built on trust and the absence of interference from outside the dialogue platforms in those countries.	**Lesson:** Overlooking critical assumptions on causative links along a results chain leading to expected fishery outcomes and the triple bottom-line targets of sustainable development impede the systematic application of adaptive management principles. This is a critical gap that is likely to prevent the development of an applied real-time M&E platform that can help correct mistakes and build on success *during implementation*, rather than compiling those lessons at the end of a project when it might be too late. While the GMC's reconstructed Theory of Change offered a clear snapshot of the project, the lack of assumptions prevented such real-time adaptation and learning. While it is fine to experiment with, and test alternative marine commodity supply chain approaches and not be afraid of making mistakes, unless critical assumptions and risk-reducing measures

		are built into those approaches, they are likely to fall short of their targets. The important point is not the outcomes, but for the 4 countries to consider that "You never lose - you either win or you learn, but you lose when you don't learn". By avoiding repeated mistakes and sustainability, the replication of good fishery administration practices can be scaled up more efficiently and effectively with new global partners. This will also help future fishery commodity supply chain initiatives sustain positive outcomes in partner countries through the application of adaptive management and learning.
Finding (Effectiveness): Three of the countries passed the expected results, which should be replicated and scaled up. First, the GMC model implemented in three countries demonstrated that the Platforms and FIP Dialogue Tables described explicitly in the ProDoc were based on transparency, dialogue, and trust, resulted in reciprocal government actions that responded to stakeholders' concerns, which led to a consensus in most cases. At the end of the project, the GMC met all but one of its 16 indicators and surpassed nine of them. While added late in the project, gender awareness and activities had fed into the Sustainable Marine Commodity Platforms to promote multi-stakeholder fishery governance.	***Conclusion*: The GMC's effectiveness is rated as *Highly* Satisfactory**, largely because three of the four countries supported not only achieved, but exceeded the expected results. While the testing of the hybrid GMC model linked to the Green Commodities Program did not produce the expected results, there should be no penalty for testing an alternative approach, as long as lessons are learned. Suffice that most development projects should be very happy if ¾ of a development project meet and go beyond the objectives and outcomes, especially in a complex project such as the GMC.	**Lesson:** Building trust among all participants in a Commodity Platform requires clear objectives and guidelines for achieving them to convince stakeholders that consultations and decisions brought to the government by the platform are not only respected, but that they receive feedback about whether action was taken on their inputs into the decision-making process. The absence of interactive dialogue can break this trust and lead to government actions (e.g., policies, management measures) that undermine achieving triple bottom line impacts throughout the fishery value chains. It can also create perverse incentives that drive opposition or evasion of those undemocratic actions, as well as noncompliance with traceability throughout marine commodity supply chains. Without government trust and leadership, it is unlikely that the private sector will contribute to drive the activities that must be taken to produce the substantial changes (e.g., reliable a reporting, science-based decision-making, adhering to Regional Fisheries Codes of Conduct) required to improve sustainable seafood ratings.
Finding (Efficiency): Overall, the GMC efficiency is rated as Highly Satisfactory, despite some delays in requested audits. The project was efficiently implemented, and the Ecuador Office did an excellent job of administering the project in the four countries, while the Philippines and Indonesia provided the requested audit information and provided reporting on a timely basis. For relatively little money, three countries (Ecuador, Indonesia and the Philippines) have exceeded expectations and the GMC achieved significant results - and the financial shortcoming was made up by additional investments that were 45% higher than anticipated in the three countries.	***Conclusion*: *Overall, the GMC efficiency is rated as Highly Satisfactory***. It is concluded that the GMC has been efficiently implemented and the adequate use of funds and the co-financing, both has contributed undoubtedly to the achievement of GMC's results.	
Finding (Sustainability): The evidence strongly indicates that the positive results will continue, and Sustainability is rated as **Likely**, because there is a large upswing in private sector and even artisanal fisher investments in the FIPs in most countries. The Philippines, Indonesia, and Ecuador have some remarkable results that have increasingly gained support through external funding of badly needed scientific data, monitoring, among other investments. The BSC and Octopus are now gaining support from the governments and the results are so encouraging that those governments are exploring new FIP commodities.	***Conclusion*: *The original GMC model is likely to be sustained*** based on the good experiences implemented and tested by three of the four countries supported by the project, whereas the hybrid GMC model implemented is unlikely to be sustained based on the available evidence. COREMAHI, an incipient regional organization, is still in its infancy to which the GMC project helped create is likely to be sustained by Ecuador and it offers an attractive mechanism for improving the coordinated management of the Mahimahi and associated bycatch. While the major Mahimahi producing countries signed off on a joint commitment, Costa Rica refrained, and the country's catch sector abstained from signing the Code of Conduct.	
Finding (Added Value): Although funding was limited for 4 countries, the evidence suggests that this resulted in innovative approaches for attracting additional funding and contributing to the overachievement of the expected results in three countries, which might not have occurred had there been a larger budget. Co-financing from the Public and Private sector has been a key factor in the achievement of results.	***Conclusion:* Rather than being an obstacle, the GMC's relatively small budget led to innovation, adaptive decision-making and management and it attracted unforeseen public-private co-funding** that filled many of the financial gaps and was a major contribution to the success of the GMC model.	**Lesson:** While the governance platforms are an important communication tool for producing open dialogue, it should not be the ultimate goal because the platform is always a transitional structure, and evolving space for innovation. Without consensus and leadership, it is difficult to build trust, and it is impossible to overcome the barriers that prevent a transition to certified-driven fisheries market. Joseph Stiglitz's quote on trust reverberates loudly as one of the key ingredients for the successful Platforms and FIPs. **Lesson**: A good, participatory root cause analysis with multiple stakeholders and disciplines *is an essential requisite to complete before embarking on any FIP.* This requires fisheries-specific criteria and not a simple, linear checklist focused on a relatively simpler supply chain like that adopted by the GPC's methodology, which uses a different root cause diagnosis and has a very different vision. Furthermore, the creation of parallel FIP Governance Platform committees (Platform Steering committee and Project committee) is almost always going to be inefficient, govern
Finding (Incipient Impacts): The TE examined incipient signs of achieving triple bottom line impact in terms of embarking on a path to achieve social, economic and environmental conditions. The evidence indicates that economic conditions have improved for many fishers, particularly for the GMC-supported Asian fisheries, scientific studies have helped quantify several stocks and identify genetic differences that are the key to sustainable fishery management, while concerted efforts have been made by Ecuador to reduce bycatch, which helps protect the resilience of biodiversity resilience and other marine ecosystem services. However, the results regarding Costa Rica's contribution to these efforts fell short of expectations.	***Conclusion*: Country ownership and GEF Additionality are strong** in three countries, but those countries have begun to replicate and upscale the GMC model. The GMC has also contributed to the GEF's additionality criteria**.**	
Finding (Gender and other Cross-cutting issues): The GMC ProDoc lacked a budget to address gender issues, since it was never contemplated. However, a gender strategy was designed	***Conclusion*:** Although gender issues were not incorporated as part of the design of the GMC, the Project contributed to gender equality and women's empowerment, because of a	

in 2019 that incorporated gender mainstreaming actions, which somehow (limited by resources) managed to contribute positively to gender equality and empowerment of women. Although the 2012 Social-Environmental safeguards Strategy clearly underscored the importance of integrating gender and human rights aspects into the GMC, these were not incorporated. .	formidable effort by the IPCU and the IPs, by designing and implementing a gender strategy (from the mid-term of the Project). It is concluded that the project contributed positively to creating capacities to mainstream the gender approach in the value chain of the supported fisheries, to promote the participation of women in governance spaces (although with limitations), and to strengthen the understanding of the role and barriers of women in the value chain of fisheries.	that it simply adds an extra layer of checks and balances that is not only in redundant and ineffective, but it is also likely to confuse the platform stakeholders. **Lesson:** Understanding impact should not only focus on the material improvement sustainability standards to be attained (Miller *et al.* 2015), but also how interactions and conflicts over the definition and implementation of standards hinders innovation contributing to sustainable triple bottom-line impacts.
Finding (Unexpected Results): Four unexpected and highly positive results emerged during the implementation process, namely the creation of COREMAHI, which although in its infancy, aims to fill in the limited mandate of IATTC to contribute to the Mahi-mahi fishery, the gender strategy, the participatory monitoring by fishers in monitoring and providing data for improving management and the additional financing contributions by the private sector and the governments in all countries[3] to help make up for budget shortfalls.	The unexpected, positive results of the gender strategy, participatory monitoring by fishers to improve data collection for improved stock management, creating COREMAHI to fill in gaps related to IATTC's singular focus on sustainable tuna and not Mahi-mahi management and the additional financing contributions by the private sector and the governments in all countries to help make up for budget shortfalls were major contributions to the project's effectiveness and incipient signs of impacts.	**Lesson:** Developing Fishery Management and Action Plans requires a multidisciplinary team with peripheral vision, experts who understand how to formulate such plans and especially important, good facilitation skills and experience to lead a transparent dialogue process resulting in effective management plans, as was the case with the Philippines, Ecuador and Indonesia. .
Finding (**Other Aspect**s): Costa Rica was the first country to implement the GMC with its hybrid model in which it invested considerable effort and a commitment to create the first large pelagic FIP in the world and testing something, as well as the country's offer of highly valuable in-kind contributions related to scientific data.	The evidence supports the finding of strong country ownership of the GMC that achieved results offering a solid foundation and experiences that can be replicated in Ecuador, the Philippines and Indonesia, with new FIPs in those countries, and upscaled to other countries. However, the evidence is unequivocable that the same optimism is not shared for Costa Rica's hybrid model, despite the country having invested considerable effort in establishing the first large pelagics FIP in the world.	**Lesson:** Failure to focus on **all three** dimensions of environmental sustainability is a multidimensional (physical-chemical, biological ecological resilience) ignores the core of the GMC's objectives and other integrated seafood supply chain projects. The generation of data and information is fundamental for building supply and demand for sustainable fisheries, as is the collection of meaningful biological and ecological data using participatory processes involving other stakeholders, like the artisanal fishers are going with scientists in Ecuador. Especially pertinent are reliable data on the ecological and trophic responses of overfishing apex predators, which may be critical components in the food webs in certain fisheries and ecosystems. Otherwise, it leaves fishery managers, politicians and fishers much less informed about the status of pelagic ecosystems and closes the window of opportunity to design more sustainable approaches to reducing bycatch and the destruction of productive, living bottom habitats (such as longline and net set sites, timing, duration, gear types, and so on) that could reduce the mortality rates for bycatch species such as billfishes, turtles, sea birds, and sharks (Kitchell et al. 2002). **Lesson:** Lessons from multiple projects (failed and successful) highlight that in general, biodiversity contributes to the productivity and stability of ecosystem processes that generate ecosystem services. Invariably, the more diverse ecosystems are more resilient to overfishing and to long-term threats such as climate change, and maintaining resilient marine biodiversity is a major component of those ecosystem services that directly support the full enjoyment of human rights. The Ecosystems approach to Fisheries is so far the best tool available for addressing these complexities, uncertainties and unpredictability of the human interactions with ecosystem dynamics.

[3] According to the Draft 2021 PIR, the target of additional private investment was met and exceeded with additional private investment in FIPs supported by the project of $4,171,932, of which $1,911,447 has been invested to date (differentiation between committed and investment is needed, the latter is funds spent; there are commitments even beyond the project lifetime). In Costa Rica committed $974,864 and invested $253,616, Ecuador for small pelagics committed $1.2million and invested $485,355, Indonesia committed $1,063,481 ($206,481 crab council + $137,000 AP2HI of total of 991,400 before project start) and invested $720,000 ($137,000 AP2HI + $583,000 Crab Council) and Philippines from Crab Council committed $1,035,476 and invested $452,476.

While the GMC overachieved in meeting its expected results, there remain several shortcomings, specifically the incipient gender responsive focus that requires considerable work for mainstreaming into seafood commodity supply chains, as well as the absence of attention to negative ecosystem resilience-uncoupling outcomes such as bycatch, and human and labor rights. A second phase that expands the scope to build on the lessons from GMC-1, must further develop the GMC Theory of Change and it could be built on the TE's reconstructed ToC that could provide the framework for a real-time M&E platform that is based on SMART outcomes, including triple bottom-line development impacts, and not the standard output targets that are widely used in the fishery sector and also for measuring effectiveness. It is imperative that the second phase be linked to adaptive management principles built into the outcome-focused M&E platform. Testing the validity assumptions and risk-reducing measures related to the GMC2 model will help capture lessons on a real time basis and allow for adjusting the model as required in real time, rather than at the end of the project.

The second phase could very well be framed as a valuable contribution to the rudderless[4] **Blue Economy paradigm**, *which is far from the stable development concept that it promises to be*.[5] Given the lack of consensus over a definition for the Blue Economy, it is unlikely that there will be any formal guidance on this question in the immediate future, unless new examples, such as contributions to a GMC are tested. Finally, the second phase could be framed around Coastal-Marine Spatial Planning (CMSP)[6], which despite considerable evidence showing that CMSP has frequently fallen short on its promise to provide the kind of transformations that were expected, and a gap remains between theoretical CMSP arguments and how it gets implemented in practice[7]. These critique notwithstanding, CMSP continues to expand through its support from multinational lending organizations. GMC 1 offers an excellent governance and dialogue platform that could be useful for CMSP management arrangements and for building trust in other countries.

Until now, the GMC has focused on National Export-oriented commodity supply chains aimed at the international markets. This should be continued to improve the effectiveness of mainstreaming GMC-1 sustainability along supply chains. However, a high priority should be placed on adapting FIPs to small-scale fisheries and to develop and test new tools to engage them into fishery improvement projects. The second line could be non-export-oriented markets in which supply chains deliver seafood products to domestic markets such as fresh seafood sold to tourism restaurants and hotels (e.g., Cabo Verde, Roatan and other Caribbean destinations), in local markets, salted-dried fish or as frozen fillets provided by artisanal and small-scale fishers who could also take direct pressure of MPAs.

Finally, all original member countries should be allowed to participate and the chances of an improved ownership from Costa Rica might emerge with the change of governments in early 2022, and the new government may be willing to take up the approach. However, the geographic scope should be extended to Africa (e.g., Ghana, Kenya, Senegal, Cape Verde), as there could be attractive donor support from organizations such as Swedish International Development Assistance, Nordic Development Fund, African Development Bank, the MAVA and the Waitt Foundations.

Recommendations for the next series of actions based on the above framework are presented below.

[4] To date the emerging literature on the Blue Economy has focused heavily on the lack of clarity and consistency around the many different interpretations of the term (Winder and Le Heron, 2019), as well as the implications of this incoherence for oceans governance (Hadjimichael, 2018). At the second (sectoral) and third (cross-sectoral) levels there are at present no formal or informal 'check and balances' which articulate which industrial developments can be considered a legitimate component of the Blue Economy, or how the overall concept should be enacted in practice (Voyer *et al.*, 2018).

[5] Childs, J. & C. Hicks. 2019. Securing the blue: political ecologies of the blue economy in Africa. Journal of Political Ecology 26 (1):323-340.

[6] A concept that covers approximately 10% of the territorial marine areas in over 70 countries, and which aims to transform the use of coastal and marine waters through governing mechanisms to address the fragmented sectoral approaches to management and harmonize participatory planning and incongruent policies in all sectors. These critique notwithstanding, CMSP continues to expand through its support from multinational lending organizations.

[7] Clarke and Flannery 2019; Tafon 2018, especially when it comes to ocean economies, equity, and measurably improving small scale fisherfolks lives (Fairbanks et al. 2019)

Recommendations Table

Criterion	TE Recommendation	Entity Responsible	Time frame
Design	**Recommendation: 1 It is highly recommended that a second phase be developed to** continue efforts to mainstream other dimensions of sustainability (e.g., bycatch reduction, greater importance place on human and indigenous rights in the seafood commodity value chains) into seafood supply chains, while rebuilding and protecting fish stocks, biodiversity and livelihoods. The subsequent phase must also be anchored to a robust, flexible Theory of Change that includes key assumptions to drive an adaptive management process, all of which are essential for learning by experimenting with context-specific complexities associated with the multisectoral, and multidisciplinary management challenges of the fishery sector. Outcomes must be SMART. It is also imperative that the project incorporate the lessons and good practices (FIPs, Governance Platform good and Seafood buyer-seller Roundtable practices) from Phase 1. All countries should be part of the process, as long as the explicit guidelines and conditions for participation are followed, and new countries should be welcome, provided that a fixed percent co-financing contribution is provided under a government-private partnership arrangement.	UNDP, SFP together with partner countries	Immediately to capture funding cycles
	Recommendation 2: Prepare a Concept Note for future sustainable marine commodity supply chains projects, the design team must be interdisciplinary, capable of thinking outside the box with different eyes and who understands Management and Action plans, lead the dialogue about how to create a triple bottom-line fisheries project with an integrated environmental, social, gender and human rights focus from the beginning, doing things differently, bringing in innovation through a multidisciplinary focus – a really well thought out one. Up to date information is required, along with gender fishery profiles, gender analyses, among others. Transparency, dynamic dialogue and trust are fundamental ingredients that must be the highest priority for participating countries to instill in their Governance Platforms, carefully screening to include actors from different levels of supply chains who are committed to work in synergy and for positive change.		
Implementation	**Recommendation 3:** For similar projects, or a future phase 2 of the GMC, it is recommended that **the IPCU start operations alongside the beneficiary countries (and not afterwards) within the same start-up period,** allowing all the IPs to benefit from the management structures and lessons learned, thus that will undoubtedly also contribute to efficiency and therefore to the expected results. This should not exclude testing new approaches, if they are built on adaptive management principles, solid assumptions and good communication structures with the other participating partners. There should be at least a non-binding expression of financial commitment from the private sector for support.	UNDP, SFP together with partner countries and new FIPs	Implementation Phase
	Recommendation 4: Future FIPs must ensure that participating countries are complying with their commitments to international agreements (e.g., CBD[8] Biological Diversity, UNCLOS[9], UCHR[10], Universal Declaration of Human Rights). Those countries should also look to raise the institutional bar to de-politicize outside influence from powerful private sector interests and donor/executing/implementation agencies, while harmonize intersectoral coordination from the highest levels of government similar to the excellent model provided by BAPPENAS and the incipient model re-emerging in Ecuador.		

[8] Convention on Biological Diversity
[9] UN Convention on the Law of the Sea
[10] Universal Declaration of Human Rights

Cross-cutting Effectiveness	**Recommendation 5: A second phase should also have sufficient funding to cover costs to identify root cause analyses of key elements contributing to the degradation of marine biodiversity and other ecosystem services**, ensuring that participating fishing nations health, safety and environmental safeguards, especially for reducing Bycatch (e.g., habitat protection, complying with the CBD specifications and pertinent protocols, IUU bycatch, as well as innovative approaches by Squire et al 20201a, b), and develop context-specific Management Plans, together with their associated Action Plans that are measured by SMART outcome targets. A Phase 2 design must include the FAO's Fishery Code of Conduct and the Ecosystems Approach to Fisheries, which has shortcomings, but is an adequate starting point for addressing the complexities, uncertainty and unpredictability of the human interactions with ecosystem dynamics. The linear, Agroecosystem approach should remain with the sector where it belongs.		
	Recommendation 6: A climate adaptation component should be integrated into the second phase, given the impacts that climate change will have on fisheries of the future, as it will help avoid missing an opportunity for timely and urgent action, before it becomes problematic. A 3-stepwise approach testing widely used ecosystem-risk assessment methods (see references in) could benefit Phase 2 from its early design to prepare for the impacts of climate change on future fisheries management for climate change.	UNDP, SFP together with partner countries, thematic scientific advisors	
	Recommendation 7: A second phase should also build upon the Phase 1 success with creating public-private partnership at the national and global levels while participating international NGOs should always contribute, rather than request funds or provide significant in-kind contributions.		
	Recommendation 8: A second phase should expand its focus on the social dimensions of sustainable marine commodity supply chains to include results-based indicators that build on the Phase 1 Gender Strategy and mainstream a responsive approach addressing gender equality/equity into an adaptive, learning framework developed in Governance Platforms. It is imperative that the strategy and implementation framework includes realistic budgets that ensure that the actions derived from the Project not only have the responsive gender approach, but it must also start from a deep root cause analysis of the situation of women (gender analysis with primary information) in supported fisheries to ensure that gender-strategic action plans are adapted to context-specific realities, and other key elements	UNDP, SFP together with partner countries, thematic gender advisors	
	Recommendation 9: Human and labor rights abuses must be addressed along commodity supply chains – from harvest to the table- during a second phase. SFP seems well-positioned to explore collaboration opportunities with leaders such as the Danish Institute for Human Rights' (DIHR) work with Pursuing a Human Rights-based Approach to Fisheries and Aquaculture, as should be progressive donors like Swedish International Development Agency who funded their work.	UNDP, SFP together with partner countries, DIHR and other thematic specialists	
Sustainability	**Recommendation 10:** Phase 2 should **allocate funds and develop an action plan to create specific solutions to facilitate small-scale fishers to report and verify sustainable practices, including IT development** to ensure technological equity and justice. Currently, small-scale fisheries (SSF) cannot afford e-logbooks and the private industrial companies in Ecuador have provided funds for SSF to buy them. However, this is an exception, and the financial gap must be filled to allow SSF to report.	UNDP, SFP together with partner countries, FIPs	
	Recommendation 11: ***A high priority should be placed on advancing the institutionalization of COREMAHI for Eastern Pacific Mahi-mahi fishing nations***, as it offers a viable mechanism for improving the coordinated management of the Mahi-mahi and associated bycatch. The extent to which the Code of Conduct should be agreed upon by signatory nations should be examined carefully to ensure that it is sufficiently robust for sustainably managing the fishery, including reducing bycatch, yet palatable for countries who might be reluctant to sign.	UNDP, SFP together with Eastern Pacific partner countries, FIPs	**Immediately**

1. INTRODUCTION

1.1 Purpose and Scope of the Terminal Evaluation

The Terminal Evaluation (TE) presented herein reports on the degree to which the project achieved its expected results and aims to identify the reasons for success and shortcomings, as well as key lessons captured during and at the end of the implementation process. These lessons, as well as the TE's evidence-based findings form the basis of the end-of-project recommendations that can not only help sustain the project's benefits and the overall enhancement of UNDP programming, but also contribute to further address the identified gaps, avoid repeating mistakes in effectiveness and efficiency, replicate good practices and scale them up with new global partners. This will help future fishery commodity supply chain initiatives sustain positive outcomes in partner countries. Finally, the TE aims to promote accountability and transparency that is based on triangulated evidence from the available project documentation, peer-review articles, and interviews with stakeholders in each partner country. The TE period to assess covers November 2017 to November 2021.

1.2 Methodology

As defined in the ToR, the Consultant follows a collaborative and participatory approach ensuring close engagement with the main stakeholders involved in the Project. The TE assesses results according to the criteria outlined in the Guidance for TEs of UNDP-supported GEF-financed Projects, triangulating the evidence to produce a robust, evidence-based TE Report.

The Terminal Evaluation follows the latest GEF TE guidelines (http://web.undp.org/evaluation/guideline/documents/GEF/TE_GuidanceforUNDP-supportedGEF-financedProjects.pdf) to make useful observations and recommendations that mainly rely on the available information, the quality of the information collected, as well as their completeness and reliability for incorporation into the Consultant's analytical results.

The principal starting point for the Terminal Evaluation is the core documentation available for the GMC Project, as well as available Terms of Reference for implementation of the Evaluation.

1.3 Data Collection & Analysis

Due to the global COVID situation in all countries, the consultant was unable to make site visits to the countries and therefore, all interviews were conducted remotely via Skype and Zoom from July 1st to August 12th with key GMC stakeholders as presented in section 2.5 (following the suggested list in the ToR). The analysis was based on the triangulation of the information obtained from the interviews, the desk review of the Project documents and the reconstruction of the ToC.

1.4 Ethics

The TE has been conducted following the UNDP Code of Ethics[11] (see Annex 9) that has adopted the following six values to create a unified culture that supports UNDP's vision to achieve the Sustainable Development Goals (SDGs) through ethical practices:

- Integrity
- Transparency
- Mutual respect
- Professionalism
- Accountability
- Results orientation (Through Principled Performance)

1.5 Limitations to the evaluation

The following table shows some of the potential risks the Consultant identified (and mentioned in the Inception report) to its efforts to conduct a seamless Terminal Evaluation of the GMC, including possible actions to mitigate those risks.

Table 2. Identified Risks and Mitigation Actions

Identified Risks	Level	Mitigating action	Comments
Availability of stakeholders and participants of the GMC to get involved in interviews.	**Low**	✓ Close coordination with International Project Coordination UNIT (IPCU)	*At this stage, the TE has conducted 90% of the planned interviews, and all but one person has agreed to an interview before the final TE Report is completed.*
Lack of consensus on the findings of the TE report among the GMC Project Steering Committee (PSC).	**Low**	✓ Regular update on the (intermediary) findings of the evaluation. ✓ Clarity of findings at the meetings with IPCU or PSC (e.g., meetings arranged for presenting and discussing the Inception Report, and the Draft Final Report).	*While the TE is an independent analysis based on the best evidence available, regular discussions are held with the IPCU in the event that certain details require adjustment.*
Comments to reports and stakeholders meeting outputs are not provided on time.	**Medium**	✓ Review of time schedules and experts time input may be required, thereby delaying the target date for submission. ✓ Seek full support from the GMC team to obtain notes/reviews to deliverables.	*Delays in feedback on IR have slowed the agreed upon TE reporting schedule slightly.*

[11] https://www.undp.org/sites/g/files/zskgke326/files/undp/library/corporate/ethics/UNDP%20CODE%20OF%20ETHICS%20-%20June%202020.pdf

Identified Risks	Level	Mitigating action	Comments
Subjective evaluation Bias #1 collecting biased information from the GMC stakeholders.	**Medium**	✓ Development of evaluation tools and data sheets and the development of questionnaires to generate data and information in a coherent framework. ✓ Triangulation of data and information obtained from interviews with stakeholders at the three identified project levels.	*At this stage, all risk-mitigating measures have been taken by the evaluator through triangulation.*
Subjective evaluation Bias #2 by limiting interviews to project implementing partners who may not be fully objective.	**Medium**	✓ Full confidentiality: interviews with other beneficiaries (at country level) to assess the degree to which the project has been inclusive of all pertinent actors.	*At this stage, opinions have been considered and compared with the available information available through triangulation.*
COVID-19 Context affecting field phase	**Low**	✓ ToR indicated virtual mission. Interviews will only be conducted remotely.	The TE consultation process was caried out online.
Weaknesses in the SESP analysis (e.g., unforeseen risks not considered) that could have affected the sustainability of the GMC.	**Medium**	✓ The Evaluator will indicate where necessary if an update is needed for a potential GMC2	*The TE has addressed key shortcomings that could be strengthened in a potential second phase (weak attention to Human Rights concerns, environmental sustainability has been addressed)*

Source: The Consultant

1.6 Structure of the TE report

The TE has been structured according to what is established in the ToR, as described below

- **Section 1:** Introduction.
- **Section 2:** Project Description.
- **Section 3:** Findings.
- **Section 4:** Main findings, conclusions, recommendations & lessons learned.
- **Annexes:** Complements the core part of the TE

2. PROJECT DESCRIPTION

2.1 Project start and duration

According to the Project Document (ProDoc), the project was to be implemented over 48 months, allowing two months for closure. The International Project Coordinator (IPC) and the Administrative and Financial Assistant were to be contracted for 50 months, and the ProDoc assumes that project implementation starts on recruitment of the IPC. Originally the project was supposed to end on Nov 30, 2020, however, in 2020 the project term-extension was approved until Nov 30, 2021.

2.2 Development context

Environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope.

Today, overfishing of one-third of the world's fish stocks represent a significant threat to global food security[12], commerce, livelihoods, and the resilience (*sensu* Carr 2018) of many of the world's marine ecosystems. Uncontrollable environmental factors such as ocean warming, have exacerbated the impacts of inadequate ecosystem-based governance processes that have hindered global efforts to shift to the sustainable use of the world's fishery resources and continue supporting the livelihoods of nearly 15% of the world's population. The proportion of fish stocks that are overfished continues to increase, and the proportion of underfished stocks continues to decline (FAO, 2018, p. 56/227), threatening livelihoods, particularly of the most vulnerable, as well as the supply of affordable fish to the international markets. With continued population growth, global demand[13] can be expected to increase and this increased demand will increase fishing pressure and provides an incentive to Illegal, Unreported and Unregulated (IUU) fishing.

In addition to the barriers identified in the ProDoc, several issues related to weak governance processes further exacerbate the situation: i) the lack of intersectoral coordination to reduce non-fishery-related impacts; ii) an absence of trust in government and other parties involved in fishery management and governance; iii) coordination and lack of leadership by regional fishery organizations and countries to unite players in a common vision of the social, environmental and economic dimensions of sustainable fishery management; iv) inexistent government structures that focus on Annual work plans rather than continuous outcome-oriented stewardship promoting sustainable fisheries; and v) incorporating market demand as a driver for engaging the private sector into an interactive models of governance.

This preoccupying situation varies widely in the world's oceans, with the highest rates and magnitudes of fishery stock declines expected to be felt in the tropics (IPCC, 2019, pp. 13, 17, 25). Therefore, building, and further strengthening transparent, inclusive and interactive dialogue fora for specific fisheries and brokering commitments (especially public-private alliances) are key elements for developing precautionary approaches to have up-to-date data to help understand the dynamic structure of targeted fishery stocks, rebuild overexploited or depleted fisheries, and develop evidence-based fisheries management strategies that incorporate the uncertainties of climate change impacts on fisheries (IPCC, 2019, p. 36).

Fisheries continue to be important to the four targeted countries: Costa Rica, Ecuador, Indonesia, and the Philippines. The two Regional Fisheries Management Organizations (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).

Finally, the biggest threat to biodiversity comes from 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).

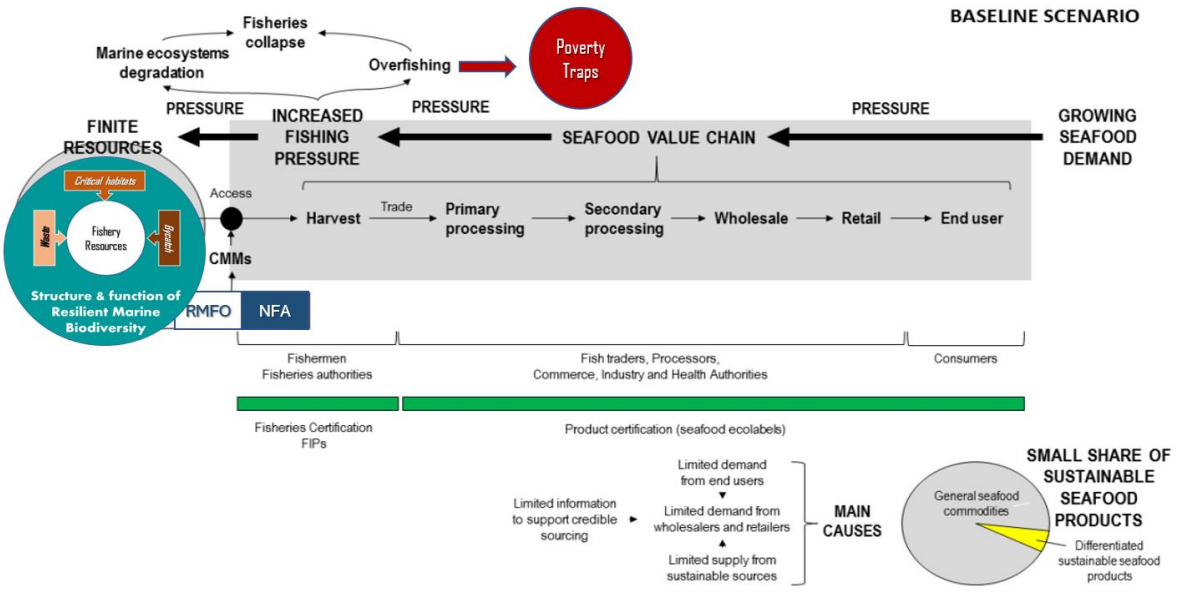
[12] In per capita terms, food fish consumption grew from 9.0 kg in 1961 to 20.2 kg in 2015, at an average rate of about 1.5 percent per year
[13] Strengthened demand and higher prices increased the value of global fish exports in 2017 to USD 152 billion, 54 percent originating from developing countries (FAO, 2018, p. 9/227).

The principal SDG that the project contributes to is number 14, life below water, whose goal is to conserve and sustainably use the oceans, seas, and marine resources for sustainable development, and SDG12 (responsible production and consumption) and SDG 17 on creating Global Partnerships, among 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.

Problems that the project sought to address threats and barriers targeted

The GMC Project was designed to address the inadequate governance that is a major barrier to shifting to the sustaining resilience of marine fisheries. It aims to create interactive governance processes involving public and private sector actors to help drive sustainable fishery management implementation in partner countries. Furthermore, the GMC project addresses the premise 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 (Figure 1). However, the TE further adds that

Figure 1. Effect of growing seafood demand on marine fisheries and biodiversity and poverty.



Source: Modified by The Consultant from the GMC ProDoc

unsustainable fishing practices have led the collapse of target fisheries in multiple countries. Included in these unsustainable practices is the issue of fishery bycatch, herein defined to include not only the incidental or intended capture of biologically vulnerable, threatened, endangered, protected or otherwise emblematic species that each of the GMC countries have agreed to protect under international conventions (e.g., Convention of Biological Diversity), *but it also includes habitat impacts* (following Squires *et al.* 2021.) that include critical habitats required for these species to complete their life cycles so they can enter the fishery as new recruits and reproductively active adult to replace fishing mortality. There are far too many examples where overfishing has driven fisheries to their total collapse (Worm *et al.* 2006;

Jackson *et al.* 2001)[14] as a result of continually removing non-target species and reproductively immature individuals. Together, these cumulative impacts frequently the uncouple the physical-chemical and biological linkages that drive the resilience (*sensu* Carr 2018; Allen and Holling 2010) of coastal-marine ecosystems and the services they provide to coastal nations. Biodiversity is at the heart of the resilience of coastal-marine ecosystem services, and *the provision of ecosystem services is a key aspect of the healthy and resilient ecosystems that are universal human rights* (UNHRC 2017)[15].

Frequently, the most marginalized members of fishing nations are the ones who pay the price for unsustainable fishery management and biodiversity losses, which can lead to social-ecological poverty traps (see Cinner 2011). With increased poverty, many coastal communities become ripe to have their human and labor rights abused[16] (Ryan 2021; Crane 2013). For more details, the reader can review the Human Rights Guide to the SDG (https://sdg.humanrights.dk/), and particularly the implications to **SDG #14** (https://sdg.humanrights.dk/en/targets2?goal[]=83), specifically under SDGs #14.2[17] and #14.4[18].

The ProDoc contends that "The long-term solution is a transformation of the market in which sustainable seafood is adequately valued[19] 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[20]. The project concentrates on the relationship among the other members of the value chain, from fishers to retailers.

Barrier 2: Limited demand from wholesalers and retailers.[21] The project is designed to address this barrier through: by (i) developing tools to assist retailers, wholesalers and processors to prepare and implement

[14]Nonetheless, the depletion of global fish stocks cannot be attributed to fishing alone, because habitat destruction, pollution, invasive species and climate change negatively affect fish populations

[15] Human Rights Council Thirty-fourth session (27 February-24 March 2017 Agenda item 3): Promotion and protection of all human rights, civil, political, economic, social and cultural rights, including the right to development; Report of the Special Rapporteur on the issue of human rights obligations relating to the enjoyment of a safe, clean, healthy and sustainable environment.

[16] There is evidence that the depletion of global fish stocks has correlated with the rise in seafood slavery. Unregulated and illegal fishing tends to deplete nearshore fisheries, causing fishing fleets to travel longer distances for their catch, which in turn results in higher fuel and labor costs. Even a small increase in the cost of labor can significantly increase the cost of production, leading some fishing companies to take drastic measures to stay competitive (Crane 2013).

[17] SDG 14.2: By 2020, sustainably manage and protect marine and coastal ecosystems to avoid significant adverse impacts, including by strengthening their resilience, and take action for their restoration in order to achieve healthy and productive oceans.

[18] SDG 14.4: By 2020, effectively regulate harvesting and end overfishing, illegal, unreported and unregulated fishing and destructive fishing practices and implement science- based management plans, in order to restore fish stocks in the shortest time feasible, at least to levels that can produce maximum sustainable yield as determined by their biological characteristics ().

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

[20] Despite the importance of the first barrier, the GMC project, legitimately, is not designed to contribute to consumer education and awareness and will not contribute to consumer education and awareness: other organizations such as the Marine Conservation Society, the Monterey Bay Aquarium, the Seafood Choices Alliance and WWF are involved in this domain.

[21] 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 *FishSource* and Metrics, but maintenance and inclusion of new fisheries is costly. Note that *FishSource* provides scores about five aspects of fishery

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 improved Conservation and Management Measures (CMMs) for tuna in the WCPFC and the IATTC.

Barrier 3: Limited supply from sustainable sources[22]. At project start-up in 2016 (Costa Rica) or 2017 (Ecuador, the Philippines, and Indonesia) there was still no certified fishery in the four project countries, and 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 (FIPs).

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), all of these require updating and improving. Moreover, the initiatives taken by the project on Sustainable Marine Commodities Platforms (SMCPs) must be analyzed and diffused. Scientific knowledge will be necessary to feed into Fishery Improvement Projects and the Sustainable Fishery Action or Management Plans to be produced by the Platforms. While not a requirement for GEF 5 projects, the GMC developed a ***Theory of Change*** (ToC) in its Completion Report (Orellana *et al.* 2020; see table 2), which hinges upon leveraging the influence upstream and downstream supply chains of the larger companies. The project's ToC can be described 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 (though 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 (though FIPs); ***and*** national governments enable dialogue based on transparency 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.[23]

2.3 Immediate and development objectives of the project

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

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?

[22] Though the supply of certified seafood has increased from 7% (7% of global wild capture and 8% of all fisheries), 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 the SFP's T75 (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) target 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.

[23] 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.

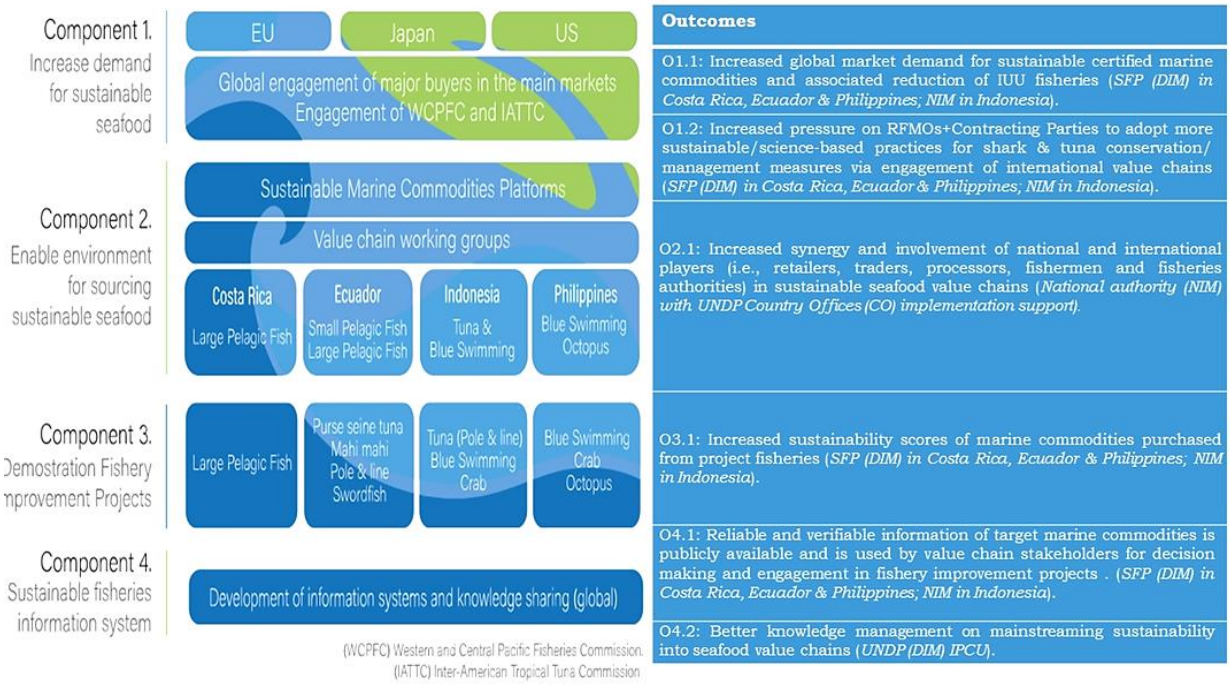
fishery resources." It intends to achieve this objective in four countries (Figure 2) through four components whose achievements are measured by six outcomes (see Figure 3).

Figure 2. Countries participating in the GMC project

Source: The GMC ProDoc

Note that ***at the time of project design, there was no certified fishery in any of the four targeted countries.***

Figure 3. GMC Project Components, Outcomes & Implementing Partners



Source: GMC Project

2.4 Expected results

The Project aimed to achieve 6 expected results, which refer to:

- **Outcome 1.** Increased global market demand for sustainable certified marine commodities and associated reduction of IUU fisheries.
- **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. *It only deals with fisheries taking place in international waters.*
- **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.
- **Outcome 4.** Increased sustainability scores of marine commodities purchased from project fisheries.
- **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.
- **Outcome 6.** Better knowledge management on mainstreaming sustainability into seafood value chains.

2.5 Main stakeholders: summary list

Table 3 below summarizes the primary partnership of stakeholders in the GMC and the IPCU.

Table 3. Primary partnership of stakeholders in the GMC and IPCU

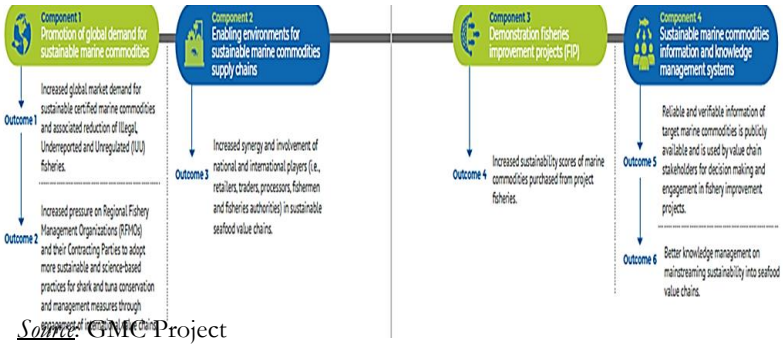
Country/Facilitating Agency	National Authority/ Implementing Partner
Costa Rica	Ministry of Agriculture and Livestock of Costa Rica (MAG)
Ecuador	Ministry of Production, Export Industry, Investment and Fisheries (MPCEIP)
Philippines	Bureau of Fisheries and Aquatic Resources of Philippines (BFAR)
Indonesia	Ministry of National Development Planning of Indonesia (BAPPENAS)
International	Sustainable Fisheries Partnership (SFP)
IPCU	UNDP Ecuador

Source: GMC Project

2.6 Theory of Change

Rather than being designed according to a context-specific Theory of Change (ToC), all GEF-5 projects, such as the GMC, were designed using a Logical Framework Results Matrix. Although this shortcoming was identified by the Mid-Term Review (MTR), the GMC developed the ToC shown in Figure 4. However, the GMC's original ToC is only partial, as it not only lacks the causative links along the project's results chain, but also assumptions for each link of the GMC's results chain. The GMC's

Figure 4. Theory of Change developed by the GMC (Orellana *et al.* 2020).

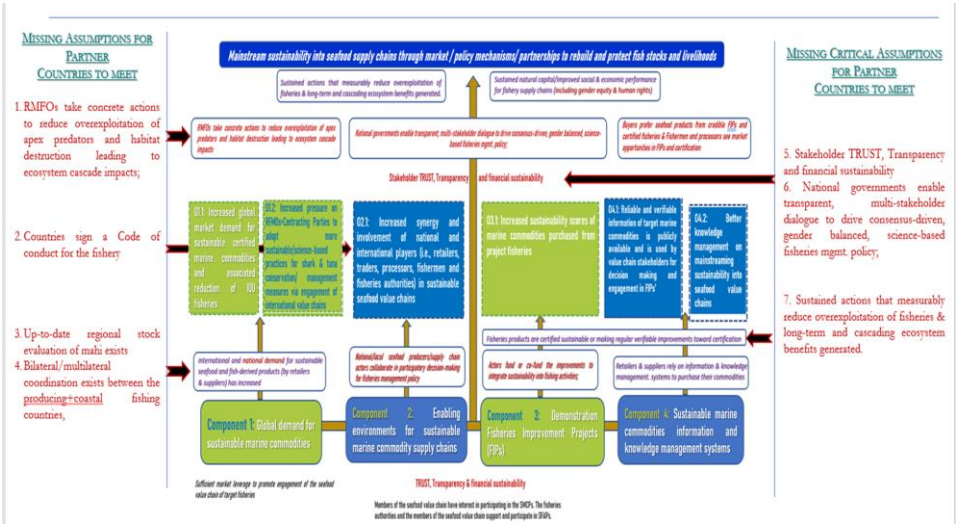


Source: GMC Project

resulting ToC captures the overall results chain, but it lacks some critical assumptions (see **Figures 5** and **6**), which are essential for systematically applying adaptive management principles on a real-time basis, rather than at the end of the project. While the importance of such a real-time and proactive AM process was noted in the GEF's Scientific Technical Advisory Panel (STAP) Report, it does not seem to have been heeded in designing the ProDoc design. Therefore, assumptions can be important because they can help drive a dynamic, real-time and systematic adaptive management approach (sensu *Butler et al.* 2015) that allows for learning from mistakes before the end of a project, which helps build success incrementally throughout the entire implementation process, rather than compiling the lessons at the end of a project, when it might be too late to take effective corrective action.

Consequently, the TE reconstructed the GMC's ToC[24] (**Figure 5**) to help assess: i) the soundness of the intervention logic; ii) the robustness of the assumptions; iii) the degree to which the risks were adequately identified in the Appraisal Document. It also helped guide the formulation of the Evaluation Questions (EQs) and examine the degree to which the project systematically applied adaptive management principles. The reconstructed ToC also helps highlight some of the causative links between the project´s defined goals, objectives, activities, outputs, and indicators with baseline information/data, risks, as well as the key assumptions (see Annex 2).

Figure 5. Theory of Change developed by The Consultant (TE evaluator). *See Annex 2 for a larger version.*



Source: The Consultant

The first finding from the reconstructed ToC is that not all indicators are SMART outcomes[25]. For example, Outcome 2 (which is purely regional and does not include national jurisdictional waters) is an output and not an outcome, because simply signing a Code of Conduct or joining a RMFO does not necessarily lead to what could have been a SMART outcome, namely *more sustainable management practices resulting in reduced bycatch impacts* (again, this refers to protected species and critical habitats). Such a SMART outcome would have two outputs/activities – **Position Statements** for international suppliers and buyers, and support for **Codes of Conduct for effective management** of *mahi-mahi*. In sum, the logic of Outcome 2 was to encourage suppliers and retail, which are SFP's partners, to sign a series of letters to their delegations of the RFMOs, and this should lead to changes in policies that will affect the operation of fleets in international waters.

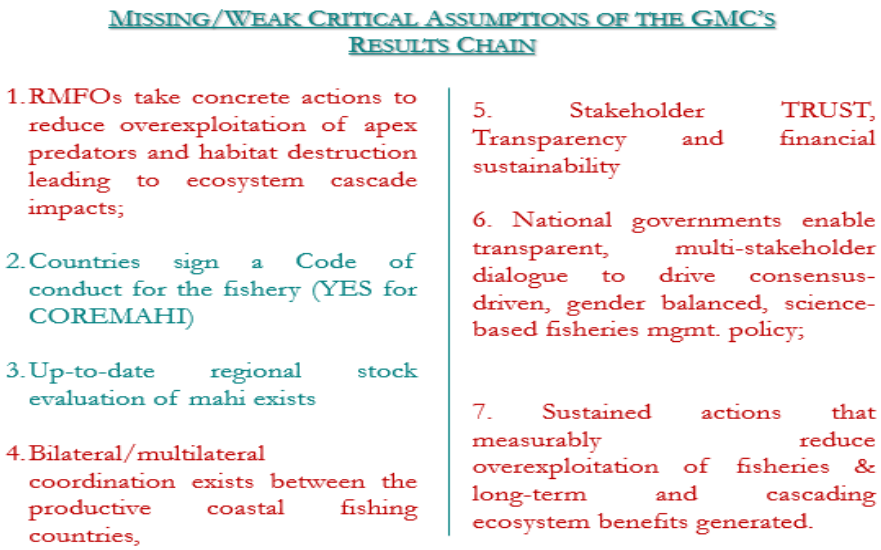
[24] The reconstructed ToC is based on the ProDoc and the PIR for 2020.

[25] SMART indicators are **Specific (**able to be translated into operational terms and made visible, focusing on the 'who' and 'what' of the intervention, as well as the 'how' and 'where' the 'who' is doing the 'what' is important to include in the indicator as it provides the action for the intervention), **Measurable** (able to be counted, observed, analyzed, tested, or challenged. If one cannot measure an indicator, then progress cannot be determined), **Achievable** and Attributable (the monitoring and evaluation system and related indicators identify anticipated changes as a result of the intervention), **Relevant** (measures of the result/outcome and be linked through research and professional expertise) and **Time-Bound, Timely, Trackable, and Targeted** (the M&E platform can track changes in a cost-effective manner at the desired frequency for a set period, with clear identification of the particular stakeholder group(s) to be affected by the project).

Obviously, this would have produced a more robust theory of change. However, it is important to highlight that it does not include the producing countries, or the work in those States' maritime boundaries, because the RFMOs do not have jurisdiction over what happens in the jurisdictional waters of the States.

The second finding is that the ProDoc lacked some critical assumptions that were essential for being included in the GMC's design, because they were critical for ensuring that the desired changes (outcomes) took place. **Figure 6** summarizes the key assumptions presented on the right and left sides of Figure 5, as well as along the results chain leading to the overall objective.

Figure 6. Missing or weak assumptions associated with the GMC's reconstructed ToC (*see Annex 2 for a more complete view***).** Red font indicates Missing Assumptions, while green font indicates included assumptions in the GMC design.



Source: The Consultant

Finally, it is also noted that there must be another assumption (chain of result) to bridge the gap between the work in market and the work in-country to ensure that other countries and fisheries are not left out of the ToC analysis. For example, work on market is not only merely through RFMO but also through *direct engagement with the market*, given that RFMOs don't manage all target fisheries (e.g., blue swimming crab and octopus). Therefore, the bridging assumption could vary with signing the Code of Conduct or an up-to-date regional stock evaluation such as for tuna in WCPO (one of the best managed fisheries in terms of sustainable management) or for COREMAHI as part of the agreement to join a FIP, implementing a FIP to achieve an *A rating*, or obtaining MSC certification for a national managed fishery with its own stock evaluation.

3. FINDINGS

3.1 Project Design/Formulation

A. Response to Evaluation Question 1 (EQ1)

EQ1: Was the GMC project design effective in terms of addressing the necessary factors to bring positive changes in mainstreaming sustainability in seafood supply chains to rebuild & Protect fish stocks and other ecosystem services, as well as improve Livelihoods?

With the exception of ***several missing ingredients for achieving triple bottom line development***

***impacts that are the targets of sustainable development**, the GMC model design presented in the ProDoc adequately addressed the primary barriers that have historically impeded sustainable seafood commodity sourcing along value chains by developing public policies and management instruments for improving fisheries administration and generating learnings to be shared worldwide through a pilot approach that used the GMC model (Ecuador, the Philippines and Indonesia) and a hybrid GMC model developed in Costa Rica, which predominantly contained elements of the UNDP Green Commodities model (https://www.greencommodities.org/content/gcp/en/home.html). The GC model focuses on agricultural and forest commodities. However, as explained in Subsection 3.3.3.1, Costa Rica's hybrid GMC approach is inadequate for meeting the demands of a sector that is considerably more complex than the agriculture and forestry sectors.*

There is no question that the project design led to mainstreaming sustainability into GMC supply chains and the results confirm this finding. The Project design created a framework for building upon and improving tools such as corporate sustainable purchase policies, sustainable marine commodities platforms (SMCPs), and fisheries improvement projects (FIPs), developing national capacities, and generating learning to be shared worldwide.

While the ProDoc included some excellent Environmental & Social Safeguards and Risk–reducing measures, it overlooked several elements that were highlighted in the original ESSP (GEF 2012) – PIF pre-screening (2012), namely, that existing certification schemes for fisheries do not address gender and social issues of the value chain, even though seafood processing is mostly done by women[26]. Despite not being a requirement for GEF 5 projects, it was underscored prior to approval of the project. However, the project started working on gender up until 2019 when the gender strategy was approved. Adequate ecological safeguards and labor conditions, such as personnel safety were also mentioned in the GEF-2012 ESSP recommendations. However, only Ecuador took action to reduce worker safety risks at sea. Nonetheless, these issues represent an enormous and complex task that such a small project could not address. Finally, there is the serious issue of bycatch, especially species listed under the CITES Red List (Sharks, turtles, etc.,)

Although the project aimed to improve livelihoods, protect fish stocks and other ecosystem services, there is limited evidence of outcomes that demonstrated changes in livelihoods. Environmental sustainability is core to the objectives of the project. If the project succeeds, fisheries resources will incrementally 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: supply chain roundtables, platforms and FIPs. Nonetheless, these issues represent an enormous and complex task that such a small project could not address.

Another limitation was that the institutional arrangements set out in the project design were weak (e.g., National steering committees did not explicitly encompass all Components), National Platform Coordinators were financed by the project and not by government budgets, the timescale of the processes the project supports are longer than the project itself, and low budgets for some key positions.

B. Narrative and Evidence Supporting the Answer to EQ1

3.1.1 Analysis of result framework

Although GEF 5 projects do not require SMART outcome indicators, the Results framework (the DRAFT 2021 PIR)[27] contained indicators that were mostly SMART. Although the indicators were

[26] While GEF 5 does not require a gender strategy, the 2012 ESSP recognizes its importance the importance of including gender-related considerations. Surprisingly this was not heeded and no gender strategy was included in the ProDoc nor was any budget allocated however, the Nonetheless, however, adequate optimization of resources by IPCU resulted in the design of gender strategy in 2019.
[27] GMC Project Indicator Framework Update #3 May15, 2021, which appears in the preliminary version of the 2021 PIR.

adjusted based on recommendations by the MTR. Nonetheless, several framework indicators were outputs, rather than outcomes as stated. This is especially a weakness for outcome 2, because simply signing a Position Statement is an ***output***. Although seven position statements have been sent requesting improved Conservation and Management Measures (CMMs) at the IATTC and Western and Central Pacific Fishery Commission (WCPFC) position statements alone are not binding, and therefore considered to be Outputs because there is no guarantee that the desired changes (outcomes) will be achieved.

The relatively large number of outputs that the original results matrix labeled as Outcomes complicated the analysis of a causative chain of results leading to the overall objective. The TE finds that seven of the purported Outcomes are actually Outputs (Outcomes 3a, 4c, 5a,b,c and 6 and 6b).

3.1.2 Robust ToC constructed

Although GEF 5 project did not require a ToC, the consultant's Inception Report explained that this is a requisite for the methodology used for the TE. Further, the GMC developed a ToC near mid-term (Orellana *et al.* 2020), which is logically coherent, but it lacks critical assumptions that are the backbone of any ToC. The TE reconstructed the results matrix and Orellana *et al.*'s ToC to help guide the design of the EQs and to assess the logic of the results chain leading the GMC to its overall objective[28]. Finally, the reconstructed ToC contributed to the recommendations presented herein for guiding the design of a second phase of the GMC, should there be one.

3.1.3 Adequate risk and mitigation measures identified.

Risks and risk-reducing measures were well formulated and lowered the project's original risks outlined in the ProDoc (Annex 15). The project placed little emphasis on the social dimension, and there is no mention of human rights, which was flagged as an important issue in the first safeguards report in 2012. All interviewees agreed that any continuation of the GMC project must focus on human rights, equitable distribution of economic benefits of seafood value chains, and the well-being of the communities, especially artisanal fisherfolk. However, there is keen awareness that they are near to integrating a human rights dimension that includes worker rights, the well-being of communities and economic equity issues. Presently, there are concerted efforts, including from SFP to incorporate the HR aspects into rating. Consequently, social-economic criteria for the certifications are something that could be a priority in a potential PHASE 2

While the certification system will help strengthen the ecological sustainability aspects into the targeted fisheries, the continued reluctance to comply with signed agreements to reduce bycatch of CITES-listed species and unsustainable fishing practices that are destroying valuable ecological habitats, including nursery and reproduction areas for many recruits into a country's fishery, presents a risk to maintain biodiversity and other ecosystem services.

3.1.4 Gender, Human Rights (HHRR), Climate Change (CC) and indigenous people incorporated in project design.

[28] See pages 10-11, Orellana, D., M. Seager and partners (2020). GMC Project Implementation Report: The GMC Model and Our Early Results. 48 pp.

The project design, as shown in the ProDoc, did not include specific actions to address human rights and gender equality issues. However, in 2019 the GMC project ***developed a Gender Strategy*** aimed at ensuring that women are provided equal opportunities and rights to participate in activities throughout fisheries value chains, and to access the benefits that the project generated. The gender strategy also considered Human Rights issues since it was designed in strict accordance with the guidelines of the UNDP and the GEF. The strategy focused on gender equality, women's empowerment, and human rights. For the UNDP, gender equality, centered in human rights, is both a development goal on its own and a critical factor for achieving sustainable development.

Indigenous peoples (IP) and their communities, particularly in developing countries, were considered through Resolution A / RES / 68/71 of the United Nations General Assembly of 2013, which was addressed by the project design, as indicated in the ProDoc, but specific actions that reinforce this resolution were not identified by the Consultant (TE). Based on the available evidence from the target countries, there are no IPs affected by the project.

Climate change was considered in some aspects of the project design, as indicated in the ProDoc. Climate change was part of national fisheries policy concerns in Indonesia and the Philippines and that was highlighted in the United Nations Development Assistance Framework (UNDAF) outcomes[29] of both countries. In addition, it was also considered on the risks and mitigation measures proposed for the project. Climate change was also considered within the Sustainable Fishing Action, *or* Management Plans (Output 3.2 or the project), the updates of the FIP Plans (Output 4.2. of the project), and within the topics to be addressed in the training workshops for stakeholders of the value chain (topic (vii) effects of climate change on fisheries).

3.1.5 Incorporation of Lessons from other relevant projects into project design

The project design was based on some excellent lessons gathered from other projects, including FIPs, and inclusive governance platforms, and the many good lessons that were brought to the project by its partners (SFP, Monterey Aquarium, *FishSource*, etc.), and this is quite evident from the interviews with partner organizations. It also developed a framework for enhancing internationally recognized seafood harvests and purchases through increasing the overall share of sustainability certified seafood in the marketplace, and a framework to further strengthen Global Partnerships with fishers, buyers, retailers, and governments, and this was complimented by surprisingly unexpected investments that added economic/financial value to the GMC model from satisfied governments, fishers and private sector supply chains. Furthermore, the design led to a long-term solution for market transformation in which sustainable seafood is adequately valued by consumers, and the stakeholders along public and private value chains to contribute through appropriate mechanisms, as well as build upon existing tools that have been successfully demonstrated in many parts of the world. The GMC model contains internationally accepted tools and certifiably sustainable purchases through FIPs, Roundtable Dialogue Platforms and increasing the overall share of sustainability certified seafood in the marketplace; it links directly with SDG #17 by creating a framework to further strengthen Global Partnerships – with fishers, buyers, retailers, and governments in the four countries, and additional investments by satisfied governments, fishers and private sector supply chains, also linking with SDG# 14. It was also built on the premise that

[29] Indonesia: UNDAF Outcome 5: Strengthened climate change mitigation and adaptation and environmental sustainability measures in targeted vulnerable provinces, sectors and communities.
Philippines: UNDAF Outcome 4: Resilience Towards Disasters and Climate Change: Adaptive Capacities of vulnerable communities and ecosystems will have been strengthened to be resilient toward threats, shocks, disasters and climate change.

long-term solutions for market transformation in which sustainable seafood is adequately valued by consumers and public and private value chain stakeholders contribute to this end through appropriate mechanisms and build upon existing tools that have successfully demonstrated in many parts of the world to improve seafood. Finally, it recognized that a flexible dynamic approach to implementation is desirable in which countries can explore new, context-specific models and create enabling conditions for building and sustaining the approach.

3.1.6 Planned stakeholder participation.

The GMC project design was based on a process that was largely participatory and transparent in the participating countries. The ProDoc included a situation analysis and stakeholders' analysis, as a result of the participation of the different interest groups in the design of this initiative. Key informants (during the interview process of this TE) also validated the active participation of the different stakeholders in the project design.

3.1.7 Linkages between project and other interventions within the sector

The project design was comprehensive, in terms of mapping and linking with other related initiatives. The ProDoc indicates coordination with other GEF related initiatives such as:

1. UNDP/GEF funded project Sulu-Celebes Sea Sustainable Fisheries Management Project (GEF-ID 3524) under implementation with Indonesia, Malaysia, and Philippines in the Coral Triangle.
2. FAO/GEF funded project Sustainable Management of Tuna Fisheries and Biodiversity Conservation in the Areas Beyond National Jurisdiction (GEF-ID 4581) under implementation in the five tuna RFMOs.
3. UNDP/FAO/GEF funded project Implementation of Global and Regional Oceanic Fisheries Conventions and Related Instruments in the Pacific Small Island Developing States (SIDS) (GEF-ID 4746) to be implemented in countries of the WCPFC.
4. UNDP/GEF funded project Sustainable Management of Highly Migratory Fish Stocks in the West Pacific and East Asian Seas (GEF-ID 5393) to be implemented in Indonesia, Philippines, and Vietnam.
5. UNEP/GEF funded project Establishment and Operation of a Regional System of Fisheries Refugia in the South China Sea and Gulf of Thailand (GEF-ID 5401) to be implemented in Cambodia, Indonesia, Philippines, Thailand, Malaysia, and Vietnam.
6. Conservation International/GEF funded project improving mangrove conservation across the Eastern Tropical Pacific Seascape (ETPS) through coordinated regional and national strategy development and implementation (GEF-ID 5771).
7. Coastal Fisheries Initiative project. Several actions were strategically implemented between GMC and CFI (in case of Ecuador).
8. UNDP/GEF Arafura and Timor Seas Regional and National Strategic Action Programs (ATSEA-2) project. Several actions were strategically implemented between GMC and ATSEA-2 (in case of Indonesia).
9. FAO/GEF Indonesian Sea Large Marine Ecosystem (ISLME) project. Several actions were strategically implemented between GMC and ISLME (in case of Indonesia).

3.2 Project Implementation

3.2.1 Adaptive management (changes to the project design and project outputs during implementation)

The recommended GMC model adapted well to two important unforeseen circumstances that arose during implementation.

1) **Inclusion of a Gender Strategy -** the GMC IPCU took the un-imposed decision around mid-term to invest in developing a gender strategy and seek funding to carry out the consultancy. It actively participated in the design process gender strategy and this process led to an innovative, gender strategy.

2) **Creation of COREMAHI -** This offers an excellent example of how the GMC project took an adaptive approach to correct the incorrect assumption in the Pro-Doc, which assumed that IATTC had management authority over *mahi-mahi*,[30] which it does not. This shortcoming led to the creation of COREMAHI, a surprisingly unexpected outcome, which helped fill IATTC's gap for regional fishery management. It was also driven by lessons learned from WWF's eight years of failure to bring the governments of Peru and Ecuador together to develop a bilateral agreement. Although Ecuador and Peru, the two largest producers of *mahi-mahi,* agreed to join COREMAHI, Costa Rica refrained from joining, and of course, from signing the COREMAHI Code of Conduct.

3.2.2 Actual stakeholder participation and partnership arrangements

Stakeholder engagement and management arrangements were established with the participation of a grand diversity of stakeholders, many of whom had never spoken before, via the Governance Platforms that were coordinated by national authorities with the UNDP and GEF's support, and which effectively strengthened spaces for carrying out national fishery governance processes that encourage co-management and which aim to create Fishery Management Plans and tightly linked Action Plans for implementing them. While the FIP and related governance platform started well and was in place in Costa Rica (PIR 2020), there is no evidence that they are operational at the end of the project in that country after many of its members withdrew[31]. This result contrasts greatly with the considerably more complex FIP platform for Ecuador (significantly larger numbers of fishery stakeholders in the second largest *Mahi-mahi* fishery in the world, compared with the 2% contribution of the mahi fishery), and the complex stakeholder arrangements of the two Asian countries, which are not only being sustained as with Ecuador, but the government and private sector have also provided unexpected cofinancing. These unexpected positive outcomes offer solid evidence that the participatory GMC stakeholder model is having an impact, compared with the approach tested by Costa Rica, which lack the same results.

3.2.3 Project Finance and Co-finance

[30] Mahi-mahi treated as tuna bycatch.

[31] interviews highlighted that the lack of transparency and trust led to the withdrawal of many of the participants after a series of initiatives were presented to improve the sustainability of the sector, especially for CITES-protect bycatch species. However, a Presidential Decree neutralized the platform's recommendations. The available evidence indicates that when the Platform members realized that they could not overcome this ruling, and that they would invariably have to face the power of certain actors to control the process, which total goes against the purpose of the FIP and Governance Platforms. Given that the Government had its own approach agenda to the FIP stakeholder platform consensus, it is not surprising that Costa Rica's FIP was not sustained thereafter.

Finance and co-finance have been implemented properly and transparently. According to the PIRs, the UNDP financial standards and the maximum budgets defined in the PRODOC have been respected. Key informants mentioned minor variations in some activities, due to external factors (for example related to effects of COVID-19 as referenced in Draft PIR 2021), but within what is allowed by GEF policies.

According to information provided by the interviewees, the GMC budget (based on PRODOC) represented some challenges during execution, since some planned expenses were already outdated, considering it took approximately 3 years from the time of the PRODOC's preparation to the start of implementation. However, during execution (according to key informants), they always tried to respect the maximum budgets established in the PRODOC.

According to PRODOC and as indicated in section 2; project implementation was organized into 4 components (with their respective budget lines). An additional budget line was included for Project Management (Component 5). The GMC financing budget corresponds to USD 5,500,000, detailed below:

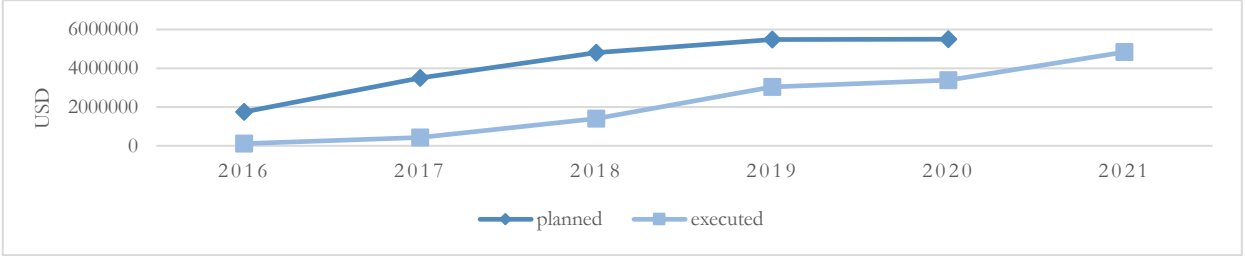
Table 4. GMC Total Budget (USD)

Implementing Partner (IP)	Planned budget by component					*Total Planned*	*Total Executed (June 30, 2021)*	% executed budget
	Component 1	*Component 2*	*Component 3*	*Component 4*	*5 Project Management*			
Costa Rica		475,261			30,713	505,974	504,446	100%
Ecuador		428,120			3,750	431,870	417,863	97%
Indonesia	18,760	520,340	317,250	115,817	30,713	1,002,880	802,969	80%
Philippines		475,261			30,713	505,974	457,433	90%
Ecuador UNDP Intl & SFP	466,352	418,892	913,341	1,074,843	179,873	3,053,301	2,632,440	86%
TOTAL	**485,112**	**2,317,874**	**1,230,591**	**1,190,660**	**275,763**	**5,500,000**	**4,815,151**	**88%**

Source: The consultant. Based on ProDoc and summary of expenses as of June 30, 2021 provided by GMC.

The original project closing date was January 2021, however according to PIR 2020, just 62% of the GMC total budget had been executed as June 2020 and Costa Rica was the only country that executed the national component within this period. Therefore, the project had to extend the closing date to November 2021 to achieve all the project's objectives and complete budget execution. Figure 7 below shows a comparison between what was planned (according to ProDoc) and the budget execution as of June 2021.

Figure 7. Planned Budget vs. Executed (budget)



Source: The consultant, based on the ProDoc, PIR's and summary of expenses as of June 30, 2021 provided by the IPCU.

As of June 2021, the summary of expenses provided by GMC reflects a budget execution of 88% of the total budget, leaving 12% of execution pending between the months of July and November 2021. Although, Figure 7 does not present a critical variation between what was planned and what was executed,

the causes of some of the delays in the technical and financial execution of the GMC (as reflected in the PIRs), are described below:

- Limited interest of partners in appointing a focal point or sharing information, and reduced participation of partners in the decision-making process of the project. Consequently: The inception workshop was implemented outside of the scheduled time and the PRODOC was signed by each country on different dates.
- Delays in signing the Project Cooperation Agreement (CPA) between the UNDP and SFP for the implementation of the global component.
- Delays in hiring the IPCU, due to the candidates not accepting salary offers based on the maximum rates according to the PRODOC's budget.
- In the case of the Philippines, the transition of government led to delays in implementation.
- In Ecuador, after the PRODOC was signed, there was a change in the structure of the implementing partner, since it was divided into two Ministries, which generated delays in the appropriation of the project. During implementation, the national fisheries authorities in Ecuador were subjected to constant changes (in terms of personnel and organizational changes).
- Indonesia only signed the PRODOC in March 2018 after a change in the Implementing Agency, when BAPPENAS stepped in.
- Costa Rica was the only country that started on the initially scheduled date (it signed the PRODOC in May 2016) and therefore its execution (national component) was within the originally planned time. However, this phased start of the project implied greater complexity for the execution, both in technical and financial aspects.
- IPCU was without a full-time finance and management specialist from March to June 2019.
- In the second quarter of 2019, the coordinator of the Ecuadorian national platform resigned from the project.
- The COVID-2019 pandemic affected the development of several activities: trips, meetings, cancellation of events to attract private investors, delays in the process to collect and document the lessons learned.

Internal control mechanisms

Monitoring and evaluation activities defined in the GMC PRODOC are summarized in the following table:

Table 5. Monitoring and evaluation activities

Type of M&E activity	Time frame according to PRODOC
Report and Inception Workshop	Within first two months of project start up
Annual Project Review / Project Implementation Reports (APR/PIR)	Annual, reporting period (June 30 to July, 1)
Periodic status/ progress reports	Quarterly
Periodic Monitoring through site visits	based on the agreed schedule in the project's Inception Report/AWP
Mid-term Evaluation	Last trimester of year 2
Final Evaluation	At least three months before the end of project implementation
Learning and knowledge sharing	At least three months before the end of the project

Source: The ProDoc

Most of the IPs implemented the internal control mechanisms according to the PRODOC adequately, although there were delays by several IPs in presenting their information. On the other hand, the Quarterly Reports (QR) reflect that not all IPs submitted this type of reports on a quarterly basis, some presented them by semester (except SFP), and that in the case of Costa Rica, they did not send a report to the IPCU since June 2018. On the other hand, the 2018 IPCU QR reflected that some countries did not submit their Annual Work Plan on time, which should include the scheduling of site visits for monitoring.

As indicated in the Report on Inception Workshop, the meetings of the Project Steering Committee would be held at least once a year and when necessary. According to the minutes of the meetings, this periodicity was met and exceeded but Project Steering Committee (PSC) meetings were held more frequently based on recommendations by the MTR. Likewise, the Inception Workshop Report indicates the requirement for annual TAG meetings, and according to the 2018 quarterly reports, the meetings of this team were not held, consequently the MTR also defined these TAG meetings as non-functional and suggested that GMC project works with TAG members on a demand basis, which was held.

Regarding external audits, according to the PRODOC, the periodicity of audits should be annual, and the detailed budget includes a line of expenditure for this item for each IP. The Report on Inception Workshop also indicates that annual audits are part of the monitoring and evaluation tools.

Within the documentation provided for this TE, there are two Micro-Assessments (2017 and 2019), two audits (2019 and 2020), a Spotcheck (quarter 3 2020), several programmatic field visits and trainings provided to SFP along the project lifetime, which exceeds what was established in the ProDoc. Based on the interviews conducted, 3 of the 4 countries audited accordingly, but no supporting information was identified, although it should be noted that the PIRs do not reflect project risks related to financial audit findings.

In relation to the two audit reports shared with the Consultant (TE), which corresponds to the period from January to December 2018, and January to December 2019, and the Spotcheck, which corresponds to the July 1 to September 30, 2020, these reflect that the expenses were made in correspondence with the budget approved for the project and following the standards of the processes and policies of the UNDP. These audits and spot-check makes recommendations that were addressed by the project team.

According to the IPCU QR of the first semester of 2020, due to the effects of COVID-19 and that the project was at a critical time of implementation, the audit for that period was rescheduled in early 2021. Nonetheless, a Spotcheck and several programmatic field visits were held.

Co-Financing Funds

According to the PRODOC, co-financing is determined in kind from host governments, and NGOs. Evidence provided by the IPCU indicates that the original total amount of co-financing defined in the PRODOC has been exceeded by 41% (See Annex 8). According to key informants of this evaluation, the co-financing has contributed greatly to the achievement of the project's objectives. They also pointed out that the collaborative effort of the different actors has been very noticeable. The private sector has been very aware of the benefits of this investment, contributing not only with the FIPs but also to the platform activities, although the FIPs have been the main tool to channel co-financing. According to the PIR 2021 (under construction), indicator 4b. Additional private investment in FIPs supported by the project, reflects that private investment commitments to date for FIPs exceed the original goal by 178%.

3.2.4 Monitoring & Evaluation: design at entry (*), implementation (*), and overall assessment

of M&E (*)

While the M&E/PIR process was excellent for tracking the results over the course of the project, it was not used to implement adaptive management principles systematically on a real time basis. While the 2020 PIR provided a preliminary status report for Costa Rica's achievements by the end of its implementation period, triangulated evidence indicate that many of these outputs were not being sustained at the time of this report. Examples are given in Subsection 3.3.3. Consequently, this highlights that the PIR is more akin to a tracking tool of results at a particular point in time, but it does not foretell the Terminal Evaluation where the findings must be triangulated.

3.2.5 UNDP implementation/oversight (*) and Implementing Partner execution (*), overall project implementation/execution (*), coordination, and operational issues.

Coordination, oversight and process facilitation by UNDP-Ecuador was exemplary, and this has been highlighted by three of the four countries supported by the GMC. As mentioned earlier, the IP in Costa Rica chose to experiment with a hybrid model, and this resulted in less effective conditions to ensure articulated coordination and synergy with other partners.

3.2.6 Risk Management including Social and Environmental Safeguards (SES)

The draft PIR 2021 indicates that the project has successfully monitored the risks identified in the ProDoc and included, when necessary, new risks, in coordination with the COs. The TE identified that the ProDoc addressed some, but not all Environmental & Social Safeguards for reducing risks-_PIF pre-screening (GEF 2012) highlighted that existing certification schemes for fisheries do not address gender and social issues of the value chain, even though seafood processing is mostly done by women. However, this was never addressed until the 2019 gender strategy. Adequate labour conditions, personnel safety also mentioned this, but the proposed measures were weak at inception (except Ecuador). Similarly, ecological safeguards (e.g., CITES-listed bycatch in Ecuador and Costa Rica) were not adequately addressed. Nonetheless, it is worth highlighting that these issues, as well as human rights concerns, represent an enormous and complex task for such a small project to address and more attention is urgently required.

3.3 Project Results

A. Response to Evaluation Question 2 (EQ2)

EQ2. To what extent has the implementation of the Project been effective & contributed to achieve the expected results using different design and implementation modalities?

The GMC Project applied 2 different models (ProDoc's GMC and a hybrid linked to UNDP's GCP) to facilitate market mechanisms and for mainstreaming sustainability into global seafood supply chains through improved tools (FIPs, CSPPs) and multi-stakeholder dialogue platforms to craft science-based and consensus-driven policies and good practices for improving the administration of the targeted fisheries. The ProDoc-recommended GMC model was not only effective in producing the expected outcomes, but it exceeded most of the planned targets, whereas the hybrid model fell far short of those targets, and therefore should be discarded in future endeavors in the capture fishery sector. At the end of the project, the GMC Project has met 15 of 16 indicators, while exceeding nine indicators. The achieved results and shortcomings are relevant for sharing and testing in similar global fishery commodities projects. While GMC funding for 4 countries was relatively small, this led to innovations that might not have occurred otherwise. Co-financing from the Public and Private sector has been a key factor in the achievement of results, and it represents an unforeseen positive outcome.

The TE examined the degree to which the four countries were able to meet a set of measurable evaluation criteria and expected results, as well as key assumptions that were developed in the reconstructed ToC. Three countries used the ProDoc-recommended GMC model, whereas Costa Rica tested a hybrid model based on the UNDP's Green Commodities Program (GCP).

Figure 8. Achievement of the four GMC target countries in meeting the TE's evaluation Criteria and Expected Results, and Assumptions related to the reconstructed ToC (see Figures 2,3 and Annex 3).

COUNTRY	EVALUATION CRITERIA & RESULTS							ASSUMPTIONS MET?			
	Improved science-based tools	Improved Fishery Policies	Improved Practices (*in the water*)	Improved Ratings	Value added Private Sector Investments	Inclusion of Artisanals in Platforms	Platforms active at Project End	Sustained actions to reduce overexploitation	Code of Conduct for Target fisheries	Transparent, multi-stakeholder dialogue	Trust in the Process
Ecuador	Yes	Yes, but still weak on bycatch	Yes	A	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Costa Rica	Incomplete Evidence	Policy Reversal on IUCN shark spp. Bycatch*	No** (*NOAA-2021*)	C	Several companies withdrew	Yes	No	No	Yes	No	Mixed negative reviews***
Philippines	Yes	Incomplete Evidence	Yes	A	Yes	Yes	Yes	Yes	Incomplete Evidence	Yes	Yes
Indonesia	Yes	Incomplete Evidence	Yes	A	Yes	Yes	Yes	Yes	Incomplete Evidence	Yes	Yes

Source: The Consultant (TE Evaluator).
KEY: Green = Positive; Yellow= weak at the end of the project; Red_ Failed to meet the criterion/assumption.
* Presidential Decree Feb. 2021; ** NOAA 2021 Report to US Congress; *** Based on multiple interviews with private sector, NGOs and university marine science researchers/practitioners.

The findings of this analysis summarized in Figure 8 are described as follows:
Improved use of Science-based Tools- the TE finds that three of the four countries made important advances in applying scientific studies to improve fishery management. For example, the Indonesian Ministry of Fisheries agreed to support the scientifically justified -Spawning Potential Ratio to ensure sustainability of the fishery, while in the Philippines, a review of historical BSC data collected under the government's NSAP [32], and in collaboration with the PACPI-FIP, led to the formulation and adoption of management measures based on scientific data. In Ecuador, the National Council of Fisheries (CNP) signed an agreement with the IPIAP, the country's leading research institution, and the results from their research concluded that the fishery is heavily overexploited and the need for a management plan with clear objectives, harvest control rules and guidelines is urgent for small pelagic species. In the case of COREMAHI, Peru and Ecuador, with Private sector support, conducted a stock and genomic

[32] Philippines National Stock Assessment Program

assessment of mahi, and identified sustainable harvest levels, as well as found two different genetic stocks. Fishers contributed data to those studies and monitoring efforts. However, the evidence shows that despite having excellent scientific data on their fisheries, Costa Rica was not willing to participate by sharing its data. However, there is evidence that the country has diminished its reliance on scientifically supported decision and policymaking, while increasingly opting for politically driven decisions[33], especially with regard to the country's commitment to its international agreements for protecting CITES-listed marine species[34], rejecting the inclusion of a shark species in the CITES Appendices[35], contrary to decisions based on its technical and administrative competencies established by Law.[36] A recent Executive Decree[37] designated INCOPESCA as the CITES Management Authority and a Scientific-Technical Council as their scientific Authority, which is hereafter to be coordinated by INCOPESCA. However, this designation could generate a conflict of interest between Management and Scientific authorities and contradicts CITES Resolution Conf 10.3, which establishes that the Scientific Authority must be different from the Management Authority. *The aforementioned species listed in CITES Appendix 2 are now classified as commercial species, which raises questions about Costa Rica's commitment to the CBD.*

Improved Fishery Policies- Figure 8 shows that most of the countries met the criteria successfully, and the Philippine government took action supported by the GMC to strengthen the existing co-management structure and move forward a National Blue Swimming Crab management plan to deal with what had been an overfished economically and socially important resources, and today, the plan is under its final review by the government.[38] Indonesia had a BSC management plan in place already, but the FIP support resulted in the government launch of a BSC Harvest Strategy in one of its fishery management areas (#712). While Ecuador placed a low priority on managing its small-scale pelagic fisheries sustainably[39] prior to the GMC's intervention, small-scale pelagics today have an operational and legally recognized structure installed, together with both a management and an action plan for its six most important species and a well-funded FIP.

The above successes notwithstanding, the evidence indicates both Ecuador and Costa Rica still have a high bycatch of turtles and sharks. As of June 2021, both were ranked in the top five countries feeding the global market of shark fins[40], and rather than acting, neither country has made any significant progress. For example, through March 2021, Ecuador tripled its fin exports compared with the first months of

[33] From the time that Carcharhinus longimanus and Sphyrna spp sharks (the latter proposed by Ecuador, Costa Rica) entered into CITES Appendix II in 2014, Costa Rica has changed its administrative and scientific authorities three times. In 2015, through Executive Decree No. 39489-MINAE, the Costa Rica government designated the National System of Conservation Areas (SINAC) as the CITES Management Authority and the Council of Representatives of Scientific Authorities CRACCITES as the Scientific Authority and new institutional arrangements

[34] Costa Rica's NAPLP established two activities: a) developing the Non-detriment findings (NDFs) for each species of sharks listed in CITES appendix II , and b) defining a strategy and protocol for participation in international and regional conventions and organizations (e.g., IATTC, OSPESCA, CICCA, CITES, FAO, CMS, CIT, among others) with official positions (for example: planted, conservation measures, species, bycatch, among others).

[35] In November 2020, the 1st Court of Justice Chamber repealed Executive Decree 40379-MINAE-MAG, interpreting that hammerhead sharks remain classified as a wildlife species, given that exporting hammerheads and other in CITES-listed sharks would revert to CRACCITES as CITES Scientific Authority designated in 2015. However, INCOPESCA bypassed this executive decree that designated the CITES Scientific and Management as the final scientific authority, and instead, it lists CITES-listed species as being commercial species

[36] Law No. 7384 and No. 8436

[37] Through Executive Decree No. 42842-MINAE-MAG, in February 2021.

[38] Through its National Fisheries and Aquatic Resources Management Council

[39] And not surprisingly there were neither stock assessments nor a National Fishery Management Plan, much less attention toward addressing the subsector's environmental impacts plan to sustain the dialogue platform.

[40] https://www.bitacoraec.com/post/no-es-ilegal-pero-entre-ecuador-y-per%C3%BA-se-blanquean-millones-de-aletas-de-tibur%C3%B3n

Figure 9. Photo of 26 tons of shark fins from Ecuador seized in Hong Kong. Represents an estimated 38,500 vulnerable & protected sharks valued at $1.1 million[41].

Source: Mongabay

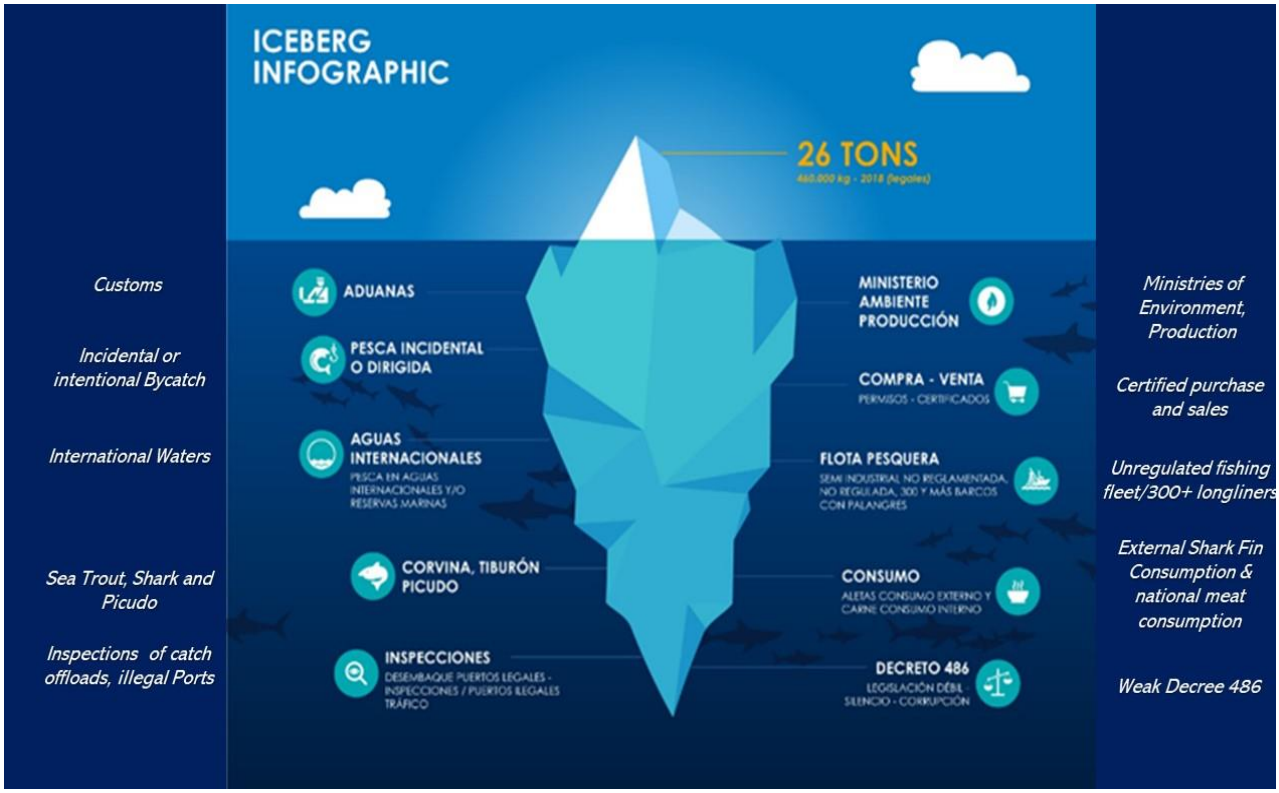
2020[42], and in May 2020, Hong Kong Authorities seized 26 tons of CITEs-protected shark fins (38,500 sharks) originating from Ecuador (Figure 9). Due to its failure to combat IUU fishing and the YELLOW CARD issued by the European Union, Ecuador promised to issue a new Fisheries Law and a Shark Action Plan to reduce Bycatch. However, it remains unapproved and has many weaknesses that leave loopholes that will have little impact on reducing shark bycatch. Nonetheless, Ecuador's Ministry of Aquaculture and Fisheries banned the marketing and export of five shark species threatened with extinction.[43] Figure10 shows the different stages of Ecuador's value chain involved in the illegal fishery.

Figure 10. Different parts of Ecuador's value chain implicated in the 26 tons of sharks seized in Hong Kong.

[41] https://news.mongabay.com/2020/05/authorities-seize-record-26-tons-of-illegal-shark-fins-in-hong-kong/

[42] It produced 86 tons of fins worth USD 2.2 million. The process of exporting shark fins and bodies begins with the CITES certificate issued by the Ministry of the Environment, only for shark fins that are on the CITES list. The revision of the ministries and Customs refers only to the documents, they do not verify the quantity or the species and "trust" the exporters as responsible for sending 26 tons of shark fins (38,500 sharks) to Hong Kong declared as dried fish that had a fine of USD 3,860; that is, 10 cents per shark, while the value of the cache exceeded 2 million dollars, a good business to circumvent the laws (https://www.bitacoraec.com/post/un-error-ling%C3%BC%C3%ADstico-descubre-lo-f%C3%A1cil-que-es-contrabandear-aletas-de-tibur%C3%B3n-a-hong-kong).

[43] https://es.mongabay.com/2020/06/oceanos-pesca-de-tiburones-ecuador-prohibira-comercializacion-exportacion/



Source: One Health Ecuador

Although Ecuador has shown some advances in dealing with IUU bycatch by starting discussions with the national authorities and Shark Fin exporters to strengthen the Shark NAP by including shark bycatch limits to prevent illegal capture , the Costa Rican government appears to have taken backward steps from in its positive actions under the previous government. It has not institutionalized its 10-year National Action Plan (NAP), the FIP for large pelagics, nor the NAP for the Conservation and Management of Shark. The recent reclassification of CITES-listed sharks (silky, hammerhead and threshers) by INCOPESCA as commercial species, and not wildlife under a Presidential Decree is another step back in the efforts to ensure the protection of Appendix 2 species under the Convention on Biological Diversity. Consequently, it is not surprising to find evidence showing that these sharks are registered as mahi bycatch even in the months where no mahi are present.

Until Ecuador and Costa Rica address the bycatch issue, it will be impossible to achieve a triple bottom line impacts of sustainable development. Arguments denouncing the protection of Appendix 2 CITES species as fanatical conservationism rings shallow in view of both countries having signed the Convention on Biological Diversity.

Regarding the 'incomplete evidence' listed in Figure 8, the following additional observations are pertinent:

- ✓ Philippines - although BSC Plan awaits approval and the Octopus NMFP is still being completed, inputs have already been incorporated in respective analysis at the level of the Science Advisory Groups (SAGs) of FMAs, and respective Fishery Management Area Plans and additional consultations with BFAR and/or NSAP Leaders for Reg 6 and 9 could shed more light on whether the findings from Octopus and BSC studies are incorporated in FMA-related policies. BSC has particularly strong policies and plans implemented, based on GMC studies.

- ✓ Indonesia - had already developed a 5-year management plan for tuna and blue swimming crab and it has a harvest strategy for blue swimming crab to control fishing efforts and prevent collapse of stock. The Draft of the 5-year National Fisheries Management Plan provides guidance and budgeting for the program, including outcomes and activities focused on promoting recognition and protection of women's role in the BSC fishery. It also has a policy for managing FADs that is significantly contributing toward improving sustainability in the tuna fisheries, as well as a policy to regulate size of crabs at their capture, and these size limits, which is related to reproductive maturity are crucial for ensuring healthy stocks. Tuna has obtained MSC certification which also assesses whether there is effective management in place. Similarly, a Code of Conduct is just one tool for bridging results to engage the market and in-country interventions, and the TE recognizes that by only focusing on Ecuador's approach as a sole measure to other countries might under-represent the significant progress made by Indonesia and *incomplete evidence in no way undermines the vastly improved fishery interventions in Indonesia.*

Improved Fishery Management Practices- The evidence strongly supports a finding that fishing practices were greatly improved in three of the four countries. Although the GMC project supported Costa Rica's National Action Plan for Sustainable Fisheries of Large Pelagics 2019-2029 (NAPLP)[44] and a Fishery Improvement Project (FIP). Both Plans aimed to create actions for mitigating impacts from Costa Rica's longline fishery, which included the National Plan of Action (NPOA) for sharks[45], which included improved fishery data collection and analysis for bycatch and ETP data[46], and guidelines for INCOPESCA to update logbooks and landing inspection forms to include information on sharks and marine mammals. The TE finds that the country's follow-up and implementation of these actions have been disappointing[47] and there has been little progress in meeting the expectations (see https://fisheryprogress.org/user/login?destination=action/11048). Furthermore, a review of pertinent legislation suggests that the country is taking actions that may violate its own laws[48]. Finally, Costa Rica's fishing sector did not sign any of the letters that COREMAHI submitted to the corresponding national authorities, nor did the country's catch sector subscribe the code of conduct and only MARTEC signed off and CANEPP by mandate of MARTEC[49],

[44] Established to evaluate the use of the steel leader and formulate a national plan to reduce bycatch and discards. In 2016, through the agreement AJDIP/378-2016, the use of the steel leader in Costa Rica was suspended for three consecutive months each year. Since then, INCOPESCA has been collecting information every year from the vessels that have submitted the declaration of steel leader close season. However, currently, no assessment of this measure has been submitted.

[45] SFP hired a consultant for the updating of the NPOA for sharks to support the implementation. The NPOA contains four programs that will provide information for decision-making and adopting shark management and conservation measures. This included: i) Research and Monitoring Program; ii) Traceability program; iii) Outreach, education, and training program; and iv) Socio-economic program.

[46] Furthermore, although GMC- SFP made a commitment to support INCOPESCA to improve and update its large pelagics fishery database with data from 2014 to 2020, INCOPESCA rejected SFP's ToR for a consultant to conduct the work and advocated for hiring the FIP coordinator to run this consultancy. Given that INCOPESCA's position contradicted Costa Rica's Law against Corruption and Illicit Enrichment in the Public Service, as well as SFP's policies, support was withdrawn to implement this activity. Consequently, the lack of an up-to-date database could affect the IATTC's provision of essential statistical data and other required information to the responsible RFMO.

[47] see https://fisheryprogress.org) and https://fisheryprogress.org/user/login?destination=action/11048).

[48] Costa Rica's Wildlife Conservation Law bans the exportation of products on CITES Appendixes I, II, & III, meaning that the exportation of any species listed under Appendix II is already banned. There is no valid NDF valid in Costa Rica to export these products (Artículo 75.- *No se permitirá la importación o la exportación de la fauna o la flora comprendida en los apéndices I, II y III de la Convención sobre el Comercio Internacional de Especies Amenazadas de Fauna y Flora Silvestres, cuando la autoridad científica compruebe que esa importación o exportación se efectúa en detrimento de la flora y de la fauna silvestres nacionales. Los permisos de exportación únicamente se extenderán para las especies incluidas en el apéndice II de la Convención sobre el Comercio Internacional de Especies Amenazadas de Fauna y Flora Silvestres (Cites), siempre y cuando fueran animales o plantas reproducidos artificialmente o con fines científicos o culturales*. However, with the declassification of the three shark species from wildlife to commercial species is contradicted by Article 140 of the Fishery Law: "*Se impondrá pena de prisión de uno a tres años a quien persiga, capture, hiera, mate, trasiegue o comercie quelonios, mamíferos marinos o especies acuáticas declaradas en peligro de extinción protegidas por convenios internacionales aplicables a Costa Rica, en el mar territorial*".

[49] https://www.coremahi.org/wp-content/uploads/2021/08/Co%CC%81digo-de-Conducta-COREMAHI.pdf- the other signatories are the biggest *mahi* players in Ecuador and Peru.

The above-mentioned shortcomings resulted in the National Marine Fisheries Service (NMFS) flagging Costa Rica as one of 31 countries with vessels engaged in IUU fishing activities or bycatch of protected species on the high seas between 2018-2020 in NOAA Fisheries' Report to Congress (NOAA 2021). The report states that the country failed to manage and control its fleet effectively for fisheries consistent with CMMs adopted by the Inter-American Tropical Tuna Commission (IATTC), as well as for failing to provide the required statistical data and other required information to IATTC. Furthermore, the country failed to show progress in addressing the issues documented in IATTC compliance letters in both 2019 and 2020. The report underscores that these violations are serious, and they constitute noncompliance with IATTC requirements[50]. As a result, Costa Rica is prohibited from retaining all IATTC species per Rec. 11-15 until it reports its 2019 catch data to IATTC.

Improved FIP Ratings – the FIP ratings are based on the most recent FishSource ratings. Nine FIPs progressed by at least one grade or have maintained an 'A' grade, thereby meeting the target. Of the nine, eight (8) have progressed their grades and one (1) maintained an A rating on FishSource. Three (3) of the FIPs have also entered full assessment MSC. Costa Rica is the only country that received a rating of C (large pelagics), whereas all other countries have resource values according to Fish Source of B (Ecuador and Philippines) and A (Indonesia).

Value-Added by the Private Sector - Funding allocated for implementing the GMC was extremely limited for carrying out the needed actions and this was expressed by all partners. However, most key stakeholders interviewed agreed that financial resources were very well spent and the benefits to the investment were significantly greater than anyone expected and the limited budget was a driver of an array of innovative approaches that all countries tested and in 3 countries (Ecuador, Indonesia and the Philippines), several business organizations are now accessing global funds for their FIPs, showing a new commitment to the sustainability of the several fisheries that had no attention before the GMC project. In some cases, governments invested their own funds into the initiative, which *represents an additional unexpected outcome*. It is worth highlighting those innovations such as these are at the heart of development that is sustainable.

The **Private Sector** has been mobilized far beyond what was stated in their co-financing letters, and it became increasingly involved with the project in three of the four countries (Ecuador, Indonesia and the Philippines) when they saw the benefits and prospects of sustainable seafood, the need for filling in funding gaps for research needs (e.g., mahi, octopus) and that the FIP is an effective mechanism for moving their fisheries to those targets. Therefore, the private sector added considerable value to the FIPs by contributing financial resources that governments were unable to fund due to budgetary limitations. This co-financing was given, only because trust was created in the actors through the platforms and participation in roundtables facilitated by SFP, as well as from seeing the government place adequate attention and priority to fisheries working with their FIP. This also provided the kind of assurances for the private sector to invest in the FIP. The GMC model has also allowed the private sector to be involved in contributing its support to shift toward using scientifically based evidence for policy and decision-making, which above all helps to sustain many of those actions initiated by the project. At least one major company has undertaken a major effort to monitor, report (using captain logs, electronic surveillance,

[50] These include: i) Poor reporting to ICCAT, including catch data not submitted (Rec. 05-09). Costa Rica's limited and inconsistent reporting of statistical data on its catches of ICCAT species is a serious matter and constitutes noncompliance with ICCAT requirements. i) Costa Rica has not recorded Task I data in ICCAT's database for 2018 or 2019. Costa Rica has also failed to meet other ICCAT reporting requirements, including submission of its compliance tables, which should detail compliance with catch limits, or its annual report, which should describe actions taken by Costa Rica to implement ICCAT conservation and management measures.

etc.) of its boats to ensure that they comply with pertinent bycatch actions. Their approach, which includes financing and collecting scientific data on bycatch might offer the Costa Rican government an opportunity to learn from this approach, as it demonstrates the importance of engaging with the private sector, as well as the artisanal fishers who were willing to invest their own funds into the FIP.

Artisanals included in the Platforms, and their sustainability at the end of the Project - All countries included artisanal fishers in their governance platforms, which is a positive achievement. However, contrary to optimistic expectations presented in the 2020 PIR, there is no evidence that the platform in Costa Rica has been continued. Although the 2020 PIR correctly noted that Costa Rica's FIP established actions to mitigate the impacts of fisheries on secondary species and ETP species[51], there is no evidence to date showing progress with implementing the elements contained in the national plan to reduce bycatch and discards.

B. Narrative and Evidence Supporting the Answer to EQ2

3.3.1 Progress towards objective and expected outcomes (*)

At the end, the GMC Project has met 15 of 16 indicators, while exceeding nine indicators. Measurable progress has achieved in promoting gender issues within project activities, as well as exchanging lessons learned through Sustainable Marine Commodity Platforms promoting multi-stakeholder fishery governance, and these have driven private sector FIPs that can be scaled up to new countries and regions. Finally, the outcomes and corresponding actions have contributed to secure natural capital and improved social and economic performance for fishery supply chains.

As of December 2020, the project exceeded by 53% (*23 Tons*) its **global target** of 15.4 tons of seafood landings from fisheries either certified sustainable or making regular, verifiable improvements (PIR 2021 – construction in progress) and contributed around 400,000 metric tons of wild-captured seafood that originates from fisheries that are making regular, verifiable improvement toward full sustainable certification (Verifiable contributions in accordance with the SOFIA FAO report). Table 6 Summarizes the achievements regarding meeting the expected outcome indicators at the end of the project.

Table 6. Status of the project indicators as of June 2021

No	Indicator	Status (June, 2021)
1	Landings from fisheries either certified sustainable or making regular, verifiable improvements	The Project has met and exceeded its global indicator target
2	1a. Number of fisheries for the targeted commodities (tuna, large pelagics, blue swimming crab) that are sourced by SFP partners and their suppliers and that are either in a FIP or MSC certified.	This outcome is global, and the end-of-Project target has been met and exceeded.
3	1b. Additional number of international seafood buyers ('buyers' = SFP partners plus suppliers to SFP partners) with sustainable seafood purchasing policies	This indicator has been met and exceeded.
4	2. Number of position statements issued by industry for IATTC and WCPFC that include support of more effective CMMs for tuna, sharks and LPF at the regional level.	This indicator has been met and exceeded
5	3a Number of Sustainable Marine Commodities Platforms created with project support and functional	This indicator has been met.
6	3b. Number of Sustainable Fisheries Action or Management Plans under implementation as a result of project support	This indicator has been met

[51] For example, the FIP is designing a program to teach crew members about handling and releasing sharks, particularly the CITES APPENDIX 2-listed hammerhead and silky sharks.

No	Indicator	Status (June, 2021)
7	4a. Number of FIPs uploaded to FisheryProgress.org, have progressed by at least one grade, or have maintained an 'A' grade with project support	Nine (9) FIPs have progressed by at least one grade or have maintained an 'A' grade and the year 4 target has been met.
8	4b. Additional private investment in FIPs supported by the project	The end of project target has been met and exceeded.
9	4c. Number of additional fisheries in certification process (have entered process, undergoing assessment, or have been certified)	This indicator has been achieved
10	4d. MSC & FishSource scores	This indicator has been achieved. However, Costa Rica maintained a C rating because no changes were reported since the last evaluation date[52].
11	5a. Number of registered users	It exceeds the end-of-project target.
12	5b. Number of visitors (average visitors per month to the site)	The end-of-project target has been met and exceeded.
13	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)	While the level of satisfaction in the exit survey did not meet the indicator goal of 2.5, the overall level of satisfaction increased from 2.19 in 2019 to 2.3 in 2021.
14	5d. Number of scientific reports published by technical experts contracted by the project	This indicator has been achieved
15	6a Number of visitors of best practice documents	This indicator has been met and exceeded
16	6b Level of utility of best practice documents (exceeds expectations =3; meets expectations = 2; below expectations = 1; averaging scores for all areas)	This indicator has been met and exceeded

Source: The Consultant, based on PIR 2021

3.3.2 Relevance (*)

A. Response to Evaluation Question 3.1 (EQ3.1)

EQ3.1 How does the GMC project relate to the main objectives of the GEF Focal area, and to the environment and development priorities at the local, regional, and national level?

The GMC project is ***highly relevant*** to beneficiary countries and coherent with the GEF and UNDP focal areas. It supports the GEF IW Objective 2, which aims *to catalyze multi-state cooperation to rebuild marine fisheries and better manage fisheries in Large Marine Ecosystems (LMEs) while considering climatic variability and change by implementing innovative solutions to rebuild and protect fish stocks by harnessing the incentives from international trade*. In that regard, it aimed to engage fisheries that cannot currently earn sustainability certification and help them improve so they can obtain a credible certification and labeling program, with a reasonable expectation of getting certified.

At the national levels, the investment aims to support existing sustainable seafood supply chain schemes currently operating in the 4 target countries and expand the scale of certifications through increased economic incentives brought through private sector supply chain agreements for credibly certified marine commodity purchasing by importers and retailers. The GMC model fits well with the national development strategies (see section 3.3.2B) and it is designed to influence Regional Fishery Organizations to support more inclusive and coordinated actions by the participating countries.

[52] https://www.fishsource.org/improvement-project

B. Narrative and Evidence Supporting the Answer to EQ3.1

The GMC project is relevant to beneficiary countries and coherent with the GEF and UNDP focal areas.

The GMC project is framed within the GEF Focal Area: "International Waters". The GMC Project resides under the GEF International Waters Portfolio and participates in the International Waters Learning Exchange and Resource Network (IWLEARN[53]). The GMC is linked to the following GEF Strategic Objective and Program "IW Objective 2 and the GEF Expected Outcome" *IW Outcome 2.3*. In the current context, the project is also aligned with the GEF 2020 Strategy54, which includes the following key strategic priorities *a) address the drivers of environmental degradation; (b) deliver integrated solutions; (c) enhance resilience and adaptation; and (e) focus on choosing the right influencing model (Transforming policy and regulatory; environments, Strengthening institutional capacity and decision-making processes, Convening multi-stakeholder alliances, Demonstrating innovative approaches and Deploying innovative financial instruments*

At the international level the project addresses the 2013 United Nations General Assembly Resolution A/RES/68/71 that recalls the commitment to ensure access to fisheries and the importance of access to markets by subsistence, small-scale and artisanal fisherfolk and women fish workers, as well as indigenous peoples and their communities, particularly in developing countries.

All four GMC-supported countries have signed and ratified the UN Convention on Biological Diversity, which reaffirms the coherence of the project with global priorities, including the prohibition of the capture of CITES-listed species. While conditions appeared highly favourable for the application of the approach proposed at the start of the GMC project, namely that: (i) there are government investments in fisheries management and monitoring, (ii) Governments are strongly supportive of fisheries improvement and seafood certification, (iii) the project will complement and build upon a well-developed portfolio of other projects supported by GEF, the evidence at the end of the project raises concerns about Ecuador and Costa Rica's commitment to reducing the bycatch of CITES-listed species.

The project is also framed to achieve the UNDP Country Programme Outcomes, defined in the UNDP *Country Programme Action Plan (CPAP)* or *Country Programme Document (CPD)*, the *United Nations Development Assistance Framework (UNDAF)* and the *UNDP Strategic Plan Environment and Sustainable Development,* of each country (Costa Rica, Ecuador, Indonesia, and the Philippines). At the national level, the project is aligned with local priorities, which are manifested in its plans, regulations, and policies, as described below:

In Costa Rica, the project is consistent with:

- The general objective of the ***National Fisheries and Aquaculture Development Plan (2013-2023)*** that promotes productivity, competitiveness, and the proper distribution of wealth in fishing activities.
- ***The National Development Plan (2015-2018)***[55]. Contributing to Government´s pillar 1 "to boost economic growth and create more and better jobs", and to the objectives of Sector 3 rural and agricultural development, which includes fishery activities, and Sector 6 environment, energy and land use and marine spatial planning. And currently it is aligned with the ***National Development and Public Investment Plan (2019-2022)*** contributing within the Strategic Interventions of the

[53] IWLEARN is a community of practice, designed to strengthen transboundary water resource management around the world by collecting and sharing best practices, lessons learned, and innovative solutions to common problems in the GEF's International Waters portfolio. This space promotes learning among project managers, country officials, implementing agencies, and other partners.
[54] http://thegef.org/sites/default/files/publications/GEF-2020Strategies-March2015_CRA_WEB_2.pdf
[55] It is part of the period when the project was designed

Agricultural, Fisheries and Rural Development sector, to promote sustainable tuna and large pelagic fisheries to improve the use and guarantee sustainability.

- The Fisheries and Aquaculture Law[56] of 2005 (published in La Gaceta 78 of 25 April 2005).
- Regulation of the Fisheries and Aquaculture Law issued by Decreto Ejecutivo 36782-MINAET-MAG-MOPT-TUR-SP-S-MTSS, published in La Gaceta 188 of 30 September 2011.
- The Fisheries and Aquaculture Law of 2005 Board of INCOPESCA.
- National Ocean Policy issued by Decreto Ejecutivo 38014-MINAE-MAG-SP-MOPT-RE-MIVAH-TUR, published in La Gaceta 41 of 27 February 2014.

In Ecuador, the Project is consistent with:

- New Ecuadorian Fisheries Law (approved early 2021).
- **The National Plan for Good Living (2013-2017)**, in its Objective 10, to incentive the transformation of the productive matrix", under ***Policy 10.4*** "to promote sustainable production and productivity and social inclusion and redistribution in the farming, aquaculture and fisheries sectors". Currently it is also aligned with the **National Plan for Good Living (2017-2021)**, in its objective 5, specifically in policy 5.5 "Promote productivity, competitiveness and quality of products Sectorial Council of Primary Production and the availability of related services and other inputs, to develop the agricultural industry, livestock, aquaculture and sustainable fisheries with a focus on satisfying national and export demand.
- The forestry and wildlife law "Codificación a la ley forestal y de conservación de áreas naturales y vida silvestre (Ley 2004-017 published in Registro Oficial S-418 of 10 September 2004.
- The National Action Plan for the conservation and management of sharks in Ecuador and the corresponding regulations regarding shark conservation and management.
- National Action Plan for the conservation and management of Dorado in Ecuador and the corresponding regulations regarding *mahimahi* conservation and management.
- The regulations for tuna and LPF.

In Indonesia, the Project is consistent with:

- ***Indonesia Medium-Term Development Plan (RPJMN) 2015-202019, then subsequently 2020-2024.*** In its priorities 5 and 9. In Priority 5, food resilience, in particular the fishery sector sub section 4, numbers 23 to 27 to strengthen the fishing industry by providing good environment for investment, improve production, processing, and marketing aspects, as well as the facility for fishing industry. In Priority 9, "environment and disaster management", with priority theme is to conserve and benefit the natural resources to support the economic growth and people's welfare, with better disaster management to anticipate climate change, a section for promoting effective coordination among national institutions and relevant stakeholders and effective policy in managing coastal and marine ecosystem.
- The Fisheries Law No. 31/2004 which regulate fisheries and aquaculture at the national level and underscores the importance of sustainable use of aquatic resources in the development of fisheries. This law was amended by Act No. 45/2009 on fisheries.
- The law No. 27/2007 amended by Law No. 1/2014 on the management of coastal zones and small islands which regulates the use of marine and coastal zones and underscores the role of district and national governments in encouraging the community to benefit the marine and coastal resources on an environmentally friendly manner.

[56] This law specifically prohibits the capture of cetacean, pinniped and chelonid, as well as shark finning.

- Law No. 23/2014 on Regional Administration by which Provincial Governments is held responsible for the management, use and conservation of marine resources in their own territory, within territorial waters.
- Law No. 21/2009 on the ratification of Agreement for the implementation of the provisions of the United Nations Convention on the Law of the Sea of 10 December 1982 relating to the Conservation and Management of Straddling Fish Stocks and Highly Migratory Fish Stocks.
- The Minister of Marine Affairs and Fisheries Decree No. 26/2014 on Fish Commission, which declares the Tuna sub-commission to provide advice to government on tuna industry in Indonesia.

In the Philippines, the Project is consistent with:

- ***The Philippine Development Plan (2011-2016)*** in its Chapter 4 Competitive and Sustainable Agriculture and Fisheries Sector. Specifically, Sector Outcome A: productivity in Agriculture and Fisheries sector increased, where strategies include increased investments in Research, Development and Extension (RD&E) through updated databases and information systems, strengthening of extension services through complementation of national, local, and private sector entities. The project will also contribute to Sector Outcome B: forward linkage with the Industry and Services Sectors increased; wherein strategies will be implemented to promote value-adding of Agriculture and Fisheries products and agribusiness development; expanding existing markets and exploring new markets and linking farmers and fisherfolks to value-chains and commodity industry clusters. It is currently also aligned with ***The Philippine Development Plan (2017-2022),*** in its chapter 8, especially Sector Outcome A: Economic Opportunities in Agriculture, Forestry, and Fisheries Expanded and Sector Outcome B: Access to Economic Opportunities by Small Farmers and Fisherfolk Increased
- Acts of Parliament like the Philippine Fisheries Code of 1998 (R.A. 8550) for fisheries, and the Local Government Code of 1991.
- Presidential Decrees – no longer in use, but until the 1998 Fisheries Code was enacted, PD 704 was the primary fisheries legislation.
- Executive Orders like the EO 240, establishing Fisheries and Aquatic Resource Management Councils (FARMCs).
- Fisheries Administrative Orders (FAOs) issued by BFAR pursuant to the Fisheries Code

It is also relevant for meeting beneficiary needs in terms of strengthening the resilience of coastal marine biodiversity, target fisheries and sustainable seafood value chains.

Although the ProDoc targeted most of the parameters stipulated in IW's Outcome 2.3[57], the process for delivering integrated solutions to enhance resilience and adaptation is lengthy, and cannot be expected in such a small project, it could contribute to some immediate outcomes related to protecting biodiversity and other ecosystem services by tackling bycatch and habitat destruction by unsustainable fishing practices.

The GMC, through support from SFP as a partner brought to the forefront updated, impartial and executable information on the sustainability of the fisheries for the industry and the supply chains, and a rating system which can inform supply chains (via the online FishSource database, it is a large database) about the status of a fishery through FIPs. SFP could be considered by some as a global Watchdog for

[57] Innovative solutions implemented for reduced pollution, rebuilding or protecting fish stocks with rights-based management, ICM, habitat restoration/conservation, and port management and produce measurable results: i)National and local policy/legal/institutional reforms adopted; ii) Types of technologies and measures implemented in local demonstrations and investments.

assessing the effectiveness of the fishing improvement projects. It its linked to three key principles, namely: 1) status of the target stock; 2) impacts of the fishery on the environment; 3) assessment of the management and governance of the managed fishery.

FIPs are relevant to addressing several barriers to sustainable seafood production because they are designed to influence the purchasing policies and decisions of importers, distributors, and retailers with specific marine fishery stocks. Although not perfect, the revised FIP tracking tool is relevant because it aims to assess whether the fishing improvement projects are meeting the goals and if implementing activities are improving a specific fishery. The available evidence underscores that it is the best tool available for assessing FIPs.

3.3.3 Effectiveness (*)

A. Response to Evaluation Question 3.2 (EQ3.2)

EQ 3.2: To what extent have the expected outcomes of the project been achieved?
*The GMC's effectiveness is rated as **Satisfactory**, due to several reasons related on the one hand, to the positive experiences that should be replicated and scaled up globally, and valuable lesson from testing the innovative GMC hybrid model in which Costa Rica invested considerable effort and commitment. While this was the first large pelagic FIP in the world and the level of effort invested in testing something new is to be commended, as well as the country's offer of highly valuable in-kind contributions related to scientific data, the evidence is solid for concluding that Costa Rica's hybrid approach to the GMC is inadequate for meeting the demands of the fishery sector, which is considerably more complex than the agriculture and forestry sectors. The important point is not the outcomes, but for the 4 countries to consider that "You never lose - you either win or you learn, but you lose when you don't learn". GMC has contributed to six Sustainable Development Goals (SDGs) as well as UNDP's Strategic Plan, GEF strategic priorities, and national development priorities. Level of achievement of goals of the outcome indicators (final values compared with BL). At the time of project design, there was no certified fishery in any of the four targeted countries. At the end of the project, the GMC met all but one of its 16 indicators and surpassed nine of them. However, at least five purported OUTCOMES were nothing more than OUTPUTS. This affects the causative chain of results dramatically and should not be repeated. While publishing scientific papers is an important conduit for sharing good results with other scientists working in the field, there is no evidence that these publications will result in a measurable change (e.g., changes in policies, decision-making mechanisms, etc.) in the status quo. Further, the expected outcome from the scientific publications is not mentioned in the GMC's Theory of Change (GMC 2020). Therefore, it is clearly an output. While added late in the project, gender awareness and activities had fed into the Sustainable Marine Commodity Platforms to promote multi-stakeholder fishery governance. FIPs that can be scaled up to new countries and regions and numerous lessons have been captured. Consequently, the GMC has strengthened the oceans' natural capital in many aspects, while making inroads to improved social and economic performance for fishery supply chains. Nonetheless, there is a long way to go, and this project lays a solid foundation for continuing with the excellent results and lessons it has provided.* 

B. Narrative and Evidence Supporting the Answer to EQ3.2

Under **Outcome 1**[58], there has been a 96% increase in the number of targeted commodities (mostly tuna, but also other pelagics, blue swimming crab and octopus) sourced by SFP partners and their suppliers and that are either in a FIP or Marine Stewardship Council (MSC) certified since the project began. The project exceeded by 64% the number of fisheries (128 versus the target of 78 fisheries) sourced by SFP partners that are either in a fishery improvement project or certified (**Outcome 1a**). The GMC also surpassed its end-of-project **Outcome 1b target** of 15 international seafood buyers with sustainable seafood purchasing policies by 32% (22 buyers).
Although the project also exceeded its **Outcome 2**[59] target, simply signing a Position Statement is an ***output*** and not an outcome. Although seven position statements have been sent requesting improved Conservation and Management Measures (CMMs) at the IATTC and Western and Central Pacific Fishery Commission (WCPFC) position statements alone are not binding, and therefore considered to be Outputs because there is no guarantee that the desired changes (outcomes) will bring relevant policy changes to improve the fishery's management, including bycatch. e

The *creation of COREMAHI is an unexpected positive outcome that emerged from this targeted Result*. It was created as a coordinating mechanism to help fill the gaps with IATTC's limited mandate that prevents it from coordinating non-tuna-related bycatch (while mahi is a tuna bycatch, the RMFO cannot intercede in the mahi fishery)[60]. The ProDoc did not contemplate this issue and the result was an innovative solution that emerged from several lessons: i) the RFMOs were not moving as expected to the pressure from international market actors (suppliers mainly from the export markets); and ii) after many attempts by others, the governments and the main mahi producers in Ecuador and Peru were unable to reach bi-lateral agreement for sustainable management of the species. While this incipient regional organization is still in its infancy, it is an example of the GMC's adaptation to a barrier that prevented the project from achieving its goals in the Eastern Pacific Ocean. One of the important agreements that grew from the new regional organization was a Code of Conduct, which was just signed by Ecuador and Peru, the two largest mahi producers in the world for the catch and processing sectors. Costa Rica's fishing sector chose not to sign any of the letters that COREMAHI submitted to the corresponding national authorities[61]. However, this shows that a negative response from one country does not necessarily measure the effectiveness of the pressure placed on a RFMO. While an individual country has every right to decide about what happens in its EEZ, it is more relevant to evaluate country-level interventions, rather than their regional contributions. Consequently, Outcome 2 could have been improved by developing an indicator that measures *changes* in RFMO policies, CMMs or changes in practices in the ocean, which is a better way to analyze changes in RMFO policies and actions during the implementation period.

This situation suggests that there may be a much greater need for future projects to work directly with the industry and the States at their national levels, rather than putting funds and effort into the regional level organizations. Indeed, the GMC's theory of change is also based on the idea that the private sector

[58] Increased global market demand for sustainable certified marine commodities and associated reduction of IUU fisheries. NOTE: The total number will change, given that the US National Marine Fisheries Services identified Costa Rica for failing to effectively manage and control its fleet and fisheries consistent with CMMs adopted by IATTC, and for failing to provide essential statistical data and other required information to IATTC (NOAA Report to the US Congress August 2021).
[59] Increased pressure on regional fisheries management organizations. Outcome 2 has two components, focusing on tuna and tuna bycatch, and *Mahi-mahi,* respectively.
[60] It also aimed to involve processing sectors at the regional level in the Mahi-mahi Pacific Ocean fishery under COREMAHI to bring pressure from buyers in the export markets, but also pressure from the producing countries (at the end of the data their country delegates are the ones that vote.
[61] Furthermore, Costa Rica's catch sector did not subscribe the code of conduct either (available evidence that includes emails). It was only MARTEC signed off and CANEPP by mandate of MARTEC https://www.coremahi.org/wp-content/uploads/2021/08/Co%CC%81digo-de-Conducta-COREMAHI.pdf- the other signatories are the biggest *mahi* players in Ecuador and Peru.

can be a force for change, and to maximize their influence requires an educational strategy that can bring together the producing and processing sectors of the countries so that they understand, that they have a common interest in ensuring that the states that manage their fisheries must have coordination. And on this basis, the project created a regional committee of producers and processors of the private sector.

The GMC has achieved the indicator[62] for **Outcome 3**[63], including **Outcome 3a**, where the project has facilitated the official launch of five (5) Sustainable Marine Commodity Platforms (SMCPs)[64]. GMC's Platforms approach has shown positive signs through encouraging dialogue that has enhanced trust among the platform participants and as mentioned previously, they have resulted in public-private partnerships that have led governments to institutionalize the dialogue platforms and management frameworks, while adopting new policy and legal frameworks that have helped reform both large and small-scale fisheries..

The indicator for **Outcome 3b** has been met, with seven (7) project-supported National Sustainable Fisheries Action Plans (SFAP)/National Action Plans (NAPs[65]) under implementation (*although Costa Rica's NPOA for Sharks has been cancelled*), while another (Octopus) is under preparation.

The GMC has also achieved all four **Outcome 4**[66] indicators. The fact that additional private FIP investments (*Invested + Committed*) ***exceeded the original target*** ($1.5 million) ***by 75% in three countries***[67] ***combined is a significant achievement for the project***. In fact, several business organizations are now accessing global funds for their FIPs, despite losing the initial government funds to reallocation due to CoVID-19. ***This shows their new commitment to the sustainability of the several fisheries that had no attention before the GMC project and is considered an incipient impact.***

Outcome 4a – Nine FIPs have progressed by at least one grade or have maintained an 'A' grade and the year 4 target has been met. Of the nine, eight (8) have progressed their grades and one (1) maintained an A rating on *FishSource*. Three (3) of the FIPs have also entered full assessment MSC. Only Costa Rica received a rating of C (large pelagics), whereas all other countries have resource values according to Fish Source of B (Ecuador and Philippines) and A (Indonesia).

Finally, 11 of 14 (80%) of the target fisheries improved in two of the five FishSource Scores. While the project has achieved the overall numerical target (13/21), thanks to the creation of new fisheries, it did not meet the targeted percentage profiles created.

[62] 3a. Number of Sustainable Marine Commodities Platforms (5), and 3b. Number of Sustainable Fisheries Action or Management Plans under implementation (7).
[63] Increased synergy and involvement of the private sector in sustainable seafood value chains.
[64] These include Costa Rica (1) – Large Pelagic Fish Platform (which evidence suggests that it has not been sustained); Ecuador (1) – Small Pelagic Fish Platform; Indonesia (1) – SDG 14 Multi-stakeholder Platform for Sustainable Fisheries; Philippines (2) – Technical Working Groups for Blue Swimming Crab and Octopus.
[65] Costa Rica Large Pelagic Action Plan § NOTE : Costa Rica's NPOA for Shark has been discarded§; Ecuador NAP for Mahi-Mahi; Indonesia NAP for Tuna; Indonesia NAP for BSC; Philippines NMP for BSC; Small Pelagic Fish in Ecuador
[66] Increased sustainability scores of marine commodities.
[67] Presently, there is no evidence of FIP investments in Costa Rica (*remaining interviews are pending*).

The remaining indicators for Outcomes 5[68] and 6 more closely fit the definition of Outputs. For example, GMC website visits, and especially publications of peer reviewed scientific articles will always remain as outputs unless they are measurably mainstreamed into improved fishery policies.

Country-specific achievements

In general, Ecuador, Indonesia and the Philippines have done an excellent job of addressing Institutional barriers related to harmonizing incongruent sectoral coordination (in Indonesia the BAPPENAS leadership in intersectoral coordination to harmonize threats to the fishery sector is exemplary and a model to be considered for future work). On a specific country basis:

Philippines: the project helped establish an updated database of regional and national octopus' landings that is now available for stock assessment studies. It also identified issues with the catch-only assessment method CMSY, with improvements in stock assessments, objectivity, robustness and reliability of management advice forthcoming through further data collection for key data sets. A Diagnostic root cause analysis (*using an ecosystem-based approach*) identified an absence of coordination and multi-stakeholder implementation of the BSC-NMP and a lack of institutionalized monitoring platform, as well as a lack of enforcement and policy awareness by resource users.

There is optimism expressed from interviews that the targets particularly the two (2) management plans BSC and octopus and the respective Technical Working Group (TWG) are in place by the end of the project, which will provide the direction and mechanism for the long-term management of these commodities.

The FIPs supported by the project demonstrated to both industry and government of their importance in addressing the gaps in sustaining the resources and are important inputs in developing NMPs. These FIPs are expected to enhance industry commitment and participation in the management of the commodity. The project can be viewed as a tool that needs further development for a second phase, which should build upon or make improvements, based on the achievements and lessons learned from this first phase of the project.

PCPEAI, the octopus business organization, is now accessing global funds for their FIPs, despite losing the initial government funds to reallocation due to CoVID-19. It shows their new commitment to the sustainability of the fishery (practically no attention accorded to this commodity before). And the PACPI (business association on blue swimming crab) is now working together with government in mobilizing the USAID programme *FishRight*, and working through the GMC developed platforms, to roll out the BSC national management plan, despite delays in publication on the side of the Department of Agriculture, also shows the impact of the project beyond the paperwork.

Ecuador: Functional and legally valid co-management structure in place for Ecuador, plus: National Action and Management Plan for a key fisheries and a well-funded and designed FIP. The country also developed the first and second small pelagic stock assessment milestones through the FIP for one of the most conflictive fisheries. Additionally, an increased demand for certified fish meal and fish oil from

[68] Reliable and verifiable information available and used by stakeholders for decision making and engagement in fishery improvement projects.

international aquaculture feed producers was the main incentive for the Ecuadorian industry to develop a Fisheries Improvement Project (FIP) aimed at attaining the Marin Trust certification (UNDP, 2020).

Root cause analysis was used as an initial diagnosis of the problems that the fishery (*using an ecosystem-based approach*), resulting in the action plan and the fishery management plan, while a dialogue platform was institutionalized and a statute with certain regulations to be followed, that led key actors and the fishing authority, as well the scientific authority to participate. All the measures and actions of this action plan through the Governance Platform, which now governs the small pelagic fishery, have been socialized. The key stakeholders now hope that this will become the instrument with which they will improve the fishery over the short, medium, and long term to the fishery.

Costa Rica: Governance platform established in Costa Rica:

- Created a structured dialogue and inputs to the 10-year National Action Plan (NAP) and a FIP for large pelagics (although not formally adopted by government) and developed the NAP for the Conservation and Management of Sharks, although neither was institutionalized via government policy; there are questions about whether the Shark NAP is still viable at the end of the project, given that sharks remain classified as bycatch (despite high numbers in the non-mahi fishing season); INCOPESCA has classified sharks as commercial species and not wildlife, and the President of the Republic signed a new Decree (Feb. 2021) despite several species (silky, hammerheads) being on the CITES Red List.
- Efforts continue to both formalize and institutionalize the pelagics' plan and pertinent consultation arrangement. There remains considerable confusion about the status of the platforms, as several seafood purchasing companies have stepped back from actively participating in the process for various reasons.
- Experience in Costa Rica demonstrates that simply having consultation arrangements in place does not guarantee that a government will use them, according to anonymous interviews.
- The evidence indicates that Costa Rica has not developed the structural reforms that would improve the recognition and protection of unsustainable practices in the long lining fisheries, and this has been underscored by the US NOAA's 2021 Report to Congress in this regard (described elsewhere in this report).

Indonesia's Platforms have helped fill in critical gaps in fishery management for targeted species like the BSC, and pole-and-line and handline, skipjack, and yellowfin tuna (certified sustainable by MSC in 2021), and importantly to integrate the management into the regional approach through Fisheries Management Areas. It conducted a root cause analysis of the target fisheries (*using an ecosystem-based approach*) and achieved the following milestones:

- Included the creation of the national fisheries platform by BAPPENAS as part of the SDGs coordination mechanism, which has driven critically important cross-sectoral coordination at the highest level of government. This is a result from GMC support to BAPPENAS which hosted a series of interactive public-private meetings related to the Multi-stakeholder Platforms for Sustainable Fisheries, with the aim of promoting collaboration and dialogue on sustainability issues and linked it to the Government's mandate to achieve SDG 14. This is a major accomplishment and a model that could be considered for including a high-level intersectoral coordinating authority at the head of the Roundtable Platforms.
- Delivered significant output by providing support to accelerate FIP tuna pole and line and handline, which successfully obtained Marine Stewardship Certification and still in the process to facilitate BSC

to get another certification, which requires additional support to achieve, given that the project funds were limited ($1 million for Indonesia).

- Promoted specific legislation for fisheries governance/co-management of regional fishery management areas.
- The project also supports the revision of tuna the fishery management plan for the next 5 years, development of spatial analysis for allocation for Fish Aggregating Devices (FADs) policy and facilitating the development of a publicly accessible integrated database for tracking tuna vessels.
- Support to the BSC associated FIP to meet ecolabel requirements, develop the Harvest Strategy based on scientific data from APRI to determine reference points for the BSC harvests, and revise the fishery management plan for the next 5 years.
- Indonesia received the largest share of GMC funding, and it is on track for achieving its targets. It is noteworthy that the country maintained excellent coordination and communication with Ecuador, as well as with the other countries under the community of practice, and this is something that we can learn from and the experience can be leveraged for future projects.

Finally, although the project has met most of the parameters stipulated in the GEF's international waters' (IW) Outcome 2.3[69], the process for delivering integrated solutions to enhance resilience and adaptation is a lengthy one and it cannot be achieved in such a limited timeframe in such a small project. Nonetheless, to a limited extent, the GMC has contributed to immediate outcomes related to protecting biodiversity and other ecosystem services by tackling bycatch and habitat destruction caused by unsustainable fishing practices.

3.3.3.1 Analysis of the Effectiveness of Costa Rica's 'Hybrid GMC model'

As mentioned previously, Costa Rica started its GMC activities well before the other three countries and invested considerable time and effort into the project, with impressive initial results that included the first FIP in the world for large pelagics. Rather than adopt the GMC model recommended in the ProDoc, Costa Rica developed a hybrid model that was strongly influenced by UNDP's Global Commodities Program (GCP), and the evaluator's experience suggests that new approaches should always be encouraged for improving on any original model. However, conflicts arose immediately due to different perspectives and poor communication between the Costa Rica project team, SFP and UNDP Ecuador and to say that it led to a rocky start-up is an understatement. Although each actor has widely different explanations for their root causes, the TE is not an arbiter and therefore those views are immaterial. What is important is the degree to which outcomes were met and sustained, and the results of the analysis of the 2020 PIR, which is only a process and achievement reporting tool to assist independent evaluations. Based on that and the triangulated evidence the TE identifies the following points.

Contrary to the PIR, Costa Rica did not achieve Outcome 2 (which is an output, as mentioned earlier) as Costa Rica did not sign the Position Statement[70] signed by the other mahi-mahi producing cooperatives and the countries representing COREMAHI, which was presented to the IATTC national commissioners.

[69] Innovative solutions implemented for reduced pollution, rebuilding or protecting fish stocks with rights-based management, ICM, habitat restoration/conservation, and port management and produce measurable results: i) National and local policy/legal/institutional reforms adopted; ii) Types of technologies and measures implemented in local demonstrations and investments

[70] Costa Rica accused the project of being 'conservationist' presumably because of the interest in reducing CITES-listed shark species, which is surprising because the country has signed the Convention on Biological Diversity.

While the 2020 PIR states that Costa Rica met Outcome 3, although there was considerable effort invested in this outcome, the evidence showing that the SMCPs have been implemented, much less sustained, is lacking to date. Although SFP hired a consultant to present a review and update of the Costa Rica National Action Plan for the Conservation and Management of Sharks (Shark NPOA), and the PIR states that the updated version was approved[71], there is no evidence that the Plan is being implemented today nor that the FIP is operational at this time. The evidence presented for Figure 8 and the above, indicate that the Costa Rica's good intentions of testing a hybrid model fell far short of GMC's objective and its outcomes. The major shortcomings of the hybrid approach are as follows:

1. The root cause analysis of the fishery sector was very basic and simplistic[72] - while the analysis was based on a flexible tool, it did not provide a sufficiently robust diagnosis (weak information in= weak root cause analyses and results) and it did not meet the GMC's expected results.

2. The selected approach for attracting Roundtable participants is not discretionary about whom it invites to participate - It is the STATE who must lead this process, since it is the authority who determines who to invite or not. For example, if someone who does illegal fishing and bad practices is invited to the dialogue, it essentially legitimizes their illegality, which is likely to create disputes with people who do legal fishing and have permits.

3. A singular focus on creating an Action Plan *without* a Specific Fishery Management Plan – It is important to emphasize that although Management Plans represent a series of commitments, they do not necessarily generate improvements on and under the water[73]. At this point, the hybrid GMC model in Costa Rica's Plan has as an Action Plan, whereas the GMC model promotes *both*.

4. The hybrid methodology fails to formalize dialogue spaces, which can be counterproductive. For example, the hybrid methodology gives the feeling that everything that was done failed to achieve the expected impact. There was no active consultation process, and the plan was never made official.

5. The GCP approach also calls for the creation of numerous entities and spaces for control, which may look good on paper, but it is not practical. For example, having a Project Steering Committee, and then a separate Platform Steering Committee with almost the same functions just to supervise. Furthermore, the hybrid approach proposes that participants be divided into technical working groups or subcommittees, while meeting again in an assembly just to socialize what the steering committee or platform committee decides to include in the plan. In short, this creates many groups and the kind of complexity that has a high risk of failure.

3.3.4 Efficiency (*)

[71] by the Costa Rican Institute of Fishing and Aquaculture (INCOPESCA) technical officers. Moreover, the board of directors of INCOPESCA approved an agreement to give priority to and adopt the Operative Institutional Plan of INCOPESCA & contemplated actions, upon recommendation of a functionary from the Department of Investigation and Development of INCOPESCA & UNDP.
[72] based on the available guidelines and evidence.
[73] A good example is the *Mahi-mahi* PAN for Ecuador where they have been collecting data for 10 years, yet to date they have done stock analysis, but it is not known if the plan has achieved an impact. Therefore, the GMC emphasized genomic studies (the Maximum Economic Yield or MEY, etc.).

A. Response to Evaluation Question 3.3 (EQ3.3)

EQ.3.3 Was the project implemented efficiently, in line with international and national norms and standards?

The project was efficiently implemented, and the Ecuador Office did an excellent job of administering the project in the four countries, while the Philippines and Indonesia provided the requested audit information and provided reporting on a timely basis. For relatively little money, three countries (Ecuador, Indonesia and the Philippines) have exceeded the expectations and the GMC achieved significant results - and the financial shortcoming was made up by additional investments that were 41% higher than anticipated in the three countries. Overall, the GMC efficiency is rated as ***Highly Satisfactory****, despite some delays in requested audits.*

Project Management Structure – The Project Management structure was generally followed by three countries according to the ProDoc. However, one country started early and followed a separate approach, which contributed to testing the efficiency of two different approaches.
Project Financial Audits – Three of the four countries satisfactorily completed requested financial audits – Costa Rica was unable to provide the requested audit information for meeting the central auditing unit in a timely manner.

The GMC's costs have been reasonable. According to the PIRs, the UNDP standards and the max budgets defined in the PRODOC have been respected. Some minor variations between components were due to external factors (for example COVID-19), but within what is allowed by GEF policies. The planned budget has contributed to the GMC's results - however, the contribution (co-financing) has been the key factor to the achievements of goals. *According to the 2021 PIR (draft), the GMC has managed to meet, and in some cases even exceed the goal of 15 of the 16 project indicators.*

B. Narrative and Evidence Supporting the Answer to EQ3.3

CJ. 3.3a Economic resources and inputs (funds, expertise, time, etc.) were adequately converted into results.

Both key informants and documentary evidence lead to the conclusion that the costs have been reasonable, and the maximum budget allocations have been respected according to PRODOC, but it was also identified that the budget allocated for the Project was very limited, in some cases some fees below international standards. However, the optimal management of the IPCU, and the IPs, as well as the management for Co-financing, the appropriate use of time and expertise, has generated excellent results, which reflect that the efficient management of the funds has contributed undoubtedly to the achievement of the expected results.

According to the PIR 2021 (under construction cut-off to June 2021), GMC has managed to meet, and in some cases even exceed, the goal of 15 of the 16 project indicators. In other words, to date, compliance with project results is 94% compared to 88% of financial execution.

The management of the GMC's resources was adhered to international standards. For example, the project has followed the policies of the UNDP Harmonized Approach to Cash Transfers (HACT) framework, which establishes and standardizes common principles and processes for managing money transfers to IPs. However, no evidence is available to validate whether Costa Rica used this approach. The Project used the "complementarity" approach adequately, by taking advantage of the strengths of other projects and the optimization of resources, such is the case of the GMC's contribution to Gender equality, as defined in the corresponding section.

Regarding management structures, the project structure was designed (in accordance with the provisions of the PRODOC) at various levels to address the organizational requirements between the IA and the IP (made up of the 4 countries and SFP), and other actors, as well as their interrelation in the development of the four GMC components. The Project Steering Committee (PSC) was established to provide high-level guidance and oversight and consisted of representatives of all project stakeholders. The next level of the organization, the Technical Advisory Group (TAG) provided technical and scientific support. However, the Mid-Term Evaluation (MTR) found that this group was not functional, and as a measure recommended by the MTR, the PSC reinforced its follow-up management.

The International Project Coordination Unit (IPCU) was responsible for the general coordination, and a national level team was formed in each country, where a national platform coordinator and the association advisers (one that followed up on the Asian countries and the other on Latin American countries) were the key focal GMC points.

In sum, the project management structure contributed to the efficient achievement of the expected results. However, the TE notes that the first country to implement the GMC did not benefit from this structure, since it was managed independently until the IPCU was established and followed guidelines set forth in the UNDP's Green Commodities Programme framework. Consequently, the lag in the project startup and implementation dates prevented all IPs from benefitting equally from the recommended implementation framework.

3.3.5 Overall Outcomes (*)

The GMC's overall outcome is rated as ***Highly Satisfactory***. First, the GMC model implemented in three countries demonstrated that the Platforms and FIP Dialogue Tables described explicitly in the ProDoc were based on transparency, dialogue, and trust, resulted in reciprocal government actions that responded to stakeholders' concerns, which led to a consensus in most cases. Without consensus and leadership, it is difficult to build trust, and it is impossible to overcome the barriers that prevent a transition a market that is driven by certified fisheries. Joseph Stiglitz's quote reverberates loudly as one of the key ingredients for the successful Platforms and FIPs.

The GMC project also catalyzed, or revitalized key institutional arrangements promoting decisions favoring consensual agreements on the key factors to be respected and continuously implemented for producing sustainable seafood for the targeted fisheries in three of the four countries. It also showed that institutionalized, transparent multi-stakeholder consultation platforms within government fishery management structures is fundamental for building consensus for bridging critical gaps in fishery management and sustaining effective administration arrangements and management measures that lay the foundations for meeting consumer demands for certified seafood and eventually contributing toward achieving triple bottom line development impacts.

Despite Costa Rica having invested considerable time and energy applying a modified Green Commodity Program model and an effort to develop and test a *hybrid GMC/GCP model*, the results were disappointing. However, the experience has produced valuable lessons that have benefitted the other countries. The statement that *You never lose - you either win or you learn, but you lose when you don't learn,* is especially relevant in this case.

Indonesia learned that the $1 million it received from the project had delivered a significant immediate outcome by helping facilitate the country's second year achieving its Tuna MSC certification. This is the first time ever for Indonesia to receive these certifications, which is a significant achievement.

3.3.6 Sustainability

A. Response to Evaluation Question 3.3.6 (EQ3.3)

EQ.3.4 Are the positive effects expected to continue once the GMC Project ends?
The evidence strongly indicates that the positive results will continue, because there is a large upswing in private sector and even artisanal fisher investments in the FIPs in most countries. The Philippines, Indonesia, and Ecuador have some remarkable results that have increasingly gained support through external funding of badly needed scientific data, monitoring, among other investments. The BSC and Octopus are now gaining support from the governments and the results are so encouraging that those governments are exploring new FIP commodities.

B. Narrative and Evidence Supporting the Answer to EQ3.4

Financial (*)

The ***financial sustainability is rated as highly likely*** for three of the four countries. In terms of national management, although the four countries have different economic contexts, it was identified that Costa Rica represents the greatest risk to the continuity of results due to the fragility of its governance systems, which influence financial sustainability. However, the GMC has formulated a series of follow-up actions and recommendations to help ensure that the benefits of the project can continue over time. The project has developed a sustainability strategy that outlines the concrete actions to ensure that once project implementation concludes, relevant stakeholders are equipped with the knowledge, skills, and ***mechanisms to secure funding*** if necessary, and to continue managing the established structures or on-going activities that the project initiated.

Socio-economic (*)

For the purpose of this evaluation, it is essential to separate the social and the economic dimensions of sustainable development. ***Economic sustainability is rated Likely, in three of the four countries, while social sustainability is rated as Moderately Likely.*** Economically, there is evidence that the outcomes of the GMC will continue being sustained with private-public partnership funding in three of the four countries. Socially, there is evidence that the gender equality strategy is starting to bear fruits, and this is especially evident in the Philippines and Indonesia where the governments have a strong gender perspective mainstreamed into the government institutions that was in place before the GMC developed theirs. The biggest challenge is that of human rights. This includes not only slave labor conditions on some of the fishing boats, but unfair and often illegal labor practices in the processing industry and the latter is an area where considerable work must be done to raise the profile of women and ensure that they have fair pay, and benefits afforded by law.

Institutional framework and governance (*)

The institutional and governance frameworks are likely to be sustained in three of the four countries. The level of commitment by the governments to create dynamic institutional arrangements

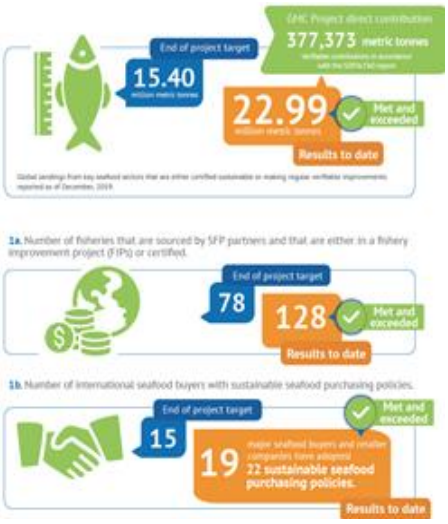
and spaces for stimulating trust-based dialogues between formal and informal institutions is encouraging, and the project has played an important role in catalyzing these ongoing governance processes in three countries. Effective governance platforms such as these are fundamental for ensuring that the agreed upon rules, norms, rights and procedures favoring sustainable fishing practices are respected and implemented continually at the lowest practical levels. The preliminary results show that they can also contribute towards a goal of social equity and environmental justice in what has historically been an unlevel playing field favoring the powerful and well-positioned fishery interests that have influenced fishery policies in most countries. The results from the GMC also show very clearly there is a strong tendency to maintain the status quo in the one country where the Governance Platform was not sustained.

Another important finding related to meta-governance and governability was in Indonesia where a high-level government authority, BAPPENAS, ensured that the Nation's fisheries are used sustainably and in line with the country's SDG #14-framed policy to benefit Indonesian society, and not just one sector. **Ecuador's** new government is reviving a similar inter-sectoral Coordinating Commission at the highest level of government that was highly successful until it was abolished under the previous government. It is crucial that such a high-level authority balance the pros and cons of the FIPS, ensure that they are not undermined by other economic sectors (e.g., agriculture, mines, tourism, infrastructure). The **Philippines** government is taking similar actions with their new Special Management Area framework which is a key ingredient of sustainable institutional frameworks, and the good experiences with integrating the GMC-supported commodities BSC Plan, led by the government, is a positive sign in that regard.

Environmental (*)

Environmental sustainability is only moderately likely at this stage. While the GMC made major advances with its impressive outcomes with different aspects of environmental sustainability (see Figure 11), there are still serious shortcomings when it comes to reducing bycatch, particularly in two countries, who are still taking large numbers of protected shark species and turtles. Until those countries regulate the practice and set the example for other countries by classifying endangered species as wildlife and not commercial ones, then it is possible that most of the other countries who are doing the same practice will eventually follow suit. Had the project had more funding, this might have been possible to use the seafood value chain certifications to put pressure on those countries. It remains to be seen how Costa Rica will respond to NOAA's report to the US Congress. Other countries who are violating international agreements, or not reporting as required within their RMFOs, should be aware that similar pressure could be mounting on them.

Figure 11. Updated GMC Indicators (2021)



Source: GMC

Today, the control of intentional and accidental bycatch is largely ineffective, and Costa Rica and Ecuador remain as the world's top 5 exporters of shark fins from protected species, despite having signed the *Convention on Biological Diversity* and its pertinent Articles. Appendix 2-listed sharks are migratory species and the threats to their resilience will increase seriously unless bycatch is coordinated both nationally, and

by regional fishery organizations. The Scientific and Management Authorities must be responsible for issuing NDFs without political interferences, and RFMOs and their respective national delegations could be an appropriate space for adopting and discussing shark management measures.

The Philippines and Indonesia have done an exemplary job with their BSC FIPs. The Philippines is in the process of get another certification for octopus and this requires additional support from what a second phase or government financial contribution would hopefully be the second phase of this project.

Overall likelihood of uptake and mainstreaming (*)

The likelihood of uptake and mainstreaming the GMC into a potential second Phase is *Highly Likely* in three of the four countries, and *moderately likely* in Costa Rica, under the condition that the lessons from adopting the hybrid GMC model are acted upon, and that the country complies with international/regional reporting requirements on IUU and other parameters highlighted in the recent NOAA Report to the US Congress (NOAA 2021).

When the GMC project ends in the **Philippines** in November 2021, other organizations and entities will take over what the GMC team was originally doing, and this appears to have a huge catalytic effect for the BSC, which today has a high demand for sustainability at the global level. Prior to the GMC project, there was no global demand for octopus, and little to no demand for sustainability but from the buyers. However, the National Business Group has only begun to invest its own funds in the octopus certification process, because the demand for the commodity is beginning to grow. The Group also signed an agreement to share 10 years of their data to help establish sustainable extraction levels and the data have been shared with the National Management Center. This gesture and the success to date have convinced the government to invest in various aspects of the octopus' fishery, including in an assessment of the octopus staff. Finally, the project has been a springboard for the Philippines to get access to new funds like UNDP Asia funds to fund the sustainability initiatives for the octopus' fisheries FIP through the National Business Group, who has evolved from a largely unorganized business tech to an organization that that covers 85 to 90% of all the octopus exporting business here in the country. Now this organization can, by itself, initiative access to funds, while the BSC organization ("PACPI), together with the government, was able to secure support and funding from the USAID fisheries program in the Philippines.

Ecuador has had major success in attracting private-public partnership funding that has led to critically important new data on stocks. The small pelagic Platform has been highly transparent and there is a high degree of trust, as was expressed by all interviewees.

In its effort to accelerate its Blue Swimming Crab (BSC) FIP and ecolabel standard as part of an effort to update the blue crab management plan, **Indonesia**'s BSC Industry Association agreed to maintain and/or improve the Spawning Rate Potential as a measure of the fishery's sustainable capture and this resulted in the Ministry of Fisheries launching the BSC Harvest Strategy.

Country Ownership

A financially, institutionally, socially, and environmentally sustainable FIP requires transparent, vertical and horizontal dialogue that creates trust in the process, as well as government responsiveness to act on the group's recommendations.

In response to weak coordination, governance and enforcement associated with the **Philippine**'s BSC commodity and a lack of awareness about size limits by fishers, BAFR approved the dialogue process that the GMC helped introduce and they facilitated that process. This led to a review of the government's historical BSC data base under the National Stock Assessment Program, which resulted in the use of scientific data to help feed into the design of new management measures for the BSC fishery, which were subsequently adopted. This carried over to BSC fisheries other areas (Luzon, Visayas and Mindanao) and it resulted in the BSC National Management Plan entering its final phase of the approval process. It is noteworthy that the GMC's support also resulted in improved and institutionalized co-management framework and a BSC FIP that continues to participate and closely coordinate its activities with the Philippine government.

In Ecuador, the projects came to change in a certain way stereotype in the way of looking at governance. In a certain way, GMC in its role as a facilitator, has made it possible to establish a participatory model with the sector, where the opinions of the sector that are directly involved are taken into consideration, such as with the fishing entity. The GMC in a certain way established certain ordering measures, they gave the guidelines so that there really is that balance between the fishers, society and those who benefit from the activity as such. The support and strengthening of the small pelagic FIP is one example, which has been developed as an initiative of the private sector, but clearly supported in a complementary way by the Fishing Authority, which, is the one who gives the guidelines to follow and this promotion and service by the authority must always be there. In fact, they have signed a cooperation agreement with the FIP, which is an important element, on which they already have a certain commitment and obligations that are referred to within the framework of the FIP.

Indonesia's forward-looking decision to integrate the project into BAPPENAS, which is at the highest level of government and has provided superior leadership for the project. And the success achieved in Indonesia is unlikely to have been so significant without that leadership. BAPPENAS plays a model role that other countries might turn to as it ensures that there will be continuity and it is likely to reduce impacts from other sectoral plans, programs and policies that might undermine the GMC approach if it continues to a second phase in that country. The adoption of the SPR and recently launched BSC Harvest Strategy is further evidence that the country is taking ownership of the GMC's support to produce measurable outcomes.

This laid a solid foundation by examining the policy gap and regulations to be revisited and subsequently, with the aim of creating adequate enabling conditions for producing sustainable seafood commodities. They also examined gaps at the institutional level, particularly at the national level, on how to build capacity in the relevant institutions and individual capacities for improving the sector, as well as facilitating the fee service sector along the supply chain. For the Philippines, the level of ownership can be appreciated by government's new support for the BSC FIP, and National Business Group's investment of its own funds into the new octopus FIP and sharing of valuable data.

Finally, for Ecuador, the unexpected investment from the private sector into the small pelagics's FIP, the involvement of artisanal fishers in joining the scientific monitoring and data collection process and the incorporation of good governance and other practices into its GEF-funded Coastal Fisheries Initiative indicate that there is indeed ownership and continued uptake of those results, which have now been shared with neighbouring Peru, who also participates in the CFI project.

3.3.7 Gender equality and women's empowerment

EQ 3.6. To what extent the GMC project contributed to gender equality and women empowerment?

Despite not including gender aspects in the ProDoc, the project subsequently developed a gender strategy at mid-term, and this contributed positively to gender equality and women's empowerment through specific actions covered by the four project components as of 2019. These actions contributed mainly to create capacities to mainstream the gender perspective (through training and awareness-raising processes), strengthen governance with a gender approach in GMC supported fisheries, and contribute toward an expanded understanding the importance of women's participation and decision-making in fishery value chains (used for decision-making). This was especially successful for the blue swimming crab and Tuna fisheries in Indonesia, while contributing to a greater visibility of the GMC's support to gender equality through mainstreaming the gender perspective in information and communication systems.

Gender perspective adequately mainstreamed into the GMC Project components through Four Strategic Objectives that contributed to gender equality and women´s empowerment in the fishery sector (supported Fisheries).

As mentioned previously, the GMC lacked a budget to address gender issues. Nonetheless, adequate optimization of resources by the IPCU resulted in the gender strategy design in 2019, and this was partially implemented with contributions from key actors, and complemented with related projects, resources from the IPs, and other initiatives.

Interviews and available information indicate that the GMC made the best efforts and achieved excellent results (despite the limitations) in mainstreaming the gender approach in the four Project components. However, some tasks are pending because of the lacking financial resources, or the tight implementation timelines, to implement the gender strategy and its action plan. In line with its strategic objectives defined in the Gender Action Plan, the TE notes that the GMC Project achieved the following:

- ***Contributed to create/strengthen capacities of the project management and partners to mainstream the gender approach in project-supported fisheries governance systems and contributed to increased gender awareness in the fishery sector.*** Capacity building / strengthening occurred especially through gender trainings in Ecuador, the Philippines and Indonesia. Gender focal points were also defined in each country, which allowed (such is the case of Ecuador, according to key informants in this TE) to promote the participation of women, while understanding the needs, gaps, and lack of prioritization of gender issues in the sector, for a better focus in a potential second phase. Further, the process led to a context-specific gender analysis that was mainly based on secondary information, due to the lack of resources. It also identified that those countries that had pertinent gender information on gender and found that Indonesia had a more gender-favorable approach to and that the country had achieved more visible results that were derived from their own country / sector strategies, according to key informants of this TE. Finally, the Project also managed to get those IPs that did not include gender aspects in their monitoring reports to incorporate it (such is the case of SFP), which is a very important actor within the GMC, however, it does not incorporate gender as part of its institutional policies. In the case of Costa Rica, no specific gender-related actions were defined since the country had already completed its national component at the time of the gender strategy design.

- ***Contributed to promote enabling environments (albeit with limitations) to enhance a gender responsive management process in GMC-supported fisheries to ensure that women and men have equal opportunities to participate in decision-making processes and for accessing resources***. Above all, the equal participation of men and women in decision-making within the GMC framework refers to the "governance spaces" for formulating Action and Management Plans for the supported fisheries. In this case, the evidence indicates that the Plans prepared within the GMC framework incorporated gender indicators. Although this evaluation does not delve into the quality / effectiveness of incorporating the gender perspective in the respective plans, the evaluation considers it to be an important advance. However, future endeavors must be ensured that the implementation of the plans have adequate budgets to achieve gender responsive outcomes. This is especially important in countries like Ecuador, where key informants mentioned that it has been challenging to influence a greater participation of women in decision-making within governance spaces, largely because the actions aimed to promote the participation and influence (derived from the gender strategy) of women was only initiated at a late stage of the project, in a context in which the representatives of the dialogue were already defined (mostly men) and gender issues (unlike other supported countries) did not represent a priority to be discussed in those spaces.. On the other hand, countries like Indonesia and the Philippines benefited from their favorable context for gender equality. Nonetheless, there are no specific data on the variable levels of participation based on these mainstreaming actions.

- **Contributed to improve government, donors, NGO, private sector, and civil society's understanding of women's contributions to the supported fisheries**. The project contributed (partially) to generating public information on gender in the several target fisheries, such as Indonesia, which has completed its gender profiles for both fisheries within the context of the FIPs (blue swimming crab and tuna), which contribute to understanding the roles and barriers that women face in the value chain. On the other hand, SFP, in coordination with the IPCU, concluded work on the proposed *FishSource* gender equality indicator set / index process to provide a methodology to assess women's participation in decision making in fisheries. The score will provide a tool that provides a snapshot assessment of national policies and their implementation on the ground. **A later potential second phase could benefit from the momentum of this important tool**.

- **Helped to increase visibility/coverage of the project's contributions to gender equality and women's empowerment in the four target countries.** The gender strategy also included the development of tools to incorporate the gender perspective in the communication products of the Project. As of 2019, key informants indicated that there has been an important change in the way of communicating and projecting the participation of women in the project and in the sector, which has been evidenced in this TE.

In addition to the above-mentioned achievements, the TE Consultant finds a clear awareness about gender issues based on informant interviews, who also recognize the admirable effort that the IPCU and all key actors have invested to mainstream the gender approach into the supported fisheries supply chain.

3.3.8 Cross-cutting Issues

Despite emphasis on human rights (HR) abuses[74] and gender issues in the original GEF ESSP (GEF 2012), both important elements were left out of the ProDoc, and only gender issues were addressed at a later date during the GMC's implementation. However, SFP is currently developing a HR strategy, given its increasingly high profile and the seafood industry, and the NGO has made numerous public commitments to tackle this problem and although not an explicitly stated element of the GMC project, SFP has developed a simple risk assessment tool that can be used at the fishery level as a first step for SFP in building a wider set of resources for industry, based on the FishSource public database and its collection of over 1700 fishery profiles. The Human Rights Risk Indicator for Fisheries (HRRI) is based on publicly available data that can be coded into high, medium, and low categories. The Danish Human Rights Institute has developed an interactive tool Human Rights Guide to the Sustainable Development Goals (SDGs) that helps identify specific international agreements that are linked with each SDG (https://sdg.humanrights.dk/). DIHR also developed a similar tool for flagging pertinent international agreements associated with protecting indigenous people (https://navigator.humanrights.dk/) and its Sector-Wide Impact Assessment for HR has already shown excellent results. However, it remains necessary to identify robust proxy indicators that indicate risk, and which can then be combined to increase the power and credibility of SFP and DIHR tools for several HRRI that are under development for the seafood industry, and these could add considerable value to the social dimension in a second phase.

3.3.9 GEF Additionality

One of the pleasantly unexpected results of the project is that some of the GMC tools and concepts (e.g., FIPs and Governance Platforms) are currently being adapted to the Coastal Fisheries Initiative (http://www.fao.org/in-action/coastal-fisheries-initiative/en/), which is an ongoing GEF-funded project in Peru and Ecuador. This is an excellent example of GEF additionality.

3.3.10 Catalytic Role / Replication Effect

Indonesia, the Philippines, and Ecuador have either replicated the GMC model to develop new FIPs and their associated Governance Platforms or begun a process for designing them. Similarly, there are new FIPs that have initiative based on the GMC, and several are currently in their design phase, which demonstrate this important replication of a sound model.

The Philippines mainstreamed its management approach for the blue swimming crab (BSC) and octopus' commodity into the country's new Fishery Management Area (FMA) tool, and the approach was easily incorporated by each FMA's Scientific Advisory Group, thereby facilitating their expertise to adapt the approach into the resulting fishery management area plan. Thus, these plans will use parameters set forth by the GMC-produced Commodity Plan, something that would not have happened if the PI simply developed these independently.

[74] Abuses on board fishing vessels can range from physical confinement and extreme violence to forms of compulsion based on withholding personal documents or payment of extortionate fees to employment brokers. Such abuses are all too easily perpetrated on vessels that may be at sea for long periods and where there are traditions of casual labor, harsh conditions, and the employment of migrants. Across the supply chains, the intention is to eliminate all abuses of human rights from fishing vessels, but this remains an enormous and complex task (SFP – No Date).

As mentioned previously, the GMC had a major catalytic effect for **Indonesia** to adopt the adoption of the SPR as a source of valuable data that could feed into the design of the recently launched BSC Harvest Strategy. For **Ecuador**, the GMC was a catalyst in brining greater attention to the small-scale pelagic fisheries, resulting in a functional and legally mandated co-management structure a national action plan for the six most important species that are now recognized by the government authority and a well-funded FIP, which is in the process of acquiring certification for fish meal factories under the Marin Trust. This also resulted in a participatory data collection process under a cooperation agreement with the Ecuadorian Public Institute for Aquaculture and Fishing Research to conduct a stock assessment that concluded that the fishery was being exploited unsustainably, and that a clear management strategy and strong harvest rules were urgently needed. This resulted in a functional Dialogue Platform, which became a governance body that incorporated the scientific data (from the participatory data collection process) into the formulation of a management plan that aims to achieve social, environmental and economic sustainability.

3.3.11 Progress to Impact

The recognition of achieving triple bottom-line economic, social and bio-ecological sustainability adds new layers of complexity to the pursuit of sustainable fishery management, and this requires a more holistic approach for assessing development impacts to the sector. Consequently, the TE takes this three-dimensional approach as a framework for measuring fishery development incipient impacts.

Regarding the economic dimension, the evidence indicates that economic conditions have improved for many fishers, particularly for the GMC-supported Asian fisheries, and there are incipient signs that some of the economic benefits that have historically favoured the private fishing, processing and retail companies have been shared with the FIP stakeholders. For example, they have helped fund badly needed scientific studies and shared their own data to help quantify several stocks and identify genetic differences, both of which are key ingredients for achieving sustainable fishery management.

While the above-mentioned biological data are invaluable for sustaining the target FIPs, the impressive volume of sustainability certified seafood under Outcomes 1 and 2 are good proxy indicators of at least two aspects of multiple aspects of environmental sustainability. However, most of the remaining indicators are either outputs, or process-driven indicators. As mentioned, there is a large gap in harnessing the widespread longline and small pelagic bycatches of CITES-listed species[75] , and this remains a serious issue in Ecuador and Costa Rica, who are two of the five major exporters on shark fins in the world, and therefore not abiding by their international agreements to the Convention on Biological Diversity.

Finally, it is once more noted that social sustainability is far from being on a path towards sustainability and equitable benefits form the fisheries and other marine ecosystem services. While gender equality, human rights and slave labor conditions onboard and in the processing sector have been touched upon, there remains a long road ahead before they will reach the desired human rights targets identified in the Danish Human Rights Institute's Human Rights Guide to the SDGs and its Indigenous Human Rights Navigator. On a positive note, the GMC contributed to the GEF's additionality criteria for the following themes: Specific environmental additionality (e.g., biodiversity resilience-building), Legal/regulatory additionality, Institutional additionality/governance additionality, Financial additionality, Socioeconomic additionality. Consequently, the TE considers the achievements to represent signs of incipient impacts.

[75] Kitchell et al (2002) used models of Pacific longline fisheries to show that bycatch overfishing of sharks not only impact CITES listed species, but also have profound effects on the food webs that support sharks.

4. MAIN FINDINGS, CONCLUSIONS, RECOMMENDATIONS & LESSONS LEARNED

4.1 *Matrix summarizing findings with correspondent conclusions and recommendations.*

The following Matrix summarizes the findings, conclusions and lessons learned. A more descriptive version can be found in the corresponding Sub-sections for each aspect. Recommendations are presented in a separate table in the ES and described in detail in Subsection 4.4.

FINDING	CONCLUSIONS	LESSONS LEARNED
Finding (Relevance): The Global Marine Commodities model was *highly satisfactory* in its relevance for contributing good practices and replicable country experiences to the global knowledge and strengthening Global Partnerships to transform markets whose consumers value sustainably harvested and processed seafood throughout sustainable marine commodity sourcing value chains. Furthermore, the model promotes country ownership, transparency, stakeholder trust by creating synergies for public-private funding investments. It also contributed to six SDGs (#1,2,5,12,14 and #17), GEF and UNDP Outcomes, and GEF additionality criteria.	**Conclusion: The GMC model's relevance is *highly satisfactory*, as it not only addressed the GEF-5 objectives, but also contributed to six SDGs (1,2,5,12,14,17) and the GEF IW Objective 2,** which aims to catalyze multi-state cooperation to rebuild marine fisheries and better manage fisheries in Large Marine Ecosystems (LMEs) by implementing innovative solutions to rebuild and protect fish stocks by harnessing the incentives from international trade.	**Lesson:** Regardless of whether management plans are based on poor data or purely unsupported evidence used for politically motivated decisions, they require measurable actions, robust assumptions, clearly designated responsibilities assigned, and most importantly, measurable outcomes and development impacts.
Finding (Design): There is no question that the project design was *Satisfactory* in mainstreaming sustainability into GMC supply chains and the results confirm this finding. While the implementation framework presented in the Project design helped build upon and improve corporate sustainable purchase policies, sustainable marine commodities platforms (SMCPs), fisheries improvement projects (FIPs), as well as developed national capacities and generating good practices and other lessons to be shared worldwide the, Theory of Change presented in the GMC Implementation Report (Orellana et al. 2020) lacks many of the key assumptions that are fundamental for driving the systematic application of adaptative management principles.	**Conclusion: The ProDoc's GMC *Satisfactory* model contained key elements for addressing historical barriers to sustainable seafood commodity value chains and provides an important global contribution to the sector.** However, there were several shortcomings in the original approach that were addressed midway through implementation and other issues that remain to be strengthened in future endeavors.	
Finding (Overall Outcomes): The GMC Project model was effective in facilitating the application of market mechanisms and improved tools (FIPs, Governance Platforms) to mainstream sustainability into global seafood supply chains, while introducing good practices and promoting multi-stakeholder dialogue to craft science-based, as well as consensus-driven policies for improving the administration of the targeted fishery subsectors. It was not only effective in addressing some of the historical barriers to be overcome to improve fisheries management through shared decision-making and implementation arrangements leading to better legislated and institutionalized fishery management processes that lead to, but it met most of its expected results.	**Conclusion: The GMC's achievement of overall outcomes is Highly Satisfactory**. The GMC model explicitly described in the ProDoc has been effective in achieving the objectives and overshooting many of the outcome indicators. The results are impressive and offer new knowledge from the many lessons captured during implementation that can benefit future endeavors.	**Lesson:** A financially, institutionally, socially, and environmentally sustainable FIP requires transparent, vertical and horizontal dialogue that creates trust in the process, as well as government responsiveness to act on the group's recommendations.
Finding (Overall Outcomes): Overall, **the effectiveness of the overall outcome was highly satisfactory**. However, the degree to which the four countries met the TE's evaluation criteria, results and assumptions varied between the two GMC implementation models, and their effectiveness for improving fishing performance on the water, mainstreaming policies that aimed to curb bycatch and scientific data, rather than maintaining politically motivated management actions, as well as unforeseen new cofinancing income depended on whether the multi-sectoral stakeholder recommendations presented in FIP Roundtable dialogue spaces created trust among the participating members.		

Finding (Adaptive Management): The GMC adapted to most design shortcomings and the unexpected results further contribute to emerging models aiming to sustain new and existing global fisheries. Not only did it adapt to unforeseen bottlenecks such as the absence of a strategy to incorporate gender aspects, testing a hybrid GMC model in Costa Rica and the need to create COREMAHI to fill in coordination in reducing bycatch and gaps in the IATTC's mandate that is singularly focused on tuna fisheries and associated bycatch, the latter output produced and an immediate outcome in which fishers, in collaboration with scientists, collected empirical data and conducted monitoring related to stock assessments.	***Conclusion*: Overall adaptation was excellent both at the IPCU and adaptations by Indonesia, Philippines and Ecuador were positive.** The results and the good practices responsible for those results offer a solid base upon which to develop a second phase. Two of the most important ingredients for catalyzing and building synergies leading to adaptive decisions are related to platform spaces and FIPs built on trust and the absence of interference from outside the dialogue platforms in those countries.	**Lesson:** Overlooking critical assumptions on causative links along a results chain leading to expected fishery outcomes and the triple bottom-line targets of sustainable development impede the systematic application of adaptive management principles. This is a critical gap that is likely to prevent the development of an applied real-time M&E platform that can help correct mistakes and build on success *during implementation*, rather than compiling those lessons at the end of a project when it might be too late. While the GMC's reconstructed Theory of Change offered a clear snapshot of the project, the lack of assumptions prevented such real-time adaptation and learning. While it is fine to experiment with, and test alternative marine commodity supply chain approaches and not be afraid of making mistakes, unless critical assumptions and risk-reducing measures are built into those approaches, they are likely to fall short of their targets. The important point is not the outcomes, but for the 4 countries to consider that "You never lose - you either win or you learn, but you lose when you don't learn". By avoiding repeated mistakes and sustainability, the replication of good fishery administration practices can be scaled up more efficiently and effectively with new global partners. This will also help future fishery commodity supply chain initiatives sustain positive outcomes in partner countries through the application of adaptive management and learning.
Finding (Effectiveness): Three of the countries passed the expected results, which should be replicated and scaled up. First, the GMC model implemented in three countries demonstrated that the Platforms and FIP Dialogue Tables described explicitly in the ProDoc were based on transparency, dialogue, and trust, resulted in reciprocal government actions that responded to stakeholders' concerns, which led to a consensus in most cases. At the end of the project, the GMC met all but one of its 16 indicators and surpassed nine of them. While added late in the project, gender awareness and activities had fed into the Sustainable Marine Commodity Platforms to promote multi-stakeholder fishery governance.	***Conclusion*: The GMC's effectiveness is rated as *Highly* Satisfactory**, largely because three of the four countries supported not only achieved, but exceeded the expected results. While the testing of the hybrid GMC model linked to the Green Commodities Program did not produce the expected results, there should be no penalty for testing an alternative approach, as long as lessons are learned. Suffice that most development projects should be very happy if ¾ of a development project meet and go beyond the objectives and outcomes, especially in a complex project such as the GMC.	**Lesson:** Building trust among all participants in a Commodity Platform requires clear objectives and guidelines for achieving them to convince stakeholders that consultations and decisions brought to the government by the platform are not only respected, but that they receive feedback about whether action was taken on their inputs into the decision-making process. The absence of interactive dialogue can break this trust and lead to government actions (e.g., policies, management measures) that undermine achieving triple bottom line impacts throughout the fishery value chains. It can also create perverse incentives that drive opposition or evasion of those undemocratic actions, as well as noncompliance with traceability throughout marine commodity supply chains. Without government trust and leadership, it is unlikely that the private sector will contribute to
Finding (Efficiency): Overall, the GMC efficiency is rated as Highly Satisfactory, despite some delays in requested audits. The project was efficiently implemented, and the Ecuador Office did an excellent job of administering the project in the four countries, while the Philippines and Indonesia provided the requested audit information and	***Conclusion*: *Overall, the GMC efficiency is rated as Highly Satisfactory*.** It is concluded that the GMC has been efficiently implemented and the adequate use of funds and the co-financing, both has contributed undoubtedly to the achievement of GMC's results.	

provided reporting on a timely basis. For relatively little money, three countries (Ecuador, Indonesia and the Philippines) have exceeded expectations and the GMC achieved significant results - and the financial shortcoming was made up by additional investments that were 45% higher than anticipated in the three countries.		drive the activities that must be taken to produce the substantial changes (e.g., reliable a reporting, science-based decision-making, adhering to Regional Fisheries Codes of Conduct) required to improve sustainable seafood ratings.
Finding (Sustainability): The evidence strongly indicates that the positive results will continue, and Sustainability is rated as **Likely**, because there is a large upswing in private sector and even artisanal fisher investments in the FIPs in most countries. The Philippines, Indonesia, and Ecuador have some remarkable results that have increasingly gained support through external funding of badly needed scientific data, monitoring, among other investments. The BSC and Octopus are now gaining support from the governments and the results are so encouraging that those governments are exploring new FIP commodities.	***Conclusion*: *The original GMC model is likely to be sustained*** based on the good experiences implemented and tested by three of the four countries supported by the project, whereas the hybrid GMC model implemented is unlikely to be sustained based on the available evidence. COREMAHI, an incipient regional organization, is still in its infancy to which the GMC project helped create is likely to be sustained by Ecuador and it offers an attractive mechanism for improving the coordinated management of the Mahimahi and associated bycatch. While the major Mahimahi producing countries signed off on a joint commitment, Costa Rica refrained, and the country's catch sector abstained from signing the Code of Conduct.	
Finding (Added Value): Although funding was limited for 4 countries, the evidence suggests that this resulted in innovative approaches for attracting additional funding and contributing to the overachievement of the expected results in three countries, which might not have occurred had there been a larger budget. Co-financing from the Public and Private sector has been a key factor in the achievement of results.	***Conclusion:* Rather than being an obstacle, the GMC's relatively small budget led to innovation, adaptive decision-making and management and it attracted unforeseen public-private co-funding** that filled many of the financial gaps and was a major contribution to the success of the GMC model.	**Lesson:** While the governance platforms are an important communication tool for producing open dialogue, it should not be the ultimate goal because the platform is always a transitional structure, and evolving space for innovation. Without consensus and leadership, it is difficult to build trust, and it is impossible to overcome the barriers that prevent a transition to certified-driven fisheries market. Joseph Stiglitz's quote on trust reverberates loudly as one of the key ingredients for the successful Platforms and FIPs. **Lesson**: A good, participatory root cause analysis with multiple stakeholders and disciplines *is an essential requisite to complete before embarking on any FIP.* This requires fisheries-specific criteria and not a simple, linear checklist focused on a relatively simpler supply chain like that adopted by the GPC's methodology, which uses a different root cause diagnosis and has a very different vision. Furthermore, the creation of parallel FIP Governance Platform committees (Platform Steering committee and Project committee) is almost always going to be inefficient, govern that it simply adds an extra layer of checks and balances that is not only in redundant and ineffective, but it is also likely to confuse the platform stakeholders.
Finding (Incipient Impacts): The TE examined incipient signs of achieving triple bottom line impact in terms of embarking on a path to achieve social, economic and environmental conditions. The evidence indicates that economic conditions have improved for many fishers, particularly for the GMC-supported Asian fisheries, scientific studies have helped quantify several stocks and identify genetic differences that are the key to sustainable fishery management, while concerted efforts have been made by Ecuador to reduce bycatch, which helps protect the resilience of biodiversity resilience and other marine ecosystem services. However, the results regarding Costa Rica's contribution to these efforts fell short of expectations.	***Conclusion*: Country ownership and GEF Additionality are strong** in three countries, but those countries have begun to replicate and upscale the GMC model. The GMC has also contributed to the GEF's additionality criteria**.**	
Finding (Gender and other Cross-cutting issues): The GMC ProDoc lacked a budget to address gender issues, since it was never contemplated. However, a gender strategy was designed in 2019 that incorporated gender mainstreaming actions, which somehow (limited by resources) managed to contribute positively to gender equality and empowerment of women. Although the 2012 Social-Environmental safeguards Strategy clearly underscored the importance of integrating gender and human rights aspects into the GMC, these were not incorporated. .	***Conclusion*:** Although gender issues were not incorporated as part of the design of the GMC, the Project contributed to gender equality and women's empowerment, because of a formidable effort by the IPCU and the IPs, by designing and implementing a gender strategy (from the mid-term of the Project). It is concluded that the project contributed positively to creating capacities to mainstream the gender approach in the value chain of the supported fisheries, to promote the participation of women in governance spaces (although	

	with limitations), and to strengthen the understanding of the role and barriers of women in the value chain of fisheries.	**Lesson:** Understanding impact should not only focus on the material improvement sustainability standards to be attained (Miller *et al.* 2015), but also how interactions and conflicts over the definition and implementation of standards hinders innovation contributing to sustainable triple bottom-line impacts. **Lesson:** Developing Fishery Management and Action Plans requires a multidisciplinary team with peripheral vision, experts who understand how to formulate such plans and especially important, good facilitation skills and experience to lead a transparent dialogue process resulting in effective management plans, as was the case with the Philippines, Ecuador and Indonesia. . **Lesson:** Failure to focus on **all three** dimensions of environmental sustainability is a multidimensional (physical-chemical, biological ecological resilience) ignores the core of the GMC's objectives and other integrated seafood supply chain projects. The generation of data and information is fundamental for building supply and demand for sustainable fisheries, as is the collection of meaningful biological and ecological data using participatory processes involving other stakeholders, like the artisanal fishers are going with scientists in Ecuador. Especially pertinent are reliable data on the ecological and trophic responses of overfishing apex predators, which may be critical components in the food webs in certain fisheries and ecosystems. Otherwise, it leaves fishery managers, politicians and fishers much less informed about the status of pelagic ecosystems and closes the window of opportunity to design more sustainable approaches to reducing bycatch and the destruction of productive, living bottom habitats (such as longline and net set sites, timing, duration, gear types, and so on) that could reduce the mortality rates for bycatch species such as billfishes, turtles, sea birds, and sharks (Kitchell et al. 2002).
Finding (Unexpected Results): Four unexpected and highly positive results emerged during the implementation process, namely the creation of COREMAHI, which although in its infancy, aims to fill in the limited mandate of IATTC to contribute to the Mahi-mahi fishery, the gender strategy, the participatory monitoring by fishers in monitoring and providing data for improving management and the additional financing contributions by the private sector and the governments in all countries[76] to help make up for budget shortfalls.	The unexpected, positive results of the gender strategy, participatory monitoring by fishers to improve data collection for improved stock management, creating COREMAHI to fill in gaps related to IATTC's singular focus on sustainable tuna and not Mahi-mahi management and the additional financing contributions by the private sector and the governments in all countries to help make up for budget shortfalls were major contributions to the project's effectiveness and incipient signs of impacts.	
Finding (Other Aspects): Costa Rica was the first country to implement the GMC with its hybrid model in which it invested considerable effort and a commitment to create the first large pelagic FIP in the world and testing something, as well as the country's offer of highly valuable in-kind contributions related to scientific data.	The evidence supports the finding of strong country ownership of the GMC that achieved results offering a solid foundation and experiences that can be replicated in Ecuador, the Philippines and Indonesia, with new FIPs in those countries, and upscaled to other countries. However, the evidence is unequivocable that the same optimism is not shared for Costa Rica's hybrid model, despite the country having invested considerable effort in establishing the first large pelagics FIP in the world.	

[76] According to the Draft 2021 PIR, the target of additional private investment was met and exceeded with additional private investment in FIPs supported by the project of $4,171,932, of which $1,911,447 has been invested to date (differentiation between committed and investment is needed, the latter is funds spent; there are commitments even beyond the project lifetime). In Costa Rica committed $974,864 and invested $253,616, Ecuador for small pelagics committed $1.2million and invested $485,355, Indonesia committed $1,063,481 ($206,481 crab council + $137,000 AP2HI of total of 991,400 before project start) and invested $720,000 ($137,000 AP2HI + $583,000 Crab Council) and Philippines from Crab Council committed $1,035,476 and invested $452,476.

		Lesson: Lessons from multiple projects (failed and successful) highlight that in general, biodiversity contributes to the productivity and stability of ecosystem processes that generate ecosystem services. Invariably, the more diverse ecosystems are more resilient to overfishing and to long-term threats such as climate change, and maintaining resilient marine biodiversity is a major component of those ecosystem services that directly support the full enjoyment of human rights. The Ecosystems approach to Fisheries is so far the best tool available for addressing these complexities, uncertainties and unpredictability of the human interactions with ecosystem dynamics.

4.2 Main Findings

- **Finding # 1 (Relevance):** ***The Global Marine Commodities model was highly relevant in contributing good practices and replicable country experiences to the global knowledge and strengthening Global Partnerships*** *to transform markets whose consumers value sustainably harvested and processed seafood throughout sustainable marine commodity sourcing value chains.* Furthermore, the model promotes country ownership, transparency, and stakeholder trust by creating synergies for public-private funding investments. *It also contributed to six SDGs (#1,2,5,12,14 and #17), GEF and UNDP Outcomes, and GEF additionality criteria.* The ProDoc's GMC model was also relevant to beneficiary countries and coherent with the GEF and UNDP focal areas, but it supports the GEF IW Objective 2, which aims to catalyze multi-state cooperation to rebuild marine fisheries and better manage fisheries in Large Marine Ecosystems (LMEs) by implementing innovative solutions to rebuild and protect fish stocks by harnessing the incentives from international trade. In that regard, it aimed to engage fisheries that cannot currently earn sustainability certifications and help them obtain a credible certification and labelling program, with a reasonable expectation of getting certified. At the national levels, the investment was relevant in supporting existing sustainable seafood supply chain schemes currently operating in each target country and to expand the scale of certifications through increased economic incentives brought through private sector supply chain agreements for credibly certified marine commodity purchasing by importers and retailers. The GMC model fits well with the national development strategies (see section 3.3.2B) and it is designed to influence Regional Fishery Organizations so that they provide the necessary support more inclusive and coordinated actions by the participating countries. It is also relevant for meeting beneficiary needs in terms of strengthening the resilience of coastal marine biodiversity, target fisheries and sustainable seafood value chains: i) The GMC, through support from SFP as a partner brought to the forefront updated, impartial and executable information on the sustainability of the fisheries for the industry and the supply chains, and a rating system which can inform supply chains (via the online Fishsource database, it is a large database) about the status of a fishery through FIPs. ii) SFP could be considered by some as a global Watchdog for assessing the effectiveness of the FIPs of the fishing improvement projects. It its linked to three key principles, namely: 1) status of the target stock; 2) impacts of the fishery on the environment; 3) assessment of the management and governance of the managed fishery; iii) FIPs are relevant to addressing several barriers to sustainable seafood production because they are designed to influence the purchasing policies and decisions of importers, distributors and retailers with specific marine fishery stocks; iv) Although not perfect, the revised FIP tracking tool is relevant because it aims to assess whether the fishing improvement projects are meeting the goals and if implementing activities are improving a specific fishery. Presently, it is the best tool available for assessing FIPs.

- **Finding # 2 (Design):** ***There is no question that the project design led to mainstreaming sustainability into GMC supply chains and the results confirm this finding.*** *The implementation framework presented in Project design helped build upon and improve corporate sustainable purchase policies, sustainable marine commodities platforms (SMCPs), fisheries improvement projects (FIPs), as well as developed national capacities and generating good practices and other lessons to be shared worldwide. The ToC presented in the GMC Implementation Report (Orellana et al. 2020) is logical and easy to follow, but it lacks many of the key assumptions that are fundamental for driving the systematic application of adaptative management principles that allow for assessing effectiveness, capturing lessons, and adjusting a project's course in real time to ensure that it sustains evidence-based learning and trust.* While the ProDoc included some excellent Environmental & Social Safeguards and Risk–reducing measures, it overlooked several elements that were highlighted in the original ESSP (GEF 2012) – PIF pre-screening (2012), namely, that *existing certification schemes for fisheries do not address*

gender and social issues within value chains, even though seafood processing is mostly done by women. Despite not being a requirement for GEF 5 projects, it was underscored prior to approval of the project. While GEF 5 does not require a gender strategy, the 2012 ESSP recognized the importance of including gender-related issues considerations, but for some reason, this was not heeded and consequently, a gender strategy was not included in the ProDoc . Nonetheless, IPCU took a proactive and innovative approach to optimize GMC resources and design a gender strategy in 2019. Several ToC outcome indicators are outputs - this is especially a weakness for outcome 2b (RFMOs are not changing when it comes to shark, bycatch/habitat protection). Outcomes 2, 3a, 5d and 6a are OUTPUTs. The reconstructed ToC presented in GMC's Implementation Report ToC lacks some critical assumptions, which are essential for systematically applying adaptive management principles on a real time basis, rather than at the end of the project. While GEF 5 projects do not require a Theory of Change, the importance of such a real-time, proactive AM process was noted in the STAP report, it does not seem to have been clear.

- **Finding # 3 (Effectiveness):** *The GMC Project model was effective in facilitating the application of market mechanisms and improved tools (FIPs, CSPPs) to mainstream sustainability into Global seafood supply chains, while introducing good practices and promoted multi-stakeholder dialogue to craft science-based, as well as consensus-driven policies for improving the administration of the targeted fishery subsectors*. It was not only effective in addressing some of the historical barriers to be overcome to improve fisheries management through shared decision-making and implementation arrangements leading to better legislated and institutionalized fishery management processes that lead to, but it met most of it achieved its expected results. Costa Rica developed and tested a separate, hybrid GMC model (built on elements from the Green Commodities Program with a distinct approach and while the approach fell short of the achievements of the GMC model, it provided some valuable lessons, among which include a need for more robust root cause analyses of the fishery sector, more careful screening of FIP platform participants and the need to combine a National Management Plan with a Plan for Action that specifies outcomes, responsibilities and timelines. The project has either catalyzed, or revitalized key institutional arrangements that promote decisions favoring sustainable use to be agreed to, respected, and implemented continuously. The achieved results and shortcomings are relevant for sharing and testing in similar global fishery commodities projects. Excellent adaptation to unforeseen issues, the process led to an innovative, gender strategy, FIP/Dialogue Platforms and budget requests, Exit/sustainability Strategy & MTR recommendations. Solid, transparent, and effective stakeholder engagement and management arrangements – being sustained with private sector and government investments partnerships in three of the four countries. M&E/PIR process was excellent – but was not used to implement adaptive management principles systematically, as explained in detail in the narrative of this TE Report.

- **Finding # 4 (Adaptive Management):** *The GMC adapted to most design shortcomings and the unexpected results further contribute to emerging models aiming to sustain new and existing global fisheries. Not only did it adapt to unforeseen bottlenecks such as the absence of a strategy to incorporate gender aspects, testing a hybrid GMC model in Costa Rica and the need to create COREMAHI to fill in coordination in reducing bycatch and gaps in the IATTC's mandate singularly focused on tuna fisheries, the latter output produced an immediate outcome in which fishermen, in collaboration with scientists, collected empirical data and conducted monitoring related to stock assessments.* While the model is not focused on national level markets, it would appear that a nationally focused initiative could be tested. Most risks were mitigated adequately –The biggest concern is the absence of mitigation measures for risks associated with Outcome 1b – not only reducing bycatch, but also habitat destruction in coastal areas, cutting off migratory routes for species to complete life cycles (e.g., estuarine-dependent species, spawning aggregations) and of tuna (because of FADs), as well as

continued pressure on apex species, which present a risk in achieving the environmental sustainability. The GMC has implemented the MTR's recommendations to make significant adjustments for improving its results chain and coordination, including: i) tightening of most indicators, their baselines, and targets; ii) defining an exit strategy, including gender and with a focus on sustainability before the end of 2019; iii) IPCU to convene global PSC every six months, having consulted and received feedback on relevant technical aspects. Based on the results from Costa Rica, the GMC seafood value chain model used in three countries is far superior to Costa Rica's Green Commodities Supply Chain hybrid approach, which was not adapted to the country's institutional and political situation national realities within the fishery sector. The viable GMC model demonstrated that one of the key ingredients to FIP and Governance platform effectiveness is to build stakeholder trust through legitimate dialogue that can lead to reach agreements with private companies and the government that result in concrete and institutionalized fisheries management measures along seafood value chains.

- **Finding # 5 (Overall Outcomes)**: *Overall, **the effectiveness of the overall outcome was highly satisfactory**. However, the degree to which the four countries met the TE's evaluation criteria, results and assumptions varied between the two GMC implementation models, and their effectiveness for improving fishing performance on the water, mainstreaming policies that aimed to curb bycatch and scientific data, rather than maintaining politically motivated management actions, as well as unforeseen new cofinancing income depended on whether the multi-sectoral stakeholder recommendations presented in FIP Roundtable dialogue spaces created trust among the participating members.* The three countries that implemented the ProDoc's GMC model exceeded the expected results and achieved the overall objective, whereas Costa Rica's hybrid GMC model fell far short of the achievements of the other countries.

- **Finding # 6 (Effectiveness): *The GMC's effectiveness is rated as Satisfactory**, because three of the countries passed the expected results, which should be replicated and scaled up. First, the GMC model implemented in three countries demonstrated that the Platforms and FIP Dialogue Tables described explicitly in the ProDoc were based on transparency, dialogue, and trust, resulted in reciprocal government actions that responded to stakeholders' concerns, which led to a consensus in most cases. At the end of the project, the GMC met all but one of its 16 indicators and surpassed nine of them. While added late in the project, gender awareness and activities had fed into the Sustainable Marine Commodity Platforms to promote multi-stakeholder fishery governance. FIPs that can be scaled up to new countries and regions, based on numerous lessons and good practices captured by Phase 1. However, these must be further tested in context-specific situations. . The project has successfully connected market-based tools with Sustainable Marine Commodity Platforms in three countries to demonstrate a framework for achieving effective fishery governance. It achieved all but two of its expected outcomes in those countries.* The lessons from testing the GMC hybrid model in which Costa Rica invested considerable effort and commitment are important, and it underscores that in projects like this, one never loses - you either win or you learn…but you lose when you don't learn. Consequently, the GMC has strengthened the oceans' natural capital in many aspects, while making inroads to improved social and economic performance for fishery supply chains and contributed to six Sustainable Development Goals (SDGs), as well as UNDP's Strategic Plan, GEF strategic priorities, and national development priorities. Nonetheless, there is a long way to go, and this project lays a solid foundation for continuing with the excellent results and lessons it has provided.

- **Finding # 7 (Efficiency): *Overall, the GMC efficiency is rated as Highly Satisfactory**, despite some delays in requested audits. The project was efficiently implemented, and the Ecuador Office did an excellent job of administering the project in the four countries, while the Philippines and Indonesia provided the requested audit information and provided reporting on a timely basis. For relatively little money, three countries (Ecuador, Indonesia*

and the Philippines) have exceeded the expectations and the GMC achieved significant result - and the financial shortcoming was made up by additional investments that were 45% higher than anticipated in the three countries. The Project Management structure was generally followed by three countries according to the ProDoc. However, one country started early and followed a separate approach, which contributed to testing the efficiency of two different approaches. The planned budget has contributed to the GMC's results - however, the contribution (co-financing) has been the key factor to the achievements of goals.

- **Finding # 8 (Sustainability):** *The evidence strongly indicates that the positive results will continue and Sustainability is rated as* ***Highly Likely****, because there is a large upswing in private sector and even artisanal fisher investments in the FIPs in most countries. Philippines, Indonesia, and Ecuador have some remarkable results that have increasingly gained support through external funding of badly needed scientific data, monitoring, among other investments. The BSC and Octopus are now gaining support from the governments and the results are so encouraging that those governments are exploring new FIP commodities.* The Roundtable Stakeholder Platforms are not only being sustained in three countries, but new ones are being developed. Private-public funding efforts emerged during the implementation process in those three countries to fund badly needed stock and genomic assessments and to cover budgetary shortfalls from the GMC's limited budget, while several business organizations are now accessing global funds for their FIPs, despite losing the initial government funds to reallocation due to COVID-19. Private FIP investments (Invested + Committed) exceeded the original target ($1.5 million) by 75% in three countries combined which is significant achievement for the project. In fact, several business organizations are now accessing global funds for their FIPs, despite losing the initial government funds to reallocation due to CoVID-19. This shows their new commitment to the sustainability of the several fisheries that had no attention before the GMC project and is considered as a sign of an incipient impact.

- **Finding # 9 (Added Value):** *Although funding was limited for 4 countries, the evidence suggests that this resulted in innovative approaches for attracting additional funding and contributing to the overachievement of the expected results in three countries, which might not have occurred had there been a larger budget. Co-financing from the Public and Private sector has been a key factor in the achievement of results*. This was the case for Costa Rica[77] where one of the key achievements was that the fisheries platform was an example of a well-informed and properly incentivized private sector engaged in a process of dialogue and sustainability.

  GMC Funding – Funding allocated for implementing the GMC was extremely limited. Furthermore, several business organizations are now accessing global funds for their FIPs, showing a new commitment to the sustainability of the several fisheries that had no attention before the GMC project. It is worth highlighting those innovations such as these are at the heart of development that is sustainable. Co-Financing - Especially funds from the Private Sector have been mobilized more than what was said in the cofinancing letters. Therefore, the private sector added considerable value to the FIPs by contributing financial resources that governments were unable to fund due to budgetary limitations. This co-financing was given, only because trust was created in the actors through the platforms and participation in roundtables facilitated by SFP. The GMC model has also created conditions in which the private sector became actively engaged and provided financial support for expanding the collection of scientifically based evidence, which is fundamental for not only sustaining, but also improving many of those actions initiated by the project.

- **Finding #10 (Incipient Impacts):** *The TE examined incipient signs of achieving triple bottom line impact in terms of embarking on a path to achieve social, economic and environmental conditions. The evidence indicates that*

[77] Based on the DRAFT 2021 PIR, page 145.

economic conditions have improved for many fishers, particularly for the GMC-supported Asian fisheries, scientific studies have helped quantify several stocks and identify genetic differences that are the key to sustainable fishery management, while concerted efforts have been made by Ecuador to reduce bycatch, which helps protect the resilience of biodiversity resilience and other marine ecosystem services. However, the results regarding Costa Rica's contribution to these efforts fell short of expectations. Regarding the social issues of gender and human rights, women's concerns within the value chains of supported fisheries are now being taken seriously thanks to the innovative efforts of the GMC project. However, human rights were never considered in the GMC design and even though the first SESP raised concerns about labor rights violations, there was not mention of the issue in the final ProDoc. Safety onboard fishing vessels and in processing plants were also ignored. However, Ecuador has made important contributions to address labor conditions through providing greater personnel safety considerations, including equipment. Nonetheless, these issues represent an enormous and complex task that such a small project could not address. The achievement of multiple levels of GEF additionality (see Finding 13) is another indicator of incipient impacts.

- **Finding 11 (Gender and other Cross-cutting issues):** *The GMC ProDoc lacked a budget to address gender issues, since it was never contemplated. However, a gender strategy was designed in 2019 that incorporated gender mainstreaming actions, which somehow (limited by resources) managed to contribute positively to gender equality and empowerment of women.* Although the 2012 Social-Environmental safeguards Strategy clearly underscored the importance of integrating gender and human rights aspects into the GMC, these were not incorporated. While SFP has taken some positive action to address human rights issues in the fishing industry, which is a concern that has gained an increasingly high profile and while the seafood industry has made numerous public commitments to tackle this problem, there is strong resistance among some in the industry.

- **Finding # 12 (Unexpected Results):** *Four unexpected and highly positive results emerged during the implementation process, namely the creation of COREMAHI to fill in the limited mandate of IATTC to contribute to the Mahi-mahi fishery, the gender strategy and the additional fina*ncing contributions by the private sector and the governments in all countries[78] to help make up for budget shortfalls. Finally, the private sector initiative to finance the collection of scientific data and monitoring led to a) the participation of fishers in the process and b) the discovery of two genetically different Mahi populations in the Eastern Atlantic Ocean.

- **Finding # 13** *(Other Aspect): The evidence supports the finding that Country ownership of the GMC is strong for three countries, and part of that evidence is that good results are being upscaled for include new FIPs in those countries, Ecuador, Philippines and Indonesia, while the same is not the case for Costa Rica.* While Ecuador has taken initial action to develop scientific studies and a plan for action to address the multidimensional issue of bycatch, especially sharks listed under Appendix 2 to meet its obligations under the Convention on Biological Diversity, the problem of bycatch remains in many countries along the Eastern Pacific coasts, with greater reliance on politically driven actions, than those based on scientific evidence. The TE finds that the GMC has also contributed to GEF additionality for the following themes: Specific environmental additionality (e.g., biodiversity resilience-building), Legal/regulatory

[78] According to the Draft 2021 PIR, the target of additional private investment was met and exceeded with additional private investment in FIPs supported by the project of $4,171,932, of which $1,911,447 has been invested to date (differentiation between committed and investment is needed, the latter is funds spent; there are commitments even beyond the project lifetime). In Costa Rica committed $974,864 and invested $253,616, Ecuador for small pelagics committed $1.2million and invested $485,355, Indonesia committed $1,063,481 ($206,481 crab council + $137,000 AP2HI of total of 991,400 before project start) and invested $720,000 ($137,000 AP2HI + $583,000 Crab Council) and Philippines from Crab Council committed $1,035,476 and invested $452,476.

additionality, Institutional additionality/governance additionality, financial additionality, socioeconomic additionality

4.3 Conclusions

- ***Conclusion*** **1: The ProDoc's GMC model contained key elements for addressing historical barriers to sustainable seafood commodity value chains and provides an important global contribution to the sector.** However, there were several shortcomings in the original approach that were addressed midway through implementation and other issues that remain to be strengthened in future endeavors. While Costa Rica invested considerable time, energy and made important advances with applying the UNDP's Green Commodities Program approach, the available evidence demonstrates unequivocally that the hybrid approach lacks some of the key ingredients for effectively implementing and sustaining the original GMC approach, which not only surpassed expectations by contributing to robust new fishery administration processes and building solid partnerships that are continuing to date. Nonetheless, the TE noted that several of the purported outcomes were outputs in the GMC design, and although the Theory of Change the GMC developed midway through implementation clearly illustrated the results chain leading to the overall objective, it lacked robust assumptions and risk-reducing measures that might have helped Costa Rica adapt to some of the hybrid model's shortcomings by applying real-time adaptive management responses. The ProDoc did not incorporate recommendations from the original project Environmental and Social Safeguard recommendations (GEF 2012) that highlighted the importance of environmental issues (e.g., bycatch) not covered by the project document, as well as gender and human rights which were absent in the ProDoc. Except for human rights, the GMC and its partners responded by securing additional funding to address the gender shortcoming and Ecuador adopted preliminary actions to address widespread shark bycatch (including Appendix 2 species) in their longline of fisheries based on scientific data to develop a shark management plan to be further developed, and while the project provided funding and a shark expert to assist Costa Rica with developing a similar evidence-based plan for sharks, the government has reclassified Appendix 2 species as commercial species. This is surprising in light earlier positive efforts[79], and a recent executive decree contradicts CITES Resolution Conf 10.3, which establishes that the Scientific Authority must be different from the Management Authority[80] to ensure the required scientific rigor to comply with CITES-and the Convention on Biological Diversity[81] to which all countries have agreed.
- ***Conclusion*** **2:** ***The GMC's achievement of overall outcomes is Highly Satisfactory***. The GMC model explicitly described in the ProDoc has been effective in achieving the objectives and overshooting many of the outcome indicators. The results are impressive and offer new knowledge from the many lessons captured during implementation that can benefit future endeavors. The results produced by the Philippines, Indonesia, and Ecuador demonstrated that trust, transparency and scientifically sound evidence resulted in incremental contributions for their governments to undertake actions for protecting and rebuilding the targeted commodity seafood stocks. The GCP approach tested by Costa Rica is not sufficiently robust for applying to a phase 2 of the GMC, should there be

[79]https://cites.org/sites/default/files/document/Catch%20documentation%20and%20traceablity%20of%20shark%20products%20in%20Costa%20Rica%20-%20final.pdf

[80] In February 2021, through Executive Decree No. 42842-MINAE-MAG, the Costa Rica government designated the INCOPESCA as the CITES Management Authority and a Scientific-Technical Council as Scientific Authority. However, this council will be coordinated by INCOPESCA, and this could generate a conflict of interest between Management and Scientific authorities and contradicts CITES Resolution Conf 10.3, which establishes that the Scientific Authority must be different from the Management Authority.

[81] https://cites.org/eng/disc/coop.php

one. The project implementation also resulted in improved livelihoods of fishers (men and women) linked to the sector in Indonesia and the Philippines. It has also contributed to six SDGs, with some more effectively addressed than others. Especially effective was the role that BAPPENAS took to lead the process in Indonesia and played a crucial role in ensuring multisectoral coordination to make the project successful in that country. This example of a high-level authority who can coordinate what are often conflicting sectors that complicate sustainable fisheries management is seen as a major achievement that led Indonesia to excel, and Ecuador is presently reviving a similar authority at the level of the Presidency.

- ***Conclusion*** **3: Overall adaptation was excellent both at the IPCU and adaptations by Indonesia, the Philippines and Ecuador were positive**, and these results offer a solid base upon which to develop a second phase. Two of the most important ingredients for catalyzing and building synergies leading to adaptive decisions in the successful platforms and FIPs in those countries include transparent dialogue processes and trust developed among stakeholders have stimulated unexpected confidence that generated financial support that filled in many of the economic gaps of the project. Three positive and unexpected results emerged from these adaptive decisions included the additional public-private co-financing resulting from the dialogues and trust in three countries, concerted action to secure funds for developing a sound gender mainstreaming strategy for the sector, creating COREMAHI to address the gaps required for improving *Mahi-mahi* management, including efforts to reduce bycatch at the regional level with signatory nations (Costa Rica abstained), and investments by the private sector to collect scientific data and integrate fishers into a participatory research process, which is a major achievement.

- ***Conclusion*** **4: Rather than being an obstacle, the GMC's relatively small budget led to innovation, adaptive decision-making and management and it attracted unforeseen public-private co-funding** that filled many of the financial gaps and was a major contribution to the success of the GMC model. The GMC project has become the first of its kind to work directly scientifically based multi-parameter stock analyses in fisheries improvement projects, and the creation of public-private alliances that leveraged extra co-financing and guaranteeing the sustainability of the actions started. Especially prominent were the actions in the Philippines, Ecuador, and Indonesia with their FIP´s and they are good examples for other GEF projects like the binational coastal fisheries project in Ecuador and Peru, which has adopted many of the good practices related to governance. Money is not always the answer to having a successful project and these partners demonstrated this principle, and the limited funds not only led to innovation, but also attracted new funds. Even the lack of funding for the gender strategy was overcome with innovation and this fit well with the gender mainstreaming policies already in place in the two Asian partner countries.

- ***Conclusion*** **5:** ***The GMC model is highly relevant, and not only addressed the GEF-5 objectives, but also contributed to six SDGs (1,2,5,12,14,17) and the GEF IW Objective 2,*** which aims to catalyse multi-state cooperation to rebuild marine fisheries and better manage fisheries in Large Marine Ecosystems (LMEs) by implementing innovative solutions to rebuild and protect fish stocks by harnessing the incentives from international trade. In that regard, it aimed to engage fisheries that cannot currently earn sustainability certifications and help them obtain a credible certification and labelling program, with a reasonable expectation of getting certified. At the national levels, the investment was relevant in supporting existing sustainable seafood supply chain schemes currently operating in each target country and to expand the scale of certifications through increased economic incentives brought through private sector supply chain agreements for credibly certified marine commodity purchasing by importers and retailers.

- ***Conclusion*** **6:** The GMC's effectiveness is rated as Highly Satisfactory- Three of the four countries achieved and even exceeded the expected results overachievement of the expected results, and the fourth country tested an alternative model, which should not be penalized in the scoring. However, it follows that the lessons from that process be institutionalized. The effective GMC model in the three of the countries supported, should be further tested in other countries based on their context-specific, replicated using adaptive learning processes and , while effective practices should be scaled up.

- ***Conclusion*** **7:** ***Overall, the GMC efficiency is rated as Highly Satisfactory***. It is concluded that the GMC has been efficiently implemented and the funds and the co-financing contributions have been effectively used. These latter contributions were instrumental in helping the GMC achieve its expected results.

- ***Conclusion*** **8:** ***The GMC model is highly likely to be sustained*** based on the good experiences implemented and tested by three of the four countries supported by the project, whereas the hybrid model implemented supported by the GMC is unlikely to be sustained based on the available evidence.

- ***Conclusion*** **9:** Although gender issues were not incorporated as part of the design of the GMC, the Project contributed to gender equality and women's empowerment, because of a formidable effort by the IPCU and the IPs, by designing and implementing a gender strategy (from the mid-term of the Project). It is concluded that the project contributed positively to creating capacities to mainstream the gender approach in the value chain of the supported fisheries, to promote the participation of women in governance spaces (although with limitations), to strengthen the understanding of the role and barriers of women in the value chain of fisheries such as Blue Swimming Crab and Tuna in Indonesia, as well as making the first efforts to define the methodology of an indicator / index to assess women's participation in decision making in fisheries. The GMC also helped to give greater visibility to the Project's contribution to gender equality and women's empowerment, through its communication and information systems. However, it is concluded that the overall contribution was also limited in some way by the "moment" in which the mainstreaming actions were initiated or differentiated by the sectoral contextual variations "less" or "more" favorable to gender equality in countries supported or by the limited availability of resources.

- ***Conclusion*** **10: Country ownership and GEF Additionality are strong** in three countries, but those countries have begun to replicate and upscale the GMC model. It has also contributed to meeting all the GEF's additionality criteria**.**

- ***Conclusion*** **11: E-logbook costs are unaffordable for artisanal fishers -** while the industrial fishing companies in the FIP can cover the costs of expensive e-logbook systems to report data to the authorities, small scale fishers cannot. Therefore, there is no feasible IT solution for them to report their catches and contribute to the model for sustainable value chains.

4.4 Recommendations

Overall Framework for the TE's Recommendation

While the GMC overachieved in meeting its expected results, there remain several shortcomings, specifically the incipient gender responsive focus that requires considerable work for mainstreaming into seafood commodity supply chains, as well as the absence of attention to negative ecosystem resilience-uncoupling outcomes such as bycatch, and human and labor rights. A second phase that expands the scope to build on the lessons from GMC-1, must further develop the GMC Theory of Change and it could be built on the TE's reconstructed ToC that could provide the framework for a real-time M&E platform that is based on SMART outcomes, including triple bottom-line development impacts, and not the standard output targets that are widely used in the fishery sector and also for measuring effectiveness. It is imperative that the second phase be linked to adaptive management principles built into the outcome-focused M&E platform. Testing the validity assumptions and risk-reducing measures related to the GMC2 model will help capture lessons on a real time basis and allow for adjusting the model as required in real time, rather than at the end of the project.

The second phase could very well be framed as a valuable contribution to the rudderless **Blue Economy (BE) paradigm**. To date the emerging literature on the Blue Economy has focused heavily on the lack of clarity and consistency around the many different interpretations of the term (Winder and Le Heron, 2019), as well as the implications of this incoherence for oceans governance (Hadjimichael 2018). At the second (sectoral) and third (cross-sectoral) levels there are at present no formal or informal 'check and balances' which articulate which industrial developments can be considered a legitimate component of the Blue Economy, or how the overall concept should be enacted in practice (Voyer *et al.*, 2018). As a result, the present approach to the Blue Economy is *far from the stable and sustainable development concept that it promises to be.*[82] Given the lack of consensus over a definition for the Blue Economy, it is unlikely that there will be any formal guidance on this question in the immediate future, unless new examples, such as contributions to a GMC are tested.

Finally, the second phase could add a spatial dimension to the suggested BE approach by contributing to new governance tools that will benefit the Coastal-Marine Spatial Planning (CMSP)[83] paradigm, which despite considerable evidence showing that CMSP has frequently fallen short on its promise to provide the kind of transformations that were expected, and a gap remains between theoretical CMSP arguments and how it gets implemented in practice (Clarke and Flannery 2019; Tafon 2018), especially when it comes to ocean economies, equity, effective biodiversity resilience-building and measurably improving small scale fisherfolks lives (Fairbanks *et al.* 2019). These critiques notwithstanding, CMSP continues to expand through its support from multinational lending organizations. Therefore, the Governance Platforms developed by GMC 1 offer an excellent governance and dialogue platform that could contribute to transparent dialogue spaces built on trust, which could be invaluable for CMSP management arrangements and for further amplifying FIP-linked platforms in other countries. The GEF-funded Coastal Fisheries Initiative (CFI) is currently testing governance platforms in Peru, after the

[82]Childs, J. R., and C. C. Hicks. 2019. Securing the blue: political ecologies of the blue economy in Africa. Journal of Political Ecology 26 (1):323-340.

[83] A concept that covers approximately 10% of the territorial marine areas in over 70 countries, and which aims to transform the use of coastal and marine waters through governing mechanisms to address the fragmented sectoral approaches to management and harmonize participatory planning and incongruent policies in all sectors.

results were less than optimal in Ecuador. Other CFI countries included Indonesia, Cabo Verde and Senegal.

Until now, the GMC has focused on National Export-oriented commodity supply chains aimed at the international markets. This should be continued to improve the effectiveness of mainstreaming GMC-1 sustainability along supply chains. However, a high priority should be placed on adapting FIPs to small-scale fisheries and to develop and test new tools to engage them into fishery improvement projects. The second line could be non-export-oriented markets in which supply chains deliver seafood products to domestic markets such as fresh seafood sold to tourism restaurants and hotels (e.g., Cabo Verde, Roatan and other Caribbean destinations), in local markets, salted-dried fish or as frozen fillets provided by artisanal and small-scale fishers who could also take direct pressure of MPAs.

Finally, all original member countries should be allowed to participate and the chances of an improved ownership from Costa Rica might emerge with the change of governments in early 2022, and the new government may be willing to take up the approach. However, the geographic scope should be extended to Africa (e.g., Ghana, Kenya, Senegal, Cape Verde), as there could be attractive donor support from organizations such as Swedish International Development Assistance, Nordic Development Fund, African Development Bank, the MAVA and the Waitt Foundations.

Specific recommendations

- **Recommendation: 1** ***It is highly recommended that a second phase be developed to continue efforts to mainstream other dimensions of sustainability (e.g., bycatch reduction, place greater importance on human and indigenous rights in the seafood commodity value chains) into seafood supply chains***, while rebuilding and protecting fish stocks, biodiversity and livelihoods. The subsequent phase must also be anchored to a robust, yest flexible Theory of Change that includes key assumptions to drive an adaptive management process, all of which are essential for learning by experimenting with context-specific complexities associated with the multisectoral, and multidisciplinary management challenges of the fishery sector. Outcomes must be SMART, as this will help ensure that lessons are captured during the implementation process through a real time M&E platform that should become part of each FIP Governance platform. The M&E and resulting adaptive management process should be fed with data from private sector members of the Platforms and FIPs, as well as artisanal and industrial fisherfolk using simple communication tools (e.g., phone apps). The Scientific community must be heavily involved to avoid *ad hoc*, management decisions that are mired in conflicts of interest which are informed by baseless evidence. Fisherfolk with invaluable traditional knowledge must be involved with feeding real time data into outcome-oriented M&E platforms that can drive adaptive decision-making, but they can also serve as empirical, hands-on learning tools, while also contributing to fill numerous knowledge gaps that traditional knowledge can help scientists fill_(see Plummer et al 2013; Wilson *et al.* 1993). It is also imperative of the project incorporate the lessons and good practices (FIPs, Governance Platform good and Seafood buyer-seller Roundtable practices) from Phase 1.
  WHO: UNDP, SFP together with partner countries. **WHEN:** Implementation Phase

- **Recommendation 2: *Prepare a Concept Note for future sustainable marine commodity supply chains projects,*** the design team must be interdisciplinary, capable of thinking outside the box with different eyes and who understands Management and Action plans, lead the dialogue about how to create a triple bottom-line fisheries project with an integrated environmental, social, gender and human rights focus from the beginning, doing things differently, bringing in innovation through a

multidisciplinary focus – a really well thought out one. Up to date information is required, along with gender fishery profiles, gender analyses, among others. Transparency, dynamic dialogue and trust are fundamental ingredients that must be the highest priority for participating countries to instill in their Governance Platforms, carefully screening to include actors from different levels of supply chains who are committed to work in synergy and for positive change.
WHO: UNDP, SFP together with partner countries. **WHEN:** Implementation Phase

- **Recommendation 3: *All countries should be part of the process, as long as the explicit guidelines and conditions for participation are followed, and new countries should be welcome, provided that a fixed percent co-financing contribution is provided under a government-private partnership arrangement. The IPCU must ensure that all countries start operations alongside the partner beneficiary countries (and not afterwards) within the same start-up period*,** allowing all the IPs to benefit from the management structures and lessons learned, thus that will undoubtedly also contribute to efficiency and therefore to the expected results. This should not exclude testing new approaches, if they are built on adaptive management principles, solid assumptions and good communication structures with the other participating partners. There should be at least a non-binding expression of financial commitment from the private sector for support.
WHO: UNDP, SFP together with partner countries and FIPs. **WHEN:** Implementation Phase

- **Recommendation 4: *Future FIPs must ensure that participating countries are complying with their commitments to international agreements*** (e.g., CBD[84] Biological Diversity, UNCLOS[85], UCHR[86]) Universal Declaration of Human Rights. Those countries should also look to raise the institutional bar to de-politicize outside influence and harmonize intersectoral coordination from the highest levels of government and prioritize independent, science-based evidence on the requirements for reaching tripple bottom-line impacts.
WHO: UNDP, SFP together with partner countries and FIPs. **WHEN:** Implementation Phase.

- **Recommendation 5: *A second phase should also have sufficient funding to cover costs to identify root cause analyses of key issues that are diminishing the resilience of marine biodiversity and other ecosystem services.*** Shark finning and fishing is complex challenge for managers and stakeholders, and bycatch reduction is not only a technical issue of harvesting technology and biology, but also has a human dimension that includes the behavior and decision-making by producers and consumers (Squires *et al.* 2021a; 2021b) and consequently, no singular "best" approach exists for ensuring bycatch reduction, because such an approach will depend on multiple variables (e.g., type of fishery, the species, its life history and geographical distribution, population, status, gear, vessel numbers and ownership structure, domestic or international fishery, commercial or artisanal fishery, the fishery management authority and its governance, the importance of markets, geographical location, and legal structure of the State or Regional Fisheries Management Organization)[87]. Consequently, it will not only require new tools and perspectives, but also new ways to engage markets (or parts of the market) to execute interventions that can use their influence for a GMC Phase Two. This new phase should develop a multi-disciplinary approach that will require specific fund allocations for: a) the design of new market tools, b) the involvement of new markets in sustainability (e.g., China); and c) a specific focus of the field teams in these fisheries. It is essential to ensure that participating fishing nations environmental safeguards, especially for reducing Bycatch

[84] Convention on Biological Diversity
[85] UN Convention on the Law of the Sea
[86] Universal Declaration of Human Rights
[87] *Op cit* Squires et al. 2021a

(e.g., habitat protection, complying with the CBD specifications and pertinent protocols, IUU bycatch), inclusion of the FAO's Fishery Code of Conduct and the Ecosystems Approach to Fisheries (although it has shortcomings, it offers an adequate starting point for addressing the complexities, uncertainty and unpredictability of the human interactions with ecosystem dynamics). The conservation management of sharks and other migratory species should be coordinated regionally through RFMOs and their respective national delegations, as these could become a dialogue space to discuss and adopt sustainable shark management measures. Nonetheless, there is a much greater need for future projects to work directly with the industry and the States at their national levels, rather than putting funds and effort into the regional level organizations. Finally, the linear, agroecosystem GCP approach tested by Costa Rica should only be used in the sector for which it was designed.

WHO: UNDP, SFP together with partner countries and FIPs. **WHEN:** Implementation Phase.

- **Recommendation 6: *A climate adaptation component should be integrated into the second phase,*** given the impacts that climate changes will have on fisheries of the future, as it will help avoid missing an opportunity for timely and urgent action, before it becomes problematic. A 3-stepwise approach using widely used ecosystem-risk assessment methods (see references in Holtzman et al. 2019) could benefit Phase 2 from its early design to prepare for the impacts of climate change on future fisheries management for climate change. It could be based on a combination of near-term forecasts and long-term projections to evaluate risk and performance of the integrated management portfolio(s) under climate change: (i) evaluate future condition and risk of the social-ecological system; (ii) characterize existing management on the spectrum of dynamic to adaptive to fixed approaches, identify nodes of integration between approaches and tools, and highlight gaps and uncertainty that may increase vulnerability to maladaptation or manipulation under changing social and climate conditions; (iii) define a portfolio of approaches to facilitate adaptation and resilience to climate-driven change that include a mix of short-term dynamic, medium-term adaptive, and long-term fixed management tools and targets (again see Holtzman et al. 2019).

  WHO: UNDP, SFP together with partner countries and thematic experts, FIPs. **WHEN:** Implementation Phase.

- **Recommendation 7: *A second phase should also build upon the Phase 1 success with creating public-private partnership at the national and global l*evels** while participating international NGOs should always contribute, rather than request funds or provide significant in-kind contributions.

  WHO: UNDP, SFP together with partner countries and thematic experts, FIPs. **WHEN:** Implementation Phase.

- **Recommendation 8: *A second phase should expand its focus on the social dimensions of sustainable marine commodity supply chains to include results-based indicators that build on the Phase 1 Gender Strategy*** and mainstream a responsive approach addressing gender equality/equity into an adaptive, learning framework developed in Round table Governance Platforms. It is imperative that the strategy and implementation framework includes realistic budgets that ensure that the actions derived from the Project not only have the responsive gender approach, but it must also start from a deep root cause analysis of the situation of women (gender analysis with primary information) in supported fisheries to ensure that gender-strategic action plans are adapted to context-specific realities, and other key elements. A second phase must also:
  - ✓ **Follow up** and where necessary strengthen the gender indicators included in the action/management plans of the supported fisheries-

- ✓ **Promote the complementarity of efforts** derived from the strengthening of fisheries information systems (specifically on the participation of women) with the public sector and other international organizations that generate / publish data on gender equality.
- ✓ **Invest in gender advocacy** with large buyers to generate pressure in the value chain.
- ✓ **Communicate successes, as well as failures** to enhance shared learning by framing the strategy around applying adaptive management principles.

WHO: UNDP, SFP together with partner countries and thematic gender experts, FIPs. **WHEN:** Implementation Phase.

- **Recommendation 9:** ***Human and labor rights abuses must be addressed along commodity supply chains*** – from harvest to the table- during a second phase. While it has been difficult to gain traction in getting leading fishery organizations to ensure human and labor rights because of outside political and power-driven influence, there are some excellent initiatives underway[88]. For example, SFP has undertaken efforts in developing a HR strategy and a simple risk assessment tool that can be used as a first step for building a wider set of resources for industry, based on the Fishsource public database and the Human Rights Risk Indicator for Fisheries (HRRI), which is based on publicly available data. Their work should be linked to the extent possible with the excellent work on HR in the capture fisheries and aquaculture fishery subsectors carried out by the Danish Institute for Human Rights (DIHR - https://www.humanrights.dk/projects/promoting-human-rights-fisheries-aquaculture) supported by the Swedish international Development Agency. DHRI has developed pertinent interactive tools like the Human Rights Guide to the Sustainable Development Goals (https://sdg.humanrights.dk/), and international agreements associated with protecting indigenous people (https://navigator.humanrights.dk/), together with its innovative Sector-Wide Impact Assessment (SWIA) for HR, which has produced excellent results. However, it remains necessary to identify robust proxy indicators that indicate risk, and which can then be combined to increase the power and credibility of SFP and DIHR tools for several HRRI that are under development for the seafood industry, and these could add considerable value to the social dimension in a second phase.
  WHO: UNDP, SFP together with partner countries, DIHR and other thematic specialists. **WHEN:** Immediately.

- **Recommendation 10:** A Phase 2 should ***allocate funds and formulate an action plan to develop specific solutions to facilitate small-scale fishers to report and verify sustainable practices, including IT development*** to ensure technological equity and justice. Currently, small-scale fisheries (SSF) cannot afford e-logbooks and the private industrial companies in Ecuador have provided funds for SSF to buy them. However, this is an exception, and the financial gap must be filled to allow SSF to report.
  WHO: UNDP, SFP together with partner countries and FIPs. **WHEN:** Implementation Phase.

- **Recommendation 11:** ***A high priority should be placed on advancing the institutionalization of COREMAHI for Eastern Pacific Mahi-mahi fishing nations***, as it offers a viable mechanism for improving the coordinated management of the Mahi-mahi and associated bycatch. The extent to which the Code of Conduct should be agreed upon by signatory nations should be examined carefully

[88] Among these are: i) https://globalfishingwatch.org/blog/new-study-unveils-risk-of-forced-labor-in-fisheries; ii) https://www.fisheries.noaa.gov/international/international-affairs/forced-labor-and-seafood-supply-chain; iii) fishwise.org/wp-content/uploads/2017/12/Lewis-et-al-2017-human-rights-and-fisheries-s; iv) https://laborrights.org/industries/seafood; v) https://sustainablebrands.com/read/supply-chain/slavery-risk-tool-allows-businesses-to-identify-human-rights-violations-in-seafood-supply-chains.

to ensure that it is sufficiently robust for sustainably managing the fishery, including reducing bycatch, yet palatable for countries who might be reluctant to sign.
WHO: UNDP, SFP together with Eastern Pacific partner countries and FIPs. **WHEN:** Immediately.

4.5 Lessons Learned

Lesson 1: Regardless of whether fisheries management plans are based on poor data or purely unsupported evidence used for politically motivated decisions, they require measurable actions, robust assumptions, assigning clearly designated responsibilities and most importantly, developing measurable SMART outcomes that underscore the achievement of development impacts.

Lesson 2: A financially, institutionally, socially, and environmentally sustainable FIP requires transparent, vertical and horizontal dialogue that creates trust in the process, as well as government responsiveness to act on the group's recommendations.

***Lesson 3*: During project design,** overlooking critical assumptions during the design of a causative results chain leading to expected fishery outcomes and triple bottom-line removes a key element of an adaptive management process that could otherwise allow a project to correct mistakes and build on success on a real time basis, rather than capturing those lessons at the end of a project when it might be too late. While the GMC's reconstructed Theory of Change offered a clear snapshot of the project, the lack of assumptions prevented such real-time adaptation and learning. While it is fine to experiment with, and test alternative marine commodity supply chain approaches and not be afraid of making mistakes, unless critical assumptions and risk-reducing measures are built into those approaches, they are likely to fall short of their targets. By avoiding repeated mistakes and sustainability, the replication of good fishery administration practices can be scaled up more efficiently and effectively with new global partners. This will also help future fishery commodity supply chain initiatives sustain positive outcomes in partner countries through the application of adaptive management and learning.

***Lesson 4*:** Building trust among all participants in a Commodity Platform requires clear objectives and guidelines for achieving them to convince stakeholders that consultations and decisions brought to the government by the platform are not only respected, but that they receive feedback about whether action was taken on their inputs into the decision-making process. The absence of interactive governance processes can break this trust and lead government actions (e.g., policies, management measures) that undermine achieving triple bottom line impacts throughout the fishery value chains. It can also create perverse incentives that drive opposition or evasion of those undemocratic actions, as well as noncompliance with traceability throughout marine commodity supply chains. Without government trust and leadership, it is unlikely that the private sector will contribute to drive the activities that must be taken to produce the substantial changes (e.g., reliable a reporting, science-based decision-making, adhering to Regional Fisheries Codes of Conduct) required to improve sustainable seafood ratings.

***Lesson 5*:** Without consensus and leadership, it is difficult to build trust, and it is impossible to overcome the barriers that prevent a transition to market that is driven by certified fisheries. Joseph Stiglitz's quote about the importance of building business relationships on trust reverberates loudly as one of the key ingredients for the successful Platforms and FIPs.

***Lesson 6*:** Environmental sustainability is at the core of the GMC's objectives and if the project succeeds, fisheries resources will incrementally be more environmentally sustainable. However, if Fishery

management plans are the singular vehicle for administering coastal and marine fisheries in the absence of a corresponding Action Plan that specifies the who, when and how triple bottom line fishery development impacts will be measured, then the singular approach is like the sound of one hand clapping, because a plan without action is unlikely to lead to the desired change. This a shortcoming of many of the world's fishery management regimes. Lessons from multiple projects (failed and successful) highlight that in general, biodiversity contributes to the productivity and stability of ecosystem processes that generate ecosystem services. Invariably, the more diverse ecosystems are more resilient to overfishing and to long-term threats such as climate change, and maintaining resilient marine biodiversity is a major component of those ecosystem services that directly support the full enjoyment of human rights.

Lesson 7: Unless the process to select FIP / Governance Platforms is discretionary about whom it invites to participate, it is likely to create disputes with people who do legal fishing and have permits. This in turn, is likely to reduce the very trust that is at the core of sustainable FIPS and their associated governance platforms.

5. ANNEXES

- Annex 1: Terms Of Reference
- Annex 2: Reconstructed Theory Of Change (Toc) and Assumptions.
- Annex 3: TE Mission Itinerary
- Annex 4: List of Persons Interviewed.
- Annex 5: List of Documents Reviewed
- Annex 6: Terminal Evaluation Design Matrix
- Annex 7: Questionnaire Used
- Annex 8: Co-Financing Tables
- Annex 9: UNEG Code Of Ethics
- Annex 10: Rating Scales

Annex 1: Terms of Reference

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

Functional Name: Independent consultancy for the Terminal Evaluation (TE)

Duration: 30 working days over a period of 11 weeks

1. INTRODUCTION

In accordance with UNDP and GEF M&E policies and procedures, all full- and medium-sized UNDP-supported GEF-financed projects are required to undergo a Terminal Evaluation (TE) at the end of the project. This Terms of Reference (ToR) sets out the expectations for the TE 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). The project operates in four countries (Costa Rica, Ecuador, 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 fourth and final year of implementation (see Table 1 for the ProDoc cover page signature dates). The TE process must follow the guidance outlined in the document 'Guidance for Conducting Terminal Evaluations of UNDP Supported, GEF-Financed Projects.[89]

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 (as lead country) in November 2017 (Ministry of Production, Commerce, Investments and, Aquaculture and Fishing[90]) 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 1: 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

[89] http://web.undp.org/evaluation/guideline/documents/GEF/TE_GuidanceforUNDP-supportedGEFfinancedProjects.pdf

[90] Formerly Ministry of Aquaculture and Fisheries at the time of signature

Costa Rica	National Implementation Modality (NIM) with UNDP Support	Ministry of Agriculture and Livestock of Costa Rica (MAG)	May 2016	July 2016
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[91]

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)[92], 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 allocates 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 the 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).

[91] 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.

[92] 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 2: 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 3 below.

Table 3. 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. TE PURPOSE

The TE report will assess the achievement of project results against what was expected to be achieved and draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming. The TE report promotes accountability and transparency and assesses the extent of project accomplishments. Recommendations from TE will be useful in sustaining the various results and interventions undertaken under this project.

4. TE APPROACH & METHODOLOGY

The TE report must provide evidence-based information that is credible, reliable, and useful.

The TE consultant will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Social and Environmental Screening Procedure/SESP) the Project Document, project reports including annual 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 evaluation. The TE consultant will review the baseline and midterm GEF focal area Core Indicators/Tracking Tools submitted to the GEF at the CEO endorsement and midterm stages and the terminal Core Indicators/Tracking Tools that must be completed before the TE virtual mission begins.

The TE consultant is expected to follow a collaborative and participatory approach[93] ensuring close engagement with the Project Team, government counterparts, the GEF Operational Focal Point, the UNDP Country Offices, UNDP-GEF Regional Technical Adviser, Implementing Partners, direct female and male beneficiaries and other key stakeholders.

Engagement of stakeholders is vital to a successful TE[94] 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. The TE consultant is expected to carry out online meetings and consultations with actors in Quito and Manta (Ecuador), San Jose (Costa Rica), Jakarta (Indonesia) and Manila (Philippines) and at a minimum, with the following stakeholders (see Table 4).

Table 4: Stakeholder group list by location

Location	Stakeholder Group List
Quito, Ecuador	· UNDP Country Office (CO) · Sustainable Fisheries Partnership (SFP) Consultant · Global Project Coordinator · Monitoring and Evaluation specialist · Knowledge Management and Communications specialist · Finance and Administration specialist · Gender Specialist
Manta, Ecuador	· Under-secretary of Fisheries Vice Ministry of Fisheries and Aquaculture / Subsecretary of Fisheries · Ecuador Platform Coordinator · Additional project stakeholder meetings (Platform and FIP) to be determined
San Jose, Costa Rica	· UNDP CO Programme Officer

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

[94] 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.

	· Government representatives · Additional project stakeholder meetings (Platform and FIP) to be determined
Manila, Philippines	· UNDP CO · Bureau of Fisheries and Aquatic Resources (BFAR), National Coordinator · Former National Platform Officer · SFP Consultant · Additional project stakeholder meetings (Platform and FIP) to be determined
Jakarta, Indonesia	· UNDP CO · Platform Coordinator · Ministry of National Development Planning (BAPPENAS) · Additional project stakeholder meetings (Platform and FIP) to be determined
Panama, Panama	· Regional Technical Advisor (RTA) · Programme Associate
At-a-distance consultation	· GMC Project Fisheries Advisor · SFP staff (to be determined) · Other relevant stakeholders (to be determined)

The specific design and methodology for the TE should emerge from consultations between the TE consultant and the above-mentioned parties regarding what is appropriate and feasible for meeting the TE purpose and objectives and answering the evaluation questions, given limitations of budget, time and data. The TE consultant must use human rights and gender-responsive methodologies and tools to ensure that gender equality and women's empowerment, as well as other cross-cutting issues and SDGs are incorporated into the TE report.
The final methodological approach including interview schedule and data to be used in the evaluation must be clearly outlined in the TE Inception Report and be fully discussed and agreed between UNDP, stakeholders and the TE consultant.
The final report must describe the full TE approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the evaluation.

5. DETAILED SCOPE OF THE TE

The TE will assess project performance against expectations set out in the project's Logical Framework/Results Framework (see ToR Annex A). The TE will assess results according to the criteria outlined in the Guidance for TEs of UNDP-supported GEF-financed Projects (http://web.undp.org/evaluation/guideline/documents/GEF/TE_GuidanceforUNDP-supportedGEFfinancedProjects.pdf). The TE is expected to be undertaken in 30 days within a six-week period from June to July 2021.

The Findings section of the TE report will cover the topics listed below. A full outline of the TE report's content is provided in ToR Annex C.

The asterisk "(*)" indicates criteria for which a rating is required.

Findings

i. Project Design/Formulation
• National priorities and country driven ness
• Theory of Change (if applicable)
• Gender equality and women's empowerment
• Social and Environmental Standards (Safeguards)
• Analysis of Results Framework: project logic and strategy, indicators
• Assumptions and Risks
• Lessons from other relevant projects (e.g., same focal area) incorporated into project design
• Planned stakeholder participation
• Linkages between project and other interventions within the sector
• Management arrangements

ii. Project Implementation
• Adaptive management (changes to the project design and project outputs during implementation)
• Actual stakeholder participation and partnership arrangements
• Project Finance and Co-finance
• Monitoring & Evaluation: design at entry (*), implementation (*), and overall assessment of M&E (*)
• Implementing Agency (UNDP) (*) and Executing Agency (*), overall project oversight/implementation and execution (*)
• Risk Management, including Social and Environmental Standards (Safeguards)
• Any impact of COVID-19

iii. Project Results
• Assess the achievement of outcomes against indicators by reporting on the level of progress for each objective and outcome indicator at the time of the TE and noting final achievements
• Relevance (*), Effectiveness (*), Efficiency (*) and overall project outcome (*)
• Sustainability: financial (*), socio-political (*), institutional framework and governance (*), environmental (*), overall likelihood of sustainability (*)
• Country ownership
• Gender equality and women's empowerment
• Cross-cutting issues (poverty alleviation, improved governance, climate change mitigation and adaptation, disaster prevention and recovery, human rights, capacity development, South-South cooperation, knowledge management, volunteerism, etc., as relevant)
• GEF Additionality
• Catalytic Role / Replication Effect
• Progress to impact
• Any impact of COVID-19

iv. Main Findings, Conclusions, Recommendations and Lessons Learned
• The TE consultant will include a summary of the main findings of the TE report. Findings should be presented as statements of fact that are based on analysis of the data.
• The section on conclusions will be written in light of the findings. Conclusions should be comprehensive and balanced statements that are well substantiated by evidence and logically connected to the TE findings. They should highlight the strengths, weaknesses and results of the project, respond to key evaluation questions and provide insights into the identification of and/or solutions to important problems or issues pertinent to project beneficiaries, UNDP and the GEF, including issues in relation to gender equality and women's empowerment.

• Recommendations should provide concrete, practical, feasible and targeted recommendations directed to the intended users of the evaluation about what actions to take and decisions to make. The recommendations should be specifically supported by the evidence and linked to the findings and conclusions around key questions addressed by the evaluation.
• The TE report should also include lessons that can be taken from the evaluation, including best practices in addressing issues relating to relevance, performance and success that can provide knowledge gained from the particular circumstance (programmatic and evaluation methods used, partnerships, financial leveraging, etc.) that are applicable to other GEF and UNDP interventions. When possible, the TE consultant should include examples of good practices in project design and implementation.
• It is important for the conclusions, recommendations and lessons learned of the TE report to incorporate gender equality and empowerment of women.

The TE report will include an Evaluation Ratings Table, as shown in Table 5 below:

Table 5: Evaluation Ratings Table for the Global Sustainable Supply Chains for Marine Commodities Project

Monitoring & Evaluation (M&E)	**Rating**[95]
M&E design at entry	
M&E Plan Implementation	
Overall Quality of M&E	
Implementation & Execution	**Rating**
Quality of UNDP Implementation/Oversight	
Quality of Implementing Partner Execution	
Overall quality of Implementation/Execution	
Assessment of Outcomes	**Rating**
+Relevance	
Effectiveness	
Efficiency	
Overall Project Outcome Rating	
Sustainability	**Rating**
Financial resources	
Socio-political/economic	
Institutional framework and governance	
Environmental	
Overall Likelihood of Sustainability	

[95] Outcomes, Effectiveness, Efficiency, M&E, Implementation/Oversight & Execution, Relevance are rated on a 6-point scale: 6=Highly Satisfactory (HS), 5=Satisfactory (S), 4=Moderately Satisfactory (MS), 3=Moderately Unsatisfactory (MU), 2=Unsatisfactory (U), 1=Highly Unsatisfactory (HU). Sustainability is rated on a 4-point scale: 4=Likely (L), 3=Moderately Likely (ML), 2=Moderately Unlikely (MU), 1=Unlikely (U)

6. TIMEFRAME

The total duration of the TE will be approximately (30 working days) over a time period of 9 weeks) starting on June 25th[st], 2021. The tentative TE timeframe is as follows:

TIMEFRAME	ACTIVITY
May 10	Application closes
May 24	Selection of TE consultant
June 25	Preparation period for TE consultant (handover of documentation)
June 25 – July 12	Document review and preparation of TE Inception Report
July 12	Circulation of draft TE Inception Report
July 12 - 16	Finalization and Validation of TE Inception Report
July 12 – July 27	TE virtual mission: stakeholder meetings, interviews, etc.
July 28	Share draft power point of initial findings
July 29 or 30	Virtual mission wrap-up meeting & presentation of initial findings (could be recorded)
–July 29 – August 7	Preparation of draft TE report
By August 8	Share first draft TE report for comments to the IPCU/SFP/UNDP team
–August 9 - 12	Incorporation of comments on draft TE
By August 13	Circulation of draft TE report for comments for project partners and institutions
August 16 - 20	Incorporation of comments on draft TE report into Audit Trail & finalization of TE report
August 18-24	Preparation and Issuance of Management Response
By August 25	Concluding stakeholder workshop (recorded) and turn final TE document and supporting documents
August 30	Expected date of full TE completion

7. TE DELIVERABLES

#	Deliverable	Description	Timing	Responsibilities
1	**TE Inception Report**[96]	TE consultant clarifies objectives, methodology and timing of the TE	Before starting the TE virtual mission: July 16	TE consultant submits to the Project Coordination Unit, Progremme Officer RTA, and Project Steering Committee
2	**Virtual Mission Wrap-Up Presentation**	Initial Findings	End of virtual TE mission: July 30	TE Consultant presents to Project Coordination Unit, UNDP-Ecuador Progremme Officer RTA,

[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 TE, presents the Consultant's understanding of the purpose and scope of the evaluation, and how the evaluation questions will be addressed.

				and Project Steering Committee
3	**Draft Final Report**	Full report (using guidelines on content outlined in Annex C) with annexes	One week after end of the TE virtual mission: August 9	Sent to Project Coordination Unit and Project Steering Committee; reviewed by RTA, Project Coordinating Unit, Programme Officer, GEF Operational Focal Point
4	**Final Report**[a, b]	Revised final report and TE Audit trail in which the TE details how all received comments have (and have not) been addressed in the final TE report (See template in ToR Annex H)	Within 1 week of receiving comments on draft report: August 25	Sent to Project Coordination Unit and Project Steering Committee

[a]The final TE report must be in English. A Spanish language translation of the executive summary must be provided.
[b]All final TE reports will be quality assessed by the UNDP Independent Evaluation Office (IEO). Details of the IEO's quality assessment of decentralized evaluations can be found in Section 6 of the UNDP Evaluation Guidelines.[97]

8. TE ARRANGEMENTS

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

Name	Job title	Institution	Acronym
Ricardo Perdomo	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	INCOPESCA
Rafael Ramiscal / Drusila Esther	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 *Chairman of Steering Committee*	Ministry of National Development Planning of Indonesia	BAPPENAS-DD
Enrique Alonso	Latin America Fisheries Coordinator	Sustainable Fisheries Partnership	SFP LatC
Ana Maria Nunez	Programme Associate UNDP RBLAC	United Nations Development Programme, Regional Center	UNDP-RH

[97] Access at: http://web.undp.org/evaluation/guideline/section-6.shtml

		for Latin America and the Caribbean, Panama	
Mario Rodas	Program Officer Environment and Energy Area UNDP Ecuador	United Nations Development Programme, Ecuador	UNDP-lead CO
Diego Orellana	International Project Coordinator (IPC) *Secretary of Steering Committee*	United Nations Development Programme	IPCU

The lead UNDP Country Office (Ecuador) will contract the consultant.
The Project Team (IPCU) will be responsible for liaising with the TE consultant to provide all relevant documents, set up stakeholder interviews, etc.

9. TE EVALUATOR EXPERIENCE AND QUALIFICATIONS

An independent evaluator will conduct the TE. The TE 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), must not have conducted this project's Mid-Term Review and should not have a conflict of interest with the project's related activities.

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

- Undergraduate degree in science, economics, administration, or similar fields
- Master's or PhD. degree in marine biology, fisheries management, marine economics or policy, oceanography, natural resource management, environmental sciences or another related field.
- Fluency in reading, speaking and writing English
- Working proficiency in either Spanish, Bahasa or Filipino
- Has carried out at least 5 evaluations that follow result-based management methodologies
- At least 6 years of experience in fisheries or marine/ocean policy in either Latin America or Asia with preference for both regions;
- 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;
- Experience in at least one (1) process applying SMART indicators and reconstructing and validating baseline scenarios in the last five years;
- Experience in at least one (1) project evaluation processes with gender considerations

10. EVALUATOR ETHICS

The TE consultant will be held to the highest ethical standards and is required to sign a code of conduct upon acceptance of the assignment. This evaluation will be conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation'. The evaluator must safeguard the rights and confidentiality of information providers, interviewees and stakeholders through measures to ensure compliance with legal and other relevant codes governing collection of data and reporting on data. The evaluator must also ensure security of collected information before and after the evaluation and protocols to ensure anonymity and confidentiality of sources of information where that is expected. The information knowledge and data gathered in the evaluation process must also be solely used for the evaluation and not for other uses without the express authorization of

UNDP and partners.

11. PAYMENT SCUEDULE

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

- 20% upon approval of Inception Report.
- 40% upon approval of the draft TE report.
- 40% upon approval of the final TE report (includes Spanish translations of the Executive Summary),a draft management response and delivery of completed TE Audit Trail.

Criteria for issuing the final payment of 40%[98]:
• The final TE report includes all requirements outlined in the TE TOR and is in accordance with the TE guidance.
• The final TE report is clearly written, logically organized, and is specific for this project (i.e. text has not been cut & pasted from other TE reports).
• The Audit Trail includes responses to and justification for each comment listed.

12. APPLICATION PROCESS[99]

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: • Education (30 points) • General experience (20 points) • Specific experience (50 points)	100	30%
Technical proposal	100	40%
Economic proposal	100	30%
		100%

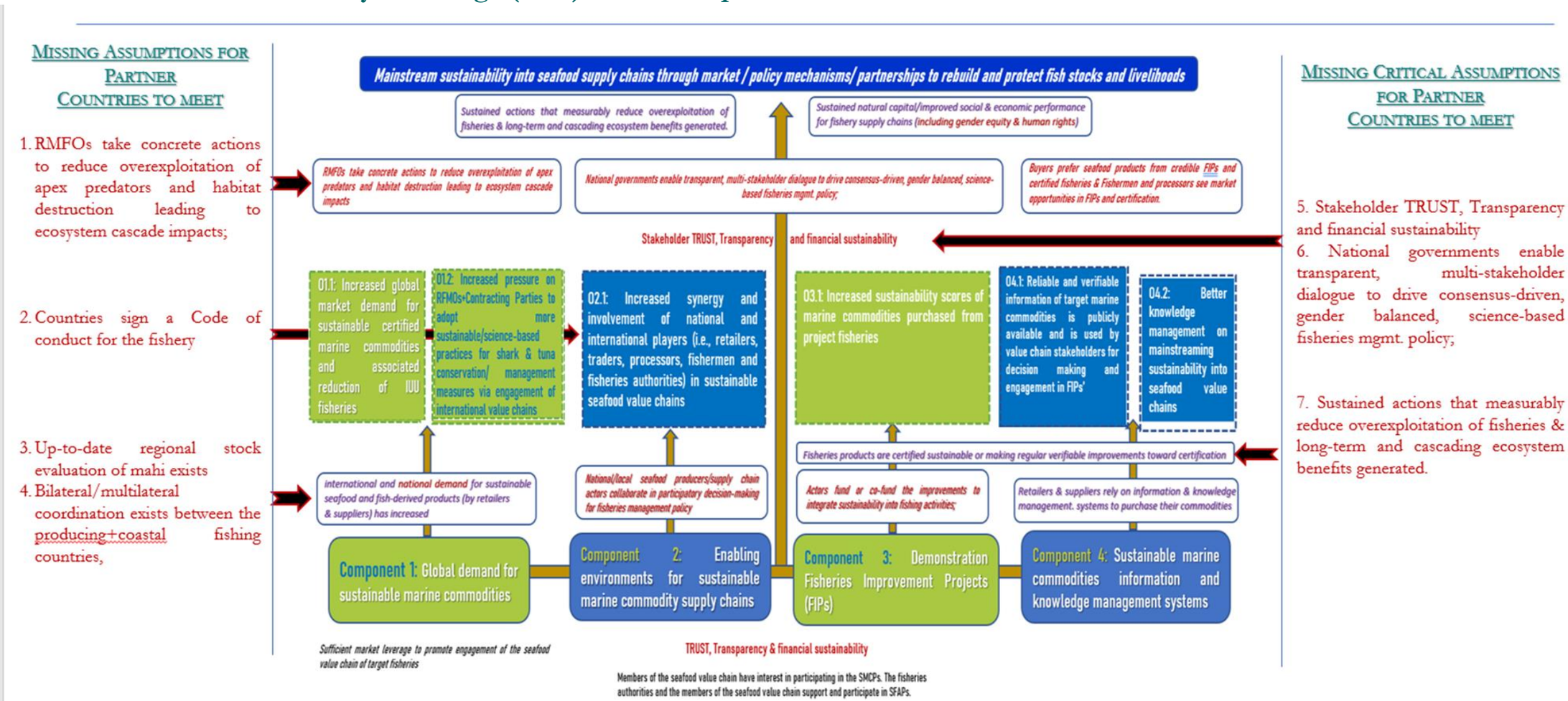
[98] The Commissioning Unit is obligated to issue payments to the TE consultant as soon as the terms under the ToR are fulfilled. If there is an ongoing discussion regarding the quality and completeness of the final deliverables that cannot be resolved between the Commissioning Unit and the TE consultant, the Regional M&E Advisor and Vertical Fund Directorate will be consulted. If needed, the Commissioning Unit's senior management, Procurement Services Unit and Legal Support Office will be notified as well so that a decision can be made about whether or not to withhold payment of any amounts that may be due to the evaluator(s), suspend or terminate the contract and/or remove the individual contractor from any applicable rosters. See the UNDP Individual Contract Policy for further details:
https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PSU_Individual%20Cont ract_Individual%20Contract%20Policy.docx&action=default

[99] Engagement of evaluators should be done in line with guidelines for hiring consultants in the POPP https://popp.undp.org/SitePages/POPPRoot.aspx

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:		
	• At least 6 years of experience in fisheries or marine/ocean policy in either Latin America or Asia, with preference for both regions.	***20***	
	• 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***	
	• Experience in at least one (1) process applying SMART indicators and reconstructing and validating baseline scenarios in the last five years.	***7***	
	• Experience in at least one (1) project evaluation processes with gender considerations	***3***	
	TOTAL	***100***	
Technical Proposal	***Methodology, agenda, and implementation schedule:***		***40%***
	• 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. Only the technical proposals that achieve a score of at least 49/70 will proceed to the economic proposal review stage.	***100***	***30%***

Annex 2: Reconstructed Theory of Change (ToC) and Assumptions.



Annex 3: TE Mission itinerary

DATES	GMC TE - Work Activity Chronogram (2021)
July to August	**1. Inception Report (Document review, virtual meetings with IPCU & methodological adjustments)**
June 29 to July 5	1.1 Initiate and organize the TE activities/Virtual kickoff meetings
July 1 to August 16	1.2 Compile, revise and analyze available information and identify gaps
July 6 to July 10	1.3 Virtual meeting with PSC/IPCU and other pertinent stakeholders to discuss preliminary IR findings
July 10 to July 12	1.4 Circulate Draft IR among stakeholders for comments
July 10 a July 14	1.5 Finalization and validation of the TE-IR
July 15	1.6. Virtual meeting with IPCU and other pertinent stakeholders to discuss IR findings
July 16	1.7 Submit IR with comments and adjustments as required
July to August	**2. TE Virtual Mission**
July 1 to August 12	2.1 Stakeholder meetings and interviews
July 1 to August 16	2.2 Fill in available documentation gaps
July 1 to August 16	2.3 Analysis of interviews and documentation evidence for addressing EQs and JCs
August 5	2.4 Virtual Mission wrap-up and presentation of preliminary findings
August 7 to August 18	2.5 Prepare Draft TE Report
August to September	**3. TE Draft Report Preparation**
August 7 to August 18	3.1 Cross-check available evidence with EQs and JCs and prepare Draft Report
August 18	3.2 Share Draft Report for comments with IPCU/SFP/UNDP and present key findings in virtual meeting
August 23	3.3 Incorporate IPCU/SFP/UNDP comments into Draft TE Report and circulate revised version with partners and institutions
August 24 to August 30	3.4 Virtual presentation of findings to pertinent stakeholders Revise DRAFT TE based on partner/Stakeholder comments
August 24 to August 30	3.5 Preparation and issuance of management response
August 31	3.6 Concluding stakeholder workshop, submit final TE and documentation

Annex 4: List of persons interviewed.

	Name	*Position*	*Location*	*Institution*
1	Diego Orellana	International Project Coordinator (Project Steering Committee secretary, no vote)	Manta, Ecuador	GMC Project, IPCU
2	Ana Maria Núñez	Regional Technical Specialist (Project Steering Committee member)	Quito, Ecuador	UNDP Ecuador
3	Karen Hildahl	Monitoring and Evaluation Specialist	Quit, Ecuador	GMC Project, IPCU
4	Mario Rodas	Program Officer, Environment and Energy Unit.	Quito, Ecuador	UNDP Ecuador
5	Carolina Diaz	Communication and Knowledge Management Specialist	Manta, Ecuador	GMC Project, IPCU
6	Enrique Alonso	Latin America Coordinator	Santiago, Chile	Sustainable Fisheries Partnership (SFP), IPCU
7	Tito Navia	Ecuador Platform Coordinator	Manta, Ecuador	UNDP
8	Carolina de la Torre	Strategic Alliances Specialist	Manta, Ecuador	UNDP
9	Maria Fernanda Rivadeneira	Admin and Finance Specialist	Quito, Ecuador	GMC Project, IPCU
10	Teddy Escarabay	Ecuador Consultant	Quito, Ecuador	SFP
11	Edwin Castro (interim)	Fisheries Sub-Secretary (Project Steering Committee member)	Manta, Ecuador	Subsecretary of Fisheries
12	Kifah Sasa	Program Officer	San Jose, Costa Rica	UNDP
13	Sandra Andraka (Former)	Large Pelagic Platform Coordinator GMC Project & National Platform Coordinator & National FIP Coordinator	San Jose, Costa Rica	UNDP
14	Rod Calzado	Former platform Coordinator	Manila, Philippines	GMC Project
15	Efren Hilario	GMC Focal Point	Manila, Philippines	BFAR
16	Theresa V. Espino-Yap	Programme Associate, Inclusive and Sustainable Development Unit	Manila, Philippines	UNDP Philippines
17	Jensi Sartin	Platform Coordinator	Jakarta, Indonesia	GMC Project
18	Roby Fadillah	Senior Official, GMC Project Point of Contact (Project Steering Committee member)	Jakarta, Indonesia	Ministry of National Development Planning BAPPENAS
19	Iwan Kurniawan	Programme Officer Environmental Unit	Jakarta, Indonesia	UNDP Indonesia
20	Randall Arauz	Director, NGO	San Jose, Costa Rica	NGO Costa Rica
21	Representative, Private Sector Company #1			
22	Representative, Private Sector Company #2			
23	Representative, Private Sector Company #3			
23	Kevin Rhodes	MarAlliance	Sn Francisco CA	NGO Belize

Annex 5: List of documents reviewed

Table A5.1. List of documents shared by IPCU (GMC)

No.	File Name	Internal File Name
Documents provided by the client		
File: Audits		
1	2018 UPL Gen Dev Situation _1JUNE2018	UNDP 2018 Universal Price List. For Services to UN Agencies Provided by General Development Situation Country
2	20181012 Response letter SFP	Confirmation on application of UNDP and SFP policy
3	COAS ATLAS	COAS ATLAS
4	Diagrama de flujo proyectos GEF_rev CCH_GJ	DIAGRAMA DE FLUJO DE PROCESOS DE PROYECTO
5	GMC Action Plan	GMC Action Plan
6	inventario firmado 31.12.2018	Declaración de inventario de bienes y equipos (<USD 1.500 unitarios)
7	Inventario GMC reporte 2018	DECLARACIÓN DE INVENTARIO DE BIENES Y EQUIPOS (<USD 1.500 unitario)
8	OUTPUT 96079 PESQUERIA SOSTENIBLE INTERNACIONAL.compressed	Proyecto 00090199, Output 00096079- Pesquería Sostenible Internacional, Cadenas Mundiales de Abastecimientos Sostenibles para Productos Marinos. Reporte combinado de gastos (Combined Delivery Report, CDR). Del 1 de enero al 31 de diciembre del 2018 con Informe de los Auditores Independientes
9	PIMS_4754_Marine_Commodities_ProDoc_21DEC20151_0	United Nations Development Programme- Country: Costa Rica, Ecuador, Indonesia and Philippines. Implementing Partner: Sustainable Fisheries Partnership. PROJECT DOCUMENT
10	ProDoc Global firmado CR + ECU + PHL	Programa de las Naciones Unidas para el Desarrollo. Países: Costa Rica, Ecuador, Indonesia and Filipinas. Socio Implementador: Sustainable Fisheries Partnership. DOCUMENTO DE PROYECTO
11	Project Audit of 2018_OUTPUT 96079 GMC_English	Proyecto 00090199, Output 00096079- International Sustainable Fisheries Global Sustainable Supply Chains for Marine Commodities. Combined Delivery Report, CDR. For the period January 1 to December 31, 2018 with Independent Auditors Report
12	SFP UNDP Agreement	Standard Project Cooperation Agreement between UNDP and a Non-Governmental Organization
13	Travel and Expense SFP Policy	Sustainable Fisheries Partnership Foundation Travel and Expense Policy

14	UPL 1 DE SEPTIEMBRE 2019	UNDP 2019 Universal Price List For Services to UN Agencies Provided by General Development Situation Country
File: Finance and CDRs		
15	ALLGMC_AAA_31AGO2019	ALLGMC_AAA_31AGO2019
16	CDR 2017	Combined Delivery Report by Activity. 96079. Jan-Dec (2017)
17	CDR 2017_92045	Combined Delivery Report by Activity. 92045. Jan-Dec (2017)
18	CDR 2018_92045	Combined Delivery Report by Activity. 92045. Jan-Dec (2018)
19	CDR 2018_96079	Combined Delivery Report by Activity. 96079. Jan-Dec (2018)
20	Combined Delivery Report Jan_Dec 2018_GMC	Combined Delivery Report by Activity.92045. Jan-Dec (2018)
21	Financial Progress (4)	Financial Progress (4)
22	GMC_ Budget Indonesia multiyear	IMULTIYEAR WORKPLAN. Project: Global Sustainable Supply Chain for Marine Commodities (GMC)- Indonesia
23	Meeting schedule_IDN	Meeting schedule_IDN
File: GEF TT		
24	20210607 Consolidated_GEF_IW_TT_GMC	GEF International Waters Tracking Tool
File: Gender		
25	GENDER STRATEGY D1+D2_18Nov19	Global Sustainable Supply Chains for Marine Commodities (GMC) Project No. 00096079. Gender Strategy for the GMC Project (Word)
26	GENDER STRATEGY D1+D2_18Nov19	Global Sustainable Supply Chains for Marine Commodities (GMC) Project No. 00096079. Gender Strategy for the GMC Project (PDF)
27	GMC-Project_2021-interactivo FINAL	Building Equal Opportunities in Fisheries: The Global Marine Commodities Project Gender Strategy. February 2020
Gender Matrix		
28	2021-06-01 Matrix Gender-MR1	2021-06-01 Matrix Gender-MR2
Evidence		
File: GMC Contacts		
29	GMC Project List of Key Contacts 25June2021	GMC Project List of Key Contacts 25June2021
File: Inception Workshop		
30	2017_Annex 1_Final Agenda Global Inception Workshop GCM project (3)	"Global Sustainable Supply Chain Marine Commodities"

		Project Inception Workshop. Manta, Ecuador 6-9 November 2017
31	2017_Annex 2_List of participants and emails Inception Workshop UNDP	List of participants Global Marine Commodities Inception Workshop UNDP Manta 6 to 9 November 2017
32	2017_Annex 3_Minutes Steering Committee Meeting GMC project signed	Global Sustainable Supply Chain Marine Commodities. Thursday, 9th November de 2017, 09:15 am – 12:45pm. Place: Manta, Ecuador.
33	Report on Inception Workshop_Global Marine Commodities 2017	UNDP/GEF PROJECT ON GLOBAL SUSTAINABLE SUPPLY CHAINS FOR MARINE COMMODITIES (2017 – 2021) REPORT ON INCEPTION WORKSHOP. Manta, Ecuador. November 6 - 9, 2017
File: Indicators Revision		
	FINAL indicators framework clarification 2021	
34	20210301 GMC Project Indicator Framework Update.3 revised_clean	GMC Project Indicator Framework Update #3 May15, 2021
	Update 1	
35	GMC Project Indicator Framework Update 7June19	GMC Project Indicator Framework Update 6/7/19
36	GMC Project Indicators Clarifications Memo 15Apr19	Project Indicator Clarifications-Global Marine Commodities Project 15 April 2019
	Update 2 resulting from MTR	
37	2020.03.25 GMC Project Indicator Framework Update_final_changes accepted	GMC Project Indicator Framework Update #2. June 15, 2020
38	Email of March 10 2020_ PSC GMC indicators update	Email: GMC Project Indicator Framework updates - Actualizaciones del marco de indicadores proyecto GMC
File: Knowledge Management		
	Community of Practice Workshop 2018	
39	Systematization Report GMC_FINAL	Report from the Community of Practice Training Workshop. Global Sustainable Supply Chains for Marine Commodities Project. October 2018
40	Audio Community of Practice WORKSHOP	Audio Community of Practice WORKSHOP
41	Annex 1- Agenda GMP Workshop	Annex 1. Summary Agenda. Moderation and Training by Lise Melvin, Green Commodities Programme, UNDP.
42	Annex 2. Day 2 Jose Vicente Troya	Annex 2. Day 2 Jose Vicente Troya

43	Annex 3 Day 2 Ecuador	Annex 3. Small Pelagics Sustainable Fishery Platform
44	Annex 4 Day 2 Philippines	Annex 4 Day 2 Philippines
45	Annex 5 Commitment Chart	Annex 5 Commitment Chart
	Galicia 2019 -GMC project partners field visit	
46	Attachment 7. UNDP Galicia Field Trip-June 2019	GMC Galicia Field Trip Visit – 25th to the 28th June 2019
47	Concluding Session Galicia	Concluding Session Galicia
48	Participant List Final 1July19	Participant List Final 1July19
49	Poster Conclusions Digitalized	CURRENT STATE OF FIP'S
	GEF news	
50	Schooling together FINAL TO Publish	Schooling together: Peer to peer knowledge exchange on fisheries management in Galicia, Spain
	Update to KM Strategy	
51	Carolina Díaz - GMC Project - Analysis & Roadmap for KM Activities	ROADMAP FOR KNOWLEDGE MANAGEMENT FOR THE GLOBAL MARINE COMMODITIES FOR SUSTAINABLE FISHERIES PROJECT - 2021
52	Carolina Díaz - Recommendations for Assessing the Utility of Lessons Learned & Good Practices Documents	Recommendations for Assessing the Utility of Lessons Learned & Good Practices Documents
53	Carolina Díaz - Results of Prioritization Exercise	GMC PROJET PRIORITIZING PUBLICATIONS - KNOWLEDGE MANAGEMENT STRATEGY
	File: Mid-Term review	
54	2021-06-03 Matrix MTR	2021-06-03 Matrix MTR
55	GMC MTR Summary ppt FINAL	Global Sustainable Supply Chains for Marine Commodities Project UNDP MID-TERM REVIEW SUMMARY PRESENTATION
56	SIGNED_UNDP GMC MTR Final Report	Global Sustainable Supply Chains for Marine Commodities (GMC) Project. Midterm Review. October 2019
	MTR Mngt Resp Matrix	
	File: MTR 2019 contacts	
57	19 08 21 GMC MTR Contacts & domains MS update	19 08 21 GMC MTR Contacts & domains MS update
58	GMC Project List of Key Contacts 8Aug19	GMC Project List of Key Contacts 8Aug19
	File: PIF and ProDoc	

59	01-30-13%20PIF%20Request%20Document_0	PROJECT IDENTIFICATION FORM (PIF) . PROJECT TYPE: Full-sized Project TYPE OF TRUST FUND: GEF Trust Fund
60	4754 Global Marine Commodities CEO Endorsement 18NOV2015	REQUEST FOR CEO ENDORSEMENT PROJECT TYPE: FULL-SIZED PROJECT. TYPE OF TRUST FUND: GEF TRUST FUND
61	IP Global Supply Chains_signed_J Cannon-1	Initiation Plan Template. For a GEF Project Preparation Grant (PPG)
62	PIMS 4754 Marine Commodities ProDoc	United Nations Development Programme Country: Costa Rica, Ecuador, Indonesia and Philippines Implementing Partner: Sustainable Fisheries Partnership PROJECT DOCUMENT
File: PIR		
	PIR 2018	
63	2018-GEF-PIR-PIMS4754-GEFID5271	2018. Project Implementation Review (PIR)
	PIR 2019	
64	2019-GEF-PIR-PIMS4754-GEFID5271(3)	2019. Project Implementation Review (PIR)
	PIR 2019 EVIDENCE	
65	Annex 1_DO Progress_Indicator 1_T75_status_2018_SFP	Annex 1_DO Progress_Indicator 1_T75_status_2018_SFP
66	Annex 2_DO Progress_Indicator 1a_EPO LP SR-GFF_AgendaMinutesAttendees Feb 2019	Annex 2_DO Progress_Indicator 1a_EPO LP SR-GFF_AgendaMinutesAttendees Feb 2019
67	Annex 3_DO Progress_Indicator 1a_EPO SR Minutes Webinar Nov 2018	Annex 3_DO Progress_Indicator 1a_EPO SR Minutes Webinar Nov 2018
68	Annex 4_DO Progress_Indicator 1a_EPO-LP-SRmeeting_2018.07.23	Annex 4_DO Progress_Indicator 1a_EPO-LP-SRmeeting_2018.07.23
69	Annex 5_DO Progress_Indicator 1a_GlobalMahi-SR March2019-MeetingReport	Annex 5_DO Progress_Indicator 1a_GlobalMahi-SR March2019-MeetingReport
70	Annex 6_DO Progress_Indicator 1a_Presentation EPO SR Webinar Nov 2018	Annex 6_DO Progress_Indicator 1a_Presentation EPO SR Webinar Nov 2018
71	Annex 7_DO Progress_Indicator 1a_GFFTuna-SR March2019-MeetingReport	Annex 7_DO Progress_Indicator 1a_GFFTuna-SR March2019-MeetingReport

72	Annex 8_DO Progress_Indicator 1a_LA Reduction SR_Session1 minutes	Annex 8_DO Progress_Indicator 1a_LA Reduction SR_Session1 minutes
73	Annex 9_DO Progress_Indicator 1a_Octopus-SR March2019-MeetingReport	Annex 9_DO Progress_Indicator 1a_Octopus-SR March2019-MeetingReport
74	Annex 10_DO Progress_Indicator 2_Global Tuna Sustainability Appeal-NGO TF-8.5.18	Annex 10_DO Progress_Indicator 2_Global Tuna Sustainability Appeal-NGO TF-8.5.18
75	Annex 11_DO Progress_Indicator 2_Letter to USA delegates IATTC	Annex 11_DO Progress_Indicator 2_Letter to USA delegates IATTC
76	Annex 13_DO Progress_Indicator 2_Taller 1 COREMAHI 21-22 enero 2019	Annex 13_DO Progress_Indicator 2_Taller 1 COREMAHI 21-22 enero 2019
77	Annex 14_DO Progress_Indicator 2_COREMAHI Position Statement for IATTC	Annex 14_DO Progress_Indicator 2_COREMAHI Position Statement for IATTC
78	Annex 15_DO Progress_Indicator 2_Global Mahi SR IATTC letter	Annex 15_DO Progress_Indicator 2_Global Mahi SR IATTC letter
79	Annex 16_DO Progress_Indicator 2_GFF Tuna Newsletter Jun18 FINAL	Annex 16_DO Progress_Indicator 2_GFF Tuna Newsletter Jun18 FINAL
80	Annex 17_DO Progress_Indicator 2_GFF Tuna Newsletter Aug18 FINAL	Annex 17_DO Progress_Indicator 2_GFF Tuna Newsletter Aug18 FINAL
81	Annex 18_DO Progress_Indicator 2_GFF Tuna Newsletter Dec2018	Annex 18_DO Progress_Indicator 2_GFF Tuna Newsletter Dec2018
82	Annex 19_DO Progress_Indicator 2_GFF Tuna Newsletter Feb 2019	Annex 19_DO Progress_Indicator 2_GFF Tuna Newsletter Feb 2019
83	Annex 20_DO Progress_Indicator 2_GFF Tuna NewsletterApr2019	Annex 20_DO Progress_Indicator 2_GFF Tuna NewsletterApr2019
84	Annex 21_DO Progress_Indicator 2_GFF Tuna NewsletterJune19	Annex 21_DO Progress_Indicator 2_GFF Tuna NewsletterJune19
85	Annex 22_DO Progress_Indicator 3a_Reporte de Sistematización_LanzamientoPPP_10 Dec18	Annex 22_DO Progress_Indicator 3a_Reporte de Sistematización_LanzamientoPPP_10Dec18
86	Annex 23_DO Progress_Indicator 3a_Producto 3PNUD-CORAMIR	Annex 23_DO Progress_Indicator 3a_Producto 3PNUD-CORAMIR
87	Annex 24_DO Progress_Indicator 3a_Producto 4PNUD-CORAMIR	Annex 24_DO Progress_Indicator 3a_Producto 4PNUD-CORAMIR
88	Annex 25_DO Progress_Indicator 3a_Field visit for Chefs, Restaurants, and distributors	Annex 25_DO Progress_Indicator 3a_Field visit for Chefs, Restaurants, and distributors

89	Annex 26_DO Progress_Indicator 3a_FOO-166(BSC-TWG Ammendment)	Annex 26_DO Progress_Indicator 3a_FOO-166(BSC-TWG Ammendment)
90	Annex 27_DO Progress_Indicator 3a_FOO-269 (Octopus TWG)	Annex 27_DO Progress_Indicator 3a_FOO-269 (Octopus TWG)
91	Annex 28_DO Progress_Indicator 3a_GMC_Joint TWG Meeting PHI	Annex 28_DO Progress_Indicator 3a_GMC_Joint TWG Meeting PHI
92	Annex 29_DO Progress_Indicator 3a_GMC Inception Report Soft Launch IND	Annex 29_DO Progress_Indicator 3a_GMC Inception Report Soft Launch IND
93	Annex 30_DO Progress_Indicator 3a_Multi-stakeholder Platform for Sustainable Fisheries_Adrianto	Annex 30_DO Progress_Indicator 3a_Multi-stakeholder Platform for Sustainable Fisheries_Adrianto
94	Annex 31_DO Progress_Indicator 3b_PAN pesquerías sostenibles grandes pelágicos_plenaria Abr2019	Annex 31_DO Progress_Indicator 3b_PAN pesquerías sostenibles grandes pelágicos_plenaria Abr2019
95	Annex 32_DO Progress_Indicator 3b_BSC-NMP-InceptionReport-June2019	Annex 32_DO Progress_Indicator 3b_BSC-NMP-InceptionReport-June2019
96	Annex 33_DO Progress_Indicator 3b_BSC Management_East Java_2nd meeting	Annex 33_DO Progress_Indicator 3b_BSC Management_East Java_2nd meeting
97	Annex 34_DO Progress_Indicator 3b_BSC Harvest Strategy_3rd meeting	Annex 34_DO Progress_Indicator 3b_BSC Harvest Strategy_3rd meeting
98	Annex 35_DO Progress_Indicator 3b_Minutes_NTMP Evaluation_1st meeting	Annex 35_DO Progress_Indicator 3b_Minutes_NTMP Evaluation_1st meeting
99	Annex 36_DO Progress_Indicator 3b_NTMP2nd meeting	Annex 36_DO Progress_Indicator 3b_NTMP2nd meeting
100	Annex 37_DO Progress_Indicator 4a_MRAG_PE_Palangre_CR_Final_CP	Annex 37_DO Progress_Indicator 4a_MRAG_PE_Palangre_CR_Final_CP
101	Annex 38_DO Progress_Indicator 4a_Workplan Palangre Multiespecifico Costa Rica FINAL	Annex 38_DO Progress_Indicator 4a_Workplan Palangre Multiespecifico Costa Rica FINAL
102	Annex 39_DO Progress_Indicator 4a_Asistencia entrenamiento MSC 26-09-18	Annex 39_DO Progress_Indicator 4a_Asistencia entrenamiento MSC 26-09-18
103	Annex 40_DO Progress_Indicator 4a_MOU FIP SMALL PELAGICS - ECUADOR	Annex 40_DO Progress_Indicator 4a_MOU FIP SMALL PELAGICS - ECUADOR
104	Annex 41_DO Progress_Indicator 4a_APORTES POR EMPRESA	Annex 41_DO Progress_Indicator 4a_APORTES POR EMPRESA
105	Annex 42_DO Progress_Indicator 4a_ANEXO FIP	Annex 42_DO Progress_Indicator 4a_ANEXO FIP

106	Annex 43_DO Progress_Indicator 4a_Octopus FIP-Philippines Presentation	Annex 43_DO Progress_Indicator 4a_Octopus FIP-Philippines Presentation
107	Annex 44_DO Progress_Indicator 4a_Minutes FIP-Octopus NatAssocWorkshop_March2019	Annex 44_DO Progress_Indicator 4a_Minutes FIP-Octopus NatAssocWorkshop_March2019
108	Annex 45_DO Progress_Indicator 4a_Philippines GOSR support letter	Annex 45_DO Progress_Indicator 4a_Philippines GOSR support letter
109	Annex 46_DO Progress_Indicator 4a_Philippines Octopus FIP draft	Annex 46_DO Progress_Indicator 4a_Philippines Octopus FIP draft
110	Annex 47_DO Progress_Indicator 4b_MOU FIP SMALL PELAGICS - ECUADOR	Annex 47_DO Progress_Indicator 4b_MOU FIP SMALL PELAGICS - ECUADOR
111	Annex 48_DO Progress_Indicator 4b_APORTES POR EMPRESA	Annex 48_DO Progress_Indicator 4b_APORTES POR EMPRESA
112	Annex 49_DO Progress_Indicator 4c_20190227 MSC List of Participants INP	Annex 49_DO Progress_Indicator 4c_20190227 MSC List of Participants INP
113	Annex 50_DO Progress_Indicator 4c_20190227 MSC List of Participants	Annex 50_DO Progress_Indicator 4c_20190227 MSC List of Participants
114	Annex 51_DO Progress_Indicator 4c_20190301 MSC List of Participants	Annex 51_DO Progress_Indicator 4c_20190301 MSC List of Participants
115	Annex 52_DO Progress_Indicator 4c_20190228 MSC List of Participants	Annex 52_DO Progress_Indicator 4c_20190228 MSC List of Participants
116	Annex 53_DO Progress_Indicator 4c_Asistencia entrenamiento MSC 26-09-18	Annex 53_DO Progress_Indicator 4c_Asistencia entrenamiento MSC 26-09-18
117	Annex 54_DO Progress_Indicator 5a_SFP Metrics Guidance Docs-Binder	Annex 54_DO Progress_Indicator 5a_SFP Metrics Guidance Docs-Binder
118	Annex 55_DO Progress_Indicator 5b_SFP_T75-GFF_Agenda.GeneralAttendeeList	Annex 55_DO Progress_Indicator 5b_SFP_T75-GFF_Agenda.GeneralAttendeeList
119	Annex 56_DO Progress_Indicator 5c_ProcessMap_FP-SFPcollaboration-FIPratings	Annex 56_DO Progress_Indicator 5c_ProcessMap_FP-SFPcollaboration-FIPratings
120	Annex 57_DO Progress_Indicator 5d_Informe 1_SFP_CCANALES	Annex 57_DO Progress_Indicator 5d_Informe 1_SFP_CCANALES
121	Annex 58_DO Progress_Indicator 5d_Informe 2_SFP_CCANALES	Annex 58_DO Progress_Indicator 5d_Informe 2_SFP_CCANALES
122	Annex 59_DO Progress_Indicator 6a_Lessons learned template_FINAL	Annex 59_DO Progress_Indicator 6a_Lessons learned template_FINAL
123	Annex 60_DO Progress_Indicator 6a_LA Regional Advisor_Deliverable 3_042319	Annex 60_DO Progress_Indicator 6a_LA Regional Advisor_Deliverable 3_042319

124	Annex 61_DO Progress_Indicator 6a_Asia Regional Advisor Deliverable 1 11April19_Final	Annex 61_DO Progress_Indicator 6a_Asia Regional Advisor Deliverable 1 11April19_Final
125	Annex 62_Gender_Mainstreaming_BSC Gender Profile Report	Annex 62_Gender_Mainstreaming_BSC Gender Profile Report
126	Annex 63_Gender_Taller transversalización del enfoque de género en CFI y GMC marzo 2019	Annex 63_Gender_Taller transversalización del enfoque de género en CFI y GMC marzo 2019
127	Annex 64_Communicating Impact_Communication_Project_NEWS	Annex 64_Communicating Impact_Communication_Project_NEWS
128	Annex 65_Communicating Impact_GMC Project FACEBOOK	Annex 65_Communicating Impact_GMC Project FACEBOOK
129	Annex 66_Communicating Impact_GMC Project TWITTER	Annex 66_Communicating Impact_GMC Project TWITTER
130	Annex 67_Communicating Impact_Project Location_Costa Rica EEZ	Annex 67_Communicating Impact_Project Location_Costa Rica EEZ
131	Annex 68_Communicating Impact_Project Location_Ecuador EEZ	Annex 68_Communicating Impact_Project Location_Ecuador EEZ
132	Annex 69_Communicating Impact_Project Location_Indonesia EEZ	Annex 69_Communicating Impact_Project Location_Indonesia EEZ
133	Annex 70_Communicating Impact_Project Location_Philippines EEZ	Annex 70_Communicating Impact_Project Location_Philippines EEZ
134	Annex 71_Communication Impact_GMC_Results_MAY_2019pdf	Annex 71_Communication Impact_GMC_Results_MAY_2019pdf
135	Annex 72_DO Progress_Indicator 1_GMC Project FIPs supported	Annex 72_DO Progress_Indicator 1_GMC Project FIPs supported
136	Annex 73_Adjustments_Project Steering Committee Meeting Agreements 19Feb19	Annex 73_Adjustments_Project Steering Committee Meeting Agreements 19Feb19
137	Annex 74_Adjustments_Project Steering Commitee Meeting Minutes 19Feb19	Annex 74_Adjustments_Project Steering Commitee Meeting Minutes 19Feb19
138	Annex 75_DO Progress_Indicator 1_Indicator Framework Update	Annex 75_DO Progress_Indicator 1_Indicator Framework Update
139	Annex 76_DO Progress_Indicator 4a_IND Bait management training	Annex 76_DO Progress_Indicator 4a_IND Bait management training
140	Annex 77_DO Progress_Indicator 4a_IND Catch Management Training	Annex 77_DO Progress_Indicator 4a_IND Catch Management Training

141	Annex 78_DO Progress_Indicator 4a_IND ETP Training	Annex 78_DO Progress_Indicator 4a_IND ETP Training
142	Annex 79_DO Progress_Indicator 4a_Mapping Miniplant BSC Article	Annex 79_DO Progress_Indicator 4a_Mapping Miniplant BSC Article
143	Annex 80_DO Progress_Indicator 4a_IND BSC APRI article	Annex 80_DO Progress_Indicator 4a_IND BSC APRI article
144	Annex 81_DO Progress_Indicator 4a_AP2HI meeting post	Annex 81_DO Progress_Indicator 4a_AP2HI meeting post
145	Annex 82_DO Progress_Indicator 4a_AP2HI UoAs publication	Annex 82_DO Progress_Indicator 4a_AP2HI UoAs publication
146	Annex 83_DO Progress_Indicator 4a_Panapesca Interview	Annex 83_DO Progress_Indicator 4a_Panapesca Interview
147	Annex 84_Minutes_NGO_Association Consultation Meeting	Annex 84_Minutes_NGO_Association Consultation Meeting
148	Annex 85_DO Progress_Indicator 3a_APRI Focus Group Discussion with Bappenas November 14, 2018	Annex 85_DO Progress_Indicator 3a_APRI Focus Group Discussion with Bappenas November 14, 2018
149	Annex 86_DO Progress_Indicator 3a_Minutes_FGD fisheries policy review_en	Annex 86_DO Progress_Indicator 3a_Minutes_FGD fisheries policy review_en
150	Annex 87_DO Progress_Indicator 1b_SFP-SENA March2019-AttendanceSnapshot	Annex 87_DO Progress_Indicator 1b_SFP-SENA March2019-AttendanceSnapshot
151	Annex 88_DO Progress_Indicator 4a_Target 75 Forum	Annex 88_DO Progress_Indicator 4a_Target 75 Forum
152	Annex 89_DO Progress_Indicator 4a_AP2HI General Meeting 2018	Annex 89_DO Progress_Indicator 4a_AP2HI General Meeting 2018
153	Annex 90_DO Progress_Indicator 4a_TUNACONS MSC Articulo	Annex 90_DO Progress_Indicator 4a_TUNACONS MSC Articulo
154	Annex 91_Ecuador Mahi mahi	Annex 91_Ecuador Mahi mahi
155	Annex 92_Overall Assessment_CNP Small Pelagic FIP	Annex 92_Overall Assessment_CNP Small Pelagic FIP
156	Annex 93_Overall Assessment_Informe Auditoria Pesqueria_Sostenible Internacional Ingles_FINAL	Annex 93_Overall Assessment_Informe Auditoria Pesqueria_Sostenible Internacional Ingles_FINAL
157	Annex 94_DO Progress Indicator 3a_Minuta Comite Pilotaje 210918	Annex 94_DO Progress Indicator 3a_Minuta Comite Pilotaje 210918
158	Annex 95_DO Progress_Indicator 3b_Notas reunión CD190918	Annex 95_DO Progress_Indicator 3b_Notas reunión CD190918
159	Annex 96_DRAFT SESP_ 5July19	Annex 96_DRAFT SESP_ 5July19

160	CEO Endorsement Request	REQUEST FOR CEO ENDORSEMENT, PROJECT TYPE: FULL-SIZED PROJECT TYPE OF TRUST FUND: GEF TRUST FUND.
	PIR 2020	
161	2020-GEF-PIR-PIMS4754-GEFID5271 FINAL	2020 Project Implementation Review (PIR)
	1 Global	
162	Annex 1_DO Progress Indicator global_FIP Table Update 23June2020	Annex 1_DO Progress Indicator global_FIP Table Update 23June2021
163	Annex 1_DO Progress Indicator global_FIP Table Update 23June2020	Annex 1_DO Progress Indicator global_FIP Table Update 23June2021
164	Small Pelagic FIP pending submission to Fishery Progress	Small Pelagic FIP pending submission to Fishery Progress
	Octopus FIP	
165	4000 Octopus tons from PHI	4000 Octopus tons from PHI
165	Annex d_DO Progress Indicator 1a_Octopus SR meeting	Annex d_DO Progress Indicator 1a_Octopus SR meeting
	Pole & Line ECU	
166	FIP pole and line	Project Ecuadorian Pole and Line Tuna Fisheries Fisheries Improvement Project
167	Preevaluation_ FIP POLE & LINE ECUADOR	Pesquería de Atún con Caña, Manta, Manabí, Ecuador Informe de Preevaluación para Conservación Internacional Ecuador y la Cooperativa de Producción Pesquera Artesanal y Maricultura Cañeros de Manta
	1a	
168	Annex 2_DO Progress Indicator 1a_GlobalMahiSRmeeting-Nov2019	Annex 2_DO Progress Indicator 1a_GlobalMahiSRmeeting-Nov2019
169	Annex 3_DO Progress Indicator 1a_ Final_Global Tuna Virtual SR_Meeting 2020	Annex 3_DO Progress Indicator 1a_ Final_Global Tuna Virtual SR_Meeting 2020
170	Annex 4_DO Progress Indicator 1a_LATAM SR Meeting Report	Annex 4_DO Progress Indicator 1a_LATAM SR Meeting Report
171	Annex 5_DO Progress Indicator 1a_Octopus SR meeting	Annex 5_DO Progress Indicator 1a_Octopus SR meeting
172	Annex 6_DO Progress Indicator 1a_Side event Ecuador Sustainable Initiatives	Annex 6_DO Progress Indicator 1a_Side event Ecuador Sustainable Initiatives
	2a	

173	Annex 7_DO Progress Indicator 2_FINAL Tuna and Observers May2020 RFMOs Letter	Annex 7_DO Progress Indicator 2_FINAL Tuna and Observers May2020 RFMOs Letter
174	Annex 8_DO Progress Indicator 2_Report to COREMAHI	Annex 8_DO Progress Indicator 2_Report to COREMAHI
175	Annex 8_DO Progress Indicator 2_Report to COREMAHI	Annex 8_DO Progress Indicator 2_Report to COREMAHI
176	Annex 9_DO Progress Indicator 2_Memoria taller COREMAHI	Annex 9_DO Progress Indicator 2_Memoria taller COREMAHI
177	Annex 10_DO Progress Indicator_IATTC Letter of Support from Buyers COREMAHI	Annex 10_DO Progress Indicator_IATTC Letter of Support from Buyers COREMAHI
178	Annex 11_DO Progress Indicator 2_PlanCientifico Coryphaena hippurus v final	Annex 11_DO Progress Indicator 2_PlanCientifico Coryphaena hippurus v final
179	Annex 11_DO Progress Indicator 2_PlanCientifico Coryphaena hippurus v final	Annex 11_DO Progress Indicator 2_PlanCientifico Coryphaena hippurus v final
180	Annex 12_DO Progress Indicator 2_GFF TunaSR Newsletter June 2019	Annex 12_DO Progress Indicator 2_GFF TunaSR Newsletter June 2019
181	Annex 13_DO Progress Indicator 2_GFF TunaSR Newsletter Aug 2019	Annex 13_DO Progress Indicator 2_GFF TunaSR Newsletter Aug 2019
182	Annex 14_DO Progress Indicator 2_GFF TunaSR Newsletter Dec 2019	Annex 14_DO Progress Indicator 2_GFF TunaSR Newsletter Dec 2019
	3a	
183	Annex 15_DO Progress Indicator 3a_Registro participantes 20191203	Annex 15_DO Progress Indicator 3a_Registro participantes 20191203
184	Annex 16_DO Progress Indicator 3a_Registro de participantes 20191204	Annex 16_DO Progress Indicator 3a_Registro de participantes 20191204
185	Annex 17_ DO Progress Indicator 3a_EC Informe Trimestral Q3 2019	Annex 17_ DO Progress Indicator 3a_EC Informe Trimestral Q3 2019
186	Annex 18_DO Progress Indicator 3a. EC Informe Semestral 2019_Q4	Annex 18_DO Progress Indicator 3a. EC Informe Semestral 2019_Q4
187	Annex 18_DO Progress Indicator 3a_EC Informe Semestral 2019_Q4	Annex 18_DO Progress Indicator 3a_EC Informe Semestral 2019_Q4
188	Annex 19_DO Progress Indicator 3a_EC Informe Semestral Jan-June 2020	Annex 19_DO Progress Indicator 3a_EC Informe Semestral Jan-June 2020
189	Annex 19_DO Progress Indicator 3a_EC Informe Semestral Jan-June 2020	Annex 19_DO Progress Indicator 3a_EC Informe Semestral Jan-June 2020
190	Annex 20_DO Progress Indicator 3a_Minutes - Youth Forum SDG-14 Sustainable Fisheries	Annex 20_DO Progress Indicator 3a_Minutes - Youth Forum SDG-14 Sustainable Fisheries

191	Annex 24_DO Progress Indicator 3a_IN Semestral Report 2019-S2	Annex 24_DO Progress Indicator 3a_IN Semestral Report 2019-S2
192	Annex 24_DO Progress Indicator 3a_IN Semestral Report 2019-S2	Annex 24_DO Progress Indicator 3a_IN Semestral Report 2019-S2
193	Annex 25_DO Progress Indicator 3a_IN Semestral Report 2020-S1	Annex 25_DO Progress Indicator 3a_IN Semestral Report 2020-S1
194	Annex 25_DO Progress Indicator 3a_IN Semestral Report 2020-S1	Annex 25_DO Progress Indicator 3a_IN Semestral Report 2020-S1
195	Annex 26_DO Progress Indicator 3a_MOM_3rd BSC TWG MEETING	Annex 26_DO Progress Indicator 3a_MOM_3rd BSC TWG MEETING
196	Annex 27_DO Progress Indicator 3a_MOM_4th BSC TWG MEETING	Annex 27_DO Progress Indicator 3a_MOM_4th BSC TWG MEETING
197	Annex 28_DO Progress Indicator 3a_MOM_2ND OCTOPUS TWG MEETING	Annex 28_DO Progress Indicator 3a_MOM_2ND OCTOPUS TWG MEETING
198	Annex 30_DO Progress Indicator 3a_PH Quarterly Report Q3 2019	Annex 30_DO Progress Indicator 3a_PH Quarterly Report Q3 2019
199	Annex 30_DO Progress Indicator 3a_PH Quarterly Report Q3 2019	Annex 30_DO Progress Indicator 3a_PH Quarterly Report Q3 2019
200	Annex 31_DO Progress Indicator 3a_PH Quarterly Report Q4 2019	Annex 31_DO Progress Indicator 3a_PH Quarterly Report Q4 2019
201	Annex 31_DO Progress Indicator 3a_PH Quarterly Report Q4 2019	Annex 31_DO Progress Indicator 3a_PH Quarterly Report Q4 2019
202	Annex 32_DO Progress Indicator 3a_PH Q1 QPR 2020	Annex 32_DO Progress Indicator 3a_PH Q1 QPR 2020
	3b	
203	Annex 33_DO Progress Indicator 3b_GMC Project Indicator Framework Update 2020	Annex 33_DO Progress Indicator 3b_GMC Project Indicator Framework Update 2020
204	Annex 33_DO Progress Indicator 3b_GMC Project Indicator Framework Update 2020	Annex 33_DO Progress Indicator 3b_GMC Project Indicator Framework Update 2020
205	Annex 34_DO Progress Indicator 3b_GMC-CFI Acta de reunion acuerdos	Annex 34_DO Progress Indicator 3b_GMC-CFI Acta de reunion acuerdos
206	Annex 34_DO Progress Indicator 3b_GMC-CFI Acta de reunion acuerdos	Annex 34_DO Progress Indicator 3b_GMC-CFI Acta de reunion acuerdos
207	Annex 35_DO Progress Indicator 3b_Propuesta PANT-CR 2020 V.FINAL	Annex 35_DO Progress Indicator 3b_Propuesta PANT-CR 2020 V.FINAL
208	Annex 35_DO Progress Indicator 3b_Propuesta PANT-CR 2020 V.FINAL	Annex 35_DO Progress Indicator 3b_Propuesta PANT-CR 2020 V.FINAL
	4a	

209	Annex 36_DO Progress Indicator 4a_geronimo_Silvestre_BSC-NSAP_Report	Annex 36_DO Progress Indicator 4a_geronimo_Silvestre_BSC-NSAP_Report
210	Annex 36_DO Progress Indicator 4a_geronimo_Silvestre_BSC-NSAP_Report	Annex 36_DO Progress Indicator 4a_geronimo_Silvestre_BSC-NSAP_Report
211	Annex 37_DO Progress Indicator 4a_Octopus monitoring and assessement protocol FINAL_Nov	Annex 37_DO Progress Indicator 4a_Octopus monitoring and assessement protocol FINAL_Nov
212	Annex 39_DO Progress Indicator 4a_Minutes of AP2HI General Meeting and FIP Evaluation	Annex 39_DO Progress Indicator 4a_Minutes of AP2HI General Meeting and FIP Evaluation
	4b	
213	Annex 43_DO Progress Indicator 4b_ConsultantContact	Annex 43_DO Progress Indicator 4b_ConsultantContact
214	Annex 44_DO Progress Indicator 4b_Octopus monitoring and assessement protocol FINAL_Nov	Annex 44_DO Progress Indicator 4b_Octopus monitoring and assessement protocol FINAL_Nov
215	Annex 45_DO Progress Indicator 4b_WorkPlan-CostaRicaSharks	Annex 45_DO Progress Indicator 4b_WorkPlan-CostaRicaSharks
216	Annex 46_ DO Progress Indicator 4b_Octopus FIP PHIL budget_full_proposal	Annex 46_ DO Progress Indicator 4b_Octopus FIP PHIL budget_full_proposal
217	Annex 46_ DO Progress Indicator 4b_Octopus FIP PHIL budget_full_proposal	Annex 46_ DO Progress Indicator 4b_Octopus FIP PHIL budget_full_proposal
218	Annex 46b_ DO Progress Indicator 4b_Octopus FIP PHIL budget_full_proposal	Annex 46b_ DO Progress Indicator 4b_Octopus FIP PHIL budget_full_proposal
219	Annex 47_DO Progress Indicator 4b_PHIL OCT industry 11_10_2019_FINAL	Annex 47_DO Progress Indicator 4b_PHIL OCT industry 11_10_2019_FINAL
220	Annex 49_DO Progress Indicator 4b_MinutesSFP_BFAR_PCPEAI_meeting	Annex 49_DO Progress Indicator 4b_MinutesSFP_BFAR_PCPEAI_meeting
221	Annex 49_DO Progress Indicator 4b_MinutesSFP_BFAR_PCPEAI_meeting	Annex 49_DO Progress Indicator 4b_MinutesSFP_BFAR_PCPEAI_meeting
222	Annex 50_DO Progress Indicator 4b_INVITACION CFI-SFP-Agenda	Annex 50_DO Progress Indicator 4b_INVITACION CFI-SFP-Agenda
223	Annex 51_DO Progress Indicator 4b_Invitation GOSR-BOSTON 2020_final	Annex 51_DO Progress Indicator 4b_Invitation GOSR-BOSTON 2020_final
224	Annex 52_DO Progress Indicator 4b_Invitation Philippines octopus FIP 2020_final	Annex 52_DO Progress Indicator 4b_Invitation Philippines octopus FIP 2020_final

225	C8852FDF	C8852FDF
	4d	
226	Annex 53_DO Progress Indicator 4d_UNDP Report-2020 Q2-Submitted	Annex 53_DO Progress Indicator 4d_UNDP Report-2020 Q2-Submitted
227	Annex 53_DO Progress Indicator 4d_UNDP Report-2020 Q2-Submitted	Annex 53_DO Progress Indicator 4d_UNDP Report-2020 Q2-Submitted
228	Annex 54_DO Progress Indicator 4d_FishSource Scores Tables	Annex 54_DO Progress Indicator 4d_FishSource Scores Tables
229	Annex 54_DO Progress Indicator 4d_FishSource Scores Tables	Annex 54_DO Progress Indicator 4d_FishSource Scores Tables
	5a	
230	Annex 55_DO Progress Indicator 5a_FishSource User Data crosstab	Annex 55_DO Progress Indicator 5a_FishSource User Data crosstab
231	Annex 55_DO Progress Indicator 5a_FishSource User Data crosstab	Annex 55_DO Progress Indicator 5a_FishSource User Data crosstab
232	Annex 56_DO Progress Indicator 5a_Metrics Users_Crosstab	Annex 56_DO Progress Indicator 5a_Metrics Users_Crosstab
233	Annex 56_DO Progress Indicator 5a_Metrics Users_Crosstab	Annex 56_DO Progress Indicator 5a_Metrics Users_Crosstab
234	Annex 57_DO Progress Indicator 5a_UNDP Report-2020 Q1_Submitted	Annex 57_DO Progress Indicator 5a_UNDP Report-2020 Q1_Submitted
235	Annex 57_DO Progress Indicator 5a_UNDP Report-2020 Q1_Submitted	Annex 57_DO Progress Indicator 5a_UNDP Report-2020 Q1_Submitted
	5b	
236	Annex 58_DO Progress Indicator 5b_Analytics All Web Site Data Report 20190701-20200622	Annex 58_DO Progress Indicator 5b_Analytics All Web Site Data Report 20190701-20200622
	5c	
237	Annex 59_DO Progress Indicator 5c_Survey results webinar and presentation	Annex 59_DO Progress Indicator 5c_Survey results webinar and presentation
238	Annex 60_DO Progress Indicator 5c_UNDP-SFP Metrics and FS surveys results_Oct2019	Annex 60_DO Progress Indicator 5c_UNDP-SFP Metrics and FS surveys results_Oct2019
	6a	

239	Annex 61_DO Progress Indicar 6a_Document Visitors Report	Annex 61_DO Progress Indicar 6a_Document Visitors Report
240	Annex 62_DO Progress Indicator 6a_Teddy´s survey	Annex 62_DO Progress Indicator 6a_Teddy´s survey
241	Annex 63_DO Progress Indicator 6a_List of documents	Annex 63_DO Progress Indicator 6a_List of documents
	6b	
242	Annex 64_ DO Progress Indicator 6b_Documents Rate Report	Annex 64_ DO Progress Indicator 6b_Documents Rate Report
	7 Adjustments	
243	Annex 65_Adjustments_Delay in implementation due to Coronavirus	Annex 65_Adjustments_Delay in implementation due to Coronavirus
	8 Gender	
244	A 6.2. Tabulacion_Género_EC	A 6.2. Tabulacion_Género_EC
245	Annex 66_Gender_GENDER STRATEGY D1+D2_18Nov19	Annex 66_Gender_GENDER STRATEGY D1+D2_18Nov19
246	Annex 66_Gender_GENDER STRATEGY D1+D2_18Nov19	Annex 66_Gender_GENDER STRATEGY D1+D2_18Nov19
247	Annex 68_Gender_D4 WORKSHOPS FINAL SUBMIT	Annex 68_Gender_D4 WORKSHOPS FINAL SUBMIT
248	Annex 68_Gender_D4 WORKSHOPS FINAL SUBMIT	Annex 68_Gender_D4 WORKSHOPS FINAL SUBMIT
249	Annex 69_Gender_Perception Survey Final 20Jan20	Annex 69_Gender_Perception Survey Final 20Jan20
250	Annex 69_Gender_Perception Survey Final 20Jan20	Annex 69_Gender_Perception Survey Final 20Jan20
251	Annex 70_Gender_Delegados INVITACION SRP	Annex 70_Gender_Delegados INVITACION SRP
252	Data Tabulation Outcome Indicator 1_Gender Strategy	Data Tabulation Outcome Indicator 1_Gender Strategy
	9 Safeguards	
253	Annex 71_ Safeguards_DRAFT_ GMC_Project Management_SESP_ 06.30.2020_v2_COrev2	Annex 71_ Safeguards_DRAFT_ GMC_Project Management_SESP_ 06.30.2020_v2_COrev2
254	Annex 72_Safeguards_GMC Project Documents List	Annex 72_Safeguards_GMC Project Documents List
	10 Comunicación KM	
255	Annex 73_ Communicating Impact_Lessons Learned Template	Annex 73_ Communicating Impact_Lessons Learned Template
256	Annex 74_ Communicating Impact_Survey FIP Small Pelagic Ecuador	Annex 74_ Communicating Impact_Survey FIP Small Pelagic Ecuador

257	Annex 75_Communicating Impact_Draft_Lessons Learned_FIP PL Tuna IDN	Annex 75_Communicating Impact_Draft_Lessons Learned_FIP PL Tuna IDN
258	Annex 76_Communicating Impact_GMC Project Documents List	Annex 76_Communicating Impact_GMC Project Documents List
259	Annex 77_Communicating Impact_GMC Project News	Annex 77_Communicating Impact_GMC Project News
260	Annex 78_Communicating Impact_GMC Project Twitter	Annex 78_Communicating Impact_GMC Project Twitter
	11 Partnerships	
261	Annex 79_Partnerships_BSC-NMP-RCA-FinalReport_2020_GMC	Annex 79_Partnerships_BSC-NMP-RCA-FinalReport_2020_GMC
262	Annex 80_Partnerships_documento_consolidado_acr_plataforma_pesca_2017	Annex 80_Partnerships_documento_consolidado_acr_plataforma_pesca_2017
263	Annex 82_Partnerships_root cause analysis_IDN_draft2	Annex 82_Partnerships_root cause analysis_IDN_draft2
264	Annex 82_Partnerships_root cause analysis_IDN_draft2	Annex 82_Partnerships_root cause analysis_IDN_draft2
	12 Overall Assessment	
265	Annex 83_Overall Assessment_AAA_ALL GMC 30062020	Annex 83_Overall Assessment_AAA_ALL GMC 30062020
266	Annex 84_Overall Assessment_GMC Project Non-cost extension request	Annex 84_Overall Assessment_GMC Project Non-cost extension request
	13 Added annexes	
267	Annex 54_DO Progress Indicator 4d_FishSource Scores Tables	Annex 54_DO Progress Indicator 4d_FishSource Scores Tables
268	Annex 54_DO Progress Indicator 4d_FishSource Scores Tables	Annex 54_DO Progress Indicator 4d_FishSource Scores Tables
269	Annex 85 List of links	Annex 85 List of links
270	Annex 85 List of links	Annex 85 List of links
271	Annex 87_DO Progress Indicator 3b_19_TR_GMC_BSC_NMP_RCA_CEBU	Annex 87_DO Progress Indicator 3b_19_TR_GMC_BSC_NMP_RCA_CEBU
272	Annex 91_Link to GCP methodology	Annex 91_Link to GCP methodology
273	Annex 91_Link to GCP methodology	Annex 91_Link to GCP methodology
274	Annex 92_Partnerships_Ecuador ACR-PPP_Producto 3	Annex 92_Partnerships_Ecuador ACR-PPP_Producto 3
	File: Project model and update @ year 2	
275	GMC-report_2020_ proposed theory of change_pag11	The GMC Project- Our Model and Early Results
	File: Project presentation	

276	2020-11-20 GMC Project Results	The GMC Project: Model and results
File: Project Steering Committee minutes		
	20171107	
277	05022018 Minutes Steering Committee Meeting GMC project signed and final	Global Sustainable Supply Chain Marine Commodities- Date: Thursday, 9th November de 2017, 09:15 am – 12:45pm. Place: Manta, Ecuador.
	20181118	
278	PSC Agreements 13Jan20 FINAL Signed	Global Sustainable Supply Chain Marine Commodities Project Steering Committee (PSC) Meeting November 2019
	20190219	
279	International Project Steering Committee Agreements Signed Feb2019	Global Sustainable Supply Chain Marine Commodities Project Steering Committee Meeting 2019: List of Agreements
	20200325	
280	2020.03.25_PSC_GMC_Project_Indicator_Framework_Update_final_signed	Global Sustainable Supply Chain Marine Commodities Online Project Steering Committee (PSC) Minutes March 2020
	20200916	
281	FInal_ PSC Agreements_Budget reduction _Combined	Global Sustainable Supply Chain Marine Commodities Online Project Steering Committee (PSC) Minutes September 2020
	20210318	
282	COMBINED_all PSC signatures	Global Sustainable Supply Chain Marine Commodities Project Steering Committee Meeting March 2021. Meeting Minutes and List Agreements
	20210517	
283	FIRMAS_Sustainability Strategy_ PSC Agreements_May_2021 FINAL-signed	Global Sustainable Supply Chain Marine Commodities Online Project Steering Committee (PSC) Minutes May 2021
Quarterly-Semester Reports		
	Country Quarterly-Semester Reports	

	Ecuador	
284	2019_2DO SEMESTRE	Informe Semestral de Análisi del Progreso del Proyecto Global Marine Commodities (Ecuador) 92045. Semestre: Julio-Diciembre 2019
285	2020_1er Semestre	INFORME SEMESTRAL DE ANÁLISIS DEL PROGRESO DEL PROYECTO GLOBAL MARINE COMMODITIES (ECUADOR) 00092045. Semestre: enero - junio 2020
286	2020-2do Semestre	INFORME SEMESTRAL DE ANÁLISIS DEL PROGRESO DEL PROYECTO GLOBAL MARINE COMMODITIES (ECUADOR) 00092045. Semestre: Julio-Diciembre 2020
287	Informe Q1	Informe Trimestral de Análisis del Progreso del Proyecto Global Marine Commodities (Ecuador) 92045. Trimestre: Enero- Marzo 2019
	Indonesia	
288	2019-S2-GEF-PAR-00083791	UNDP INDONESIA - PROJECT ASSURANCE REPORT (PAR) 2019- 2nd semester (January up to expected progress by December
289	2020-S1-GEF-PAR-00083791	UNDP INDONESIA - PROJECT ASSURANCE REPORT (PAR) 2020. 1st semester (January-June)
290	2020-S2-GEF-PAR-00083791	UNDP INDONESIA - PROJECT ASSURANCE REPORT (PAR) 2020. 2nd semester (January up to expected progress by December)
291	DRAFT PAR S1 2021 - 23 June	UNDP INDONESIA - PROJECT ASSURANCE REPORT (PAR) 2021. 1st semester (January-June)
292	QMR_GMC_2018_Q3_final	Quarterly Monitoring Report (QMR) – Internal Project Assurance Report (IPAR). July-September 2018
293	QMR_GMC_2018_Q4_revised	Quarterly Monitoring Report (QMR) – Internal Project Assurance Report (IPAR). Oct-Dec 2018
294	QMR_GMC_2019_Q1	Quarterly Monitoring Report (QMR) – Internal Project Assurance Report (IPAR). January-March 2019
295	QMR_GMC_2019_Q1_revised	Quarterly Monitoring Report (QMR) – Internal Project Assurance Report (IPAR). January-March 2019
296	QMR_GMC_2019_Q2	Quarterly Monitoring Report (QMR) – Internal Project Assurance Report (IPAR). April-June 2019
	Philippines	
297	2018_2nd_QPR	QUARTER PROGRESS REPORT. PERIOD January to June 2018

298	2018_3rd_QPR_of_GMC	QUARTER PROGRESS REPORT. PERIOD July to September 2018
299	2019_1Q_QPR_GMC	QUARTER PROGRESS REPORT. QUARTER 1-YEAR 2019
300	2019_2Q_QPR_GMC_Signed	QUARTER PROGRESS REPORT. QUARTER 2-YEAR 2019
301	2019_3Q_QPR_GMC	QUARTER PROGRESS REPORT. QUARTER 3-YEAR 2019
302	2020_1Q_QPR_GMC_Signed	QUARTER PROGRESS REPORT. QUARTER 1-YEAR 2020
303	2020_2Q_QPR_GMC_Signed	QUARTER PROGRESS REPORT. QUARTER 2-YEAR 2020
304	2020_3Q_QPR_GMC_Signed	QUARTER PROGRESS REPORT. QUARTER 3-YEAR 2020
305	2021_1Q_QPR_GMC	QUARTER PROGRESS REPORT. QUARTER 1-YEAR 2021
	Annual	
306	92092_2018_APR_Global Sup Ch	Annual Progress Report Year 2018
307	Signed_2019_APR_GMC	ANNUAL PROGRESS REPORT- YEAR 2019
308	Signed_GMC-APR-2020	ANNUAL PROGRESS REPORT- YEAR 2020
	IPCU	
	2018	
309	Inf. Enero-Marzo	Informe Trimestral de Análisis del Progreso del Proyecto Global Marine Commodities 92045. Trimestre: Enero- Marzo 2018
310	QUARTE~1 (1)	Quarterly Report of the Progress of Global Marine Commodities Project 96079. Quarter: April/June 2018
311	14092018 Quarterly technical and financial report GMC final	QUARTERLY REPORT OF THE PROGRESS OF GLOBAL MARINE COMMODITIES PROJECT 96079. Quarter: July / September - 2018
312	informe julio septiembre 2018 (1)	QUARTERLY REPORT OF THE PROGRESS OF GLOBAL MARINE COMMODITIES PROJECT 96079. Quarter: July / September - 2018
313	Final Signed Q4	QUARTERLY REPORT OF THE PROGRESS OF GLOBAL MARINE COMMODITIES PROJECT 96079. Quarter: October / December 2018
	2019	

314	FINAL SIGNED Q1 2019	QUARTERLY REPORT OF THE PROGRESS OF GLOBAL MARINE COMMODITIES PROJECT 96079. Quarter: January / March 2019
315	20190607Quarterly technical and financial report_FINAL for signing	QUARTERLY REPORT OF THE PROGRESS OF GLOBAL MARINE COMMODITIES (GMC) PROJECT 96079. Quarter: April – June 2019
316	Informe firmado Abr_Jun 2019	QUARTERLY REPORT OF THE PROGRESS OF GLOBAL MARINE COMMODITIES (GMC) PROJECT 96079. Quarter: April – June 2019
317	informe semestral 2S 2019 firmado	2nd SEMESTER REPORT OF THE PROGRESS OF GLOBAL MARINE COMMODITIES (GMC) PROJECT 96079. Semester: July- December 2019
	2020	
318	informe semestral 1S 2020 (1)	1st SEMESTER REPORT OF THE PROGRESS OF GLOBAL MARINE COMMODITIES (GMC) PROJECT 96079. Semester: January-June 2020
319	FINAL 2nd Semester 2020 GMC Project technical and financial report	2nd SEMESTER REPORT OF THE PROGRESS OF GLOBAL MARINE COMMODITIES (GMC) PROJECT 96079. Semester: July- December 2020
	SFP Quarterly Reports	
320	UNDP report template SFP	UNDP report template SFP
	2017	
321	SFP technical report oct 2017 february 2018	Technical Report Quarter 1, 2018. Report Period: 1 October 2017 – 28 February 2018
	2018	
322	SFP 2Q technical report march to may 2018	Technical Report Quarter 2, 2018. Report Period: 1 March 2018 – 31 May 2018
323	UNDP Report-Q1_Final	Technical Report Quarter 1, 2018. Report Period: 1 October 2017 – 28 February 2018
324	SFP Report Q3 jul to sept 2018 Final	Technical Report Quarter 3, 2018. Report Period: 1 June 2018 – 31 August 2018
325	1_UNDP Report-Q4_Final	Technical Report Quarter 4, 2018. Report Period: 1 September 2018 – 30 November 2018
	2019	
326	UNDP Report-2019 Q2_Submitted	Technical Report Quarter 2, 2019. Report Period: 1 March 2019 - 31 May 2019
327	UNDP Report-2019 Q1	Technical Report Quarter 1, 2019. Report Period: 1 December 2018 – 28 February 2019
328	UNDP Report-2019 Q3_Submitted	Technical Report Quarter 3, 2019. Report Period: 1 June 2019 - 31 August 2019

329	UNDP Report-2019 Q4_Submitted	Technical Report Quarter 4, 2019. Report Period: 1 September 2019 - 30 November 2019
	2020	
330	UNDP Report-2020 Q1_Submitted	Technical Report Quarter 1, 2020. Report Period: 1 December 2019 - 29 February 2020
331	UNDP Report-2020 Q2-Submitted (1)	Technical Report Quarter 2, 2020. Report Period: 1 March 2020 - 31 May 2020Overview
332	UNDP Report-2020 Q3-Submitted	Technical Report Quarter 3, 2020. Report Period: 1 June 2020 - 31 August 2020
333	UNDP Report-2020 Q4-Submitted	Technical Report Quarter 4, 2020. Report Period: 1 September 2020 - 30 November 2020
	2021	
334	UNDP Report-2021 Q1-Submitted	Technical Report Quarter 1, 2021. Report Period: 1 December 2020 – 28 February 2021
335	UNDP Report-2021 Q2-Submitted	Technical Report Quarter 2, 2021. Report Period: 1 March 2021 – 31 May 2021
	Risk Matrix	
336	GMC Project Risk Matrix June 2021	GMC Project Risk Matrix June 2021
	SESP updated	
337	20210601 SESP 2021_ GMC project	Social and Environmental Screening Template
	Sustainability Strategy	
338	2021.05 Annex 1_GMC Sustainability Strategy_consolidated_final	2021.05 Annex 1_GMC Sustainability Strategy_consolidated_final
339	Sustainability Strategy FinalSustainability Strategy FinalSustainability Strategy Final	Sustainability Strategy FinalSustainability Strategy FinalSustainability Strategy Final
	Files not in folders	
340	20190903Financial Progress	20190903Financial Progress
341	GMC _GEF_brief indicators update june2021	Indicator Update- Summary of progress
342	GMC Project Summary 2021_updt	Project Summary - June 30, 2021

Other Pertinent References

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Annex 6: Terminal Evaluation Design Matrix

Table A6. 2. Terminal Evaluation Design Matrix

General Areas/ Evaluation Criteria	Evaluative Questions (EQ)	JC	Indicators	Sub evaluation questions	Source and Methodology
1. Project Design	EQ1: Were the GMC project design and the proposed implementation model effective in terms of addressing the necessary factors to bring positive changes in mainstreaming sustainability in seafood supply chains to rebuild & Protect fish stocks and other ecosystem services, as well as improve Livelihoods?	1.1- The GMC project objective is reachable and used SMART Outcome indicators and robust assumptions and identified/mitigated risks adequately.	1.1.1- Smart indicators defined. 1.1.2- Robust ToC constructed 1.1.3- Adequate risk and mitigation measures identified. 1.1.4- Gender, HHRR, CC and indigenous people incorporated in project design.	1.1A- Were the project's objectives and components clear, practicable and feasible within its time frame? 1.1B- How were outcomes and outputs consistent with the Theory of Change? 1.1C- To what extent risks and mitigation measures were adequately identified at the design stage? 1.1D- Are all indicators considered as OVI[100]? Were the adjustments suggested by the MTR made? 1.1E. How were gender, HHRR, CC and Indigenous people considerations integrated in the project's design?	• Document analysis: - ProDoc - MTR - PIR - Quarterly Reports - other GMC documentation • Interviews with stakeholders
		1.2 - The Project adequately incorporated lesson learned from other relevant Projects.	1.2.1- Lessons learned from other projects incorporated into GMC project design	1.2A- How were experiences and lessons from other relevant projects properly incorporated in the project design?	
		1.3 -The project design was the result of a stakeholder participation	1.3.1- Level of participation of different stakeholders in GMC project activities definition	1.3A- How 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? 1.3B- How were the partnership arrangements properly identified and roles and responsibilities negotiated prior to project approval?	
		1.4 -The project design considered links with other ongoing or planned intervention (at national-regional-International level).	1.4.1- Level of complementarity with other initiatives targeting supported fisheries/Value chain engagement for sustainability	1.4A- Was there planned coordination with other relevant GEF-financed complementary projects-intervention and/or other initiatives not supported by the GEF?	
		NA	NA	1.5 Lessons Learned related to the GMC project design	
2. Project Implementation	EQ2. To what extent has the implementation of the Project (in its different modalities of facilitation) been effective and	2.1- The project incorporated an Adaptative Management Approach	2.1.1 -changes implemented ensuring results achievements. 2.1.2- Articulations of adjustments between funds and stakeholders	2.1A- What significant changes did the project undergo because of recommendations from the Mid-Term Review, or as a result of other review procedures or identifications of risks? 2.1B- How was it possible to articulate the adjustments with the available funds and interest groups to ensure the achievement of the planned goals?	• Interviews with Stakeholders • Data Analysis: - MTR - Quarterly reports - PIR - SC Minutes

[100] Objectively Verifiable Indicators

General Areas/ Evaluation Criteria	Evaluative Questions (EQ)	JC	Indicators	Sub evaluation questions	Source and Methodology
	contributed to the achievement of the expected results?	2.2- The project implemented a solid, transparent and effective stakeholder's engagement and management arrangements	2.2.1- Level of engagement achieved	2.2A- How did actual GMC management arrangements and stakeholder engagement/interaction compared with what was planned in the ProDoc? Provide information on Gender balance in participation and decision-making (in all different levels of stakeholder's engagements in its 4 components).	• Interviews with Stakeholders • Data analysis - Quarterly reports - PIR - other GMC documentation
		2.3- Finance and co-financing have been implemented properly and transparently	2.3.1- Variances between planned and actual expenditures 2.3.2- Quality of control mechanism 2.3.3- Audits implemented (according to GEF mandate)	2.3A- Have there been variations (reallocations) between planned and executed budgets? Why? 2.3B- Have the financial control mechanisms implemented allowed to make the best financial decisions for the Project? 2.3C- Is there any comment/recommendations from audits pending to solve? 2.3D- To what extent were the co-financing funds (counterpart) of the governments and SFPs adequately integrated into the execution of the Program? 2.3E- Did these funds contribute effectively to the expected results? Were there any changes as seen in the ProDoc? Why and how these changes affected?	• Interviews with Stakeholders • Data Analysis: - Financial Information - MTR - Quarterly reports - PIR - Audits
		2.4- The project M&E system has been well conceived and applied effectively in a way that can lead to adaptive management	2.4.1 PIR and other monitoring tools demonstrate the key links in the project's results chain- 2.4.2 reporting and follow-up were timely and efficient for all implementing partners.	2.4A- Was the M&E articulated sufficiently to monitor results and track progress toward achieving objectives? 2.4B- Was data on specified indicators, relevant GEF Tracking Tools/Core Indicators gathered in a systematic manner? Did it feed into adaptive management principles? 2.4C- How were perspectives of women and men involved and affected by the project monitored and assessed?	• Interviews with Stakeholders • Data Analysis: - ProDoc - MTR - Quarterly reports - PIR - Other
		2.5a- UNDP support was received appropriately 2.5b- Implementing Partners effectively managed and	2.5a.1-Quality and timeliness of UNDP support to the Implementing Partner and Project Team	2.5A- To what extent did UNDP effectively carried out activities related to monitoring and supporting the implementation of the GMC (reviews, approvals, sessions, decision-making for risk management, COVID-19 Context, etc.)?	• Interviews with Stakeholders • Data Analysis: - SC minutes - Quarterly reports

General Areas/ Evaluation Criteria	Evaluative Questions (EQ)	JC	Indicators	Sub evaluation questions	Source and Methodology
		administered the daily activities of the project.	2.5b.1 -Quality and timeliness of IP management of activities	2.5B- To what extent the Implementing Partners (from each country and the SFP) effectively managed and administered the daily activities of the project? (Focus on results, use of funds, risk management, Social and environmental standards (incl. gender and HHRR)?	- PIR - Other
		2.6-The project managed risk appropriately	2.6.1- Risks included in ProDoc Mitigated. 2.6.2- New risks mitigated.	2.6A- What mechanism / tool was used to manage and monitor the risks of the Project? 2.6B- Were new risks or changes to existing risks (defined in ProDoc) reported on in the annual PIRs and/or MTR? How does new risk were managed (including COVID-19)? (Level of Involvement of high-level decision makers and key stakeholders) 2.6C. What lessons learned are identified from risk management (including those related to environmental social safeguards)	• Interviews with Stakeholders • Data analysis - Risk Matrix - Quarterly Reports - PIR - MTR
		N/A	N/A	2.7 Lessons Learned related to the GMC project implementation	• Interviews with stakeholders • PIR • Quarterly reports • GMC Publications
3. Project Results					
3.1 Relevance	EQ3.1 How does the GMC project relate to the main objectives of the GEF Focal area, and to the environment and development priorities at the local, regional and national level?	3.1a- The GMC project is relevant to beneficiary countries and coherent with The GEF and UNDP focal areas	3.1a.1- Level of Coherence with GEF and UNDP focal areas/priorities in beneficiaries' countries 3.1a.2- Level of coherence with beneficiary needs (coastal marine biodiversity conservation (target fisheries and value chains).	3.1A- To what extent the objectives and results achieved of the project are consistent with the needs of the beneficiary countries (in the current context), their policies and global priorities related to the sustainability of the target fisheries? 3.1B- Did the project concept have its origin within the national sectoral and development plans? 3.1C- To what extent the objectives of the Project are aligned with the UNDP and GEF strategic priorities? 3.1 D Lessons learned	• Document analysis • GEF policies, strategies, regional and national policies/plans, etc. • ProDoc • Interviews with stakeholders
3.2 Effectiveness	EQ3.2 To what extent have the expected outcomes of the project been achieved?	3.2a- Actual results / outputs of the project were proportional to what was planned; The observed effects (results indicators achieved) to date are linked directly to the interventions; and any unforeseen outcomes.	3.2a.1- Level of GMC contribution to SDGs, the UNDP Strategic Plan, GEF strategic priorities, and national development priorities 3.2a.2- Level of achievement of goals of the outcome indicators (final values compared with BL)	3.2A- To what extent were the goals of the expected results indicators achieved? (require analysing the results matrix by comparing initial values with current values) 3.2B- To what extent were project activities have facilitated progress towards these results? 3.2C- Were all the planned outputs obtained? 3.2.D- Which have been the strongest or weakest areas?	• Interviews with stakeholders • Data analysis[101] : - FishSource - Quarterly reports (SFP) - Annual report of IATTC and WCPFC meetings

[101] It is expected that baseline and final values of outcome indicators will be provided by IPCU

General Areas/ Evaluation Criteria	Evaluative Questions (EQ)	JC	Indicators	Sub evaluation questions	Source and Methodology
				3.2E- What have been the factors that have facilitated or hindered better results? (Including external and contextual factors) 3.2F- Are alternatives identified that would have led to better results? 3.2 G Lessons learned	- APR/PIR - Google Analytics-Annual report - Google analytics - Risk Matrix
3.3 Efficiency	EQ.3.3 Was the project implemented efficiently, in line with international and national norms and standards?	3.3a- Eeconomically resources and inputs (funds, expertise, time, etc.) were adequately converted in to results.	3.3a.1 The costs are reasonable, and the planned budget and the Procurement Plan are met to produce results.	3.3A- To what extent did the project complete the planned activities and meet or exceed the expected results in terms of achieving the objectives in accordance with the schedule, and the programmed costs? 3.3B- To what extent was the project management structure, as described in the ProDoc, efficient in generating the expected results? Were project funds and activities delivered in a timely manner? 3.3 C- Lessons learned.	• Interviews with Stakeholders • Data Analysis: - Financial Information - MTR - Quarterly reports - PIR - Risk Matrix - SC Minutes - Risk Matrix
3.4 Sustainability	EQ3.4 Are the positive effects expected to continue once the GMC Project ends?	3.4a-Beneficiaries and stakeholders with the capacity to give continuity to the results obtained with the GMC contribution	3.4a.1-economical risks mitigated 3.4a.2-Social and environmental risks mitigated 3.4a.3-Institutional and governance risks mitigated 3.4a.4- Socio political risks mitigated	3.4A- How is the sustainability of the results obtained derived from the GMC assured? (*Example of economic sustainability: the recipient government maintained financial commitment to implement the National Plan for the management of the supported fishery*). 3.4B- Are risks to economic, socio-environmental, socio political and institutional and governance sustainability identified? 3.4C- If so, what possible measures have been discussed or raised with the different interest groups? 3.4 D Lessons learned	• Interviews with stakeholders • Data analysis - PIR - Quarterly reports - GMC Publications - SC Minutes - Risk Matrix
3.5 Progress to impact	EQ3.5 Are there indications that the project has contributed to, or enabled progress toward reduced environmental stress and/or improved ecological status of	3.5a- GMC has positively contributed to the transformation of the seafood market by mainstreaming sustainability in the value chain of important seafood commodities from developing countries	3.5a.1- Increase in landings of fisheries either certified as sustainable or making regular and verifiable improvements.	3.5A- Comparisons of BL-FL and target 3.5 B Lessons learned	• Data analysis - Target 75 Initiative Annual Reports - Risk Matrix • Interviews with stakeholders

General Areas/ Evaluation Criteria	Evaluative Questions (EQ)	JC	Indicators	Sub evaluation questions	Source and Methodology
	seafood commodities supported?				
3.6 Gender	EQ 3.6. To what extent the GMC project contributed to gender equality and women empowerment?	3.6a-Gender perspective adequately mainstreamed in to the GMC Project components trough Four Strategic Objectives that contributed to gender equality and women empowerment in to the fishery sector (supported Fisheries).	3.6a.1- Capacities to Mainstream the gender approach created 3.6a.2- Created an environment to enhance the process of gender responsive management in GMC-supported fisheries 3.6a.3- Improved stakeholders understanding of women's contributions to the supported fisheries 3.6a.4- Increased visibility of the GMC contribution to Gender equality and women empowerment	3.6A- Did IPCU conducted a Baseline and Final line of the indicators proposed in the gender strategy-GAP? Yes- No ¿, why? (Compare results in case there is information) 3.6B- To what extent were the strategic objectives set forth in the GAP achieved? (List the strategic objectives). 3.6C- Are the results obtained considered to be short or long term? 3.6D- What were the factors/limitations that influenced the achievement (or not) of gender objectives defined in the GAP? (*e.g., of factors. Lack of Resources, legal Frameworks, willingness of the interested parties, GAP defined too late, other)*? 3.6 E. what other actions (not included in the GAP) derived from the activities of the GMC, were carried out to contribute to gender equality and women empowerment)? 3.6 F Lessons learned	• Interviews with stakeholders • Document review - Gender Strategy - GMC Matrix gender (with evidences) - Baseline and Final Line (if exists) - effectiveness criteria results - PIR and Progress reports - Risk Matrix
3.7 Other[102]	NA	NA	3.7a.1- Country Ownership Ensured 3.7a.2- Other cross cutting issues addressed 3.7a.3- Replication effect evidenced 3.7a.4- GEF Additionality identified in more than 1 area.	3.7A- Are there examples of replication (marine commodities not supported by GMC) and internalization of the results obtained? (*For example, lesson learned and experience from the GMC replicated*)- Explain. 3.7B- Were there any unforeseen results that could compromise future interventions? 3.7C- Was there any additional positive result not expected because of the GMC contribution (specifically GEF Funds)? 3.7D- How was the incorporation of cross-cutting issues such as Human Rights, Protection of Indigenous communities, adaptation to Climate change ensured in the results obtained? 3.7E- Have the approaches developed through the project been adopted on a regional / national scale? Are they widely accepted, including the contemplation of legally requiring them? 3.7F- Do monitoring and evaluation documents provide evidence of the causality between the rationale for GEF involvement, and the incremental environmental and other benefits directly associated with the GEF-supported project?	• Interviews with stakeholders • Data analysis - PIR - GMC Publications - Quarterly reports - SC Minutes

[102] Aspects related to Cross Cutting issues, Country Ownership, GEF Additionality, Replication Effect.

Annex 7: Questionnaire used

GENERAL INTERVIEW GUIDE
GLOBAL SUSTAINABLE SUPPLY CHAINS FOR MARINE COMMODITIES (GMC) PROJECT

1. Project Design

1.1A- Were the project's objectives and components clear, practicable and feasible within its time frame?
1.1B- How were outcomes and outputs consistent with the Theory of Change?
1.1C- To what extent risks and mitigation measures were adequately identified at the design stage?
1.1D- Are all indicators considered as OVI ? Were the adjustments suggested by the MTR made?
1.1E. How were gender, HHRR, CC and Indigenous people considerations integrated in the project's design?

1.2A- How were experiences and lessons from other relevant projects properly incorporated in the project design?

1.3A- How 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?
1.3B- How were the partnership arrangements properly identified and roles and responsibilities negotiated prior to project approval?

1.4A- Was there planned coordination with other relevant GEF-financed complementary projects-intervention and/or other initiatives not supported by the GEF?

1.5 Lessons Learned related to the GMC project design

2. Project Implementation

2.1A- What significant changes did the project undergo because of recommendations from the Mid-Term Review, or as a result of other review procedures or identifications of risks?
2.1B- How was it possible to articulate the adjustments with the available funds and interest groups to ensure the achievement of the planned goals?
2.2A- How did actual GMC management arrangements and stakeholder engagement/interaction compared with what was planned in the ProDoc?
Provide information on Gender balance in participation and decision-making (in all different levels of stakeholder's engagements in its 4 components).

2.3A- Have there been variations (reallocations) between planned and executed budgets? Why?
2.3B- Have the financial control mechanisms implemented allowed to make the best financial decisions for the Project?
2.3C- Is there any comment/recommendations from audits pending to solve?
2.3D- To what extent were the co-financing funds (counterpart) of the governments and SFPs adequately integrated into the execution of the Program? 2.3E- Did these funds contribute effectively to the expected results? Were there any changes as seen in the ProDoc? Why and how these changes affected?

2.4A- Was the M&E articulated sufficiently to monitor results and track progress toward achieving objectives?
2.4B- Was data on specified indicators, relevant GEF Tracking Tools/Core Indicators gathered in a systematic manner? Did it feed into adaptive management principles?
2.4C- How were perspectives of women and men involved and affected by the project monitored and assessed?

2.5A- To what extent did UNDP effectively carried out activities related to monitoring and supporting the implementation of the GMC (reviews, approvals, sessions, decision-making for risk management, COVID-19 Context, etc.)?
2.5B- To what extent the Implementing Partners (from each country and the SFP) effectively managed and administered the daily activities of the project? (Focus on results, use of funds, risk management, Social and environmental standards (incl. gender and HHRR)?

2.6A- What mechanism / tool was used to manage and monitor the risks of the Project?
2.6B- Were new risks or changes to existing risks (defined in ProDoc) reported on in the annual PIRs and/or MTR? How does new risk were managed (including COVID-19)? (Level of Involvement of high-level decision makers and key stakeholders)
2.6C. What lessons learned are identified from risk management (including those related to environmental social safeguards)

2.7. Lessons Learned related to the GMC project implementation

3. Project Results

3.1 Relevance

3.1A- To what extent the objectives and results achieved of the project are consistent with the needs of the beneficiary countries (in the current context), their policies and global priorities related to the sustainability of the target fisheries?
3.1B- Did the project concept have its origin within the national sectoral and development plans?
3.1C- To what extent the objectives of the Project are aligned with the
UNDP and GEF strategic priorities?

3.1 D Lessons learned

3.2 Effectiveness

3.2A- To what extent were the goals of the expected results indicators achieved? (require analysing the results matrix by comparing initial values with current values)
3.2B- To what extent were project activities have facilitated progress towards these results?
3.2C- Were all the planned outputs obtained?
3.2.D- Which have been the strongest or weakest areas?
3.2E- What have been the factors that have facilitated or hindered better results? (Including external and contextual factors)
3.2F- Are alternatives identified that would have led to better results?

3.2 G Lessons learned

3.3 Efficiency

3.3A- To what extent did the project complete the planned activities and meet or exceed the expected results in terms of achieving the objectives in accordance with the schedule, and the programmed costs?
3.3B- To what extent was the project management structure, as described in the ProDoc, efficient in generating the expected results?
Were project funds and activities delivered in a timely manner?

3.3 C- Lessons learned.

3.4 Sustainability

3.4A- How is the sustainability of the results obtained derived from the GMC assured? (Example of economic sustainability: the recipient government maintained financial commitment to implement the National Plan for the management of the supported fishery).
3.4B- Are risks to economic, socio-environmental, socio political and institutional and governance sustainability identified?
3.4C- If so, what possible measures have been discussed or raised with the different interest groups?

3.4 D Lessons learned

3.5 Progress to impact

3.5A- Comparisons of BL-FL and target
3.5 B Lessons learned

3.6 Gender

3.6A- Did IPCU conducted a Baseline and Final line of the indicators proposed in the gender strategy-GAP? Yes-No ¿, why? (Compare results in case there is information)
3.6B- To what extent were the strategic objectives set forth in the GAP achieved? (List the strategic objectives).
3.6C- Are the results obtained considered to be short or long term?
3.6D- What were the factors/limitations that influenced the achievement (or not) of gender objectives defined in the GAP? (e.g., of factors. Lack of Resources, legal Frameworks, willingness of the interested parties, GAP defined too late, other)?
3.6 E. what other actions (not included in the GAP) derived from the activities of the GMC, were carried out to contribute to gender equality and women empowerment)?
3.6 F Lessons learned

3.7 Other

3.7A- Are there examples of replication (marine commodities not supported by GMC) and internalization of the results obtained? (For example, lesson learned and experience from the GMC replicated)- Explain.
3.7B- Were there any unforeseen results that could compromise future interventions?
3.7C- Was there any additional positive result not expected because of the GMC contribution (specifically GEF Funds)?
3.7D- How was the incorporation of cross-cutting issues such as Human Rights, Protection of Indigenous communities, adaptation to Climate change ensured in the results obtained?
3.7E- Have the approaches developed through the project been adopted on a regional / national scale? Are they widely accepted, including the contemplation of legally requiring them?
3.7F- Do monitoring and evaluation documents provide evidence of the causality between the rationale for GEF involvement, and the incremental environmental and other benefits directly associated with the GEF-supported project?

Annex 8: Co-financing tables

Annex 8: Co Financing tables

	Co- financing			
Agency	**Planned according to PRODOC**	**Signed**	**Executed**	**Percentage variation between PRODOC and executed**
Ecuador	3,750,000.00	3,750,000.00	4,415,909.98	18%
Costa Rica	2,500,000.00	2,500,000.00	2,500,000.00	0%
Philippines	2,200,000.00	2,200,000.00	2,335,000.00	6%
Indonesia	4,500,000.00	1,806,000.00	1,590,888.00	-65%
SFP	12,500,000.00	12,500,000.00	16,490,816.00	32%
Mbaq	4,900,000.00	4,900,000.00	18,000,000.00	267%
MSC	2,500,000.00	2,500,000.00	1,080,391.00	-57%
NFI	1,500,000.00	1,500,000.00	1,520,775.13	1%
GCP	200,000.00	200,000.00	193,883.00	-3%
CNP			736,477.64	
Total Amount	**34,550,000.00**	**31,856,000.00**	**48,864,140.75**	**41%**

Annex 9: UNEG CODE OF ETHICS

Independence entails the ability to evaluate without undue influence or pressure by any party (including the hiring unit) and providing evaluators with free access to information on the evaluation subject. Independence provides legitimacy to and ensures an objective perspective on evaluations. An independent evaluation reduces the potential for conflicts of interest which might arise with self-reported ratings by those involved in the management of the project being evaluated. Independence is one of ten general principles for evaluations (together with internationally agreed principles, goals and targets: utility, credibility, impartiality, ethics, transparency, human rights and gender equality, national evaluation capacities, and professionalism).

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 imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.
8. Must ensure that independence of judgement is maintained, and that evaluation findings and recommendations are independently presented.
9. Must confirm that they have not been involved in designing, executing or advising on the project being evaluated and did not carry out the project's Mid-Term Review.

Evaluation Consultant Agreement Form

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

Name of Evaluator: Joseph Ryan

Name of Consultancy Organization (where relevant): Independent Consultant

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

Signed at Bornholm, Denmark on 28 August 2021

Signature:

Annex 10: Rating Scales

TE Rating Scales	
Ratings for Outcomes, Effectiveness, Efficiency, M&E, Implementation/Oversight, Execution, Relevance	**Sustainability ratings:**
6 = Highly Satisfactory (HS): exceeds expectations and/or no shortcomings 5 = Satisfactory (S): meets expectations and/or no or minor shortcomings 4 = Moderately Satisfactory (MS): more or less meets expectations and/or some shortcomings 3 = Moderately Unsatisfactory (MU): somewhat below expectations and/or significant shortcomings 2 = Unsatisfactory (U): substantially below expectations and/or major shortcomings 1 = Highly Unsatisfactory (HU): severe shortcomings Unable to Assess (U/A): available information does not allow an assessment	4 = Likely (L): negligible risks to sustainability 3 = Moderately Likely (ML): moderate risks to sustainability 2 = Moderately Unlikely (MU): significant risks to sustainability 1 = Unlikely (U): severe risks to sustainability Unable to Assess (U/A): Unable to assess the expected incidence and magnitude of risks to sustainability