

**Final Evaluation Report
GEF 9124 Project**

"Coastal Fisheries Initiative – Latin America (CFI-LA)"

Final Version

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Project Information Table

| Project Details | | Project milestones | |
|--|---|---|----------|
| Project title | Coastal Fisheries Initiative – Latin America | Date of PIF approval | 04-06-15 |
| UNDP's Project ID (PIMS #) | 5573 | CEO Approval Date (FSP) / Date of approval (MSP): | 14-12-16 |
| GEF's Project ID | 9124 | Prodoc signature date: Peru | 11-10-17 |
| | | Prodoc signature date: Ecuador | 05-09-17 |
| Business Unit in UNDP ATLAS, assigned ID, Project ID: | Peru: Atlas ID 96507/ Award #100445 Ecuador: Atlas ID 106131/Award # 104643 | Project Manager Hiring Date | 04-03-18 |
| Country/Countries | Peru; Ecuador | Start workshop date | 11-05-18 |
| Region | LAC | Mid-term review end date | 21-12-20 |
| Área Focal | Biodiversidad/Aguas internacionales | End date of final evaluation | 30-10-22 |
| Operational programme or strategic priority/objective of the GEF: | GEF-6: IW-3 Program 7; BD-4 Program 9 | Planned date for operational closure | 30-10-22 |
| Trust Fund | GEF | | |
| GEF Executing Partner | Ministry of Environment of Peru (MINAM) / Ministry of Production, Foreign Trade, Investment and Fisheries (Ecuador) | | |
| NGO/CSO Involvement | WWF; CI | | |
| Private Sector Involvement | INCABIOTEC; ASOEXPEBLA | | |
| Geo-spatial coordinates of the Project | N/A | | |
| Financial information | | | |
| PDF/PPG | At the time of approval (US\$) | At the time of completion of PDF/PPG (US\$) | |
| GEF PDF/PPG grants for project preparation | 6,588,991 | 6,457,211 | |
| Co-financing for project preparation | N/A | N/A | |
| Proyecto | At the time of CEO approval(US\$) | At the time of final evaluation (US\$) | |
| [1] UNDP-Peru | 100,000 | 485,000 | |
| [2] UNDP Ecuador | 500,000 | 73,217 | |
| [3] Government: Peru | 51,727,141 | 27,223,361 | |
| [4] Government: Ecuador | 10,000,000 | 9,566,320 | |
| [5] Other multi/bilateral | | N/A | |
| [6] Private sector: | 440,000 | 577,250 | |
| [7] ONG: (WWF, CI, Nature and Culture International, International Pole & Line Foundation) | 2,795,748 | 2,440,888 | |
| [8] Total co-financing[1 + 2 + 3 + 4 + 5+6+7]: | 65,562,889 | 40,366,036 | |
| [9] Total GEF financing | 6,588,991 | 6,457,211 | |
| [10] Total project financing[8+9] | 72,151,880 | 46,823,247 | |

List of Acronyms

| | |
|------------|--|
| ASOEXPEBLA | Association of White Fish Exporters (Ecuador) |
| BID | Inter-American Development Bank |
| CFI | Global Coastal Fisheries Initiative Program |
| CI | Conservation International |
| CIAT | Inter-American Tropical Tuna Commission |
| CIM | Inter-institutional Committee of the Sea (Ecuador) |
| CMSP | Coastal and Marine Space Planning |
| COFIDE | Corporación Financiera de Desarrollo S.A. |
| COMAEM | Multisectoral Commission of State Action in the Maritime Field |
| COMUMA | Multisectoral Commission for Environmental Management of the Coastal Marine Environment (Peru) |
| CPPS | Permanent Commission of the South Pacific |
| DGAAMPA | Directorate-General for Fisheries and Aquaculture Environmental Affairs |
| DGOTA | General Directorate of Environmental Territorial Planning (Peru) |
| DICAPI | General Directorate of Captaincies and Coast Guard (Peru) |
| DIREPRO | Regional Directorate of Production (Peru) |
| ENSO | El Niño-Southern Oscillation (ENSO) |
| EPESPO | Eastern Pacific Fisheries School (Ecuador) |
| FAO | Food and Agriculture Organization of the United Nations |
| FIP | Fisheries Improvement Project |
| GEF | Global Environment Facility |
| GBE | Ecosystem-based management |
| GEF | Global Environment Facility |
| GEFSEC | Secretariat of the Global Environment Facility |
| GORE | Regional Government (Peru) |
| GTTE | Specialized Technical Working Group |
| INCABIOTEC | Biological laboratory (Peru), production of seeds and larvae of shells and crabs |
| OHI | Ocean Health Index |
| IMARPE | Institute of the Sea of Peru |
| INP | National Fisheries Institute (Ecuador) |
| IWC | International Waters Conference |
| MAATE | Ministry of Environment, Water and Ecological Transition (Ecuador) |
| M&E | Monitoring and Evaluation |
| MINAM | Ministry of Environment (Peru) |
| MIZMC | Integrated Coastal Zone Management |
| MPCEIP | Ministry of Production Foreign Trade Investment and Fisheries (Ecuador) |
| MSC | Marine Stewardship Council |
| MTR | Mid-Term Review |
| NOAA | <i>National Oceanic Atmospheric Administration</i> |
| PEMC | Marine-Coastal Spatial Planning |
| PMIZMC | Integrated Coastal Zone Management Plan |
| NGO | Non-Governmental Organization |
| PAN | National Action Plan (Ecuador) |
| PIR | Project Implementation Report |
| UNDP | United Nations Development Programme |
| POA | Annual Operating Plan |
| PRODOC | Project Document |
| PRODUCE | Ministry of Production (Peru) |
| REMACH | Churute Mangroves Ecological Reserve |
| ROP | Fisheries Management Regulations (Peru) |
| SERNANP | National Service of Natural Areas Protected by the State (Peru) |
| SESP | Social and Environmental Screening Procedure |

| | |
|-------|--|
| SGMC | Undersecretary of Marine and Coastal Management (Ecuador) |
| SMART | Specific, Measurable, Achievable, Realistic and time defined |
| SNLMT | Mangrove Tumbes National Sanctuary (Peru) |
| SRP | Undersecretary for Fisheries Resources (Ecuador) |
| TE | Terminal Evaluation |
| ToC | Theory of Change |
| ToR | Terms of Reference |
| TURF | Territorial Rights of Use for Fisheries |
| UGP | Project Management Unit |
| UNICA | Credit and Savings Unions (Peru) |
| VMAP | Deputy Minister of Aquaculture and Fisheries (Ecuador) |
| VMS | Ship Monitoring System |
| WWF | World Wildlife Fund |

Executive Summary.

This consultancy corresponds to the Final Evaluation of the full-size project of the Global Environment Facility (GEF) called "Coastal Fisheries Initiative – Latin America (IFC-LA)" (hereinafter the IFC-LA), which was requested by the Country Office of Peru of the United Nations Development Program (UNDP), which acts as the GEF implementing agency. The CFI is a project that was executed simultaneously and coordinated in Peru and Ecuador, being the executing partner - in the case of Peru - the Ministry of Environment (MINAM) who is also in charge of the National Directorate of the project -, the Ministry of Production (PRODUCE) as part of the Project Board of Directors (JDP) and the Regional Governments of Tumbes and Piura (GORE Tumbes y GORE Piura) while in Ecuador the project was executed by the Ministry of Production, Foreign Trade, Investment and Fisheries (MPCEIP) and the Sub Secretariat of Coastal Marine Management (SGMC), through its executing partners WWF and Conservation International (CI) of Ecuador.

It is worth mentioning that the CFI-LA is a subproject (commonly referred to as "Child Project") that is part of a global initiative called "Coastal Fisheries Initiative" (hereinafter IFC-Global) which is led by FAO and where six countries participate (Peru, Ecuador, Cape Verde, Côte d'Ivoire, Indonesia and Senegal). The CFI-Global, despite being the umbrella program, began its activities in mid-2019, so there was an important gap with the CFI-LA which began in September 2017, so key parts of M&E that were the responsibility of the umbrella program could not be carried out or were only partially executed (Result 3).

The objective of this final evaluation was to provide an independent assessment of the achievement of the results of the project compared to what was expected, critically examining the causal chains, covering the regular aspects to be evaluated in a GEF project, i.e. its design (indicators, intervention logic, stakeholder inputs, etc.), implementation (financial, M&E, reporting, etc.), integration with other development activities (governance priorities, UNDP country program) and progress towards desired project outcomes, including context, and determining the relevance, impact, effectiveness, efficiency and sustainability of the project in order to enhance UNDP's future contributions to the development of the countries involved. It is worth mentioning that the terminal evaluation does not evaluate specific stages or management of a project, but its entire design and implementation cycle.

The objective of the project was to demonstrate holistic ecosystem-based management and improve the governance of seven fisheries: two in Peru (black mussel and crab) and five in Ecuador (black mussel, crab, pole tuna, dorado and shrimp pomada). The expected results were to improve the governance arrangements of small-scale and artisanal fisheries in coastal marine areas, so that the experience gained can be projected to the entire artisanal fisheries sector of both countries to implement sustainable schemes for governance and protection of fishery resources.

To achieve its mission, the project contemplated the following 3 results:

1. Enhanced enabling conditions for the governance of seven coastal fisheries in Ecuador and Peru,
2. Enhanced enabling conditions for marine and coastal spatial planning in Ecuador and Peru and,
3. Lessons and good practices for improving fisheries governance and marine and coastal spatial planning have been shared with key actors within each country, between both countries, and with global IFC partners.

According to the project document signed by the governments of Peru and Ecuador, the duration of the project would be four years (October 2017-October 2021) and the intervention areas would cover the Sechura Bay in Peru (Tumbes and Piura regions) and in the northern sector of the Gulf of Guayaquil in Ecuador (Manabí, Guayas and El Oro Provinces).

The main results to be obtained were the updating of the National Action Plans for 2 fisheries (dorado and ointment shrimp) and the development of two new plans (crab and mussel) in Ecuador, coastal marine spatial planning for the northern sector of the Gulf of Guayaquil and in the Bay of Sechura (Piura region in Peru), establishment of the Ocean Health Index (OHI) in the Provinces of Manabí

and Santa Helena in Ecuador and Sechura Bay in Peru), in addition to establishing improved and strengthened governance in the seven selected fisheries and finally the establishment of a knowledge management system for replication and scaling of the project experience in both countries and in the region.

The total budget of the project was USD 72.15 million, of which USD 6.59 million was placed by the GEF and the committed co-financing amounted to USD 65.56 million (cash and in kind) by the governments of Peru and Ecuador, UNDP, the regional governments of Piura and Tumbes, and the NGOs CI and WWF among others.

The final evaluation was conducted between August and October 2022 and was executed by an independent international consultant. The methodology used is defined by UNDP/GEF for final project evaluations in the GEF 2020 Terminal Assessment Guide and incorporated the issues of human rights, gender and indigenous peoples.

As a result, 64 relevant actors were interviewed, including the project management unit, officials from the regional governments of Piura and Tumbes, SERNANP, MINAM, WWF, CI, district governments of Oro and Guayaquil, MPCEIP, the Vice Ministry of Fisheries Resources (VRP), local social organizations, district municipalities, MAATE, UNDP and the private sector involved, among others.

Project Ratings

Project ratings are shown in the following table:

| <i>Project dimension</i> | <i>Rating</i> |
|--|--------------------------------|
| Monitoring and Evaluation (M&E) | |
| M&E Plan Design at entry | Moderately Unsatisfactory |
| Implementation of the M&E Plan | Moderately Satisfactory |
| Overall M&E Quality | Moderately Satisfactory |
| Implementation & Execution | |
| Quality of UNDP implementation/oversight | Satisfactory |
| Quality of implementation partner execution | Moderately Satisfactory |
| Overall quality of implementation/execution | Moderately Satisfactory |
| Assessment of outcomes | |
| Relevance | Highly Satisfactory |
| Effectiveness (*) | Satisfactory |
| Efficiency | Satisfactory |
| Overall project outcome rating | Satisfactory |
| Sustainability | |
| Financial Resources | Likely |
| Socio-political/economic | Moderately Likely |
| Institutional framework and governance | Likely |
| Environmental | Moderately Likely |
| Overall Likelihood of Sustainability | Moderately Likely |

(*): rating excludes Comp.3 results that were responsibility of CFI-Global.

Main findings

Design (Prodoc)

Although the initiative is very important for both countries, the design of the project presented some important shortcomings in its formulation. Indeed, the performance statements were not clear in defining the desired change, which also led to the development of erroneous indicators, which were mainly measures of products or difficult to measure.

Besides, no real commitments were stipulated for the beneficiaries and actors involved, even though a series of regulations needed to be developed that had to be approved by governments. Examples of

this would be the responsibility of authorities to develop regulations, increase controls over fisheries and scale project results through an exit strategy that includes a roadmap with reasonable responsibilities and timelines for implementation.

Finally, it should be mentioned that the results matrix in Prodoc did not have a consistency with the narrative and strategy of the project, and omitted key products, results, and indicators for the M&E (implementation of the effectiveness tool of the seven selected fisheries, coordination with CFI-Global). It is worth mentioning that the design and implementation of the fisheries effectiveness tool were not the responsibility of CFI-LA but of CFI-Global, so it is not prudent to include results and products that are not under the control of CFI-LA.

This project design problem, with non-SMART indicators and inadequate performance statements, mainly affected component 3, where it was very difficult to assess achievements and therefore assign the appropriate rating.

Implementation

There are two very clear stages of the project: i) the first in the period 2017-2020, focused on the installation of the executing unit, the deployment of the organizational project, the prioritization of spatial planning activities, and characterized by a slow implementation of activities and low disbursements; and ii) the second (period 2020-2022), pandemic, where practically 70% of the project funds and all the actions foreseen in Prodoc were executed. As described in the previous paragraph, the fisheries performance evaluation tool was not executed because the IFC-Global was responsible of developing and applying it, which was delayed by various factors that prevented its implementation in both Ecuador and Peru.

It is worth mentioning that the execution was marked by the political and institutional instability existing in both countries, the pandemic and intricate product approval processes, which were resolved over time, but which affected the delays in the execution of the project and its extension for an additional year.

The adaptive management of the project to face the pandemic was very positive and allowed to strengthen the authorities and key actors with equipment and capacities to work remotely and, in addition, managed to digitize and simplify the administrative processes and information requirements of the authorities of Piura and Tumbes in Peru, so that they could continue with their control and coordination activities between actors. The same was done for artisanal fishermen, where they relied on their digitization and created applications so that beneficiaries could monitor and report their catches to the authorities.

However, some decisions that were taken were late, such as carrying out the mid-term evaluation 39 months after the signing of Prodoc and hiring the gender specialist. These delays meant that the necessary changes in the project strategy did not have the necessary time for implementation.

Financial Management

The reported expenditures, accumulated to October 2022, amount to USD 6.43 million (98% of the GEF budget), while those committed would be USD 93 thousand, giving a total of USD 6.52 million (99%).

Regarding co-financing, contributions reached USD 40 million - this is 62% of expected compliance -, which could be considered an acceptable level of co-financing for this section. Most of these contributions are recurrent expenses of the institutions (control and surveillance, personnel, use of equipment, etc.), while investment is also observed.

The main contributors were the governments of Peru and Ecuador and the GORE of Piura and Tumbes, while UNDP contributions came from technical support from projects in its portfolio, and the NGOs WWF and CI report recurring expenses and contributions from the Mahi-Mahi Conservation project in Ecuador.

M&E System

The project implemented a comprehensive M&E system to track activities and was adequate for monitoring products, but was not focused on results. The deficiencies found – both during the MTR and in the ET – in the project results statements and indicators made it difficult to carry out adequate monitoring to measure the achievement of the results and objectives of the project, so it should be noted that this situation also negatively impacts the M&E plan.

The M&E plan of the project also defined the use of several monitoring tools such as the Tracking Tools (TT) for BD and GEF International Waters, but finally the Core-Indicators were used for the beginning, mid-term, and end of the project, since at the time of project execution, the GEF was transitioning to the use of Core-Indicators instead of TTs. Finally, the FPAI was not implemented for the seven fisheries that had to be calculated at the beginning and end of the project, because the design and application of this tool was not the responsibility of the project, but of the CFI-Global program.

The JDP played a facilitating role in the implementation of activities, but there is a divided perception regarding the effectiveness of its meetings. Remote meetings were indeed shorter, but more frequent, than face-to-face meetings; however, some members perceived them as exhausting and unfocused, which can be a symptom of fatigue due to the excessive use – in general terms in all institutions – of this type of communication.

Achievement of Results

The stated objective of the project in its results framework is to "demonstrate holistic ecosystem-based management and improve the governance of coastal fisheries in the Southeast Pacific" (7 selected), in order to curb overfishing experienced by marine species. Prodoc also had another primary "undeclared" objective in the results framework, which would be to contribute to addressing the global problem of weak fisheries governance that causes overfishing and degradation of marine-coastal biodiversity. This contribution would be given by the exchange of lessons learned with the other participating partners of CFI-Global.

The stated objective has been fully met, in the sense that governance models have been demonstrated that integrate national, regional and local authorities, artisanal fishing communities (with the participation of industrial fishermen, as was the case of the shrimp ointment fishery in Ecuador), academia and private companies. These pilot demonstrations have combined governance, participatory monitoring, control, surveillance, and reporting models along with the application of spatial planning and ocean health index (IoT tools). In addition, the capacities – both in terms of knowledge and equipment – of the actors involved in both countries have been strengthened.

As for the objective not declared in the results matrix of the project, it can be said that it has been partially achieved, since it focused on the exchange between both countries and the interviews carried out revealed that there has been minimal interaction with the CFI-Global. This situation is explained as a design failure of the CFI-LA, since this interaction was the responsibility of the overall program and not of the project being evaluated and therefore is not considered within its achievement qualifications.

With regard to the achievement of results, for ***result 1: Improved enabling conditions for the governance of seven coastal fisheries in Ecuador and Peru***, the ***achievement is "Satisfactory"***, since it can be affirmed that the project was successful in strengthening the actors and promoting their involvement in marine-coastal governance, which has been a contribution to its improvement, within an adverse context such as the pandemic and the complex political-institutional context existing in each country. Indeed, the 24 prioritized actions (governance, monitoring, traceability, quality and research) were carried out in the 7 selected fisheries. However, according to progress reports and interviews, there was limited participation of artisanal fishermen in Ecuador (shrimp pomada "bags") and changas had to be set aside as illegal. In contrast, the actions with the dorado fishery had a very good response in the implementation, as well as with the Pole and line Tuna. With respect to this last

fishery, the Undersecretariat of Fisheries Resources formalized it – since it was not regulated – by Ministerial Agreement MPCEIP-SRP-2019-0020-A, through which the National Action Plan for Pole and line Tuna (PAN Pole and line Tuna) was adopted, and also an association was created and strengthened of sugarcane growers in Manta. The PAN Pole and line Tuna identifies certain aspects of governance and conflict with other fisheries.

In Peru, governance arrangements for crab and mussels presented mixed results, as adverse weather conditions affected the participatory research activities on reproduction of mussels seeds in the laboratory and their adaptation to the natural environment, thus delaying the participatory monitoring and surveillance activities, but obtaining – according to IMARPE information – a positive result of mussels repopulation in the sites where the experience was carried out (average density rose from 1.7 to 2.7 individuals per square meter between 2020-2022). On the other hand, the strengthening of the DIREPRO of Tumbes and Piura has positively changed the way these authorities operate.

In the case of Ecuador, the shrimp pomada PAN is already formalized through Ministerial Agreement 033-A of February 2022 of the fisheries authority, where participatory monitoring and reporting procedures, and the governance scheme still need more work once the project is finished, while for the mussels' Provincial Action Plan (PAP) of El Oro was formalized through Ministerial Agreement No. MPCEIP-SRP-2021-0139-A and the crab PAN through Ministerial Agreement MPCEIP-SRP-2021-0151. With regard to Pole and Line Tuna, the result has been very successful, managing to regulate the activity and the fishermen's organization obtained the international Fair-Trade certification.

For outcome 2: Enhanced enabling conditions for marine and coastal spatial planning in Ecuador and Peru, achievement is "Satisfactory".

There are 3 indicators to measure the achievement of this outcome, two of which are based on marine-coastal areas in both countries – protected areas and unprotected areas – under PEMC and OHI processes. These indicators are related to the pilot areas of the project and their surfaces are equal to or greater than the specified goals, so they are considered fulfilled, and the attribution of the achievement made by the UGP is correct, since it involves surfaces that were intervened by the project. This qualification is based on the fact that the project had a series of problems and delays in its first half of execution.

On the other hand, the third indicator refers to the "number of actors that make decisions and generate information" for the PEMC and OHI, whose goal is also exceeded. According to the evaluator's criteria, the figures provided are reasonable and correspond to the institutions and people trained in these issues, so the attribution of the achievement is credible and justified, but its achievement was limited by serious delays during the first half of project implementation.

However, beyond these indicators, there are important products within this result that have been partially achieved, such as the systematization of the lessons learned for this specific experience. In fact, the document entitled "Fishing experiences on the coasts of Latin America" was prepared, whose content is mostly descriptive and testimonial aimed at a general public, and which compiles the activities carried out by the project as a whole. It does not address in depth the strengths and challenges, both political, technical, financing, and social on the implementation of an OHI system in each country, which is what would be expected from a systematized document that supports the decision-making of the actors involved.

***For Outcome 3: "Lessons and good practices to improve fisheries governance and marine and coastal spatial management have been shared with key actors within each country, between both countries, and with global partners of the CFI program", their achievement is considered to be "Satisfactory"*, discarding products that were not realized and that were not the responsibility of the project.**

The project reports as achieved the result based on indicators of the "number of people and institutions that participated in the project and that have achieved changes in the performance of their activities

and in the development of governance mechanisms", as well as in the "number of organizations and institutions that designate gender focal points" . In both indicators, the project reports that they have exceeded the targets, of which there is no doubt that this was the case.

The third indicator is related to the implementation of the UNICAs where effectively the "women and men participating in this type of initiative experienced a significant change in their lives", both in economic independence and in extra income thanks to the financing obtained to implement small enterprises. Indeed, this was one of the best results with a gender focus of the project. Regarding the latter, the evaluator considers that it would have been more appropriate to have included the UNICAs - as well as other entrepreneurship and management training initiatives - in Component N°1, since one of the conditions for improved governance is the obtaining of long-term economic and social benefits for artisanal fishing communities. This is endorsed in the statement of component 1 of the project results matrix.

The narrative of the logical framework of the project indicates that Component 3 had a strong M&E dimension and one of its key pieces was the determination of the "Fisheries Performance Assessment Instrument (FPAI)" for the 7 selected fisheries, which is the tool that allows to evaluate fisheries from social perspectives, economic and environmental. In the case of CFI-LA, the FPAI would be applied in years 1 and 4 and the lessons learned from its use would be shared with CFI-Global partners. During the execution of the CF-LA, this instrument was not applied, only some training was carried out for the personnel of the institutions in the two countries. It was reported that the implementation of the FPAI and the knowledge management system were the responsibility of the CFI-Global program, which started with a gap of almost two years with respect to the CFI-LA, which severely impacted this component of the project.

Therefore, it can be said that, although the project has produced a complete series of dissemination materials, has had a presence on the internet and social networks and has carried out binational and global exchange meeting activities with its partners of the CFI-Global program, it had shortcomings in key M&E tools such as the non-application of the FPAI, but was able to coordinate with the CFI-Global program to coordinate exchange activities. It should be emphasized that the problems associated with the FPAI and the exchange with the CFI-Global were beyond the control of the project, with the global program being responsible. To the above, it should be added that it is not clear what the systematization and exchange of lessons learned from the CFI-LA with its global partners would look like. On the other hand, the scaling and replication expected in this type of project was very limited.

Therefore, the rating for overall achievement of results is estimated as "Satisfactory".

Gender and indigenous peoples

The project approached gender issues through the participation and empowerment of women leaders of community organizations, while being beneficiaries of small investments and project activities. The constitution of the UNICAS (community credit organizations) was a success of great impact on the well-being of women and their families.

The gender strategy was partially designed and implemented, mainly due to the short time remaining for the project to be completed (it was a 2021-2023 plan). Indeed, important advances could be made, such as the survey on the capacities of the agencies participating in the project on gender issues and virtual workshops on this topic were carried out in Peru and Ecuador (the UGP, the NGOs WWF and CI, community organizations and authorities of national, regional and local governments such as OSPAS participated), and two institutions (SPR Ecuador and Direpro Piura) and one social organization (OSPAS) designated 11 gender focal points to continue these activities after the end of the project.

The technical report for the interpretation of data resulting from the surveys on the participation of women in the productive chain in Peru (Bahía Sechura) was also prepared, but the space for face-to-face socialization between women in Ecuador and Peru, the Facebook group for women, the practice

groups with a gender focus in both countries and the capture of data on income and improvement of women's lives of UNICAs, would be pending, among other important activities. Another expected result of the action plan was the insertion of gender issues in the technical roundtable of benthic resources in Tumbes, which has also been partial.

Conclusions

Design

Although the theme of the seven intervened fisheries is highly relevant for Ecuador and Peru, the project document needed to have made a better approximation of the real risks of the project, such as illegal fishing, together with the development of SMART indicators aligned with internationally accepted definitions. At the same time, neither the ToC nor the logic described in Prodoc had clearly defined the cause-effect results chain nor an identification of critical high-impact tasks/products.

Another relevant aspect of the design was the conception of a very complex binational organization, with a national director in each country, a JDP without a technical or thematic instance that could support decision-making, and a PMU scattered in the two countries.

Achievement of Results

The rating for **the overall achievement of results is estimated to be satisfactory**. The project had a marked difference in the execution of its activities and achievement of its results in the two stages it had to go through (2017-2020 and 2020-2022), where in the second period the implementation of the project was significantly accelerated. However, despite the good progress and execution achieved, the rating must consider the total period of project execution and the results achieved, which are satisfactory for two of them, but with a very partial achievement for result 3, due to the omissions in the execution of key aspects of measurement of results in fisheries (M&E of fisheries effectiveness) and its coordination with the IFC-Global program. It was demonstrated that these last aspects were not the responsibility of the project, but that they had an impact within it, which meant that the evaluator had to balance the important achievements achieved by the project with the inconsistencies found in the results framework.

Implementation

The execution of the project, especially of the field activities, were strongly affected by the pandemic and by the instability of the authorities and public officials present in both countries.

The involvement of public institutions in both countries was uneven: in Peru MINAM was the executor of the project, in Ecuador it was the MPCIP that delegated the execution to CI and WWF, with very little involvement of MAATE.

The execution of the project clearly presents two stages: 2017-2020 pre-pandemic that consisted of installing the UGP, carrying out inter-institutional agreements and establishing procedures for approval of documents and disbursements, so that the physical and financial execution was very low (36% of the budget), while from 2020 both aspects of the execution are significantly improved, until 99% of the budget is committed or disbursed by October 2022. However, despite the good execution observed, the form of implementation does not seem integrated between the two countries, but independent where each one executed its own and the coordination instances were punctual. Another important factor that had a negative impact on the implementation of the project was its intricate organizational structure, with approval and disbursement processes that depended on many instances and that made the development of activities extremely slow.

Adaptive management was acceptable and greatly improved during the second stage, because the implementation of key decisions that depended exclusively on the project was carried out late (example: installing a technical committee or equivalent for the JDP, updating the parameters of the project at the beginning of its execution, hiring of the MTR and the gender expert carried out too late). It is worth mentioning that the UGP accepted the recommendations of the MTR, but its impact was diminished due to the short implementation deadlines left to the project. This gap was

compensated by the excellent management of the pandemic, the UNICASs and the recruitment of the gender specialist that allowed a faster execution of activities and include greater participation of women.

Financial management

It is considered that the financial management was correct and according to the standards required by UNDP. Disbursements reached 99% of the GEF budget. With respect to co-financing, Prodoc did not differentiate between in-kind and cash contributions, but the available data indicate 62% compliance, which the evaluator considers a fair value considering the high amounts involved (approx. USD 40 million contributed). The main contributors were the governments of Peru and Ecuador and the GOREs of Piura and Tumbes. The review of the available documentation indicates that most of these contributions are recurrent expenses of the institutions (control and surveillance, personnel, use of equipment, etc.), while investment is also observed.

Relevance and appropriation

Although regulations were approved in both countries, the interviews revealed that most actors have the perception of little ownership and lack of commitment on the part of government actors, mainly due to the delay in the approval of governance and monitoring schemes for some fisheries in Ecuador and a discontinuation in the requirement of reports to fishermen. This situation has, as a consequence, that communities and other actors in the system also begin to relax their management commitments. Although an individual project will not solve the institutional challenges of the authorities of both countries, the inclusion of formal commitments for them in Prodoc and in the exit strategy of the project could minimize this risk of discontinuity of the project's actions.

In terms of appropriation by the beneficiaries in both Ecuador and Peru, it was satisfactory. Thus, the shrimp pomada fishery would be a good example of this, where the 25 artisanal fishing organizations of shrimp pomada with bag-type nets, and FENACOPEC signed an agreement with WWF that remains in force after the end of the project, and which establishes the formal commitment of the fisheries organizations to create a fishery sustainability fund, in which each organization contributes \$ 100 per month during the fishing months to sustain key actions. Another good example is the creation of the Association of Manta Pole and Line Tuna, who achieved a "Fair Trade" certification with which they acquired the commitment to maintain good practices in that fishery along with expanding the marketing framework of their products.

Sustainability

Although the project has positive environmental impacts on the environment, sustainability is considered *moderately likely*, since, with respect to environmental sustainability, there are still serious threats to the biodiversity of marine-coastal ecosystems, mainly those from gold mining activities, land development, the dumping of waste into the sea, and an emerging problem – at least in Ecuador – the increase of illegal fishing by migrants is exacerbating the problem of resource depletion.

Regarding **financial sustainability**, the lack of adequate and permanent financing to develop basic management activities for artisanal fishing activities (surveillance, monitoring, governance, research), is not assured, but rather will depend on the implementation of other international cooperation projects, *so its rating is "Moderately Likely"*.

Finally, regarding **socio-political sustainability**, *this is considered "Moderately Likely"*, mainly due to the need for greater ownership of the results of the project by the beneficiaries and key authorities in Ecuador and the high turnover of government officials existing in both countries. In addition, in several localities of Ecuador, a significant number of people engaged in informal fishing was noted, which is causing problems with local communities, due to competition for resources and problems associated with crime.

Recommendations

As a result of the previous analysis based on the documentary review and the interviews carried out with the key actors of the project, the following are the main recommendations suggested to ensure the continuity of the actions of the project and to improve the elaboration of future intervention initiatives. It is also shown in the table of recommendations which would be the institutions responsible for triggering the processes contained in these recommendations.

Because the project ended its activities in October 2022, these recommendations focus on improving the sustainability of project results and developing new cooperation initiatives. Finally, the objective of these recommendations is that the institutions identified can include them in projects that are underway or in the design of new interventions, as well as in activities to promote these issues among key national actors.

| Rec # | Recommendation of the final evaluation | Responsible Entity | Period of application |
|--------------|---|---|------------------------------|
| A | Sustainability, scale-up and replication | | |
| A.1 | As an exit strategy, it is recommended to develop a work agenda with key stakeholders such as MINAM, MEF, Produce, municipalities and GOREs to facilitate the process of public financing of projects to strengthen fisheries and environmental governance in Piura and Tumbes initially, which already have capacities to do so. As the project is practically closed, the main manager and promoter of this agenda would be UNDP – Peru and MINAM, considering the role of UNDP as the implementing agency of the GEF and the series of projects of this type that are in its portfolio and MINAM as the environmental authority of the country. | MINAM; GOREs Piura y Tumbes; Produce | Immediate |
| A2 | Continue in Ecuador, especially all related to the formalization of governance schemes for dorado and mandatory monitoring for shrimp pomada. It is suggested that UNDP-Ecuador lead this action by promoting coordination between the NGOs WWF and CI with the responsible authorities, because the project is finished. | MAATE, SRP, MAATE, IPIAP | Immediate |
| A3 | Work with the authorities of both countries to offer complementary income alternatives or viable and effective entrepreneurship mechanisms for artisanal fishermen during the closed season, in order to reduce poaching. | MINAM, Produce MAATE, MPCIP | Immediate |
| A4 | Establish or strengthen coordination between the authorities of both countries to determine common regulations for dorado, mussel and crab fishing (size, closed seasons, traceability, governance schemes), in order to avoid border movements of fishermen. | MINAM, IMARPE, Produce MAATE, SRP, IPIAP. | Immediate |
| B | New initiatives | | |
| B1 | For the development of new projects, it is recommended to carry out a thorough review of the results, narrative and ToC frameworks to ensure that they comply with the internationally accepted definitions of objectives, results and indicators, along with verifying their consistency with the integrity of the project document. Do the same with the knowledge management and M&E component. Establish the requirement to the UGP to carry out a critical analysis of the Prodop with respect to the topics indicated above, at the beginning of the implementation of the projects, to make the necessary adjustments in time. Similarly, although there is not much progress, perform the MTR in the required times. | PNUD- Perú, MINAM PNUD-Ecuador, MAATE | Immediate |

| <i>Rec #</i> | <i>Recommendation of the final evaluation</i> | <i>Responsible Entity</i> | <i>Period of application</i> |
|--------------|--|--|------------------------------|
| B2 | When defining the governance of an initiative that requires coordinated implementation between two or more countries, it is recommended that the JDP be advised from the outset by a technical support committee that allows for smoother and more informed decision-making. Similarly, it would be advisable for each country to have its own executive board to discuss local aspects of implementation and it would be important to have the participation of GEF focal points from the beginning of the project. | PNUD- Perú, MINAM PNUD-Ecuador, MAATE | Immediate |
| B3 | It is recommended that, in the formulation of projects of this type, governance be clearly linked to business alternatives and/or supplementary income for users, so that they can better relate the benefits of integrated management schemes and biodiversity care. | PNUD- Perú, MINAM PNUD-Ecuador, MAATE | Immediate |
| B4 | In upcoming projects involving two or more countries, it is recommended to include clear commitments for the relevant authorities, both in the Prodoc and in the requirement of an exit strategy with roadmaps, relevant milestones and responsibilities, so that they are actors and no project-beneficiaries. | PNUD- Perú, MINAM PNUD-Ecuador, MAATE | Immediate |

Key Lessons Learned

1. For projects involving two or more countries, their organizational structure should be as simple as possible and the boards should have a technical instance where agreements are discussed and made, so as to leave to the board its role of strategic advisor of the project. In the same way, each country should have its own board of directors to ensure institutional commitments and the proper progress of the project.
2. In the absence of explicit commitments from the actors expressed in Prodoc (authorities, private parties, communities) within the framework of the projects, there is a risk that there is little appropriation of its results. These commitments would be, for example, the responsibility to set standards, allocation of budgets for specific activities, establishment of a sustainability strategy with specific, responsible milestones and achievable timelines.
3. For exit strategies, before closing a project, there should be an agenda of concrete commitments between UNDP, key actors and authorities to implement activities and outputs that may have become incomplete or pending and to maintain governance activities at a similar pace as during project execution, or to scale some, such as digitalization for fishing activities of GORE from other regions, since the application developed by the project can address any type of fishery, or joint work on issues identified as common and legalization of pending monitoring and governance aspects (Ecuador).
4. When developing a development project, special care should be taken to use clear language that communicates the benefits and risks of the results to be achieved and how these will be measured and mitigated, while the formulation of statements of results should be aligned with the narrative and purpose of the project. As an example of the above, it should be specified and reported that there are products and results that depend on other instances in which the project has no control. The use of appropriate and specific indicators will facilitate adequate monitoring, as well as allow better communication with project partners and beneficiaries. The situation that arose in the CFI-LA led to omissions and the non-implementation of key products that could have been considered in the project, such as the M&E tool called FPAI and the scaling of the results that were finally the responsibility of CFI-Global.
5. The current pandemic situation leads us to think that in the design of future projects an exercise is carried out to identify and evaluate types of risks that apparently could have a very low probability,

but a relevant impact on the execution of any project. At the very least, doing this type of exercise could allow the identification of key mitigation measures that could give an indication of how to deal with types of catastrophic situations such as the current ones.

6. There are projects that, due to their long formulation and approval process, could be misaligned with the reality encountered at the beginning of their implementation, so it is essential that the national executing unit carry out an in-depth analysis of the strategy, indicators, and goals of the project in order to update the main parameters with which the project will finally be evaluated, so that situations of impossibility of fulfilling certain results and objectives can be avoided.
7. Although there exists a perception that a project does not have sufficient progress to carry out the MTR, its value lies precisely in analyzing the causes of the lack of these advances and proposing recommendations in this regard, so the mid-term evaluation should be carried out as close as possible to the deadlines stipulated in Prodoc and not wait for further progress to be made. Another possibility would be to carry out an early pre-evaluation to identify the main problems of project implementation.

1. Introduction

1.1. Evaluation purpose and scope

This consultancy corresponds to the Final Evaluation of the full-size project of the Global Environment Facility (GEF) called "Coastal Fisheries Initiative – Latin America (CFI-LA)" (hereinafter the CFI), which was requested by the Country Office of Peru of the United Nations Development Program (UNDP), which acts as the implementing agency of the GEF. The CFI is a common project that was executed between Peru and Ecuador, being the executing partner - in the case of Peru - the Ministry of Environment (MINAM) - who is also in charge of the National Directorate of the project -, the Ministry of Production (PRODUCE) as part of the Project Board of Directors (JDP) and the Regional Governments of Tumbes and Piura (GORE Tumbes and GORE Piura) as project partners; while in Ecuador the project was executed by the Ministry of Production, Foreign Trade, Investment and Fisheries (MPCIP) and the Sub Secretariat of Coastal Marine Management (SGMC), through its executing partners WWF and Conservation International (CI) of Ecuador.

It is worth mentioning that the CFI-LA is a subproject (Child Project) that is part of a global initiative called "Coastal Fisheries Initiative" (hereinafter IFC-Global) which is led by FAO and where six countries participate (Peru, Ecuador, Cape Verde, Côte d'Ivoire, Indonesia and Senegal). The CFI-Global, despite being the umbrella program, began its activities in mid-2019, so there was an important gap with the CFI-LA which began in September 2017, so that key parts of M&E that were the responsibility of the umbrella program could not be carried out or were only partially executed (Result 3).

The final evaluation covers the regular aspects to be evaluated in a GEF project, i.e., its design (indicators, intervention logic, stakeholder consultations, etc.), implementation (financial aspects, M&E, reports, etc.), integration with other development activities (governance priorities, UNDP Country Programme), sustainability and achievement of the desired results of the project.

Correspondingly, based on the analysis of the evaluation, it seeks to extract the findings, conclusions, recommendations and lessons learned from the project and verify the achievements of the implementation of the project.

In addition, the final evaluation aims to promote responsibility, accountability and transparency; Identify good practices and lessons learned that could be useful in improving the sustainability of project benefits and assist in the overall improvement of UNDP programming and contribute to the overall assessment of the achievement of GEF strategic objectives for the benefit of the global environment.

This evaluation analyses and weighs the criteria of relevance, effectiveness, efficiency, sustainability, and likelihood of impact, using the scorecard established in the UNDP-GEF project evaluation methodology.

The evaluation covered the review of activities implemented by the project from October 5, 2017, to October 30, 2022 (including an extension of the project), where the weighting of its results covers the total period of implementation of the project and not its stages or different administrations, although these are also analyzed during the evaluation.

Finally, the final evaluation took place between August 8 and October 30, 2022.

1.2. Workplan

The evaluation had four stages that can be clearly distinguished:

Activity 1. Through an inception videoconference at the beginning of the evaluation, the presentation of the binational executing team of the project and UNDP-Peru was made. The virtual meeting addressed, broadly speaking, the progress of the project and some aspects of the areas of intervention

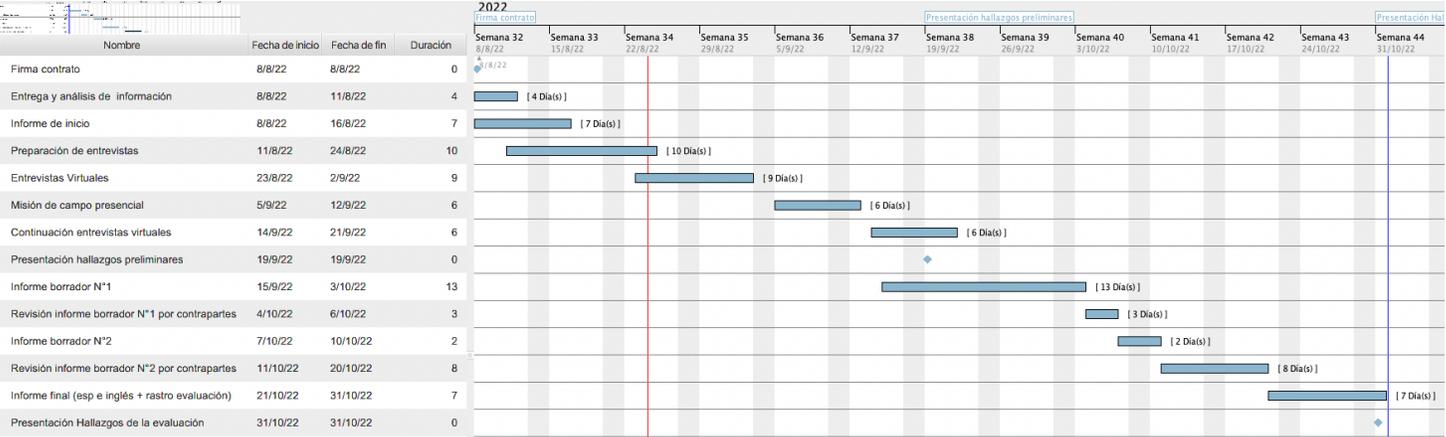
of the project, the main actors, administrative aspects, and discussion of the evaluation schedule, where it was finally agreed to finalize the process no later than October 2022.

Activity 2. Request and review of project information. UNDP sent preliminary documentation, while the PMU delivered material via a cloud disk. In the meantime, the evaluator drew up a list of additional necessary documentation, which can be found in Annex III.

Activity 3. Completion of the startup report. This activity corresponded to the development of the initiation report, which explains the objective and scope of the evaluation, as well as the methodology to be used to ensure that the evidence generated is credible, reliable and useful and that it supports the recommendations that will be derived from the evaluation. Annex II also includes the Matrix of Evaluation Questions, which specifies the main evaluation criteria and the indicators and milestones against which these criteria will be evaluated. It also includes a work plan with the breakdown of the activities to be carried out and the products to be generated, and a description of the planning of the interviews and the tentative agenda of the same. The initiation report corresponded to Output 1 of the evaluation, which was validated by UNDP and the UGP.

Activity 4. Based on what was established in the initiation report, the assessment mission consisted of remote interviews for all actors involved in both Peru and Ecuador, since the evaluator contracted COVID-19 two days before leaving for the field mission. During the interviews, an internal discussion work was carried out between the evaluator, UNDP, WWF, CI and the project execution team (**approx. 1 day**), **before interviewing the external stakeholders involved**. During these sessions, the project was discussed point by point, in order to identify the different limitations encountered to achieve the objectives, as well as the facilitating factors. The strategy of the project was also analyzed according to what was stated in the Prodoc, its logical framework, indicators, assumptions, and risks, as well as a critical analysis of the theory of change of the project. Fig. 1 shows the evaluation schedule.

Fig1: Evaluation schedule



1.3. Methodology used

According to the ToR of the consultancy, it seeks to verify if the expected results of the project were achieved, as established in its logical framework. It is worth mentioning that, although the project had a Mid-Term Evaluation (MTR) in December 2020, the scope, activities and objectives of the final evaluation are "self-contained", that is, this evaluation is carried out in a complete and extensive way, considering the changes introduced in the previous evaluations and the response delivered by the CFI-LA project to the changes proposed in them.

The overall objective of the evaluation is to assess the design and implementation of the project, in terms of relevance, effectiveness, efficiency, sustainability and probability of impact, and to contrast the expected results in the Project Document (PRODOC) with those achieved. Adaptive management - changes introduced to the project - is part of this analysis and is developed in the corresponding section of the report.

The specific objectives of the evaluation are to:

1. Evaluate the relevance of the original project design.
2. Analyze and evaluate the relevance, effectiveness, efficiency and sustainability of results.
3. Identify adaptive management strategies implemented by the project to adapt project intervention to changes in the national context.
4. Evaluate the elements that could lead to the replicability and scalability of the project results;
5. Document and feedback lessons learned.
6. Document the institutionalization of project-driven processes.
7. Assess the role and contributions of the partners and their influence in the achievement of the objectives.

The methodology used was presented and approved in the Initial Report and was developed based on the UNDP Independent Evaluation Office document "Guide to conducting final evaluations of UNDP-supported and GEF-funded projects", published in 2020.¹

As a result, all stakeholders in the process were able to provide their perspectives on the design and execution of the project, as well as identify areas for improvement. The criteria used to guide the interviews can be found in the evaluation question matrix (annex 3) and in the interview agenda (Annex 5).

On the other hand, specific questions were also included to verify how the project incorporated - both in its design and implementation - the issues of inclusion of Gender, Human Rights, marginalized groups and Indigenous Peoples, in accordance with UNDP guidelines.

Additionally, the different stages of the project were analyzed, as well as the financial and adaptive management, use of M&E tools, planning using an analysis plan that can be found in detail in Annex 3, which integrates all the dimensions of the project.

For the analysis of the achievement of results, a matrix was prepared with the indicators and final goals of the project and were evaluated according to what is indicated in the UNDP final evaluation guide, in the format shown in Table No. 1.

¹ http://web.undp.org/evaluation/guideline/documents/GEF/TE_GuidanceforUNDP-supportedGEF-financedProjects.pdf

Table 1: Ratings matrix for achieving results

| Goal/Objective/Result | Indicator | Baseline | Final Goal project (PRODOC) | Target situation during evaluation | Final evaluation comments | Rating for achievements |
|-----------------------|-----------|----------|-----------------------------|------------------------------------|---------------------------|-------------------------|
| Objective: | | | | | | |
| Outcome 1 | | | | | | |
| Outcome 2 | | | | | | |
| Outcome 3 | | | | | | |
| Outcome 4 | | | | | | |

The criteria of relevance, efficiency, effectiveness, and sustainability were determined according to the scale developed by the UNDP methodology, which is shown in Table No. 2. The concepts associated with each scale can be found in Annex 1.

Table 2: General project ratings and its criteria

| Criteria | Comments | |
|--|-----------------------------|-------------------------------|
| Monitoring and Evaluation: Highly satisfactory (HS), Satisfactory (S), Moderately satisfactory (MS), Moderately unsatisfactory (MU), Unsatisfactory (U), Highly unsatisfactory (HU) | | |
| Overall M&E Quality | (rate with a 6-point scale) | (Description of achievements) |
| M&E design at the beginning of the project | (rate with a 6-point scale) | (Description of achievements) |
| Execution of the M&E plan | (rate with a 6-point scale) | (Description of achievements) |
| Implementation Agency and Executing Agency Execution: Highly satisfactory (AS), Satisfactory (S), Moderately satisfactory (MS), Moderately unsatisfactory (MI), Unsatisfactory (I), Highly unsatisfactory (AI) | | |
| Overall quality of project implementation and execution | (rate with a 6-point scale) | (Description of achievements) |
| Implementation Agency Execution | (rate with a 6-point scale) | (Description of achievements) |
| Execution of the Executing Agency | (rate with a 6-point scale) | (Description of achievements) |
| Results: Highly satisfactory (AS), Satisfactory (S), Moderately satisfactory (MS), Moderately unsatisfactory (MI), Unsatisfactory (I), Highly unsatisfactory (AI) | | |
| Overall quality of project results | (rate with a 6-point scale) | (Description of achievements) |
| Relevance: relevant (R) or not relevant (NR) | | (Description of achievements) |
| Effectiveness | (rate with a 6-point scale) | (Description of achievements) |
| Efficiency | (rate with a 6-point scale) | (Description of achievements) |
| Sustainability: Probable (P), Moderately Likely (MP), Moderately Unlikely (MI), Unlikely (I) | | |
| Overall likelihood of sustainability risks | (rate with a 6-point scale) | (Description of achievements) |
| Financial resources | (rate with a 6-point scale) | (Description of achievements) |
| Socioeconomic | (rate with a 6-point scale) | (Description of achievements) |
| Institutional framework and governance | (rate with a 6-point scale) | (Description of achievements) |
| Environmental | (rate with a 6-point scale) | (Description of achievements) |

Methods and procedures for collecting and analyzing information

The methods for collecting the information are described below:

Document review: analysis of the project document, as well as project progress reports and other publications derived from project activities (consultancies, baseline studies, technical publications, media publications, etc.). Annex 4 provides an overview of the scope of preliminary documentation requested from the project team and UNDP.

The type of information that is analyzed corresponds to the common practice for this type of evaluation:

1. That delivered by the project team (reports, studies carried out, interviews, among others);
2. Contextual information (policies and government plans, institutional programs, studies carried out on the topics of interest of the project, among others);
3. Information integrated with other activities and policies (similar complementary projects under implementation, UNDP and government policies, municipal policies, budgets of organizations, municipalities and ministries);
4. Baseline and status information regarding the project.
5. Reports and studies of other independent entities that served as a means of triangulation.

Interviews with key informants: 34 interviews were conducted (see Annex 5), including the project team, UNDP, government officials involved in the project, participating NGOs, municipalities and community organizations in both countries, among others. To this end, a series of open and semi-structured questions were elaborated and asked to the interviewees. In a first approximation, the interviews with the key actors would be carried out in a "hybrid" modality, that is, the officials of the governments of Peru and Ecuador, UNDP, WWF, and CI would be done remotely, while the final beneficiaries of the CFI-LA would have face-to-face interviews due to their poor connectivity.

Focus group interviews: Because the project involves diverse stakeholder groups, the evaluation included conducting face-to-face group interviews with project beneficiaries. Unfortunately, two days before leaving for the mission, the evaluator contracted COVID-19, so the mission had to be canceled and all interviews were conducted online, so there was no possibility of field visits to a sample of pilot projects, so it was difficult to grasp the magnitude of the project interventions without presence in the field.

For the analysis of the information collected, triangulation or crossing of information was used to verify key situations in the context of project execution, with that information delivered in interviews and progress reports and other publications, so that the conclusions obtained are balanced and as objective as possible to avoid the bias of the informants.

Interviews with key project stakeholders provided alternative information and viewpoints to what was delivered by the project team and UNDP. These interviews were conducted with as many actors as possible with the aim of partially compensating for the subjectivities and bias of the informant. The opinions expressed by the informants were contrasted with other sources of information, such as reports from other institutions, background information and differences found with other informants. It is worth mentioning that the interviews conducted (individual and group) were of a confidential nature and did not have the participation of project staff or UNDP, in order to protect the confidentiality of the source.

To visualize the adaptive management of the project, the PRODOC and its assumptions, risks, indicators, results, etc., were contrasted with the actual progress of the project and with the strategies developed to face the changing context of the country, in order to verify that the necessary adjustments have been made in order to meet the objectives and expected results of the project. This same exercise was carried out to determine the relevance and participation of actors.

A breakdown of the assessment questions used in this process can be found in Annex 3.

Criteria for sampling project actors and sites

The project includes a diversity of actors involved in the management, protection, planning and surveillance of coastal marine areas in Ecuador and Peru, as well as several community-based organizations related to the seven selected fisheries. Table N°5 of Section 2.4 shows the type of actors and the number of organizations involved in the IFC-LA, which concludes that about 162 actors including national, regional, and provincial and local authorities and NGOs were involved in the execution of the project. From these data, groups of beneficiaries from the different fisheries and

regions in both countries were chosen, in addition to identifying government officials and regional and local authorities involved in the project.

Annex 5 shows the actors interviewed during the round of virtual interviews and whose number reached 66 people, covering public and private institutions, among which was the UGP, officials involved in the CFI-LA in Ecuador and Peru, private companies, WWF, and CI among others.

The main criterion for selecting informants was their degree of authority and involvement with respect to each specific issue addressed by the project, whether as local and provincial government, planning and monitoring of biodiversity in marine-coastal spaces, field-level implementing partners and community organizations. All these testimonies provided an overview of the level and approach of implementation of the different activities of the project, whether at national, regional, and local levels.

Finally, the selection of interviewees also covered different locations, such as, for example, Lima, Piura and Tumbes in Peru and Manta, Guayaquil and Machala in Ecuador.

Inclusion of Gender, Human Rights, Indigenous Peoples and marginalized groups

The evaluation questions and interviews included specific issues affecting women, and other marginalized groups benefiting from the project, as there are no indigenous peoples in the intervention areas. The analysis was not limited to the number of these actors participating in project activities, but specific questions were asked about: (i) how the project addressed these dimensions; (ii) whether these groups' own demands were collected for incorporation into the project; and (iii) whether there were specific activities for them and whether gender-specific information was collected.

In addition, we analyzed whether the project developed a specific approach for these groups and whether the necessary information was collected to follow up on the activities planned to address these issues. Finally, it is worth mentioning that in the localities of intervention of the project there were no indigenous peoples.

Financial analysis

The financial analysis was based on the expenditure and co-financing figures provided by the project team, contained in the annual CDRs and also on information from UNDP's ATLAS system for the period October 2017 - August 2022. This exercise attempted to capture general aspects of budget execution, such as the weight of project staff expenditure within the total budget, the evolution of expenditure per year and by product, expenditure on consultants, etc. UNDP procurement standards were also verified through interviews with UNDP procurement and project staff, along with the review of some major procurement. It is worth mentioning that CI was responsible for outputs 1.3, 1.4, 1.5 and 2.1, while outputs 1.1 and 1.2 were the responsibility of WWF, to whom direct transfers were made from UNDP headquarters in New York, so the expenses analyzed by the NGOs are based on the reports they issued to the UGP.

The matrix of evaluation questions (Annex 3) presents an approximation of the type of information you wanted to review and its sources.

Evaluation Ethics

The evaluator signed a code of conduct in accepting the assignment, and the evaluation was conducted in accordance with the principles outlined in the United Nations Evaluation Group's "Ethical Guidelines for Evaluations". The interviews were conducted in such a way that the evaluator did not include questions or comments that would lead to biased answers and the interviewees were given assurance that all their statements would be kept confidential and that no specific quotes would appear in the evaluation report to maintain that confidentiality.

Strengths and limitations of the methodology

One of the main limitations for the present evaluation was the impossibility of the evaluator – due to the contagion of COVID-19 – to carry out field visits to the different intervention sites to directly

observe the achievements and investments of the project, to interview face to face all relevant actors. This was an important limitation since it allows to obtain a perception and weighting of the magnitude of the different interventions of the project adjusted to the different contexts in which they were developed.

On the other hand, because many testimonies of the interviewees are qualitative and subjective, there is a risk of "informant bias" that could distort the reality of the project.

To mitigate these risks, a large number of people with different roles within the project were interviewed, whether they are part of its management, collaborators, complementary partners or final beneficiaries. On the other hand, the testimonies were confronted with secondary information such as, for example, publications in various media and project reports, etc. It was possible to triangulate the information from the different sources consulted, which allowed to reduce the bias of the informant and at the same time ensured a representative number of actors.

The evaluator decided not to develop questionnaires because in his experience it is appreciated that, in general, the response ratio is relatively low (about 20%) and probably these questionnaires would be answered only by those who have stable access to the internet.

1.4. Estructure of the evaluation report

The present report has five sections. Its ***cover shows*** a general information of the project (amounts, identification codes, implementing and executing agencies, deadlines, etc.), followed by ***an executive*** summary where the reader can find a summary of the project, the main findings, recommendations and conclusions, in addition to the general rating of the project and a list of abbreviations used in this report.

In Section 1: Introduction, the scope and objectives of the evaluation work can be found, as well as a detail of the methodology used and the main milestones of this work.

Below, ***Section 2 focuses on the analysis*** of the country's development context regarding the problems to be addressed and how to address it, detailing the expected deadlines for the execution of the project, its global and development objectives, the expected results, and key indicators, as well as the coordination and partnership arrangements with key actors involved.

Section 3 contains the findings of the evaluation, covering the ***design, implementation*** (financial and activities), the ***results obtained*** and their ***sustainability***. At the end of this section, the ***rating of the project is found.***

Section 4 shows all findings, recommendations and lessons learned. Finally, ***Section 5 corresponds to the annexes,*** where are shown -among others- the ToR of the evaluation (Annex 1), the Logical Framework Matrix of the project (Annex 2), matrix of evaluation questions (Annex 3), the list of revised documents (Annex 4), the interviewees and the interview agenda (Annexes 5 and 6), the evaluation trail (Annex 8) and the analysis of the indicators (Annex 10).

2. Project description and development context

2.1. Project start and duration

The project was approved by the GEF General Director in December 2016, while the PRODOC was signed by the governments of Peru and Ecuador on October 11 and September 5, 2017 respectively. According to the latter document, the CFI-LA would have a planned duration of 48 months; That is, it would end on September 5, 2021, but for management reasons and the pandemic, the project was extended until October 30, 2022, that is, the total duration of the project was 61 months. The execution would be the national execution modality (NIM), in which MINAM would be the national executing entity in Peru and the Ministry of Production, Foreign Trade, Investment and Fisheries (MPCIP) and the Sub-Secretariat of Coastal Marine Management (SGMC), through its partners WWF and Conservation International (CI) as the executors in Ecuador. The UNDP country office in Peru would be the lead implementing agency of the GEF, whose role was to oversee the entire project and directly manage the binational and Peruvian components, while the UNDP-Ecuador office also served as the implementing agency that managed the Ecuadorian results and products of the project.

The first CFI-LA coordinator was hired in March 2018, six months after the project began.

2.2. Issues that the project intended to address

The project is part of the CFI (Costal Fisheries Initiative) Global Program, which was developed to demonstrate holistic processes and promote integrated approaches to the management and use of coastal fisheries in an inclusive manner, in order to address overfishing and weak governance of marine-coastal spaces globally.

The Coastal Fisheries Initiative in the Southeast Pacific Ocean (CFI-LA) is a joint effort of the fisheries and environmental authorities of Ecuador and Peru. Both countries share the rich biodiversity and fishery resources of the transition zone between the Great Marine Ecosystems of the Humboldt Current and the Central American Pacific. In this area, there are important fisheries (angled tuna, dorado, shrimp pomada, red crab, black shell and mussels), which have had an uncontrolled expansion driven mainly by an increase in market demand, policies of free access to resources, lack or deficiency of regulations, surveillance, and sanctions. Underlying these problems are the weakness of GOREs in Peru, lack of decision-making capacity by authorities, lack of intersectoral dialogue, and limited marine-coastal planning capacity.

2.3. Project description

2.3.1 Immediate and development objectives of the project

The objective of the project is to demonstrate holistic ecosystem-based management and improve governance in seven fisheries located in the northern sector of the Gulf of Guayaquil (Ecuador) and in the Bay of Sechura (Peru). The expected medium-term impacts are improved governance arrangements for small-scale and artisanal fisheries and coastal and marine areas in Ecuador and Peru. In the long term, it is expected that this will result in better management and, therefore, in sustainable fisheries that produce social, economic benefits without affecting the good status of the ecosystem. The lessons of the project were also expected to be useful for other countries in Latin America and the Caribbean, and other regions of the world.

To achieve its mission, the project contemplated 3 results:

1. Establish enhanced enabling conditions for the governance of seven coastal fisheries in Ecuador and Peru,
2. Establish enhanced enabling conditions for marine and coastal spatial planning in Ecuador and Peru,

3. The lessons and good practices to improve fisheries governance and marine and coastal spatial planning have been shared with key actors in each country, between countries, IFC partners, and globally.

The areas of intervention of the project were as follows and involve approximately 28 community-based organizations.

Table N°1: Project intervention areas

| <i>Ecuador</i> | <i>Peru</i> |
|-----------------------|--------------------------------|
| Anconcito | Piura |
| Playas | Sechura |
| Chanduy | Paita |
| Posorja | Mangroves of San Pedro de Vice |
| | Virrilá Estuary |
| | Illescas Reserved Area |

Fig. 1: location of the intervention



The implementation of the project required coordination with several key institutions, of which we can mention the SERNANP attached to MINAM, IMARPE, district municipalities, the GORE of Piura and Tumbes, NGOs, Produce, the General Directorate of Valuation and the General Directorate of Biological Diversity of MINAM. In Ecuador, coordination would be, among others, with the SRP, MPCEIP among others.

The project should have achieved the following goals during its 4 years of implementation:

Table 3: Main goals associated with products established in Prodoc.

| Product | Product declaration | Ecuador | Peru |
|---------|---|--|--|
| 1.1 | Ecuador's PAN Dorado improved and updated with strengthened governance arrangements | <u>The new governance system will be</u> formalized by means of an appropriate legal instrument. In addition, there will be an independent evaluation of the action plan for the conservation and management of dorado (PAN Dorado), and a new version will be prepared for the period 2017 – 2022. Binational roundtable to exchange information and harmonize regulations. | N/A |
| 1.1 | Ecuador's PAN Dorado improved and updated with strengthened governance arrangements | <u>Optimized Monitoring Scheme</u> design for Dorado Resource Monitoring Manual and Fisher/shipowner training module design for participatory monitoring. Train the trainers, so that they can train fishermen and shipowners. | |
| 1.2 | PAN for Ecuadorian shrimp pomada, improved and updated with strengthened governance arrangements. | <u>The new governance system and updated regulations for the three components of the fishery</u> (trawl, changa, bag) <u>will be formalized</u> by means of an appropriate legal instrument. The <u>current PAN pomada will have an independent evaluation</u> and a new version 2020 – 2025 will be prepared based on the lessons of the project. | N/A |
| 1.3 | Ecuador's New Provincial Action Plan for Black Shell | <u>A governance system will be developed for the province of El Oro</u> , to serve as a model for other coastal areas of the country. | N/A |
| 1.4 | New Crab PAN of Ecuador | <u>Develop governance systems</u> for red crab/mangrove crab fisheries. The work will focus on the eastern sector of the Gulf of Guayaquil, but the <u>learnings will facilitate the preparation of a national action plan</u> for the conservation and management of the red crab (crab PAN). | N/A |
| 1.5 | New Ecuador's PAN for pole and line tuna | <u>A national action plan will be prepared</u> , including actions to address key issues such as traceability and bait provisioning. | N/A |
| 1.6 | Updated management arrangements for mussel and crab in Peru | N/A | <u>Develop governance systems for crab and black shell fisheries in the Tumbes</u> mangroves. This system will include the Tumbes Mangroves National Sanctuary and its buffer zone. Work with mussels will include tests to move towards artisanal aquaculture production of artisanal fishermen The new governance arrangements will be formalized through an appropriate legal instrument. |

| Product | Product declaration | Ecuador | Peru |
|----------------|--|---|---|
| | | | During the first year, the project will support the fine-tuning of juvenile production. Then, in years 2 and 3, the juveniles raised in <i>Puerto Pizarro</i> will be used for transport, conditioning and growth tests in the wild under different methods and conditions.. |
| 1.7 | Strategic Plan to Strengthen Fisheries Governance and Management in Peru's Regional Governments | N/A | An analysis of the <i>situation</i> will be prepared, and <i>pilot actions will be carried out</i> to strengthen the capacities of the regional governments of Tumbes and Piura. <i>Lessons from the two pilots will be used to prepare a strategic capacity building plan</i> for Peru's regional governments to manage artisanal fisheries. |
| 2.1 | Marine and coastal spatial plan for the northern Gulf of Guayaquil (Ecuador) | SGMC will supervise, NOAA's methodology and tool will be used as train the trainers. <i>Marine and coastal spatial planning (CMSP) pilots will be implemented</i> in the Gulf of Guayaquil. A public-private advocacy group will be established at each site to guide the process; The promoter group will be cultivated as a community of practice. <i>The end product will not be the plans, but the lessons</i> on using tools and methods for CMSP. | N/A |
| 2.2 | Marine and coastal spatial plan of Sechura Bay (Peru) | N/A | MINAM will supervise, NOAA's methodology and tool will be used as "train the trainers". Marine and coastal spatial planning (CMSP) pilots will be implemented in Sechura Bay. A public-private advocacy group will be established at each site to guide the process; The promoter group will be cultivated as a community of practice. |
| 2.3 | Lessons from the use of the Ocean Health Index in Ecuador and Peru | 2.3.3. Technical report on OHI in Ecuador | 2.3.4. Technical report on OHI in Peru |
| 2.3 | Lessons from the use of the Ocean Health Index in Ecuador and Peru | 2.3.5. Document on learnings and recommendations on the use of IHO in Ecuador. | 2.3.5. Document on learnings and recommendations on the use of IHO in Ecuador |
| 3.1 | Electronic platform to facilitate communication among stakeholders and dissemination of lessons and best practices | 3.1.1. Communication strategy for specific groups and sites. Websites and other digital media | 3.1.1. Communication strategy for specific groups and sites. Websites and other digital media |
| 3.2 | Lessons and best practices documented and disseminated | 3.2.1. Learning experience documents that systematize the core project experience | 3.2.1. Learning experience documents that systematize the core project experience |
| 3.3 | Experience with the documented and disseminated Fisheries Performance Indicator | 3.3.3. Technical document on the IPF for each of the project fisheries (5 fisheries) and other fisheries applying to the CFI Challenge Fund (3.3.3) (3.3.4). 3.3.4. document on experiences learned and 3.3.5. recommendations on the use of the Fisheries Performance Indicator in Ecuador | 3.3.3. Technical document on the IPF for each of the project fisheries (5 fisheries) and other fisheries applying to the IFC Challenge Fund (3.3.3) (3.3.4). 3.3.4. document in experiences learned and 3.3.5. recommendations on the use of the Fisheries Performance Indicator in Peru |

2.3.2 Established reference indicators

The project contains a portfolio of 11 indicators included in its results framework, which are shown in Table No. 4, as they appear in Prodoc. ***As it will be discussed in Section 3.1.2 of this report, these indicators do not meet the SMART criterion*** because they are very ambiguous and general, some are product-specific, and others cannot be measured reliably. It is worth mentioning that the UGP made an adjustment of these indicators as a result of the recommendations made by the MTR. As with the case of the initial Prodoc indicators, ***adjusted indicators will also be discussed in Section 3.1.2.***

A detailed analysis of the indicators can be found in Annex 10.

Table N°4: Main indicators of the CFI-LA

| N° | Indicator statement |
|------------------|--|
| Objective | |
| 1 | Number of fisheries with new or improved management regimes (e.g., better governance, co-management, secure tenure or access rights regimes). |
| 2 | Percentage of landings included in new or improved management regimes. |
| 3 | Number of people (men and women, by nationality) benefiting from strengthened livelihoods through solutions to improve fisheries management. |
| Results | |
| 4 | Number of new or improved instruments to strengthen the governance of coastal fisheries in Ecuador and Peru. |
| 5 | Number of people (men and women, by nationality) who have had training (formal, non-formal and on-the-job) on key issues of improved fisheries governance and sustainable fisheries management. |
| 6 | Number and area (ha) of marine and coastal protected areas with formal participatory fisheries governance schemes. |
| 7 | Area (ha) under marine and coastal spatial planning processes in each country |
| 8 | Area (ha) of marine and coastal protected areas included in marine spatial planning processes in each country |
| 9 | Number of people (men and women, by nationality) who have had training (formal, non-formal and on-the-job) in methods and tools for marine and coastal spatial planning and the calculation and use of the Ocean Health Index. |
| 10 | Number of people (men and women, by nationality) who have participated in events to disseminate lessons and good practices (e.g., workshops, study tours, seminars, IWC) |
| 11 | Number of monthly visits (annual average) registered in the network of electronic platforms used to disseminate learning and good practices of the project |

2.4. Main interested parties

The main stakeholders of the project in Peru were MINAM and Produce, the GOREs of Tumbes and Piura, in Ecuador were the MPCEIP, the Ministry of Environment, Water and Ecological Transition, Conservation International and WWF, along with other actors such as the Sub-Secretariat of Coastal Marine Management (SGMC). The fishing communities of the intervention areas were the final beneficiaries of the intervention in both countries. The total number of institutions and organizations involved reaches 162 as shown in table No. 5, which provides a summary of the type of actor, the number of organizations involved and their participation in the different components of the CFI-LA according to the information provided by the project executing team.

Table 5: General list of main actors of the project and roles identified by documentary review

| Country/Name of participating organizations | CFI-LA component/ N° of participating organizations | | | |
|--|---|--------------------|--------------------------------|---------------------------------|
| | Knowledge Management and Gender | Project Management | Artisanal fisheries governance | Coastal Marine Spatial Planning |
| Binational | | 10 | | |
| International Cooperation of the Ministries of Environment Peru and Ecuador | | 2 | | |
| Project Board of Directors | | 7 | | |
| UNDP | | 1 | | |
| Ecuador | 1 | | 98 | 5 |
| Conservation International | | | 1 | 2 |
| Cooperative of Artisanal Fishing Production and Related Sugarcane of Manta | | | 1 | |
| FENACOPEC (National Federation of Artisanal Fishing Cooperatives of Ecuador) | | | 1 | |
| Decentralized Autonomous Government of Manabí | | | | 1 |
| Decentralized Home Rule Government of St. Helena | | | | 1 |
| Public Institute for Aquaculture and Fisheries Research | | | 1 | |
| Ministry of Environment and Water | | | | 1 |
| Red crab extractor organizations | | | 30 | |
| Organizations of mussel extractors | | | 21 | |
| Shrimp pomada fishermen's organizations | | | 34 | |
| Organizations of dorado fishermen | | | 7 | |
| Undersecretariat of Fisheries Resources of the Ministry of Foreign Trade, Investment and Fisheries | 1 | | 1 | |
| WWF | | | 1 | |
| Peru | 37 | | 11 | 10 |
| Consortium Los Manglares del Noroeste del Perú | | | 1 | |
| DIREPRO Piura | | | 1 | |
| DIREPRO Tumbes | | | 1 | |
| Small start-up | 4 | | | |
| Regional Government of Piura | | | | 1 |
| Incabiotec | | | 1 | |
| Ministry of Environment - DGDB | | | | 1 |
| Ministry of Environment - DGOTA | | | | 1 |
| Vice District Municipality | | | | 1 |
| Provincial Municipality of Sechura | | | | 2 |
| Social Organizations of Artisanal Fishing | | | 5 | |
| PRODUCES | | | | 2 |
| SERNANP Lima | | | 1 | 1 |
| SERNANP Piura | | | | 1 |
| SERNANP Tumbes | | | 1 | |
| CREDIT AND SAVINGS UNIONS in Piura | 21 | | | |
| CREDIT AND SAVINGS UNIONS in Tumbes | 12 | | | |

3. Findings

3.1. Project design and formulation

This section will discuss only those aspects of project design, as described in Prodoc, without considering the changes introduced during the execution of the project, which will be addressed in Section 3.2.

The project was designed between 2015 and 2016, so it corresponds to a GEF-6 and is also a project derived from the CFI-Global, which seeks to address the problems of overfishing and degradation of marine-coastal resources in various parts of the world. In this aspect, the CFI-LA is a binational project because Peru and Ecuador share an extensive portion of coastline with a rich biodiversity that unfortunately is decreasing in the case of the seven selected fisheries. The Prodoc identifies eight main barriers to good marine-coastal governance, which would be: i) policies of free access to fishery resources, ii) political pressures from users, iii) poor cooperation between authorities and key actors, iv) artisanal fisheries considered as not important, v) limitations of the authorities to exercise their powers, (vi) limited adaptive capacity for decision-making, (vii) limited experience in marine spatial planning, and (viii) unclear or overlapping jurisdictions.

The CFI-LA would contribute to overcoming barriers (i), (iii), (v) and (vii), i.e. limiting access to fishery resources, improving inter-institutional dialogue and dialogue with key stakeholders, contributing to gaining experience in marine spatial planning, and improving the capacities of Peruvian GOREs to apply their authority in fisheries issues (although this is also necessary for the Ecuadorian authorities). This would be achieved through the practical use of planning and agreement-making instruments by the authorities and users of the coastal marine spaces selected in both countries (Gulf of Guayaquil in Ecuador and Sechura Bay in Peru) and seven artisanal and medium-sized fisheries of importance to both countries. The replication and scaling of project results would be achieved through the exchange of experiences and the establishment of a knowledge management system that would be available globally.

The project strategy was based on four elements:

1. Establish a community of practice with fishermen, key actors and authorities from both countries.
2. Implement practical experiences in specific fisheries and sites. Seven fisheries were selected to test tools and concepts (e.g., TURFs, participatory monitoring, traceability systems, self-organized management) to address key fisheries governance issues. In addition, two geographic locations were selected to explore marine and coastal spatial planning, including coastal fisheries and MPAs.
3. Systematically document, exchange and disseminate experiences and lessons within each country, between both countries and among IFC participants.
4. Apply lessons to improve existing fisheries governance schemes or implement new schemes. Lessons from the job sites would generate guidelines for advancing marine and coastal spatial planning in both countries.

Fig.1 shows a simplified scheme of the causes of the problem to be solved and the actions to be taken to achieve the desired effect according to the logic established in Prodoc, it should be mentioned that this document does not contain a theory of change expressed in a scheme that shows the assumptions and drivers involved in the subject.

3.1.1. Analysis of the logical and Results Framework

This project can be considered as a pilot project that seeks to explore the possibilities of cooperation between the different governmental instances at the national level, regional and local authorities and organized actors of civil society and private sector companies existing in the different territories involved, in order to carry out a coordinated management to manage the selected marine-coastal spaces. It was already mentioned above that this project is a sub-project of the CFI-global, where it tries to reduce the overfishing existing in different marine-coastal locations worldwide. In this regard, the CFI-LA hopes to achieve a first-rate result of the global IFC, that is, to create the enabling conditions – those that are not clearly defined – to achieve institutional changes and behavior of the actors.

Regarding the objectives of the CFI-LA, it is worth mentioning that the primary objective of the GEF is to protect the marine-coastal biodiversity of global importance in the 2 countries, in order to prevent overfishing and the depletion of resources, so the objective set out in Prodoc is not consistent with the global environmental objective of the GEF that -in this case- would correspond to the protection of marine-coastal ecosystems in both countries. Holistic management would correspond more to an instrument or development objective that leads to the ultimate goal which is to preserve marine-coastal biodiversity.

From the analysis of the CFI-global it can be concluded that the enabling conditions are those that involve the development of management policies and productive and market incentives that make it possible to change the baseline situation of the problem. These changes are related to the actors that obtain the necessary incentives to change their current practices (public institutions, fishermen and productive chains mainly), whose basic condition is that they "are in application" or "under implementation".

The strategy followed by the CFI-LA project differs from that of its "umbrella" project in that it does not define key concepts such as "enabling conditions" or "enhanced governance". The annexes to Prodoc provide some definitions for "fisheries governance" and "governance", indicating that the former is the sum of political, legal, social and economic arrangements used to manage fisheries, while the latter implies a process of interaction and decision-making between actors collectively involved in a particular problem leading to the creation, strengthening or reproduction of social and institutional norms. Although both terms are used interchangeably in Prodoc, the prevalent meaning refers to "fisheries governance" so the focus of the CFI-LA would be focused on sectoral, legal or regulatory, social and economic policy aspects. Indeed, the objective of IFC-global and IFC-LA was to demonstrate in selected locations and fisheries an integrated management strategy that included legal, economic and environmental incentives in order to draw lessons learned and proceed to scale and replicate experience at the national, regional and global levels. It is worth mentioning that the CFI-Global and the CFI-LA were processed by the GEF almost in parallel. As reported during the interviews, the approval of the CFI-Global occurred after that of the CFI-LA, so the first -which looks more robust- would have taken the lessons learned from the elaboration of the second, thus explaining the differences between both projects.

In practice, the CFI-LA focused on strengthening the concept of "governance", where the associativity of the actors in discussion tables for the management of fishery resources in both countries was privileged, the elaboration and updating of national action plans in some fisheries in Ecuador and management plans in Peru, marine-coastal planning and training for government actors and fishermen's organizations. However, aspects of improving value chains and alternative activities during closed times were marginally addressed by the project and there is no clear correlation between the care of marine-coastal resources and livelihood improvements for artisanal fishers.

The statements of desired results of the project do not consider a fundamental aspect that characterizes an outcome, which is the expression of a change of situation through a specific action of the actors involved. As an example of the above, Outcome 1: "Improved enabling conditions for the governance of seven coastal fisheries in Ecuador and Peru" is indefinite and, in addition, the narrative refers

mainly to obtaining some products (action plans, for example) that would establish a basis for a change in the behavior of the actors involved. However, in the case of Ecuador, several of these plans already existed before the project and their application had been very partial, so their updating would not imply an assured advance of their application or a greater commitment of the actors in this regard. The same ambiguity is observed in Outcome 2: "Improved enabling conditions for marine and coastal spatial planning in Ecuador and Peru", which would correspond to the execution of a PMEC exercise and determination of the IoT in localities of Peru and Ecuador. In this case, confusion is compounded by the assertion that the products will not be the plans, but the lessons learned from experience. Such a concept is not correct, since the results and outputs must be clearly established in a project document, where at the end and in a separate component on knowledge management the lessons learned, and good practices are extracted for the set of actions and expected results of the experience. The outcome 3: "Lessons and good practices to improve fisheries governance and marine and coastal spatial planning have been shared with key actors within each country, between both countries, and with global partners of the IFC programme" would be the backbone of the project. In this case there is some duplication with component 2 (the product would be the lessons learned), but beyond that, its scope is limited to sharing the lessons through direct exchange between the parties and the implementation of a web page where the different project documents would be available. In this regard, the requirements for GEF projects commonly include the development of an exit strategy and defined actions and indicators for the replication and scalability of pilot experiences.

Another aspect that is important with respect to result 3 is that it introduces an M&E system that would correspond to the measurement of progress in the intervened fisheries through the evaluation of the performance of the fisheries intervened by the project (FPAI), but which, however, does not appear in the execution reports or in Prodoc. In the same way, this CFI-LA results monitoring system is not found in the project indicators, so this component is diffuse and incomplete in this aspect, relegated only to the communicational issue² and exchange of project experience, leaving aside the aspects of M&E. The UGP reported that the FPAI monitoring tool and scaling were the responsibility of CFI-Global, with which there was an implementation lag of almost 2 years (CFI-Global began in 2019) that resulted in the delay in the design and implementation of the aforementioned M&E tool. In this regard, the above reveals a deficiency in the design of the CFI-LA, since its results should not depend on third parties over whom there is no type of control by the project.

It should also be mentioned that both the results framework and the ToC do not provide a cause-effect vision between activities, products and results of the project, so there is no logical temporal sequence and priorities in the activities nor how they relate to the change that is desired to occur, both in the actors and in the ecosystems. This weakness was also detected in the MTR carried out in 2020. Finally, Prodoc observed the absence of formal commitments that government institutions and beneficiaries should fulfill, which mainly undermines the appropriation of the results of the project. These commitments would be, for example, the responsibility to set standards, allocation of budgets for specific activities, establishment of a sustainability strategy with specific, responsible milestones and achievable timelines. In the latter case, before closing a project, there should be an agenda of concrete commitments between UNDP, key actors and authorities to implement activities and outputs that may have become incomplete or pending and to maintain governance activities at a similar pace as during project implementation, or to scale some, such as digitalization for fishing activities of GORE from other regions, since the application developed by the project can address any type of fishery, or joint work on issues identified as common and legalization of pending monitoring and governance aspects (Ecuador).

These project design problems, with non-SMART indicators and inadequate performance statements, mainly affected component 3, where it was very difficult to assess achievements and therefore assign the appropriate rating. Table No. 6 shows the analysis carried out for the statements of results of the project, according to the understanding of the evaluator.

² Prodoc; Paragraphs 20,76.

Table N° 6: Analysis for the declaration of results of Prodoc

| <i>Prodoc Strategy</i> | | <i>Comment</i> | <i>Recommendations for the Outcome</i> |
|------------------------|---|---|--|
| Objective | | | |
| O.1 | <i>Demonstrate holistic ecosystem-based management and improved governance in coastal fisheries in the Southeast Pacific.</i> | The primary objective of the GEF is to promote actions that reduce environmental damage, the protection of biodiversity and the consequences of climate change at the global level, through various types of interventions (strengthening, planning, governance, investment, dissemination, and awareness, among others). Therefore, the primary objective of the project would be to improve the status and resilience of marine-coastal ecosystems in Ecuador and Peru.. | Contribute to the sustainability of marine and fisheries resources through the application of marine-coastal governance and planning schemes that benefit the resilience and livelihoods of the communities involved. |
| Results | | | |
| R1 | <i>Enhanced enabling conditions for governance of seven coastal fisheries in Ecuador and Peru</i> | The statement of the result is confusing. From the reading of Prodoc it can be deduced that in reality these are pilot projects that seek to strengthen the actors, achieve governance agreements between institutional actors and users of the AMC, develop mechanisms for control and monitoring of catches and the value chain. Therefore, there is a lack of a more concrete definition of what is meant by "enhanced enabling conditions", which look more like a product than an outcome. Indeed, a result is the use of the products and/or a change in the attitude or basic state of the environment or institutions in this case. | It would be advisable to prepare statements of results such as the following example: "governance schemes that meet recognized international standards applied by strengthened institutions and users of selected fisheries". |
| R2 | <i>Enhanced enabling conditions for marine and coastal spatial planning in Ecuador and Peru</i> | IDEM before | It would be advisable to develop statements of results such as the following example: "coastal marine planning tools applied by strengthened institutions and users in selected sites". |
| R3 | <i>Lessons and good practices to improve fisheries governance and marine and coastal spatial management have been shared with key actors within each country, between both countries, and with global partners of the IFC program..</i> | This result statement corresponds to an activity. The concrete result desired in this case is the replication of the governance, monitoring and coastal marine planning schemes applied in the pilots, thanks to the dissemination and exchange of experiences. According to the CFI-LA narrative, component 3 would also result in the evaluation of the performance of the fisheries intervened by the project (FPAI), which ultimately loses visibility throughout the project. | This result could be better reflected as follows: "N° of governance, monitoring and coastal marine spatial planning schemes replicated/scaled in Ecuador, Peru and at regional and global levels". With respect to M&E and FPAI the result could be: "fisheries performance is improved by the application of good practices and monitoring systems implemented by the actors involved and measured by the FPAI". |

3.1.2. Indicators

As mentioned above, Prodoc contains 11 indicators with different targets for each country and fishery. These indicators are not SMART and correspond mainly to products, which are not useful to measure a change in the behavior of the actors of the fisheries intervened.

For example, the project objective indicator is defined as "Number of fisheries with new or improved management regimes (e.g., better governance, co-management, secure tenure or access rights regimes)" this would correspond to a product, since an objective/result indicator is defined as the "use of a product or service". In this specific case in use it would be equivalent to saying "under implementation" because the mere fact of having a formal governance scheme does not mean its adoption.

On the other hand, the "% of fishing landings included in the new and improved management regimes" is difficult to measure, because it would imply first the adoption of these schemes and their monitoring in all fisheries with these plans -which in the case of Ecuador- are national. Because implementation of the new plans occurred in only a few specific locations, landings with "sustainable fishing" would only come from the pilot locations and not from the entire fishery involved. Therefore, a more effective indicator would be the measurement of fisheries management effectiveness in pilot areas, which involves several dimensions of fisheries (economic, social and environmental).

There are other indicators that are measures of activities, such as "number of people trained" and that measure only the attendees of a type of event that does not necessarily mean a change in behavior and, consequently, the application of what has been learned.

A breakdown of the SMART analysis for project indicators can be found in Annex 10.

It is worth mentioning that as a result of the MTR - which also made observations on the Prodoc indicators -, the UGP made a series of changes in these, which will be analyzed in detail in Section 3.2.1 on "Adaptive Management". As a general comment on these changes, it is observed that the same logic as the indicators questioned is maintained, since the UGP avoided making substantive changes because the GEF requires a process of changing indicators that must be very justified and that can last several months, which would have further delayed the execution of the CFI-LA. Because of the above, the indicators only had minor changes in some cases, maintaining the ambiguity of the originals.

3.1.3. Assumptions and risks

Prodoc identifies six risks for the implementation of the CFI-LA, among the most important are changes of authorities at all levels, which leads to a possible rotation of authorities and intermediate officials that could negatively affect the progress of the project. Although these risks are real, there are other equally important ones that have not been considered in Prodoc, such as poaching in the areas under project intervention, transboundary fishing, immigration to these areas and the lack of control and surveillance in the project's fisheries. In this respect, the proposal does not provide adequate mitigation measures. Other risks such as those associated with the El Niño and La Niña cycles do not present concrete measures, but those to address the impacts of climate disasters and vulnerability seem reasonable.

In addition, there were other important risks associated with chemical contamination problems in the lower part of the intervened basins in both countries (agrochemicals, mercury mining).³

The situation of illegality of fishing carried out by artisanal shrimp pomada fishermen in Ecuador, initially made it practically impossible to initiate participatory governance processes, since the other

³ This problem was also detected in the MTR.

key actor - which is fishing with shrimp boats - is legal, with defined area allocations and well regulated - caused a critical conflict between these two actors.⁴

Therefore, the situations described above highlight the importance of updating the risks and assumptions of the project – together with the relevant actors – during its conception stage.

With regard to assumptions, these mainly concern the willingness of national, regional and local authorities, as well as that of key actors in the marine-coastal sector to make the desired changes in the governance of fisheries resources. However, while valid, these assumptions are also general and are presented in all GEF project proposals. The same applies to the adaptive measures presented in the IFC-LA results matrix.

Por lo tanto, se puede afirmar que los supuestos y riesgos presentados en el Prodoc no abordan problemas claves ni presentan medidas de mitigación efectivas. En el informe de la MTR se afirma que, si una propuesta de proyecto presenta riesgos muy relevantes y difíciles de abordar, ésta correría el riesgo de no ser aprobada por el GEF⁵, por lo que aparentemente los países preferirían mostrar riesgos moderados para evitar una situación de este tipo.

3.1.4. Lessons from other relevant initiatives included in the project design

The project document presents a considerable amount of bibliographic citations regarding different concepts, such as, for example, governance and conditions conducive to its successful installation in different fisheries. Annex 12 also includes a list of projects with which it could collaborate and/or complement, but there is no section showing the experience of previous projects in both countries and how the lessons learned from them were applied in the design of the CFC-LA, establishing briefly that the project will take advantage of those experiences, mainly those developed by CI and WWF.

3.1.5. Planned stakeholders' participation

The CFI-LA contains a section where stakeholders and their relationship with the project are analyzed, as well as identifying their roles in the different outcomes. The actors identified cover a wide range of institutions, community-based organizations, NGOs, businesses, GOREs, district autonomous governments and municipalities. However, the responsibilities established for the different groups are not clear and those in which the authorities would have interference, are established very generically (e.g. Government of Peru) and are focused on CI, WWF and the UGP in terms of executors. It would be expected that each component would specify the responsibilities of authorities such as the SRP, IATA in Ecuador or the GORE of Peru to cite a few examples. Instead, Prodoc places them at the level of final beneficiaries or recipients of project support.^{6,7}

En este aspecto, se esperaría que hubiera más detalles acerca de los organismos socios responsables respecto a cada uno de los resultados y productos del proyecto, situación que no se observa en el documento de proyecto, por lo que el involucramiento de las autoridades locales o GOREs se produjo de manera paulatina durante la ejecución del proyecto.

3.1.6. Gender and Human Rights Approach

Prodoc includes a dedicated section for the gender approach, where the project has a gender marker =1 (projects that contribute to some extent to gender equality, but not significantly). This section contains a brief diagnosis of the role of women but does not mention how the project would affect

⁴ WWF, SEMIANNUAL PROGRESS ANALYSIS REPORT OF THE COASTAL FISHERIES INITIATIVE PROJECT – LATIN AMERICA, Quarter: April / June 2019.

⁵ MTR report, pag. XIV

⁶ Prodoc, paragraphs 46, 89

⁷ Annex 11 Prodoc

their living conditions, although it defines the criteria that would be used to address this dimension^{8,9}. There are two key gender activities in Prodoc: i) measuring women's perceptions of their level of impact on decision-making and governance of the seven target fisheries and marine spatial planning of the Gulf of Guayaquil and Sechura Bay; (ii) Studies at each project site to understand the role of women in coastal fisheries management. The rest of the activities would be focused on promoting and achieving the participation of women in the activities of the CFI-LA. The implementation of these activities will be discussed in the Implementation Section of the project.

Some indicators and targets for women's participation are also included for all outcomes, but as mentioned above, the indicators proposed in Prodoc are not useful for measuring changes in women's behaviour patterns or situation as identified at baseline. Finally, it should be noted that despite the importance of gender mainstreaming for GEF projects and what Prodoc itself supports, the UGP did not consider a gender specialist in its staff to implement these actions.

3.1.7. Replication and sustainability approach

The approach of replicability and scalability of the results of the project is one of the parts that presents greater weaknesses (Component 3), since to a large extent it assumes that the strengthening of capacities and the dissemination of lessons learned among the key actors involved would lead to the replication of the governance models implemented by the CFI-LA. The same would happen with community organizations and NGOs, which would also be strengthened.¹⁰

With regard to sustainability, this is not well analyzed in Prodoc and it is only assumed that the participating institutions will place the financial and human resources once the project ends.

As a conclusion to this section, the project document does not contemplate any requirement or requirement to develop an exit strategy for the CFI-LA and that includes some minimum commitments by the authorities and the key actors involved to ensure the sustainability and replication of the results of the project in different spheres (national, regional and local). This is a major problem considering that Result 3 was the knowledge management and sustainability component of the project actions, but that it was limited to establishing a document and communications management system that by itself does not ensure the adoption of the results obtained.

3.1.8. UNDP comparative advantage

Although the advantage of having UNDP services is not directly discussed in Prodoc, a list of the projects managed by this and other institutions in the country is made (annex 12), showing their experience in the knowledge of the different organizations present and the various topics dealt with in each of the initiatives listed. It would have been interesting if a section with UNDP's strengths in the development initiatives implemented in Peru and Ecuador had been further developed.

3.1.9. Linkages between the project and other interventions within the sector

As mentioned above, Prodoc lists a series of projects executed by UNDP, CI, WWF and other UN agencies, indicating possible partnerships that may arise. However, it does not describe how these alliances could be formed and to which component of the project they could contribute. An example of the above are the Humbolt projects, productive linkages in the fishery and the CFI-Global Challenge Fund itself.

3.1.10. Institutional arrangements

The execution of the project includes institutional arrangements that include a binational Board of Directors of the project (JDP) and that would be made up of eight members: i) UNDP-Peru, ii)

⁸Gender Mainstreaming, para100-103, page. 36-37 Prodoc

⁹https://www.un.org/peacebuilding/sites/www.un.org.peacebuilding/files/documents/pbf_guidance_note_on_gender_marker_scoring_2019.pdf

¹⁰ Prodoc, para. 93.

MINAM (Peru), iii) Produce (Peru), the iv) GORE of Tumbes and Piura (Peru), v) the Vice-Ministry of Aquaculture and Fisheries (Ecuador), vi) the Undersecretariats of Fisheries Resources and Marine and Coastal Management (SGMC) of the Ministry of Environment of Ecuador.

The JDP should meet at least twice a year, either face-to-face or remotely.

On the other hand, a UGP dependent on MINAM would be constituted and would consist of seven professionals who would be distributed between Piura and Guayaquil, to which it should be added that the CI and WWF professionals would be located in Manta and Guayaquil. Fig. N°2 shows the outline of institutional arrangements for the execution of the project.

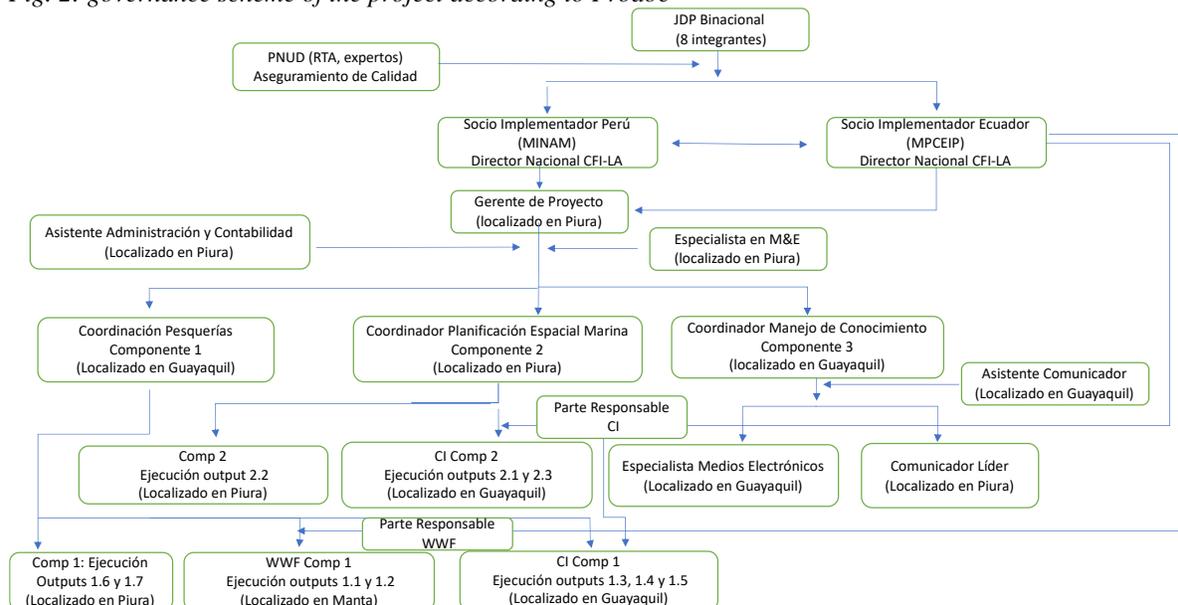
This binational organization seems complicated to apply in practice, due to the difficulties of coordinating activities located in Guayaquil and Manta. In addition, there would be two national directors of the CFI-LA (one in Peru and the other in Ecuador), where they would have to interact with each other, in addition to coordinating with the UGP and NGOs to harmonize the activities that are executed. The same statement could apply to the JDP, although the activities of this body do not require daily coordination.

For simplicity, the structure of the CFI-Global in which the CFC-LA is supposed to be immersed is not included, since the complications to show the relationships between both projects increase.

In effect, the project would be supervised or monitored by a global board of directors of CFI-Global, while there would also be a global coordination unit (GCU) and a Global Reference Group that would independently supervise the CFI-Global project, where the coordinator of the UGP and the coordinators of the components of the CFC-LA would have to coordinate with the UCG, although there is no clarity on what this coordination would look like. As explained above, Prodoc defined CFI-LA results that depended on CFI-Global (the FPAI tool and knowledge exchange) and that their implementation was partial or null, due to implementation gaps between the global program and CFI-LA.

The CFI-LA organization does not contemplate the creation of technical committees or experts in each country that could contribute to the project and solve the problems within their capacities, a situation that is not appropriate, since the absence of this instance implies that all the situations that the project must overcome come directly to the JDP, which would have to focus on resolving issues of all kinds and could not focus on the strategic and facilitation issues that the JDP would be called upon to discuss and resolve.

Fig. 2: governance scheme of the project according to Prodoc



3.1.11. Adicionality of the GEF project

The project presents additionalities in the field of governance of the seven fisheries in Peru and Ecuador, as it promoted a series of partnerships with key actors, both institutional and community, regional and local that must agree on the sustainability plan of the project and the management strategy to effectively protect the sustainability of the intervened fisheries.

On the other hand, the implementation of training activities and strengthening of institutions and actors involved in spatial planning and application of sustainable fisheries management instruments could have a positive impact on data-based decision-making and the formulation of public policies for this sector and the protection of marine-coastal resources.

However, from the point of view of project design, there is no outcome that means that formal mechanisms for selected fisheries - e.g. NAPs - can be implemented and controlled over time, but rather assumes that the responsibility for their future management lies with the actors of the system.

3.1.12. Environmental and Social Safeguards

The "Social and Environmental Risk Screening Procedure (SESP)" is a tool that UNDP uses during the design of GEF projects. It consists of a checklist form with a series of questions identifying the environmental and social risks of the projects during the formulation stage and the corresponding measures to mitigate them during execution. If new information becomes available during project implementation or substantive changes are made during the project cycle, this tool should be updated, and the risks should be reassessed (Low, Moderate, High).¹¹

This tool was applied in the CFI-LA elaboration process, resulting in a moderate risk project, mainly due to climate change and the realization of activities in protected areas. However, this instrument failed to capture the serious problem of informal fishing in protected areas or marine concession areas of beneficiary communities. In this regard, risks 1.5: "Is there a risk that those responsible do not have the capacity to comply with their obligations in the Project?" and 1.6: "Is there a risk that rights holders will not have the capacity to claim their rights?" could have come closer to the problem (rating = moderate), if the problem of illegal and informal fishing that could not be controlled had been included in this category.

3.2. Project implementation

3.2.1. Adaptive management

The project began in September 2017 and would last four years (it would end in September 2021). The executing unit did not make changes in the strategy or design of the project, which is not recommended because one of the first activities of any project should involve an analysis of its strategy and results framework of the project, to adapt them to the current reality, considering that this project had a preparation cycle between 2015 and 2016. The Initiation Workshop, therefore, did not include this update in its agenda nor did the JDP at its first meeting.¹²

In March 2019, the JDP approved three strategic changes: i) the hiring of a gender specialist located in Ecuador, which became effective in June 2020; ii) the elimination of the electronic media specialist and iii) the creation of a technical advisory committee for the project. However, the following minutes of the ¹³JDP do not follow up on these agreements, so the creation of the technical advisory committee of the project was not discussed again. In addition, in January 2020 the JDP decided that component 3 ToR approvals involving only Ecuador would not need to be approved

¹¹ "Guidance Note UNDP Social and Environmental Standards (SES), Social and Environmental Screening Procedure", Updated procedure, OPG approved in 2019.

¹² Minutes of the steering committee, 11 May 2018.

¹³ JDP Meeting Minutes, March 2019.

by Peru's National Directorate, which accelerated the physical and financial execution of the Ecuadorian components.¹⁴

On the other hand, it should be noted that during the period 2017-2019 the progress of the project was modest (with disbursements of 36% of GEF resources versus the expected 60%) and focused mainly on spatial planning instruments. At the end of that year, there was a change in the national direction of the project in Peru, which is transferred from the General Directorate of Environmental Territorial Planning (DGOTA) to the General Directorate of Biodiversity Diversity (DGBD). This change had a positive impact on the project, as greater emphasis was placed on the formation of communities of practice and field work, which gave greater impetus to activities.¹⁵

The adaptive management of the CFI-LA between 2017 and 2020 was marked by the difficulties encountered in installing the project and its organizational structure in both countries, but as will be seen in Section 3.3, by way of summary, it can be affirmed that the project responded with adequate measures to solve the problems of lack of supervision to the NGO in Ecuador and high turnover of public officials in Ecuador and in the GORE of Piura, the review and approval of ToR, communication and organization. Among these decisions, we can highlight the involvement of UNDP-Ecuador in the monitoring of the project in that country, the improvement in the processes of review and approval of documents and the establishment of formal technical focal points in Peru to facilitate the discussion processes between the institutions.

It is worth mentioning that as of March 2020 the pandemic began in Peru and Ecuador, so the UGP took several important measures to reduce the impacts on the execution of the project, which includes the purchase of elements such as thermometers, masks, disinfectants, etc., to support the DIREPRO of Tumbes and Piura and fishermen's associations¹⁶. Computer equipment was also provided to these organizations to promote remote meetings and the creation of apps for fisheries monitoring, training and commercial, productive activities, and the UNICAs promotion, in order to support the beneficiaries in the difficult economic moment they were going through. These decisions allowed the continuity of the meetings of the JDP and with other project partners, in addition to the achievement of products that did not require face-to-face to be developed. These measures have been recognized by all the actors of the system as beneficial and necessary given the context of the pandemic and also the evaluator considers that this was a good adaptive management of the project to overcome the crisis unleashed by COVID. The activities most affected by the pandemic were the generation and planting of black shell seeds, participatory monitoring and microenterprise actions by communities.

In June 2020, a gender specialist was hired – with delay since the call for her hiring had to be made twice – who developed a strategy for the CFI-LA, which consists mainly of a study on women's self-perception of their roles in the production chain, strengthening capacities and entrepreneurship, mainstreaming in communities of practice and visibility of women^{17,18}. The corresponding action plan was stipulated to be implemented during 2021, so the positive of the change is neutralized by its delay and the level of execution of the project (40 months from the signing of Prodoc). In spite of everything, trainings were carried out, 9 institutions appointed gender focal points and the implementation of the UNICAS - where women were its main promoters and executors - was a success worthy of replication.¹⁹

A key adaptive management was the MTR completed in December 2020 (39 months of execution instead of Prodoc's 24), where observations are made to the CFI-LA logical framework, indicators

¹⁴ Minutes of the Annual Session of the Board of Directors, 29-01-2020.

¹⁵ Annual Report to UNDP, 2019, p. 14

¹⁶ "Adaptation strategy of the CFI Project – Peru in the face of the COVID-19 context"

¹⁷ IDEM 11, p. 15

¹⁸ "Updated Gender Strategy",

¹⁹ Annual Report of the project 2020

and assumptions. The UGP responds positively to this observation by hiring a consultancy to define the ToC of the project, where in May 2021 the proposal on the adjustments of indicators and results of the CFI-LA is delivered, after a participatory process among the actors to reconstruct the ToC of the project. However, although there are improvements around some indicators, it was not considered that to adjust these, the consistency and relevance of the statements of results must first be analyzed, and then the most appropriate indicators must be found²⁰. Besides, the exercise carried out is more linked to measuring impacts (which are those that occur at the end or after the end of a project), rather than to measure changes in the immediate results of the CFI-LA. The new results framework better defines what is an "enabling condition" (improved governance, spatial planning and knowledge management), while with respect to "enhanced governance", it is defined as implementation actions to evidence changes in the management of a fishery, which go beyond the existence of regulatory instruments.²¹

On the other hand, because Component 3 of KM and M&E were not analyzed by the MTR or in the subsequent review carried out by the UGP, the replication, scaling and sustainability of the project results were not well resolved and are mixed with different indicators of results and impacts. In addition, there are no goals or indicators to assess the replication and scaling of results in both countries.

With regard to the review and approval of the new indicators and target adjustments, these were carried out through the procedures, the full analysis of which can be found in Annex 10.²²

As a conclusion of this section, it can be concluded that the adaptive management of the project was acceptable, and greatly improved during the second stage, considering that there were some key decisions that depended only on the project, but that were not taken or executed on time (eg, the update of the project at the beginning of the execution, the MTR carried out very late) and that were independent of the conditions of political crisis, high turnover of authorities and key personnel and the limitations on mobility resulting from the global pandemic. This gap was compensated by the excellent management of the pandemic, the UNICAS and the gender specialist (although delayed by a year since the decision was made).

3.2.2. Partnership arrangements and effective stakeholder engagement.

The execution of the project was focused on the actors of the government sector of Peru and Ecuador, as well as in municipalities and regional governments of the intervened areas (e.g., GADs, GOREs, DIREPROs, SERNANP) and fishermen's organizations, community organizations, shipowners, academia and some private companies in both countries. In Peru, initially its national director belonged to the DGOTA of MINAM and in Ecuador it was the Vice Ministry of Aquaculture and Fisheries, through the Undersecretariat of Fisheries Resources (SRP), but in 2020 the responsibilities were transferred to the SBD of MINAM in Peru, and to the Vice Ministry of Aquaculture and Fisheries in Ecuador. The NGOs CI and WWF were the implementing partners of the project activities in Ecuador. It is worth mentioning that these two organizations are implementing agencies of the GEF for the CFI-Global.

3.2.3. Project's M&E

Design at entry ()*

Rating: Moderately Unsatisfactory

²⁰ "Final version of the IFC Project Theory of Change (including results framework), validated by the team and key stakeholders"; Guido Mosquera, May, 2021.

²¹ "Reconstruction of the Theory of Change of the IFC-AL Coastal Fisheries Initiative in Latin America project: Executive Summary", p. 3.

²² Email 20-05-2021

The Prodoc contains a series of milestones, a follow-up plan, and a budget to monitor the progress of the project^{23,24}. This plan contains all the standard elements for this type of activities, such as installation of the JDP, start-up workshop, quarterly, annual reports, PIR, audits and mid-term and final evaluations. Mid-term and final evaluations of the project are also contemplated. To achieve its mission, the UGP developed an Excel tool for monitoring activities and products in a very detailed manner. In addition, a series of field visits were implemented by local project consultants in Peru and by NGOs in Ecuador, where PMU and UNDP also conducted monitoring visits.

It is worth mentioning that the M&E plan included the participation of the operational focal point of the GEF in the implementation of the aforementioned plan, such as in the preparation of the PIRs and in the evaluation processes^{25,26}. For PIRs there is no evidence of active participation of the focal points of both countries.

The M&E plan of the project also defines the use of several monitoring tools such as the Tracking Tools (TT) for DBs and GEF International Waters²⁷, but finally the Core-Indicators were used for the beginning, mid-term and end of the project, because the GEF was changing the use of TTs to core indicators.

In addition, it stipulated that the FPAI for the seven fisheries should be calculated at the beginning and end of the project and that the initiation workshop would define the activities needed to support adaptive management and the specific role of target groups and other actors. ²⁸As discussed in previous sections, the FPAI was not developed because its design and implementation was the responsibility of CFI-Global, which began its implementation almost two years after CFI-LA.

Finally, the deficiencies found – both during the MTR and in the ET – in the project result statements and indicators made it difficult to carry out adequate monitoring to measure the achievement of the results and objectives of the project, so it should be noted that this situation also negatively impacts the M&E plan, which focused on following output indicators that ultimately do not reflect a measurement for the change of the baseline of the project, but of execution of activities and products mainly.

For the above reasons, the **project's M&E design at entry** is rated "**Moderately Unsatisfactory.**"

Implementation of the M&E Plan ()*

Rating: Moderately Satisfactory

The UGP implemented the M&E plan as initially stipulated. On the one hand, UNDP in Peru carried out the general supervision of the project and its promotion at the level of authorities involved in that country, while UNDP-Ecuador was more involved in monitoring the activities of NGOs in Ecuador. In this regard, it should be mentioned that the RTA, the environment and energy officer of the UNDP office in Peru, as well as its M&E managers monitored the project activities.

In Ecuador, the supervision and coordination of the CI and WWF NGOs was also carried out by the SMC, but the M&E of the project activities also fell to these NGOs. In this regard, CI and WWF issued quarterly and annual progress reports to the UGP.

The UGP issued a series of semi-annual and annual progress reports to UNDP Peru, as well as the RIPs (2018, 2019, 2020 and 2021), which were reviewed by UNDP and RTA officials, describing

²³Prodoc: "Monitoring and Evaluation Framework", paragraph 113-1 24,

²⁴ IDEM: "Monitoring Plan, Annexes 2 and 3

²⁵ Prodoc, par. 116

²⁶ Prodoc, par. 119

²⁷ Prodoc, paragraph 120

²⁸ Prodoc, para. 114

the activities carried out, the barriers encountered and updating the risks that threatened the progress of the activities. The PMU designed a complete monitoring system to track project expenditures and activities, while the NGOs CI and WWF also developed their own accounting and tracking systems for their activities.

As a general comment, the M&E tools implemented by the UGP and implementing partners were well designed and covered the progress of CFI-LA products, but as discussed with respect to indicator design, these advances focused on outputs rather than results. On the other hand, the reconstruction of the ToC did not adjust the original indicators and only certain important clarifications were made, but finally the reports were based on these and 24 prioritized actions based on the products of the project. This situation is not surprising, because the GEF rules prohibit changing the indicators of a project, and if it does, it must go through a review and approval process that takes too long, so countries try to avoid this situation, especially if the projects are with obvious delays.²⁹

With regard to reports, these focus on the execution of activities and obtaining products, but there is no logical approach – as in ToC – to address the different activities, such as, for example, prioritization and analysis of the logical sequence of activity-product-result in terms of defining those that are prior conditions to another activity.

The other M&E tool used was the "Core Indicators" which are used by the GEF to monitor biodiversity and international water protection activities of projects starting with GEF-6.

With regard to the follow-up carried out by the binational Board of Directors, it met on nine occasions: 2018 (1), 2019 (1), 2020 (2), 2021 (3) and 2022 (2). It was constituted by representatives of the UNDP office in Peru (generally 8 from Peru and 3 from Ecuador), to which are added the guests from both countries (approximately 18) and the RTA of UNDP-Panama.

According to the interviews conducted, two stages are clearly perceived in the JDP (2018-beginning 2020 and 2020 onwards). During the first stage, the meetings of this instance were face-to-face and more informative than strategic, while from mid-2020 the online meetings were focused more on decision making, thanks to the installation of technical focal points that made preliminary agreements that were later discussed in the meetings of the JDP. The perception about the effectiveness of these meetings is divided among the members of this instance, since some estimated excessive the number of participants, which with the guests was around 15 to 30 people, where sometimes virtual meetings became tiring and not very focused. On the other hand, other members feel that the meetings, especially the online ones, were adequate and were not too time consuming, because the high-level representatives conditioned their participation in this instance if it did not take too long.

From the review of the minutes, it can be seen that the face-to-face meetings lasted approximately 4-5 hours, while the online ones were 1-3 hours, where the virtual meetings provided more details about the discussions and decisions taken, while the minutes of the face-to-face meetings are more concise and limited to showing the approvals made by the JDP, thus from the documents reviewed, it is difficult to draw clear conclusions about the effectiveness of the sessions of this instance.

In these meetings, the adjusted indicators of the project (2021) were approved, the formation of a technical advisory committee was agreed (which was not implemented, but technical focal points were installed for each institution), and resources were reallocated for the management of COVID-19 as well as the strengthening of the participating organizations to facilitate online interactions. It was also approved to replace the position of digital media leader with a gender specialist. Overall, this body approved the operational plans and annual budgets and was a valuable support for the project.

It would have been preferable for this instance to consist from the beginning of a technical committee that had met between meetings of the JDP, in order to give continuity and follow-up to the decisions

²⁹ Adjusted Results Framework.

taken by it and delivered the necessary inputs for decision-making, since with the current structure of the project, the JDP was obliged to discuss all the issues and conjunctures that were presented – as was the case in the case of the face-to-face -, distracting him from his main role, which was to establish strategic guidelines that would facilitate the execution of the CFI-LA in both countries. To correct the lack of these technical or advisory committees, the UGP established institutional focal points as of 2019, who carried out a prior discussion of the topics that would be discussed in the meetings of the JDP.

With regard to the participation of the GEF focal points of Peru and Ecuador, it is observed the presence - as guests from 2020 onwards - of the GEF focal points of Peru (5 meetings, 2020 onwards) and Ecuador (3 meetings), so it is inferred that the focal points of the countries participated more actively during the second half of the implementation of the CFI-LA. It would be important for country focal points to be full members of the JDP because of their knowledge of the rules and decisions emanating from the GEF, as well as requiring their consent during the approval of GEF projects.

Finally, the mid-term (2019) and final (2022) evaluations of the project were also carried out, which had considerable delays for its implementation. Unfortunately, the MTR was carried out in December 2020 (after 39 months of execution), while the final evaluation was carried out between August-October 2022, also with delay - but due to execution problems of the selected evaluator - the process to hire a new evaluator was repeated. It is worth mentioning that the UGP accepted the recommendations of the MTR, but its impact was diminished due to the short implementation deadlines left to the project.

For the aforementioned reasons and considering the unusual situations of national and international context that the project has had to overcome, **the M&E system during implementation is rated "Moderately Satisfactory"**.

The overall **M&E system design and implementation rating is considered "Moderately Satisfactory."**

Implementation/supervision of UNDP (*)

Rating: Satisfactory

The role of UNDP-Peru was the lead agency of the CFI-LA, which provided the administrative services and management of the project funds, as well as supervising its progress and providing technical advice based on its own professionals or others integrated into its knowledge network. In addition, the UNDP office in Ecuador also monitored and supported the project in Ecuador, participated in JDP meetings and liaised with the gender specialist to coordinate activities in Ecuador. In addition, UNDP headquarters in New York made the transfers of resources directly to WWF and CI for the execution of activities in Ecuador.

Regarding the project design and development process, it can be mentioned that UNDP made representations to the GEF in the IFC-LA review and approval processes, as well as identified suitable consultants to carry out the preliminary studies that would inform the project.

In relation to the role of UNDP during the execution phase, it is worth mentioning that it supported the project in technical and management aspects before high-level authorities in each country. For example, the Regional Technical Advisor (RTA) monitored CFI-LA activities and had continuous communication with the project coordinator and participated in JDP meetings. Environment and energy officers from UNDP Peru and Ecuador participated in the JDP meetings, while the M&E focal point of UNDP-Peru monitored project indicators and managed the MTR and terminal evaluation.

In general terms, the supervision and support to the project has been constant on the part of UNDP, an entity that also carried out the administrative procedures and acquisitions of the project according

to its rules. It is worth mentioning that the UGP had a peculiar geographical distribution, since the coordination was in the city of Piura (Peru) while the fisheries and communications professionals were in Quito and Guayaquil.

For the reasons described above, a **rating of "Satisfactory"** is considered for this section.

Quality of implementation of the executing partner (*)

Rating: Moderately Satisfactory

According to the information collected, the project had three key moments: i) when it depended on the DGOTA of MINAM (Oct. 2017-Dec. 2019); ii) the hiring of a new coordinator who was under the tutelage of the DGBD (July 2019), which meant a profound change in the priorities and pace of execution of the project activities and; iii) the occurrence of the COVID-19 pandemic as of March 2020, a situation already analyzed and which negatively impacted the execution of project activities in Ecuador and Peru.

In the case of Ecuador, the execution was carried out by the SRP of the MPCEIP, but the direct execution was carried out by the international NGOs WWF and CI, both with a lot of experience in the country.

The first stage was clearly the installation of the project and face-to-face (Oct 2017-January 2020), where priority was given to the implementation of the PEMC in both countries. In Ecuador, NGOs focused on the evaluation and development of NAPs and participatory monitoring plans for selected fisheries (dorado, ointment, angling, black conch and crab).

On the other hand, in this period the insertion of the project staff in both countries was carried out (only in October 2018 the hiring was completed), with the staff of the UGP (13) distributed between Piura, Guayaquil, Manta and Quito, to which should be added the staff of the NGOs (5) that operated in Guayaquil and Manta to serve the 5 fisheries selected for Ecuador.

As can be seen, the complex institutional arrangements hindered coordination between the actors during this first stage, to which should be added the difficulties encountered by the high turnover of government officials in Ecuador and the GORE in Piura, together with the need to technically strengthen both GORE in Peru to face the implementation and supervision of project activities and establish formal execution and financial agreements with the participating institutions in Peru (grant agreement with the Los Manglares Consortium of Northwest Peru, the work plan with the company INCABIOTEC, lack of support in Tumbes for the execution of Component 1, lack of agreement between DIREPRO Piura and DGOTA to improve fieldwork) and Ecuador (lack of procedures for review and approval of ToR and project products, change of fisheries authorities, problems between industrial and artisanal fishermen of shrimp pomada and insufficient supervision over NGOs). In addition, the existence of a large number of actors and focal points from different entities in both countries (although at this stage PRODUCE did not have one) generated communication problems with them, the disagreements between PRODUCE and IMARPE regarding the participatory monitoring methodology and the resignation of the first project coordinator in March 2019 had a considerable negative impact on the execution of activities and the budget (a cumulative of 36% to December 2019) of the CFI-LA³⁰. Although all these problems were resolved during this first stage, the risk of CFI-LA was classified as "Substantial" in the PIR 2019.

The second stage focused on working with communities (2020-2022), where new administrative processes were developed that streamlined the execution of activities (focal points were reduced, UNVs and gender and communications specialists were hired, the approval processes of ToR, payments and products were simplified, as well as NGOs were given independence to execute their project components in Ecuador. Another important aspect to highlight is that the POAs of the years 2018 and 2019 were not carried out in consultation with the project partners, which resulted in their

³⁰ Annual Report 2019.

lack of involvement when implementing the activities. This problem was remedied with consultations with all key stakeholders held for the POAs from 2020 onwards, in addition to getting PRODUCE – the institution in charge of fisheries in Peru – to formally appoint its technical focal point for the project (end 2019).

In addition, in this period an attempt was made to bring positions between Produce and IMARPE in relation to participatory monitoring methods of shell and crab fisheries in Peru, unfortunately without result and it was decided to continue this issue only with SERNANP without prejudice to the participation of IMARPE at some point. The situation of the work plan with INCABIOTEC and the improvement of the control and surveillance work with DIREPRO – Piura, both activities executed in 2020, were also unblocked.³¹

In Ecuador, the participation of artisanal and industrial fishermen of shrimp pomada could be achieved (2020), so it was possible to unblock the conflict caused by supposed advantages that artisanal fishermen would have for being in areas of better catch.

The third stage was marked by the COVID-19 pandemic from March 2020, which prevented the implementation of many activities, especially those on the ground (mainly participatory monitoring, transfer and sowing of black shell seeds, governance, and control in the pilot sites). As explained above, the UGP and implementers in Ecuador applied a biosecurity strategy to protect the participants of the activities and assisted the partners with technological means to allow remote communication and the acceleration of products that could be obtained without the need for face-to-face activities. Likewise, the UGP and the NGOs developed within critical institutional contexts, where they tried to update the new authorities and reconcile the priorities of the project with the agendas they brought.

In conclusion, it can be affirmed that the quality of execution of the project had complications related to its installation and complex binational institutional design, in administrative and institutional systems of the executing entities (MINAM in Peru and SRP in Ecuador), but that they were being solved over time, to end with products that were very well accepted by the authorities and beneficiaries of both countries, such as the digitalization of the GORE in Peru, the Fair Trade certification for tuna with rod in Ecuador and the formalization of this fishery that was not regulated in the country, together with the implementation of participatory governance schemes in both countries. Therefore, and considering the general contexts existing in Ecuador and Peru and their institutions (pandemic included), **the quality of implementation of the executing partners can be considered as "Moderately Satisfactory"**.

Overall project implementation/execution (*),

Rating: Moderately Satisfactory

Taking stock of the successes and challenges detected during the execution of the project, as well as the difficult context that the CFI-LA had to face in both countries, the overall quality of the execution and supervision can be considered as "**Moderately Satisfactory**".

3.2.4. Project finance and co-financing

At the time of project approval, the financing included USD 6.59 million contributed by the GEF and USD 65.56 million for co-financing, making a total amount of USD 72.15 million, as shown in Table No. 7. It is worth mentioning that resources for NGOs were transferred directly to them, so the ATLAS information delivered to the evaluator only contained the expenses executed by UNDP Peru. NGOs reported their expenditures to UNDP Ecuador.

Table No. 7: Total financing of the IFC-LA project, according to Prodoc (USD)

³¹ IDEM 30, p. 14

| Component | GEF Grant (USD) | Co-financing (USD) | | Total (USD) |
|------------------------|------------------|--------------------|-------------------|-------------------|
| | | In cash | In Kind | |
| 1 | 2,881,400 | | 24,344,664 | 27,226,064 |
| 2 | 1,561,400 | | 23,179,833 | 24,741,233 |
| 3 | 1,868,100 | | 14,476,250 | 16,344,350 |
| 4 (Project management) | 278,091 | | 3,562,141 | 3,840,232 |
| Total | 6,588,991 | - | 65,562,888 | 72,151,879 |

Consultant's own elaboration.

Likewise, the reported expenses accumulated to October 2022 amount to USD 6.43 million (98% of the GEF budget), while those committed would be USD 93 thousand, giving a total of USD 6.52 million (99%) whose breakdown and comparison with respect to the expected disbursements in Prodoc are shown in Tables N°8, N°9 and N°10.

The available information indicates that the expected disbursements for the first two years of project execution were 60% of GEF resources, however, the actual expenditure for the period 2018-2019 was only 36%, well below expectations.³²

This situation was generated due to the slowness in the contracting of the UGP and its installation in both countries, which is attributed to the administrative processes of hiring and selection of personnel of the government executing entities (MINAM and SRP), a cumbersome system for the approval of ToR and consulting products, the signing of UNDP agreements with WWF and CI (July 2018) and lack of harmonization between the systems CI and UNDP accountants. It had also been explained earlier that the high turnover of authorities and public officials in both countries also affected the progress of the CFI-LA.

The situation of expenses is normalized from 2020 and with the extension without cost approved in 2021, which finally allowed the execution of 99% of the GEF budget of the project.

Table 8: evolution of actual project expenditures in Peru (in USD) for the period 2018-Oct 2022

| Component/year | 2018 | 2019 | 2020 | 2021 | 2022 | Total (US\$) |
|---------------------|----------------|------------------|----------------|------------------|----------------|------------------|
| System adjustments | -12.879 | -41.474 | -32.066 | -36.685 | -18.931 | -142.035 |
| Comp1 | 69.261 | 419.052 | 341.059 | 402.214 | 279.360 | 1.510.946 |
| Comp2 | 97.835 | 440.328 | 218.733 | 254.461 | 56.742 | 1.068.099 |
| Comp3 | 173.534 | 395.661 | 405.088 | 525.946 | 266.268 | 1.766.498 |
| Comp4 | 76.630 | 66.565 | 52.715 | 31.332 | 34.183 | 261.426 |
| Total (US\$) | 404.381 | 1.280.133 | 985.529 | 1.177.268 | 617.623 | 4.464.934 |

Elaboración propia a partir de datos del sistema ATLAS de PNUD

³² Annual Progress Report 2019

Table 9: Project expenses in Ecuador (in USD) for the period 2018-Oct 2022

| Component/NGO | WWF | CI |
|---------------|---------|---------|
| 1 | 561,820 | 714,695 |
| 2 | N/A | 448,008 |

Own elaboration based on NGO reports

Table 10: Expected execution of expenses according to Prodoc.

| Component/year | 2018 | 2019 | 2020 | 2021 | Total (USD) |
|----------------------|------------------|------------------|------------------|------------------|------------------|
| 1 | 887,600 | 962,600 | 637,100 | 394,100 | 2,881,400 |
| 2 | 543,350 | 579,350 | 347,350 | 91,350 | 1,561,400 |
| 3 | 414,700 | 461,100 | 365,200 | 627,100 | 1,868,100 |
| Gestión del proyecto | 86,811 | 63,760 | 63,760 | 63,760 | 278,091 |
| Total (USD) | 1,932,461 | 2,066,810 | 1,413,410 | 1,176,310 | 6,588,991 |

With regard to co-financing, the commitments acquired in Prodoc and what was actually contributed are shown in Table N° 11, in a format required by the GEF. It is worth mentioning that Prodoc did not specify whether the committed values were in kind or effective, so the data shown were assumed to be in-kind contributions. Table No. 12 provides a breakdown of co-financing contributions by source.

Table 11: Co-financing commitments according to Prodoc (in USD)

| Co-financing (type/source) | UNDP's own funding | | Government Ecuador and Peru | | Beneficiaries and others | |
|----------------------------|--------------------|-------------------|-----------------------------|-------------------|--------------------------|------------------|
| | Planned | Actual | Planned | Actual | Planned | Actual |
| <i>In cash</i> | N/A | N/A | N/A | N/A | N/A | N/A |
| <i>In kind</i> | 600,000 | 558,217 | 61,727,141 | 36,789,681 | 3,235,748 | 3,018,138 |
| Total | 600,000 | 558,217 | 61,727,141 | 36,789,681 | 3,235,748 | 3,018,138 |
| <i>% by source</i> | 93% | | 60% | | 93% | |
| Total | <i>Planned</i> | <i>Real</i> | % | | | |
| | 65,562,889 | 40,366,036 | 62% | | | |

Own elaboration based on UGP reports and co-financing letters

Table 12: Breakdown of CFI-LA co-financing (in USD)

| Co-financier | Commitment in PRODOC | Amount contributed as of October 2022 | % |
|---|----------------------|---------------------------------------|------|
| UNDP-Ecuador | 100,000 | 73,217 | 73% |
| Conservation International | 1,299,442 | 1,319,582 | 102% |
| WWF | 1,121,306 | 1,121,306 | 100% |
| Government of Ecuador (MPCEIP-SRP) | 10,000,000 | 9,566,320 | 96% |
| ASOEXPEBLA (with Consortium Exporter of DORADO) | 240,000 | 421,000 | 175% |
| Intl. Pole & Line | 75,000 | Did not participate | 0% |
| Gob. Regional of Piura | 37,874,305 | 21,441,372 | 57% |
| Gob. Regional of Tumbes | 10,000,000 | 2,504,104 | 25% |
| UNDP-Peru | 500,000 | 485,000 | 97% |
| Government of Peru (MINAM) | 3,852,836 | 3,029,035 | 79% |
| INCABIOTEC | 200,000 | 156,250 | 78% |

| | | | |
|----------------------------------|-------------------|---------------------|------------|
| Nature/Culture Intl. | 300,000 | Did not participate | 0% |
| PRODUCE | 0 | 73,725 | |
| Vice District Municipality | 0 | 109,335 | |
| District Municipality of La Brea | 0 | 65,789 | |
| Total | 65,562,889 | 40,366,036 | 62% |

As can be seen, the contributions reach USD 40 million - this is 62% of expected compliance -, which could be considered an acceptable level of co-financing for this subject.

The main contributors were the governments of Peru and Ecuador (MINAM and MPCEIP) and the GORE of Piura and Tumbes. The review of the available documentation indicates that most of these contributions are recurrent expenses of the institutions (control and surveillance, personnel, use of equipment, etc.), while investment is also observed. For example, the GORE of Tumbes reports reforestation of mangroves, projects related to safety and improvement of the value chain for black conch and improvement of artisanal fishing gear, among others.

While the GORE Piura reports as "mobilized investment" the support made in aquaculture projects with fan shell and environmental management and conservation and protection of fishery resources and strengthening of capacities of artisanal fishermen.

However, from the co-financing letters analyzed, it is not possible to clearly identify the contributions by project component (as stipulated in Prodoc), because the amounts reported do not have a standard format that allows these separations to be made, in addition to the fact that some letters indicate only a total amount, while others make a slightly more detailed breakdown.

With respect to UNDP contributions, these would come from technical support from projects in its portfolio, while NGOs report recurring expenses and contributions from the Mahi-Mahi Conservation project in Ecuador.

3.2.5. Risk management

As mentioned above, Prodoc underestimated the risks associated with the lack of security to prevent access to illegal fishing in mangrove concession areas -both in Ecuador and Peru-, as well as the problem of chemical contamination in the lower part of the basins intervened in both countries (agrochemicals, mercury mining) and the legal status of artisanal fishermen's organizations that supported the activities of the project in Ecuador.

In this regard, from the interviews and documentation reviewed during the final evaluation, it was found that the risk matrix was updated and incorporated measures to reduce poaching during the planting of black shell seeds in Tumbes (Peru) and Jambelí (Ecuador) through a reinforcement of community surveillance, as well as reduce the risks of contagion by COVID-19.³³

As discussed in the section on adaptive management, CFI-LA and its partners were able to take measures that minimized the risks associated with the slow execution of the project, as well as implement a good strategy to face COVID-19, which resulted in better execution of activities.

However, risks from chemical contamination were not addressed during the implementation of the CFI-LA.

With regard to the risks of high turnover of government officials and authorities in both countries, the project and UNDP carried out the usual actions to sensitize the new authorities, both ministerial and regional, in order to achieve adherence to the objectives of the project.

The risks of the project were also discussed and updated in the RIPs, where the reasons for these risks (mainly operational and COVID-19) and their corresponding mitigation measures are explained.

³³ SESP updated 250521

3.2.6. Environmental and social standards

The project has developed the Diagnosis of Environmental and Social Standards (SESP), where the possible negative and positive effects that its activities could have on the communities where the interventions were developed in both countries were evaluated. The result of the SESP showed that the project had a low overall risk, which did not occur in the field with respect to poaching in the intervention areas. It was also identified that climate change was a major risk for vulnerable communities of artisanal fishers, so several trainings in prevention and response to natural disasters were carried out, both to authorities and beneficiaries in both countries. As mentioned above, the UGP updated the SESP during the execution of the CFI-LA to include poaching for black shell.

3.3 Project Results

3.3.1 Overall results (*)

Rating: Satisfactory

Achievement of objectives

The stated objective of the project in its results framework is to "demonstrate holistic ecosystem-based management and improve the governance of coastal fisheries in the Southeast Pacific" (7 selected), to curb overfishing experienced by marine species. However, from the reading of Prodoc it is also possible to identify another primary objective "not declared" in the results framework, which would be to contribute to addressing the global problem of weak fisheries governance, which causes overfishing and degradation of marine-coastal biodiversity. This contribution would be given by the exchange of lessons learned with the other participating partners of CFI-Global. As will be seen in more detail later in the analysis of project results and outputs, the stated objective has been fully met, in the sense that governance models have been demonstrated that integrate national, regional and local authorities, artisanal fishing communities (with the participation of industrial fishermen, as was the case of the shrimp pomada fishery in Ecuador), academia and private companies. These pilot demonstrations have combined governance, participatory monitoring, control, surveillance, and reporting models along with the application of spatial planning and ocean health index (OHI tools). In addition, the capacities – both in terms of knowledge and equipment – of the stakeholders involved in both countries have been strengthened.³⁴

Besides, the assessment was also influenced by the type of indicators used to measure the achievement of the objective, which are essentially measures of products (Number of people trained, participants, among others), while some are difficult to measure, such as the origin of landings, considering that the pilot experiences involved in most cases a limited number of locations and fishermen.

If the other objective not declared in the results matrix of the project were considered, it can be affirmed that it has been partially achieved, since it focused on the exchange between both countries, but there is no evidence of how the lessons of the experience will be shared with the CFI-Global, in addition to the fact that the interviews carried out revealed that there has been minimal interaction with the umbrella project. This is mainly explained by the lag in the implementation of these two initiatives. The UGP and MINAM indicated that all CFI-LA documents and experience will be available for global exchange on the SINIA portal.

Table N°13 below shows a perspective of the achievement of the objectives of the project and its indicators, together with its qualification, according to the stipulations of Prodoc and the adjustments introduced by the UGP, the JDP and the MTR.

³⁴ Prodoc, para. 44.

Table 13: Summary of physical achievements of the project in relation to the fulfillment of its objectives (Green = achieved, Yellow - on track to be achieved; Red: it is not achieved)

| Objective: To demonstrate holistic ecosystem-based management and improved governance in coastal fisheries in the Southeast Pacific | | | |
|---|---|---|--|
| <i>New indicator</i> | <i>Target</i> | <i>Achievements reported</i> | <i>Assessment of achievement</i> |
| Coastal fisheries in the South-East Pacific that have developed the enabling conditions necessary to achieve governance based on rights, spatial planning tools and knowledge transfer processes | 7 fisheries | 7 fisheries | Highly satisfactory It is reported achieved. Indeed, demonstrations on sustainable management have been carried out in the 7 fisheries selected by the project, involving the use of PEMC, new governance systems, action plans and development of automated tools to improve the control of these fisheries. Most of the actors involved have participated in these actions. |
| Percentage of landings from active processes involving women, men, and competent authorities in new or improved governance systems | Concha ECU 40% Concha PER 100% Crab ECU 100% Crab PER 100% Dorado ECU 100% Pomada 100% Pole&Line tuna 100% | Concha ECU 40% Dorado ECU 100% Crab ECU 100% Pomada 100% Pole&Line tuna 100% Concha PER 100% Crab PER 100% (NAPs approved and management agreements signed) | Satisfactory It is reported achieved. However, this achievement, while important, is debatable, since in certain fisheries (such as crab, black shell and shrimp pomada) in both countries, there are no reliable statistics regarding landings. On the other hand, it should be noted that the management processes that were carried out correspond to a smaller percentage of artisanal fishermen, with the exception of shrimp pomada (excluding changas which are illegal). However, in the case of dorado and tuna with rod in Ecuador, it can be said that in this fishery a large percentage of it is covered. |
| Key actors (institutional, men and women, by nationality) that have been favored by the enabling conditions developed by the CFI-LA project, to generate social (rights-based), economic and environmentally sustainable benefits | Concha ECU >600 Concha PER >500 Crab ECU >5,000 Crab PER >300 Dorado ECU >10,000 Pomada ECU >500 Pole&Line tuna ECU >100 ≥ 14 institutions | Concha ECU =600 Dorado ECU =15,000 Cangrejo ECU =5,000 Pomada= 577 Atún=100 Concha PER =575 Cangrejo PER =575 23 Institutions (persons and inst. that participated in the prioritized actions) | Highly satisfactory It is reported achieved and exceeded the goal in some cases as the gold in Ecuador. It is effective that there are several people, organizations and public institutions in Peru and Ecuador who participated in the activities of the project. In this regard, it should also include UNICAS, where women beneficiaries make use of the services and products made available to them. This situation is not comparable with fisheries, since, as stated above, the people who participated are not necessarily applying the practices and knowledge transferred, and only a minor part, such as in crab, black shell, and shrimp pomada, so inferring the benefits to all participants does not seem appropriate. In the case of the dorado fishery, interviews indicate that much of this fishery was covered by the project, in addition to the Mahi-Mahi Project also made a substantial contribution in its 10 years of execution. With regard to the institutions, they have been strengthened in their knowledge and equipment to carry out their functions in both countries, so the attribution made by the project appears adequate. |

Achievements by Result ()*

It should be mentioned that, despite the difficulties derived from the institutional crises existing in both countries, the emergency unleashed by COVID-19 and the high turnover of authorities, the progress of the project in terms of scope of products and results was not significantly affected by these factors.

The period 2017-2019 focused on the installation of the project, knowledge of the relevant actors, planning of activities and elaboration of agreements with the different actors. Subsequently, during 2020-2022 the greatest activity of the project occurs, mainly with training and work with communities and regional and local authorities in both countries.

The 2020-2022 biennium was marked by the pandemic, where many field activities were paralyzed, such as participatory monitoring, black shell planting and control.

The following paragraphs are a summary of the findings and ratings of the project results, the full analysis of which can be found in Table No. 14, while the analysis for the achievement of the outputs is in Annex 10.

In terms of individual results, it can be mentioned that for ***result 1: Improved enabling conditions for the governance of seven coastal fisheries in Ecuador and Peru***, the ***achievement is "Satisfactory"***, since it can be affirmed that the project was successful in strengthening the actors and promoting their involvement in marine-coastal governance, which has been a contribution to its improvement, within an adverse context such as the pandemic and the complex political-institutional context existing in each country.

The project defined 3 new indicators to measure the achievement of this result, which are explained below.

With respect to the "Degree of implementation of actions prioritized by the CFI... of governance", it focuses on the development of NAPs and PAPs in Ecuador and management agreements for shell and crab in Peru. Indeed, the 24 prioritized actions (governance, monitoring, traceability, quality and research) were carried out in the 7 selected fisheries. However, according to progress reports and interviews, there was limited participation of artisanal fishermen (shrimp ointment bags) and changas had to be set aside as illegal. Despite the above, it was possible to update the PAN ointment and raise its compliance to 36% (previously it was practically nil) and a new customs item was opened for exports and imports of this product, which also improved its monitoring and marketing. An agreement signed between WWF Ecuador and FENACOPEC was also reached - which is still in force - thanks to which it was possible to work with the SRP and IPIAP in the development of the regulatory framework that formalized the artisanal bag fishery during the project.

In contrast, the actions with the dorado fishery had a very good response in the implementation, as well as with that of pole & line tuna. With regard to the El Dorado fishery, an agreement was signed between the industrial fishing companies and WWF to give continuity to the action plan of the FIP, resulting in the consortium of dorado exporting companies of Ecuador founding the NGO "Mahi Mahi Conservation", and commissioning it to develop an action plan for the new phase of the Dorado FIP. This action plan is fundamentally based on giving continuity to all the processes that the CFI-LA project initiated.

For pole & line tuna, the Undersecretariat of Fisheries Resources formalized this fishery – since it was not regulated – by Ministerial Agreement MPCEIP-SRP-2019-0020-A, through which the National Action Plan for the Pole & Line Tuna (PAN Pole & Line Tuna) was adopted, and also an association of pole growers was created and strengthened in Manta. The PAN identifies certain aspects of governance and conflict with other fisheries.

In Peru, the governance arrangements for crab and black shell presented mixed results, because adverse weather conditions affected participatory research activities on reproduction of black shell

seeds in the laboratory and their adaptation to the natural environment, thus delaying participatory monitoring and surveillance activities, but obtaining – according to IMARPE information – a positive result of black shell restocking in the sites where the experience was carried out (average density rose from 1.7 to 2.7 individuals per square meter between 2020-2022). On the other hand, the strengthening of the DIREPRO of Tumbes and Piura has positively changed the way these authorities operate.

However, progress reports and interviews indicate a low level of ownership by the main authorities responsible for the implementation of the PAN for dorado (SRP, IAP), as they have not formally approved governance, traceability and monitoring schemes for larger-scale application. On the side of industrial and artisanal fishermen, there is consensus that these schemes need to be implemented.

For the PAN pomada, the procedures of participatory monitoring and reporting would be lacking, and the governance scheme, which still need more work once the project is finished, while the PAP for El Oro shell was formalized through Ministerial Agreement No. MPCEIP-SRP-2021-0139-A and the crab PAN through Ministerial Agreement No. MPCEIP-SRP-2021-0151. With regard to pole tuna, the result has been very successful, achieving the regulation of this activity, as well as its certification under the Fair-Trade scheme.

The result for the strengthening of the authorities and actors of the GORE of Tumbes and Piura was also successful, since they are applying new management and automation processes for their control, reporting and surveillance tasks.

With regard to the "key actors ... have started the implementation process" can be considered achieved, considering the number of people, women and institutions that participated in the project activities. However, beyond the numbers presented, it does not seem appropriate to infer that all members of the communities are carrying out sustainable practices, especially in the crab, shrimp ointment and shell fisheries, where the interviewees maintained that a limited number of participants implement them and reported, in addition, that migration has increased illegal fishing significantly.

Finally, regarding the "number and area of coastal marine areas... under formal implementation processes", can be considered as achieved based on the numbers presented. However, as with the other results, the attribution of all marine-coastal areas does not seem prudent, because the interviewees revealed that only a limited number of people belonging to the communities do sustainable management and control, so the attributed area should also be smaller.

For outcome 2: Enhanced enabling conditions for marine and coastal spatial planning in Ecuador and Peru, achievement is "Satisfactory".

There are 3 indicators to measure the achievement of this result, which are based on marine-coastal areas in both countries – protected areas and unprotected areas – under PEMC and OHI processes. These indicators are related to the pilot areas of the project and their surfaces are equal to or greater than the specified goals, so they are considered fulfilled, and the attribution of the achievement is correct, since it involves surfaces that were intervened by the project. On the other hand, the third indicator refers to the "number of actors that make decisions and generate information" for the PEMC and IdSo, whose goal is also exceeded. According to the criteria of the evaluator, the figures provided are reasonable and correspond to the institutions and people trained in these issues, so the attribution of the achievement is credible and justified.

For Outcome 3: "Lessons and good practices to improve fisheries governance and marine and coastal spatial management have been shared with key actors within each country, between both countries, and with the global partners of the IFC program", its achievement is considered to be "Satisfactory", discarding from the rating the products and activities that were not implemented and that were not the responsibility of the CFI-LA.

The project reports as achieved the result based on indicators of the number of people and institutions that participated in the project and that have achieved changes in the performance of their activities and in the development of governance mechanisms, as well as in the number of organizations and

institutions that designate gender focal points. In both indicators, the project reports that they have exceeded the targets, of which there is no doubt that this was the case.

The other indicator is related to the implementation of UNICAS, where women and men participating in this type of initiative experienced a significant change in their lives, both in economic independence and in extra income thanks to the financing obtained to implement small enterprises. Indeed, this was one of the best results with a gender focus of the project. Regarding the latter, the evaluator considers that it would have been more appropriate to have included the UNICAS - as well as other entrepreneurship and management training initiatives - in Component N°1, since one of the conditions for improved governance is the obtaining of long-term economic and social benefits for artisanal fishing communities. This is endorsed in the statement of component 1 of the project results matrix.³⁵

On the other hand, although the results matrix did not specify it, the narrative of the logical framework of the project indicates that Component 3 had a strong M&E dimension and one of its key pieces was the determination of the "Fisheries Performance Evaluation Instrument (FPAI)" for the 7 selected fisheries, which is the tool that allows to evaluate fisheries from the social, economic and environmental perspectives. In the case of CFI-LA, the FPAI would be applied in years 1 and 4, the injuries learned would be shared with the CFI-Global partners. During the execution of the CF-LA, this tool was not applied because the CFI-Global was responsible for its development and application, where a significant gap was observed in the execution of both initiatives (the CFI-Global began almost two years after the CFI-LA), but some training was carried out for the staff of the institutions in the two countries.^{36,37,38}

The other important aspect of component 3 was having a regular interaction with the CFI-Global through its organizational structure, which would ensure that all regional projects would function as a single program and would also exchange experience and systematize lessons learned from the project that would be useful to the other global partners. From the review of the documentation and the interviews carried out, the level of coordination with the CFI-Global was limited, mainly due to the lag in the execution between both initiatives, but the CFI-LA participated in several workshops organized by the CFI-Global (March 2022, Feb. 2021, Nov. 2019, Oct. 2018 (global launch CFI), as well as in different coordination meetings when required.³⁹

In summary, it can be said that the project produced a complete series of dissemination materials and had a presence on the internet and social networks, changed the living conditions of the women beneficiaries with the UNICAs and carried out activities and meetings of binational and global exchange with its partners of the CFI-Global program.

Although the FPAI could not be implemented, nor could it have had a more consistent coordination with the IFC-Global program, these shortcomings cannot be attributed to the project, since they were not its responsibility. To the above, it should be added that Prodoc was not clear in defining how the systematization and exchange of lessons learned from the CFI-LA with its global partners would be. Consequently, the evaluator considered it necessary not to include these results and outputs within the project qualifications.

³⁵ Prodoc para. 47.1

³⁶ Prodoc. Para. 76

³⁷ Prodoc para.13

³⁸ Prodoc paras. 13 and 84.

³⁹ IDEM 36

Table 14: Detailed qualification for each project result stipulated in Prodoc and its adjustments (**Green = achieved**, **Yellow: on track to be achieved**; **Red: it is not achieved**)

| Result | New indicator | Target | Achievements | Assessment of the achievement |
|---|--|---|---|--|
| R1: Enhanced enabling conditions for governance of seven coastal fisheries in Ecuador and Peru | Level of implementation of actions prioritized by the CFI-LA within the framework of the (new or modified) instruments of governance of coastal fisheries in Ecuador and Peru, in consideration of sustainability guidelines and gender approach | 24 Prioritized actions | 24 Prioritized Actions: PAN Dorado: 3 (Monit, Gob y Trazab) PAN Pomada: 5 (Monit, Gob, Traza, Linea base, Nandina) PAP Concha: 3 (Monit, Gob, Investig) PAP Craba: 2 (Monit, Gob) PAN Tuna: 5 (Monit, Gob, Trazab, quality and Fair Trade) Management Agreements for black shell and Crab: 6 (Management, Monitoring, research, traceability, MTRBT, ROP) | <u>Satisfactory</u> It is reported achieved. Indeed, the project defined these 24 actions, which were executed in their entirety, but there are procedures that have not yet been legally approved by the relevant authorities, such as participatory monitoring and governance schemes for PANs and PAPs. |
| | Key actors (institutions, men and women by nationality) participating in Communities of Practice and Governance Systems of the coastal fisheries of the Southeast Pacific of Ecuador and Peru, who have started their implementation process | > 15 Institutions ≥ 1500 people ≥ 30% women | 31 2117 26% | <u>Satisfactory</u> It is reported achieved. However, it does not seem appropriate to infer that all members of the communities are carrying out sustainable practices, especially in the crab, shrimp pomada and black shell fisheries, where interviewees argued that a limited number of participants implement them. It was also reported that migration has increased illegal fishing significantly. |
| | Number and area of coastal marine protected areas and other conservation modalities of Ecuador and Peru, under processes of implementation of formal participatory governance systems, for the sustainability of coastal fisheries in the Southeast Pacific | number = 3 Area ≥ 50,000 ha | 4 50.136 Churute, El Morro, Custody and SNLMT areas | <u>Satisfactory</u> It is reported achieved. As with the other results, the attribution of all marine-coastal areas does not seem prudent, because the interviewees revealed that only a limited number of people belonging to the communities do sustainable management and control, so the attributed area should also be smaller. |
| R2: Enhanced enabling conditions for governance of seven coastal fisheries in Ecuador and Peru | Coastal marine surface of Ecuador and Peru under spatial planning processes and formal governance platforms, based on information from the Ocean Health Index and the Real-time Monitoring and Evaluation System of the enabling conditions promoted by the CFI-LA project | Ecuador= 751,000 ha Peru= 222,000 ha | Ecuador= 751,000 ha Peru= 222,000 ha | <u>Satisfactory</u> It is reported achieved. Indeed, this exercise was carried out in the Gulf of Guayaquil in Ecuador and in the Bay of Sechura in Peru, in which communities, local authorities, technical groups and institutions related to the coastal marine issue and its development participated. |
| | Surface of Marine Coastal Protected Areas and other conservation modalities of Ecuador and Peru under spatial planning processes and formal governance platforms, based on information from the Ocean Health | Ecuador ≥ 64,000ha Peru ≥ 54,000ha | 65,043 54,859 | <u>Satisfactory</u> It is reported achieved. The experience of PEMC and OHI was carried out in the northern part of the Gulf of Guayaquil (covering the coastal marine reserves of Santa Elena, Villmil beaches and El Morro mangroves in Ecuador) and in |

| <i>Result</i> | <i>New indicator</i> | <i>Target</i> | <i>Achievements</i> | <i>Assessment of the achievement</i> |
|--|---|--|---|---|
| | Index and the Real-time Monitoring and Evaluation System of the enabling conditions promoted by the CFI-LA project. | | | Sechura Bay (Illescas Reserve, the RAMSAR sites of Virrilá estuary and mangroves of San Pedro de Vice in Peru). |
| | Key actors (institutions, men and women by nationality) that participate and take action in PEMC and IDSO processes, generate information and feed the real-time monitoring and evaluation system of the enabling conditions promoted by the CFI-LA project | 10 institutions ≥ 400 people ≥ 50% women | 27 institutions 403 32% | <u>Satisfactory</u> It is reported achieved. This experience was carried out in the Bay of Sechura and in the Gulf of Guayaquil, where the information provided and interviews indicate a large number of institutions and key actors that participated in the generation of OHI and PEMC in both countries. |
| R3 (*): Lessons and good practices to improve fisheries governance and marine and coastal spatial management have been shared with key actors within each country, between both countries, and with global partners of the IFC program. | Key actors (institutions, men, and women by nationality) that after participating in knowledge transfer processes, have achieved improvements (changes) in: (i) Performance of their fishing activities and practices within the value chain; and (ii) Development and implementation of improved fisheries governance mechanisms | ≥ 14 Institutions ≥ 400 people 30% women | 76 institutions 1343 51% | <u>Satisfactory</u> It is reported achieved. In this case, interviews and reports revealed that officials from both governments implemented new control and surveillance systems, in addition to acquiring PEMC skills and public investment project presentation management to finance AMCs. The communities also learned ways of sustainable management of their fisheries and implemented control measures, respect for closures and participatory monitoring. |
| | Number of fisheries institutions and organizations that, after participating in knowledge transfer processes, designate gender focal points in institutionalized governance systems and value chains of fisheries resources | ≥ 11 fishery institutions and organizations | 11 institutions: SRP, DIREPRO Piura, DIREPRO Tumbes, Jefatura del Santuario, Municipalidad de Vice, 6 OSPAs | <u>Satisfactory</u> It is reported achieved. Indeed, gender focal points were appointed in these organizations, after receiving training on the gender strategy of the project and its approach in the participating institutions and organizations. |
| | Number of women achieving better conditions of economic autonomy, after participating in knowledge transfer processes | > 129 women 109 Credit and Savings Units (UNICA); and 20 mechanisms of Growing with your business (CCSN). | 393 | <u>Highly satisfactory</u> It is reported achieved. This has been an outstanding result of the project, improving the lives of many women and their families in areas of Piura and Tumbes. |

(*): Please note that for result 3, according to the adjusted indicators, the desired effects would be on track to be achieved. However, it should be noted that the weak design of this component, where key products for M&E such as the FPAI, the systematization of the lessons learned, its global application and coordination with the CFI-Global could not be satisfactorily materialized, since they depended on actors and circumstances outside the scope of the project (CFI-Global).

3.3.2 Relevance (*)

Rating: Highly Satisfactory

The project corresponds to a GEF-6 and is part of the GEF biodiversity and international waters focal areas. This project is justified by the existence of poor marine-coastal governance in the Gulf of Guayaquil (Ecuador) and Sechura Bay (Peru), a situation that has led to overfishing and the deterioration of existing ecosystems in both locations, so this is a joint collaboration project between both countries.

The management of small-scale and artisanal fisheries is the main challenge for Ecuador and Peru. These fisheries have had an uncontrolled expansion driven mainly by growing market demand, open access policies, poor or lack of regulation, and poor surveillance and enforcement.

Peru and Ecuador have made efforts to improve the sustainability of artisanal and small-scale fisheries, through the elaboration of specific regulations for the exploitation and management of resources, control and execution of projects that introduce sustainable development of fisheries, through mechanisms of governance, monitoring, traceability and increase the value of seafood. Despite all these efforts, both countries still have challenges in each of the issues mentioned above, so the project was relevant to increase binational cooperation and improve aspects of governance, regulations for artisanal fishing, coordination between actors, the collection of quality data on the populations of species selected by the project and their catch. and update the management tools of marine-coastal spaces.

Both countries are parties to the Convention on Biological Diversity, through which they commit themselves to the conservation of biodiversity, its sustainable use and the fair and equitable sharing of the benefits resulting from the use of their resources.

UNESCO has also highlighted the importance of the PEMC in both countries and has carried out activities to demonstrate its usefulness in the Gulf of Guayaquil, so the project has also reinforced this idea.⁴⁰

The project themes are also aligned with the UNDP Country Programme Document for Peru 2017-2021, the Programme Document for Ecuador 2019-2022 and the UN cooperation frameworks of Peru (2017-2021) and Ecuador.⁴¹

With regard to the Sustainable Development Goals (SDGs), the project contributes to goals 5, 8, 12 and 14. As an example, the development of UNICA favors economic sustainability, well-being and women's empowerment (SDGs 5 and 8), while traceability, participatory monitoring and improved governance activities favor SDGs 8, 12 and 14).

Therefore, it can be concluded that the topic addressed by the CFI-LA is "***Highly Relevant***" to support the design and implementation of public policies and programs that are needed to effectively protect marine-coastal biodiversity and regulate the sustainable use of fisheries in Peru and Ecuador.

3.3.2 Effectiveness and efficiency (*)

Effectiveness ()*

Rating: Satisfactory

⁴⁰ IOC-UNESCO. (2021) Technical report on future conditions and scenarios of marine spatial planning and opportunities for a sustainable blue economy in the Gulf of Guayaquil; Paris, UNESCO. IOC Technical Collection No. 163).

⁴¹ 2.1. Strengthened capacities and gender-sensitive instruments and mechanisms generated and implemented, at national and local levels, for the conservation and restoration of biodiversity and ecosystems, especially forest heritage and inland and marine water resources.

With regard to the achievement of the objectives of the project, it was previously commented that the indicators were not adequate to measure the desired results. It was also noted that result No. 3 has been the least achieved because important key M&E actions could not be carried out (FPAI, effective coordination with the CFI-Global program), concentrating on the production of dissemination and communication material through digital and conventional media. As mentioned in previous sections, these situations correspond to a flaw in the design of the CFI-LA, where this outcome of the project depended on factors and actors that were not under its control, but that eventually impact its overall results. Therefore, the rating of "Satisfactory" does not include these results/outputs that could not be executed or that did so partially, and that their implementations were alien to the project, such as the FPAI, coordination and exchange of experiences with CFI-Global.

The achievement of the objective of the project, which was to demonstrate new governance schemes, can be said to have been satisfactorily achieved in all 7 fisheries, taking into account the existing sanitary and institutional circumstances in both countries. With regard to landings from active participation processes, it could not be stated categorically that the targets have been met, because demonstration activities covered a smaller percentage of fishing communities (e.g. crab, black shell and pomada) where there is great uncertainty about catch volumes. In the case of Pole & Line Tuna and dorado there are more data, and there is more certainty about the numbers.

Besides, a series of actors from government entities and fishermen in both countries were trained, but it is also not reasonable to assign everyone the attribute of being favored (which they have been) and that at the same time all have carried out actions that lead to social, economic and environmental benefits. However, a significant effect has been had on the implementation of UNICAS, with its sequel to economic, gender and self-esteem benefits for many women and their families.

With regard to the achievement of results and outputs, the situation regarding how their progress is measured is the same situation of use of inadequate and incomplete indicators (for example, the effectiveness of the 7 fisheries, development of materials and their lessons learned).

The institutional arrangements between the actors were satisfactorily achieved in most of the fisheries (shrimp ointment being one of the most problematic) and results 1 and 2 were met, leaving only some products in the process and with some measures that must be legally approved by the authorities of Ecuador (governance and monitoring mechanisms especially).

In conclusion, the project had a marked difference in the execution of its activities and achievement of its results in the two stages it had to go through (2017-2020 and 2020-2022), where in the second period the implementation of the project was significantly accelerated. However, despite the good progress and execution achieved, the rating must consider the total period of project execution and the results achieved, which are satisfactory for two of them, but with a very partial achievement for result 3, due to the omissions in the execution of key aspects of measurement of results in fisheries and their relationship with the IFC-Global program, being shown that these last factors were not the responsibility of the project.

Efficiency ()*

Rating: Satisfactory

The project had a complex institutional organization that threatened the efficiency in the use of resources and product processing during its first stage, which was corrected through an intervention in the administrative processes of disbursements and approval of products, which considerably increased the speed of disbursements of the project. On the other hand, there were savings that were produced by VAT refund in Ecuador and that made it possible to carry out additional actions or reinforce those already carried out. In addition, as stated earlier in this report, the pandemic and institutional instability in both countries also affected disbursements due to the inability to conduct field activities and obtain product approvals.

Therefore, and considering the context in which the project was developed, *efficiency* understood as the ability to convert the available resources of the project into products and applied knowledge *is estimated to be "Satisfactory"*.

3.3.3 Project's overall outcome assesement

Following the UNDP guidelines for this section, Table No. 15 shows the qualification for the project results.

Table 15: Ratings for the Project's overall result

| Results Assessment | Rating |
|---|----------------------------|
| Relevance | <i>Highly Satisfactory</i> |
| Effectiveness | <i>Satisfactory</i> |
| Efficiency | <i>Satisfactory</i> |
| Overall rating for the project result (*) | <i>Satisfactory</i> |

3.4 National ownership in Peru and Ecuador

The support provided by the project to the main beneficiaries and authorities has been very positive, since they have been supported to better carry out their activities, such as monitoring and control of fishing and improving artisanal fishing practices.

Despite the above, the ownership – by the actors – of the results of the project has been rather mixed in both countries. For example, in Ecuador, the main authorities responsible for the implementation of the Golden PAN (SRP, IAP) have not yet formally approved governance, traceability and monitoring schemes for its larger-scale application. Regarding dorado fisheries, an agreement was signed between industrial fishing companies and WWF to give continuity to the IFP action plan, resulting in the consortium of dorado exporting companies of Ecuador founding the NGO "Mahi Mahi Conservation", and commissioning it to develop an action plan for the new phase of the Dorado FIP. This action plan is fundamentally based on giving continuity to all the processes that the CFI-LA project initiated.

For the shrimp pomada, the official approval of the participatory monitoring and reporting procedures, and the governance scheme, which will still need further involvement once the project is finished, is still pending. On the other hand, the shrimp industry signed a new agreement between several companies and shipowners to promote a basic shrimp pomada FIP. These documents present objectives and activities that are based on the new version of the current PAN Pomada and present a commitment to continuity of actions initiated by the project⁴².

In the case of the El Oro PAP, the approval and implementation of the IPIAP responsibility monitoring system (to which adjustments must be made) and governance for this fishery, where the SRP would be the entity responsible for executing it, is still pending. The PEMC of the Gulf of Guayaquil has not yet been approved by the GAD of Guayas, so its implementation is suspended. In October 2022, a meeting was held between the SRP and the users of the red crab fishery, where CI participated, where commitments were made to implement the PAN and the system and which include topics convening a technical table, strengthening and training of fisheries inspectors and meetings between the SRP and the Union of Artisanal Fishing Organizations of the Province of El Oro (UOPPAO) to address the issues of the red crab fishery in this province⁴³. However, it can be said

⁴² Sustainability and appropriation of actions of the CFI-LA Project in the shrimp ointment fishery in Ecuador. Ecuador titi shrimp FIP agreement y Ecuador titi shrimp FIP workplan 2020-2024.

⁴³ Evidence regarding the sustainability and appropriation of the PAN and participatory monitoring system for Red Crab

that government actors and regional authorities in Ecuador have been involved in the actions of the project and have always cooperated, but due to the high turnover of officials and authorities, institutional appropriation is hindered by this factor.

In the case of larger fishermen, such as the guilds, they have partially participated in the roundtables, and have subtracted from demonstration activities (as was the case of shrimp pomada and dorado).

On the other hand, the use of digital tools and equipment necessary to carry out the audits were adopted by the supervisory authorities in both countries as part of their usual tasks. The same happened with artisanal fishermen who used the digital applications developed for fisheries monitoring and reporting, as well as for traceability. The latter has been successful for artisanal fishers of dorado and pole and line tuna.

For the specific case of Peru, the DIREPRO of Tumbes and Piura have digitized all their inspection and control processes, which has increased the effectiveness of their work. GORE and some municipalities (e.g. Vice) were also actively involved in PEMC activities.

In the case of UNICAS, this system has proven to be very effective and was properly appropriated by community-based organizations, which are mostly led by women. It should be mentioned that this credit system has been previously developed by COFIDE and its application will continue after the end of the project.

The interviews revealed that most of the actors have the perception of little appropriation and lack of commitment on the part of government authorities, mainly due to the delay in the approval of governance and monitoring schemes for some fisheries in Ecuador and a discontinuation in the requirement of reports to fishermen. This situation has - as a result - that the communities and other actors of the system also begin to relax their management commitments, mainly due to lack of resources and personnel.

For the above reasons, the appropriation by the actors is considered mixed, being greater at the level of fishing industry and beneficiaries, so a greater effort will be needed focused on the authorities of both countries in order to monitor the commitments acquired.

3.5 Cross-cutting issues

The project has additional aspects that cover social, cultural and economic issues. In this regard, it is complementary to the Results of UNDP's Strategic Program 2018-2021 in Ecuador: 1) "The eradication of poverty in all its forms and dimensions, and the maintenance of people out of poverty": Product 3.1. "Public policy instruments or mechanisms designed or implemented to promote equitable economic inclusion and improve people's livelihoods"; and 2) "Accelerating structural transformations for sustainable development, including through innovative solutions that have multiplier effects on all Sustainable Development Goals: Output 2.1. Instruments or mechanisms developed or applied at the national or local level for the sustainable management of natural resources, environmental pollution, mainstreaming adaptation to climate change and mitigation of its effects, and the transition to more sustainable production systems".

In the case of Peru, the project contributes to UNDP's Strategic Programme Results 2018-2021: 1) "Growth and development are inclusive and sustainable and incorporate productive capacities that create employment and livelihoods for the poor and excluded: Output 3.3 "Strengthened national and subnational capacity to implement the 2030 Agenda"

The CFI-LA supported inclusive and sustainable development and the fight against external poverty in both countries. Indeed, the training and support for the economies of the poorest households in the areas of intervention of the project and the actions focused on the promotion of greater added value to seafood and aquaculture favored - without distinction - women and men with their families, who have been able to implement performances, such as small warehouses and improve sanitary conditions in the processing of seafood products and their traceability.

For gender issues, the project worked with community organizations led mainly by women to promote the UNICA of Tumbes and Piura in Peru, as well as the inclusion of women in the processing of shell and crab in Ecuador and Peru, through training and generating the conditions for small enterprises related to this type of fisheries. In addition, the project generated gender focal points in different government agencies in Peru that supported the implementation of the project, such as the GORE of Tumbes and Piura, Produce, Direpros and others.

3.6 Sustainability (*)

Overall Rating for Sustainability: Moderately Likely

Financial Resources ()*

Rating: Likely

Peru and Ecuador, like all countries in the region, have been strongly impacted by the COVID-19 pandemic, meaning a drop in tax and personal revenues that has led to poverty for millions of people. In this context, it is expected that the priorities of both countries will be focused on economic recovery, overcoming the health crisis and job creation, so the probability that investments in the development of fisheries projects will be maintained or increased could be certain, due to the growing support that these communities need to survive.

Regarding a permanent financing for the development of control and surveillance activities for government entities, it does not seem very feasible. In the case of Ecuador, the interviews revealed that these activities have decreased significantly after the project was closed in that country. Regarding research activities, it was mentioned that IPIAP has a very small budget to continue deepening these activities. In Peru, the DIREPRO of Tumbes and Piura highlighted the installation of the digital system to process shell fishing in landing ports, whose implementation allows them to improve control, but it is clear that there will be no greater resources to increase this type of activities.

In general, the government institutions of Peru and Ecuador related to fisheries control would not increase their budgets due to more pressing priorities in other sectors, so most government actors and artisanal fishers strongly condition the continuity of CFI-LA activities to the use of international cooperation and more specifically, to the implementation of the project called Humbolt II.

In the case of the UNICAS in Peru, its financial sustainability is assured in the short and medium term, since its members have been able to perceive the benefits of this initiative and are willing to continue with it, although greater support is necessary in terms of management and formalization. The same happens with pole and line tuna, where the members of the cooperative are looking for alliances to increase their export markets.

On the other hand, the municipality of Vice in Peru has been responsible for the administration of the RAMSAR site "Manglares de San Pedro de Vice" for approximately 20 years and has its own budget and coordinates with communities and other regional government authorities to control this area, so the financial sustainability for this site is assured.

Finally, financial resources to support the maintenance and scaling of IoT activities in Ecuador and Peru are not secured. Peru hopes to continue with this type of activities with the Humbolt II project that has already been approved and is in execution, but only involves Peru and Chile, thus Ecuador would have to use other types of resources such as, for example, the WWF project for the ointment shrimp fishery.

Therefore, the financial sustainability for the main results of the project is estimated as **"Likely"**.

Socio-political/economic ()*

Rating: Moderately Likely

Public investment and international cooperation projects constitute the largest source of resources for fisheries development in both countries, but given the low overall economic growth forecast for 2023, there is no assurance that the flow of fiscal resources can be maintained or increased.

With regard to the improvement of governance in the fisheries of Ecuador and Peru, there is a management system of public services – and in fisheries in particular – where there is a culture of poor coordination between public agencies and, in addition, of little sensitivity towards participation and rapprochement with users of the system, so it will take a lot of effort to maintain and scale participatory management models in marine-coastal spaces.

On the other hand, the interviews showed some disappointment of the fishermen (with bags) of shrimp ointment who participated in the project, because the SRP authorized purse fishing in quantities greater than what had been determined as sustainable in the project, a situation that has triggered excessive fishing by informal fishermen.

With regard to the same, in several localities of Ecuador, a significant number of migrants engaged in informal fishing were evidenced, which is causing problems with communities, due to competition for resources and problems associated with crime.

In the case of Peru, the documentary review and interviews showed that the project made very important contributions in governance, control and traceability of shell and crab resources, in addition to providing DIREPRO with "SMART" and "Trazapp" software applications to exercise better control and generation of information on the captures of these species. In Tumbes, digitalization is well integrated into DIREPRO, but in the case of Piura its adoption has been partial, and it has not been possible to consolidate, thus additional monitoring and support will be required to consolidate this system. In addition, the CFI-LA in Piura did not focus on important fisheries in the area – such as the giant squid – so the interest of local authorities was reduced.

With regard to the beneficiaries of the project in Peru, the interviews show a high appreciation of the contributions of the project by promoting better governance, shell restocking and control in the intervened fisheries, the implementation of the hydrobiological products processing room in Tumbes, as well as the UNICA that have been a contribution to the empowerment of women and an improvement in their quality of life. Subsequent challenges would include support in formalizing tour operators, seeking income alternatives in closed times for shell and crab fishermen, and standardizing regulations for these fisheries between Ecuador and Peru, to avoid illegal transboundary fishing.

Therefore, socio-political and economic sustainability *is estimated as "Moderately Likely" in* the medium term, if efforts are made to involve more actors who support these initiatives.

Institutional framework and governance ()*

Rating: Likely

Institutional and policy frameworks remain weak due to the high turnover rate of authorities and government officials in both countries. These rotations mainly affect the continuity of the activities and results of the project, because the awareness of these authorities must begin again to continue advancing in the priority issues that affect fisheries.

On the side of fishing communities, there is more stability, for example, the consortia to manage protected areas and those organizations that operate concession areas for fishing in the two countries. Concrete examples are the Ramsar sites of San Pedro de Vice and the mangrove management committees of the Jambelí archipelago in Ecuador, among others.

The industrial fishery will also continue its activities, but there are problems that could undermine the governance achievements achieved by the project in Ecuador, specifically with ointment shrimp, where there is an acute conflict between industrial and artisanal fisheries.

In Peru, the consortium that manages the mangroves of Tumbes in Peru will continue with its actions of control and patrolling of the area, but during the interviews, it was detected that a greater effort is needed in terms of improving the governance of the place, because it was estimated that the reports of fishermen to Direpro would only reach 40% of the fishing of shell and crab and also, illegal fishing increases during closed seasons, as fishermen have no guaranteed income in these periods. Other interviewees indicated that there should be a greater presence of Direpro in Puerto 25, where it is estimated that over 70% of catches are not reported.

Despite all these situations, there is a consensus between the actors of the two countries, that progress must be made in the regulation and control of the fisheries intervened by the project, so there is a high possibility that they will continue to support this type of activities in the future.

Given the above, this dimension is rated as "Likely".

Environmental ()*

Rating: Moderately Likely

The project has no negative impacts on the environment, but carries numerous benefits, which have already been discussed in previous sections. However, there are clear threats to biodiversity and fisheries in both countries. In Piura and Tumbes mention the multiplicity of economic activities that are carried out in these regions, starting with the port, the discharge of sewage, the mining activity that uses mercury, which would be polluting the sea and its species. Overfishing remains a serious problem and appears to be exacerbated by irregular immigration.⁴⁴

Therefore, still serious threats are visualized in this dimension of the project both in the short and medium term, thus the rating is "Moderately Likely".

Overall likelihood of sustainability (*)

Table 16: Asesment for sustainability

| <i>Sustainability</i> | <i>Rating</i> |
|--|-------------------|
| Finanancial | Likely |
| Socio-political | Moderately likely |
| Institutional Framework and Governance | Likely |
| Environmental | Moderately likely |
| Overall likelihood of sustainability | Moderately likely |

The consolidation of all project qualifications can be seen in Table No. 17 below

Table No.17: Consolidated ratings for the project

| <i>Project dimension</i> | <i>Rating</i> |
|--|--------------------------------|
| Monitoring and evaluation (M&E) | |
| M&E Plan Design | Moderately Unsatisfactory |
| Implementation of the M&E Plan | Moderately Satisfactory |
| Overall M&E Quality | Moderately satisfactory |
| Implementation & Execution | |
| Quality of UNDP implementation/oversight | Satisfactory |
| Quality of implementation partner execution | Moderately satisfactory |
| Overall quality of implementation/execution | Moderately satisfactory |

⁴⁴ MTR Report, p. 7

| Assessment of outcomes | |
|---|--------------------------|
| Relevance | Highly satisfactory |
| Effectiveness (*) | Satisfactory |
| Efficiency | Satisfactory |
| Overall project outcome rating | Satisfactory |
| Sustainability | |
| Financial Resources | Likely |
| Socio-political/economic | Moderately Likely |
| Institutional framework and governance | Likely |
| Environmental | Moderately Likely |
| Overall likelihood of sustainability | Moderately Likely |

(*): rating excludes Comp.3 results that were responsibility of CFI-Global.

3.7 Gender equality and women's empowerment

The project approached gender issues through the participation and empowerment of women leaders of community organizations, while being beneficiaries of small investments and project activities.

A Gender Action Plan was developed that included self-perception surveys of the role of women in the productive chain of fisheries in both countries and the interpretation of their results in a technical document, as well as training on gender issues for the UGP, WWF, CI and government institutions and fishermen's organizations. In addition, exchanges between women from Peru and Ecuador would also take place, as well as internal exchanges for women involved in the intervened fisheries, such as the creation of a Facebook page between women from Tumbes and Piura and documenting the successful experiences of women within the context of the project.⁴⁵

From the review of documentation and the interviews carried out, the implementation of this action plan was partial, mainly due to the short time left for the project to end (it was a 2021-2023 plan). Indeed, important advances were made, such as the survey on the capacities of the agencies participating in the project on gender issues and virtual workshops on this topic were carried out in Peru and Ecuador (the UGP, the NGOs WWF and CI, community organizations and authorities of national, regional and local governments, two institutions (SPR Ecuador and Direpro Piura) and a social organization (OSPAS) participated. They designated 11 gender focal points to continue these activities after the end of the project.

The technical report for the interpretation of data resulting from the surveys on the participation of women in the productive chain in Peru (Bahía Sechura) was also prepared, but the space for face-to-face socialization between women in Ecuador and Peru, the Facebook group for women, the practice groups with a gender focus in both countries or the capture of data on income and improvement of women's lives of UNICA - among other important activities - would be pending. Another expected result of the action plan was the insertion of gender issues in the technical table of benthic resources in Tumbes, which has also been partial.

To summarize this section, it can be concluded that important efforts were made to incorporate the gender dimension within the institutions participating in the project and 11 focal points have been institutionalized within these institutions as part of a commitment to continue advancing on this issue. It should be noted that, as an exit strategy for the project, a consensual and implementable work plan should be negotiated, especially with regard to systematic collection of information regarding this dimension of the project, such as, for example, income and geographical distribution, participation and level of influence in decision-making within their respective organizations. At the moment, the available information does not clearly establish the type and amount of information collected by the project, nor how it will be monitored over time.

⁴⁵ Updated Gender Strategy, Annex 1: Gender Action Plan.

The project website has a special section dedicated to gender issues and their dissemination⁴⁶.

3.8 GEF additionality

The main additionality of the project is to have advised and installed management capacities to plan and implement actions to protect marine-coastal biodiversity through integrated management strategies of these areas.

In addition, it also has the potential to improve the living conditions of the populations of the project's intervention areas, thanks to the generation of spaces for participation and development of sustainable fishing practices and monitoring and control activities of the selected fisheries, together with the provision of knowledge and infrastructure to start ventures that have a greater added value.

In addition, the updating and generation of new action plans for fisheries carried out in a participatory manner among all relevant actors, opens the door to a new type of management instruments that can better respond to the issues present in each territory intervened.

3.9 Catalytic role / Replication effect

At the time of the closing of the final evaluation, the project was preparing the exit strategy, but there is still no formal document with concrete objectives and commitments by the institutions involved. What does exist if it is an internal document of the UGP where the topics of continuity are established, its follow-up and the institutions responsible for promoting these activities, some of which are commitments acquired during the execution of the pilot activities and the updating of the master plan of the site, as well as the elaboration of PNIPA projects on research and production of shell seeds and maintenance of a representative of Produce to maintain the table of benthic resources and the approval and socialization of the national guidelines of environmental territorial planning by the DGOTA of MINAM, and promotion of the application of the OHI (Produce) in Peru. For Ecuador, the significant points of sustainability are subject to the continuity of activities of the NGOs WWF and CI around the PEMC of the Gulf of Guayaquil, use and dissemination of project materials (SRP).^{47,48}

At the moment, it is not seen that there is a management aimed at replicating the experience in any of the countries involved, because the sustainability strategy shown during the TE is not really a document based on a common roadmap in which the formal roles and commitments taken by the institutions and organizations involved in both countries can be appreciated, in addition to the fact that there are gaps in the evidence presented in that document. As mentioned above, the scaling and replication would be mainly conditioned by the implementation of the Humboldt II project, which will be executed between Peru and Chile, which would already be approved by the GEF, and which would be repeatedly named during the interviews with the actors.

In any case, the main actors that should promote the replication effect will be the environmental, maritime and regional authorities of each country, in addition to the organizations of artisanal and industrial fishermen, who will continue to manage their respective fisheries according to the new standards and plans that have been developed.

In addition, it will be key to keep the working groups supported by the project functioning in both countries, to build the roadmap mentioned above that allows for greater exchange between fishermen and authorities in order to land fishing exploitation plans according to their realities. In this regard, the NGOs CI and WWF, the SRP, IAP, MPCIP and MAATE in Ecuador will be key to maintaining momentum, while in Peru the key actors are in the GORE of Tumbes and Piura, MINAM, the Direpro and Produce.

⁴⁶ <https://cfi-la.org/es/experiencias/11/genero>

⁴⁷ Updated CFI 2022 Sustainability Strategy.xlsx

⁴⁸ Concertation and agreements with local productive organizations for their participation in the pilot to be implemented - Management Agreements – parts I and II, 30-12-2019

4. Main conclusions, recommendations, and lessons

4.1 Conclusions

Design

Although the issue of the seven intervened fisheries is highly relevant for Ecuador and Peru, the project document needed to have made a better approximation of the real risks of the project, such as illegal fishing, together with the development of SMART indicators aligned with internationally accepted definitions. At the same time, neither the ToC nor the logic described in Prodoc had clearly defined the cause-effect results chain nor an identification of critical high-impact tasks/products.

Another relevant aspect of the design was the conception of a very complex binational organization, with a national director in each country, a JDP without a technical or thematic instance that could support decision-making, and a PMU scattered in the two countries.

Implementation

The execution of the project, especially of the field activities, were strongly affected by the pandemic and by the instability of the authorities and public officials present in both countries.

The involvement of public institutions in both countries was uneven: in Peru MINAM was the executor of the project, in Ecuador it was the MPCIP that delegated the execution to CI and WWF, with very little involvement of MAATE.

The execution of the project clearly presents two stages: 2017-2020 pre-pandemic that consisted of installing the UGP, carrying out inter-institutional agreements and establishing procedures for approval of documents and disbursements, so that the physical and financial execution was very low (36% of the budget), while from 2020 both aspects of the execution are significantly improved, until 99% of the budget is committed or disbursed by October 2022. However, despite the good execution observed, the form of implementation does not seem integrated between the two countries, but independent where each one executed its own and the coordination instances were punctual.

Another important factor that had a negative impact on the implementation of the project was its intricate organizational structure, with approval and disbursement processes that depended on many instances and that made the development of activities extremely slow.

Adaptive management was acceptable and greatly improved during the second stage, because the implementation of key decisions that depended exclusively on the project was carried out late (example: installing a technical committee for the JDP, updating the parameters of the project at the beginning of its execution, contracting of the MTR and the gender expert carried out too late). This gap was compensated by the excellent management of the pandemic, the UNICAS and the gender specialist.

With regard to the appropriation of results, despite the fact that regulations were approved in both countries, the interviews revealed that most of the actors have the perception of little appropriation and lack of commitment on the part of government actors, mainly due to the delay in the approval of governance and monitoring schemes for some fisheries in Ecuador and a discontinuation in the requirement of reports to fishermen. This situation has as a consequence that communities and other actors in the system also begin to relax their management commitments. With respect to Peru, there was greater appropriation by the Municipality of Vice and DIREPRO, while the GORE of Piura approved an item for fisheries management and surveillance plans, but the SMART app could not be consolidated. Community surveillance and control activities have also decreased in Peru, the interviewees agreed that there is interest, but there is a lack of funding for this type of activities, at the same time that they reported that no progress could be made in standardizing the criteria for black shell fishing between the authorities of both countries. Finally, MINAM's DGOTA expects to finalize

the PEMC guidelines for its application at the national level, but the possibility of replication in this aspect is very uncertain due to its high costs and lack of resources.

Financial Management

It is considered that the financial management was correct and according to the standards required by UNDP. Disbursements reached 99% of the GEF budget. With respect to co-financing, Prodoc did not differentiate between in-kind and cash contributions, but the available data indicate 62% compliance, which the evaluator considers a fair value considering the high amounts involved (approx. USD 40 million contributed). The main contributors were the governments of Peru and Ecuador and the GORE of Piura and Tumbes. The review of the available documentation indicates that most of these contributions are recurrent expenses of the institutions (control and surveillance, personnel, use of equipment, etc.), while investment is also observed.

The co-financing letters analyzed do not clearly identify the contributions by project component (as stipulated in Prodoc), because the amounts reported do not have a standard format that allows these separations, in addition to the fact that some letters indicate only a total amount, while others make a slightly more detailed breakdown.

M&E System

The M&E tools implemented by the UGP and implementing partners were well designed and covered the progress of CFI-LA products, these advances focused on product monitoring rather than results. However, the PAIF, a key instrument for measuring the effectiveness of selected fisheries that should have been used at the start and end of the project, was not implemented. This tool was a requirement of the CFI-Global that would have been very important to monitor the environmental, economic and social results of the CFI-LA, but as mentioned in previous sections, the development of this important tool was the responsibility of CFI-Global, so this failure cannot be assigned to the project, but to the design of the same (Prodoc) that left the achievement of this important result in the hands of a third party on which no control could be exercised.

The role of the JDP was an important support for the project to facilitate the activities and resolution of the different situations that were presented. However, among the participants there is no single opinion regarding the usefulness and functionality of this instance: the perception of some was that they were long and tiring meetings (especially online), with many people participating and with little focus, while others found that they were fine. The duration of the face-to-face meetings was close to 5 hours, while the online ones lasted between one to three hours, the latter being shorter, which meant an improvement in their management by the UGP. The conclusion about this disparity of opinions could be linked to the general fatigue of people with the excessive use of this computer tool during the pandemic.

Greater involvement of the GEF focal points of Ecuador and Peru in the JDP meetings would have been desirable. The documentation indicates that they participated only from 2020.

The MTR was carried out late (39 months after signing the Prodoc), which meant that the necessary changes were very late in the project, so its impact could be considered less due to the short time available for its application.

Monitoring tools required by the GEF were also used, such as the "Core Indicators", annual and semi-annual reports to UNDP.

As a summary for this section, it can be mentioned that the UGP and NGOs followed all GEF and UNDP guidelines to design and execute the M&E plan of the project, but the deficiencies found in the design of component 3, the statements of results and non-SMART indicators made it difficult to carry out adequate monitoring to measure the actual achievements of the project, so these situations also negatively impacted the M&E, because the development of some very important tools to measure environmental, economic and social achievements in fisheries were outside the scope and

responsibility of the UGP, so the evaluator considered it fair not to include this situation in the overall rating of the project.

Achievement of Results

The qualification for ***the overall achievement of results is estimated to be satisfactory***. The project had a marked difference in the execution of its activities and achievement of its results in the two stages it had to go through (2017-2020 and 2020-2022), where in the second period the implementation of the project was significantly accelerated. However, despite the good progress and execution achieved, the rating must consider the total period of project execution and the results achieved, which are satisfactory for two of them, but with a very partial achievement for result 3, due to the omissions in the execution of key aspects of measurement of results in fisheries (M&E of fisheries effectiveness) and its coordination with the IFC-Global program. It was demonstrated that these last aspects were not the responsibility of the project, but that they had an impact within it, which meant that the evaluator had to balance the important achievements achieved by the project with the inconsistencies found in the results framework.

Gender and indigenous peoples

The project benefited all the social groups involved in the areas of intervention and had a preferential focus and sensitivity towards women, thanks to the existence of a gender expert within the UGP and the implementation of the gender strategy developed.

Sustainability

Although the project has no negative environmental impacts, Sustainability is considered moderately likely, since there are still serious threats to the biodiversity of marine-coastal ecosystems, mainly those from gold mining activities, real estate development, the dumping of waste into the sea and an emerging problem – at least in Ecuador – of illegal fishing by some of migrants and that exacerbates the depletion of resources.

In addition, the lack of adequate and permanent funding to develop basic management activities for artisanal fishing activities (surveillance, monitoring, governance, research) is not assured.

4.2. Recommendations

As a result of the previous analysis based on the documentary review and the interviews carried out with the key actors of the project, the following are the main recommendations suggested to ensure the continuity of the actions of the project and to improve the elaboration of future intervention initiatives. It is also shown in the table of recommendations which would be the institutions responsible for triggering the processes contained in these recommendations. Because the project ended its activities in October 2022, these recommendations focus on improving the sustainability of project results and developing new cooperation initiatives. Finally, the objective of these recommendations is that the institutions indicated can include them in projects that are underway or in the design of new interventions, as well as in activities to promote these issues among key national stakeholders.

| Rec # | Recommendation of the final evaluation | Responsible Entity | Period of application |
|--------------|--|--------------------------------------|------------------------------|
| A | <i>Sustainability, scale-up and replication</i> | | |
| A.1 | As an exit strategy, it is recommended to develop a work agenda with key stakeholders such as MINAM, MEF, Produce, municipalities and GOREs to facilitate the process of public financing of projects to strengthen fisheries and environmental governance in Piura and Tumbes initially, which already have capacities to do so. As the project is practically closed, the main | MINAM; GOREs Piura y Tumbes; Produce | Immediate |

| Rec # | Recommendation of the final evaluation | Responsible Entity | Period of application |
|--------------|---|--|------------------------------|
| | manager and promoter of this agenda would be UNDP – Peru and MINAM, considering the role of UNDP as the implementing agency of the GEF and the series of projects of this type that are in its portfolio and MINAM as the environmental authority of the country. | | |
| A2 | Continue in Ecuador, especially all related to the formalization of governance schemes for dorado and mandatory monitoring for shrimp pomada. It is suggested that UNDP-Ecuador lead this action by promoting coordination between the NGOs WWF and CI with the responsible authorities, because the project is finished. | MAATE, SRP, MAATE, IPIAP | Immediate |
| A3 | Work with the authorities of both countries to offer complementary income alternatives or viable and effective entrepreneurship mechanisms for artisanal fishermen during the closed season, in order to reduce poaching. | MINAM, Produce MAATE, MPCIP | Immediate |
| A4 | Establish or strengthen coordination between the authorities of both countries to determine common regulations for dorado, mussel, and crab fishing (size, closed seasons, traceability, governance schemes), in order to avoid border movements of fishermen. | MINAM, IMARPE, Produce MAATE, SRP, IPIAP. | Immediate |
| B | New initiatives | | |
| B1 | For the development of new projects, it is recommended to carry out a thorough review of the results, narrative and ToC frameworks to ensure that they comply with the internationally accepted definitions of objectives, results and indicators, along with verifying their consistency with the integrity of the project document. Do the same with the knowledge management and M&E component. Establish the requirement to the UGP to carry out a critical analysis of the Prodoc with respect to the topics indicated above, at the beginning of the implementation of the projects, to make the necessary adjustments in time. Similarly, although there is not much progress, perform the MTR in the required times. | PNUD- Perú, MINAM PNUD-Ecuador, MAATE | Immediate |
| B2 | When defining the governance of an initiative that requires coordinated implementation between two or more countries, it is recommended that the JDP be advised from the outset by a technical support committee that allows for smoother and more informed decision-making. Similarly, it would be advisable for each country to have its own executive board to discuss local aspects of implementation and it would be important to have the participation of GEF focal points from the beginning of the project. | PNUD- Perú, MINAM PNUD-Ecuador, MAATE | Immediate |
| B3 | It is recommended that, in the formulation of projects of this type, governance be clearly linked to business alternatives and/or supplementary income for users, so that they can better relate the benefits of integrated management schemes and biodiversity care. | PNUD- Perú, MINAM PNUD-Ecuador, MAATE | Immediate |
| B4 | In upcoming projects involving two or more countries, it is recommended to include clear commitments for the relevant authorities, both in the Prodoc and in the requirement of an exit strategy with roadmaps, relevant milestones, and responsibilities, so that they are actors and no project-beneficiaries. | PNUD- Perú, MINAM PNUD-Ecuador, MAATE | Immediate |

4.3. Learning Lessons

1. For projects involving two or more countries, their organizational structure should be as simple as possible and the boards should have a technical instance where agreements are discussed and made, so as to leave to the board its role of strategic advisor of the project. In the same way, each country should have its own board of directors to ensure institutional commitments and the proper progress of the project.
2. In the absence of explicit commitments from the actors expressed in Prodoc (authorities, private parties, communities) within the framework of the projects, there is a risk that there is little appropriation of its results. These commitments would be, for example, the responsibility to set standards, allocation of budgets for specific activities, establishment of a sustainability strategy with specific, responsible milestones and achievable timelines.
3. For exit strategies, before closing a project, there should be an agenda of concrete commitments between UNDP, key actors and authorities to implement activities and outputs that may have become incomplete or pending and to maintain governance activities at a similar pace as during project execution, or to scale some, such as digitalization for fishing activities of GORE from other regions, since the application developed by the project can address any type of fishery, or joint work on issues identified as common and legalization of pending monitoring and governance aspects (Ecuador).
4. When developing a development project, special care should be taken to use clear language that communicates the benefits and risks of the results to be achieved and how these will be measured and mitigated, while the formulation of statements of results should be aligned with the narrative and purpose of the project. As an example of the above, it should be specified and reported that there are products and results that depend on other instances in which the project has no control. The use of appropriate and specific indicators will facilitate adequate monitoring, as well as allow better communication with project partners and beneficiaries. The situation that arose in the CFI-LA led to omissions and the non-implementation of key products that could have been considered in the project, such as the M&E tool called FPAI and the scaling of the results that were finally the responsibility of CFI-Global.
5. The current pandemic situation leads us to think that in the design of future projects an exercise is carried out to identify and evaluate types of risks that apparently could have a very low probability, but a relevant impact on the execution of any project. At the very least, doing this type of exercise could allow the identification of key mitigation measures that could give an indication of how to deal with types of catastrophic situations such as the current ones.
6. There are projects that, due to their long formulation and approval process, could be misaligned with the reality encountered at the beginning of their implementation, so it is essential that the national executing unit carry out an in-depth analysis of the strategy, indicators, and goals of the project in order to update the main parameters with which the project will finally be evaluated, so that situations of impossibility of fulfilling certain results and objectives can be avoided.
7. Although there exists a perception that a project does not have sufficient progress to carry out the MTR, its value lies precisely in analyzing the causes of the lack of these advances and proposing recommendations in this regard, so the mid-term evaluation should be carried out as close as possible to the deadlines stipulated in Prodoc and not wait for further progress to be made. Another possibility would be to carry out an early pre-evaluation to identify the main problems of project implementation.

5. Annexes



Annex 1: ToR

TERMINOS DE REFERENCIA (TdR)

PNUD/IC-109/2022 – Evaluación Final (ET ó TE por sus siglas en inglés) del Proyecto Iniciativa Pesquerías Costeras – América Latina –CFI-AL

1. Información General

| | |
|-------------------------------------|--|
| Nombre y número del proyecto | Proyecto Iniciativa Pesquerías Costeras – América Latina (ID Award 00100445) |
| Lugar de destino: | Home based |
| Plazo: | 65 días calendario |
| Supervisión | Oficial Planificación Estratégica y Oficial Programa Medio Ambiente |

2. Introducción

De acuerdo con las Políticas y los Procedimientos de Monitoreo y Evaluación del PNUD y el Fondo Mundial para Medio Ambiente (FMAM), todos los proyectos de tamaño regular y mediano financiados por el FMAM y apoyados por el PNUD deben someterse a una Evaluación Terminal (ET) al final del proyecto. Estos Términos de referencia (TDR) establecen los requerimientos de la ET del proyecto “Iniciativa Pesquerías Costeras – América Latina” (PIMS# 5573) implementado a través del Ministerio de Ambiente (MINAM) en Perú y el Ministerio de Producción, Comercio Exterior, Inversiones y Pesca en Ecuador. El proyecto inició en Ecuador el 05 de septiembre del 2017 y en Perú el 11 de octubre de 2017, fechas de firma del Documento de Proyecto en cada país, y se encuentra en **su quinto año de implementación**. El proceso de la ET debe seguir las orientaciones descritas en el documento "Guía para realizar evaluaciones finales de proyectos financiados por el FMAM y respaldados por el PNUD" (http://web.undp.org/evaluation/guideline/documents/GEF/TE_GuidanceforUNDP-supportedGEF-financedProjects.pdf).

3. Antecedentes del Proyecto

El Proyecto “Iniciativa de Pesquerías Costeras - América Latina” financiado por el Fondo para el Medio Ambiente Mundial (GEF, por sus siglas en inglés), forma parte del Programa Global de CFI (Costal Fisheries Initiative por sus siglas en inglés), el cual se ha desarrollado para demostrar procesos holísticos y promover enfoques más integrados para la ordenación y el uso de las pesquerías costeras de forma inclusiva. CFI contribuye a afrontar el problema mundial de la débil gobernanza como causa raíz de la sobrepesca y de la degradación de recursos pesqueros y de la biodiversidad marina y costera. CFI tiene tres proyectos “child”; en Indonesia (WWF- CI), América Latina (el presente Proyecto - UNDP) y África del Este (UNEP - FAO), además de un Proyecto CFI Alianza Global (FAO) como mecanismo de coordinación y gestión del conocimiento, que a su vez facilita la asistencia técnica en el desarrollo un portafolio de proyectos de inversión (Fondo Competitivo de CFI, también llamado Challenge Fund).

La Iniciativa de Pesquerías Costeras en el Océano Pacífico Sureste es un esfuerzo conjunto de las autoridades pesqueras y ambientales de Ecuador y Perú. Ambos países comparten la rica biodiversidad y los recursos pesqueros de la zona de transición entre los Grandes Ecosistemas Marinos de la Corriente Humboldt y el Pacífico Centroamericano. En esta área, existen importantes pesquerías, la cuales han tenido una expansión incontrolada



impulsada principalmente por un incremento de la demanda del mercado, las políticas de libre acceso, la falta o deficiencia de regulaciones, vigilancia, y sanción. El Proyecto CFI- América Latina se centra en el fortalecimiento de la gobernanza de las pesquerías, principalmente en pesquerías artesanales y de pequeña escala y de las zonas marino-costeras y creando sinergias entre las pesquerías y las áreas marinas protegidas. En línea con la Teoría de Cambio del CFI Global, el proyecto CFI América Latina contribuye a demostrar una gestión holística y basada en el ecosistema y a mejorar la gobernanza de las pesquerías costeras en el Pacífico Sudeste. Para ello, la estrategia del Proyecto busca: (1) establecer “comunidades prácticas” con pescadores, actores clave y autoridades de pesca y ambiente, (2) implementar experiencias en pesquerías (siete pesquerías) y localizaciones geográficas (dos sitios), (3) sistematizar, documentar, compartir y diseminar las experiencias y aprendizajes dentro de cada país, entre ambos países y entre los países participantes del CFI- Global, y (4) aplicar las lecciones aprendidas para mejorar los esquemas de gobernanza o bien implementar otros nuevos.

El objetivo del Proyecto CFI América Latina es demostrar gestión holística basada en el ecosistema y mejorar la gobernanza de las pesquerías costeras del Pacífico Sudeste. Los tres componentes de la estrategia de intervención son:

El **componente 1**; contribuye a mejorar las condiciones habilitantes para la gobernanza y explorar formas para incorporar la gestión basada en los ecosistemas y la pesca colaborativa en siete pesquerías (cinco en Ecuador, dos en Perú). Adicionalmente, se analizan los factores limitantes que enfrentan los gobiernos regionales de Perú para administrar las pesquerías artesanales, y se ejecutan acciones piloto para el desarrollo de capacidades en los gobiernos regionales de Tumbes y Piura.

El **componente 2**; se enfoca en adquirir experiencias prácticas con herramientas y métodos para la planificación espacial marina y costera (CMSP). Para esto, se ejecutarán pilotos de CMSP en el Golfo de Guayaquil (Ecuador) y la bahía de Sechura (Perú). Sobre la base de los marcos políticos y las experiencias existentes, el proyecto explora formas de mejorar la gobernanza costera y marina para equilibrar los múltiples usos e intereses con un enfoque ecosistémico. La articulación funcional entre las pesquerías y las áreas protegidas marinas y costeras es un elemento central.

El **componente 3**; es la espina vertebral del proceso de aprendizaje y apoyará a las Comunidades Prácticas del Proyecto. Este componente se enfocará en intercambiar experiencias y buenas prácticas entre actores clave dentro de cada país, entre ambos países, y con los socios globales del CFI.

Los grupos beneficiarios del proyecto son:

- a. Pescadores y actores clave de la cadena de valor del dorado que operan / desembarcan en Esmeraldas, Manta y Anconcito (Ecuador) (ca., 80% de la pesquería nacional).
- b. Pescadores y actores de la cadena de valor de la pesquería de concha prieta de la provincia de El Oro (Ecuador).
- c. Pescadores y actores de la cadena de valor de la pesquería de cangrejo rojo del lado este del Golfo de Guayaquil, desde la REMACH hasta la frontera con Perú; incluyendo aquellos que operan dentro del área protegida.
- d. Pescadores y actores de la cadena de valor de la pesquería de concha negra y cangrejo de manglar en la región de Tumbes; incluyendo los pescadores que operan dentro del SNLMT y su zona de amortiguamiento, y el gobierno regional de Tumbes. Cuatro grupos (dos de cada país) han convenido en participar en la prueba de acuicultura.
- e. Pescadores y actores de la cadena de valor de la pesquería de pomada que operan / desembarcan en Posorja (Ecuador).
- f. Pescadores y actores de la cadena de valor de la pesquería de atún con caña de Ecuador.
- g. Usuarios y grupos interesados del sector norte – exterior del Golfo de Guayaquil. Esto incluye autoridades sectoriales, los gobiernos municipales de Santa Elena, Playas y Guayaquil, y los gobiernos provinciales de Santa Elena y Guayas.



- h. Comunidad local, Usuarios y grupos de interés de la bahía de Sechura. Esto incluye autoridades sectoriales (e.g., DICAPI, PRODUCE, Ministerio de Energía y Minas) y los gobiernos de las provincias de Paita y Sechura y el gobierno regional de Piura.

Este proyecto fue aprobado para una duración de 60 meses por el GEF, comenzando 5 de septiembre y 11 de octubre del 2017 en Ecuador y Perú, respectivamente; con fecha de finalización el 30 de octubre del 2022, luego de solicitarse al donante una extensión sin costo por 12 meses adicionales. El monto de inversión aportado por Fondo Medio Ambiente Mundial (FMAM) es de US\$ 6,588,991.00 millones, y la cofinanciación asciende a la suma de US\$ 65,562,889 y 67,333,289 de parte de Perú y Ecuador, respectivamente.

En cuanto a los arreglos institucionales, el proyecto se implementa en la modalidad de Ejecución Nacional (NIM, por sus siglas en inglés), siendo el socio ejecutor el Ministerio de Ambiente (MINAM) - quién además tiene a cargo la Dirección Nacional del proyecto-, el Ministerio de la Producción (PRODUCE) y los Gobiernos Regionales de Tumbes y Piura (GORE Tumbes y GORE Piura) para el caso del Peru; mientras en el caso de Ecuador, el proyecto es ejecutado por el Ministerio de Producción, Comercio Exterior, Inversiones y Pesca (MPCIP) y la Sub Secretaría de Gestión Marino Costera (SGMC), a través de sus socios implementadores WWF y Conservación Internacional (CI) Ecuador. El proyecto cuenta con la cooperación técnica del Programa de las Naciones Unidas para el Desarrollo (PNUD) de ambos países. La agencia implementadora líder del Fondo para el Medio Ambiente Mundial (GEF por sus siglas en inglés) es PNUD Perú.

La implementación del proyecto está a cargo de la Unidad de Gestión (UGP), liderada por el Coordinador Nacional del proyecto.

La ejecución del proyecto se realiza bajo la supervisión y garantía del PNUD, incluyendo los mecanismos de seguimiento y evaluación establecidos por el FMAM y el PNUD, tales como los reportes periódicos, auditorías, la evaluación de medio término (MTR) y esta evaluación terminal (ET).

Cuadro sinóptico del proyecto

| Título del proyecto: | Iniciativa de Pesquerías Costeras- América Latina (CFI) | | | |
|---|--|-------------------------|--|--|
| ID del proyecto del FMAM (GEF ID): | 9060 | | <u>Al momento de aprobación</u> (Millones US\$) | <u>Al momento de finalización</u> (Millones US\$) |
| ID del proyecto del PNUD (PIMS): | 5573 | Financiamiento GEF: | 6'588,991 | 6'588,991 |
| País: | Peru | PNUD | 500,000 | Por confirmar durante la evaluación final |
| | Ecuador | PNUD | 100,000 | |
| Región: | LAC | Gobierno Perú: | 51'727,141 | |
| | | Gobierno Ecuador | 10'000,000 | |
| Area Focal: | Biodiversidad | Otro: | 3'235,748 | |
| Objetivos Estratégicos del Área Focal del GEF 6 | Multi Focal (Aguas Internacionales): IW-3 Program 7 BD-4 Program 9 | Cofinanciamiento Total: | 65'562,889 | |
| Agencia GEF: | Programa de las Naciones Unidas para el Desarrollo (PNUD) - | Costo Total Proyecto | 72'151,880 | |



| | | | | |
|----------------------------|--|---|-----------------------|----------------------------|
| Otros socios involucrados: | Ministerio del Ambiente (Peru) PRODUCE-Perú MPCEIP-Ecuador | Fecha Firma de ProDoc (fecha de inicio proyecto): Perú | | 11/10/2017 |
| | | Fecha Firma de ProDoc (fecha de inicio proyecto): Ecuador | | 05/09/2017 |
| | | Fecha Cierre Operativo: | Propuesto: 30/10/2022 | Fecha Revisada: 30/10/2022 |

El Documento de Proyecto se encuentra en el siguiente link:

<https://info.undp.org/docs/pdc/Documents/PER/PRODOC%20CFI%20fdo.pdf>

3. De la evaluación

3.1 Objetivos de la ET

El objetivo de la ET es brindar una evaluación independiente del logro o no de los resultados del proyecto en comparación con lo que se esperaba, examinando críticamente las cadenas causales, incluyendo contexto, determinando la pertinencia, el impacto, la eficacia, la eficiencia y la sostenibilidad del proyecto a fin de mejorar futuras contribuciones al desarrollo.

Los propósitos complementarios de la ET son los siguientes:

- Promover la responsabilidad, rendición de cuentas y transparencia;
- Identificar las buenas prácticas y lecciones aprendidas que podrían ser útiles para mejorar la sostenibilidad de los beneficios del proyecto y ayudar en la mejora general de la programación del PNUD
- Contribuir a la evaluación general del logro de los objetivos estratégicos del FMAM dirigidos al beneficio del medio ambiente mundial; y
- Evaluar el grado de convergencia del proyecto con respecto a otras prioridades de la ONU y los Marcos de Resultados de ONU y PNUD.

Los usuarios finales de la evaluación serán las contrapartes gubernamentales, el punto focal operativo del FMAM, los socios en la ejecución, las oficinas de país del PNUD y las demás partes interesadas del proyecto y tomadores de decisiones en futuras formulaciones y ejecución de proyectos de desarrollo.

3.2 Enfoque y metodología de la ET

El informe ET debe proporcionar información basada en evidencia que sea creíble, confiable y útil.

Se espera que el/la consultor/a siga un enfoque participativo y consultivo que garantice una estrecha colaboración con el equipo del proyecto, las contrapartes gubernamentales (el punto focal operativo del FMAM), los socios en la ejecución, las oficinas de país del PNUD, el asesor técnico regional del PNUD, los beneficiarios directos y otras partes interesadas.

Además, el /la consultor/a de la ET deberá considerar los enfoques transversales, explicando su uso en la metodología (Gendermarker, financiamiento de género, etc.) y sus herramientas (entrevistas, encuestas, etc). Asimismo, deberá considerar otras cuestiones tales como la contribución del proyecto al CPD y UNDAF y los ODS incorporándolos en el informe de ET.

El/la consultor/a de la ET deberá revisar todas las fuentes de información relevantes, incluidos los documentos preparados durante la fase de formulación (es decir, PIF, plan de iniciación del PNUD, procedimiento de evaluación social y ambiental del PNUD -SESP), el documento del proyecto, los informes del proyecto, incluidos los PIR anuales, las revisiones del presupuesto del proyecto, los reportes de lecciones aprendidas, documentos



estratégicos y legales nacionales, y cualquier otro material que el/la consultor/a de la ET considere útil para la evaluación basada en evidencia. El evaluador de la ET revisará los indicadores básicos / herramientas de seguimiento del área focal del FMAM (Core Indicators) de línea de base y de mitad de período presentados al FMAM en las etapas de la revisión de medio término (MTR) y de aprobación de la Carta de Endoso (CEO Endorsment Letter) así como los indicadores básicos / herramientas de seguimiento (Core Indicators) terminales que deben completarse antes de que comience la misión de campo de ET. La lista completa de documentos a revisar se encuentra en el **Anexo B** de los TDR.

Respecto a los otros métodos de recolección de información, estos podrán ser cuantitativos y/o cualitativos. Como mínimo se espera que se realicen entrevistas a actores directos del proyecto (aquellos que tienen responsabilidades en el proyecto, incluidas, entre otras, aprobación de productos), así como también a agencias ejecutoras, altos funcionarios y líderes de equipos/componentes de tareas, expertos y consultores clave en el área temática, socios implementadores, Comité Directivo del Proyecto, beneficiarios, aliados estratégicos, academia, gobierno local y organizaciones de la sociedad civil, entre otros, de modo que aporten en la evaluación del progreso del proyecto y brinden sugerencias para aumentar la probabilidad de lograr las metas propuestas, así como su sostenibilidad. Asimismo, el evaluador podrá aplicar encuestas y cuestionarios o discusiones grupales a las partes interesadas del proyecto, según crea necesario para el mejor desarrollo de la evaluación.

En cuanto al análisis de la información, éste se debe realizar haciendo uso de la triangulación entre la información recogida mediante las entrevistas y otras herramientas, y la documentación revisada. De esta manera, los hallazgos, conclusiones, lecciones aprendidas y recomendaciones que se obtengan del análisis de esta información deberán tener una sólida base en evidencias y mantener una misma lógica entre sí.

Frente al contexto COVID, el/la consultor/a deberá presentar una propuesta de adaptación de la metodología según corresponda, considerando restricciones de viajes, orientación de seguridad, reuniones virtuales, entre otros. Dicha propuesta, además de cualquier limitación que se enfrente durante el proceso de la ET, deberá detallarse en el informe inicial de la ET, así como en el informe final.

El enfoque metodológico final, incluido el cronograma de entrevistas y los datos que se utilizarán en la evaluación debe describirse claramente en el informe inicial de la ET y debe discutirse y acordarse en su totalidad entre el PNUD, las partes interesadas y el evaluador de la ET. Asimismo, el informe inicial debe presentar la Matriz de Criterios de Evaluación, la misma que deberá ser revisada, ajustada y completada por el evaluador de la ET (ver **Anexo D** de los TDR).

El informe final debe describir el enfoque completo adoptado para la ET y la justificación del mismo, haciendo explícitos los supuestos, desafíos, fortalezas y debilidades subyacentes sobre los métodos utilizados en la evaluación, así como sus limitaciones.

3.3 Alcance de la ET

La ET evaluará el desempeño del proyecto frente a las expectativas establecidas en el Marco Lógico / Marco de Resultados del proyecto (ver **Anexo A de los TdR**). La ET evaluará los resultados del proyecto de acuerdo con los criterios descritos en la Guía para los ET de proyectos financiados por el FMAM apoyados por el PNUD (relevancia, efectividad, eficiencia, sostenibilidad e impacto). La sección de Hallazgos del informe ET cubrirá los temas que se enumeran a continuación⁴⁹:

Hallazgos

⁴⁹ El asterisco “(*)” indica los criterios para los que se requiere una calificación. En el anexo C de los términos de referencia se proporciona un esquema completo del contenido del informe de TE.



i. Diseño/Formulación del Proyecto

- Análisis del problema abordado, relevancia y alineación a las prioridades de ambos países
- Teoría del cambio
- Análisis del Marco de resultados: lógica y estrategia del proyecto, indicadores
- Supuestos y Riesgos
- Lecciones de otros proyectos relevantes (por ejemplo, la misma área focal) incorporadas en el diseño del proyecto
- Participación planificada de las partes interesadas
- Vínculos entre el proyecto y otras intervenciones dentro del sector
- Salvaguardas Sociales y Ambientales
- Incorporación del enfoque de género
- Arreglos de implementación

ii. Implementación del proyecto

- Gestión adaptativa (cambios en el diseño del proyecto y los resultados del proyecto durante la implementación)
- Participación actual de las partes interesadas y acuerdos de implementación
- Financiamiento y cofinanciamiento del proyecto (se debe incluir la tabla de cofinanciamiento según Anexo H)
- Monitoreo y evaluación: diseño inicial (*), implementación (*) y evaluación general del MyE (*)
- Agencia implementadora (PNUD) (*) y Agencia ejecutora (*), supervisión, implementación y ejecución general del proyecto (*)
- Gestión de riesgos, incluidos los estándares sociales y ambientales

iii. Resultados del Proyecto

- Evaluar el logro de los resultados en comparación con los indicadores informando sobre el nivel de progreso de cada objetivo e indicador del marco de resultado en el momento de la ET y anotando los logros finales mediante el formato de la Matriz de progreso en el logro de resultados (ver Anexo E).
- Relevancia (*), Eficacia (*), Eficiencia (*) y el resultado general del proyecto (*)
- Sostenibilidad: financiera (*), socio-política (*), Marco institucional y gobernanza (*), ambiental (*), probabilidad general de sostenibilidad (*)
- Apropiación nacional
- Igualdad de género y empoderamiento de la mujer
- Temas transversales (alivio de la pobreza, mejora de la gobernanza, mitigación y adaptación al cambio climático, prevención y recuperación de desastres, derechos humanos, desarrollo de capacidades, cooperación Sur-Sur, gestión del conocimiento, voluntariado, etc.)
- Adicionalidad del FMAM
- Papel catalítico / efecto de replicabilidad
- Progreso hacia el impacto

iv. Principales hallazgos, conclusiones, recomendaciones y lecciones aprendidas

- El/la consultor/a de ET incluirá un resumen de los principales hallazgos del informe de ET. Los hallazgos deben presentarse como declaraciones de hechos que se basan en el análisis de los datos.



- La sección de conclusiones se redactará a la luz de los hallazgos. Las conclusiones deben ser declaraciones integrales y equilibradas que estén bien fundamentadas con evidencia y conectadas lógicamente con los hallazgos de ET. Tanto las conclusiones como los hallazgos deben resaltar las fortalezas, debilidades y resultados del proyecto, responder a las preguntas claves de evaluación (ver la sección 4. Guía para la Conducción de Evaluaciones Terminales de Proyectos PNUD-FMAM) y brindar información sobre la identificación y / o soluciones a problemas importantes o cuestiones pertinentes para los beneficiarios del proyecto, el PNUD y el FMAM.
- Las recomendaciones dirigidas a los usuarios previstos de la evaluación deben ser concretas, prácticas, factibles y específicas. Estas se deben centrar en qué decisiones y acciones se pueden realizar con miras a asegurar la sostenibilidad de los resultados alcanzados por el proyecto y para proyectos a futuro. Las recomendaciones deben estar respaldadas específicamente por evidencias y estar vinculadas a los hallazgos y conclusiones en torno a las preguntas clave abordadas por la evaluación.
- El informe de ET también debe incluir las lecciones que se puedan extraer de la evaluación, incluidas las mejores y peores prácticas para abordar cuestiones relacionadas con la relevancia, el desempeño y el éxito, para que puedan proporcionar conocimiento obtenido de la circunstancia en particular (métodos programáticos y de evaluación utilizados, alianzas, apalancamiento financiero, etc.) que sean aplicables a otras intervenciones del FMAM y del PNUD. Cuando sea posible, el/la consultor/a de la ET debe incluir ejemplos de buenas prácticas en el diseño e implementación de proyectos.
- Es importante que las conclusiones, recomendaciones y lecciones aprendidas del informe de ET incluyan resultados relacionados con la igualdad de género y el empoderamiento de las mujeres.

El informe de ET incluirá una tabla de calificaciones de evaluación, tal como se muestra a continuación:

Tabla 2: Tabla de calificaciones de la ET

| Monitoreo & Evaluación (M&E) | Calificación |
|---|----------------------|
| Diseño de Plan de M&E | (Puntaje del 1 al 6) |
| Implementación del Plan de M&E | |
| Calidad General de M&E | |
| Implementación & Ejecución | Calificación |
| Calidad de la ejecución / supervisión del PNUD | (Puntaje del 1 al 6) |
| Calidad de la ejecución del socio implementador | |
| Calidad general de implementación / ejecución | |
| Evaluación de resultados | Calificación |
| Relevancia | (Puntaje del 1 al 6) |
| Eficacia | |
| Eficiencia | |
| Calificación general del resultado del proyecto | |
| Sostenibilidad | Calificación |
| Financiera | (Puntaje del 1 al 4) |
| Socio-política/económica | |
| Marco institucional y gobernanza | |
| Ambiental | |
| Probabilidad general de sostenibilidad | |

La escala de calificación es como sigue:



Las categorías de Resultados, Efectividad, Eficiencia, Monitoreo & Evaluación, Implementación & Ejecución y Relevancia se califican en una escala de calificación de 6 puntos, donde: 6 = Muy satisfactorio (MS), 5 = Satisfactorio (S), 4 = Moderadamente satisfactorio (MS), 3 = Moderadamente insatisfactorio (MI), 2 = Insatisfactorio (I), 1 = Muy insatisfactorio (MI). La sostenibilidad se califica en una escala de 4 puntos, donde: 4 = Probable (P), 3 = Moderadamente probable (MP), 2 = Moderadamente improbable (MI), 1 = Improbable (I).

4. Plazo del servicio

La duración total del ET será de **65 días calendario**, contados a partir del día siguiente a la firma del contrato. El cronograma tentativo de la ET es el siguiente:

Tabla 3. Cronograma provisional de ejecución del ET

| PERIODO DE EJECUCIÓN | ACTIVIDAD |
|--|---|
| <i>A 1 día de la firma de contrato</i> | Entrega de documentación del proyecto al/la evaluador/a |
| <i>A los 7 días de firma del contrato</i> | Presentación del Informe de Iniciación de ET |
| <i>A los 15 días de la firma de contrato</i> | Finalización y validación del Informe de Iniciación de ET |
| <i>A los 16 días de la firma del contrato</i> | Inicio Misión de la ET: entrevistas virtuales con las partes interesadas de Perú, Ecuador y otros, en base a un cronograma de 16 días de duración como máximo, elaborado en coordinación con la Unidad Adjudicadora. con el equipo del CFI. |
| <i>A los 35 días de la firma del contrato</i> | Reunión virtual de recapitulación de la misión y presentación de los hallazgos iniciales, con PNUD Perú, Ecuador y Regional, la Unidad de Gestión del Proyecto, las Direcciones Nacionales de Perú y Ecuador y actores clave |
| <i>A los 45 días de la firma del contrato</i> | Presentación del borrador del informe de la ET incluidos Anexos (<i>de acuerdo con la plantilla de contenidos en el Anexo C de los TDR</i>) vía electrónica |
| <i>A los 52 días de la firma del contrato</i> | Circulación del borrador del informe ET para comentarios de los interesados |
| <i>A los 60 días de la firma del contrato</i> | Preparación y emisión de la respuesta de la Dirección |
| <i>A los 65 días de la firma del contrato</i> | Incorporación de comentarios sobre el borrador del informe ET en el rastro de auditoría y finalización del informe ET (en inglés y español) |
| <i>A los 65 días de la firma del contrato</i> | Fecha prevista de finalización de ET completa |
| <i>En función a la fecha que se coordine con el Consejo Directivo del Proyecto y PNUD.</i> | Reunión virtual de presentación de Informe Final de la ET. |



5. Productos

El/la evaluador/a será responsable de entregar los siguientes productos:

| No. | Producto | Descripción | Plazo | Responsabilidades |
|-----|--------------------------------------|---|--|--|
| 1 | Informe de Iniciación | El/la consultor/a de ET detalla los objetivos, la metodología y el calendario del ET | A los 7 días calendarios de iniciado el servicio de consultoría y una vez realizada la revisión de la documentación | El/la consultor/a lo presenta de manera virtual al PNUD de ambos países, a las Direcciones Nacionales del Proyecto, a la Unidad de Gestión y demás partes interesadas del proyecto. |
| 2 | Presentación de Resultados Iniciales | El/la consultor/a presenta los Hallazgos y conclusiones Iniciales del ET | A los 35 días calendarios de iniciado el servicio de consultoría y una vez finalizada la misión de la ET | El/la consultor/a lo presenta de manera virtual al PNUD (Perú, Ecuador y Regional), las Direcciones Nacionales del Proyecto (Peru y Ecuador), la Unidad de Gestión y demás partes interesadas del proyecto |
| 3 | Borrador Informe Final | Borrador Informe Final completo con anexos <i>(de acuerdo con la plantilla de contenidos en el Anexo C de los TDR) de la ET</i> | A los 45 días calendario de iniciado el servicio de consultoría | El/la consultor/a lo presenta de manera virtual al PNUD (Peru y Ecuador), las Direcciones Nacionales, el/la Asesor/a Técnico/a Regional PNUD-GEF, equipo del proyecto, Punto Focal Operativo GEF y las demás partes interesadas del proyecto |

| | | | | |
|---|--------------------------------------|--|---|---|
| 4 | Informe Final* + Rastro de Auditoría | Informe final completo con anexos revisado incluyendo el Rastro de Auditoría donde se detalla cómo la evaluación ha abordado (o no) en el informe todos los comentarios recibidos <u>por parte de los socios y/o actores</u> claves del proyecto (incluida versión en inglés y español) (<i>Ver plantilla en el Anexo C de los TDRS</i>) | A los 65 días calendario de iniciado el servicio de consultoría y una vez recibidos los comentarios sobre el borrador de la ET | El/la consultor/a lo presenta de manera virtual a PNUD (Perú y Ecuador); las Direcciones Nacionales, el/la Asesor/a Técnico/a Regional PNUD-GEF, equipo del proyecto, Punto Focal Operativo GEF y las demás partes interesadas del proyecto |
|---|--------------------------------------|--|---|---|

Todos los productos deberán ser entregados de manera virtual.

*La calidad de todos los informes finales de la ET será evaluada por la Oficina de Evaluación Independiente del PNUD (OEI). Los detalles de la evaluación de la calidad de las evaluaciones descentralizadas de la OEI se pueden encontrar en la Sección 6 de las Directrices de evaluación del PNUD.⁵⁰

6. Forma de Pago

Los pagos se realizarán vía transferencia bancaria, a la cuenta del titular del contrato, dentro de los 10 días calendarios siguientes a la recepción de la conformidad por parte de la Unidad Adjudicadora (Oficina PNUD Peru) previa entrega del recibo por honorario, factura o documento que haga su vez en su país de origen, Certificado de Pago (anexo 6), de acuerdo con el siguiente cronograma:

| Producto | Pago | Condición de Pago |
|------------------|------------------|--|
| Primer Producto | 20% | A la conformidad del Informe inicial de la ET |
| Segundo Producto | No afecto a pago | Presentación de primeros hallazgos |
| Tercer Producto | 40% | A la aprobación del borrador de informe de la ET |
| Cuarto Producto | 40% | A la aprobación del informe final de la ET en versión inglés y español |

En caso de existir observaciones a los informes presentados, el plazo se contabilizará a partir del levantamiento de estas. El/la consultor/a deberá levantar las observaciones en un plazo no mayor de 5 días calendarios.

Criterios para emitir el pago final del 40%:

- El informe final de la ET incluye todos los requisitos descritos en los TDR y está de acuerdo con la guía de la ET.

⁵⁰ Access at: <http://web.undp.org/evaluation/guideline/section-6.shtml>



- El informe final de la ET está claramente escrito, organizado de forma lógica y es específico para este proyecto (es decir, no se ha cortado ni pegado el texto de otros informes de ET).
- Aprobación del informe final por parte de la Unidad Adjudicadora y el Asesor Técnico Regional PNUD -GEF
- Presentación virtual de los hallazgos y conclusiones a la Unidad Adjudicadora y otras partes interesadas.
- El Rastro de Auditoría incluye respuestas y justificación para cada comentario enumerado.

7. Arreglos para la ET

La responsabilidad principal en la gestión de la presente Evaluación Terminal (ET) corresponde a la Unidad Adjudicadora de este proyecto que es la Oficina PNUD Perú, la misma que está conformada por el área de Planificación Estratégica, Programa de Medio Ambiente y Adquisiciones. La Unidad Adjudicadora contratará al/la consultor/a, asegurará el suministro oportuno del paquete de información del proyecto y garantizará el pago oportuno de los productos entregados, previa conformidad. La Unidad Adjudicadora verificará los productos entregados por el/la consultor/a de manera que se garantice la calidad requerida y el cumplimiento de la Guía para la Conducción de las Evaluaciones Terminales.

La Unidad Adjudicadora, con el apoyo del equipo del proyecto, deberá preparar y proporcionar al/la evaluador/a una lista actualizada de las partes interesadas del proyecto con los datos de contacto (teléfono y correo electrónico). Asimismo, la Unidad Adjudicadora, con el apoyo del proyecto, será responsable de mantenerse en contacto con el/la evaluador/a para organizar entrevistas con las partes interesadas, elaborando un cronograma.

El lugar de trabajado será remoto y deberá contar con su propia laptop.

Detrás de la “Guía para realizar evaluaciones finales de proyectos financiados por el FMAM y respaldados por el PNUD” hay un principio de “no hacer daño” y una consideración de que la seguridad del personal, consultores, partes interesadas y comunidades es primordial y la principal preocupación de todos al planificar e implementar evaluaciones durante la crisis de COVID-19.

8. Perfil característico de la(s) persona(s) Naturales a contratar

El/la evaluador/a será responsable del diseño general y redacción del informe de la ET, evaluará las tendencias emergentes con respecto a los marcos regulatorios, las asignaciones presupuestarias, el desarrollo de capacidades, y asimismo trabajará con el Equipo del Proyecto en el desarrollo del itinerario de la ET.

El/la evaluador/a no puede haber participado en la preparación, formulación y / o implementación del proyecto (incluida la redacción del documento del proyecto), ni haber llevado a cabo la evaluación de medio término (MTR) de este proyecto; tampoco debe tener conflicto de intereses con los actores relacionados con el proyecto.

El/la Evaluador/a estará sujeto a los más altos estándares éticos y debe firmar un código de conducta al aceptar la asignación (ver Anexo I). Esta evaluación se llevará a cabo de acuerdo con los principios descritos en las "Directrices éticas para la evaluación" del UNEG. El/la evaluador/a debe salvaguardar los derechos y la confidencialidad de los proveedores de información, los entrevistados y las partes interesadas a través de medidas para garantizar el cumplimiento de los códigos legales y otros códigos relevantes que rigen la recopilación de datos y la presentación de informes sobre datos. El/la evaluador/a también debe garantizar la seguridad de la información recopilada antes y después de la evaluación y los protocolos para garantizar el anonimato y la confidencialidad de las fuentes de información cuando se espere. El conocimiento de la información y los datos recopilados en el proceso de evaluación también deben utilizarse únicamente para la evaluación y no para otros usos sin la autorización expresa del PNUD y sus socios.



En ese sentido, el/la Evaluador(a) firmará el Formulario del Acuerdo del Código de Conducta del Consultor de Evaluación⁵¹ (**Anexo I**).

Formación Académica

- Estudios concluidos de maestría o doctorado en biología marina, manejo de pesquerías, oceanografía, manejo de recursos naturales, desarrollo sostenible, medio ambiente, ciencias, ingenierías, economía u otro campo afín. De contar con Título profesional en gobernanza pesquera, pesquerías sostenibles, conservación de ecosistemas de manglar, planificación espacial marino costera, se obtendrá puntaje adicional.
- Deseable especialización, curso, o seminario relacionado a: gobernanza pesquera, pesquerías sostenibles, conservación de ecosistemas de manglar, planificación espacial marino costera, cambio climático, adaptación/ mitigación, entre otros.
- Fluidez del español e inglés escrito y hablado.

Experiencia Profesional

- Al menos 7 años de experiencia en la formulación, monitoreo, asesoría, asistencia técnica y/o implementación de proyectos o programas relacionados a gobernanza pesquera, pesquerías sostenibles, conservación de ecosistemas, biodiversidad, aguas internacionales. Se valorará experiencia en planificación espacial marino costera y experiencia con poblaciones pesqueras costeras.
- Experiencia liderando al menos tres evaluaciones de medio término o finales realizadas a proyectos o programas vinculados a cualquiera de los siguientes temas: gobernanza pesquera, pesquerías sostenibles, conservación de ecosistemas, conservación de la biodiversidad, aguas internacionales, planificación espacial marino costera.
- Experiencia de al menos dos evaluaciones de proyectos financiados por el GEF. Se valorará si alguno de los proyectos fue implementado por el PNUD.
- Deseable experiencia en la aplicación de indicadores SMART, ya sea en el marco del diseño, implementación y/o monitoreo de proyectos, así como en la reconstrucción o validación de escenarios iniciales (baseline scenarios).
- Deseable experiencia en evaluaciones y análisis sensibles a la interculturalidad y género.

Se requiere que el/la candidato/a seleccionado/a tenga disponibilidad inmediata para realizar la consultoría.

9. Anexos de los Términos de Referencia

Se adjunta los siguientes anexos:

- TDR Anexo A: Marco de resultados del proyecto
- TDR Anexo B: Documentación a ser revisada por el/la consultor/a
- TDR Anexo C: Contenido del informe de la ET
- TDR Anexo D: Formato de Matriz de Criterios de Evaluación
- TDR Anexo E: Formato de Matriz de Progreso en el Logro de Resultados
- TDR Anexo F: Escala de Calificaciones de la ET
- TDR Anexo G: TE Rastro de Auditoría
- TDR Anexo H: Tabla de Cofinanciamiento
- TDR Anexo I: Código de Conducta UNEG
- TDR Anexo J: Formulario de Aprobación del Informe de la ET

⁵¹ Código de Conducta de la UNEG para Evaluación en el sistema de las Naciones Unidas: www.unevaluation.org/uneqcodeofconduct



Anexo A: Marco de Resultados del Proyecto

| OBJETIVOS | INDICADORES DE OBJETIVO Y RESULTADO | LÍNEA BASE | META DE MEDIO TÉRMINO | META AL FINAL DEL PROYECTO | SUPUESTOS |
|--|--|---|---|--|---|
| <p><u>Objetivo del proyecto:</u> Demostrar manejo holístico basado en ecosistemas y gobernanza mejorada en las pesquerías costeras del Pacífico sudeste^[1]</p> | <p>Pesquerías costeras del Pacífico Sudeste que han desarrollado las condiciones habilitantes necesarias para lograr una gobernanza basada en derechos, en herramientas de planificación espacial y en procesos de transferencia de conocimientos^{[2] [3]}.</p> | 0 | 2 | <p>Siete (7) pesquerías costeras artesanales del Pacífico Sudeste: Plan Acción Nacional (ECU):</p> <ul style="list-style-type: none"> ▪ Dorado - Atún ▪ Camarón Pomada ▪ Concha - Cangrejo <p>Arreglos de manejo (PER):</p> <ul style="list-style-type: none"> ▪ Concha - Cangrejo <p>P. Estratégica (PER):</p> <ul style="list-style-type: none"> ▪ Gobiernos regionales^[4]. | <p>Las políticas públicas, la legislación, las estrategias, los planes sectoriales nacionales están siendo armonizadas para alcanzar un Manejo Ecosistémico de las Pesquerías (EBFM, por sus siglas en inglés) y facilitar la generación de beneficios sociales, económica y ambientalmente sostenibles, en ambos países^[5].</p> |
| | <p>Porcentaje de desembarques pesqueros que provienen de procesos activos de participación de mujeres, hombres y de autoridades competentes, en nuevos o mejorados</p> | <p>Concha ECU: 0 Concha PER: 0 Cangrejo ECU: 0 Cangrejo PER: 0 Dorado ECU: 0 Camarón Pomada ECU: 0 Atún con caña: 0</p> | <p>Concha ECU: 0 Concha PER: 0 Cangrejo ECU: 0 Cangrejo PER: 0 Dorado ECU: 0 Camarón Pomada ECU: 0 Atún con caña: 0</p> | <p>Concha ECU: 40% Concha PER: 100% Cangrejo ECU: 100% Cangrejo PER: 100% Dorado ECU: 100% Camarón Pomada ECU: 100%</p> | <p>Se cuenta con compromisos políticos e institucionales reflejados en la disponibilidad de talento humano y recursos financieros adecuados, para:</p> |



| | | | | |
|---|--|--|---|--|
| sistemas de gobernanza ^[6] ^[7] . | | Atún con Caña ECU: 100% | | |
| Actores clave (institucionales, hombres y mujeres, por nacionalidad) que han sido favorecidas por las condiciones habilitantes desarrolladas por el proyecto CFI-AL ^[8] , para generar beneficios sociales (basado en derechos), económicos y ambientales ^[9] . | Concha ECU: 0 Concha PER: 0 Cangrejo ECU: 0 Cangrejo PER: 0 Dorado ECU: 0 Camarón Pomada ECU: 0 Atún con caña: 0 | Concha ECU: 0 Concha PER: 0 Cangrejo ECU: 0 Cangrejo PER: 0 Dorado ECU: 0 Camarón Pomada ECU: 0 Atún con caña: 0 | Concha ECU: ≥ 600 Concha PER: ≥ 500 Cangrejo ECU: ≥ 5.000 Cangrejo PER: ≥ 300 Dorado ECU: ≥ 10.000 Camarón Pomada ECU: ≥ 500 Atún con Caña: ≥ 100 ≥ 14 instituciones ^[10] . | (i) Sostener y replicar procesos de transferencia de conocimientos, sistemas de gobernanza pesquera inclusivos y sensibles al género, y de ordenamiento de las actividades humanas en espacios marinos y costeros. (ii) Implementar las condiciones habilitantes desarrolladas (i.e., gobernanza mejorada de siete pesquerías costeras, la planificación espacial marina y costera, conocimientos y aprendizajes) en ambos países ^[11] . |

| OBJETIVOS | INDICADORES DE OBJETIVO Y RESULTADO | LÍNEA BASE | META DE MEDIO TÉRMINO | META AL FINAL DEL PROYECTO | SUPUESTOS |
|---|---|------------|-----------------------|--|---|
| <u>Componente 1.</u> Incrementar y fortalecer las capacidades de los | Grado de implementación de acciones prioritizadas por el CFI en el marco de | 0 | 3 | ≥ 24 acciones prioritizadas: - PAN Dorado: 3 (monitoreo, | Las autoridades pesqueras de ambos países han desarrollado / adaptado |



actores clave para una mejor gobernanza de las pesquerías costeras con enfoque inclusivo de reducción de la pobreza y sensible al género.

Resultado 1. Condiciones habilitantes mejoradas para la gobernanza de siete pesquerías costeras de Ecuador y Perú.

los instrumentos (nuevos o modificados) de gobernanza de las pesquerías costeras de Ecuador y Perú, en consideración a criterios de pesca responsable, directrices de sostenibilidad y enfoque de género^[12].

- gobernabilidad y trazabilidad).
 - PAN Pomada: 5 (monitoreo, gobernabilidad, trazabilidad, línea base y partida NANDINA).
 - PAP Concha: 3 (monitoreo, gobernabilidad e investigación)
 - PAP Cangrejo: 2 (monitoreo y gobernabilidad)
 - PAN Atún: 5 (monitoreo, gobernabilidad, trazabilidad, calidad y Comercio Justo (Fair Trade).
 - Acuerdos Gestión para Concha y Cangrejo: 6 (manejo, monitoreo, investigación, trazabilidad, Mesa Técnica
- marcos legales y normativos para la protección de stocks y su biodiversidad asociada, para asegurar rendimientos pesqueros sostenibles, reglas de acceso y esfuerzo pesquero, mecanismos de control, vigilancia y sanción, necesarios para una mejor gobernanza^[14].



| | | | | de Recursos Bentónicos de Tumbes, Reglamentos de Ordenamiento Pesquero) ^[13] . |
|--|---|--|--|--|
| Actores clave (instituciones, hombres y mujeres por nacionalidad) que participan en Comunidades de Práctica y Sistemas de Gobernanza de las pesquerías costeras del Pacífico Sudeste de Ecuador y Perú, que han iniciado su proceso de implementación ^[15] . | 0 | <p>≥ 600 personas</p> <p>≥ 30% mujeres</p> | <p>≥ 1.500 personas</p> <p>≥ 30% mujeres</p> <p>≥ 15 instituciones^[16]</p> | Pescadores y otros actores clave han desarrollado mecanismos emergentes frente a la pandemia del COVID 19, para contribuir a la recuperación económica de las pesquerías artesanales y realizar sus operaciones bajo normas de bioseguridad ^[17] . |
| Número y superficie de áreas marinas costeras protegidas y otras modalidades de conservación de Ecuador y Perú, bajo procesos de implementación de sistemas formales de gobernanza participativa, para la sostenibilidad de las pesquerías costeras del Pacífico sudeste ^[18] . | 0 | <p>Número = 1</p> <p>Superficie: ≥ 20.000 has.</p> | <p>≥ 4</p> <p>Reserva Ecológica Manglares Churute (Ecuador).</p> <p>Refugio de Vida Silvestre Manglares El Morro (Ecuador).</p> <p>Acuerdos de Uso Sostenible y Custodia del Ecosistema de Manglar, (Ecuador).</p> | Las autoridades y entidades públicas relacionadas con la gobernanza pesquera promueven e impulsan bajo un enfoque de género, la participación, visibilización y empoderamiento económico, en todos los eslabones de la cadena de valor de recursos pesqueros ^[19] . |



Santuario Nacional
Manglares de Tumbes
(Perú).

Superficie: ≥ 50.000 has.

| OBJETIVOS | INDICADORES DE OBJETIVO Y RESULTADO | LÍNEA BASE | META DE MEDIO TÉRMINO | META AL FINAL DEL PROYECTO | SUPUESTOS |
|--|---|------------|--|--|--|
| <p><u>Componente 2.</u> Probar métodos y herramientas para planificación espacial marina y costera, con enfoque de reducción de riesgos de desastres basado en ecosistemas.</p> <p><u>Resultado 2.</u> Condiciones habilitantes mejoradas para la planificación espacial marina y costera en Ecuador y Perú.</p> | <p>Superficie marina costera de Ecuador y Perú bajo procesos de planificación espacial y plataformas formales de gobernanza, en función a información del Índice de Salud de los Océanos y del Sistema de Monitoreo y Evaluación en tiempo real de las condiciones habilitantes promovidas por el proyecto CFI-AL^[20].</p> | 0 | <p>Ecuador = 751.000 has.</p> <p>Perú = 222.000 has.</p> | <p>Ecuador = 751.000 has.</p> <p>Perú = 222.000 has.</p> | <p>Se cuenta con compromisos políticos e institucionales reflejados en la disponibilidad de talento humano y recursos financieros adecuados, que permitan la institucionalización de la PEMC, el IdSO u otros métodos de procesamiento de información, como herramientas de planificación multisectorial y toma de decisiones en el ámbito marino costero, en ambos países^[21].</p> |
| | <p>Superficie de Áreas Marinas Costeras</p> | 0 | Ecuador: ≥ 64.000 has. | Ecuador: ≥ 64.000 has. | Las autoridades, entidades públicas y sectores |



| | | | |
|--|---|--|---|
| <p>Protegidas y otras modalidades de conservación de Ecuador y Perú bajo procesos de planificación espacial y plataformas formales de gobernanza, en función a información del Índice de Salud de los Océanos y del Sistema de Monitoreo y Evaluación en tiempo real de las condiciones habilitantes promovidas por el proyecto CFI-AL^[22].</p> | <p>Perú: ≥ 54.000 has.</p> | <p>Perú: ≥ 54.000 has.</p> | <p>productivos vinculados con el medio marino y costero aportan datos (multisectoriales) para evaluar los cambios en la salud de los océanos, de ambos países^[23].</p> |
| <p>Actores clave (instituciones, hombres y mujeres por nacionalidad) que participan y toman acción en procesos de PEMC e IDSO, generan información y alimentan el sistema de monitoreo y evaluación en tiempo real de las condiciones habilitantes promovidas por el proyecto CFI-AL^[24].</p> | <p>0</p> <p>≥ 200</p> <p>$\geq 50\%$ mujeres</p> | <p>≥ 400</p> <p>$\geq 50\%$ mujeres</p> <p>Grupos de usuarios, actores clave, ONG, personal de gobiernos locales y nacionales^[25].</p> <p>Grupos de usuarios, actores clave, ONG, personal de gobiernos locales y nacionales^[26].</p> <p>≥ 10 instituciones^[27].</p> | <p>Los comités intersectoriales de alto nivel de decisión de Ecuador y Perú, reconocen que las metodologías de PEMC, el IdSO u otros métodos de procesamiento de información, constituyen importantes mecanismos que facilitan la gestión adaptativa y la articulación multisectorial en la toma de decisiones sobre los ecosistemas marinos y costeros^[28].</p> |



| OBJETIVOS | INDICADORES DE OBJETIVO Y RESULTADO | LÍNEA BASE | META DE MEDIO TÉRMINO ^[29] | META AL FINAL DEL PROYECTO ^[30] | SUPUESTOS |
|---|--|------------|---------------------------------------|--|---|
| <p><u>Componente 3.</u> Gestión del conocimiento y M&E^[31].</p> <p><u>Resultado 3.</u> Las lecciones y buenas prácticas para mejorar la gobernanza pesquera y el ordenamiento espacial marino y costero se han compartido con actores clave dentro de cada país, entre ambos países, y con los socios globales del programa CFI.</p> | <p>^[32]Actores clave (instituciones, hombres y mujeres por nacionalidad) que luego de participar en procesos de transferencia de conocimientos, han logrado mejoras (cambios) en: (i) Desempeño de sus actividades y prácticas pesqueras dentro de la cadena de valor; y (ii) Desarrollo e implementación de mecanismos de gobernanza pesquera mejorada^[33].</p> | 0 | | <p>≥ 14 instituciones, que comprenden: Consorcio de seis (6) Organizaciones Sociales de Pescadores Artesanales de Perú, cuatro (4) de Ecuador, SRP, SERNANP, DIREPRO Piura, DIREPRO Tumbes.</p> <p>≥ 400 personas^[34].</p> | <p>Los actores de la pesca artesanal, hombres y mujeres que forman parte de la cadena de valor de recursos pesqueros, se interesan en replicar los conocimientos adquiridos y adaptarlos a sus realidades y contextos particulares, en ambos países^[35].</p> |
| | <p>Número de instituciones y organizaciones pesqueras que luego de participar en procesos de transferencia de conocimientos, designan puntos focales de género en los sistemas de gobernanza institucionalizados y cadenas de valor de recursos pesqueros^[36].</p> | 0 | | <p>≥ 11 instituciones</p> <p>SRP, MINAM, Jefatura del Santuario Natural Los Manglares de Tumbes, consorcio de seis (6) Organizaciones Sociales Artesanales, DIREPRO Piura, DIREPRO Tumbes.</p> | <p>Los ejercicios basados en enfoques de aprendizaje prácticos comprometen a las autoridades de cada país a liderar cambios y mejoras en la gobernanza pesquera y planificación espacial marino costera^[37].</p> |



| | | |
|--|---|---|
| Número de mujeres que logran mejores condiciones de autonomía económica, luego de participar en procesos de transferencia de conocimientos ^[38] ^[39] . | 0 | ≥ 129 mujeres |
| | | 109 Unidades de Crédito y Ahorro (UNICA); y 20 mecanismos de Creciendo Con Su Negocio (CCSN). |

^[1] El proyecto motivará acciones que permitan pasar a una etapa de implementación preliminar o de arranque, más allá de contar con los instrumentos oficiales, para evidenciar los cambios que genera una gobernanza mejorada en el manejo de una pesquería.

^[2] Para su medición, este indicador define los criterios que deben cumplir las tres condiciones habilitantes desarrolladas por el proyecto CFI-AL en Ecuador y Perú (i.e., gobernanza mejorada, planificación espacial y gestión del conocimiento), en términos de su aplicabilidad para lograr el impacto.

^[6] Por ejemplo, concha y cangrejo en Perú.

^[8] Esto es, Gobernanza mejorada - Planificación Espacial Marina Costera – Gestión de Conocimientos.

^[10] Al hacer precisiones a nivel del indicador según lo recomendado por la RMT (2020), se incluyó en la meta el número de instituciones que serán favorecidas por las condiciones habilitantes desarrolladas por el proyecto CFI AL.

^[25] Se añade este detalle en la redacción para aclarar el alcance de la meta, sin alterarla, tomando en consideración las recomendaciones de la RMT (2020).

^[26] Se añade este detalle en la redacción para aclarar el alcance de la meta, sin alterarla, tomando en consideración las recomendaciones de la RMT (2020).

^[27] Al hacer precisiones a nivel del indicador, en respuesta a las recomendaciones de la RMT (2020), se incluyó en la meta el número de instituciones que serán favorecidas por su accionar en procesos de PEMC e IdSO.

^[29] Se eliminan las metas de medio término originales porque tanto los indicadores como las metas del Componente 3 del ProDoc (2015), son de productos, no son estratégicos y en consecuencia, se formularon indicadores y metas de impacto que permitan evidenciar los cambios producidos por la intervención de este componente en las condiciones y medios de vida de los actores clave del proyecto; esto es siguiendo las recomendaciones del RMT (2020).

^[30] Se eliminan las metas al final del proyecto porque tanto los indicadores como las metas del Componente 3 del ProDoc (2015), son de productos, no son estratégicos y en consecuencia, se formularon indicadores y metas de impacto que permitan evidenciar los cambios producidos por la intervención de este componente en las condiciones y medios de vida de los actores clave del proyecto; esto es siguiendo las recomendaciones del RMT (2020).

^[31] Los indicadores y metas originales del Componente 3 del proyecto, son de productos, no estratégicos. La RMT (2020) no formuló sugerencias. Se definieron tres indicadores de resultado o de impacto para el Componente 3 del Proyecto. Se busca medir cambios a nivel de mejores prácticas, enfoque de género y autonomía económica, participación y acceso a información y conocimientos.

^[33] Por ejemplo, capacitación, intercambios, fortalecimiento organizacional e institucional, acceso virtual a herramientas e información -IdSO, PMEC y FTAP-.

^[34] Al hacer precisiones a nivel del indicador, en respuesta a las recomendaciones de la RMT (2020), se incluyó en la meta el número de instituciones que serán favorecidas por su participación en procesos de transferencia de conocimientos.



^[36] Este es un nuevo indicador, al igual que la meta. No consta en el ProDoc (2015). Por lo ya explicado con respecto a los indicadores y metas originales del Componente 3, surgió producto del ejercicio participativo de reconstrucción de la Teoría de Cambio y Marco de Resultados del Proyecto CFI AL, que recomendó la RMT (2020).

^[37] Al establecer un indicador nuevo, se incluyó un nuevo supuesto que tampoco consta en el ProDoc (2015), y es producto del ejercicio participativo de reconstrucción de la Teoría de Cambio y Marco de Resultados del Proyecto CFI AL, que recomendó la RMT (2020).

^[38] Por ejemplo, sistemas colaborativos de ahorro y crédito, emprendimientos y generación de ingresos alternativos, etc.

^[39] Este es un nuevo indicador, al igual que la meta. No consta en el ProDoc (2015). Por lo ya explicado con respecto a los indicadores y metas originales del Componente 3, surgió producto del ejercicio participativo de reconstrucción de la Teoría de Cambio y Marco de Resultados del Proyecto CFI AL, que recomendó la RMT (2020).

Anexo B: Paquete de información del proyecto para ser revisado por el Evaluador

| # | Ítem |
|----|--|
| 1 | Formulario de identificación del proyecto (PIF) |
| 2 | Plan de Iniciación del PNUD (PPG) |
| 3 | UNDP-GEF PRODOC firmado con Anexos |
| 4 | Solicitud de Endoso (CEO Endorsement) |
| 5 | Diagnóstico Medioambiental y Social del PNUD (SESP) y planes de gestión asociados (si los hubiera) |
| 6 | Informe del Taller de Iniciación del Proyecto |
| 7 | Informe de la evaluación de medio término (MTR) y respuesta de la administración a las recomendaciones de la MTR |
| 8 | Todos los informes de ejecución de proyectos (PIR) |
| 9 | Informes de progreso (trimestrales, semestrales o anuales, con planes de trabajo e informes financieros asociados) |
| 10 | Informes de misiones de supervisión |
| 11 | Actas de las reuniones del Consejo Directivo del Proyecto y de otras reuniones (es decir, reuniones del Comité de Evaluación del Proyecto) |
| 12 | Indicadores básicos del FMAM / LDCF / SCCF (de PIF, aprobación del CEO, etapas intermedia y final); solo para proyectos FMAM-6 y FMAM-7 |
| 13 | Datos financieros, incluidos los gastos reales por resultado del proyecto, incluidos los costos de gestión y la documentación de cualquier revisión presupuestaria significativa |
| 14 | Datos de cofinanciamiento con contribuciones esperadas y reales desglosadas por tipo de cofinanciamiento, fuente y si la contribución se considera como inversión movilizada o gastos recurrentes |
| 15 | Informes de Auditoria |
| 16 | Copias electrónicas de los resultados del proyecto (folletos, manuales, informes técnicos, artículos, etc.) |
| 17 | Muestra de materiales de comunicación del proyecto |
| 18 | Lista resumida de reuniones formales, talleres, etc. celebrados, con fecha, ubicación, tema y número de participantes. |
| 19 | Cualquier dato de monitoreo socioeconómico relevante, como los ingresos promedio / niveles de empleo de las partes interesadas en el área objetivo, el cambio en los ingresos relacionados con las actividades del proyecto |
| 20 | Lista de contratos y artículos de adquisiciones superiores a ~ US \$ 5.000 (es decir, organizaciones o empresas contratadas para los productos del proyecto, etc., excepto en casos de información confidencial) |
| 21 | Lista de proyectos / iniciativas relacionados que contribuyen a los objetivos del proyecto aprobados / iniciados después de la aprobación del proyecto del FMAM (es decir, cualquier resultado apalancado o "catalítico") |
| 22 | Datos sobre la actividad relevante del sitio web del proyecto, p. Ej. número de visitantes únicos por mes, número de páginas vistas, etc. durante el período de tiempo relevante, si está disponible |
| 23 | Documento(s) de programa del UNDP por país o países (CPD) |
| 24 | Lista / mapa de los sitios del proyecto, destacando las visitas sugeridas |
| 25 | Lista y datos de contacto del personal del proyecto, las partes interesadas clave del proyecto, incluidos los miembros del Consejo Directivo del Proyecto, la RTA, los miembros del Equipo del Proyecto y otros socios para ser consultados. |



*Al servicio
de las personas
y las naciones*

| | |
|----|---|
| 26 | Entregables del proyecto que proporcionan evidencia documental del logro de los resultados del proyecto |
|----|---|

Anexo C: Contenido del informe de la Evaluación Terminal

El informe de la ET debe cubrir el siguiente contenido requerido, y no debe tener más de **50 páginas** (sin anexos):

- i. Información básica del proyecto
 - Nombre del proyecto apoyado por el PNUD y financiado por el GEF
 - Números PIMS del PNUD/ID del GEF
 - Periodo de ejecución de la TE y fecha del informe
 - Región y países incluidos en el proyecto
 - Programa estratégico del GEF/Programa estratégico
 - Organismo ejecutor/Socio en la ejecución y otros socios del proyecto
 - Composición del equipo de la ET
- ii. Agradecimientos
- iii. Índice
- iv. Acrónimos y Abreviaturas
1. Resumen Ejecutivo (3-4 páginas)
 - Tabla de información del proyecto
 - Descripción del proyecto (breve)
 - Tabla de calificaciones de evaluación
 - Resumen conciso de hallazgos, conclusiones y lecciones aprendidas
 - Tabla Resumen de Recomendaciones
2. Introducción (2-3 páginas)
 - Propósito y objetivos de la ET
 - Alcance
 - Metodología
 - Colección de data & Análisis
 - Ética
 - Limitaciones de la evaluación
 - Estructura del informe de la ET
3. Descripción del proyecto (3-5 páginas)
 - Inicio del proyecto y duración, incluyendo los hitos
 - Contexto de desarrollo: factores ambientales, socioeconómicos, institucionales y de política relevantes para el objetivo y alcance del proyecto
 - Problemas que el proyecto buscaba abordar: amenazas y barreras
 - Objetivos inmediatos y de desarrollo del proyecto
 - Teoría de Cambio
 - Resultados Esperados
 - Principales partes interesadas: lista resumen

4. Hallazgos

(además de una evaluación descriptiva, todos los criterios marcados con (*) deben recibir una calificación)

4.1 Diseño del Proyecto/Formulación

- Análisis del Marco de resultados: lógica y estrategia del proyecto, indicadores

- Supuestos y Riesgos
- Lecciones de otros proyectos relevantes (por ejemplo, la misma área focal) incorporadas en el diseño del proyecto
- Participación planificada de las partes interesadas
- Vínculos entre el proyecto y otras intervenciones dentro del sector
- Salvaguardas Sociales y Ambientales
- Incorporación del enfoque de género

4.2 Implementación del proyecto

- Gestión adaptativa (cambios en el diseño del proyecto y resultados del proyecto durante la ejecución)
- Participación efectiva de los interesados y acuerdos de asociaciones (con los interesados relevantes involucrados en el país o la región)
- Financiación de Proyectos y Cofinanciación (incluir Tabla del Anexo H)
- Monitoreo y Evaluación: diseño en la entrada (*), implementación (*) y evaluación general de M&E (*)
- Implementación/supervisión del PNUD (*) y ejecución de socios de ejecución (*), implementación/ejecución general de proyectos (*)
- Gestión de Riesgos y Estándares Sociales y Ambientales (SESP, por sus siglas en inglés)

4.3 Resultados del proyecto

- Resultados generales (logro de los objetivos) (*)⁵²
- Relevancia (*)
- Efectividad (*)
- Eficiencia (*)
- Resultado General (*)
- Apropiación nacional
- Otras cuestiones transversales (mitigación de la pobreza, mejora de la gobernanza, mitigación y adaptación al cambio climático, entre otras, según corresponda).
- Estándares Ambientales y Sociales
- Sostenibilidad: Financiera (*), socioeconómica (*), marco institucional y gobernanza (*), medio ambiente (*) y probabilidad general (*)
- Igualdad de género y empoderamiento de las mujeres
- Adicionalidad del FMAM
- Rol catalítico / Efecto replicación
- Progreso hacia el impacto

5 Principales Hallazgos, Conclusiones, Recomendaciones & Lecciones

- Principales hallazgos
- Conclusiones
- Recomendaciones
- Lecciones aprendidas

6 Anexos

⁵² Ver Formato de Matriz de Progreso en el Logro de Resultados (Anexo E).

- TDR de la ET (sin anexos)
- Itinerario de la misión de la ET
- Lista de personas entrevistadas
- Lista de documentos examinados
- Matriz de preguntas de evaluación (criterios de evaluación con preguntas clave, indicadores, fuentes de datos y metodología)
- Cuestionario utilizado y resumen de resultados
- Tabla de Co-financiamiento (en caso no esté incluida en el cuerpo del informe, Ver Anexo H)
- Escalas de Calificación de la ET
- Formulario de acuerdo de consultor de evaluación firmado
- Formulario de Código de Conducta de UNEG firmado
- Formulario firmado de aprobación de informes de la ET
- *Anexo en un archivo separado: Rastro de Auditoría de la ET*
- *Anexo en un archivo separado: indicadores básicos del FMAM/LDCF/SCCF/SCCF pertinentes o herramientas de seguimiento, según corresponda*

Anexo D: Formato de Matriz de Criterios de Evaluación

| Preguntas de Criterios de Evaluación | Indicadores | Fuentes | Técnica de recolección de datos |
|---|--|---|--|
| Relevancia: ¿Cómo se relaciona el proyecto con los principales objetivos del área focal del FMAM y con las prioridades de medio ambiente y desarrollo a nivel local, regional y nacional? | | | |
| ¿Estuvo el objetivo del proyecto alineado a las prioridades, políticas, planes y estrategias nacionales y locales de largo plazo? | Nivel de coherencia entre el objetivo del proyecto y las prioridades, políticas y estrategias nacionales, como se indica en los documentos oficiales | - PRODOC, Informe de Iniciación del Proyecto - Entrevistas con participantes en el diseño - Entrevistas a Socio implementador y actores clave del proyecto - Revisión de documentos oficiales del Gobierno | Análisis de documentación y entrevistas otros |
| ¿En qué medida el proyecto estuvo alineado con el Plan Estratégico del PNUD, el CPD, el MANUD, el Marco de Cooperación de las Naciones Unidas para el Desarrollo Sostenible (UNSDCF), los ODS y la programación estratégica del FMAM? | Nivel de coherencia entre el objetivo del proyecto y los marcos de resultados: con UNDAF, CPD, MANUD, UNSDCF y la programación estratégica del FMAM | - Documentos estratégicos de PNUD y FMAM - Oficiales PNUD - Asesor Técnico Regional PNUD-GEF | Análisis de documentación, entrevistas |
| ¿En qué medida el proyecto abordó las necesidades e intereses de todos los grupos de interesados específicos y/o pertinentes? | Nivel de vínculo entre necesidades e intereses de todos los grupos de interesados específicos y/o pertinentes y los del proyecto | - PRODOC - Informe de Iniciación del Proyecto - Informe de taller de validación del PPG - Participantes en el diseño - Socio implementador y actores clave del proyecto | Análisis de documentación, entrevistas |
| ¿En qué medida se incorporó la participación de partes interesadas clave en el proyecto? | Grado de participación en el proyecto de todos los grupos de interesados específicos | - PRODOC - Informe de Iniciación del Proyecto - Actores clave del proyecto - Reportes periódicos y PIR. | Análisis de documentación, análisis de data, entrevistas |
| ¿Se incorporaron de manera adecuada en el diseño del proyecto las experiencias previas y opiniones técnicas adecuadas? | Nivel de incorporación de las experiencias y visiones técnicas en el diseño del proyecto | - PRODOC - Participantes en el diseño - Oficiales de PNUD | Análisis de documentación, análisis de data, entrevistas |
| ¿El proyecto proporciona lecciones y experiencias relevantes para futuros proyectos similares? | Nivel Sistematización de lecciones aprendidas Grado de conocimiento de los actores clave de lecciones aprendidas | - Documentación del proyecto - Informes periódicos, PIR - Actores clave | Análisis de documentación, análisis de data, entrevistas |
| Eficacia: ¿En qué medida se han alcanzado los resultados y objetivos esperados del proyecto? | | | |
| ¿Es probable que los objetivos del proyecto se alcancen? ¿En qué medida es probable que se alcancen? | Nivel de progreso hacia los objetivos del proyecto en relación con el nivel esperado en el punto actual de implementación | - Documentación del proyecto - Informes periódicos, PIR - Actores clave | Análisis de documentación, análisis de data, entrevistas |
| ¿Cuáles son los factores claves que contribuyen al éxito o fracaso del proyecto? | Nivel de documentación y preparación para proyectos, supuestos y conductores de impacto | - Documentación del proyecto - Informes periódicos, PIR - Actores clave | Análisis de documentación, análisis de data, entrevistas |

| | | | |
|--|---|--|--|
| ¿Cuáles son los principales riesgos y barreras que quedan para alcanzar el objetivo del proyecto y generar beneficios ambientales globales? | Presencia, evaluación y preparación para mitigar los riesgos, supuestos y factores de impacto esperados | - Documentos del proyecto - Equipo de Proyecto - Partes interesadas del proyecto | Análisis de documentación, análisis de data, entrevistas |
| ¿En qué medida son relevantes los principales supuestos e impulsores del impacto relevantes para lograr que los Beneficios ambientales globales se cumplan? | Acciones emprendidas para abordar los supuestos clave y los conductores de impacto objetivo | - Documentación del proyecto - Informes periódicos, PIR - Actores clave | Análisis de documentación, análisis de data, entrevistas |
| ¿En qué medida los sistemas M&E garantizaron una gestión eficaz y eficiente de los proyectos? | Calidad y adecuación de los mecanismos de supervisión de proyectos (los órganos de supervisión, calidad y puntualidad de la presentación de informes, etc.) Nivel de progreso de las Medidas de gestión adaptativa requeridas relacionados con los atrasos identificados | - Documentos del proyecto - Equipo de Proyecto - Actores clave del proyecto | Análisis de documentación, entrevistas |
| Eficiencia: ¿Se implementó el proyecto de manera eficiente, de acuerdo con las normas y estándares internacionales y nacionales? | | | |
| ¿En qué medida hubo un uso eficiente y económico de los recursos y asignación estratégica de recursos (fondos, recursos humanos, tiempo, etc.) para lograr resultados? | Ejecución financiera VS Presupuesto Recursos humanos reales vs planeados Adecuación de la estructura de mecanismos de coordinación y comunicación Calidad de los mecanismos de supervisión de proyectos (órganos de supervisión, calidad y puntualidad de la presentación de informes, etc.) | - Documentos del proyecto - Socio implementador - Equipo del proyecto | Análisis de documentación, entrevistas |
| ¿En qué medida los fondos y actividades del proyecto se entregaron de manera oportuna? | Nivel de cumplimiento de actividades de proyecto en los tiempos planeados Nivel de cumplimiento de presupuestos y POAS anuales | - Documentos del proyecto - Equipo de Proyecto - Partes interesadas del proyecto | Análisis de documentación, análisis de data, entrevistas |
| ¿El proyecto utilizó de manera eficiente la capacidad local durante su ejecución? | Proporción de conocimientos especializados utilizados de expertos internacionales en comparación con los expertos nacionales Cantidad/calidad de análisis realizado para evaluar el potencial de la capacidad local y la capacidad de absorción | - Documentos del proyecto - Equipo de Proyecto - Partes interesadas del proyecto | Análisis de documentación, análisis de data, entrevistas |
| ¿Cuál ha sido la contribución en efectivo y el cofinanciamiento en especies para la implementación del proyecto? | % de ejecución de efectivo y cofinanciación en especie vs con el nivel esperado | - Documentos del proyecto - Equipo de Proyecto | Análisis de documentación, análisis de data, entrevistas |

| | | | |
|---|--|--|---|
| <p>¿Se han realizado los gastos en concordancia con las normas y estándares internacionales?</p> | <p>Costo de los insumos y productos del proyecto en relación con las normas y estándares para proyectos de donantes en el país o la región</p> | <p>- Documentos del proyecto - Equipo de Proyecto</p> | <p>Análisis de documentación, entrevistas</p> |
| <p>Resultados</p> | | | |
| <p>¿Se han producido los productos previstos? ¿Han contribuido a los resultados y objetivos del proyecto?</p> | <p>Nivel de progreso de los indicadores de los productos del proyecto en relación con los esperados Nivel de vinculación lógica entre los productos del proyecto y los resultados/impactos esperados</p> | <p>- Documentos del proyecto - Equipo de Proyecto - Actores clave del proyecto - Reportes periódicos - PIR</p> | <p>Análisis de documentación, análisis de data, entrevistas</p> |
| <p>¿Fueron alcanzados o es probable que los resultados previstos sean alcanzados? ¿Han contribuido o es probable que puedan contribuir al logro de los objetivos del proyecto?</p> | <p>Nivel de progreso de los indicadores de los objetivos y resultados del proyecto en relación con los esperados Nivel de vinculación lógica entre los resultados del proyecto y los impactos esperados</p> | <p>- Documentos del proyecto - Equipo de Proyecto - Actores clave del proyecto - Reportes periódicos - PIR</p> | <p>Análisis de documentación, análisis de data, entrevistas</p> |
| <p>¿Es probable que los resultados del nivel de impacto sean alcanzados? ¿Es probable que estén a la escala suficiente para considerarse beneficios ambientales globales?</p> | <p>Indicadores ambientales Nivel de progreso de la Teoría del cambio</p> | <p>- Documentos del proyecto - Equipo de Proyecto - Actores clave del proyecto - Reportes periódicos - PIR</p> | <p>Análisis de documentación, análisis de data, entrevistas</p> |
| <p>Sostenibilidad: ¿En qué medida existen riesgos financieros, institucionales, sociopolíticos y/o ambientales para sostener los resultados de los proyectos a largo plazo?</p> | | | |
| <p>¿En qué medida es probable que los resultados de los proyectos dependan de la continuación del soporte financiero? ¿Cuál es la probabilidad de que los recursos financieros estén disponibles una vez que la asistencia del FMAM termine para apoyar la continuación de los beneficios (actividades generadoras de ingresos y tendencias que puede indicar que es probable que haya recursos financieros adecuados para mantener los resultados del proyecto)?</p> | <p>Requisitos financieros para el mantenimiento de los beneficios de proyecto Nivel de recursos financieros esperados disponible para mantener los beneficios del proyecto Potencial de recursos financieros adicionales para mantener y/o dar continuidad a los beneficios del proyecto</p> | <p>- Documentos del proyecto - Equipo de Proyecto - Actores clave del proyecto</p> | <p>Análisis de documentación, entrevistas con equipo y los actores claves del proyecto, entre otros</p> |
| <p>¿Es probable que las partes interesadas tengan o alcancen un nivel adecuado de "propiedad" de los resultados, y exista un compromiso e interés en asegurar que se mantengan los beneficios del proyecto?</p> | <p>Nivel de iniciativa e involucramiento de las partes interesadas relevantes en las actividades y resultados del proyecto</p> | <p>- Documentos del proyecto - Equipo de Proyecto - Actores clave del proyecto</p> | <p>Análisis de documentación, entrevistas</p> |

| | | | |
|--|---|--|---|
| En relación a los compromisos asumidos por las contrapartes ¿Cuál es el nivel de compromiso que asumen al cierre del proyecto cada una de las contrapartes beneficiarias de proyecto, a partir de los resultados alcanzados? | Nivel de compromiso de las contrapartes del proyecto | - Documentos del proyecto - Equipo de Proyecto - Actores clave del proyecto | Análisis de documentación, entrevistas |
| ¿Hasta qué punto los resultados del proyecto depende de factores sociopolíticos? | Existencia de riesgos sociopolíticos para proyectos beneficios | - Documentos del proyecto - Equipo de Proyecto - Actores clave del proyecto | Análisis de documentación, entrevistas |
| ¿En qué medida el resultado del proyecto dependen de cuestiones en relación a los marcos institucionales y la gobernanza? | Existencia de riesgos institucionales y gobierno para los beneficios de proyecto | - Documentos del proyecto - Equipo de Proyecto - Actores clave del proyecto | Análisis de documentación, entrevistas |
| ¿Existen riesgos ambientales que puedan socavar el flujo futuro de impactos del proyectos y los Beneficios Ambientales Globales? | Presencia de riesgos ambientales para los beneficios del proyecto | - Documentos del proyecto - Equipo de Proyecto - Actores clave del proyecto | Análisis de documentación, entrevistas |
| ¿Tienen las partes interesadas pertinentes la capacidad técnica necesaria para garantizar que se mantengan los beneficios del proyecto? | Nivel de capacidad técnica de las partes interesadas pertinentes en relación con el nivel requerido para mantener los beneficios del proyecto | - Documentos del proyecto - Equipo de Proyecto - Actores clave del proyecto - Evaluaciones de capacidad disponibles | Análisis de documentación, entrevistas |
| ¿Cuáles son los desafíos más importantes que podrían obstaculizar la sostenibilidad de los resultados del proyecto? | Presencia de desafíos que puedan afectar la sostenibilidad de los resultados | - Documentación del proyecto - Equipo del proyecto - Actores clave de proyecto | Análisis de documentación, entrevistas |
| Igualdad de género y empoderamiento de las mujeres: ¿Cómo contribuyó el proyecto a la igualdad de género y al empoderamiento de las mujeres? | | | |
| ¿En qué medida el proyecto contribuyó a la igualdad de género, el empoderamiento de mujeres y en qué medida fueron incorporados estos enfoques en el proyecto? | Nivel de progreso del Plan de acción de género Nivel de progreso de las metas relacionadas al enfoque de género en el marco de resultados del proyecto | - PRODOC, Informe de Iniciación del Proyecto - Reportes de experiencias análogas - Actores clave - Reportes periódicos y PIR. | Análisis de documentación entrevistas |
| ¿Cómo los resultados de género avanzaron o contribuyeron los resultados del proyecto sobre medio ambiente, y/o resiliencia? | Existencia de vínculos lógicos entre los resultados de género y los resultados e impactos del proyecto | - Documentación del proyecto - Actores clave - Equipo del proyecto - Reportes periódicos y PIR. | Análisis de documentación, entrevistas |
| Impacto: ¿Hay indicios de que el proyecto ha contribuido o permitido avanzar hacia la reducción del estrés ambiental y/o la mejora del estado ecológico? | | | |
| ¿En qué medida el proyecto contribuyó a los resultados del programa de país, los ODS, el Plan Estratégico del PNUD y las prioridades estratégicas del FMAM? | Nivel de contribución a los resultados del proyecto al programa de país, los ODS, el Plan Estratégico del PNUD, las prioridades estratégicas del FMAM y el desarrollo de prioridades nacionales | - Revisión de documentos estratégicos de PNUD - Entrevistas a Oficiales de PNUD - Reportes periódicos. | Análisis de documentación y entrevistas |

| | | | |
|--|--|---|---|
| <p>¿El proyecto contribuyó a la reducción del estrés ambiental (por ejemplo, reducción de emisiones de GEI)?</p> | <p>Nivel de reducción del estrés ambiental (reducciones de emisiones de GEI) atribuibles al proyecto</p> | <p>- Documentación del proyecto - Socio implementador, oficiales de PNUD y la/el Asesor/a Técnico/a Regional PNUD-GEF y actores clave del proyecto - Reportes periódicos y PIR.</p> | <p>Análisis de documentación, análisis de data, entrevistas</p> |
| <p>Desde el proyecto, ¿hubo contribución a cambios en los marcos de políticas/legales/reguladores, incluidos los cambios observados capacidades (conciencia, conocimientos, habilidades, infraestructura, sistemas de monitoreo, etc.) y arquitectura de gobernanza, incluido el acceso y el uso de la información (leyes, los órganos de creación de confianza y resolución de conflictos, los sistemas de intercambio de información, etc.)?</p> | <p>Grado de cambios en los marcos de políticas/legales/reguladores atribuibles al proyecto</p> | <p>- Documentación del proyecto - Socio implementador, oficiales de PNUD y la/el Asesor/a Técnico/a Regional PNUD-GEF y actores clave del proyecto - Reportes periódicos y PIR.</p> | <p>Análisis de documentación, análisis de data, entrevistas</p> |
| <p>Desde el proyecto, ¿hubo contribución a los cambios en la situación socioeconómica (ingresos, salud, bienestar, etc.)?</p> | <p>Grado de cambios la situación socioeconómica (ingresos, salud, bienestar, etc.) atribuibles al proyecto</p> | <p>- Documentación del proyecto - Socio implementador, oficiales de PNUD y la/el Asesor/a Técnico/a Regional PNUD-GEF y actores clave del proyecto - Reportes periódicos y PIR.</p> | <p>Análisis de documentación, análisis de data, entrevistas</p> |
| <p>Temas transversales</p> | | | |
| <p>¿En qué medida los resultados del proyecto contribuyeron a la adaptación y mitigación del cambio climático?</p> | <p>Efectos positivos del proyecto en la adaptación y mitigación del cambio climático</p> | <p>- Documentación del proyecto - Actores clave - Equipo del proyecto - Reportes periódicos y PIR.</p> | <p>Análisis de documentación, entrevistas</p> |



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Anexo E: Formato de Matriz de Progreso en el Logro de Resultados

| Estrategia del proyecto | Indicador | Línea base | Metas al final del proyecto | Logro al final del proyecto ⁵³ | Valoración de los logros conseguidos | Justificación de la valoración |
|--|--|------------|---|---|--------------------------------------|--------------------------------|
| Objetivo del proyecto: Demostrar manejo holístico basado en ecosistemas y gobernanza mejorada en las pesquerías costeras del Pacífico sudeste | Pesquerías costeras del Pacífico Sudeste que han desarrollado las condiciones habilitantes necesarias para lograr una gobernanza basada en derechos, en herramientas de planificación espacial y en procesos de transferencia de conocimientos. | 0 | Siete (7) pesquerías costeras artesanales del Pacífico Sudeste: | | | |
| | Porcentaje de desembarques pesqueros que provienen de procesos activos de participación de mujeres, hombres y de autoridades competentes, en nuevos o mejorados sistemas de gobernanza. | 0 | Concha ECU 40% Concha PER 100% Cangrejo ECU 100% Cangrejo PER 100% Dorado ECU 100% Pomada 100% Atún con caña 100% | | | |
| | Actores clave (institucionales, hombres y mujeres, por nacionalidad) que han sido favorecidas por las condiciones habilitantes desarrolladas por el proyecto CFI-AL, para generar beneficios sociales (basado en derechos), económicos y ambientalmente sostenibles. | 0 | Concha ECU >600 Concha PER >500 Cangrejo ECU >5,000 Cangrejo PER >300 Dorado ECU >10,000 Pomada >500 Atún con caña >100 > 14 instituciones | | | |

⁵³ Colorear solo esta columna, en función al Código para la evaluación de los indicadores.



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| Estrategia del proyecto | Indicador | Línea base | Metas al final del proyecto | Logro al final del proyecto ⁵³ | Valoración de los logros conseguidos | Justificación de la valoración |
|---|--|------------|---|---|--------------------------------------|--------------------------------|
| <p>Resultado 1. Condiciones habilitantes mejoradas para la gobernanza de siete pesquerías costeras de Ecuador y Perú</p> | <p>Grado de implementación de acciones priorizadas por el CFI en el marco de los instrumentos (nuevos o modificados) de gobernanza de las pesquerías costeras de Ecuador y Perú, en consideración a criterios de pesca responsable, directrices de sostenibilidad y enfoque de género.</p> | 0 | <p>Meta: 24 Acciones Priorizadas: PAN Dorado: 3 (Monit, Gob y Trazab) PAN Pomada: 5 (Monit, Gob, Traza, Línea base, Nandina) PAP Concha: 3 (Monit, Gob, Investig) PAP Cangrejo: 2 (Monit, Gob) PAN Atún: 5 (Monit, Gob, Trazab, Calidad y Fair Trade) Acuerdos Gestión para Concha y Cangrejo: 6 (Manejo, Monitoreo, investigación, trazabilidad, MTRBT, ROP)</p> | | | |
| | <p>Actores clave (instituciones, hombres y mujeres por nacionalidad) que participan en Comunidades de Práctica y Sistemas de Gobernanza de las pesquerías costeras del Pacífico Sudeste de Ecuador y Perú, que han iniciado su proceso de implementación.</p> | 0 | <p>>1500 > 30% mujeres 15 Instituciones</p> | | | |
| | <p>Número y superficie de áreas marinas costeras protegidas y otras modalidades de conservación de Ecuador y Perú, bajo procesos de implementación de sistemas formales de gobernanza participativa, para la sostenibilidad de las pesquerías costeras del Pacífico sudeste.</p> | 0 | <p>Número = 3 Superficie >50,000 ha</p> | | | |



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| Estrategia del proyecto | Indicador | Línea base | Metas al final del proyecto | Logro al final del proyecto ⁵³ | Valoración de los logros conseguidos | Justificación de la valoración |
|---|--|------------|---|---|--------------------------------------|--------------------------------|
| Resultado 2. Condiciones habilitantes mejoradas para la planificación espacial marina y costera en Ecuador y Perú | Superficie marina costera de Ecuador y Perú bajo procesos de planificación espacial y plataformas de gobernanza, en función a información del Índice de Salud de los Océanos y del Sistema de Monitoreo y Evaluación en tiempo real de las condiciones habilitantes promovidas por el proyecto CFI-AL. | 0 | Ecuador= 751,000 ha Perú= 222,000 ha | | | |
| | Actores clave (instituciones, hombres y mujeres por nacionalidad) que participan y toman acción en procesos de PEMC e IDSO, generan información y alimentan el sistema de monitoreo y evaluación en tiempo real de las condiciones habilitantes promovidas por el proyecto CFI-AL. | 0 | >400 > 50% mujeres > 10 instituciones | | | |
| | Superficie de Áreas Marinas Costeras Protegidas y otras modalidades de conservación de Ecuador y Perú bajo procesos de planificación espacial y plataformas de gobernanza, en función a información del Índice de Salud de los Océanos y del Sistema de Monitoreo y Evaluación en tiempo real de las condiciones habilitantes promovidas por el proyecto CFI-AL. | 0 | Ecuador = >64x103ha Perú = >54x103ha | | | |



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| Estrategia del proyecto | Indicador | Línea base | Metas al final del proyecto | Logro al final del proyecto ⁵³ | Valoración de los logros conseguidos | Justificación de la valoración |
|---|--|------------|---|---|--------------------------------------|--------------------------------|
| Resultado 3. Las lecciones y buenas prácticas para mejorar la gobernanza pesquera y el ordenamiento espacial marino y costero se han compartido con actores clave dentro de cada país, entre ambos países, y con los socios | Actores clave (instituciones, hombres y mujeres por nacionalidad) que participan y toman acción en procesos de PEMC e IDSO, generan información y alimentan el sistema de monitoreo y evaluación en tiempo real de las condiciones habilitantes promovidas por el proyecto CFI-AL. | 0 | > 14 instituciones >400 personas | | | |
| | Número de instituciones y organizaciones pesqueras que luego de participar en procesos de transferencia de conocimientos, designan puntos focales de género en los sistemas de gobernanza institucionalizados y cadenas de valor de recursos pesqueros. | | > 11 instituciones | | | |



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| Estrategia del proyecto | Indicador | Línea base | Metas al final del proyecto | Logro al final del proyecto ⁵³ | Valoración de los logros conseguidos | Justificación de la valoración |
|----------------------------|---|------------|-----------------------------|---|--------------------------------------|--------------------------------|
| globales del programa CFI. | Número de mujeres que logran mejores condiciones de autonomía económica, luego de participar en procesos de transferencia de conocimientos. | 0 | > 129 mujeres | | | |

Anexo F: Escala de calificaciones de la ET

| Calificaciones para Resultados, Eficacia, Eficiencia, M&E, Implementación/Supervisión, Ejecución, Relevancia | Calificaciones para Sostenibilidad |
|---|---|
| <p>6 = Altamente Satisfactorio (AS): supera las expectativas y / o no tiene deficiencias</p> <p>5 = Satisfactorio (S): cumple con las expectativas y / o con deficiencias menores o nulas</p> <p>4 = Moderadamente Satisfactorio (MS): más o menos cumple con las expectativas y / o algunas deficiencias</p> <p>3 = Moderadamente Insatisfactorio (MI): algo por debajo de las expectativas y / o deficiencias significativas</p> <p>2 = Insatisfactorio (I): sustancialmente por debajo de las expectativas y / o deficiencias importantes</p> <p>1 = Altamente Insatisfactorio (AI): con graves deficiencias</p> <p>No se puede evaluar (N/E): la Información disponible no permite una evaluación</p> | <p>4 = Probable (P): Riesgos insignificantes</p> <p>3 = Moderadamente Probable (MP): riesgos moderados</p> <p>2 = Moderadamente Improbable (MI): riesgos significativos</p> <p>1 = Improbable (I): riesgos graves</p> <p>No se puede evaluar (N / E): No se puede evaluar la incidencia esperada y la magnitud de los riesgos para la sostenibilidad.</p> |

ANEXO I. Código de Conducta UNEG

La independencia implica la capacidad de evaluar sin influencia o presión indebida por parte de ninguna de las partes (incluida la unidad de contratación) y proporcionar a los evaluadores acceso gratuito a la información sobre el tema de la evaluación. La independencia proporciona legitimidad y garantiza una perspectiva objetiva de las evaluaciones. Una evaluación independiente reduce el potencial de conflictos de intereses que podrían surgir con las calificaciones autoinformadas por parte de quienes participan en la gestión del proyecto que se está evaluando. La independencia es uno de los diez principios generales para las evaluaciones (junto con los principios, objetivos y metas acordados internacionalmente: utilidad, credibilidad, imparcialidad, ética, transparencia, derechos humanos e igualdad de género, capacidades de evaluación nacional y profesionalismo).

Evaluadores/Consultores:

1. Debe presentar información completa y justa en su evaluación de las fortalezas y debilidades para que las decisiones o acciones tomadas estén bien fundadas.
2. Debe revelar el conjunto completo de resultados de la evaluación junto con información sobre sus limitaciones y tener esto accesible a todos los afectados por la evaluación con derechos legales expresados para recibir resultados.
3. Debe proteger el anonimato y la confidencialidad de los informantes individuales. Deben proporcionar el máximo aviso, minimizar las demandas a tiempo y respetar el derecho de las personas a no participar. Los evaluadores deben respetar el derecho de las personas a proporcionar información confidencial, y deben asegurarse de que la información sensible no se pueda rastrear hasta su origen. No se espera que los evaluadores evalúen a las personas, y deben equilibrar una evaluación de las funciones de gestión con este principio general.
4. A veces descubren evidencia de actos ilícitos mientras se llevan a cabo evaluaciones. Dichos casos deberán notificarse discretamente al órgano de investigación correspondiente. Los evaluadores deben consultar con otras entidades de supervisión pertinentes cuando haya alguna duda sobre si y cómo deben ser reportados.
5. Debe ser sensible a las creencias, modales y costumbres y actuar con integridad y honestidad en sus relaciones con todas las partes interesadas. De conformidad con la Declaración Universal de Derechos Humanos de las Naciones Unidas, los evaluadores deben ser sensibles y abordar las cuestiones de discriminación e igualdad de género. Deben evitar ofender la dignidad y el respeto por sí mismos de aquellas personas con las que entran en contacto en el curso de la evaluación. Sabiendo que la evaluación podría afectar negativamente los intereses de algunas partes interesadas, los evaluadores deben llevar a cabo la evaluación y comunicar su propósito y resultados de una manera que respete claramente la dignidad y la autoestima de las partes interesadas.
6. Son responsables de su rendimiento y de sus productos. Son responsables de la presentación clara, precisa y justa, ya sea escrita y/u oral, de imitaciones, hallazgos y recomendaciones de estudio.
7. Debe reflejar procedimientos contables sólidos y ser prudentes en el uso de los recursos de la evaluación.
8. Debe garantizar que se mantenga la independencia del juicio y que se presenten de forma independiente los resultados y recomendaciones de la evaluación.
9. Debe confirmar que no han participado en el diseño, ejecución o asesoramiento sobre el proyecto que se está evaluando y que no han llevado a cabo la evaluación de medio término del proyecto.

Formulario de Acuerdo de Consultor de Evaluación

Acuerdo para acatar el Código de Conducta para la Evaluación en el Sistema de las Naciones Unidas:

Nombre del Evaluador: _____

Nombre de la Organización de Consultoría (cuando proceda): _____

Confirmando que he recibido y comprendido y acataré el Código de Conducta de las Naciones Unidas para la Evaluación.

Fecha de firma _____ (Lugar) en _____

Firma: _____

Anexo J: Formulario de Autorización del Informe de la ET

Informe de evaluación terminal para *(Título del Proyecto & PIMS ID PNUD)*

Revisado y autorizado por:

Unidad Adjudicadora (Punto Focal de M&E)

Nombre: _____

Firma: _____

Fecha:

Asesor/a Técnico Regional FMAM-PNUD (Área focal)

Nombre: _____

Firma: _____

Fecha:

Annex 2: Project Results Framework

ADJUSTED RESULTS FRAMEWORK

| OBJECTIVES | OBJECTIVE AND RESULT INDICATORS | BASELINE | MID-TERM GOAL | GOAL AT THE END OF THE PROJECT | ASSUMPTIONS |
|---|---|----------|---------------|---|--|
| <p><u>Project objective:</u> Demonstrate holistic ecosystem-based management and improved governance in southeast Pacific⁵⁴ coastal fisheries.</p> | <p>Southeast Pacific coastal fisheries that have developed the necessary enabling conditions to achieve rights-based governance, spatial planning tools and knowledge transfer processes.^{55 56}</p> | 0 | 2 | <p>Seven (7) artisanal coastal fisheries of the Southeast Pacific: National Action Plan (ECU):</p> <ul style="list-style-type: none"> ▪ Dorado - Atún ▪ Camarón Pomada ▪ Concha - Cangrejo <p>Driving Arrangements (PER):</p> <ul style="list-style-type: none"> ▪ Concha - Cangrejo <p>Strategic P. (PER):</p> | <p>Public policies, legislation, strategies, national sectoral plans are being harmonized to achieve Ecosystem-Based Fisheries Management (EBFM) and facilitate the generation of social, economic and environmentally sustainable benefits in both countries.⁵⁸.</p> |

⁵⁴ The project will motivate actions that will allow moving to a preliminary implementation or start-up stage, beyond the official instruments, to demonstrate the changes that improved governance generates in the management of a fishery.

⁵⁵ For its measurement, this indicator defines the criteria to be met by the three enabling conditions developed by the CFI-AL project in Ecuador and Peru (i.e., improved governance, spatial planning and knowledge management), in terms of their applicability to achieve impact.

⁵⁶ The original indicator in the ProDoc (2015), reads: "Number of fisheries with new or amended management regimes (e.g., improved governance, co-management, secure tenure or access rights regimes)". According to the RMT (2020) this indicator is strategic or SMART, so only editorial clarifications were made to facilitate the measurement of impact or changes, establish the evaluation reporting criteria and the means of verification.

⁵⁸ The original assumption according to ProDoc (2015) is: "Political support from fisheries authorities. Interest and collaboration from fishermen and value chain stakeholders". In the opinion of the RMT (2020), in general terms the assumptions presented in the ProDoc (2015) are superficial and the weakness in the formulation of assumptions may affect the effective implementation of the three components of the CFI AL initiative, which is why changes were made to the wording of the assumption..

| OBJECTIVES | OBJECTIVE AND RESULT INDICATORS | BASELINE | MID-TERM GOAL | GOAL AT THE END OF THE PROJECT | ASSUMPTIONS |
|------------|--|--|--|---|---|
| | | | | <ul style="list-style-type: none"> Regional governments⁵⁷. | |
| | Percentage of fishery landings coming from active processes of participation of women, men and competent authorities in new or improved governance systems. ^{59 60} . | Concha ECU: 0 Concha PER: 0 Cangrejo ECU: 0 Cangrejo PER: 0 Dorado ECU: 0 Camarón Pomada ECU: 0 Atún con caña: 0 | Concha ECU: 0 Concha PER: 0 Cangrejo ECU: 0 Cangrejo PER: 0 Dorado ECU: 0 Camarón Pomada ECU: 0 Atún con caña: 0 | Concha ECU: 40% Concha PER: 100% Cangrejo ECU: 100% Cangrejo PER: 100% Dorado ECU: 100% Camarón Pomada ECU: 100% Atún con Caña ECU: 100% | There are political and institutional commitments reflected in the availability of human talent and adequate financial resources to: |
| | Key actors (institutional, men and women, by nationality) that have been favored by the enabling conditions developed by the CFI-LA ⁶¹ , project, to generate social (rights-based), economic and | Concha ECU: 0 Concha PER: 0 Cangrejo ECU: 0 Cangrejo PER: 0 Dorado ECU: 0 Camarón Pomada ECU: 0 Atún con caña: 0 | Concha ECU: 0 Concha PER: 0 Cangrejo ECU: 0 Cangrejo PER: 0 Dorado ECU: 0 Camarón Pomada ECU: 0 Atún con caña: 0 | Concha ECU: ≥ 600 Concha PER: ≥ 500 Cangrejo ECU: ≥ 5.000 Cangrejo PER: ≥ 300 Dorado ECU: ≥ 10.000 Camarón Pomada ECU: ≥ 500 Atún con Caña: ≥ 100 ≥ 14 instituciones ⁶³ . | (i) Sustain and replicate knowledge transfer processes, inclusive and gender-sensitive fisheries governance systems, and management of human activities in marine and coastal spaces. (ii) Implement the enabling conditions developed (i.e., improved governance of seven |

⁵⁷ The original target according to ProDoc (2015), is: "7 [i.e., concha in Peru and Ecuador (two fisheries), cangrejo in Peru and Ecuador (two fisheries), dorado, pomada, and pole & line tuna in Ecuador]"; but wording precisions were made to clarify the scope of the target, without altering it.

⁵⁹ For example, concha and cangrejo in Perú.

⁶⁰ The original indicator in the ProDoc (2015) states: "Percentage of fisheries landings included in new or amended management regimes". According to the RMT (2020) this is an output indicator (measures the operational performance of the project) and is not strategic or SMART (i.e., it does not allow measuring the impact or changes produced by the Initiative), so clarifications were made to facilitate the measurement of the impact or change, and the determination of the evaluation reporting criteria and means of verification..

⁶¹ That is, Improved Governance - Coastal Marine Spatial Planning - Knowledge Management.

⁶³ When clarifications were made at the indicator level as recommended by the RMT (2020), the number of institutions that will benefit from the enabling conditions developed by the CFI AL project was included in the target.

| OBJECTIVES | OBJECTIVE AND RESULT INDICATORS | BASELINE | MID-TERM GOAL | GOAL AT THE END OF THE PROJECT | ASSUMPTIONS |
|------------|---|----------|---------------|--------------------------------|--|
| | environmentally sustainable benefits. ⁶² | | | | coastal fisheries, marine and coastal spatial planning, knowledge and learning) in both countries. ⁶⁴ |

⁶² The original indicator in the ProDoc (2015), reads, "Number of people (men and women, by nationality) benefiting from strengthened livelihoods through solutions for improved fisheries management." According to the RMT (2020) this is a product indicator (measures the operational performance of the project) and is not strategic or SMART (i.e., it does not allow measuring the impact or changes produced by the Initiative), therefore, clarifications were made to facilitate the measurement of the impact or change, and the determination of the evaluation reporting criteria and means of verification.

⁶⁴ The original assumption 2 in ProDoc (2015), reads: "Interest of fishermen and interested parties of the value chains. Interest and collaboration of public entities related to fisheries governance (e.g., maritime authority, regional governments)". The original assumption 3 in the ProDoc (2015), says: "Interest and collaboration from fishermen and value chain stakeholders". In the opinion of the RMT (2020), in general terms the Assumptions presented in the ProDoc (2015) are superficial or superficial, so in these two cases a single Assumption was formulated, broken down into two interrelated or linked purposes.

| OBJECTIVES | OBJECTIVE AND RESULT INDICATORS | BASELINE | MID-TERM GOAL | GOAL AT THE END OF THE PROJECT | ASSUMPTIONS |
|---|--|----------|---------------|--|--|
| <p><u>Component 1.</u> Increase and strengthen the capacities of key actors for improved governance of coastal fisheries with an inclusive, poverty reduction and gender-sensitive approach.</p> <p><u>Outcome 1.</u> Improved enabling conditions for the governance of seven coastal fisheries in Ecuador and Peru.</p> | <p>Degree of implementation of actions prioritized by the CFI in the framework of the instruments (new or modified) of governance of coastal fisheries in Ecuador and Peru, in consideration of responsible fishing criteria, sustainability guidelines and gender approach.⁶⁵.</p> | 0 | 3 | <p>≥ 24 prioritized actions:</p> <ul style="list-style-type: none"> - PAN Dorado: 3 (monitoring, governance and traceability). - PAN Pomada: 5 (monitoring, governance, traceability, baseline and NANDINA item). - PAP Concha: 3 (monitoring, governance and research). - PAP Cangrejo: 2 (monitoring and governance). - PAN Atun: 5 (monitoring, governance, traceability, quality and Fair Trade). - Management Agreements for Concha and Cangrejo: 6 (management, monitoring, research, traceability, Tumbes Benthic | <p>The fisheries authorities of both countries have developed/adapted legal and regulatory frameworks for the protection of stocks and their associated biodiversity, to ensure sustainable fishing yields, access and fishing effort rules, control, surveillance and sanction mechanisms, necessary for better governance.⁶⁷.</p> |

⁶⁵ The original indicator in the ProDoc (2015) states: "Number of new or amended instruments to strengthen fisheries governance in coastal fisheries of Ecuador and Peru". According to the RMT (2020), this indicator is a strategic or SMART indicator, which is why the form was clarified to facilitate the measurement of impact or change, and the determination of the evaluation reporting criteria and means of verification. The "degree of implementation" is measured based on the actions established in the governance instruments supported and facilitated by CFI LA, whose target is three (3) new NAPs, two (2) updated NAPs and two (2) Management Arrangements. Therefore, beyond having a formal or official institutionalized governance document, the goal is to achieve a level of implementation of concrete actions that reflect the changes in the management and management of fishery resources targeted by the project.

⁶⁷ The original assumption in the ProDoc (2015), reads: "Support and collaboration from fisheries authorities and public entities related to fisheries governance (e.g., regional governments in Peru). Interest and collaboration from fishermen and other stakeholders of the value chain". In the opinion of the RMT (2020), in general terms the Assumptions presented in the ProDoc (2015) are superficial, so changes were made at the drafting level to determine whether the expected external conditions are configured in the right direction for this intention.

| OBJECTIVES | OBJECTIVE AND RESULT INDICATORS | BASELINE | MID-TERM GOAL | GOAL AT THE END OF THE PROJECT | ASSUMPTIONS |
|------------|---|----------|-----------------------------|--|--|
| | | | | Resources Technical Board, Fisheries Management Regulations). - Management Agreements for Concha and Cangrejo: 6 (management, monitoring, research, traceability, Technical Committee on Benthic Resources of Tumbes, Fishing Management Regulations).. ⁶⁶ . | |
| | Key actors (institutions, men and women by nationality) participating in Communities of Practice and Governance Systems of the coastal fisheries of the Southeast Pacific of Ecuador and Peru, which have initiated their | 0 | ≥ 600 people ≥ 30% women | ≥ 1.500 people ≥ 30% women ≥ 15 institutions ⁶⁹ | Fishermen and other key stakeholders have developed emerging mechanisms in the face of the COVID 19 pandemic to contribute to the economic recovery of artisanal fisheries and to conduct their operations |

⁶⁶ The original target according to ProDoc (2015), is: "7 [New plans of action for concha, cangrejo and pole & line tuna in Ecuador, update plans of action for dorado and pomada in Ecuador, update management arrangements for concha and cangrejo in Peru]". Based on the recommendations of the RMT (2020), editorial clarifications were made to clarify the scope of the target, without altering it..

⁶⁹ In making clarifications at the indicator level, to address the recommendations of the WTR (2020), the number of institutions that will be favored by their participation in the Communities of Practice and in the governance systems that are in the process of implementation was included in the target..

| OBJECTIVES | OBJECTIVE AND RESULT INDICATORS | BASELINE | MID-TERM GOAL | GOAL AT THE END OF THE PROJECT | ASSUMPTIONS |
|------------|---|----------|--|--|--|
| | implementation process. ⁶⁸ . | | | | under biosafety standards. ⁷⁰ . |
| | Number and surface area of coastal marine protected areas and other conservation modalities in Ecuador and Peru, under processes of implementation of formal participatory governance systems for the sustainability of coastal fisheries in the Southeast Pacific. ⁷¹ . | 0 | Number = 1 Area: ≥ 20.000 has. | ≥ 4 Manglares Churute Ecological Reserve (Ecuador). Manglares El Morro Wildlife Refuge (Ecuador). | |

Mangrove Ecosystem Sustainable Use and Stewardship Agreements, (Ecuador).

Santuario Nacional Manglares de Tumbes (Perú).

⁶⁸ The original indicator in the ProDoc (2015), reads: "Number of people (men and women, by nationality) who have been trained (formal, non-formal and on-the-job) on key topics of improved fisheries governance and sustainable fisheries management". According to the RMT (2020), this is an output indicator (measures the operational performance of the project) and is not strategic or SMART (i.e., it does not measure the impact or changes produced by the Initiative) [RMT, 2020]. The unit of measurement (key stakeholders) includes "Institutions". Rather than measuring "participation", the aim is to measure the application of the knowledge imparted/received in practice. Precisions were made to facilitate the measurement of impact or change, the determination of evaluation reporting criteria and the means of verification..

⁷⁰ The original assumption in the ProDoc (2015) states: "Women are interested and participate in the process". In the opinion of the RMT (2020), in general terms, the Assumptions presented in the ProDoc (2015) are superficial or superficial, so changes were made at the wording level to determine whether the expected external conditions are configured in the right direction for this intention..

⁷¹ The original indicator in the ProDoc (2015) states: "Number and surface (ha) of coastal and marine protected areas with formal participatory fisheries governance schemes". According to the RMT (2020), this is an output indicator (it measures the operational performance of the project) and is not strategic or SMART (i.e., it does not allow measuring the impact or changes produced by the Initiative), so clarifications were made to facilitate the measurement of impact or change, and the determination of evaluation reporting criteria and means of verification. Emphasis was placed on: "...and other conservation modalities...", to include mangrove areas in use and custody, environmental conservation areas, wetlands of international importance (RAMSAR sites) or other mechanisms related to protected areas.

Area: \geq 50.000 has.

The authorities and public entities related to fisheries governance promote and encourage participation, visibility and economic empowerment in all links of the fishery resource value chain under a gender perspective.⁷²

⁷² The original assumption in the ProDoc (2015) states: "Support from the competent authorities to install participatory fisheries governance schemes inside coastal and marine protected areas". In the opinion of the RMT (2020), in general terms, the assumptions presented in the ProDoc (2015) are superficial, so changes were made to the wording to determine whether the expected external conditions are configured in the right direction for this intention.

| OBJECTIVES | OBJECTIVE AND RESULT INDICATORS | BASELINE | MID-TERM GOAL | GOAL AT THE END OF THE PROJECT | ASSUMPTIONS |
|--|---|----------|---|---|---|
| <p><u>Component 2.</u> Test methods and tools for marine and coastal spatial planning with an ecosystem-based approach to disaster risk reduction..</p> <p><u>Outcome 2.</u> Improved enabling conditions for marine and coastal spatial planning in Ecuador and Peru.</p> | Coastal marine surface of Ecuador and Peru under spatial planning processes and formal governance platforms, based on information from the Ocean Health Index and the Real-Time Monitoring and Evaluation System of the enabling conditions promoted by the CFI-AL project. ⁷³ . | 0 | Ecuador = 751.000 has. Perú = 222.000 has. | Ecuador = 751.000 has. Perú = 222.000 has. | There are political and institutional commitments reflected in the availability of human talent and adequate financial resources to enable the institutionalization of PEMC, IdSO or other information processing methods as tools for multisectoral planning and decision making in the coastal marine area in both countries. ⁷⁴ . |
| | Area of Coastal Marine Protected Areas and other conservation modalities in Ecuador and Peru under spatial planning processes and formal governance platforms, based on information from the Ocean Health Index and the Real-Time Monitoring and Evaluation System of the enabling conditions | 0 | Ecuador: ≥ 64.000 has. Perú: ≥ 54.000 has. | Ecuador: ≥ 64.000 has. Perú: ≥ 54.000 has. | Authorities, public entities and productive sectors linked to the marine and coastal environment contribute data (multisectoral) to assess changes in the health of |

⁷³ The original indicator in the ProDoc (2015) states: "Surface (ha) under coastal and marine spatial planning processes on each country". According to the RMT (2020), this is an output indicator (it measures the operational performance of the project) and is not strategic or SMART (i.e., it does not allow measuring the impact or changes produced by the Initiative), so clarifications were made to facilitate the measurement of the change produced by the application of the PEMC and IdSO methodologies, formal platforms for improved governance and Monitoring and Evaluation.

⁷⁴ The original assumption in the ProDoc (2015) states: "Interest and collaboration of sectoral authorities (e.g., oil and gas, tourism) and local and national governments (e.g., municipalities, regional governments)". In the opinion of the RMT (2020), in general terms the Assumptions presented in the ProDoc (2015) are superficial or superficial, so changes were made at the wording level to determine whether the expected external conditions are configured in the right direction for this intention.

| OBJECTIVES | OBJECTIVE AND RESULT INDICATORS | BASELINE | MID-TERM GOAL | GOAL AT THE END OF THE PROJECT | ASSUMPTIONS |
|------------|---|----------|---|---|--|
| | promoted by the CFI-AL project ⁷⁵ . | | | | the oceans of both countries ⁷⁶ . |
| | Key actors (institutions, men and women by nationality) that participate and take action in PEMC and IDSO processes, generate information and feed the real-time monitoring and evaluation system of the enabling conditions promoted by the CFI-LA project ⁷⁷ . | 0 | <p>≥ 200</p> <p>≥ 50% women</p> <p>User groups, key stakeholders, NGOs, local and national government staff⁷⁸.</p> | <p>≥ 400</p> <p>≥ 50% women</p> <p>User groups, key stakeholders, NGOs, local and national government staff⁷⁹.</p> <p>≥ 10 instituciones⁸⁰.</p> | High-level intersectoral decision-making committees in Ecuador and Peru recognize that PEMC methodologies, IdSO or other information processing methods are important mechanisms that facilitate adaptive management and multi-sectoral articulation in decision-making on |

⁷⁵ The original indicator in the ProDoc (2015) states: 'Surface (ha) of coastal and marine protected areas included in the spatial planning processes on each country'. According to the RMT (2020), this indicator is strategic or SMART (i.e., it does not allow measuring the impact or changes produced by the Initiative), The emphasis was placed on: "...and other conservation modalities...", to include mangrove areas in use and custody, environmental conservation areas, wetlands of international importance (RAMSAR sites) or other mechanisms related to protected areas.

⁷⁶ The original assumption in the ProDoc (2015), says: "Interest and support from competent authorities to include coastal and marine protected areas into a wider context of spatial planning". In the opinion of the RMT (2020), in general terms, the assumptions presented in the ProDoc (2015) are superficial, so changes were made to the wording to determine whether the expected external conditions are configured in the right direction for this intention.

⁷⁷ The original indicator in the ProDoc (2015), reads: 'Number of people (men and women, by nationality) who have been trained (formal, non-formal and on-the-job) on methods and tools for coastal and marine spatial planning and the calculation and use of the ocean health index'. According to the RMT (2020), this is an output indicator (it measures the operational performance of the project) and is not strategic or SMART (i.e., it does not allow measuring the impact or changes produced by the Initiative). Rather than "people trained" (which is an output of the project), it seeks to measure the application of the knowledge imparted/received, in practice. Precisions were made to facilitate the measurement of impact or change, and the determination of evaluation reporting criteria and means of verification: (i) Not only individuals were included as the unit of measurement, but also institutions. (ii) Participation and actions carried out in PEMC, IdSO and M&E processes are measured.

⁷⁸ This detail is added in the wording to clarify the scope of the target, without altering it, taking into consideration the recommendations of the TMR (2020).

⁷⁹ This detail is added in the wording to clarify the scope of the target, without altering it, taking into consideration the recommendations of the TMR (2020).

⁸⁰ When clarifying the indicator, in response to the recommendations of the TMN (2020), the number of institutions that will be favored by their actions in PEMC and IdSO processes was included in the target.

| OBJECTIVES | OBJECTIVE AND RESULT INDICATORS | BASELINE | MID-TERM GOAL | GOAL AT THE END OF THE PROJECT | ASSUMPTIONS |
|------------|---------------------------------|----------|---------------|--------------------------------|---|
| | | | | | marine and coastal ecosystems ⁸¹ . |

⁸¹ The original assumption in the ProDoc (2015) states: "Women are interested and participate in the process". In the opinion of the RMT (2020), in general terms, the Assumptions presented in the ProDoc (2015) are superficial or superficial, so changes were made at the wording level to determine whether the expected external conditions are configured in the right direction for this intention

| OBJECTIVES | OBJECTIVE AND RESULT INDICATORS | BASELINE | MID-TERM GOAL | GOAL AT THE END OF THE PROJECT | ASSUMPTIONS |
|--|---|----------|---------------|--|--|
| <p><u>Component 3.</u> Knowledge management and M&E⁸².</p> <p><u>Outcome 3.</u> Lessons and good practices for improving fisheries governance and marine and coastal spatial management have been shared with key</p> | <p>⁸³Key actors (institutions, men and women by nationality) who, after participating in knowledge transfer processes, have achieved improvements (changes) in: (i) Performance of its fishing activities and practices within the value chain; and (ii)</p> | 0 | | <p>> 14 institutions, comprising: Consortium of six (6) Social Organizations of Artisanal Fishermen from Peru, four (4) from Ecuador, SRP, SERNANP, DIREPRO Piura, DIREPRO Tumbes. > 400 people⁸⁵.</p> | <p>Artisanal fishing stakeholders, men and women who are part of the fishery resource value chain, are interested in replicating the knowledge acquired and adapting it to their particular realities and contexts in both countries⁸⁶.</p> |

⁸² The original indicators and targets for Component 3 of the project are output-based, not strategic. The RMT (2020) made no suggestions. Three outcome or impact indicators were defined for Component 3 of the project. They seek to measure changes at the level of best practices, gender focus and economic autonomy, participation and access to information and knowledge.

⁸³ The original indicator in ProDoc (2015), reads: "Number of people (men and women, by nationality) who have participated in events for dissemination of lessons and best practices (e.g., workshops, study tours, seminars, IWC)". And the next indicator for this component reads: "Number of monthly visits (annual average) registered on the network of electronic platforms used to disseminate the project's learning and good practices". These indicators and their original targets (> 3,000 people and > 4,000 visits), measure the operational performance of the project and are not strategic or SMART (i.e., they do not allow measuring the impact or changes produced by the Initiative), according to the RMT (2020). Rather than measuring "participants in events" or "visits to platforms", the aim is to measure the application of the knowledge imparted/received in practice. Therefore, clarifications were made to facilitate the measurement of impact or change at the indicator level and its targets, and the determination of evaluation reporting criteria and means of verification, to demonstrate improvements in: (i) fisheries performance; and, (ii) in the implementation of governance mechanisms.

⁸⁵ When clarifying the indicator, in response to the recommendations of the RMT (2020), the number of institutions that will be favored by their participation in knowledge transfer processes was included in the target.

⁸⁶ By unifying the two indicators, we have that the original assumption 1, according to ProDoc (2015), says: "The information is attractive, useful and accessible to key stakeholders and interest groups". Assumption 2 states: "Fishermen and coastal communities have adequate internet access". In the opinion of the RMT (2020), in general terms the assumptions presented in the ProDoc (2015) are superficial, so changes were made to the wording to determine whether the expected external conditions are configured in the right direction for this intention.

| OBJECTIVES | OBJECTIVE AND RESULT INDICATORS | BASELINE | MID-TERM GOAL | GOAL AT THE END OF THE PROJECT | ASSUMPTIONS |
|---|---|----------|---------------|---|---|
| stakeholders within each country, between the two countries, and with global partners of the CFI program. | Development and implementation of improved fisheries governance mechanisms ⁸⁴ . | | | | |
| | Number of fisheries institutions and organizations that, after participating in knowledge transfer processes, designate gender focal points in institutionalized governance systems and fishery resource value chains ⁸⁷ . | 0 | | > 11 institutions. SRP, MINAM, Head of Los Manglares de Tumbes Natural Sanctuary, consortium of six (6) Artisanal Fishermen's Social Organizations, DIREPRO Piura, DIREPRO Tumbes. | Exercises based on learning-by-doing approaches engage country authorities to lead changes and improvements in fisheries governance and coastal marine spatial planning ⁸⁸ . |
| | Number of women who achieve better conditions of economic autonomy after participating in | 0 | | > 129 women 109 Savings and Credit Units (UNICA); and 20 mechanisms of Creciendo Con Su Negocio (CCSN). | |

⁸⁴ For example, training, exchanges, organizational and institutional strengthening, virtual access to tools and information -IdSO, PMEC and FTAP-

⁸⁷ This is a new indicator, as is the target. It is not included in the ProDoc (2015). As explained above with respect to the original indicators and targets for Component 3, it was the result of the participatory exercise to reconstruct the Theory of Change and Results Framework of the CFI LA Project, which was recommended by the RMT (2020).

⁸⁸ In establishing a new indicator, a new assumption was included that was also not included in the ProDoc (2015), and is a product of the participatory exercise of reconstructing the Theory of Change and Results Framework of the CFI LA Project, which was recommended by the RMT (2020).

| OBJECTIVES | OBJECTIVE AND RESULT INDICATORS | BASELINE | MID-TERM GOAL | GOAL AT THE END OF THE PROJECT | ASSUMPTIONS |
|------------|---|----------|---------------|--------------------------------|-------------|
| | knowledge transfer processes ^{89 90} . | | | | |

⁸⁹ For example, collaborative savings and credit systems, entrepreneurship and alternative income generation, etc.

⁹⁰ This is a new indicator, as is the target. It is not included in the ProDoc (2015). As explained above with respect to the original indicators and targets of Component 3, it arose as a result of the participatory exercise of reconstructing the Theory of Change and Results Framework of the CFI AL Project, which was recommended by the RMT (2020).

Annex 3: Final Evaluation Questions

| Evaluation Criteria | Questions | Indicators | Sources |
|--|---|---|---|
| <p>Relevance</p> <p>The extent to which an activity adapts to local and national development priorities and organisational policies, including changes over time. The extent to which the project is in accordance with the GEF operational programmes or strategic priorities on which the project was funded.</p> <p><u>Note:</u> In retrospect, the question of relevance often becomes a question about whether the objectives of an intervention or its design are still appropriate given the changes in circumstances.</p> | How is the project located in the national priorities and of the regions and municipalities where it is implemented? | i) Budget allocated by project partners for project-related activities; (ii) inclusion of the project theme in national, regional and municipal priorities; (iii) improvement of biodiversity monitoring data in areas of intervention of both countries, improvement in management plans of AMCs. | Work plans SERNANP, MINAM, GADs, GOREs, Produce, MAATE, SRP and other project partners, budgets, interviews, regional documents and policies, minutes of meetings Steering Committee. |
| | The project is aligned with the priorities of UNDP Peru and Ecuador and GEF offices. | i) GEF-6 Operational Plan Targets; ii) UNDP Peru Country Program Document 2017-2021 (CPD) ii) - United Nations Cooperation Framework Peru 2017-2021 (UNDAF) iii) - UNDP Ecuador Country Program Document 2019- 2022 (confirm CPD year) iv) - United Nations Cooperation Framework Ecuador (Confirm year) | UNDP work plans, UN System Peru and Ecuador, budgets, interviews, national documents and policies, minutes of meetings and development reports. |
| | Is the project important for municipalities or provinces? | i) N° activities related to governance and monitoring executed by the project and supported by the gore, GADs, DIREPROs, districts, municipalities and regional public bodies. | Work plans, budgets, interviews, regional and local documents and policies, minutes of meetings. |
| | How does the project fit into the priorities and activities of local beneficiaries? | i) AMCP management plans for local communities; (ii) investments in conservation and sustainable production activities; | Work plans and communal budgets and interviews, local documents and policies, minutes meetings. |
| | How did the beneficiaries and key stakeholders participate in the design and implementation stage of the project? Were local priorities included? | i) N° consultations made; (ii) No adjustments to the project resulting from consultations; (iii) ownership of actors to the objectives of the project at national, regional and local level. | i) Project preparation documents; (ii) interviews; (iii) Regional, territorial and local development policy documents. |

| Evaluation Criteria | Questions | Indicators | Sources |
|---------------------|--|---|---|
| | <p>Does the project take into account national realities (policy framework and institutional) in both its design and implementation?</p> | <ul style="list-style-type: none"> i) Degree to which the project supports the management of AMCs, generation of management plans and technical standards and regulations for them; ii) Plans and programs of MINAM, SERNANP, MINEM, MEF, MAATE, SRP and other partners; iii) Government policies and programs for the articulation of territorial support or the integration of financial instruments and management plans for AMCs; iv) Appreciation of key stakeholders regarding the level of adequacy of the project design and implementation to national, local realities and existing capacities; v) Coherence between the needs expressed by national stakeholders and goals of the UNDP-GEF project; vi) Level of involvement of government officials, government entities, districts, municipalities and other partners in the project design process. | <ul style="list-style-type: none"> i) Government Program 2018-2021; ii) Project documents; iii) Interviews with key project partners and stakeholders; iv) Plans, goals and budgets SERNANP, MINAM, SRP, MAATE and other partners |
| | <p>Are the objectives, results, outputs and activities still valid, given the context of current project implementation?</p> | <ul style="list-style-type: none"> i) Current environmental policy documents of MINAM, SERNANP, MAATE, SRP, and beneficiaries among others; ii) elaboration of regulations related to the design, implementation and monitoring of AMCs, iii) there are national and institutional budget goals and lines with criteria for the management and maintenance of AMCs, biodiversity and climate change within MINAM, ERNANP and MEF; (iv) Nº local communities or organizations using implementing PCA, ACR and ACP; (vi) No. local municipalities that have incorporated zoning ordinances, ACC, ACR. | <p>Work plans, budgets, interviews, local policy documents, meeting minutes.</p> |

| Evaluation Criteria | Questions | Indicators | Sources |
|---|--|---|--|
| <p>Effectiveness: The extent to which a goal was achieved or the probability that it will be achieved.</p> | <p>Are there logical links between the expected outcomes of the project and the project design (in terms of project components, choice of partners, structure, implementation mechanisms, scope, budget, resource use, etc.)?</p> | <ul style="list-style-type: none"> i) Level of coherence between the expected results and the design of the internal logic of the project; ii) type of indicators to measure program success (SMART); iii) analysis of key actors; iv) Level of coherence between the expected results and the area covered by the selected actors; v) Increase in the number of capacities and governance in the sectors intervened in the project. | <p>Project documents, key project stakeholders, annual reports and budgets, mid-term evaluation.</p> |
| | <p>What would be the additional contribution of the project to the improvement activities in the management of the AMCs and sustainable productive activities within the intervened areas? Is education and awareness of sustainable practices within CMAs a priority for stakeholders, especially in areas where pilot projects are implemented? Is there an observable improvement in the quality of biodiversity in the sectors intervened?</p> | <ul style="list-style-type: none"> i) Additional budget for CMA management activities, technical support and capacity building; (ii) inclusion of project themes in local priorities of districts, municipalities, enterprises and communities; iii) inclusion of techniques to verify improvements in management, maintenance and regulations to improve PAs at national and regional levels. | <p>Work plans, annual budgets, interviews, local documents and policies, minutes of meetings.</p> |
| | <p>Have the means of monitoring biodiversity improved in the areas of intervention of the project, especially where training and pilot projects are carried out?</p> | <ul style="list-style-type: none"> i) Existence of strategies and coordinated actions to monitor biodiversity in the areas of intervention; ii) Level of participation in the project of the regions and regional offices of SERNANP, DIREPRO and MINAM in the areas of intervention of the project; iii) follow-up plans for the intervened AMCs; iv) improved management plans and financing mechanisms to sustain the intervened AMCs. | <p>Work plans, annual budgets, interviews, documents and policies, minutes meetings.</p> |

| Evaluation Criteria | Questions | Indicators | Sources |
|---------------------|---|--|--|
| | To what extent are the objectives of the project, both national and regional and local, being met? | i) Involvement of actors in national implementation strategies for better governance in the different areas of intervention with regional/municipal implementation; (ii) existence of national/regional master plans for CMAs; (iii) increased use and infrastructure for sustainable production activities; iv) new equipment and processes to monitor and supervise AMCs. | Annual reports, activities, interviews. |
| | Was it possible to involve the authorities and relevant actors, both at the national, regional and local levels, to establish a system for managing AMCs and their follow-up? Has training strengthened control bodies and the development of policies, regulations and technical standards? | i) No contacts with national and local authorities; (ii) No regional/local plans for land use and zoning; (iii) amount of resources allocated by actors to development and monitoring activities for AMCs; (iv) Number of new AMCs intervened; (v) Number of trainings for national and local actors | Reports, interviews, regional and local plans. |
| | Was it possible to identify the needs for change/introduction of new regulations that facilitate the elimination of barriers to effective management of AMCs in both countries? | i) N° studies on institutional, technical and economic barriers and viable alternatives for the management of AMCs; ii) No agreements between relevant authorities and actors to promote and implement new measures and instruments; iii) N° draft regulations in process or identified to promote sustainable management and uses of AMCs, iv) elimination of overlapping competences between different agencies and development of effective and permanent articulation mechanisms between government institutions and citizen organizations and the private sector. | Reports, studies, interviews, regional and national plans. |

| Evaluation Criteria | Questions | Indicators | Sources |
|---|---|--|--|
| | It has been possible to incorporate women and young people in activities specially designed for these groups | <ul style="list-style-type: none"> i) N° workshops and consultations with specific groups for the design of activities; ii) Percentage of projects and activities led by women and youth, iii) Gender inclusion strategies with their respective indicators and expected results. | Consulting reports, institutional and project plans and programs. |
| <p>Efficiency: Is the project being implemented efficiently in accordance with international and national norms and standards?</p> | Annual work plans in line with project resources and objectives? | iv) Plans and budgets according to expected results. | Annual plans, budgets, interviews. |
| | Were adjustments made to cope with different situations (adaptive management)? | i) Plans and budgets according to expected results | Annual plans, minutes meetings, reports, mid-term evaluation, budgets, interviews, substantive review, risk analysis, PIR. |
| | Was an activity monitoring and evaluation system implemented? | i) No indicators, (ii) targets; (iii) No adjustments made; (iv) Number of meetings and strategic decisions taken by the Project Steering Committee; (v) monitoring plans developed. | Annual plans, reports, interviews. |
| | Were the activities, outputs and results carried out as planned? | i) N° activities; (ii) % progress; ii) Number of key actors involved in the project. | Annual plans, reports, interviews. |
| | How were the risks and assumptions of the project handled?; What has been the quality of the mitigation strategies developed? | <ul style="list-style-type: none"> i) Integrity of identifying risks and assumptions during project planning and design; ii) Quality of information systems established to identify emerging risks. | Project documents; quarterly and annual progress reports; project team, UNDP and key stakeholders. |
| | Was it possible to gather counterpart and/or additional resources for the project objectives? | <ul style="list-style-type: none"> iii) Amount of resources allocated by project partners; iv) Level of involvement of the project partners. v) Existence of budget lines for complementary/project-related activities in partner organisations. | Annual plans of the project and its partners incorporating resources into the project, budgets, cash and in-kind expense reports by project partners, interviews, annual audits. |

| Evaluation Criteria | Questions | Indicators | Sources |
|--|--|---|---|
| | What other projects with national and/or international funding are being implemented in the same project territories and how do they link to it? | <ul style="list-style-type: none"> i) Number and name of projects identified with national and/or international funding and; ii) Number of coordination actions established between the project and other complementary projects. | Project progress reports, annual work plans, reported budgets and interviews with the project team and UNDP and stakeholders. |
| <p>Results: The positive and negative, expected and unforeseen changes and effects produced by a development intervention. In GEF terms, outcomes include direct project performance, short to medium term, and longer-term impact including global environmental benefits, replication, and other local impacts.</p> | The project is triggering and/or influencing management activities in the AMCs?; | <ul style="list-style-type: none"> i) N° financial instruments in implementation; (ii) Number of beneficiaries of financial instruments; (iii) N° of new sustainable management and governance practices introduced in the AMCs; (iii) Number of institutional arrangements to implement CMAs with improved governance; iv) amount of training for communities, municipal and regional employees on these new practices. | Annual plans, budgets, reports, interviews. |
| | To what extent are the negative impacts of economic activities on the ecosystems of CMAs being minimized? | <ul style="list-style-type: none"> i) Number and effectiveness of activities that have promoted new governance mechanisms in AMCs; ii) number and effectiveness of activities that have led to planning uses in AMCs; and iii) Number and effectiveness of advocacy activities that helped community, municipal and private actors to accept and implement new management plans in the areas of intervention | Project progress reports, annual work plans, reported budgets and interviews with the project team and UNDP and project beneficiaries (e.g. trained national and regional authorities, collaboration with universities. |
| | Have it been possible to establish permanent networks for the exchange of experiences among the project actors? Has it been possible to sensitize national, regional and local actors to the impact of global environmental problems on their direct environment? | <ul style="list-style-type: none"> i) Number of stable coordination bodies between the actors; ii) Number of training workshops held; iii) Number of practices implemented thanks to this exchange | Annual plans, budgets, reports, interviews, training reports, community meeting minutes |
| | Has it been possible to verify the improvement of capacities to improve management in the AMCs? | <ul style="list-style-type: none"> i) N° of trainings carried out; ii) Number of public and private bodies with improved capacities iii) N° public institutions with responsibilities in monitoring, control strengthened. | Annual plans, budgets, reports, interviews, training reports |

| Evaluation Criteria | Questions | Indicators | Sources |
|--|---|---|---|
| | Has a response been achieved – even if partial – to the specific needs and aspirations of women within the actors involved? | <ul style="list-style-type: none"> i) Consultation with women during the process of developing and implementing community plans and programmes; ii) Number of community management plans including aspirations of women and other vulnerable groups; iii) Change in the perception of women's role before and after the program iv) N° of studies carried out | Project work plans, progress reports, consulting reports, interviews with communities and specifically women. |
| <p><u>Sustainability:</u> The likely ability of an intervention to continue to provide benefits for a period after its completion. The project must be environmentally, financially and socially sustainable.</p> | What are the most important challenges that could hinder the sustainability of project results? | <ul style="list-style-type: none"> i) Number of medium- and long-term activities related to the project objectives. ii) Number of public and private sector stakeholders willing to continue management improvement actions and new AMCs in both countries. | Policies/laws, annual plans public and private organizations, budgets, reports, interviews |
| | Will relevant authorities and actors at national and regional level be able to continue implementing activities when the project ends? | <ul style="list-style-type: none"> i) N° of plans to identify sustainable management opportunities in AMCs of both countries for the medium and long term; ii) amount of permanent human and financial resources for training, planning, identification and monitoring of planning, control and management actions of AMCs by national, regional authorities and companies; iii) Budgets related to technical and financial support for local protected area management programs | Policies/laws, annual plans, budgets, reports, interviews. |
| | Are authorities and relevant actors at the national, regional, district and local levels acquiring the skills and knowledge to manage and maintain a system of sustainable management and planning of CMAs? | <ul style="list-style-type: none"> i) N° of trainings carried out; ii) N° medium and long-term plans | Annual plans, budgets, reports, interviews. |
| | Is there any impediment to the continued participation of women and youth in the identification and implementation of management measures in the intervened AMCs? | <ul style="list-style-type: none"> i) Number of women-led organizations; ii) Number of community organizations with permanent funding for management and training activities. | Project progress reports, institutional support plans, projects presented by communities. |

| Evaluation Criteria | Questions | Indicators | Sources |
|---------------------|--|---|---|
| | | iii) Number of women participating in community organizations at all levels of the AMCs intervened. | |
| | To what extent are project outcomes likely to depend on continued financial support? | i) Nº of management activities with own resources. ii) Biodiversity monitoring, reports to the convention on biodiversity with stable budgets for operation and updating. | Annual plans, budgets, reports, interviews. |
| | Are there social, political, economic or technical factors that prevent the formulation of plans, policies and regulations and the maintenance of financing instruments to improve the management and status of biodiversity in the intervened AMCs? | iii) Number of agreements and/or cooperation between social and business actors; (ii) amount of resources allocated to the theme (human and financial); (iii) No medium- and long-term institutional plans; iv) long-term financing plans for the intervened AMCs. | Annual plans, budgets, reports, interviews. |
| | Are stakeholders likely to have or achieve an adequate level of "ownership" of results, and is there a commitment and interest in ensuring that project benefits are maintained? | iv) Number of agreements and/or cooperation between social, district and local actors and SERNANP, MINAM, SRP and MAATE; ii) amount of resources allocated to the issue by communities and related government entities (human and financial); (iii) No medium- and long-term institutional plans. | Annual plans, budgets, reports, interviews. |

Annex 4: List of revised documents

Project Coastal Fisheries Initiative Project – Latin America

Country Ecuador and Peru

Date 10-08-2022

| Document | Type | Comment |
|---|--------------------|--|
| Prodoc | prodoc | |
| Prodoc authorized and signed by the GEF CEO | Endorsement letter | |
| PIR/APR | Reports | |
| GEF tracking tools | Reports | All (initial, intermediate) |
| Core Indicators | Reports | All (initial, intermediate) |
| Annual project reports | Reports | internal and external |
| POAs | Reports | All |
| Annual budgets | Financial | All |
| CDR | Financial | All |
| UNDP ATLAS expenditures in excel | Financial | From the beginning of the project to date |
| Co-financing reports | Financial | from the beginning of the project |
| Audit reports | Financial | All |
| TDR | Strategy | (i) For major outputs or those that amount to 25-30% of the budget; (ii) For the project implementation team; iii) Current implementation organization chart |
| UNDP country programme | Strategy | 2018-2021? |
| UNDAF | Strategy | 2018-2021? |
| Country development strategy, biodiversity protection and RTA and ACP development | Strategy | 2018-2021? |
| Steering Committee Minutes | Strategy | all (if applicable) |
| Technical Committee Reports? | Strategy | Everyone, are there meeting minutes? |
| Peer reviews reports or validation processes for major products (if applicable) | Reports | all |
| Technical reports all products | Reports | all |
| Minutes of meetings with partners and beneficiaries | Reports | all (if applicable) |
| Table with main project milestones List of the members of the executing team, main functions and organization chart) | Reports | board |

Annex 5: List of interviewees

| N° | Invitee Name | Invitee Email | Start Date & Time | End Date & Time | Cargo | Institución | Guest Email(s) |
|----|--------------------------------------|---------------------------------|-------------------|-----------------|---|--|-----------------------|
| 1 | Miguel Maldonado | miguel.maldonado@undp.org | 04-08-22 15:45 | 04-08-22 16:45 | Coordinador | PNUD | |
| 2 | Reunión con Equipo Ejecutor proyecto | miguel.maldonado@undp.org | 11-08-22 16:00 | 11-08-22 17:00 | Coordinador Binacional Proyecto CFI-LA | PNUD | |
| 3 | Reunión Equipo Ejecutor del Proyecto | miguel.maldonado@undp.org | 12-08-22 15:00 | 12-08-22 16:00 | Coordinador Binacional Proyecto CFI-LA | PNUD-Perú | |
| 4 | Mario Rodas | mario.rodas@undp.org | 25-08-22 16:00 | 25-08-22 17:00 | Oficial de programa / Responsable del Area de Ambiente y Energía | PNUD | |
| 5 | Xavier Chalen Cl-Ecuador | xchalen@conservation.org | 23-08-22 18:00 | 23-08-22 19:00 | Director del Programa Marino y Costero | Conservation International Foundation | |
| 6 | Marco Arenas | marenas@sernanp.gob.pe | 01-09-22 14:00 | 01-09-22 15:00 | Responsable de la UOF Gestión Participativa | SERNANP | |
| 7 | Benoit DIRINGER | diringerb@yahoo.fr | 30-08-22 16:00 | 30-08-22 17:00 | Gerente | Incabiotec SAC | krizmar_5@hotmail.com |
| 8 | Fernando Rey Diz | fernando.rey@wwf.org.ec | 25-08-22 14:30 | 25-08-22 15:30 | Oficial de Programa Senior | WWF Ecuador | |
| 9 | José Álvarez Alonso | jalvarez@minam.gob.pe | 24-08-22 17:45 | 24-08-22 18:45 | Director General de Diversidad Biológica MINAM | MINAM | |
| 10 | Anamelba Orrillo | anamelba.orrillo@undp.org | 24-08-22 15:15 | 24-08-22 16:15 | Asociada de Adquisiciones | PNUD | |
| 11 | VICTOR | victorpunolecarnaque7@gmail.com | 23-08-22 15:00 | 23-08-22 16:00 | GERENTE REGIONAL DE DESARROLLO ECONOMICO | GOBIERNO REGIONAL TUMBES | |
| 12 | Ana Mará Núñez | anamaria.nunez@undp.org | 02-09-22 11:30 | 02-09-22 12:30 | RTA Panamá (Asesora regional Técnica PNUD) | PNUD | |
| 13 | JESSICA ELIZABETH CHAVEZ PISCO | jessachavez2629@gmail.com | 29-08-22 17:30 | 29-08-22 18:30 | Analista acciones climáticas | ReDUS, GM | |
| 14 | sharon dale | sdale@produce.gob.pe | 31-08-22 16:00 | 31-08-22 17:00 | Directora de la Dirección de Cambio Climático y Biodiversidad Pesquera y Acuicola | produce | |
| 15 | Jorge Alvarez | jorge.alvarez@undp.org | 25-08-22 17:30 | 25-08-22 18:30 | Oficial de Medioambiente PNUD Peru | PNUD | |
| 16 | ISABEL CRISTINA TAMARIZ MATA | isabel.tamariz@ambiente.gob.ec | 29-08-22 15:30 | 29-08-22 16:30 | DIRECTORA ZONAL 5 | DIRECCIÓN ZONAL 5 MINISTERIO DEL AMBIENTE, AGUA Y TRANSICIÓN ECOLÓGICA | |
| 17 | Gabriela Jarrín | gabriela.jarrin@undp.org | 31-08-22 17:30 | 31-08-22 18:30 | Técnica de monitoreo de proyectos | PNUD | |

| N° | Invitee Name | Invitee Email | Start Date & Time | End Date & Time | Cargo | Institución | Guest Email(s) |
|----|--|-----------------------------------|-----------------------|-----------------------|--|--|---------------------------|
| 18 | Sergio Alberto Sandoval Mogollon | ssandoval@regiontumbes.gob.pe | 26-08-22 16:00 | 26-08-22 17:00 | director regional de la producción tumbes | DIREPRO TUMBES | |
| 19 | ROSA LILIANA | rgarcia@sernanp.gob.pe | 02-09-22 10:00 | 02-09-22 11:00 | JEFA | SERNANP | |
| 20 | Frank Vádinson Suvárez Pingo | fesuarezp@gmail.com | 26-08-22 17:30 | 26-08-22 18:30 | Especialista | Sernanp | |
| 21 | AGUSTIN CAMPOS CISNEROS | agustincamposcisneros@yahoo.es | 01-09-22 18:00 | 01-09-22 19:00 | Director Programa Administrativo ii | DIREPRO PIURA | |
| 22 | Martha Cuba Villafuerte | mcuba@minam.gob.pe | 21-09-22 17:00 | 21-09-22 18:00 | Directora | Ministerio del Ambiente | achang@minam.gob.pe |
| 23 | José Isidro Andrade Vera | jandrade@produccion.gob.ec | 29-08-22 14:00 | 29-08-22 15:00 | Director de Políticas Pesquera y Acuicola | Viceministerio de Acuicultura y Pesca | jpincay@produccion.gob.ec |
| 24 | Bertha carpio | bcarpio@santaelena.gob.ec | 30-08-22 17:30 | 30-08-22 18:30 | Directora de Medio Ambiente | prefectura de Santa Elena | |
| 25 | Gabriela Bastidas | mbastidas@produccion.gob.ec | 02-09-22 15:30 | 02-09-22 16:30 | STCOMEX | MINISTERIO DE PRODUCCION | |
| 26 | Virna Cedeno | virna.cedenoescobar@gmail.com | 14-09-22 17:00 | 14-09-22 18:00 | Presidente | Concepto Azul S.A. | |
| 27 | Andrés Arens Hidalgo | aarens@produccion.gob.ec | 02-09-22 17:30 | 02-09-22 18:30 | Viceministro de Acuicultura y Pesca | Ministerio de Producción, Comercio Exterior, Inversiones y Pesca | amoyad@produccion.gob.ec |
| 28 | Flavio Miguel Saldarriaga Saldarriaga | fsaldasalda2308@gmail.com | 16-09-22 14:00 | 16-09-22 15:00 | Responsable Centro de Acuicultura Tuna Carranza | FONDEPES | |
| 29 | ESCILDA MONTENEGRO GONZAGA | escilda_mariam@hotmail.com | 14-09-22 14:15 | 14-09-22 15:15 | ANALISTA DE CALIDAD AMBIENTAL | PREFECTURA DE EL ORO | |
| 30 | Fabiola Nuñez | fabinunez77@gmail.com | 15-09-22 17:00 | 15-09-22 18:00 | Directora de Conservación de Ecosistemas y Especies | Ministerio del Ambiente | |
| 31 | Pilar Solís Coello | psolis@institutopesca.gob.ec | 15-09-22 15:15 | 15-09-22 16:15 | Subdirectora Técnica | Instituto Público de Investigación de Acuicultura y Pesca | |
| 32 | oscar lazo | olazo@minam.gob.pe | 15-09-22 18:30 | 15-09-22 19:30 | Especialista Gestion de Zonas Marino Costeras | MINAM | |
| 33 | Niria Fiestas | | | | Sub-Gerente Programación de inversiones | Municipalidad Distrital de Vice | |
| 34 | Jorge Constain | | | | Gerente | Transmarine (pesquería Dorado) | |

Annex 6: Agenda of the evaluation and questionnaire of topics covered in the interviews.

| <i>Tentative Agenda Actor</i> | <i>Duration</i> | <i>Topics to be discussed</i> |
|---|--|---|
| Executing team, UNDP, DNP, other actors that are considered important to participate. | 1 hr | Opening meeting. Discussion of the main points that will be covered in the evaluation, agenda adjustments, methodology, expectations, etc. |
| UNDP Peru and Ecuador: sector and M&E specialists | 1 hr per country | UNDP's role in the project; Support provided, challenges, pending actions to ensure sustainability of results. |
| UNDP Peru and Ecuador: financial specialist and management | 1hr per office | Requestsfor tenders studies, expenses, main project situations. M&E System. |
| RTA by UNDP Panama | 1 hr | Role of the RTA in project; Support provided, expectations about the evaluation, main situations of the project. M&E System. |
| Project Execution Team | All afternoon | Detailed presentation by the project team on: i) Objectives and institutional organization of the project. ii) level of inter-institutional coordination, iii) each result and product; iv) relevant situations presented in the execution; v) Monitoring and evaluation system implemented. vi) adaptive management and corrective measures implemented; vii) Mid-term evaluation, changes to the logical framework or goals. viii) procurement process, ix) Implementation of expenditure x) status of co-financing; xi) projections for the sustainability of results obtained to date; xii) mainstreaming (gender, indigenous peoples), xiii) Analysis of project indicators and level of progress for its achievement. xiv) Analysis of the Logical Framework and ToC xv) To date. xvi) Pending actions to ensure sustainability of results. |
| Project Execution Team, WWF and CI | Morning executing team, afternoon WWF and CI | Continuation previous day and conclusions |
| GEF Focal Points Ecuador and Peru | 1 hr each | i) Briefing on the objective of the evaluation and activities to be carried out. ii) Role of the focal point in project; Support provided, expectations of the evaluation, main situations of the project. iii) M&E System. iv) Alignment of the project with GEF targets, Convention on Biological Diversity and other country obligations v) complementarity with other national and regional GEF initiatives; vi) Steering Committee role; vii) Current status of project implementation, lessons learned and sustainability perspectives |

| <i>Tentative Agenda Actor</i> | <i>Duration</i> | <i>Topics to be discussed</i> |
|--|--------------------|---|
| National Project Director in Peru and Ecuador | 1 hr for each | <ul style="list-style-type: none"> i) Explanation of the evaluation process and discussion of topics that director wishes to relieve. ii) Complementarity and alignment of the project with other initiatives of SERNANP, MINAM, MAATE, SGM and other national and regional policies; iii) Challenges on regulations and other instruments to sustain the project's achievements; iv) Current status of project implementation and sustainability perspectives; v) Coordination of the project with instances (district municipalities, GADs, GORE and other institutional actors to promote regulatory changes and involve other national and departmental authorities. vi) Rol of the steering committee in the direction of the project; |
| High-level official of SERNANP and SGM (Ecuador) | 0.5 hr per country | Briefing on the objective of the assessment and activities to be carried out during the mission. |
| High-level official of MINAM and MAATE | 0.5 hr per country | Briefing on the objective of the assessment and activities to be carried out during the mission. Coordination in territorial and coastal marine planning |
| MINAM: Directorate-General for Biodiversity and DGOT | 1.0 hr each | <ul style="list-style-type: none"> i) Knowledge of the project; ii) role of the project steering committee, iii) Role with regional governments and municipalities iv) areas of cooperation between management and the project; |
| Produce (Peru) MPCIP, SRP and SGM (Ecuador) | 1 hr each | <ul style="list-style-type: none"> v) main challenges encountered; vi) alignment of the project with management priorities, specifically in the implementation of RTAs and their financial mechanisms; vii) sustainability of the project; |
| GORE Tumbes, GORE Piura | 1 hr each | <ul style="list-style-type: none"> (i) Knowledge of the project; (ii) role of the project steering committee; iii) Role with regional governments and municipalities (iv) areas of cooperation between the GOREs and the project; (v) main challenges encountered; (vi) alignment of the project with the priorities of the GOREs, budgets and regional plans. (vii) sustainability of the project; |
| GAD El Oro, Manabi and Santa Elena | 1.0 hr each | <ul style="list-style-type: none"> (i) Knowledge of the project; ii) Role of the Project Steering Committee iii) areas of cooperation between the MML and the project; (iv) main challenges encountered; (v) alignment of the project with the priorities of the subnational government; (vi) sustainability of the project; (vii) prospects for the implementation of new rules and mechanisms to manage and finance AMCs; (viii) Other cooperation required from the project (ix) Cooperation with other institutions and actors |
| DIREPRO Tumbes and Piura | 1.0 hr each | <ul style="list-style-type: none"> (i) Knowledge of the project; (iii) type of support given to the project and main challenges encountered; iv) alignment of the project with DIREPRO's priorities, specifically on issues to promote the development of |

| Tentative Agenda <i>Actor</i> | <i>Duration</i> | <i>Topics to be discussed</i> |
|--|-----------------|---|
| | | artisanal fisheries, (v)sustainability of project actions; vi)perspectives for the implementation of regulations for concessions in AMCs, (vii)Other cooperation required from the project i) Cooperation with other institutions and actors. |
| Municipalities of Sechura and Vice | 1.0 hr each | (i)Knowledge of the project; (ii)areas of cooperation between the municipality and the project; (iii)type of support provided to the project and main challenges encountered; (iv)alignment of the project with the priorities of the municipality, specifically on issues of development of artsanal fisheries and marine-coastal governance; (v)sustainability of project actions; (vi)Other cooperation required from the project (i)Cooperation with other institutions and actors. |
| SERNANP Piura and Tumbes | 1.0 hr each | (i)Knowledge of the project; (ii)areas of cooperation between SERNANP and the project; (iii)type of support provided to the project and main challenges encountered; iv) alignment of the project with the priorities of the partnership, specifically on policy, planning and financing issues of the AMCs. (v)sustainability of project actions; (vi)outlook vii) Cooperation with other institutions and actors. |
| MINAM provincial offices in Tumbes and Piura | 1. 0 hr each | i) Brief overview of the functions of this entity ii) Knowledge of the project and its relationship with it; iii) activities in conjunction with project; i) New regulations for the sector that promote marine fisheries governance and its management and financing. ii) Sustainability challenges for AMCs |
| COFIDE | 1 hr | i) Brief overview of the institution's functions ii) Knowledge of the project and its relationship with it; iii) activities in conjunction with the project; iv) Sustainability and lessons learned from the implementation of UNICAS. |
| National University of Tumbes and INCABIOTEC | 1 hr each | v) Brief overview of the functions of the entity vi) Knowledge of the project and its relationship with it; vii) activities in conjunction with project; viii) Future perspectives of involvement/associativity by private companies with artisanal fishermen. iv) challenges for sustainability. |
| Public Institute for Aquaculture and Fisheries Research (Ecuador) | 1 hr | i) Brief overview of the functions of the institution, ii) Knowledge of the project and its relationship with it; iii) activities in conjunction with project; iv) Financing mechanisms for sustainability of the governance of AMCs and future perspectives of involvement/associativity by private companies with artisanal fishermen. |
| Any relevant university or research entity that has participated in the generation of knowledge of the project in Ecuador? | 1.0 hrs | |

| Tentative Agenda <i>Actor</i> | <i>Duration</i> | <i>Topics to be discussed</i> |
|---|-----------------|---|
| Port Captaincies in El Oro, Guayas, Manabi and Santa Elena? | 1.0 hrs each | Brief overview of the functions of the entity, Knowledge of the project and its relationship with it; activities in conjunction with project; Financing Mechanisms for AMC Management |
| CIAT Ecuador | 1. 0 hr | i) Knowledge of the project and its relationship with it; ii) activities in conjunction with project; iii) plans and programmes that are coordinated with the project; iv) lessons learned on project-driven coordination; v) pending issues, sustainability of the governance of AMCs and their relationship with communities and other relevant actors. |
| Multisectoral Commission for Environmental Management of the Coastal Marine Environment (COMUMA) | 1.0 hrs | |
| Institute of the Sea of Peru (IMARPE) | 1.0 hr | (i) Knowledge of and relationship with the project; (ii) activities in conjunction with the project; |
| National Fisheries Development Fund (FONDEPES)-Peru | 1.0 hr | iii) pending issues, sustainability, adequacy of current instruments to introduce greater participation of women and communities in the management of AMCs. |
| National Fisheries Institute Ecuador | 1.0 hr | (i) Brief overview of the institution and its responsibilities (ii) relationship with the project; iii) Strengthened partnerships iv) Sustainability and challenges |
| Any Marine control authority such as the port captaincies in El Oro, Manta and Santa Elena? (Ecuador) | 1.0 hr each | (i) Brief overview of the institution and its responsibilities relationship with the project, (ii) Strengthened partnerships (iii) sustainability and challenges |
| Cañeros de Manta Association (Ecuador) | 1.0 hr | (i) Brief overview of the institution and its responsibilities relationship with the project, (iii) Strengthened partnerships (iv) Sustainability and challenges |
| ASOEXPEBLA (Ecuador) | 1.0 hr | |
| Association of Artisanal Shipowners (Ecuador) | 1.0 hr | |
| Shrimp ointment fishermen's organizations (Ecuador) | 1.0 hr | |
| Organizations of prieta shell extractors (Ecuador) | 1 hr | |
| FENACOPEC (National Federation of Artisanal Fishing Cooperatives of Ecuador) | 1 hr | |
| Association of shellfish gatherers and related "Los Isleños" (Ecuador) | 1 hr | |
| Peruvian Association of Gastronomy (APEGA) Tumbes | 1hr | |
| SEMBRADORES AL CIENTO POR UNO (Piura) | 1 hr | |
| ASSOCIATION OF PRODUCTIVE, ARTISAN AND MULTISERVICE WOMEN (AMPAM) Piura | | |
| THE ONLY ONES OF PLAYA BLANCA (Piura) | | |
| ASEXTRHI Nueva Esperanza Association (Tumbes) | | |
| Consortium The Mangroves of Northwest Peru (Tumbes) | | |

| Tentative Agenda <i>Actor</i> | <i>Duration</i> | <i>Topics to be discussed</i> |
|--|-----------------|-------------------------------|
| SNLMT Management Committee (Tumbes) | | |
| Women's cooperative for textile clothing - Stitches that unite Puerto Rico - Bayóvar. (Tumbes) | | |
| Association ACODESOM - EL BENDITO (Tumbes) | | |
| Presentation of preliminary findings | | |

Annex 7: UNEG signed

Código de Conducta para Evaluadores del Grupo de Evaluación de las Naciones Unidas

La independencia implica la capacidad de evaluar sin influencia o presión indebidas por parte de ninguna de las partes (incluida la unidad de contratación) y proporcionar a los evaluadores acceso gratuito a la información sobre el tema de la evaluación. La independencia proporciona legitimidad y garantiza una perspectiva objetiva de las evaluaciones. Una evaluación independiente reduce el potencial de conflictos de intereses que podrían surgir con las calificaciones auto informadas por parte de los involucrados en la gestión del proyecto que se está evaluando. La independencia es uno de los diez principios generales para las evaluaciones (junto con los principios acordados internacionalmente, Metas y objetivos: utilidad, credibilidad, imparcialidad, ética, transparencia, derechos humanos e igualdad de género, capacidad de evaluación nacional y profesionalismo).

Evaluadores/Consultores:

1. Debe presentar información que sea completa y justa en su evaluación de fortalezas y debilidades para que las decisiones o acciones tomadas estén bien fundadas.
2. Debe divulgar el conjunto completo de hallazgos de la evaluación junto con la información sobre sus limitaciones y tener esto accesible a todos los afectados por la evaluación con derechos legales expresados para recibir resultados.
3. Debe proteger el anonimato y la confidencialidad de los informantes individuales. Deben proporcionar el máximo aviso, minimizar las demandas a tiempo y respetar el derecho de las personas a no participar. Los evaluadores deben respetar el derecho de las personas a proporcionar información confidencial y deben asegurarse de que la información confidencial no pueda rastrearse hasta su fuente. No se espera que los evaluadores evalúen a los individuos, y deben equilibrar una evaluación de las funciones de gestión con este principio general.
4. A veces descubren evidencia de irregularidades mientras se realizan evaluaciones. Esos casos deberán notificarse discretamente al órgano de investigación correspondiente. Los evaluadores deben consultar con otras entidades de supervisión pertinentes cuando haya alguna duda sobre si se deben informar los problemas y cómo.
5. Deben ser sensibles a las creencias, modales y costumbres y actuar con integridad y honestidad en sus relaciones con todas las partes interesadas. De acuerdo con la Declaración Universal de Derechos Humanos de las Naciones Unidas, los evaluadores deben ser sensibles y abordar las cuestiones de discriminación e igualdad de género. Deben evitar ofender la dignidad y el respeto por sí mismos de las personas con las que entran en contacto en el curso de la evaluación. Sabiendo que la evaluación podría afectar negativamente los intereses de algunas partes interesadas, los evaluadores deben llevar a cabo la evaluación y comunicar su propósito y resultados de una manera que respete claramente la dignidad y la autoestima de las partes interesadas.
6. Son responsables de su rendimiento y de su(s) producto(s). Son responsables de la presentación escrita y/u oral clara, precisa y justa de las imitaciones, hallazgos y recomendaciones del estudio.
7. Debe reflejar procedimientos contables sólidos y ser prudente en el uso de los recursos de la evaluación.
8. Debe garantizar que se mantenga la independencia de juicio y que los resultados y recomendaciones de la evaluación se presenten de forma independiente.
9. Debe confirmar que no ha participado en el diseño, ejecución o asesoramiento sobre el proyecto que se está evaluando y que no llevó a cabo la revisión intermedia del proyecto.

Formulario de Acuerdo de Consultor de Evaluación

Acuerdo para cumplir con el Código de Conducta para la Evaluación en el Sistema de las Naciones Unidas:

Nombre del Evaluador: _____ Jorge Leiva Valenzuela _____

Nombre de la Organización de Consultoría (en su caso): _____

Confirmando que he recibido y entendido y cumpliré el Código de Conducta para la Evaluación de las Naciones Unidas.



Firmado en __Lima el 18 de octubre 2022_____

Annex 8: Evaluation trail
(separate file)

Anexo 9: Tracking Tools
(separate file)

Annex 10: Analysis of Prodoc indicators

| Strategy | | Indicators | | Comment | Smart Analysis of the Indicator | | | | | Recommendations/examples for the indicator |
|----------|--|------------|---|--|---|---|--|------------------------------|-----------|---|
| | | | | | Specific | Measurable | Attainable | Relevant | Temporal | |
| O.1 | Demonstrate holistic ecosystem-based management and improved governance in coastal fisheries in the Southeast Pacific | 1 | Number of fisheries with new or improved management regimes (e.g., better governance, co-management, secure tenure or access rights regimes). | It is worth mentioning that the primary objective of the GEF in this project is to protect marine-coastal biodiversity in the 2 countries, in order to prevent overfishing and resource depletion, so the objective set out in Prodoc is not consistent with the global objective. Holistic management would correspond more to an instrument or development objective that leads to the ultimate goal which is to preserve marine-coastal biodiversity. | Regulate: improved governance should be made more explicit. | Regular: for reasons of low specificity. | Yes | Regular: lack of specificity | Yes | The indicator statement should show the concept of what "improved governance" means rather than providing examples that vary from place to place. |
| | Demonstrate holistic ecosystem-based management and improved governance in coastal fisheries in the Southeast Pacific. | 2 | Percentage of landings included in new or improved management regimes. | This indicator needs greater specificity, since what is required is to determine the change where the governance, traceability and monitoring pilots have actually been made. The current condition of this indicator refers to all fisheries, a situation that is difficult to control and monitor adequately, even if national management plans exist. | Regular: the origin of landings should be clearly explained | Regulate: for reasons of low specificity and need for broader controls. | It is not known because of the extent of the fisheries | Regular: lack of specificity | Yes | The reporting of this indicator should be more closely related to management effectiveness for selected fisheries. |
| | Demonstrate holistic ecosystem-based management and improved governance in coastal fisheries in the Southeast Pacific. | 3 | Number of people (men and women, by nationality) benefiting from strengthened livelihoods through solutions to improve fisheries management. | This indicator needs greater specificity, since what is required is to define what is meant by "benefit of ways of life" of the populations intervened. Is it an improvement in income per family?, is it an improvement in the prices of products under improved management?, or is it more free time?, or better productive chain? | No | No | It is not known because of the low specificity | No | Not known | The declaration of this indicator could be in terms of the change in family income or changes in the value of products for example. |

| Strategy | | Indicators | | Comment | Smart Analysis of the Indicator | | | | | Recommendations/examples for the indicator |
|----------|--|------------|---|--|---------------------------------|----------------------|----------------------|-------------------------|----------|---|
| | | | | | Specific | Measurable | Attainable | Relevant | Temporal | |
| A1 | Enhanced enabling conditions for governance of seven coastal fisheries in Ecuador and Peru | 4 | Number of new or improved instruments to strengthen the governance of coastal fisheries in Ecuador and Peru. | Both the result statement and the indicator are confusing. From the reading of Prodoc it can be deduced that in reality these are pilot projects that seek to strengthen the actors, achieve governance agreements between institutional actors and users of the AMC, develop mechanisms for control and monitoring of catches and the value chain. A more specific definition of what is meant by "improved instruments" is therefore lacking. Finally, the improved instruments respond more to a product than to the measurement of a change in the state of the fisheries in question. | No | Yes, for a product | Yes, for a product | Not to measure a result | Yes | A relevant indicator could be the number of institutional actors and users applying measures, controls and sustainable fisheries plans in Ecuador and Peru. |
| A1 | Enhanced enabling conditions for governance of seven coastal fisheries in Ecuador and Peru | 5 | Number of people (men and women, by nationality) who have had training (formal, non-formal and on-the-job) on key issues of improved fisheries governance and sustainable fisheries management. | This indicator corresponds to an activity (training) and does not measure a change in the baseline situation of the ecosystem or the actors involved. | Yes, for an activity | Yes, for an activity | Yes, for an activity | Not for a result | Yes | See previous example ind. 4 |

| Strategy | | Indicators | | Comment | Smart Analysis of the Indicator | | | | | Recommendations/examples for the indicator |
|----------|--|------------|--|---|---|------------------------|----------------------|------------------------------|---------------|---|
| | | | | | Specific | Measurable | Attainable | Relevant | Temporal | |
| A1 | Enhanced enabling conditions for governance of seven coastal fisheries in Ecuador and Peru | 6 | Number and area (ha) of marine and coastal protected areas with formal participatory fisheries governance schemes. | This indicator would be more appropriate to the objective of the project, and should be more specific in terms of defining what criteria these "formal schemes" must meet, which could be formal but inoperative or irrelevant in the worst case. | Regular: | Yes | Yes | Regular: lack of specificity | Yes | Tip: Number of MPAs with governance schemes that meet recognized international standards. |
| R2 | Enhanced enabling conditions for marine and coastal spatial planning in Ecuador and Peru | 7 | Area (ha) under marine and coastal spatial planning processes in each country | This indicator would be more suitable for a replication result or for the project objective. It is worth mentioning that this indicator is closely related to the governance schemes specified above. | Regulate: because it is linked to the governance scheme | Yes | Yes | Yes | Yes | Example: "surface in spatial planning as stipulated by established governance schemes". |
| R2 | Enhanced enabling conditions for marine and coastal spatial planning in Ecuador and Peru | 8 | Area (ha) of marine and coastal protected areas included in marine spatial planning processes in each country | Previous IDEM | Previous IDEM | Previous IDEM | Previous IDEM | Previous IDEM | Previous IDEM | Previous IDEM |
| R2 | Enhanced enabling conditions for marine and coastal spatial planning in Ecuador and Peru | 9 | Number of people (men and women, by nationality) who have had training (formal, non-formal and on-the-job) in methods and tools for marine and coastal spatial planning and the calculation and use of the Ocean Health Index. | This indicator corresponds to an activity (training) and does not measure a change in the baseline situation of the ecosystem or the actors involved. | Yes, for an activity | Yes, for your activity | Yes, for an activity | Not for a result | Yes | See previous example ind. 4 |

| Strategy | | Indicators | | Comment | Smart Analysis of the Indicator | | | | | Recommendations/examples for the indicator | |
|-----------|--|------------|---|--|--|----------------------|----------------------|----------------------|------------------|--|---|
| | | | | | Specific | Measurable | Attainable | Relevant | Temporal | | |
| R3 | <i>Lessons and good practices for improving fisheries governance and marine and coastal spatial planning have been shared with key stakeholders within each country, between both countries, and with global IFC partners.</i> | 1 | 0 | Number of people (men and women, by nationality) who have participated in events to disseminate lessons and good practices (e.g., workshops, study tours, seminars, IWC) | This indicator corresponds to an activity (training) and does not measure a change in the baseline situation of the ecosystem or the actors involved. | Yes, for an activity | Yes, for an activity | Yes, for an activity | Not for a result | Yes | See previous example ind. 4 |
| R3 | <i>Lessons and good practices for improving fisheries governance and marine and coastal spatial planning have been shared with key stakeholders within each country, between both countries, and with global IFC partners.</i> | 1 | 1 | Number of monthly visits (annual average) registered in the network of electronic platforms used to disseminate learning and good practices of the project | This indicator is not to measure a result (whose statement is not a result either). The fact that there are visits to the website does not mean that this knowledge is being applied to replicate/scale the experience (this is to improve governance and instruments in locations and sectors other than the project). It is also not an easy indicator to measure, because it must be checked that the visit has been used to replicate/scale. | Not for a result | Regular | Yes, for a product | No | Yes | Example: Number of areas under governance and planning schemes that use the experience, instruments and lessons learned from the project. |

Analysis of the new Prodoc indicators

| N° | Objective/Result | Old indicator | New indicator | Comment |
|-----|--|---|--|--|
| O.1 | Demonstrate holistic ecosystem-based management and improved governance in coastal fisheries in the Southeast Pacific | Number of fisheries with new or improved management regimes (e.g., better governance, co-management, secure tenure or access rights regimes). | Coastal fisheries in the South-East Pacific that have developed the enabling conditions necessary to achieve governance based on rights, spatial planning tools and knowledge transfer processes | Any GEF project has an environmental objective, in this case the conservation of the coastal marine BD. The goal of governance is a development goal by which the goal of conservation is reached. The indicator still does not define the concept of "enabling conditions". |
| O.1 | Demonstrate holistic ecosystem-based management and improved governance in coastal fisheries in the Southeast Pacific. | Percentage of landings included in new or improved management regimes. | Percentage of landings from active processes involving women, men and competent authorities in new or improved governance systems | The new indicator is improving, but ambiguity about the origin of fishing remains. It would have been more precise to define what is fishing from the pilot sites, which would clarify that it is not the entire fishery of any particular species. |
| O.1 | Demonstrate holistic ecosystem-based management and improved governance in coastal fisheries in the Southeast Pacific. | Number of people (men and women, by nationality) benefiting from strengthened livelihoods through solutions to improve fisheries management. | Key actors (institutional, men and women, by nationality) that have been favored by the enabling conditions developed by the CFI-AL project, to generate social (rights-based), economic and environmentally sustainable benefits | The problem with this indicator is that it is still a product indicator, and it is also ambiguous and does not define what is meant by "social benefits". On the other hand, that they have been favored by "the enabling conditions", does not imply that there has been a change in their quality of life. The measure used does not correspond and the measurement method is absent, since it should be done by surveys, improvements in socialization, organization and income, for example. |
| A1 | Enhanced enabling conditions for governance of seven coastal fisheries in Ecuador and Peru | Number of new or improved instruments to strengthen the governance of coastal fisheries in Ecuador and Peru. | Degree of implementation of actions prioritized by the IFC within the framework of the (new or modified) instruments of governance of coastal fisheries in Ecuador and Peru, in consideration of sustainability guidelines and gender approach | This new indicator is SMART, as it puts the focus on what is being implemented. It would have been better to specify that the actions are those implemented in the pilot projects, since the plans referred to are national and provincial, while what is actually executed responds to a smaller portion of each fishery. |
| A1 | Enhanced enabling conditions for governance of seven coastal fisheries in Ecuador and Peru | Number of people (men and women, by nationality) who have had training (formal, non-formal and on-the-job) on key issues of improved fisheries governance and sustainable fisheries management. | Key actors (institutions, men and women by nationality) participating in Communities of Practice and Governance Systems of the coastal fisheries of the Southeast Pacific of Ecuador and Peru, who have started their implementation process | This is a SMART indicator. However, the concept of "communities of practice" is not clear. The Prodoc and this indicator stipulate to all the actors, which in strict rigor should be authorities, private, fishermen, guilds, etc. However, apparently the concept is aimed exclusively at fishermen and their guilds. |
| A1 | Enhanced enabling conditions for governance of seven | Number and area (ha) of marine and coastal protected areas with formal | Number and area of coastal marine protected areas and other conservation modalities of Ecuador and Peru, under processes of implementation of formal participatory | This indicator is more correct, however, it would be more accurate to indicate that the implementation would come from pilot sites whose scope is limited. |

| N° | Objective/Result | Old indicator | New indicator | Comment |
|-----------|---|--|--|--|
| | coastal fisheries in Ecuador and Peru | participatory fisheries governance schemes. | governance systems, for the sustainability of coastal fisheries in the Southeast Pacific | |
| R2 | Enhanced enabling conditions for marine and coastal spatial planning in Ecuador and Peru | Area (ha) under marine and coastal spatial planning processes in each country | Coastal marine surface of Ecuador and Peru under spatial planning processes and formal governance platforms, based on information from the Ocean Health Index and the Real-time Monitoring and Evaluation System of the enabling conditions promoted by the CFI-AL project | This indicator seems to be a derivation of the previous one, to which the PEMC is added. The relationship between PEMC and IoT doesn't seem like a straightforward thing (you can have P MEC without having IdSo), and the real-time M&E system doesn't seem clear what it consists of, since the enabling conditions are not clearly defined. |
| R2 | Enhanced enabling conditions for marine and coastal spatial planning in Ecuador and Peru | Area (ha) of marine and coastal protected areas included in marine spatial planning processes in each country | Area of Coastal Marine Protected Areas and other conservation modalities of Ecuador and Peru under spatial planning processes and formal governance platforms, based on information from the Ocean Health Index and the Real-time Monitoring and Evaluation System of the enabling conditions promoted by the CFI-AL project. | See previous comment |
| R2 | Enhanced enabling conditions for marine and coastal spatial planning in Ecuador and Peru | Number of people (men and women, by nationality) who have had training (formal, non-formal and on-the-job) in methods and tools for marine and coastal spatial planning and the calculation and use of the Ocean Health Index. | Key actors (institutions, men and women by nationality) that participate and take action in PEMC and IDSO processes, generate information and feed the real-time monitoring and evaluation system of the enabling conditions promoted by the CFI-AL project | See previous comment |
| R3 | Lessons and good practices for improving fisheries governance and marine and coastal spatial planning have been shared with key stakeholders within each country, between both countries, and with global IFC partners. | Number of people (men and women, by nationality) who have participated in events to disseminate lessons and good practices (e.g., workshops, study tours, seminars, IWC) | Key actors (institutions, men and women by nationality) that after participating in knowledge transfer processes, have achieved improvements (changes) in: (i) Performance of their fishing activities and practices within the value chain; and (ii) Development and implementation of improved fisheries governance mechanisms | This is a SMART indicator. |
| R3 | Lessons and good practices for improving fisheries governance and marine and coastal spatial planning have been shared with key stakeholders within each country, between both countries, and with global IFC partners. | Number of monthly visits (annual average) registered in the network of electronic platforms used to disseminate learning and good practices of the project | Number of fisheries institutions and organizations that, after participating in knowledge transfer processes, designate gender focal points in institutionalized governance systems and value chains of fisheries resources | This is a SMART indicator. |

| <i>N°</i> | <i>Objective/Result</i> | <i>Old indicator</i> | <i>New indicator</i> | <i>Comment</i> |
|-----------|---|------------------------|---|---|
| R3 | Lessons and good practices for improving fisheries governance and marine and coastal spatial planning have been shared with key stakeholders within each country, between both countries, and with global IFC partners. | There was no indicator | Number of women achieving better conditions of economic autonomy, after participating in knowledge transfer processes | Doesn't it seem appropriate, how is this economic autonomy measured? (income, jobs) |

Analysis of achievement of the Project's outputs

| Result | Approach Result | Country | Id | Associated products | Achievements reported | Evaluative comment |
|--------|--|---------|-----|--|---|--|
| A1 | Enhanced enabling conditions for governance of seven coastal fisheries in Ecuador and Peru | Ecuador | 1.1 | Ecuador's Dorado National Action Plan (PAN) Improved and Updated with Strengthened Governance Arrangements | <p>This product is reported as achieved, by virtue of 3 prioritized actions (monitoring, governance and traceability), because the golden PAN 2019-2024 has been approved by executive agreement and the monitoring and traceability pilots were carried out. Monitoring: a new system was designed based on workshops held with the actors of the sector (authorities and fisheries). In 2020, due to the pandemic, training workshops were held in virtual format between 2020-2021. Governance: A dialogue table scheme, a scientific advisory committee, a plenary was constituted. The private and public sector (SRP, VAP, IPAIP, UNDP) were involved. This governance scheme was validated and piloted and approved by the SRP, but the draft ministerial agreement for sector-wide application has not yet been approved. Traceability: it was implemented with the company Shellcatch, the virtual monitoring technology (cameras), electronic logs, e-reporting and link with smart tag that guarantees the traceability of the sea to the processing plant. The technical proposal to implement this system was presented to the SRP, which has not yet formalized the system to be applied on a larger scale.</p> | <p>At the product level, it is considered a partial achievement, as the IFC-LA has provided the country with a basis to improve the governance and control of the dorado fishery. But unfortunately the governance scheme has not been ratified as a ministerial agreement, another legal instrument required by Prodoc. At the level of outcome, progress reports and interviews indicate a low level of ownership by the main authorities responsible for the implementation of the NAP (SRP, IAP), since they have not formally approved the governance schemes, traceability and monitoring for larger-scale application. On the side of industrial and artisanal fishermen, there is consensus that these schemes need to be implemented. Regarding the latter, an agreement was signed between the industrial fishing companies and WWF to give continuity to the action plan of the FIP, resulting in the consortium of dorado exporting companies of Ecuador founding the NGO "Mahi Mahi Conservation", and commissioned to develop an action plan for the new phase of the Golden FIP. This action plan is fundamentally based on giving continuity to all the processes that the CFI-LA project initiated.</p> |

| <i>Result</i> | <i>Approach Result</i> | <i>Country</i> | <i>Id</i> | <i>Associated products</i> | <i>Achievements reported</i> | <i>Evaluative comment</i> |
|---------------|--|----------------|-----------|---|---|---|
| A1 | Enhanced enabling conditions for governance of seven coastal fisheries in Ecuador and Peru | Ecuador | 1.2 | Ecuador's ointment PAN improved and updated with strengthened governance arrangements | <p>This product is reported as achieved, by virtue of 3 prioritized actions (monitoring, governance and traceability). In 2020, a new ministerial agreement was published to regulate artisanal fishing with bag nets. In addition, a collaboration agreement was signed between FENACOPEC, 22 artisanal fishing associations and cooperatives of the Gulf of Guayaquil and WWF, with the objective of articulating actions to comply with the management plan for this fishery, establishing a fund of USD100 per month per cooperative to give financial sustainability to this effort once the CFI-LA is finished. Also by ministerial agreement, the artisanal fishery is formalized in June 2021, while the PAN ointment was approved in Nov.2021 (Official Letter No. MPCEIP-SRP-2021-2090-O). Governance: It was possible for industrial and artisanal fishermen to participate in a dialogue table and the installation of an inter-institutional technical committee for ointment shrimp, because both sectors are interested in the development of a governance scheme similar to that of the dorado fishery and the elaboration of a NAP for this fishery. Monitoring: a methodological instruction was designed to be used by fishermen, IPIAP and SRP and a fishery management process was implemented through updating the fisheries census and establishing fishing areas and characterizing accompanying fauna. The participatory monitoring method was also included in the ministerial agreement. Traceability: COMEX approved the tariff opening for ointment shrimp, which would improve the traceability of the product. In 2018, the use of a technological tool for ointment shrimp fishing registration was approved by ministerial agreement, but it did not prosper due to the lack of control and compliance with the regulations. In 2021, together with the company Shellcatch, IPIAP and SRP develop a digital traceability tool that was tested only by artisanal fishermen, because the industrial sector did not participate in the experience. This system still needs to be further developed, so there is no regulation requiring its implementation for all ointment shrimp fishing.</p> <p>However, the shrimp industry signed a new agreement between several companies and shipowners to promote a basic FIP of shrimp ointment (titi shrimp FIP agreement and Ecuador titi shrimp FIP workplan 2020-2024). These documents present objectives and activities that are based on the new version of the current PAN Pomada and present a commitment to continuity of actions initiated by the project.</p> | At the product level, it is considered a partial achievement, since the CFI-LA has provided the country with a basis to improve the governance and control of the dorado fishery, in addition to the approval of the PAN Ointment. However, official approval of the participatory monitoring and reporting procedures and governance scheme, which still need further work once the project is completed, would be lacking. On the industry side, there is greater involvement, due to the agreements to develop a basic FIP for this fishery. |

| <i>Result</i> | <i>Approach Result</i> | <i>Country</i> | <i>Id</i> | <i>Associated products</i> | <i>Achievements reported</i> | <i>Evaluative comment</i> |
|---------------|--|----------------|-----------|---|---|---|
| A1 | Enhanced enabling conditions for governance of seven coastal fisheries in Ecuador and Peru | Ecuador | 1.3 | New provincial action plan for shell in Ecuador | <p>This product is reported as achieved, by virtue of 3 prioritized actions (monitoring, governance and traceability). The El Oro PAP was approved by ministerial agreement in June 2021. Monitoring: IPAP worked on the design and implementation of a monitoring guide, with control of the filling out of fishing records and biological monitoring forms carried out by the fishing associations of the Jambeli archipelago, who were also trained in its use and application. Governance: The coalition of shell middens of the Gulf of Guayaquil was formed, a governance structure that allows the representation of the organizations of the sector for the management of the fishery in conjunction with the Undersecretariat of Fisheries and the IPIAP. A governance draft was prepared with statutes approved by the Min aquaculture and fisheries, in addition to another draft provincial ordinance still in the process of approval. Traceability: no data Research: This experience system was carried out with the company Concept Azul S.A. (in Jaramijó) and a surveillance system was implemented for the fattening of shell seeds with the communities.</p> | At the product level, it is considered partially achieved, since the CFI-LA has provided the country with a basis to improve the governance, participation and control of the prieta shell fishery in Ecuador, in addition to the approval of the PAP for El Oro shell. However, the mandatory monitoring and governance system for this fishery is still pending legal approval. |
| A1 | Enhanced enabling conditions for governance of seven coastal fisheries in Ecuador and Peru | Ecuador | 1.4 | New provincial action plan for crab in Ecuador | <p>This product is reported as achieved, by virtue of 3 prioritized actions (monitoring, governance and traceability). The PAN for the crab was approved by ministerial agreement in June 2021 and in addition the CFI-LA reactivated the coalition of crabs of the Gulf of Guayaquil and worked with the SMC and SRP for the preparation of the PAN. Monitoring: It is not clear that a system has been approved for this fishery, because there are weaknesses in the control of its implementation by both the IPIAP and the crabs themselves. However, since April 2021, the SRP established the obligation of participatory monitoring for crab. Governance: The coalition of crabs of the Gulf of Guayaquil was formed, a governance structure that allows the representation of the organizations of the sector for the management of the fishery in conjunction with the Undersecretariat of Fisheries and the IPIAP. There is no reported draft governance for this fishery. Traceability: No information is provided on the application of a traceability system for this fishery, apparently it will be formulated in the future through PAN. Research: No details are given of how this area will be implemented within the PAN.</p> <p>In October 2022, a meeting was held between the SRP and the users of the red crab fishery, where CI participated, where commitments were made to implement the PAN and the system and which include topics convening a technical table, strengthening and training of fisheries inspectors and meetings between the SRP and the Union of Artisanal Fishing Organizations of the Province of El Oro (UOPPAO) to address the issues of the red crab fishery in this province.</p> | At the product level, it is considered partially achieved, since the CFI-LA has provided the country with a basis to improve the governance, participation and control of the crab fishery in Ecuador, in addition to the official approval of the PAN. However, the approval and implementation of the IPIAP responsibility monitoring system (to which adjustments must be made) and governance for this fishery, where the SRP would be the entity responsible for executing it, is still pending. |

| <i>Result</i> | <i>Approach Result</i> | <i>Country</i> | <i>Id</i> | <i>Associated products</i> | <i>Achievements reported</i> | <i>Evaluative comment</i> |
|---------------|--|----------------|-----------|--|--|---|
| A1 | Enhanced enabling conditions for governance of seven coastal fisheries in Ecuador and Peru | Ecuador | 1.5 | New tuna with rod PAN in Ecuador | <p>This product is reported as achieved, by virtue of 3 prioritized actions (monitoring, governance and traceability). The SRP approved in 2020 the PAN for tuna fishing withrod and also the CFI-LA supported the formalization of the cooperative of sugarcane growers of Manta. This work was done in conjunction with the SRP, IPIAP and the sugarcane cooperative. Monitoring: in 2019 the Tuna PAN was approved, where participatory monitoring, traceability, quality control and handling systems on board were developed. These procedures were evaluated during the Fair Trade audit that certified the sugarcane growers of Manta.Governance: The PAN contains governance aspects aimed at creating normative and regulatory frameworks and their relationship with the community and authorities. Traceability: you have a system that was audited by Fair Trade.</p> | It is considered that this product has been achieved and that it also integrates the tuna fishery with rod in the international value chain, thanks to the Fair Trade certification. On the other hand, a fishery that was not regulated in the country is formalized, an organization of sugarcane growers was created and strengthened in Manta and also the plan identifies certain aspects of governance and conflict with other fisheries. |
| A1 | Enhanced enabling conditions for governance of seven coastal fisheries in Ecuador and Peru | Peru | 1.6 | Updated handling arrangements for shell and crab in Peru | <p>This product is reported as achieved, by virtue of 3 prioritized actions (monitoring, governance and traceability). This work was carried out with the Mangroves Consortium of Northwest Peru (Tumbes), SENANP, the priority local governments of Zarumilla and Aguas Verde and GORE of Tumbes. Efforts were also made to improve the capacity of artisanal fishers through the development of business plans and the installation of a small plant for the processing, freezing and conservation of hydrobiological resources. On the other hand, technical assistance was provided to fishermen's organizations through promoters who provided technical assistance, who managed to submit applications for emergency credits from FONDEPES. Monitoring: pilot tests were carried out with the company INCABIOTEC for the transport, conditioning and fattening of black shell seeds in the mangrove and Chalaquera Island. A monitoring pilot for black shell was carried out, but the experience did not give the desired results, due to climatic conditions that prevented the spawning and reproduction of black shell. Governance: the "Technical Table of Benthic Resources of the National Sanctuary Los Manglares de Tumbes and its Buffer and Influence Zone" was officially established, in which 12 institutions participate. The Binational Development Plan for the Peru-Ecuador Border Region was also integrated into this table. PRODUCE approved the Fisheries Management Regulation (ROP) of benthic marine invertebrate resources, which is being implemented with support from the CFI-LA. Traceability: A web application was developed and implemented for traceability of black shell productionStrengthening: SERNANP in conjunction with the consortium, GORE Tumbes and local authorities identified the sources of contamination of estuaries and established mitigation strategies. Training was also held on control and surveillance, tourism management and organization.</p> | It is considered that this product has been achieved and also incorporates considerable improvements in the management systems of the DIREPRO of Piura and Tumbes, which reinforce the control capacities of these institutions and improve the management conditions of artisanal fishermen in their ability to add value to their products. |

| <i>Result</i> | <i>Approach Result</i> | <i>Country</i> | <i>Id</i> | <i>Associated products</i> | <i>Achievements reported</i> | <i>Evaluative comment</i> |
|---------------|--|----------------|-----------|---|--|---|
| A1 | Enhanced enabling conditions for governance of seven coastal fisheries in Ecuador and Peru | Peru | 1.7 | Strategic plan to strengthen fisheries governance and management in Peru's regional governments | This product is reported as achieved, since PRODUCE approved the Fisheries Management Regulation (ROP) of benthic marine invertebrate resources, which is being implemented with support from the CFI-LA. This work was carried out with the GORE of Piura and Tumbes. Control and surveillance actions were carried out in coordination with the PNP, SERNANP, PRODUCE and the Prosecutor's Office specialized in environmental matters using the SMART tool. PRODUCE approved the Fisheries Management Regulation (ROP) of benthic marine invertebrate resources, which is being implemented with support from the CFI-LA, while the CFI-LA implemented a computer system for the management of Direpros de Tumbes and Piura. Strengthening: training workshops were held for the use of the SMART digital tool for monitoring and reporting for the GORE of Tumbes and Piura. Training was also held on control and surveillance, tourism management and organization. In addition, the Direpro of Tumbes and Piura were strengthened with training and the delivery of equipment and tools to improve fisheries control (minimum catch size and closures). It was also implemented - in cooperation with WWF-Peru - the TrazApp application for DIREPRO control actions, and the development of a module for the control of shell and crab fisheries. Also, the implementation of a virtual diploma course aimed at the formulation and management of public investment projects in biological diversity for the conservation of natural infrastructure in the marine-coastal environment and improvement of fisheries and aquaculture aimed at professionals of the GORE of Tumbes and Piura began, which has been very well received by the professionals of the GORE of Piura and Tumbes. | This product is considered to be complied with. The country has its ROP approved and the regional authorities have implements, technology and processes that will improve their work of registration, control, control and reporting. |
| R2 | Enhanced enabling conditions for marine and coastal spatial planning in Ecuador and Peru | Ecuador | 2.1 | Marine and coastal spatial plan for the northern Gulf of Guayaquil (Ecuador) | This product is reported as 100% compliant. A proposal for PEMC of the Gulf of Guayaquil validated by the GAD of Guayas was prepared. An advocacy group with representatives from 20 key institutions, including GADs and other local authorities and ministries was formed to lead the participatory PEMC process based on NOAA's methodology. 53 officials from participating institutions with spatial planning mandates in their territories were trained: (i) Puntilla de Santa Elena Fauna Production Reserve 52,435 ha; ii) Playas de Villamil National Recreation Area 2,478.12 ha; iii) El Morro Mangrove Wildlife Refuge 10,130.20 ha. (Only the sector of Santa Elena where the ISdO calculation was made is considered). From the experience obtained in the process, the document "Marine and Coastal Spatial Planning, Case Study: The North of the Gulf of Guayaquil" and a methodological guide for the PEMC were prepared. | This output is considered as a partial achievement, as there was a goal of training 10 trainers and 200 people. Beyond the numbers, the high turnover of officials has caused these capacities to be lost in the public sector. In addition, the plan for the Gulf of Guayaquil has not been approved by the GAD of Guayas, so its implementation is still on hold. |

| <i>Result</i> | <i>Approach Result</i> | <i>Country</i> | <i>Id</i> | <i>Associated products</i> | <i>Achievements reported</i> | <i>Evaluative comment</i> |
|---------------|--|----------------|-----------|--|---|---|
| R2 | Enhanced enabling conditions for marine and coastal spatial planning in Ecuador and Peru | Peru | 2.2 | Coastal Marine Space Plan for Sechura Bay (Peru) | This product is reported as achieved. The MIMAN DGOTA developed a spatial planning methodology and generated automated systems for the PEMC, in addition to a disaster risk analysis methodology called IRNAMAR applied to the Bay of Sechura. Se also worked with 3 local management committees (RAMSAR sites of San Pedro de Vice and Virrilá, the Illescas National Reserve), and achieved the recognition of the negritos area as an area of natural interest (Piura). which has been categorized as ACA. It was possible to develop the management plans for these 3 sites, which are integrated into the process of preparing the PEMC of Sechura Bay. The PEMC for Sechura Bay was approved by the local committee in May 2019. The project strengthened the capacities of GORE and local authorities in the formulation of biodiversity management and conservation projects that can be presented and approved by public investment funds, in addition to making investments in priority actions in the participating municipalities (R&R solid waste pilot, application development SITRAMOVIL for declaration of fan shell for SANIPES). Work is also being done with MINAM's DGOTA to develop guidelines from PEMC to national level. | It can be said that this product is fulfilled, the country has improved infrastructure and methodologies to carry out an orderly and sustainable management for its marine-coastal spaces. |
| R2 | Enhanced enabling conditions for marine and coastal spatial planning in Ecuador and Peru | Binational | 2.3 | Lessons on the use of the Ocean Health Index in Ecuador and Peru | It is worth mentioning that the IdSo was calculated for the Gulf of Guayaquil (Ecuador) and for the Bay of Sechura (Peru) as part of the PEMC experience in both countries. To achieve this result, public officials and local organizations were trained in the use and understanding of the application of this index. In Peru, this method was validated with the Specialized Technical Group for IdSO Estimation of COMUMA and the Local Management Committee of Sechura. In Ecuador, work was done with the GADs of the Provincial Prefectures of Manabí, Santa Elena (they committed to adopt the IdSo) and Guayas (the latter committed to formally adopt the PEMC). In Ecuador, the instruments developed were shared with the Intersectoral Commission of the Sea (CIM). However, within the reviewed documentation there is no report on lessons learned from this process in both countries, there is only a document of general dissemination on the experience of the project as a whole. | It can be said that this product is partially implemented, since the lessons learned from the experience have not been systematized for this case, there being only one document "Fishing experiences on the coasts of Latin America", whose content is mostly descriptive and testimonial aimed at a general public and which compiles the activities carried out by the project as a whole. It does not address in depth the strengths and challenges, both political, technical, financing and social on the implementation of an IdSo system in each country, which is what would be expected from a systematized document that supports the decision-making of the actors involved. On the other hand, the country has improved infrastructure and methodologies to carry out an orderly and sustainable management for its marine-coastal spaces and can calculate the IdSo for monitoring the condition of the sea and take the corresponding measures. |

| <i>Result</i> | <i>Approach Result</i> | <i>Country</i> | <i>Id</i> | <i>Associated products</i> | <i>Achievements reported</i> | <i>Evaluative comment</i> |
|---------------|---|----------------|-----------|--|--|--|
| R3 | Lessons and good practices for improving fisheries governance and marine and coastal spatial planning have been shared with key stakeholders within each country, between both countries, and with global IFC partners. | Binational | 3.1 | Electronic platform to facilitate communication between key actors and disseminate lessons and good practices. | <p>The Product is reported as achieved and exceeds Prodoc's goals (in terms of participating individuals and institutions). The project established a website to disseminate the experience with the general public and specialists and officials in charge of marine-coastal issues in Peru and Ecuador. At the same time, regional and local governments in Peru were strengthened to allow the use of online communications and the automation of control tasks and reports of the authorities and users of the system, so it has been important to obtain more reliable information on catches and sizes of the species selected by the project. A gender strategy was also developed, which could not be fully implemented due to the limited time remaining in the project. Communication and awareness strategies were also implemented for different audiences (general, officials and authorities, community organizations). In this process, a very large series of technical guides, documentary dissemination videos, press releases, etc.) were developed. in both countries. In addition, activities were carried out to exchange experiences between officials and fishermen's organizations between the two countries. At the time of the ET, there are the reports of the systematization of the lessons learned from the project and the exit strategy of the project. With regard to the first, the document "Fishing experiences on the coasts of Latin America" was prepared, whose content is mostly descriptive and testimonial aimed at a general public and which compiles the activities carried out by the project as a whole. On the other hand, this component included the implementation of the Fisheries Performance Evaluation Instrument (FPAl), which is critical for policy adoption in both countries. From the documentation reviewed and interviews, it is concluded that only the stage of training actors was reached.</p> <p>Finally, it is not clear the mechanism by which the experience of the project will be shared with CFI-Global.</p> | <p>The achievement of this output is considered to be accomplished, but the exit strategy needs to be strengthened in terms of better clarifying its objectives, stakeholder commitments and defining a roadmap.</p> <p>On the other hand, it should be mentioned that important activities specified in Prodoc could not be completed (FPAl) and that the systematization of the project experience and its exchange with the umbrella project are not well defined, because their implementation was the responsibility of a third party (the CFI-Global), so the evaluator considered it fair not to include them both in the qualification and in the achievements of the project.</p> |
| R3 | Lessons and good practices for improving fisheries governance and marine and coastal spatial planning have been shared with key stakeholders within each country, between both | Binational | 3.2 | Disseminated document of lessons learned and best practices. | The project informs that this systematization document is in the process of being prepared | Partially achieved product. So far, there is no evidence or draft of the aforementioned document. |

| <i>Result</i> | <i>Approach Result</i> | <i>Country</i> | <i>Id</i> | <i>Associated products</i> | <i>Achievements reported</i> | <i>Evaluative comment</i> |
|---------------|---|----------------|-----------|--|--|--|
| | countries, and with global IFC partners. | | | | | |
| R3 | Lessons and good practices for improving fisheries governance and marine and coastal spatial planning have been shared with key stakeholders within each country, between both countries, and with global IFC partners. | Bination al | 3.3 | Documented and disseminated experience. and FPAI | No progress is reported with this product. | <p>Product not achieved: This product was the responsibility of CFI-Global and not the project, so it is not considered within the qualification for the achievement of results and products.</p> <p>Despite being key to evaluating the performance of the intervened fisheries, both from the environmental, social and economic point of view, there are no reports of activities or a justification for their elimination from the project. In addition, training guides and materials, as well as a lessons learned document on this specific experience, should have been developed.</p> |

| <i>Result</i> | <i>Approach Result</i> | <i>Country</i> | <i>Id</i> | <i>Associated products</i> | <i>Achievements reported</i> | <i>Evaluative comment</i> |
|---------------|---|----------------|-----------|---|--|---|
| R3 | Lessons and good practices for improving fisheries governance and marine and coastal spatial planning have been shared with key stakeholders within each country, between both countries, and with global IFC partners. | Bination al | 3.4 | Women who achieve better conditions of economic autonomy, after participating in knowledge transfer processes | This product is reported as achieved. This product did not exist in Prodoc and is a reflection of a good adaptive management of the project, since it relieved the role of women in the leadership of their community organizations and in the family economy by being able to access financing that allowed them to generate various ventures that meant obtaining a greater income and training opportunities in small business management. This type of community organization is called UNICAS, which consists of a group of women and men generating a small seed capital that allows them to grant loans with a low interest rate to their associates, where at the end of each year the uses can be distributed among the partners. At the time of the final evaluation, the UNICAS have been a success story for the project, since 33 UNICAS had already been formed in the areas of intervention of the project in Peru (12 in Tumbes and 21 in Piura), benefiting a total of 137 people (74% women), to which the benefit should be added to their respective family groups, So the impact on people's lives is immediate. It is worth mentioning that previously these people only had access to informal credit with rates that exceeded 20%-30% per month, while the credits granted between the partners range between 3%-10% per month, which are paid on time so there is no delinquency under this financing scheme. The seed capital ranged between 500-3,000 soles, but after a year, the UNICAS have accumulated funds between 2,000 - 5,000 soles. | This is considered to be a key achievement of the project, as it integrates gender issues, improved living conditions and increased self-esteem and ability to undertake independently. |

Annex 11: Rating scale used

| Rating | Description |
|------------------------------------|--|
| 6 = Highly Satisfactory (HS) | Level of outcomes achieved clearly exceeds expectations and/or there were no shortcomings |
| 5 = Satisfactory (S) | Level of outcomes achieved was as expected and/or there were no or minor shortcomings |
| 4 = Moderately Satisfactory (MS) | Level of outcomes achieved more or less as expected and/or there were moderate shortcomings. |
| 3 = Moderately Unsatisfactory (MU) | Level of outcomes achieved somewhat lower than expected and/or there were significant shortcomings |
| 2 = Unsatisfactory (U) | Level of outcomes achieved substantially lower than expected and/or there were major shortcomings. |
| 1 = Highly Unsatisfactory (HU) | Only a negligible level of outcomes achieved and/or there were severe shortcomings |
| Unable to Assess (UA) | The available information does not allow an assessment of the level of outcome achievements |

Table 16. Sustainability Ratings Scale

| Ratings | Description |
|------------------------------|--|
| 4 = Likely (L) | There are little or no risks to sustainability |
| 3 = Moderately Likely (ML) | There are moderate risks to sustainability |
| 2 = Moderately Unlikely (MU) | There are significant risks to sustainability |
| 1 = Unlikely (U) | There are severe risks to sustainability |
| Unable to Assess (UA) | Unable to assess the expected incidence and magnitude of risks to sustainability |