



GEF-6 REQUEST FOR PROJECT ENDORSEMENT/APPROVAL

PROJECT TYPE: FULL SIZE PROJECT

TYPE OF TRUST FUND: GEF TRUST FUND

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PART I: PROJECT INFORMATION

Project Title: Coastal Fisheries Initiative – Latin America			
Country(ies):	Ecuador and Peru	GEF Project ID: ¹	9124
GEF Agency(ies):	UNDP	GEF Agency Project ID:	5573
Other Executing Partner(s):	Government of Ecuador, Government of Peru, Conservation International, WWF	Submission Date: Resubmission Date: Resubmission Date: Resubmission Date:	19 May 2016 29 June 2016 14 Sept. 2016 21 Nov 2016
GEF Focal Area (s):	International Waters, Biodiversity	Project Duration (Months)	48
Integrated Approach Pilot	IAP-Cities <input type="checkbox"/> IAP-Commodities <input type="checkbox"/> IAP-Food Security <input type="checkbox"/>	Corporate Program: SGP <input type="checkbox"/>	
Name of Parent Program	Coastal Fisheries Initiative	Agency Fee (\$)	593,009

A. FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES²

Focal Area Objectives/Programs	Focal Area Outcomes	Trust Fund	(in \$)	
			GEF Project Financing	Co-financing
IW-3 Program 7	Outcome 7.1: Introduction of sustainable fishing practices into 0.03% of globally over-exploited fisheries	GEFTF	6,130,275	61,620,821
BD-4 Program 9	Outcome 9.2 Sector policies and regulatory frameworks incorporate biodiversity considerations.	GEFTF	458,716	3,942,068
Total project costs			6,588,991	65,562,889

B. PROJECT DESCRIPTION SUMMARY

Project Objective: To demonstrate holistic, ecosystem-based management and improved governance of coastal fisheries in the South-East Pacific.

Project Components/Programs	Financing Type ³	Project Outcomes	Project Outputs	Trust Fund	(in \$)	
					GEF Project Financing	Confirmed Co-financing
Enhancing and	TA	Outcome 1. Improved	Output 1.1. Improved	GEFTF	2,881,400	24,344,665

¹ Project ID number remains the same as the assigned PIF number.

² When completing Table A, refer to the excerpts on [GEF 6 Results Frameworks for GETF, LDCF and SCCF](#).

³ Financing type can be either investment or technical assistance.

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Project Components/ Programs	Financing Type ³	Project Outcomes	Project Outputs	Trust Fund	(in \$)	
					GEF Project Financing	Confirmed Co-financing
strengthening the capacity of key stakeholders for improved fisheries governance of coastal fisheries		enabling conditions for fisheries governance in several coastal fisheries of Ecuador and Peru	<p>and updated Ecuador's National Action Plan (PAN) for dorado with strengthened governance arrangements</p> <p>Output 1.2. Improved and updated Ecuador's PAN pomada with strengthened governance arrangements</p> <p>Output 1.3. New Ecuador's provincial action plan for concha</p> <p>Output 1.4. New Ecuador's PAN cangrejo</p> <p>Output 1.5. New Ecuador's PAN pole and line tuna</p> <p>Output 1.6. Updated management arrangements for concha and cangrejo in Peru</p> <p>Output 1.7. Strategic plan to strengthen fisheries governance and management in regional governments of Peru</p>			
Component 2. Test methods and tools for coastal and marine spatial planning	TA	Outcome 2. Improved enabling conditions for coastal and marine spatial planning in Ecuador and Peru.	<p>Output 2.1. Marine and coastal spatial plan for the northern Gulf of Guayaquil (Ecuador)</p> <p>Output 2.2. Marine and coastal spatial plan for Sechura bay (Peru)</p> <p>Output 2.3. Lessons from the use of the Ocean Health Index in Ecuador and Peru</p>	GEFTF	1,561,400	23,179,833
Component 3. Knowledge Management	TA	Outcome 3. Lessons and best practice on improved fisheries	Output 3.1. Electronic platform to facilitate communication among	GEFTF	1,868,100	14,476,250

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Project Components/ Programs	Financing Type ³	Project Outcomes	Project Outputs	Trust Fund	(in \$)	
					GEF Project Financing	Confirmed Co-financing
and M&E		governance and coastal and marine spatial planning have been shared with stakeholders within each country, among both countries and with global partners of the CFI Programme.	stakeholders and dissemination of lessons and best practice Output 3.2. Lessons and best practice documented and disseminated Output 3.3. Experience with Fishery Performance Assessment documented and disseminated			
Subtotal					6,310,900	62,000,748
Project Management Cost (PMC) ⁴				GEFTF	278,091	3,562,141
Total project costs					6,588,991	65,562,889

C. CONFIRMED SOURCES OF CO-FINANCING FOR THE PROJECT BY NAME AND BY TYPE

Please include evidence for co-financing for the project with this form.

Sources of Co-financing	Name of Co-financier	Type of Cofinancing	Amount (\$)
CSO	International Pole & Line Foundation	In-kind	75,000
CSO	Conservation International	In-kind	64,894
CSO	Conservation International	Grant	1,234,548
Private sector	INCABIOTEC SAC	In-kind	200,000
Private sector	ASOEXPEBLA	In-kind	240,000
CSO	WWF Ecuador	In-kind	1,121,306
CSO	Naturaleza y Cultura Internacional	In-kind	300,000
Recipient Government	Gobierno Regional de Piura (Peru)	In-kind	37,874,305
Recipient Government	Gobierno Regional de Tumbes (Peru)	In-kind	10,000,000
Recipient Government	Ministry of Environment (Peru)	In-kind	3,852,836
Recipient Government	Ministry of Environment (Ecuador)	In-kind	10,000,000

⁴ For GEF Project Financing up to \$2 million, PMC could be up to 10% of the subtotal; above \$2 million, PMC could be up to 5% of the subtotal. PMC should be charged proportionately to focal areas based on focal area project financing amount in Table D below.

GEF agency	UNDP Ecuador	In-kind	100,000
GEF agency	UNDP Peru	In-kind	500,000
Total Co-financing			65,562,889

D. TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES) AND THE PROGRAMMING OF FUNDS

GEF Agency	Trust Fund	Country Name/Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee ^{a)} (b) ²	Total (c)=a+b
UNDP	GEF TF	Ecuador, Peru	International Waters	(select as applicable)	6,130,275	551,725	6,682,000
UNDP	GEF TF	Peru	Biodiversity	(select as applicable)	458,716	41,284	500,000
Total Grant Resources					6,588,991	593,009	7,182,000

a) Refer to the Fee Policy for GEF Partner Agencies

E. PROJECT'S TARGET CONTRIBUTIONS TO GLOBAL ENVIRONMENTAL BENEFITS⁵

Provide the expected project targets as appropriate.

Corporate Results	Replenishment Targets	Project Targets
1. Maintain globally significant biodiversity and the ecosystem goods and services that it provides to society	Improved management of landscapes and seascapes covering 300 million hectares	974,157 hectares
2. Promotion of collective management of transboundary water systems and implementation of the full range of policy, legal, and institutional reforms and investments contributing to sustainable use and maintenance of ecosystem services	Water-food-ecosystems security and conjunctive management of surface and groundwater in at least 10 freshwater basins;	Number of freshwater basins
	20% of globally over-exploited fisheries (by volume) moved to more sustainable levels	0.03 Percent of fisheries, by volume

PART II: PROJECT JUSTIFICATION

A. DESCRIBE ANY CHANGES IN ALIGNMENT WITH THE PROJECT DESIGN WITH THE ORIGINAL PIF⁶

A.1. Project Description.

The global environmental problem

Overfishing is a key global issue (ca., 30% of world stocks are overfished) caused by a number of factors, including the increasing seafood demand by a growing world population and weak governance. Coastal fisheries, here defined as all fisheries within Economic Exclusive Zones, include a very diverse range of activities like invertebrate collection on mangroves and seashores, baby trawlers for bubuk (i.e., small shrimp), and longline, gillnet and pole and line fishing in the open ocean. These fisheries are important because they produce ca., 95% of the global marine capture and are the main source of income and food security for developing countries.

Coastal fisheries are threatened by overfishing, pollution, unsustainable coastal development and climate change. A particular risk, relevant for the present project, is the limited capacity to manage small-scale and artisanal fisheries. The impact of this type of fisheries has been overlooked, mainly because there is very limited information about their characteristics and operation. These fisheries operate mainly in areas of high species richness like the continental shelf, coral reefs, rocky shores and estuaries. It is common that small-scale and artisanal fisheries have conflicts with other users of coastal and marine areas like oil and gas companies, tourist operators, mariculture farms, and coastal and marine protected areas. It is also recurrent to have intense conflicts with industrial fisheries and other small-scale and artisanal fishermen mainly for the access to fishing grounds and valued species.

To contribute addressing these global development challenges, the Coastal Fisheries Initiative Programme will be implemented. This CFI programme has three projects, in Indonesia, Latin America (this project) and West Africa, a technical assistance facility to develop a pipeline of investable projects (CFI Challenge Fund) and a mechanism for global coordination and knowledge management (Global Partnership Project).

⁵ Update the applicable indicators provided at PIF stage. Progress in programming against these targets for the projects per the *Corporate Results Framework* in the [GEF-6 Programming Directions](#), will be aggregated and reported during mid-term and at the conclusion of the replenishment period.

⁶ For questions A.1 –A.7 in Part II, if there are no changes since PIF, no need to respond, please enter “NA” after the respective question.

Alignment with Coastal Fisheries Initiative Programme

The CFI has been developed based on the recognition of the importance of coastal fisheries, the richness of initiatives and experiences in coastal fisheries but also that there is still no globally agreed solution to how to make them environmentally, economically and socially sustainable. Because many actors work independently from one another and because there is limited capacity in many countries, in particular developing countries, to analyse, coordinate and effectively steer various initiatives towards a similar outcome, there is a great need to improve collaboration and to identify and refine agreed best practices.

The Coastal Fisheries Initiative Programme is based on a partnership of six GEF agencies, and is formed by five inter-linked projects (called child projects) (**Error! Reference source not found.**). FAO is the lead agency that coordinates the programme and implements actions in collaboration with Conservation International (CI), UNDP, UNEP, World Bank (WB) and WWF. As a programme, consisting of five interlinked projects, the CFI will play an important role in catalysing greater collaboration and fostering knowledge sharing in coastal fisheries. The CFI will examine how different approaches work in different situations – at the same time as impact is generated on the ground – through its regional/national child projects and in bringing this new knowledge to the international arena to be examined, shared, understood and replicated, as appropriate. The programme will also examine existing initiatives and results generated by such programmes and projects with a view to identifying good (and bad) practices, including from ongoing Large Marine Ecosystem projects. The CFI will work towards a more harmonized view on what different approaches and concepts in coastal fisheries mean and can do and promote a more holistic process for an integrated perspective on sustainable management. This implies an integration of approaches and priorities in respect of sector-focused management, safeguarding of human well-being, biodiversity and ecosystem health, postharvest and value chain, and wealth and investments. The CFI as a programme will therefore deliver much more than just the sum of its projects; while individually, the projects will deliver valuable outputs in their geographies, aggregation of the knowledge gained from activities across a range of projects and contexts, together with the synthesis and dissemination of that knowledge, is something that can only be done at the global level, and thus the CFI is somewhat unique in this respect.

The CFI consists of five inter-linked projects that benefit from, and contribute, to each other to ensure a programme that is greater than the sum of its individual parts. At the core of the programme are three regional projects [i.e., West Africa (child 2 implemented by FAO in collaboration with UNEP), Latin America (child 1 implemented by UNDP in collaboration with CI and WWF) and Indonesia (child 3 implemented by WWF in collaboration with CI) – totalling six countries], which are structured to test and pilot frontier tools and approaches in these three geographies. Each regional project is tailored to its own regional context, and contains unique elements. For example, CFI-Indonesia will develop a trust fund, CFI-West Africa will address improvement of working conditions, and the present project in Latin America will conduct an Ocean Health Index assessment. There are also some similar or common elements such as (i) integrating “ecosystem based management” into fisheries policies, (ii) promoting marine protected areas, and (iii) furthering gender equality. The outcomes of these elements will be shared between projects, creating opportunities to learn from each other’s unique experiences as well as draw lessons across common elements – so that each project will benefit from, and contribute to, the other projects.

A key contribution from the present Latin America project will be to explore the strengthening of fisheries governance within the wider context of coastal and marine spatial management in Sechura bay (Peru) and the Gulf of Guayaquil (Ecuador). The use of coastal and marine spatial planning and the Ocean Health Index in support of participatory decision making, and the lessons from developing constructive multi-level dialogue and common agreements among key actors with competing uses in coastal and marine spaces, within an ecosystem approach, will be very valuable worldwide. In addition, the work on governance of invertebrates in mangrove areas (including the use of TURFs and operation within MPAs) could be of interest for the West Africa and Indonesia projects.

The three regional projects are supported by the Global Challenge Fund project (child 4 implemented by WB), which will provide technical assistance for the development of a pipeline of investable projects, while providing a platform for interested investors to engage early and adequately assess—and address—potential investment risks. The ultimate outcomes are private investments made in the fisheries of the three regions. The Challenge Fund will benefit the present project by providing access to technical assistance for developing investable projects and ties to potential investors.

There is interest from the stakeholders of three value chains to access support from the Challenge Fund (i.e., dorado / perico, pomada, pole and line tuna). At the same time, the present Latin America project will contribute to the Challenge Fund by providing local knowledge and context, including fisheries assessment information, of the seven target fisheries and the coastal fisheries of the Gulf of Guayaquil and northern Peru.

The Global Partnership Project (Child 5 implemented by FAO) will articulate the CFI (Figure 1). The Global Partnership Project is an umbrella project that provides the common platform for the Coastal Fisheries Initiative Programme. It will establish and support a Global Coordination Unit (GCU), a Global Steering Committee (GSC) and a Global Reference Group (GRG). The GCU will organise programme implementation, the GSC will provide strategic guidance to the programme, and the GRG will provide technical advice as needed.

The Global Partnership Project will: (1) ensure that the projects are working together as a program, (2) assess fisheries management performance (via the Fisheries Performance Assessment Instrument or FPAI), (3) conduct analyses of the four projects' outcomes and M&E activities, and (4) share knowledge within and beyond the CFI programme. The FPAI component of the Global Partnership Project will develop a methodology for fisheries assessments from a social, economic and environmental perspective specific to data poor contexts. It will be piloted in the three regions to consolidate the tool for wider dissemination globally. It will benefit the projects by providing access to the latest tool for assessing the status of their fisheries and the projects will contribute to FPA by serving as a testing ground for the tool. The present project will support (1) training of local personnel on FPA assessment, (2) FPA assessments of the seven target fisheries in years 1 and 4, and (3) FPA assessments of other coastal fisheries interested in applying to the Challenge Fund. In addition, the experience and lessons on using the FPA in Ecuador and Peru will be documented and analysed with key stakeholders.

Similarly, the Global Partnership Project (child 5) will play a key role in knowledge sharing and analyses of outputs and outcomes across the three regions and with coastal fisheries worldwide for the production of global knowledge products and coordination of dissemination mechanisms (e.g. list-serve, webinars, knowledge products, website, workshops, newsletters, blogs, stakeholder exchanges, conferences). Contributions from the other four projects will be critical to the success of this knowledge sharing. At the same time, the other four projects (childs 1 to 4) will benefit from learning about experiences from the other projects as noted earlier. Given the importance of M&E and knowledge sharing, for each project a total of 25% of funds have been allocated to these components, including 5-10% for M&E, 10-15% for knowledge sharing within the project and 10-15% for knowledge sharing with the program. In the present Latin America project, 28.35% of the total budget was allocated to M&E and knowledge sharing (i.e., component 3).

The present project will establish communities of practice as the backbone of the learning process. Knowledge will be shared through (1) an electronic platform (Figure 4) to be articulated with the global programme platform and IW:LEARN, (2) a set of in-person meetings and exchange meetings among key groups of Ecuador and Peru, (3) 12 learning experience documents to systematise and communicate the main project's experience, (4) participation in IWC and exchange visits with the West Africa and Indonesia projects.

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

The CFI Program is informed by the CFI Theory of Change, which identified a series of tiered building blocks critical to achieving the program's outcomes. The projects are expected to progress through these tiers starting with establishing necessary enabling conditions (Tier 1), which will lead to implementing changes in practices (Tier 2), achieving benefits to fisheries and stakeholders (Tier 3) and ultimately leading to system sustainability (Tier 4) (Figure 2).

This Theory of Change, therefore, provides a programme-level framework for the analysis of emerging challenges and learning across the various initiatives making up the CFI. The Program Results Framework builds upon the CFI ToC, specifically the Tier 1 enabling conditions, which are focused around conditions and incentives for stakeholders, institutions and collaboration. This project will contribute mostly to the first order tier of the CFI ToC by developing the enabling conditions to motivate change and generate initial modifications in coastal fisheries governance, and to generate lessons and experience to enrich the CFI initiative. The CFI ToC has a set of graduated indicators that will be appraised as part of the project's monitoring and evaluation strategy.

The CFI Programme Results Framework provides the structure that guides the 5 projects. In the first component, the CFI programme will promote sustainability incentives in the value chain addressing the need for correct incentives at the harvesting stage, including new or amended management regimes, reduction in post-harvest losses, implementation of private-public partnerships and development of innovative market incentive systems. In the second component, CFI will strengthen institutional structures and processes, including policy, legislation and institutions, including co-management and access rights regimes, and integrate MPAs into fisheries. Finally, as noted in the third component, CFI will share best practices, promote collaborate and strengthen fisheries performances measures and assessments.

The present project outcomes contribute to building and attaining the CFI outcomes and targets. Annex 17 maps the CFI programme results framework and the corresponding contribution from all projects.

In summary, this project will contribute to CFI’s first component by generating experience and lessons on strengthening governance in seven coastal fisheries (five in Ecuador and two in Peru). Also innovative value chain approaches will be developed through implementation of FIPs in the dorado and pole and line tuna fisheries (outputs 1.1 and 1.5) and traceability systems in the dorado, pomada, pole and line tuna, and concha negra. The project will contribute to the programme’s second component by addressing fisheries governance in a wider seascape-perspective. A holistic approach will be explored through participatory processes within the frameworks of coastal and marine spatial planning in the Gulf of Guayaquil and Sechura bay. Also, the project will explore the value of the Ocean Health Index to support decision making. This is the only project of the CFI that will explore in depth CMSP and OHI, therefore it is expected that the lessons will be useful to the West Africa and Indonesia projects. Finally, this project will contribute to CFI’s third component by developing a monitoring and knowledge sharing platform, aligned with the global programme, and systematically document and disseminate lessons and best practice. In addition, the FPA will be applied in the seven target fisheries, generating practical learning from a range of small-scale artisanal coastal fisheries.

With respect to the programme outcomes, key alignment elements are:

CFI programme expected outcomes	Contribution from the present project
<p>Outcome 1. The efficiency of and transparency in the fisheries value chain (from harvest to consumer) has been improved through appropriate incentive structures and contribute to sustainable resource utilization and equitable social and economic development.</p>	<p>Outcome 1 includes seven coastal fisheries with improved governance regimes and strengthening artisanal fisheries governance and management in two Peruvian Regional Governments. Also innovative value chain approaches will be developed through implementation of FIPs in the dorado and pole and line tuna fisheries (outputs 1.1 and 1.5) and traceability systems in the dorado, pomada, pole and line tuna, and concha negra (outputs 1.1, 1.2, 1.5, 1.6) (see Annexes 1 and 10).</p> <p>The experience with estuarine and mangrove fisheries could be useful for the CFI projects in West Africa and Indonesia, which also face the challenge to manage fisheries within these environments. Also, the development of a management plan for the Ecuadorian pole and line tuna fishery could be useful for the Indonesian project which will prepare a management plan for coastal tuna.</p>
<p>Outcome 2. Policies, legislation and institutions have been improved at local, national and regional levels allowing for enhanced resource management through integrated and holistic approaches that allow for effective incentive structures and that lead to more environmentally, economically and socially sustainable coastal fisheries.</p>	<p>Outcome 1 will aim to improve the governance arrangements and management instruments in seven fisheries. In addition, fisheries interaction with MPAs will be addressed from a fisheries-perspective in two areas (REMACH and SNLMT) (outputs 1.4 and 1.6) and from a seascape-perspective in the outer Gulf of Guayaquil and Sechura Bay (outcome 2) (see Annexes 1 and 10). Outcome 2 will also contribute to mainstream fisheries into broader management frameworks for coastal and marine spatial planning. Finally, the three outcomes include actions to strengthen the capacity of women and men by means of formal, non-formal and</p>

	<p>on-the-job training on key topics of improved fisheries governance, sustainable fisheries management, coastal and marine spatial planning and use of OHI (see Annexes 1 and 10).</p> <p>The present project is the only one of the CFI which will explore the use of CMSP and OHI to support decision making. Therefore, these learnings could be useful to the Indonesia and West Africa CFI projects and other regions worldwide.</p>
<p>Outcome 3. The understanding and application of integrated, participatory and collaborative approaches has been enhanced among local and global partners who utilize agreed tools for measuring coastal fisheries performance and progress towards environmental, economic and social sustainability.</p>	<p>Outcome 3 includes supporting the development of national and binational communities of practice, and building an electronic platform for the dissemination and exchange of lessons and best practice from the project.</p>

With respect to the outcomes stated in the results matrix of CFI's Global Partnership Project, key alignment elements are:

Outcomes the Coastal Fisheries Initiative's global partnership	Contribution from the present project
<p>Outcome 1.1: Collaboration among environmental and development agencies and organizations is managed, coordinated, enhanced and intensified, at the global as well as national and regional levels.</p>	<p>Outcome 3 is focused on nurturing collaboration among project participants and with other CFI partners (outputs 3.1 and 3.2) (see Annexes 1 and 10).</p>
<p>Outcome 1.2: Progress of CFI Program is systematically monitored and reported.</p>	<p>Outcome 3 includes a monitoring and evaluation plan (Annexes 2 and 3) that has embedded monitoring and assessing contributions to the CFI theory of change and results framework.</p>
<p>Outcome 2.1: Best practices and tools for environmentally, socially and economically sustainable fisheries are documented, analysed and shared.</p>	<p>Output 3.2 is focused on systematically document the project experience, prepare learning experience documents, and disseminate lessons and best practice (see Annexes 1 and 10). The project's electronic platform will be linked to national platforms, IW:LEARN and other CFI platforms⁷. Also, this output includes exchange of learnings and best practice among key stakeholders of Ecuador and Peru, and with CFI projects in Indonesia and West Africa to promote south-south learning exchanges.</p>
<p>Outcome 2.2: CFI Program Communication and Outreach Strategy is established and operational.</p>	<p>Output 3.1 includes the preparation of a communication strategy focused on specific stakeholder groups and locations. This will complement the overall strategy of using multi-purpose social networking platforms to facilitate communication and dissemination. There will be a team (see Error! Reference source not found.³ and Annex 5) dedicated to communication and outreach activities that will work closely with the CFI communication team.</p>

⁷ e.g., <http://www.fao.org/in-action/coastal-fisheries-initiative/en/>

Outcomes the Coastal Fisheries Initiative's global partnership	Contribution from the present project
Outcome 3.1: Fisheries Performance Assessment Instrument is developed based on existing tools for both CFI and non-CFI fisheries	Output 3.3 focus on the use of FPA in Ecuador and Peru (see Annexes 1 and 10). For target fisheries FPA will be assessed at project's beginning and end. Also FPA will be calculated for other fisheries that apply to CFI's Challenge Fund. Experience and lessons from the use of FPA will be documented at disseminated.

The present project will benefit from the other projects. Ecuador and Peru will benefit from intense networking and exchanging lessons and experience with key stakeholders and partners of the CFI. It will be very beneficial to have first-hand views on how similar problems are solved within quite diverse social, economic and political contexts. At the moment it is foreseen that key topics for knowledge exchange and collaboration with the Indonesia and West Africa project will be the management of mangrove and estuarine fisheries, the use of TURFs and FIPs, and managing fisheries within MPAs. It is also anticipated that the Challenge Fund will contribute to strengthen the value chains of at least three fisheries (dorado / perico, pomada, and pole and line tuna).

The baseline scenario, root causes and barriers

The management of small-scale and artisanal fisheries is a main challenge for both Ecuador and Peru. These fisheries have had an uncontrolled expansion driven mainly by increasing market demand, open-access policies, deficient or lack of regulation, and deficient surveillance and enforcement. Both countries have set exclusive fishing areas for artisanal fishermen (i.e., eight and five nautical miles offshore in Ecuador and Peru, respectively), but these are open access spaces with no allocation of tenure, user rights or responsibility of fishers. Existing fishing pressure threaten valuable fishery resources and coastal and marine biodiversity. Informality (e.g., lack of licenses and permits, use of unregistered boats) place fishermen and boat owners in disadvantage within the value chain, therefore they are paid lower prices to compensate for "laundering" the illegal catch. Informal fishermen are also vulnerable to be engaged into other illegal activities like drug smuggling and human trafficking. Moreover, fishermen and boat owners are, in general, highly dependent on seafood traders / middlemen to cover the cost of fishing trips and capital investment.

There are two key problems, which will be addressed by the present project: (1) overfishing and depletion of fishery resources, and (2) growing conflicts among users and stakeholders of coastal and marine resources and areas. At the root of these problems are weak fisheries governance, weak governance of coastal and marine areas, and increasing national and international seafood demand. Two groups of barriers were identified:

The main barriers to sound governance of artisanal fisheries in Ecuador and Peru are:

1. Open access policies. In both countries artisanal fisheries are open access, there are no limitations to enter the fishery nor in the number of fishermen or vessels authorized to use the resources. There have been some unsuccessful attempts to limit access. For example, in Ecuador SRP authorized 35 artisanal baby trawlers (called changas) to fish pomada in a specific area of the Gulf of Guayaquil. However, insufficient capacity to enforce the regulation has resulted in proliferation of this type of fishing all along the Ecuadorian coast. But, there are a few interesting experiences using TURFs in San Juan de Marcona (Peru) and the mangrove concessions in Ecuador which have not been used in other scenarios. Access rights / use rights in artisanal fisheries is a sensitive matter in both countries. There are strong positions in support and against the use of rights based management tools. A delicate issue is what to do with excess capacity.
2. Political pressure from users. Artisanal fishermen are an important constituency for politicians and, despite weak organization, can pressure relevant authorities. For example, in Peru, there are a number of cases of fishermen protesting and pressing Regional Governments and PRODUCE to obtain support to their case or protest regulations.
3. Defective collaboration / dialogue between authorities and stakeholders. At present, there are no platforms to facilitate dialogue and consensus building processes. In general, rules are dictated by the authority with limited consultation to the interested parties. Nonetheless, fisheries authorities face complicated dilemmas, like who are valid representatives of the stakeholders and whether illegal fishers and middlemen have the right to take part in decision-making processes. This is aggravated by widespread informality and weak fishers' organizations. Also,

there is a tendency to focus efforts on the capture side of the value chain, leaving out other key actors like traders, processors and sellers / exporters. In Ecuador, there have been trials to install public – private committees to foster governance in the dorado, pomada and cangrejo fisheries. But, after initial interest, these instances did not prosper. In all cases it proved difficult to foster dialogue and trust among value chain stakeholders. For example, in the pomada fishery industrial trawlers refuse to interact with illegal artisanal fishermen and question that the fisheries authority tolerates these widespread operations. In Peru, public – private sectoral roundtables have been commonly used, with varying degree of success, to address conflictive situations. However, this has been mostly a reactive tool and it is not clear which are the critical success factors. It is important to highlight, that weak fishers´ organizations is an underlying factor which hamper participation in governance processes and the effective application of rules and decisions. In both countries there are high-level organizations which represent artisanal fishers at the national level, but they not always embody local needs of specific fisheries.

4. Limited capacity to adapt decision-making to changing situations (learning / adaptive approach). There are a number of experiences, but there is difficulty to process lessons and key success or failure factors, and to apply them to improve conditions (i.e., a learning and adaptive approach). NGOs, research institutions and universities have somehow advanced on this, but learning is not embedded into artisanal fisheries management processes.
5. Artisanal fisheries are not considered important. Despite the discourse about the relevance to food security and social wellbeing, in fact artisanal fisheries have relatively low weight in national / local policies. This is more marked in Peru, where attention and funding concentrates in industrial high-value fisheries like anchoveta and merluza. In Ecuador, artisanal fisheries have more weight in the public agenda, but nonetheless the National Fisheries Institute (INP) assign minimum resources to study and assess the status of valuable resources like concha prieta and cangrejo rojo.
6. Limited capacity of Peruvian Regional Governments to apply their fisheries´ competences. Decentralization is an ongoing State policy, but since the transfer of competences in 2006, the Regional Governments have not been able to fully enforce them. First, the transfer process was incomplete since technical capacities were not sufficiently developed and financial resources were not reassigned. Second, Regional Governments do not assign sufficient resources from their budgets to sustain their fisheries´ responsibilities like monitoring and enforcement. Third, in various degrees, Regional Governments are prone to be influenced by political pressure from the artisanal sector. Fourth, there is limited coordination, an often controversy, with pertinent authorities like PRODUCE and the Directorate General of harbourmaster's offices and coastguards (DICAPI). Last, in the existing institutional structure there is no authority which can oversee and supervise that the transferred competences are dully implemented. The existing National Decentralization Plan and the monitoring and evaluation plan of sectoral competences transferred to regional and local governments do not address artisanal fisheries.

The present project will contribute to address above-mentioned barriers 1, 3, 4 and 6 by focusing on the promotion of a learning approach to explore forms to enhance governance of coastal fisheries and strengthen the capacities of Peruvian Regional Governments to administer artisanal fisheries.

In addition, the main barriers to sound governance of coastal and marine areas in Ecuador and Peru are:

1. Conflicting views of sectoral authorities and stakeholders. It is common that stakeholders, depending on their mandate and interests, have divergent views about the use of coastal and marine areas. However, this causes tension and conflicts that frequently escalate. In Ecuador, it is usual that fishermen oppose the creation of MPAs considering that this will reduce their fishing grounds. In Sechura bay (Peru), there is strong conflict between the fisheries and aquaculture sector and mining and oil & gas companies for the use of the bay and risk of pollution.
2. Unclear or overlapping jurisdictions. In both countries, jurisdictions in the coastal zone are clear, the use of the intertidal zone is responsibility of the maritime authority, and the inner inland area is managed by the corresponding municipal or regional government. Also, the promotion of integrated coastal management is under the authority of the Ministries of Environment . In contrast, several sectoral authorities approve the use of marine spaces and have often contradictory policies and priorities. Coordination mechanisms have been developed, but legal loopholes and ambiguities persist. This has resulted, for example, in overlap of oil & gas concessions with valuable fishing grounds. Currently, no single authority has been made responsible for promoting marine planning. An interesting development, is the creation of the Multisectoral Commission for Environmental Management of Coastal and

Marine Environment (COMUMA) in Peru, which has the mandate to coordinate, articulate and monitor environmental management of marine and coastal areas.

3. Absence of mechanisms for inter-sectorial dialogue and negotiation. There are no platforms to facilitate dialogue and consensus building processes about the use of coastal and marine areas. Conversations among stakeholders and interest groups usually start after conflict has escalated and there is a need to relieve tensions. In both countries, there is experience with coastal management committees. But, these committees are not widespread and do not cover the marine area. In Peru, COMUMA is a platform for inter-sectoral articulation, but does not include resource users and interest groups.
4. Limited experience with marine and spatial planning. As mentioned before, both countries have experience and important advances in integrated coastal management. But, marine spatial planning is a new subject. Peru recently initiated exploring methods and tools in Sechura bay and Ica. Sechura is more advanced in terms of coastal management and zoning of the bay. There is a provincial coastal management committee and a coastal zone management plan for the bay . In Ica, the Ministry of Environment (MINAM) in cooperation with NOAA, initiated on the last quarter of 2015 a pilot to explore a coastal and marine spatial planning process (CMSP). In the same area a first run of the Ocean Health Index (OHI) will be tested during 2016. Ecuador has no experience with marine spatial planning, but the OHI has already been explored and assessed for the Gulf of Guayaquil.

The present project will contribute to address above-mentioned barriers 3 and 4 by focusing on the development of practical experience and capacities on (i) multi-level inter-sectoral dialogue on the use of coastal and marine areas, and (ii) the use of methods and tools (i.e., CMSP and OHI) to support participatory decision making processes.

Alternative scenario and project strategy

The project focus on improving governance of small-scale and artisanal coastal fisheries in Ecuador and Peru. However, this is a very complex matter. Some of the underlying causes, like informality and open access, are deeply rooted in society. Therefore, changing the situation in the entire small-scale and artisanal fisheries sector will require a sustained long term effort with radical support and understanding from stakeholders and government. The core of the present project is to make the case to motivate this kind of change.

The project is based on the following assumptions:

1. Governance is the central piece of a system that generates social, economic and ecological benefits. An ideal system will be resilient, in a dynamic balance based on learning and adaptive management, this allows to deal with changes in the scenario (i.e., externalities). The ideal system has: (i) a set of agreed management rules to protect the stock to ensure sustainable fisheries yield, (ii) a set of tools to protect the stock and the associated biodiversity, (iii) a set of access / use rules that limit fishing effort to ensure sustained social and economic benefits, and (iv) an efficient control, enforcement and sanction system to ensure compliance of the agreed rules. However, the centrepiece is a balanced decision making process which is based on collaboration, trust and social capital of the resource users and stakeholders. Therefore, the project will focus on fostering these three elements within specific fishery scenarios.
2. Ostrom's principles for sustainable governance of common-pool resources are valid for small-scale and artisanal fisheries. Therefore, self-organized governance systems can develop to address the particular conditions of specific fisheries.
3. Participation of resource users and stakeholders in decision making is a key factor in fisheries governance. Therefore, co-management is needed. Understanding co-management as a continuum of power sharing between government and community.
4. Resource users, stakeholders and authorities will be more motivated to lead change if they collaborate in hands-on exercises based on a learning-approach . This will allow them to explore together new solutions suitable to the particular problem they confront within their context (i.e., innovate), and at the same time know each other and network (i.e., social capital).
5. Social, economic and ecological context is crucial in determining the governance arrangements and approach to manage fisheries. Therefore, the same fishery-type in two different contexts could need different approaches.

Hence, the project strategy has four elements:

1. Establish a community of practice with fishers, stakeholders and authorities of both countries. Multilevel networking will be the basis to improve cooperation among stakeholders and to cultivate trust. It is expected that this community of practice will mature during project implementation and will become a catalyst of change.
2. Implement hands-on trials in fishery-specific and area-specific cases. Seven fisheries have been selected to test tools and concepts (e.g., TURFs, participatory monitoring, traceability systems, self-organized management) to address key issues of fisheries' governance. Also, two sites were selected to explore coastal and marine spatial planning, including coastal fisheries and MPAs. The existing experience in both countries, will be used and tested in new contexts.
3. Systematically document, exchange and disseminate experience and lessons within each country, between both countries and among participants of the CFI.
4. Apply lessons to improve existing fisheries governance schemes or to implement new ones. Site-based lessons will generate guidelines to advance in coastal and marine spatial planning in both countries.

The fisheries selected for project intervention are: (1) dorado (*Coryphaena hippurus*) in Ecuador, (2) concha prieta / concha negra (*Anadara tuberculosa*, *A. similis*) in Ecuador and Peru, (3) cangrejo rojo / cangrejo de manglar (*Ucides occidentalis*) in Ecuador and Peru, (4) pomada (*Protrachypene precipua*) in Ecuador, and (5) pole and line tuna (*Katsuwonus pelamis*, *Thunnus albacares*) in Ecuador. In Peru, there will be two pilot trials to strengthen capacities of Regional Governments⁸ to administer marine artisanal fisheries.

The two sites selected for coastal and marine spatial planning trials are the northern-outer Gulf of Guayaquil (Ecuador) and Sechura bay (Peru). Both sites have concurrent diverse and competing activities, including exclusive fishing areas for artisanal fishermen, important fishing grounds, mariculture development, oil and gas operations, tourism activities, and marine protected areas.

The intervention strategy of the present project was developed through a participatory process that used information from several situation analyses of the condition of target fisheries and intervention sites. Annex 19 of the PRODOC summarise the methodological process applied and the main findings that served to shape the present project. Complementarily, Annex 20 of the PRODOC compile the 18 analyses that were produced during the project preparation phase. For the project target fisheries, the following elements were assessed:

- a. General situation of the fishery, compiling information of aspects such as landing statistics, number of fishermen, existence and operation of monitoring systems, availability of population status, and governance and management regime (e.g., regulations, decision-making process, enforcement). Individual reports of the situation analysis are compiled in Annex 20 of the PRODOC.
- b. Analysis of fisheries' governance arrangements. Table 3 of the PRODOC summarise the analysis of compliance with Ostrom's principles for each target fishery, and Annex 8 has the details of this analysis. Figure 8 summarise the analysis of co-management level of each target fishery. In addition, the baseline reports on governance arrangements are compiled in Annex 20 of the PRODOC.
- c. Analysis of socio-economic condition of the areas were target fisheries develop (e.g., income and poverty levels, demographics). The socio-economic reports are compiled in Annex 20 of the PRODOC.
- d. Stakeholder analysis of the fishery. These reports are compiled in Annex 20 of the PRODOC.
- e. Climate change vulnerability of the southeast Pacific marine ecosystem and the target fisheries of Ecuador and Peru. This is a short desk study to provide information to the groups that implement project actions. The report is compiled in Annex 20 of the PRODOC.

In general, the dorado fishery has the most advanced system for fisheries and biological data collection. However, this system is expensive and may not be sustainable under conditions of economic contraction. Also, there is not sufficient

⁸ Regional Governments have competencies to administer artisanal fisheries since 2006.

capacity to process the large amount of data that is being generated. The Peruvian concha and cangrejo have an established system for data collection as part to the national fisheries monitoring system. However, it is difficult to access species-specific information is grouped into bivalves and crustaceans. Also, information analysis is not up to date, the most recent information is from 2010. The other target fisheries, in general, lack monitoring systems and data analysis.

The information from the various analyses served to construct an integrated perspective of the situation of each target fishery (summarised in Table 3 and Annex 8 of the PRODOC), and the specific interventions (Table 4 and Annex 11 of the PRODOC).

Project objective and outcomes

The Project objective is to demonstrate holistic, ecosystem-based management and improved governance of coastal fisheries in the South-East Pacific. The expected mid-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 managed and therefore sustainable fisheries which produce social, economic and ecosystem benefits. It is also envisioned that the lessons of the project are useful to other countries in Latin America and the Caribbean, and other regions of the world.

The project is organized into three components that correspond to a similar number of outcomes. Thirteen outputs will be produced, but there is an array of intermediate outputs (Annex 10 of the Prodoc).

Outcome 1. Improved enabling conditions for fisheries governance in seven coastal fisheries of Ecuador and Peru. To generate this outcome, specific actions will be implemented in the seven pilot fisheries (five in Ecuador and two in Peru). On each case, a public – private working group will be formed with fishers, stakeholders and government entities. The working group will oversee and guide implementation, and will be cultivated as a community of practice. Specific actions will focus on addressing shortfalls on Ostrom’s principles for managing common-pool resources. Transversal topics to be included in the communities of practice are the application of the code of conduct for responsible fisheries and the voluntary guidelines for securing sustainable small-scale fisheries, and the potential impacts of climate variability and change. In Peru, the limiting factors faced by Regional Governments to administer marine artisanal fisheries will be analysed. A situation analysis will be prepared, and trial actions for capacity building will be implemented in the Regional Governments of Tumbes and Piura. The lessons from the two trials will be used to prepare a strategic plan to strengthen the capacities of regional governments to administer marine artisanal fisheries.

Outcome 2. Improved enabling conditions for coastal and marine spatial planning in Ecuador and Peru. To generate this outcome, pilots on coastal and marine spatial planning (CMSP) will be implemented in the Gulf of Guayaquil and Sechura bay. On each site a public-private promoter group will be established to guide the process; the promoter group will be cultivated as a community of practice. In both sites NOAA’s methodology and tools for CMSP will be used. NOAA will train a core group (training of trainers) and provide mentoring during the planning process. In turn, the core group of trainers will train technical staff and stakeholders on each site. The potential impacts of climate variability and change and ecosystem-based adaptation will a transversal topic. Complementarily, both countries will explore the use of the Ocean Health Index (OHI) to support CMSP and decision-making. Ecuador already has an OHI assessment for the Gulf of Guayaquil, therefore the index will be assessed in the territorial sea of the Santa Elena and Manabi provinces.

In Peru, GEF resources from the biodiversity focal area will be used to advance conservation of the Manglares de San Pedro de Vice (the southernmost mangroves on the eastern Pacific Ocean), the Virrilá estuary and the Zona Reservada Illescas. It is expected to have (i) a management plan for the Ramsar site Manglares de San Pedro de Vice, (ii) the Virrilá estuary declared Ramsar site and a corresponding management plan, and (iii) a management strategy for the coastal area of the Zona Reservada Illescas.

The end product will not be the plans themselves, but the lessons on the use of CMSP methods and tools and recommendations about the use of OHI in Ecuador and Peru. There will be emphasis on exploring how to reconcile spatial planning with coastal fisheries governance and management. Also vulnerability to climate change and ecosystem-based adaptation will be a major line of analysis in both exercises.

Outcome 3. Lessons and best practice on improved fisheries governance and coastal and marine spatial planning have been shared with stakeholders within each country, among both countries and with global partners of the CFI Programme. This component is the backbone of the learning process and will support the communities of practice of the project. Three lines of work will be developed:

- (i) Develop and maintain an electronic platform (**Error! Reference source not found.**; output 3.1 in Annexes 1 and 10) to facilitate communication and exchange of information. The electronic platform will include a web-based communication platform (e.g., SKYPE for business / WebEx) to facilitate interaction and virtual meetings among the Ecuador – Peru project and CFI participants. It will also include an array of media to document and disseminate information and lessons, and to facilitate interaction among CFI participants and worldwide audiences. It is recognised that electronic media may not be accessible to all stakeholders, therefore at project start specific communication interests and channels will be identified on each site and target group and a communication strategy will be designed and implemented. Complementary communication materials (e.g., radio spots, brochures) will be prepared and used to reach specific key stakeholders.
- (ii) Support and nurture communities of practice and systematically document and disseminate lessons. The project team will systematically work with the communities of practice, document experiences and lessons and disseminate them through the electronic platform and complementary media. To complement virtual communication, there will be in-person meetings between stakeholders of both countries. It is planned to have (a) exchange visits of the groups working on concha, cangrejo, CMSP and OHI, (b) annual binational meetings of fishers and value chain stakeholders of concha, and cangrejo, and (c) annual meetings of binational technical committees on mangrove benthic resources. It is also planned to have (a) exchange visits with other CFI projects, (b) presentation of results in international events (e.g., CIAT, CPPS), and (c) participation in two International Waters Conferences (IWC).
- (iii) Test the Fishery Performance Assessment (FPA). CFI includes a component on this index and it has been included as a requisite for applicants to the programme's Challenge Fund Advisory Facility. The present project includes (a) training on FPA, (b) to calculate FPA for the seven project fisheries in years 1 and 4, and (c) to assist on FPA to other fisheries interested in applying to CFI's Challenge Fund Advisory Facility. The experience and lessons on using the FPA will be documented and analysed with stakeholder of the project fisheries.

Contribution to GEF objectives, Aichi targets and Sustainable Development Goals

The Project will contribute to GEF objectives in the international waters (IW) and biodiversity (BD) focal areas. In IW, it will contribute to objective 3, by fostering sustainable coastal fisheries. The project will focus on strengthen governance of small-scale and artisanal fisheries, and to introduce the ecosystem approach in the corresponding management strategies and plans. In addition, the allocation of exclusive fishing areas and its interaction with competing uses (e.g., tourism, mariculture) will be explored in the context of coastal and marine spatial planning. Hence, this will also contribute to attain Aichi Biodiversity Target 6 and the related targets 14.4 and 14.b of the Sustainable Development Goals. At the same time, the project will contribute to BD objective 4, by mainstreaming sustainable use into the fisheries sector and the use of coastal and seascapes.

Incremental/additional cost reasoning

The baseline situation is that small-scale and coastal fisheries are deteriorating in both countries. Current efforts to manage these fisheries have proven insufficient to sustain the fisheries and protect the stocks. Open access policies and rampant informality are a major burden. Existing initiatives have promoted the use of right-based tools (e.g., mangrove concessions in Ecuador), fisheries improvement projects (i.e., there are on-going FIPs for dorado and the pole and line tuna fishery in Ecuador and fisheries certification (i.e., dorado, pomada, and pole and line tuna). In Peru, administration of artisanal fisheries was transferred to Regional Governments in 2006, but this has not resulted in improved management. There have been advances and learnings, but they have not been capitalized into sound fisheries management. Weak fisheries governance is the main root cause, but it has not been confronted.

GEF resources will be crucial to support a major endeavour to explore methods and tools to enhance fisheries governance in small-scale and artisanal coastal fisheries. In both countries, this will be the first time that small-scale and artisanal fisheries are seen through the perspective of Ostrom's principles, and specific trials are made to address key elements like user boundaries and collective-choice arrangements. Also, the project will contribute to value this type of fisheries in the national agendas and motivate investment into their monitoring, study and management. The project will build on existing experience and will establish synergies with a number of initiatives like GEF projects 4505, 4770, 5271 and 5771⁹.

The GEF investment will generate lessons that will be useful for both countries and for other small-scale and artisanal fisheries in the world. Seven fisheries will be intervened, and it is expected to directly improve the management of about 31.1 x10³ t/year of landings (ca., 0.4% of global marine capture). This does not seem much in volume, but these fisheries have great social value (e.g., mangrove cockles and crabs, dorado), operate in high-biodiversity areas¹⁰ (e.g., mangroves, estuaries, shallow coastal waters), and interact with high-value conservation species like sea turtles and sharks (e.g., dorado fisheries). In addition, the two MSP pilot sites cover 974,157 ha of marine area. This includes the marine outer part of the Gulf of Guayaquil (i.e., the largest estuary on the Pacific coast of South America), Sechura bay (i.e., one of the main natural banks of *Argopecten purpuratus* and the major production area in Peru), and six protected areas¹¹ that cover ca., 122,874 ha. It is important to highlight the high conservation value of Manglares de San Pedro de Vice, which are the southernmost mangroves of the eastern Pacific Ocean.

Innovativeness

The main innovations are: (i) the use of communities of learning aligned with Ostrom's principles to develop self-organised fisheries governance systems, (ii) to adapt NOAA's methods and tools for coastal and marine spatial planning to local context in Ecuador and Peru, and (iii) to explore domestication¹² of *Anadara tuberculosa* as an alternative to harvesting from natural areas.

Sustainability

Environmental sustainability. The project aims to promote improved governance of small-scale and artisanal coastal fisheries within an ecosystem-approach framework (i.e., ecosystem based fisheries management). This is in line with national policies as well as the interest from fishers and stakeholders of the seafood value chain. There will be actions to strengthen the conservation of valuable areas. These areas, in the form of Ramsar sites or protected areas, will be part of the national systems of protected areas and in line with national biodiversity policies and strategies.

Social sustainability. The project includes a participatory approach and emphasizes the involvement of key stakeholders of (i) important fisheries and their value chain, and (ii) two geographic areas. These groups will form several communities of learning facilitating multi-level networking, dialogue and collaboration. A key element will be that stakeholders collaborate to address common problems and develop relationships based on trust.

Institutional sustainability. The project is anchored in the fisheries and environment authorities of Ecuador and Peru. In Peru, two Regional Governments will participate in exploring ways to strengthen the administration of artisanal fisheries and there will be a strategic plan to strengthen capacities of all coastal regional governments. The CMSP

⁹ Annex 12 of the Prodoc summarizes all relevant projects for coordination and collaboration.

¹⁰ The fishery-specific trials will include four MPAs which cover ca., 76,340 ha: Refugio de Vida Silvestre Manglares El Morro, Reserva Ecológica Manglares Churute, Reserva Ecológica Arenillas and Santuario Nacional Los Manglares de Tumbes

¹¹ Reserva de Producción Faunística Marino Costera Puntilla Santa Elena, Área Nacional de Recreación Playas de Villamil, Refugio de Vida Silvestre Manglares El Morro, Santuario Regional Manglares de San Pedro de Vice, Área de Conservación Ambiental Estuario de Virrilá, and Zona Reservada Illescas.

¹² The project will build on on-going work to produce juveniles in laboratory conditions and use them to experiment transportation, conditioning and growth in the wild under different methods and conditions. The trials will be a participatory action research exercise with local fishers. If successful, the results will contribute to domestication of *A. tuberculosa* and eventually to aquaculture production to reduce pressure on the wild population.

exercise will also integrate local governments and other sectoral authorities. It is foreseen that through this networking the core elements of the project will continue in the institutional agendas.

Financial sustainability. GEF resources will be used to fund strategic actions. The post-project sustainability of actions is ensured by integration into the institutional budgets of the Ecuadorian fisheries authority, the environment authorities of both countries, and the Peruvian regional governments of Tumbes and Piura.

Replication and potential for scaling up

There is high probability of replicating the lessons and best practice from the project. GEF resources have been strategically assigned to activities with high potential to catalyse learnings. For this purpose, experience and lessons will be systematically documented and disseminated through an electronic platform accessible worldwide. Governance of small-scale and artisanal fisheries is a topic of high relevance in the international agenda. Therefore, it is very likely that results of this project will be useful to other developing countries worldwide. Also, binational collaboration on the concha, and cangrejo fisheries will facilitate immediate use of important developments. Furthermore, the lessons and results of the work with these fisheries will be used country-wise and may serve to other countries that harvest the same species in the Eastern Tropical Pacific Ocean.

The positive and negative lessons of the aquaculture trials with *A. tuberculosa* will be an important step towards domestication and commercial aquaculture. If positive results are obtained, these could be replicable in Ecuador and Peru, but also in other countries of the Pacific coast of Latin America who harvest the same species.

Finally, the work with CMSP and OHI also has high probability to be replicated in other parts of Ecuador and Peru, and other Latin American countries.

Changes since PIF

The purpose of the project was not changed, but the components, outcomes and outputs were re-organized for better administration. The PIF had three components with seven outcomes and 14 outputs, now the Prodoc has three components with three outcomes and 13 outputs.

In the PIF there were a number of elements with parts spread over the three components. The re-organization separated three distinctive sets: (i) component 1 contains all fishery-specific interventions, (ii) component 2 contains all site-specific interventions (CMSP and OHI¹³), and (iii) component 3 contains all learning, monitoring and dissemination.

Component 1 has seven outputs, linked to the seven focus fisheries in both countries (five in Ecuador and two in Peru) and strengthening of artisanal fisheries administration by Peruvian Regional Governments. Component 2 has three outputs focused on the two site-specific exercises and the usefulness of the OHI. Component 3 has three outputs, focused on (i) an electronic platform to assist networking and dissemination of lessons, (ii) to systematically document lessons, provide support to the communities of learning and foster exchange of experiences and cross-fertilization, and (iii) to explore the use of the Fishery Performance Indicator. The last element was not included in the PIF, but is an important element of the CFI programme.

The distribution of resources was also balanced to support the new organization. Component 1 now encompasses about 43% of the GEF allocation, while components 2 and 3 contain about 23% and 28%, respectively.

A.2. Child Project

This project will contribute to CFI's first component by generating experience and lessons on strengthening governance in seven coastal fisheries (five in Ecuador and two in Peru). Also innovative value chain approaches will be developed through implementation of FIPs in the dorado and pole and line tuna fisheries (outputs 1.1 and 1.5) and traceability systems in the dorado, pomada, pole and line tuna, and concha negra. The project will contribute to the programme's second component by addressing fisheries governance in a wider seascape-perspective. A holistic approach will be explored through participatory processes within the frameworks of coastal and marine spatial planning in the Gulf of Guayaquil and Sechura bay. Also, the project will explore the value of the Ocean Health Index to support decision

¹³ In the PIF, OHI was an element of the component on monitoring and assessment.

making. This is the only project of the CFI that will explore in depth CMSP and OHI, therefore it is expected that the lessons will be useful to the West Africa and Indonesia projects. Finally, this project will contribute to CFI’s third component by developing a monitoring and knowledge sharing platform, aligned with the global programme, and systematically document and disseminate lessons and best practice. In addition, the FPA will be applied in the seven target fisheries, generating practical learning from a range of small-scale artisanal coastal fisheries. (For further information and reference see earlier section above on Alignment with Coastal Fisheries Initiative Programme and Prodoc, paragraphs 8 through 22).

Overall guidance of the programme will be provided by a Global Steering Committee and technical advice as needed through a Global Reference Group:

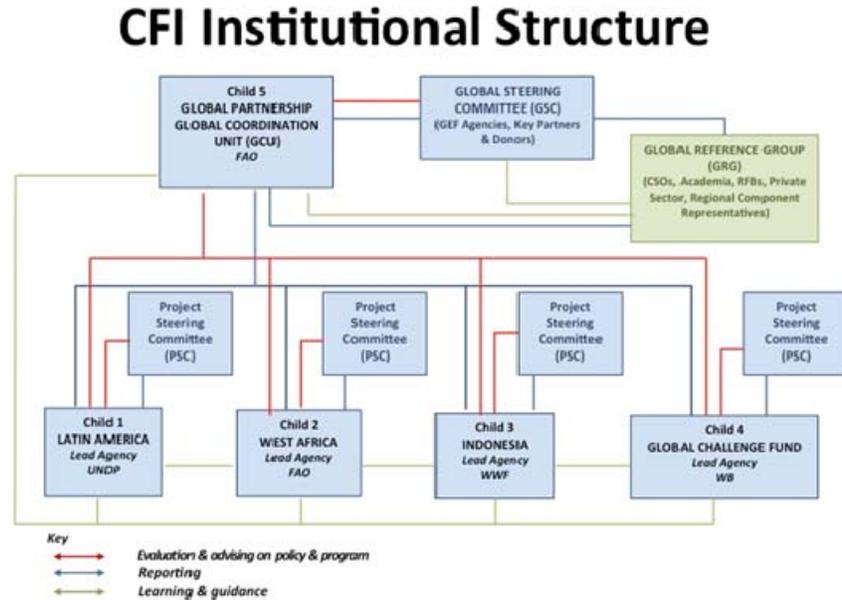


Figure 1. CFI Institutional Structure

(Detailed information on institutional structure and governance is provided in the Prodoc, section about governance role for project target groups).

The CFI Program is informed by the CFI Theory of Change, which identified a series of tiered building blocks critical to achieving the program’s outcomes. The child projects are expected to progress through these tiers starting with establishing necessary enabling conditions (Tier 1), which will lead to implementing changes in practices (Tier 2), achieving benefits to fisheries and stakeholders (Tier 3) and ultimately leading to system sustainability or dynamic balance (Tier 4) (Figure 2):

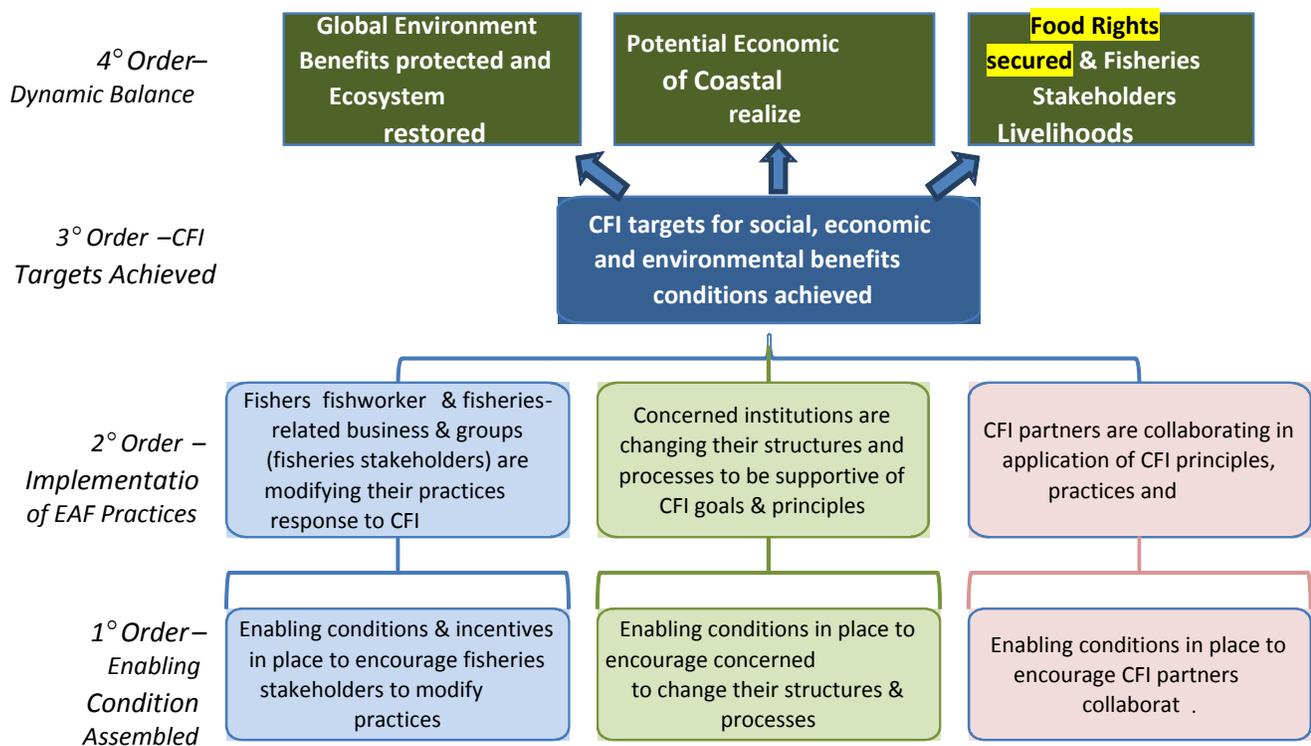


Figure 2. Theory of Change – Tiers

For additional information on the Theory of change, refer to Prodoc paragraph 49.

A.3. Stakeholders.

Key stakeholders were identified after target fisheries and sites were determined by government partners. In Ecuador, key stakeholders participated in two workshops. In the first, the project concept was presented, situation was analysed and initial intervention ideas were outlined. In the second, proposed interventions were presented and analysed with the stakeholders. This allowed that specific groups agree to participate and contribute to particular project activities. Annex 11 of the Prodoc summarise the agreed participation of key stakeholders on each project output.

In Peru, the stakeholders were identified and approached, but workshops could not be arranged because of political conditions. The Regional Governments of Tumbes and Piura are project partners, they are responsible for the administration of artisanal fisheries. After government change in July 2016, with the new fisheries and environment authorities, the key stakeholders will be approached to present the project and secure their participation.

Stakeholders include fishers, members of the seafood value chain, civil society organizations, sectoral authorities, and local governments (e.g., municipalities, provincial governments, regional governments). There are no indigenous groups related to the fisheries and areas of work.

A.4. Gender Considerations.

Both countries rank low in gender discrimination. In 2014, OECD’s Social Institutions and Gender Index (SIGI) was 0.0422 and 0.0826 in Ecuador and Peru, respectively. Gender equality, women empowerment and human rights concerns were not raised by stakeholders during project preparation.

In the seven target fisheries, women do not participate as fishers, but are a main component of the processing plants’ workforce. There are some women in leadership positions both in fisheries organizations, industry and government. However, because their involvement in the seven fisheries is limited, the key gender issue is that they seldom participate in fisheries governance and decision-making. In contrast, in the two project sites, women and men participate in a range

of activities in different sectors from running hotels and restaurants to managing MPAs or leadership posts in public administration.

The project will implement the following actions in support of gender equality and women’s empowerment:

- a. Measure the perception of women about their level of impact on decision-making in the in governance of the seven target fisheries and coastal and marine spatial planning in the Gulf of Guayaquil and Sechura bay. Perceptions, and recommendations for improvement, will be assessed at project start, mid-term and end of project (Annexes 2 and 3 of the Prodoc).
- b. Studies in each project site to more specifically understand the role of women in coastal fisheries management. These studies will look at the roles women play in securing protein for their family and selling fish products.
- c. Gender equality will be taken into consideration when sourcing staff and consultants with GEF trust funds and/or co-financing.
- d. Training courses will be gender sensitive in terms of participation, instructional design, and use of language.
- e. The diagnostic of information needs and interests of users and stakeholders and the project’s communication strategy will recognize the needs and constraints faced by women and men as well as their concerns and perceptions.
- f. Communication materials, project documents and publications will use gender sensitive language and will be made equally accessible to men and women. The process of documenting project’ lessons will be keen to record the contribution and role of women and men on each exercise.
- g. The communities of practice and participatory processes will facilitate equal participation, mutual respect, and collective decision making by women and men.
- h. Participation in meetings, training courses and other events will be documented using gender disaggregated data.
- i. To the extent possible, women will be motivated to participate in the aquaculture trials.
- j. Women from seafood processing plants will be encouraged to participate in the communities of practice.

A.5 Risk. Elaborate on indicated risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, the proposed measures that address these risks at the time of project implementation. (table format acceptable):

Project risks					
Description	Type ¹⁴	Impact & Probability (1 = low / 5 = high)	Mitigation Measures	Owner	Status ¹⁵
Change of central government in Peru. New president and congress will take office in July 2016 ¹⁶	Political	P = 5 I = 3	Present the project to new authorities in PRODUCE and MINAM	UNDP Peru	No change

¹⁴ Environmental, Financial, Operational, Organizational, Political, Regulatory, Strategic, Other

¹⁵ Over, reducing, increasing, no change.

¹⁶ Before Project start.

Project risks					
Description	Type ¹⁴	Impact & Probability (1 = low / 5 = high)	Mitigation Measures	Owner	Status ¹⁵
Change of local governments in Peru. New authorities will take office in 2018 ¹⁷	Political	P = 5 I = 3	Present the project to new regional and municipal authorities in Tumbes and Piura	UNDP Peru Project Manager	No change
Change of central government in Ecuador. The new president and congress will take office in 2017 ¹⁸	Political	P = 5 I = 3	Present the project to new authorities in MAGAP and MAE	UNDP Ecuador	No change
Change of local governments in Ecuador. New authorities will take office in 2019 ¹⁹	Political	P = 5 I = 3	Present the project to new municipal and provincial authorities.	UNDP Ecuador Project Manager	No change
Effect of La Niña and Interdecadal Pacific Oscillation on marine ecosystems and fisheries resources ²⁰	Environmental	P = 3 I = 4	Monitor information and alerts in national meteorological entities, NOAA, and World Meteorological Organization	Project Manager	No change
Climate change	Environmental	P = 3 I = 3	Monitor information and mainstream climate change adaptation (mainly ecosystem-based adaptation) in project activities	Project Manager	No change

A.6. Institutional Arrangement and Coordination. Describe the institutional arrangement for project implementation. Elaborate on the planned coordination with other relevant GEF-financed projects and other initiatives.

¹⁷ At mid-term of Project implementation.

¹⁸ During the first year of Project implementation.

¹⁹ About the third year of Project implementation.

²⁰ Up to 21 March 2016, a strong El Niño was present and weakening. A transition to ENSO - neutral was likely during late Northern Hemisphere spring or early summer 2016, with close to a 50% chance for La Niña conditions to develop by the fall (NOAA, 2016). Therefore, it is probable that a La Niña event (ENSO cold phase) will occur during project implementation. Under cold conditions, the abundance of tropical species like *Coryphaena hippurus* and shrimps diminish, while the abundance of tuna increases. This has direct impact in certain fisheries and their value chain. In addition, it is probable that the Interdecadal Pacific Oscillation (IPO) will switch to a warm phase in the following years. This again will have direct impact on fisheries resources availability. It is important to note that, the current ENSO event takes place in growing conditions of social, environmental and economic vulnerability in the Eastern Pacific region, which could amplify its impacts.

Within the overall framework of the Coastal Fisheries Initiative Programme, the present project will have its own governance and management structure (Figure 1). The project will be implemented following UNDP's national implementation modality (NIM). The GEF **implementing agency** will be UNDP and the lead country office will be UNDP Peru. The **implementing partners** will be the Ministry of Environment (MINAM) in Peru and the Ministry of Ministry of Agriculture, Animal Husbandry, Aquaculture and Fisheries (MAGAP) in Ecuador.

The **project partners** are the MAGAP, MINAM, the Ministry of Environment of Ecuador (MAE), the Regional Governments of Tumbes (GORE Tumbes) and Piura of Peru (GORE Piura), WWF, Conservation International (CI) and UNDP. The line units in Ecuador will be the Undersecretary of Fisheries (SRP) and the Undersecretary of coastal and marine management (SGMC). In Peru, the line units will be the Vice ministry for Strategic Management of Natural Resources and the National Service of Protected Areas (SERNANP) of MINAM. Within the Peruvian Regional Governments, the line units will be Tumbes' Dirección Regional de la Producción (DIREPRO Tumbes) and Piura's Dirección Regional de la Producción (DIREPRO Piura).

CI and WWF are **responsible parties** of the Ecuadorian project elements²¹. At project start, the government of Peru will decide on the responsible parties for the Peruvian project elements.

The present project organisation structure has a Project Board and a Project Unit (Figure 3). The **Project Board** (also called Project Steering Committee) is responsible for making by consensus, management decisions when guidance is required by the Project Manager, including recommendation for UNDP/Implementing Partner approval of project plans and revisions. In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. In case a consensus cannot be reached within the Board, final decision shall rest with the UNDP Programme Manager. UNDP's Regional Technical Advisor on Water and Ocean Governance will participate in the Project Board meetings as part of his/her project assurance role to provide advice and guidance.

The **project assurance** role will be provided by the Regional Technical Advisor on Water & Ocean Governance from UNDP Regional Centre in Panama (RSC LAC) and UNDP country offices in Ecuador and Peru (Figure 3). Project assurance will provide objective and independent oversight of the project and monitoring. The project assurance team will review and analyse project reports and the draft annual work plan and budget before they are submitted to Project Board and will make recommendations to optimize project performance.

²¹ WWF will be responsible for the dorado and pomada fisheries. CI will be responsible for the concha prieta, cangrejo rojo and pole and line tuna fisheries, and all component 2.

Figure 1. Project organisation structure

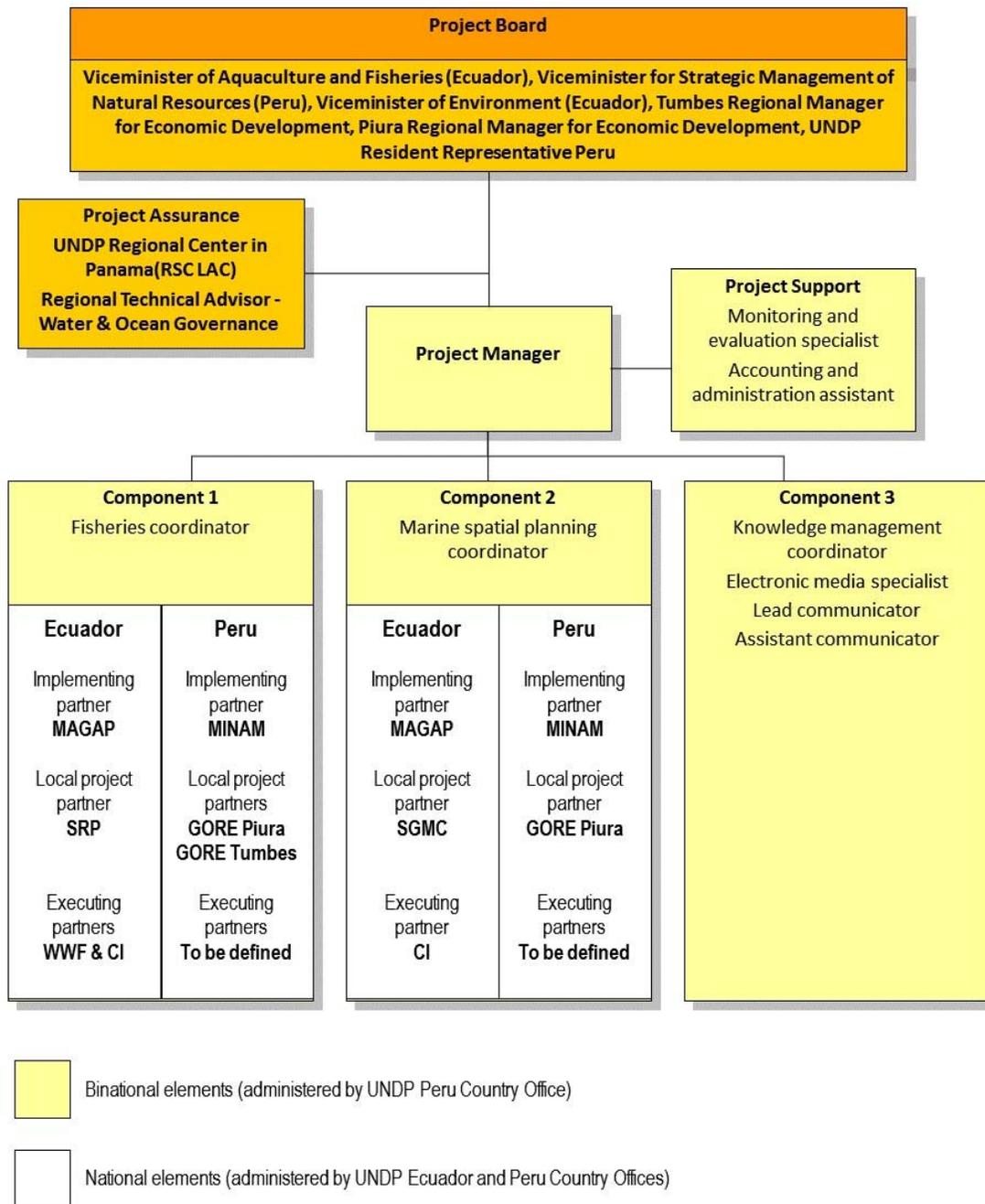


Figure 3. Project organisation structure

The **Project Unit** is headed by a Project Manager and includes seven specialists. There will be three thematic coordinators, one for each component. They will oversee each component, and work together with project partners and responsible parties. The project base will be the city of Piura in Peru. Office space will be provided by the Regional Government of Piura. This will be decided at project start. There will be a satellite office in Guayaquil (Ecuador); office space will be provided by SRP. The Project Manager, the Marine Spatial Planning Coordinator, the Lead Communicator, the Monitoring and Evaluation Specialist and the Accounting and administration assistant will be base

in the main office. The Fisheries Coordinator, the Knowledge Management Coordinator, the Electronic Media Specialist and the Assistant Communicator will be based in Guayaquil.

The project will have to coordinate and/or complement actions with six GEF projects and 19 projects from other sources (e.g., FIPs for *Coryphaena hippurus*). Annex 12 of the Prodoc summarise this information. The following coordination mechanisms will be established with current initiatives or with those that may develop later:

1. Annual coordination meeting with relevant GEF projects and projects of other donors.
2. Frequent coordination meetings with FAO and other CFI projects.
3. Participation in the International Waters Conferences (IWC).
4. Letters of understanding with relevant projects and initiatives of other donors. Regular meetings will be established with those to jointly analyse the progress and refine cooperation and coordination activities.

The Latin America project organisation structure (Figure 1) is embedded into the CFI programme institutional structure (**Error! Reference source not found.**). Through the Global Partnership project (child project 5), there will be coordination and collaboration with the other CFI projects and other initiatives of the CFI partners. The Coastal Fisheries Initiative programme has three elements in its institutional structure:

1. The Global Steering Committee which will provide overall strategic guidance. It will be constituted by representatives of the participating states, the GEF implementing and executing agencies, co-financing partners and other strategic stakeholders. The GSC will act as the main policy body overseeing the programme execution, and accordingly, will review and approve all technical documents, review budgets and financial reports and provide general strategic and implementation guidance to the Global Coordination Unit.
2. The Global Reference Group will provide an independent oversight of the CFI's implementation and will report on a regular basis to the GSC. It will be composed mainly of the regional fisheries bodies, project regional representatives, representatives from producers' groups and others involved in the fisheries value-chains, civil society organizations and the academia. The GRG will extend its membership as needed while ensuring a proper north/south and gender representation.
3. The Global Coordination Unit will facilitate programme execution, and will be integrated by FAO (lead agency) plus its executing partners: CI, GEF, UNDP, UNEP, World Bank, WWF and the University of Washington.

Additional Information not well elaborated at PIF Stage:

A.7 Benefits. Describe the socioeconomic benefits to be delivered by the project at the national and local levels. How do these benefits translate in supporting the achievement of global environment benefits (GEF Trust Fund) or adaptation benefits (LDCF/SCCF)?

The direct beneficiaries will be the fishers and stakeholders of the value chains of the seven target fisheries and the users of coastal and marine resources in the two sites.

The first group, will benefit from improved multi-level involvement into decision-making and strengthened fisheries governance. This will in turn, contribute to sustain the fisheries and the associated food provision and economic return. At a country level, sustaining the fishery of *Coryphaena hippurus* will contribute to support an important export produce. For Ecuador, this is the main whitefish export produce. The Ecuadorian annual exports to the USA, the main market for dorado, is about USD38x10⁶. Also, Ecuador capture about 25% of Eastern Pacific Ocean catch of *C. hippurus* and has actively contributed to improve the regional management of the dorado population that is being promoted by Inter-American Tropical Tuna Commission. The fisheries for mangrove cockles and crabs have an important social value because they are the main income of a large number of coastal families. There are no precise figures, but it is estimated that there are ca., 4100 crabbers in the Gulf of Guayaquil and ca., 350 crabbers in Tumbes. In addition, stakeholders from the concha and cangrejo fisheries will have annual binational meetings. This will potentiate

empowerment, networking, collaboration and trust.. Finally, the concha fishers will have hands-on experience with bivalve culture. If positive results are obtained, this could contribute to initiate a transition towards aquaculture production of a valued mangrove resource.

The second group (ca., 169,774 people in Ecuador and 60,960 people in Peru, who live in the two sites coastal area), will benefit from hands-on experience in addressing marine and coastal planning. It is expected that multi-level dialogue and networking will improve inter-sectoral collaboration, negotiation and conflict solving.

It is expected that the project will be a catalyst of future actions to improve the management of artisanal and small-scale fisheries in both countries. This will, in turn, contribute to advance towards Aichi Biodiversity Target 6 and SDG 14.b.

A.8 Knowledge Management. Elaborate on the knowledge management approach for the project, including, if any, plans for the project to learn from other relevant projects and initiatives (e.g. participate in trainings, conferences, stakeholder exchanges, virtual networks, project twinning) and plans for the project to assess and document in a user-friendly form (e.g. lessons learned briefs, engaging websites, guidebooks based on experience) and share these experiences and expertise (e.g. participate in community of practices, organize seminars, trainings and conferences) with relevant stakeholders.

Knowledge management is a key element of the project strategy. Existing experience and lessons will be used in the fishery-specific (component 1) and site-specific trials (component 2). During project implementation, (i) the communities of practice will be cultivated, and (ii) experience and lessons will be systematically documented, exchanged and disseminated within each country, between both countries and among participants of the CFI and worldwide. There will be team of three people dedicated to these tasks. The project will use the following electronic platform:

The project will use an electronic platform which is summarised in **Error! Reference source not found.** (output 3.1 in Annexes 1 and 10 of the PRODOC). A central piece will be a web-based communication platform (e.g., SKYPE for business / WebEx) and other electronic media (e.g., twitter, WhatsApp, mailing list server) to facilitate interaction and virtual meetings and webinars among project participants and other CFI projects (see output 3.1 in Annex 10). Four additional elements integrate this platform:

(1) Accounts in social networking platforms such as Facebook, Twitter, WhatsApp, Flickr and Instagram to facilitate interaction and networking among CFI participants and worldwide audiences, and to build a social media presence of the project.

(2) A mailing list server for widespread distribution of information to local and worldwide audiences. The mailing list will be open for subscription to anyone who wants to join. A quarterly newsletter in English will be sent to subscribers and will be posted in the website. This newsletter will summarise progress and information to worldwide audiences.

(3) A YouTube channel to disseminate worldwide short videos with lessons, experience and briefs from the project. The channel will include (i) project made videos and (ii) video recordings created by project stakeholders. The latter will allow stakeholders to express and post their ideas, concerns, achievements and stories. For this, a participatory video approach will be used (Lunch & Lunch, 2006; Milne et al., 2012). This YouTube channel will feed the GEF IW:LEARN channel .

(4) A project website which will provide news, access to project information, and links to (i) partner websites (e.g., national fisheries authorities, fishers organizations), (ii) the CFI and IW:LEARN portals, and (c) the other communication channels to be used (e.g., YouTube, Twitter). Project information and documents (e.g., PRODOC, publications, evaluations) will be available for download and mirrored in the IW:LEARN document database. Also, the website will host and allow access to the 12 blogs²² that will document project experience and the various memoirs of meetings and events.

²² Blogs will be accessible through the project's website and will serve as field journals to document the experience and learnings of the main project interventions. There will be 12 blogs: (1) dorado, (2) pomada, (3) concha, (4) cangrejo, and (5) atún con caña in

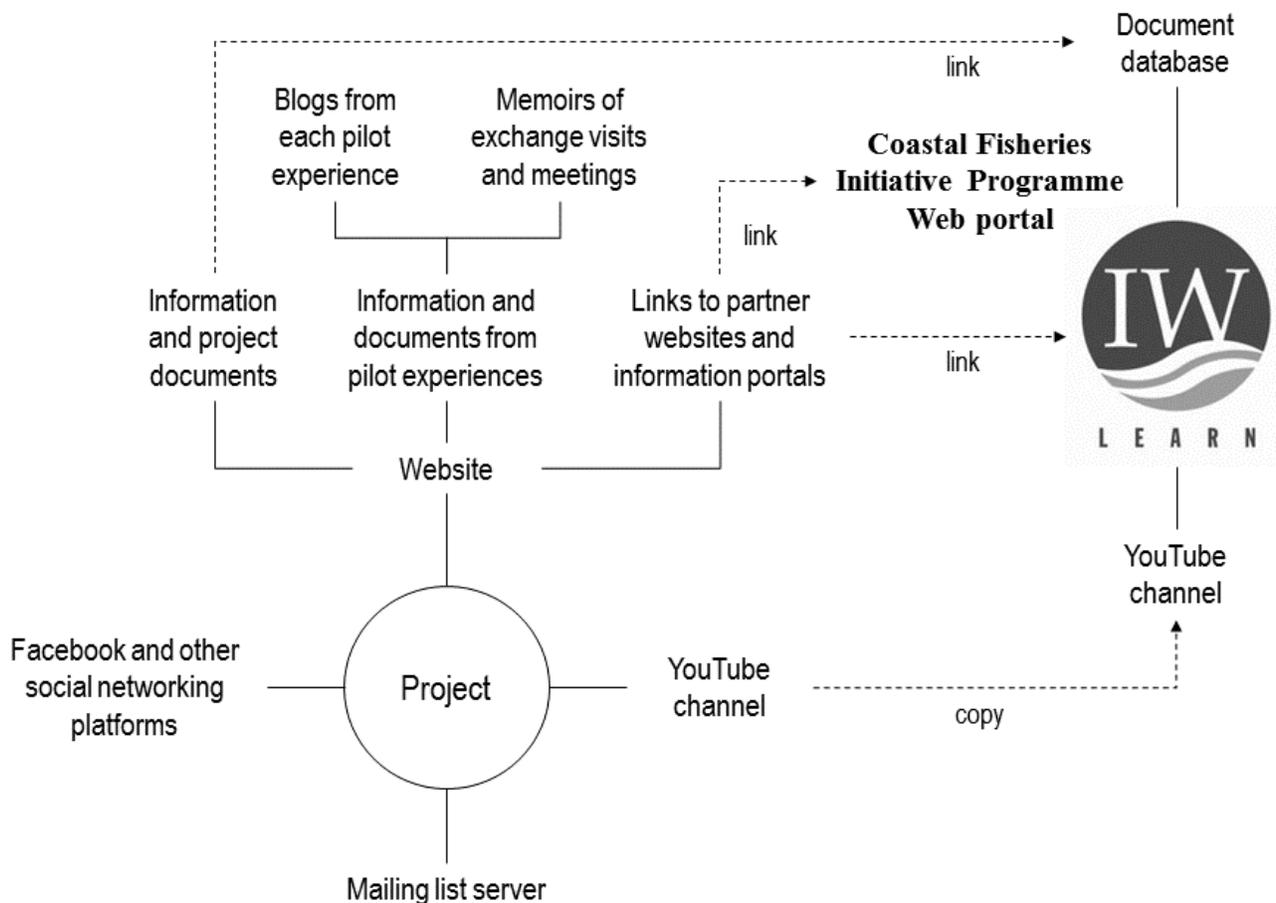


Figure 4. Knowledge Management Platform

This platform includes a web-based communication platform (e.g., SKYPE for business / WebEx) and other electronic media (e.g., twitter, WhatsApp) to facilitate interaction and virtual meetings and webinars among project participants and other CFI projects. It will also include an array of media to document and disseminate information and lessons) that will be articulated with the CFI platform.

However, it is recognised that electronic media may not be available to all stakeholders. Therefore, at project start specific communication interests and channels will be identified on each site and target group and a communication strategy will be designed and implemented. Complementary communication materials (e.g., radio spots, brochures) will be prepared and used to reach specific key stakeholders. This will be complemented with in-person interaction among project participants. It is planned to have (i) exchange visits of the groups working on concha, cangrejo, CMSP and OHI, (ii) annual binational meetings of fishers and value chain stakeholders of concha, and cangrejo, and (iii) annual meetings of binational technical committees on mangrove benthic resources.

At the global level, there will be (i) joint analysis with other CFI projects on the advances of the programme theory of change, (ii) exchange visits with the Indonesia and West Africa projects, (iii) participation in CFI events, (iv)

Ecuador, (6) concha and (7) cangrejo in Peru, (8) strengthening artisanal fisheries governance and management in regional governments of Peru, (9) marine and coastal spatial planning in the Gulf of Guayaquil, (10) marine and coastal spatial planning in Sechura bay, (11) use of OHI in Ecuador, and (12) use of OHI in Peru.

presentation of results in international events (e.g., CIAT, CPPS), (v) share experience with related projects and initiatives²³, (vi) participation in two International Waters Conferences (IWC), and (vii) contribute to CFI's communication tools and channels (e.g., web platform, newsletter, workspace, e-mail discussion groups). For the present project it will be valuable to see how rights-based management and community engagement are applied in West Africa and Indonesia. Also, it will be important to learn from the work on mangrove fisheries in West Africa, and the work with MPAs in Indonesia

At project start, there will be a national workshop on each country to get together the key stakeholders and initiate work. At the end, there will be a binational event (fair-type event) for stakeholders to present their results and lessons.

Project experience and lessons will be documented in learning experience documents and memoirs that will be available through the project's electronic platform (**Error! Reference source not found.**). Twelve learning experience documents summarise the main project's experience²⁴. In addition, the lessons and recommendation on the use of the FPAI will be compiled into a document. These 13 documents will be produced in two formats: (1) a Spanish version with executive summaries in English, French and Portuguese, and (2) an English version for international audiences. The project memoirs will be prepared in a format accessible to a general public (i.e., a communication document) with executive summaries in Spanish, English, French and Portuguese. All project documents will include executive summaries in Spanish and English.

It is foreseen that the project team will lead one CFI's global products that systematise lessons across projects, and will contribute to the thematic syntheses to be developed by the other child projects. The details on the theme and format will be decided with the CFI team during project implementation.

B. DESCRIPTION OF THE CONSISTENCY OF THE PROJECT WITH:

B.1 Consistency with National Priorities.

In Ecuador, the project is in line with the following instruments:

1. National Biodiversity Strategy 2015 - 2030²⁵. It is line with Result 8, which is aligned with Aichi target 6: "Ecuador sustainably use marine, coastal and fresh-water resources to ensure biodiversity conservation and the development of activities within safe ecological limits". This result has three targets:
Target 8.1: In 2020, coastal and marine resources are administered based on coastal and oceanic policies and agreements with peoples and nationalities.
Target 8.2: In 2020, aquaculture production systems have been adopted that are technical and economically feasible and which facilitate learning, in particular in algae and molluscs.
Target 8.3; In 2020, there is a legal and institutional environment which facilitates access to commercial mariculture in the first eight miles offshore, with preferential access to artisanal mariculture and in areas designated for this exclusive use.
2. Ecuador's national development plan, "Plan Nacional del Buen Vivir 2013-2017". It contributes to Objective 10, "to incentive the transformation of the productive matrix", an in particular policy 10.4 "to promote sustainable production and productivity and social inclusion and redistribution in the farming, aquaculture and fisheries sectors".

²³ PRODOC's annex 12 list the main projects and initiatives for coordination and collaboration that existed when the present project was prepared. Other projects and initiatives might develop during project execution.

²⁴ There will 12 learning experience documents: (1) dorado, (2) pomada, (3) concha, (4) cangrejo, and (5) atún con caña in Ecuador, (6) concha and (7) cangrejo in Peru, (8) strengthening artisanal fisheries governance and management in regional governments of Peru, (9) marine and coastal spatial planning in the Gulf of Guayaquil, (10) marine and coastal spatial planning in Sechura bay, (11) use of OHI in Ecuador, and (12) use of OHI in Peru..

²⁵ MAE. 2015. Estrategia Nacional de Biodiversidad 2015-2030. Ministerio del Ambiente del Ecuador (MAE). Quito, Ecuador: 167 pp.

3. Ocean and coastal policies, in particular policy 1 "to conserve the natural and cultural patrimony, ecosystems, and biological diversity of the coastal and marine zone, respecting nature's rights in mainland Ecuador, the Galapagos archipelago, the territorial sea, the contiguous zone, the exclusive economic zone and Antarctica", and policy 4 "to promote productive activities and prospecting for the efficient, inclusive and sustainable use of resources from the coastal zone, ocean, high seas and seabed".
4. National Policy for export of Ecuadorian green products: cocoa - chocolate and sustainable fisheries²⁶. It has two objectives; (i) create and strengthen a dynamic base of sustainable products from cocoa – chocolate and fisheries, and (ii) improve access to international markets. Four fisheries have been prioritized: (i) tuna, (ii) dorado, (iii) hake (*Merluccius gayi*), and (iv) pomada. It includes fostering individual and group certifications.
5. The National Plans of Action for dorado and pomada.

In Peru, the project is in line with the following instruments:

1. National Biodiversity Strategy 2021²⁷. The project is in line with strategic objective 1 "to improve biodiversity condition and maintain the integrity of ecosystem services", and strategic objective 3 "to reduce direct and indirect pressures on biological diversity and its ecosystem processes". It contributes to:
 - Target 1. "to 2021 sustainable and effective biodiversity management is consolidated in at least 17% of land area and 10% of marine area under several conservation modalities of conservation and in-situ management"; and
 - Target 6. "to 2021, it has increased in 20% the level of awareness and appreciation about the contribution of biodiversity to national development and wellbeing".
2. Peru's national development plan. With respect to the "Plan Bicentenario"²⁸. The strategic axis 6 (natural resources and environment) includes specific objective 1 "natural resources and biological diversity conserved and used sustainably, with participation and benefit to local population". This includes two indicators; (i) number of species subject to sustainable fisheries regulations, and (ii) percentage of natural protected areas with master plan under implementation. The updated version of 2015²⁹ includes within strategic axis 6 (environment, biodiversity and disaster risk management) a specific objective "to promote conservation and sustainable use of biological diversity", which includes an action to "monitor marine conditions and control overfishing, as well as oversee and supervise the sustainable management of fishery resources".
3. Organic Law of Regional Governments and Resolucion Ministerial 175-2006-PRODUCE, which transferred artisanal fisheries' competencies to Piura and Tumbes Regional Governments.
4. Guidelines for integrated management of coastal and marine areas³⁰.
5. Multisectoral commission in charge to prepare the plan for prevention and improvement of environmental quality of Sechura bay³¹.

²⁶ UNCTAD. 2015. Política Nacional de Exportación de productos verdes del Ecuador: cacao-chocolate y pesca sostenible. Conferencia de las Naciones Unidas sobre Comercio y Desarrollo (UNCTAD) - Ministerio de Comercio Exterior. Documento UNCTAD/DITC/TED/2015/5 Quito, Ecuador: 66 pp.

²⁷ MINAM. 2014. Estrategia nacional de diversidad biológica al 2021 y su plan de acción 2014-2018. Ministerio del Ambiente (MINAM). Lima, Perú: 112 pp.

²⁸ CEPLAN. 2011. Plan Bicentenario. El Perú hacia el 2021. Aprobado por el Acuerdo Nacional. Centro Nacional de Planeamiento Estratégico (CEPLAN). Lima, Perú: 265 pp.

²⁹ CEPLAN. 2015. Plan Estratégico de Desarrollo Nacional Actualizado Perú hacia el 2021. Centro Nacional de Planeamiento Estratégico (CEPLAN). Lima, Perú: 258 pp.

³⁰ Resolución Ministerial 189-2015-MINAM of 4 August 2015.

6. Fisheries Management Regulation for Tumbes (ROP Tumbes).

C. DESCRIBE THE BUDGETED M & E PLAN:

The project results as outlined in the project results framework will be monitored annually and evaluated periodically during project implementation to ensure the project effectively achieves these results. Supported by component three (knowledge Management and M&E), the project monitoring and evaluation plan (Annexes 2 and 3 of the Prodoc) will also facilitate learning and ensure knowledge is shared and widely disseminated to support the scaling up and replication of project results.

In addition to project-level monitoring, the M&E plan includes (i) programme-level monitoring of relevant indicators, (ii) ToC progress, and (iii) FPAI assessment.

For programme-level monitoring, a set of project targets have been set in line with CFI’s results framework indicators and targets (Annex 17 section B). The project will follow-up these indicators and will report to the CFI monitoring and evaluation team.

For ToC monitoring, the project will follow-up a set of ToC indicators to be monitored in all CFI’s child projects using common methodologies. In addition, a set of 19 CFI ToC indicators have been chosen to be monitored in the present project (Section B of Annex 18 of the PRODOC). At project start, a governance baseline will be prepared with initial rating of each of the 1st Order Tier Indicators (section A of Annex 18 of the PRODOC). This baseline will be the reference point for collaborative cross-project analysis of learning. The rating will be done jointly among the main project team and CFI key audiences (hereon “core group”). This core group will analyse the situation and progress subsequently during project implementation. In addition, also at project start, in coordination with the CFI team, the set of 19 ToC indicators will be validated and the methodology to measure them will be agreed on.

The core group will execute annual self-assessments to evaluate progress of the ToC. This will include rating the ToC indicators and review progress with respect to the 1st and 2nd Order outcomes. The results of the self-assessments will be shared with other CFI child projects to pool experience and identify common lessons. Progress with regards to CFI ToC will be assessed at project’s mid-term review and terminal evaluation (Annexes 2 and 3 of the PRODOC).

For FPAI assessment, the indicator will be calculated for the seven target fisheries at project start (baseline) and end (year 4). The convenience of an additional mid-term calculation will be decided during project implementation.

The mid-term review and terminal evaluation will include analyses on (i) progress of CFI theory of change, (ii) contribution to CFI global outcomes, (iii) the advance on compliance with Ostrom’s principles in the seven target fisheries, and (iv) advance in women contribution / impact to decision-making.

The following table summarise the mandatory GEF M&E requirements and the indicative M&E Budget:

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget ³² (USD)	Time frame
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³¹ Resolución Suprema 288-2014-CPM published in El Peruano of 14 August 2014.

³² Excluding project team staff time and UNDP staff time and travel expenses.

		GEF grant	Co-financing	
Inception Workshop	UNDP Country Office	USD 11,000	USD 10,000	Within two months of project document signature
Inception Report	Project Manager	None	None	Within two weeks of inception workshop
Standard UNDP monitoring and reporting requirements as outlined in the UNDP POPP	UNDP Country Office	None	None	Quarterly, annually
Monitoring of indicators in project results framework	Project Manager	USD 16,000	USD 16,000	Annually
GEF Project Implementation Report (PIR)	Project Manager and UNDP Country Office and UNDP-GEF team	None	None	Annually
NEX Audit as per UNDP audit policies	UNDP Country Office	USD 20,000	USD 20,000	Annually or other frequency as per UNDP Audit policies
Supervision missions	UNDP Country Office	None ³³	USD 10,000	Annually
Oversight missions	UNDP-GEF team	NoneError! Bookmark not defined.	USD 10,000	Troubleshooting as needed
Knowledge management as outlined in Outcome 3	Project Manager	1% of GEF grant	None	On-going
GEF Secretariat learning missions / site visits	Project Manager and UNDP-GEF team	None	USD 5,000	To be determined.
Mid-term GEF Tracking Tool to be updated by consultant	Project Manager	USD 10,000	None	Before mid-term review mission takes place.
Independent Mid-term Review (MTR)	UNDP Country Office and Project team and UNDP-GEF team	USD 30,000	USD 10,000	Between 2 nd and 3 rd PIR.
Final GEF Tracking Tool to be updated by consultant	Project Manager	USD 10,000	None	Before terminal evaluation mission takes place
Independent Terminal Evaluation (TE) included in UNDP evaluation plan	UNDP Country Office and Project team and UNDP-GEF team	USD 40,000	USD 12,000	At least three months before operational closure
Translation of MTR and TE	UNDP Country Office	USD 5,000	None	As required. GEF will only accept

³³ The costs of UNDP Country Office and UNDP-GEF's participation and time are charged to the GEF Agency Fee.

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget ³² (USD)		Time frame
		GEF grant	Co-financing	
reports into English				reports in English.
TOTAL indicative COST Excluding project team staff time, and UNDP staff and travel expenses		142,000	93,000	

The main M&E reports are:

1. **Inception Workshop and Report:** A project inception workshop will be held after the project document has been signed by all relevant parties to: a) re-orient project stakeholders to the project strategy and discuss any changes in the overall context that influence project implementation; b) discuss the roles and responsibilities of the project team, including reporting and communication lines and conflict resolution mechanisms; c) review the results framework and discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E plan; d) review financial reporting procedures and mandatory requirements, and agree on the arrangements for the annual audit; e) plan and schedule Project Board meetings and finalize the first year annual work plan. The Project Manager will prepare the inception report no later than one month after the inception workshop. The final inception report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Board.
2. **GEF Project Implementation Report (PIR):** The Project Manager, the UNDP Country Office, and the UNDP-GEF Regional Technical Advisor will provide objective input to the annual GEF PIR covering the reporting period July (previous year) to June (current year) for each year of project implementation. The Project Manager will ensure that the indicators included in the project results framework are monitored annually well in advance of the PIR submission deadline and are reported on accordingly in the PIR. The PIR that is submitted to the GEF each year must also be submitted in English and shared with the Project Board. The UNDP Country Office will coordinate the input of the GEF Operational Focal Point and other stakeholders to the PIR. The quality rating of the previous year's PIR will be used to inform the preparation of the subsequent PIR. The project's terminal PIR along with the terminal evaluation (TE) report and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the Project Board during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.
3. **GEF Focal Area Tracking Tools:** In line with its objective and the corresponding GEF Focal Areas/ Programs, this project will prepare the following GEF Tracking Tool(s): (i) International Waters Tracking Tool, and (ii) Tracking Tool for GEF-6 Biodiversity Projects as agreed with the UNDP-GEF RTA. The baseline/CEO Endorsement GEF Focal Area Tracking Tools – submitted in Annex to this project document – will be updated by the Project Manager and shared with the mid-term review consultants and terminal evaluation consultants before the required review/evaluation missions take place. The updated GEF Tracking Tools will be submitted to the GEF along with the completed Mid-term Review report and Terminal Evaluation report.
4. **Mid-term Review (MTR):** An independent mid-term review process will begin after the second PIR has been submitted to the GEF, and the final MTR report will be submitted to the GEF in the same year as the 3rd PIR. The MTR findings and responses outlined in the management response will be incorporated as recommendations for enhanced implementation during the final half of the project's duration. The terms of reference, the review process and the final MTR report will follow the standard templates and guidance available on the UNDP Evaluation Resource Centre (ERC). Additional quality assurance support is available from the UNDP-GEF Directorate. The final MTR report will be available in English and will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and approved by the Project Board.

5. Terminal Evaluation (TE): An independent terminal evaluation (TE) will take place before operational closure of the project. The Project Manager will remain on contract until the TE report and management response have been finalized. The terms of reference, the evaluation process and the final TE report will follow the standard templates and guidance available on the UNDP Evaluation Resource Centre. Additional quality assurance support is available from the UNDP-GEF Directorate. The final TE report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Board. The TE report will be publicly available in English on the UNDP ERC. The UNDP Country Office will include the planned project terminal evaluation in the UNDP Country Office evaluation plan, and will upload the final terminal evaluation report in English and the corresponding management response to the UNDP Evaluation Resource Centre (ERC). Once uploaded to the ERC, the UNDP Independent Evaluation Office will undertake a quality assessment and validate the findings and ratings in the TE report, and rate the quality of the TE report. The UNDP Independent Evaluation Office (IEO) assessment report will be sent to the GEF Independent Evaluation Office along with the project terminal evaluation report.

The UNDP Country Office will retain all M&E records for this project for up to seven years after project financial closure in order to support ex-post evaluations undertaken by the UNDP Independent Evaluation Office and/or the GEF Independent Evaluation Office.

PART III: CERTIFICATION BY GEF PARTNER AGENCY(IES)

A. GEF Agency(ies) certification

This request has been prepared in accordance with GEF policies³⁴ and procedures and meets the GEF criteria for CEO endorsement under GEF-6.

Agency Coordinator, Agency Name	Signature	Date (MM/dd/yyyy)	Project Contact Person	Telephone	Email Address
Adriana Dinu UNDP-GEF Executive Coordinator		19 May 2016	Jose Vicente Troya RTA – Waters & Oceans	507-302- 4656	Jose.troya@undp.org

³⁴ GEF policies encompass all managed trust funds, namely: GEFTF, LDCF, and SCCF

ANNEX A: PROJECT RESULTS FRAMEWORK (either copy and paste here the framework from the Agency document, or provide reference to the page in the project document where the framework could be found).

<p>Intended Outcome as stated in the UNDAF/Country Programme Results and Resources Framework: ECUADOR: UNDAF outcome 4 that involves UNDP: By 2018, support has been provided to strengthening institutional and citizen capacities to promote the rights of nature, create conditions for a sustainable low-emission development, and improve the resilience and risk management facing the impacts of climate change and natural and man-made disasters. PERU: UNDAF outcome 4. The State, with the participation of civil society, the private sector, scientific and academic institutions, will have designed, implemented and / or strengthened policies, programs and plans, with a focus on environmental sustainability, for the sustainable management of natural resources and the conservation of biodiversity.</p>
<p>Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets: ECUADOR: Indicator 4.1. Number of policy instruments developed and/or implemented at national and local levels according to their competencies and international and constitutions standards PERU: UNDP CPAP Peru 2012-2016. Number of State policies, plans and programs for social and economic development and private investment programs that incorporate objectives and targets for climate change resilience and environmental sustainability.</p>
<p>Applicable Outputs from the 2014 – 2017 UNDP Strategic Plan: Output 2.5. Legal and regulatory frameworks, policies and institutions enabled to ensure the conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems, in line with international conventions and national legislation</p>
<p>Applicable Output Indicators from the UNDP Strategic Plan Integrated Results and Resources Framework: Output 2.5. indicator 2.5.3: Number of countries implementing national and sub-national plans to protect and restore the health, productivity and resilience of oceans and marine ecosystems.</p>

	Objective and Outcome Indicators	Baseline³⁵	Mid-term Target³⁵	End of Project Target³⁵	Assumptions³⁶
Project Objective: To demonstrate holistic, ecosystem-based management and improved governance of coastal fisheries in the South-East Pacific.	<i>Number of fisheries with new or amended management regimes (e.g., improved governance, co-management, secure tenure or access rights regimes).</i>	0	2	7 ³⁷	<i>Political support from fisheries authorities Interest and collaboration from fishermen and value chain stakeholders</i>
	<i>Percentage of fisheries landings included in new or amended management regimes.</i>	<i>Concha ECU 0 Concha PER 0</i>	<i>Concha ECU 0 Concha PER 0</i>	<i>Concha ECU 40% Concha PER 100%</i>	<i>Interest of fishermen and interested parties of the value chains</i>

³⁵ Baseline, mid-term and end of project levels must be expressed in the same neutral unit of analysis as the corresponding indicator.

³⁶ Risks must be outlined in the Feasibility section of this project document.

³⁷ i.e., concha in Peru and Ecuador (two fisheries), cangrejo in Peru and Ecuador (two fisheries), dorado, pomada, and pole & line tuna in Ecuador.

	Objective and Outcome Indicators	Baseline³⁵	Mid-term Target³⁵	End of Project Target³⁵	Assumptions³⁶
		<i>Cangrejo ECU 0</i> <i>Cangrejo PER 0</i> <i>Dorado ECU 0</i> <i>Pomada 0</i> <i>Pole & line tuna 0</i>	<i>Cangrejo ECU 0</i> <i>Cangrejo PER 0</i> <i>Dorado ECU 0</i> <i>Pomada 0</i> <i>Pole & line tuna 0</i>	<i>Cangrejo ECU 100%</i> <i>Cangrejo PER 100%</i> <i>Dorado ECU 100%</i> <i>Pomada 100%</i> <i>Pole & line tuna 100%</i>	<i>Interest and collaboration of public entities related to fisheries governance (e.g., maritime authority, regional governments)</i>
	<i>Number of people benefitting from strengthened livelihoods through solutions for improved fisheries management</i>	<i>Concha ECU 0</i> <i>Concha PER 0</i> <i>Cangrejo ECU 0</i> <i>Cangrejo PER 0</i> <i>Dorado ECU 0</i> <i>Pomada 0</i> <i>Pole & line tuna 0</i>	<i>Concha ECU 0</i> <i>Concha PER 0</i> <i>Cangrejo ECU 0</i> <i>Cangrejo PER 0</i> <i>Dorado ECU 0</i> <i>Pomada 0</i> <i>Pole & line tuna 0</i>	<i>Concha ECU ≥600</i> <i>Concha PER ≥500</i> <i>Cangrejo ECU ≥5,000</i> <i>Cangrejo PER ≥300</i> <i>Dorado ECU ≥10,000</i> <i>Pomada ≥500</i> <i>Pole & line tuna ≥100</i>	<i>Interest and collaboration from fishermen and value chain' stakeholders</i>
Component 1. Enhancing and strengthening the capacity of key stakeholders for improved fisheries governance of coastal fisheries Outcome 1. Improved enabling conditions for fisheries governance in seven coastal	<i>Number of new or amended instruments to strengthen fisheries governance in coastal fisheries of Ecuador and Peru.</i>	0	3	7 ³⁸	<i>Support and collaboration from fisheries authorities and public entities related to fisheries governance (e.g., regional governments in Peru)</i> <i>Interest and collaboration from fishermen and other stakeholders of the value chain</i>
	<i>Number of people³⁹ (men and women, by</i>	0	≥600	>1500	<i>Women are interested and</i>

³⁸ New plans of action for concha, cangrejo and pole & line tuna in Ecuador, updated plans of action for dorado and pomada in Ecuador, updated management arrangements for concha and cangrejo in Peru.

	Objective and Outcome Indicators	Baseline³⁵	Mid-term Target³⁵	End of Project Target³⁵	Assumptions³⁶
fisheries of Ecuador and Peru.	<i>nationality) who have been trained (formal, non-formal and on-the-job) on key topics of improved fisheries governance and sustainable fisheries management.</i>		$\geq 30\%$ women	$\geq 30\%$ women	<i>participate in the process.</i>
	<i>Number and surface (ha) of coastal and marine protected areas with formal participatory fisheries governance schemes.</i>	0	Number = 1 Surface >20,000 ha	Number = 3 ⁴⁰ Surface >50,000 ha	<i>Support from competent authorities to install participatory fisheries governance schemes inside coastal and marine protected areas</i>
Component 2. Test methods and tools for coastal and marine spatial planning Outcome 2. Improved enabling conditions for coastal and marine spatial planning in Ecuador and Peru.	<i>Surface (ha) under a coastal and marine spatial planning process on each country.</i>	0	Ecuador = 751,000 ha Peru = 222,000 ha	Ecuador = 751,000 ha Peru = 222,000 ha	<i>Interest and collaboration from sectoral authorities (e.g., oil and gas, tourism) and local and national governments (e.g., municipalities, regional governments).</i>
	<i>Surface (ha) of coastal and marine protected areas included in the spatial planning process on each country</i>	0	Ecuador = $\geq 64 \times 10^3$ ha Peru = $\geq 54 \times 10^3$ ha	Ecuador = $\geq 64 \times 10^3$ ha Peru = $\geq 54 \times 10^3$ ha	<i>Interest and support from competent authorities to include coastal and marine protected areas into a wider context of spatial planning</i>
	<i>Number of people⁴¹ (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</i>	0	≥ 200 $\geq 50\%$ women	>400 $\geq 50\%$ women	<i>Women are interested and participate in the process.</i>

³⁹ i.e., fishermen, fish workers, members of the seafood value chain, local and national government staff.

⁴⁰ i.e., Reserva Ecológica Manglares Churute (Ecuador), Santuario nacional Manglares de Tumbes(Peru),

⁴¹ i.e., user groups, stakeholders, NGOs, local and national government staff.

	Objective and Outcome Indicators	Baseline³⁵	Mid-term Target³⁵	End of Project Target³⁵	Assumptions³⁶
Component 3. Knowledge Management and M&E Outcome 3. Lessons and best practice on improved fisheries governance and coastal and marine spatial planning have been shared with stakeholders within each country, among both countries and with global partners of the CFI Programme.	<i>Number of people (men and women, by nationality) who have participated in events for dissemination of lessons and best practice (e.g., workshops, study tours, seminars, IWC)</i>	0	>1000 people ≥ 50% women	>3000 people ≥ 50% women	<i>The information is attractive, useful and accessible to key stakeholders and interest groups</i>
	<i>Number of visitors per month (annual average) recorded in the network of electronic platforms used to disseminate project' learnings and best practice</i>	Visits 0 Unique visits 0	Visits ≥2000 Unique visits ≥1600	Visits ≥4000 Unique visits ≥3200	<i>Fishermen and coastal communities have adequate internet access</i>

ANNEX B: RESPONSES TO PROJECT REVIEWS (from GEF Secretariat and GEF Agencies, and Responses to Comments from Council at work program inclusion and the Convention Secretariat and STAP at PIF).

Question 2. Is the description of the baseline scenario reliable, and based on sound data and assumptions? Are the activities that will be financed using GEF/LDCF/SCCF funding based on incremental/ additional reasoning?

1. Root causes: the complexity and lack of transparency of the supply chain and the market have been identified as one of the root causes of fisheries unsustainability, please better develop this aspect in the paragraph. In the three priority geographies, it is unclear what the root causes are, please revise and make it more specific.

CFI response on 25March2015. Root causes: Please see paragraph 15 onwards for Root causes related to complexities in supply chain and markets and lack of transparency for the three priority geographies. This will be further expanded by the three child projects during full project preparation.

Answer. A root cause analysis is included in the Prodoc (see section “The development challenge in Ecuador and Peru” and Annex 7). The project focus on weak fisheries governance of artisanal and small-scale fisheries. It will not fully address the issues related to lack of transparency of the supply chain (though there will be trials with traceability systems in the dorado, pomada and tuna fisheries). Transparency of the value chain is an element that will be addressed by another GEF project that is initiating implementation (i.e., Global Sustainable Supply Chains for Marine Commodities).

2. Baseline: as a general comment, the baseline should better depict what are the major on-going initiatives at global and regional levels outside the GEF network. For example, what EC, bilaterals, IFI, big foundations are doing in the coastal fisheries management field. Second general comment, CFI will target all kind of fisheries inside the EEZ, the baseline gives the wrong impression that CFI will focus on SSF only, please adjust accordingly.

CFI response on 25March2015. Baseline - general comments: Baseline has been updated and further information will be provided in full project documents of all child projects. The CFI partners agree that the focus is not only on SSF. However, significant focus of the CFI is on SSF and medium scale fisheries in all three CFI regional/national components.

Answer. During preparation work the governments of Ecuador and Peru and project partners selected small-scale and artisanal fisheries to be the focus of the project. Industrial fisheries have better management schemes. In contrast, small-scale and artisanal fisheries have serious governance problems.

Question 4. Are socio-economic aspects, including relevant gender elements, indigenous people, and CSOs considered?

03/18/2015: The socio-economic aspects and CSOs involvement in the program represent core pillars of the CFI. Comprehensive information is provided on the baseline and how the project will address these aspects. However, it may be helpful to map the key stakeholders and their prospective roles per Program Component. With regards to socio-economic benefits, the discussion on benefits to stakeholders is presented but the PFD would benefit by emphasizing this element more strongly here noting that the program will particularly seek to generate benefits-- tangible monetary and non-monetary-- that will accrue to local communities and those working on sustainable fisheries supply chain. At CEO endorsement, it is expected that the child projects provide specific and quantifiable information.

03/26/2015: Comment addressed. At CEO endorsement, it is expected that the child projects provide specific and quantifiable information. Cleared.

CFI response on 25March2015. Stakeholders involvement section stresses the need for CSO involvement. On socioeconomic benefits, both direct monetary and other benefits are also noted (see paragraph 108). The benefits will be detailed in each child projects at CEO endorsement stage as noted in the GEFSEC review.

Answer. Stakeholders and CSOs participated in project preparation and will have specific roles in project execution. Annex 11 list groups and organizations that will participate / contribute on each project activity.

Social and economic benefits have been identified and are summarized on sections “Target groups and direct beneficiaries” and “Indirect beneficiaries and other target groups” of the Prodoc and section “A.7 Benefits” of the present document.

Question 10. Does the program have description of knowledge management plan?

03/18/2015: Yes, preliminary information is provided. It is noted that the program will build as much as possible on existing platform, initiative; such as IW-learn. It is also noted that a comprehensive KM management plan will be further developed during the PPG phase and presented under the child project: Global partnership. Cleared.

Answer. The backbone of the present project is generation and dissemination of lessons. Component 3 focus on knowledge management and will support the other component to systematically document and disseminate learnings. The project’s electronic platform (Figure 4) will be integrated with CFI and IW:LEARN web platforms.

Question 11. Is the proposed Grant (including the Agency fee) within the resources available from (mark all that apply):

the STAR allocation?

Answer: Peru assigned USD458,716 of biodiversity STAR allocation.

STAP Scientific and Technical screening of the Project Identification Form (PIF)

In paragraph 29 enabling conditions for catalyzing a change are defined as "the environmental, policy, legal and institutional framework for fisheries management". This is an overly narrow definition that sees the factors most critical to an advance towards the ecosystem approach to fisheries (EAF) as lying primarily within government. There is, however, abundant evidence that a constituency for change among the fishers themselves and market based strategies (such as certification of sustainable fisheries) are often equally important. A threshold of sufficient capacity to bring about the changes required if more sustainable coastal fisheries are to be achieved is another critical enabling condition. Furthermore the formal adoption of policies and the legal framework for fisheries does not always signal that there is commitment within government for change. Such commitment needs to be gauged by additional sources of evidence. The term "enabling conditions" implies that the fundamental pre-conditions for an EAF initiative are present and such conditions cannot be limited to the formal governmental machinery as implied by this narrow definition.

Answer. The present project focus on building conditions to sustain improved fisheries governance. The key tool is public-private communities of learning in which stakeholders can interact, have multi-level dialogue, and develop relationships of understanding and trust. The project assumptions and strategy are summarized in section “II. Strategy” of the Prodoc.

In the opinion STAP, this element of the proposal would be greatly strengthened if the discussion of the five thematic areas recognized that the priorities and therefore the design of an initiative needs to be tailored to the needs, the problems and opportunities posed by coastal fisheries in a given place. The strengths and weaknesses of the existing governance system will play a major role in shaping an effective strategy for promoting EAF. Such an analysis of the context is as important as the analysis of the values and priorities of those undertaking fisheries reform. It must be recognized that what works to advance EAF in one locale or region will not necessarily be effective where the initial conditions are different. This important point is absent from the Section (a) discussion.

Answer. This recommendation was taken into account during project preparation. A thorough analysis of the situation and context was done to identify key issues and barriers to governance of small-scale and artisanal fisheries in Ecuador and Peru. A key element of project design is that communities of practice will develop self-organised governance frameworks for each of the seven target fisheries. A major element will be cross-fertilization among the communities of practice, but it is recognised that one solution will not fit all. It is expected that each group will develop and test arrangements that are appropriate to its particular reality.

Compilation of comments submitted by Council Members on the June 2015 work program

Comments from Germany

The full proposal should clearly point out (according to 53. and 54. on page 18 of the program framework document), while combining the introduction of co-management and rights based fisheries management approaches, that any implementation of the right-based approaches in partner countries will be compliant with the FAO Voluntary Guidelines on Small Scale Fisheries and based on stakeholder participation (including small-scale fisheries).

Answer. The present child project clearly states that component 1 (communities of practice of the seven target fisheries) will include as transversal topics the application of the code of conduct for responsible fisheries, the voluntary guidelines for securing sustainable small-scale fisheries, and the potential impacts of climate variability and climate change [paragraph 43 of the Prodoc].

Comments from the USA

The PFD should explain how other GEF projects intersect with and reinforce the CFI. In particular, we would like more details regarding how this project will work with current GEF efforts (e.g. Humboldt current LME project) to promote sustainability in the anchovy fishery and conservation solutions through Marine Spatial Planning.

Answer. Annex 12 of the Prodoc indicate relevant existing projects and the elements for collaboration / coordination with the present child project. With respect to the Humboldt current LME project (GEF-ID 3749), it will close during 2016. Therefore, the present project will build on the results of this initiative. The anchovy fishery was not prioritized by the Government of Peru to be included as one of the target fisheries of the present project. Coastal and Marine Spatial Planning (CMSP) will be an entire component of the project (i.e., component 2). There will be two CMSP exercises: in the northern-outer Gulf of Guayaquil (Ecuador) and Sechura bay (Peru). These exercises will use NOAA's methods and tools, with adjustments to local conditions, to conduct a participatory planning process of these areas. A centrepiece of this work will be exploring how to reconcile spatial planning with coastal fisheries governance and management. These exercises will build on Ica's CMSP pilot that was initiated by the Humboldt project during 2015.

Page 11, Paragraph 28: We believe Chile and Peru collaborate on sustainable fisheries in the context of the HCLME, rather than Ecuador and Peru.

Answer. Indeed, this was a typing mistake. Ecuador did not participate in the Humboldt project.

Page 11, Paragraph 29: We note that WWF is supporting trainings for MSP in Peru, and this should be tied in with already ongoing HCLME efforts on (C)MSP. Will funding directly support LME project work? LME projects will provide critical support to the CFI, and the PFD should specify the amount of funding for on-the-ground project implementation.

Answer. WWF will not contribute to the project's CMSP component. It was agreed that Conservation International will execute component 2 (which includes CMSP and Ocean Health Index), with support of NOAA. The Government of Ecuador ratified that CI will be the responsible party of component 2. The Government of Peru did not decide on the responsible parties for their project elements; this decision will be taken at project start.

The present project used the information of the Transboundary Diagnostic Analysis as input for Prodoc preparation. However, it was not possible to have precise alignment with the Strategic Action Programme (SAP), until 14 April 2016 Humboldt's SAP was not yet officially approved by the Governments of Chile and Peru. Therefore, CFI funds will support on-the-ground actions with artisanal and small-scale fisheries that were decided with the Government of Peru, but may not necessarily fully support implementation of the SAP.

The GEF IW:LEARN project should be clearly identified as an important partner.

Answer. This has been done. The project's electronic platform will be integrated with IW:LEARN.

ANNEX C: STATUS OF IMPLEMENTATION OF PROJECT PREPARATION ACTIVITIES AND THE USE OF FUNDS⁴²

A. Provide detailed funding amount of the PPG activities financing status in the table below:

PPG Grant Approved at PIF: USD 200,000			
<i>Project Preparation Activities Implemented</i>	<i>GEF/LDCF/SCCF Amount (\$)</i>		
	<i>Budgeted Amount</i>	<i>Amount Spent To date</i>	<i>Amount Committed</i>
Technical Reviews, studies and preliminary assessments.	42,000	35,115.29	6,884.71
Results Framework, Management Arrangements and Monitoring and Evaluation	33,000	23,046.86	9,953.14
Financial planning and co-financing	33,000	13,760.00	19,240.00
Documentation Review and drafting	60,000	56,668.08	3,331.92
Validation Workshop	19,000	20,254	0.00
Final Documentation revision	10,000		8,746.00
Final Prodoc	3,000		3,000
Total	200,000	148,844.23	51,155.77

⁴² If at CEO Endorsement, the PPG activities have not been completed and there is a balance of unspent fund, Agencies can continue to undertake the activities up to one year of project start. No later than one year from start of project implementation, Agencies should report this table to the GEF Secretariat on the completion of PPG activities and the amount spent for the activities. Agencies should also report closing of PPG to Trustee in its Quarterly Report.