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01/2020**

**Mid-term evaluation of  
“Sustainable management of bycatch  
in Latin America and Caribbean trawl  
fisheries”**

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# Contents

Boxes, Figures and Tables .....	iv
Acknowledgements .....	v
Acronyms and abbreviations.....	vi
Executive Summary .....	vii
<b>1. Introduction .....</b>	<b>1</b>
1.1 Purpose of the evaluation .....	1
1.2 Intender users .....	1
1.3 Scope and objective of the evaluation.....	1
1.4 Methodology.....	2
1.5 Limitations.....	4
1.6 Structure of the report.....	4
<b>2. Background and context of the project .....</b>	<b>5</b>
2.1 Evaluation questions: Key findings .....	11
Evaluation Question 1: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results? .....	11
Evaluation Question 2: To what extent have the expected outcomes and objectives of the project been achieved thus far?.....	14
Evaluation Question 3: Has the project been implemented efficiently, cost-effectively, and been able to adapt to changing conditions thus far? .....	23
Evaluation Question 4: To what extent has the project supported financial, institutional, socio-economic, and/or environmental improvements to sustain long-term project results?.....	25
<b>3. Cross-cutting issues .....</b>	<b>29</b>
3.1 Gender analysis .....	29
3.2 Environmental and social safeguards.....	30
<b>4. Process and factors affecting attainment of outcomes .....</b>	<b>33</b>
4.1 Materialization of co-financing (in relation to the co-financing table in the Appendices) 33	
4.2 Stakeholder engagement.....	34
<b>5. Additional assessments (as related to the Rating table) .....</b>	<b>35</b>
5.1 Assessment of project implementation and execution .....	35
<b>6. Conclusions and recommendations .....</b>	<b>37</b>
6.1 Conclusions.....	37
6.2 Recommendations .....	39
<b>Bibliography .....</b>	<b>43</b>
<b>Appendices.....</b>	<b>44</b>
Appendix 1. FAO-GEF Evaluation Criteria Rating Table and Rating Scheme.....	44
1.1 FAO-GEF Evaluation Criteria Rating Table .....	44
1.2 Rating Scheme.....	46
Appendix 2. FAO-GEF Co-financing Table .....	48
Appendix 3. Evaluation Matrix.....	50
Appendix 4. Country Level Activities at Design .....	55
Appendix 5. Questionnaire .....	65
Appendix 6. List of stakeholders consulted.....	66

## **Boxes, Figures and Tables**

### **Boxes**

Box 1: Evaluation questions.....	2
Box 2: Project components.....	7
Box 3: Needs identified during project design, by country .....	11

### **Figures**

Figure 1: REBYC-II LAC Project management structure.....	9
Figure 2: Number of trawlers and employment in shrimp fisheries in project countries in 2014 ...	15
Figure 3: Examples of management measures implemented in project countries.....	16

### **Tables**

Table 1: Financing and co-financing plan (in USD).....	10
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## **Acronyms and abbreviations**

CRFM	Caribbean Regional Fisheries Mechanism
EAF	Ecosystem approach to fisheries
FAO	Food and Agriculture Organization of the United Nations
GEF	Global Environment Facility
LAC	Latin America and the Caribbean
NOAA	National Oceanic and Atmospheric Administration
	Reduction of Environmental Impact from Tropical Shrimp
REBYC	Trawling, through the Introduction of Bycatch Reduction Technologies and Change of Management (project)
SSF	Small-scale fisheries
SO	Strategic Objective
WECAFC	Western Central Atlantic Fishery Commission

# Executive Summary

## Introduction

1. The Sustainable management of bycatch in Latin America and Caribbean trawl fisheries (REBYC-II LAC) project in the Latin America and Caribbean (LAC) region - Brazil, Colombia, Costa Rica, Mexico, Suriname and Trinidad and Tobago - was initiated in March 2015. It has an expected NTE date (end date) of February 2020. FAO is the GEF implementing and executing agency, responsible for supervision, provision of technical guidance and financial execution and operation of the project. The project's partners are the Western Central Atlantic Fishery Commission (WECAFC) the University of the West Indies and the National Oceanic and Atmospheric Administration (NOAA) of the federal government of the United States as well the national fisheries authorities of the individual countries involved. The intervention built upon earlier projects including the "Reduction of Environmental Impact from Tropical Shrimp Trawling, through the Introduction of Bycatch Reduction Technologies and Change of Management (REBYC)" project. The REBYC-II LAC project has a planned duration of five years and a total budget of USD 22 997 648 consisting of USD 5.8 million of GEF funding and USD 17 197 648 of co-financing.
2. This is the report of the mid-term evaluation of the "Sustainable management of bycatch in Latin America and Caribbean trawl fisheries (REBYC-II LAC)" project in the Latin America and Caribbean (LAC) region implemented in the following countries: Brazil, Colombia, Costa Rica, Mexico, Suriname and Trinidad and Tobago. The purpose of the mid-term evaluation is to identify the status of the project in terms of its achievements and challenges, and to generate recommendations for corrective actions (if needed) to ensure that the project will be on track to achieve its desired results within the remaining period of implementation. Aside from contributing to organizational learning and informed planning, the mid-term evaluation will also serve a purpose of establishing accountability of the project custodians to the donors and the host countries.
3. The primary audience / users of the evaluation are the main project decision-makers and implementers, specifically Ministries and departments of Fisheries, the Western Central Atlantic Fishery Commission (WECAFC), the Caribbean Regional Fisheries Mechanism (CRFM), the Food and Agriculture Organization of the United Nations (FAO) and other members of the Project Steering Committee, as well as the National Focal Points, and other co-implementing partners. In addition, the report is destined for the Global Environment Facility (GEF), as well as the GEF-FAO Liaison Unit. They will specifically benefit from the evaluation findings and recommendations on how to further improve the implementation of activities.
4. The scope of the mid-term evaluation was to assess the project over its implementation period from March 2015 to December 2018, covering all project components and activities implemented and/or achieved thus far. The geographic scope of the evaluation entails all the countries involved in the project. The evaluation surveyed the project's achievements at the regional, national and sub-national levels where pilot site-level activities were implemented.
5. The list of evaluation questions per evaluation criteria (relevance, effectiveness, efficiency, and sustainability) were as follows: Relevance of the Intervention: To what extent is the

project strategy relevant to country priorities, country ownership, and the best route towards expected results?; Effectiveness of the Project: To what extent have the expected outcomes and objectives of the project been achieved thus far?; Efficiency of the Project: To what extent is the project making best use of available human, technical, technological, financial and knowledge inputs to achieve its desired results; Potential for Sustainability: To what extent has the project supported financial, institutional, socio-economic, and/or environmental improvements to sustain long-term project results?

6. Different types of instruments and methods of analysis were used for this evaluation. The first methodological tool developed for this analysis was the evaluation matrix. The tools chosen for the evaluation, with a mixture of assessments based on primary and secondary data as well as a combination of information from secondary quantitative sources and qualitative material, were selected in order to provide a spectrum of information and to validate and triangulate findings. The specific methods used for data collection to answer the evaluation questions were the following: Desk review/Document analysis; key informant interviews; field visits of project sites. A questionnaire was developed with central questions related to the evaluation criteria and general development of the Project and sent to key stakeholders in countries not visited in order to gather further input and strengthen the participation of those countries where the evaluation mission could not travel due to budgeting and time limitations. Stakeholders' engagement in the evaluation was quite high and came from very diverse types of stakeholders and groups that were directly or indirectly involved in the REBYC-II LAC Project. The engagement in dialogue with this varied group of actors from all sorts of institutions and the high level of varied involvement and interviews contributed to the credibility of the evaluation findings.

## **Main findings**

7. The main findings of the evaluation are presented below, grouped by evaluation question.

Evaluation Question 1: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?

**Finding 1. The participation of various stakeholders and non-state actors in the project has been encouraged since project design.**

**Finding 2. The project, its area of work and its strategy are overall relevant and in agreement to each country's priorities, as well as GEF and FAO priorities.**

**Finding 3. Country ownership of project activities is high in most countries.**

**Finding 4. The results matrix is robust and appropriate for the project's logic of the intervention.**

Evaluation Question 2: To what extent have the expected outcomes and objectives of the project been achieved thus far?

**Finding 5. The Project's effectiveness has varied radically from country to country and consequently so have the outputs, yet there are a series of achievements, both at the output and at the effect levels. Nevertheless, a vision is still lacking on how the different country outputs and products will or should be used to influence policy. Furthermore, there is also a lack of strategic vision on how to prompt behavioural change and what are the incentives that can be triggered to cause this.**



Evaluation Question 3: Has the project been implemented efficiently, cost-effectively, and been able to adapt to changing conditions thus far?

**Finding 6. The Project's efficiency in implementation varied by country. Most country level implementation adapted to changing conditions. At the regional level, partnering with institutional stakeholders has been effective and positively influenced project efficiency. Regional administration of the project, however, was negatively affected by administrative and financing issues.**

Evaluation Question 4: To what extent has the project supported financial, institutional, socio-economic, and/or environmental improvements to sustain long-term project results?

**Finding 7. Strong ownership by governments and other key stakeholders offers a foundation for sustainability of outcomes which have been achieved or which should be achieved in the concluding stage of the project. Nevertheless, the lack of a strategic vision regarding the need to produce outcomes (not only products or outputs) and generate national financial as well as institutional capacities can also play a role in undermining sustainability if no corrective measures are taken.**

Finding Cross Cutting Issues: Gender.

**Finding 8. Design included some gender aspects for the Project as a whole. Several of the countries have pursued a gender dimension, mainly within the component dealing with livelihoods. Some countries have implemented on the ground processes in order to enhance the livelihood prospects of women affected by shrimp trawling bans. Other countries have carried out analysis (value chain, socio-economic) that include to varying degrees a gender dimension, yet there are no substantial changes as of yet, which is expectable since these analyses are just being carried out almost at the same time as this evaluation. Some countries have not, thus far, fully included gender aspects in their implementation.**

Finding Cross Cutting Issues: Environmental and social safeguards.

**Finding 9. Environmental safeguards are key elements of the REBYC-II LAC Project. One of the Project's explicit main objective is to diminish negative environmental impact of shrimp trawling, mainly through the reduction of discards and bycatch as well as through integrated management. Furthermore, a series of social issues, or safeguards, are embedded in the project. These issues, in order to support sustainable development within the shrimp trawling sector, include specific products and expected outcomes to support enhanced and equitable livelihoods and food security issues associated to bycatch. Hence, the project has clear equity and development factors weaved in several of its expected outcomes.**

Finding: Materialization of Co-financing.

**Finding 10. Co-financing confirmed at the Project's endorsement and approval stages was quite substantial. Most co-financing has materialized for most countries at expected levels or much higher levels than committed. Furthermore, co-financing from other partners (committed or not committed) has also emerged.**

Finding: Stakeholder Engagement.

**Finding 11. Project has been highly successful in involving different stakeholders in all the countries where implementation is taking place as well as at the regional level. Project has been highly successful at the regional level and within most of the countries involved in engaging diverse institutional stakeholders and partnering with them.**

Finding: Assessment of project implementation and execution.

**Finding 12. Quality of project implementation and execution has been moderately satisfactory in some respects and satisfactory in others. Quality of technical project oversight by FAO has been satisfactory, although the project has had to seek outside consultancies in some instances. Finance planning for regional level oversight and activities has been deficient.**

Finding: Monitoring and Evaluation.

**Finding 13. Project-level monitoring and reporting has been carried out appropriately and in a timely manner, for the most part, and has supported the project's implementation.**

## **Conclusions**

**Conclusion 1. The project remains relevant and its overall strategy is pertinent and in alignment with each country's priorities, as well as GEF and FAO priorities. This has aided in fostering high-level country ownership in most countries, but it has also caused imbalances in implementation resulting in countries performing at different levels.**

**Conclusion 2. The Project design logic is appropriate, although overly ambitious at times, and applied in countries with widely differing situations as they relate to fisheries and to shrimp trawling. This ambitiousness in design is having lasting impacts on implementation, hindering execution in some countries and resulting in several countries underperforming.**

**Conclusion 3. Notwithstanding issues in design and implementation difficulties, overall the project has had a series of achievements, mainly at the output levels, but also some achievements in terms of effects.**

**Conclusion 4. Regional project coordination has been efficient and effective, but it has been negatively affected by administrative and financing issues.**

## **Recommendations**

**Recommendation 1. To FAO and GEF: For future programming, design of projects should be streamlined based on initial assessments and include suitable financing.**

**Recommendation 2. To the country partners, coordination unit and FAO: Review log frame and adjust expected outputs vis-à-vis time left to implement. For the Regional Coordination, review expected outputs and streamline in order to properly budget not only the expected products but also funds for staffing, coordination activities, etc.**

**Recommendation 3. To Technical Team, FAO: It is necessary to include other gears that catch shrimp to estimate the carrying capacity of the fishery at a sustainable level.**

**Recommendation 4. To Coordination Unit, FAO and GEF: Establish if there is a need for a no-cost extension and begin to generate the mechanisms for requesting it if needed.**

**Recommendation 5. To Project Coordination and FAO: Encourage all project main stakeholders at the national level to understand the link between products and expected outcomes, as well as the results-based nature of a project such as this.**

**Recommendation 6. To Project Coordination and country-level partners: Generate knowledge management products and user – friendly materials, especially in order to reach stakeholders at different levels (policy and decision – makers, fishers, etc.).**

**Recommendation 7. To the Project partners at the national level and to Regional Coordination: Concrete actions that would make the project more sustainable need to be fostered and implemented as soon as possible.**

**Recommendation 8. To FAO: Streamline and accelerate administrative and operational mechanisms in order to be more efficient in project implementation and harmonize administrative issues at the various levels at which the Project operates.**

# **1. Introduction**

1. This is the report of the mid-term evaluation of the "Sustainable management of bycatch in Latin America and Caribbean trawl fisheries (REBYC-II LAC)" project in the Latin America and Caribbean (LAC) region implemented in the following countries: Brazil, Colombia, Costa Rica, Mexico, Suriname and Trinidad and Tobago.

## **1.1 Purpose of the evaluation**

2. The purpose of the mid-term evaluation is to identify the status of the project in terms of its achievements and challenges, and to generate recommendations for corrective actions (if needed) to ensure that the project will be on track to achieve its desired results within the remaining period of implementation. Aside from contributing to organizational learning and informed planning, the mid-term evaluation will also serve a purpose of establishing accountability of the project custodians to the donors and the host countries.

## **1.2 Intender users**

3. The primary audience / users of the evaluation are the main project decision-makers and implementers, specifically Ministries and departments of Fisheries, the Western Central Atlantic Fishery Commission (WECAFC), the Caribbean Regional Fisheries Mechanism (CRFM), the Food and Agriculture Organization of the United Nations (FAO) and other members of the Project Steering Committee, as well as the National Focal Points, and other co-implementing partners. In addition, the report is destined for the Global Environment Facility (GEF), as well as the GEF-FAO Liaison Unit. They will specifically benefit from the evaluation findings and recommendations on how to further improve the implementation of activities.

## **1.3 Scope and objective of the evaluation**

4. The scope of the mid-term evaluation was to assess the project over its implementation period from March 2015 to December 2018, covering all project components and activities implemented and/or achieved thus far. The geographic scope of the evaluation entails all the countries involved in the project. The evaluation surveyed the project's achievements at the regional, national and sub-national levels where pilot site-level activities were implemented.
5. The objectives of the mid-term evaluation were to: (i) assess the results achieved by the project thus far, as well as the extent to which these contributed to project objectives; (ii) assess the sustainability of the project intervention and its potential impact, if any, in the long-term; and (iii) identify lessons learned from project design, execution and management in order to provide recommendations for the remaining period of implementation.
6. The list of evaluation questions per evaluation criteria (relevance, effectiveness, efficiency, and sustainability) is shown in Box 1.

### Box 1: Evaluation questions<sup>1</sup>

#### **1. Relevance of the Intervention**

To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?

#### **2. Effectiveness of the Project**

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

#### **3. Efficiency of the Project**

To what extent is the project making best use of available human, technical, technological, financial and knowledge inputs to achieve its desired results?

#### **4. Potential for Sustainability**

To what extent has the project supported financial, institutional, socio-economic, and/or environmental improvements to sustain long-term project results?

## 1.4 Methodology

7. The evaluation team consisted of two persons, Ms Maria Onestini, team leader, and Mr Guillermo Moreno, fisheries expert. Prior to field work, as part of inception for the evaluation process, the team held extensive online meetings with FAO staff and project personnel. The field work was conducted in Colombia (December 2–6 2018); Brazil (December 6–11 2018); Trinidad and Tobago (January 27–30 2019), and Barbados (January 30–February 3, 2019). Several pilot sites were visited in the three countries where the missions took place and where the project is being implemented (Colombia: Buenaventura; Brazil: Anhatomirim and Itajai; and Trinidad and Tobago: Oropouche and Blue River).
8. Different types of instruments and methods of analysis were used for this evaluation. The first methodological tool developed for this analysis was the evaluation matrix. This matrix displays the evaluation questions with regards to indicators, sources of data, and data collection approaches. It also delineates information needs, indicators and sub-questions for each evaluation question. In general, the evaluation matrix guided the evaluation process.
9. The tools chosen for the evaluation, with a mixture of assessments based on primary and secondary data as well as a combination of information from secondary quantitative sources and qualitative material, were selected in order to provide a spectrum of information and to validate and triangulate findings. These methods allowed for in-depth exploration and yield information that facilitates understanding of observed changes in planned outcomes and outputs. In addition, a combination of methods to gain feedback were sought to triangulate information gathered, which underpinned the validation and analysis and supported development of conclusions and recommendations. The specific methods used for data collection to answer the evaluation questions were the following:

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<sup>1</sup> Source: The evaluation questions stem from the Terms of Reference for the mid-term evaluation of the REBYC-II LAC Project.

- i. Desk review/Document analysis: The documentation analysis examined documents provided prior and during the main data collection phase. These included documents of an operational nature (Project Document, project implementation reports of the different countries, etc.) and documents of a more technical/content nature developed or being developed at the time of the mid-term evaluation. The list of documents consulted can be found in the Bibliography.
  - ii. Key informant interviews: 98 interviews were conducted through a series of open and semi-open questions raised to selected stakeholders involved in the Project directly and indirectly. Key actors (stakeholders) were analyzed via a stakeholder mapping and typology. The interviews were carried out in person during the mission to the different countries, either one on one or grouped basis. For the countries not visited (Costa Rica, Mexico, and Suriname) online interviews were carried out. The list of stakeholders engaged is included as Appendix 6.  

Field visits of project sites: Direct observation took place (in addition to stakeholder interviews) at several project pilot sites in the countries visited by the evaluation team (Brazil, Colombia and Trinidad and Tobago).
  - iii. Questionnaire: A questionnaire was developed with central questions related to the evaluation criteria and general development of the Project. It was sent to key stakeholders in countries not visited (Costa Rica, Mexico, and Suriname) in order to gather further input and strengthen the participation of those countries where the evaluation mission could not travel due to budgeting and time limitations. This questionnaire can be found in Appendix 5.
  - iv. Stakeholder engagement: Stakeholders' engagement in the evaluation (see list of persons consulted in Appendix 6) was quite high and came from very diverse types of stakeholders and groups that were directly or indirectly involved in the REBYC-II LAC Project. The engagement in dialogue with this varied group of actors from all sorts of institutions and the high level of varied involvement and interviews contributed to the credibility of the evaluation findings.
10. Two criteria were used to select countries to visit: performance and geographic representativeness. The wide geographic spread of the countries involved in the project and, within several of these countries, the extended geographic spread between sites presented challenges to the evaluation team because of the need to obtain a comprehensive sample of countries and sites yet remain within the resources provided for the evaluation. Regarding the countries to be visited by the evaluation team member(s), the guiding criteria used was to carry out the mission in project countries with different performance levels as determined by project implementation personnel and by FAO at the planning stages of this evaluation (that is one country that is performing highly satisfactorily, one that is performing satisfactorily and one that is underperforming) using information from monitoring materials for these criteria.
  11. Secondly, the evaluation team was to cover countries in the Caribbean and South America. Therefore, in order to be aligned with these criteria, three countries were selected to be part of the missions (Brazil, Colombia, as well as Trinidad and Tobago). Similar criteria were used to choose pilot sites to visit in these countries (i.e. performance of the sites, distinctiveness). Furthermore, stakeholders from sites that were not visited travelled to the areas where the mission took place in order to liaise with the evaluation team. All of the above also reflects the challenges for engaging with relevant stakeholders due to the

brevity of the mission itinerary. Lastly, the evaluation team leader, along with the Evaluation Manager from FAO's Office of Evaluation, travelled to FAO's Subregional Office in Barbados to liaise with the regional project coordinator as well as with other regional partners.

## **1.5 Limitations**

12. The main limitations identified were time and resources that resulted in a restriction to the number of days (and therefore countries/sites visited) in the missions. The evaluation adopted mitigation strategies in response to the identified limitations to carry-out the evaluation. The mitigation strategy employed consisted of engaging stakeholders in countries or sites not visited during missions through alternative means including interviews via telephone, online, and online questionnaires (a list of the interviewed stakeholders by country is found in Appendix 6). A final limitation identified in the preparation phase was the lack of availability of stakeholders from countries undergoing administrative transitions (such as Brazil). In these cases, the evaluation team mitigated this issue by ensuring that outgoing government officers were accessed, even if no longer in office, so that their points of view and expertise in the implementation were harnessed.

## **1.6 Structure of the report**

13. The structure of the report is as follows. Chapter 2 presents the background and context of the project. Chapter 3 shows key findings in the areas of relevance, effectiveness and efficiency. Chapter 4 presents findings related to cross-cutting issues. Chapter 5 deals with those findings linked to processes and factors affecting attainment of outcomes. Chapter 6 has additional assessments. Chapter 7 conclusions and recommendations, and Chapter 8 lessons learned.

## 2. Background and context of the project

14. The Sustainable management of bycatch in Latin America and Caribbean trawl fisheries (REBYC-II LAC) project in the Latin America and Caribbean (LAC) region – Brazil, Colombia, Costa Rica, Mexico, Suriname and Trinidad and Tobago – was initiated in March 2015.<sup>2</sup> It has an expected NTE date (end date) of February 2020. FAO is the GEF implementing and executing agency, responsible for supervision, provision of technical guidance and financial execution and operation of the project. The project's partners are the Western Central Atlantic Fishery Commission (WECAFC) the University of the West Indies and the National Oceanic and Atmospheric Administration (NOAA) of the federal government of the United States as well the national fisheries authorities of the individual countries involved. The intervention built upon earlier projects including the "Reduction of Environmental Impact from Tropical Shrimp Trawling through the Introduction of Bycatch Reduction Technologies and Change of Management (REBYC)" project. The REBYC-II LAC project has a planned duration of five years and a total budget of USD 22 997 648 consisting of USD 5.8 million of GEF funding and USD 17 197 648 of co-financing.

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<sup>2</sup> The FAO PROJECT ID is 621538 and the GEF/LDCF/SCCF PROJECT ID is 5304.



**Map 1: Map of project implementation countries**

Source: MapChart

[Adapted from UNITED NATIONS, World Map, February 2019](#)

15. The participating countries share water and marine resources in the Pacific and Atlantic Oceans. Shrimp/bottom trawl fisheries are an important part of the total marine fisheries economy in the project countries contributing to employment, local incomes, food security and foreign exchange earnings. Tropical and subtropical shrimp/bottom trawl fishing is highly multispecies, and the quantity of bycatch amounts up to 10-15 times more than the quantity of the targeted (shrimp) catch (by weight). This bycatch is composed mainly of juveniles of targeted species by other fisheries and non-targeted species, small-sized fish species and incidentally caught turtles. Furthermore, shrimp trawling tends to cause destruction of sensitive seabed habitats which is also a concern. In general, shrimp and other key target species in the project countries are overexploited. Trends show decreasing catches and increasing costs of operation, and many fishers find it difficult to maintain the profitability of their operations.
16. The project aims to improve the management of bycatch, and support the sustainable development of the trawling sector and the involved communities.
17. The project objectives include: (i) ensuring that enabling institutional and regulatory frameworks are in place; (ii) encouraging effective management of bycatch through

improved information, participatory approaches and appropriate incentives; and (iii) supporting enhanced and equitable livelihoods.

18. The project components and related outcomes are detailed in the box below.
19. Not all countries implement all activities, and some outputs are more relevant to some countries than others. Each country has a national results matrix, with pilot sites selected in each country.

### **Box 2: Project components**

*Component 1: Improving institutional and regulatory frameworks for shrimp/bottom trawl fisheries and co-management. The expected outcomes are:*

1.1) regional collaboration on shrimp/bottom trawl fisheries and bycatch management is strengthened and best practices identified and shared through the regional fisheries organizations;

1.2) legal and institutional frameworks in the project countries for shrimp/bottom trawl fisheries and by catch co-management and EAF are improved.

*Component 2: Strengthening bycatch management and responsible trawling practices within an EAF framework. The expected outcomes and long-term outcome indicators are:*

2.1) selected key shrimp/bottom trawl fisheries in the region are successfully co-managed through the implementation of agreed management plans leading to the reduction of discards by at least 20 percent in five pilot fisheries;

2.2) an enabling environment in the project countries that creates positive incentives in promoting responsible practices by trawl operators.

*Component 3: Promoting sustainable and equitable livelihoods through enhancement and diversification. The expected outcome is:*

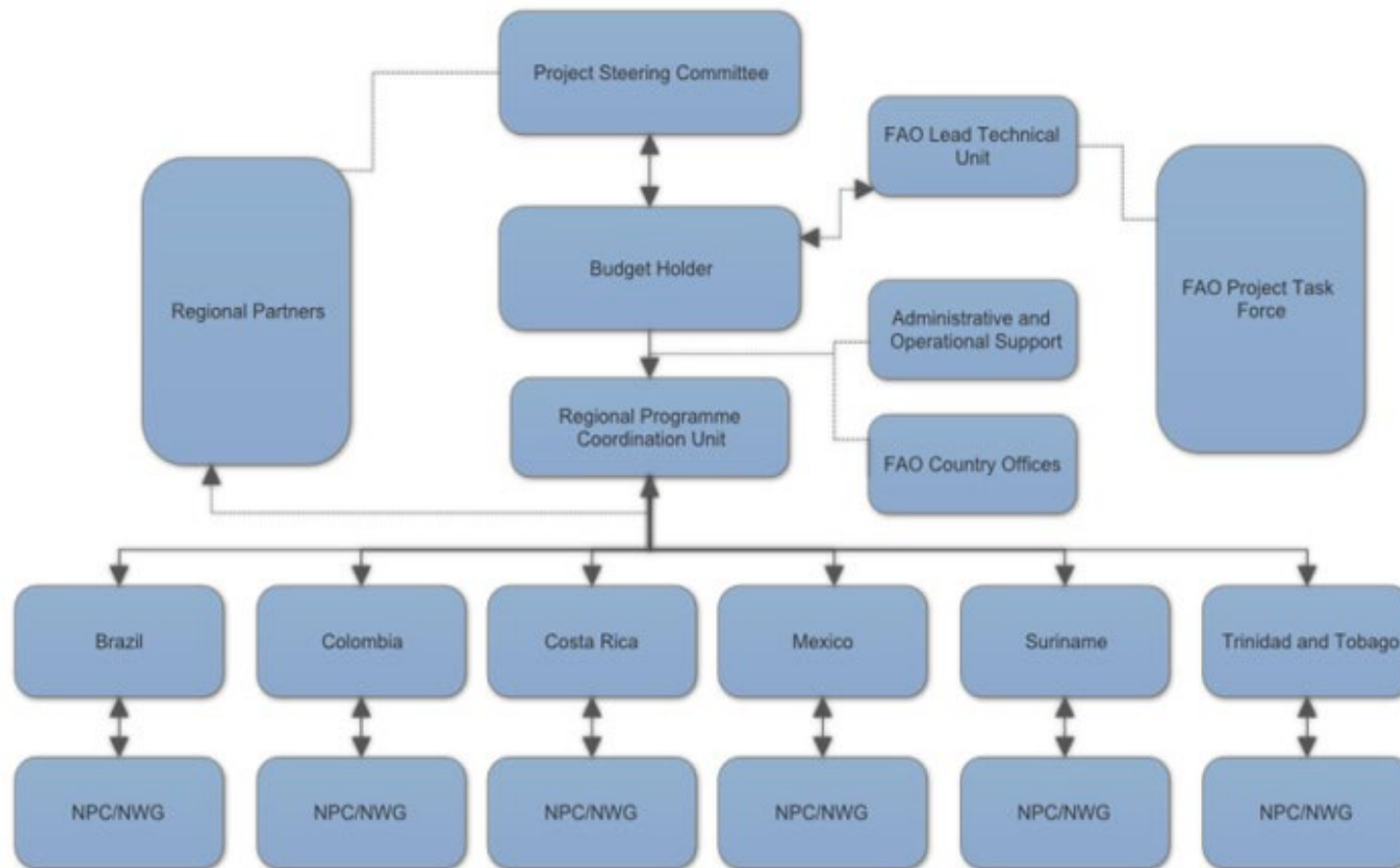
3.1) new income generating opportunities for men and women are identified in at least three project pilot sites; capacities and opportunities for enhanced sustainable and diverse livelihoods are created and gender equality promoted within the sector.

*Component 4: Project progress monitoring, evaluation and information dissemination and communication.*

20. The project aims to create locally relevant solutions through regional collaboration. Project implementation is adapted to each country's needs, and is implemented through national partners (government institutions in most cases, and through an academic partner in Brazil together with its government).
21. The project intends to promote regional collaboration through existing regional fishery bodies (RFBs) such as the Western Central Atlantic Fishery Commission (WECAFC). The project also collaborates with the Caribbean Large Marine Ecosystem project (CCLME+), in particular with its shrimp and groundfish component. Other institutional partners include the National Oceanic and Atmospheric Administration (NOAA) of the federal government of the United States.

22. The project's Global Environment Objective is the reduction of negative ecosystem impact and the achievement of more sustainable shrimp/bottom trawl fisheries in the Latin American and Caribbean (LAC) region through the implementation of an ecosystem approach to fisheries (EAF), including bycatch and habitat impact management. Furthermore, the overall developmental objective is to strengthen resilience of coastal communities through the promotion of responsible fishing practices and livelihoods enhancement as well as diversification contributing to food security and poverty eradication.
23. As bycatch management is a crucial part of EAF, the project intends to support the implementation of the International Guidelines on Bycatch Management and Reduction Discards and the Voluntary Guidelines for Securing Sustainable Small-scale Fisheries in the Context of Food Security and Poverty Eradication (SSF Guidelines).
24. Responsibilities and reporting lines are clear. Decision making regarding the Project has basically two layers: for the project overall and for the individual countries. For the overall Project, the decision – making structure reflects a collaborative approach between FAO, the regional partners, and the six participating countries. The Project has a steering committee which meets annually and deals with project planning as well as global progress monitoring. Decision-making within this committee is transparent and assumed in a timely manner. In addition, in each of the countries involved, National Project Committees have been established to supervise and coordinate the implementation of national project activities. The graph below contains Steering Committee composition information as well as a graphic representation of the relationship between the project steering committee and the national project committees.

**Figure 1: REBYC-II LAC Project management structure**



Source:

25. The Regional Project Coordination Unit (RPCU) is located in FAO's Subregional Office for the Caribbean (SLC) in Barbados.
26. The table below and specifies the sources of co-financing and resources. This information is linked to the actual co-financing at midterm as indicated in the table in Appendix 2.

**Table 1: Financing and co-financing plan (in USD)**

<b>GEF allocation:</b>	USD 5 800 000	
<u>Co-financing:</u>		
Government of Brazil		USD 3 154 378
Government of Colombia		USD 3 701 285
Government of Costa Rica		USD 200 000
Government of Mexico		USD 3 582 000
Government of Suriname		USD 1 685 000
Government of Trinidad & Tobago		USD 1 365 828
Private Sector Colombia		USD 1 010 000
Private Sector Costa Rica		USD 400 000
FAO		USD 400 000
WECAFC		USD 1 250 000
NOAA		USD 450 000
Subtotal Co-financing:		USD 17 198 491
<b>Total Budget:</b>		<b>USD 22 998 491</b>

## 2.1 Evaluation questions: Key findings

**Evaluation Question 1: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?**

**Finding 1. The participation of various stakeholders and non-state actors in the project has been encouraged since project design.**

**Finding 2. The project, its area of work and its strategy are overall relevant and in agreement to each country's priorities, as well as GEF and FAO priorities.**

**Finding 3. Country ownership of project activities is high in most countries.**

**Finding 4. The results matrix is robust and appropriate for the project's logic of the intervention.**

27. Stakeholders from each country contributed to project design, and as such the project took into account individual country priorities. This is evidenced by interviews of different stakeholders who did participate in design (either directly or indirectly) as well as evidence that arises out of the Project Document ("During project preparation, many of these stakeholders were involved through participation in national and regional meetings and workshops and the preparation of national subcomponent design reports"). Country needs, at the time of design, are summarized in the box below.

### **Box 3: Needs identified during project design, by country**

- i. Brazil is developing initiatives to strengthen the institutional and regulatory arrangements for the shrimp trawl fishery. They include creation of the Standing Consultative Committee for the Management of the Shrimp Fishery and the formulation of the National Management Plan for the Sustainable Use of Marine Shrimps.
- ii. Costa Rica, at the time of design, was in the process of developing a new national development plan for 2015-2019. The country has initiatives for civil society governance models, e.g. the Marine Areas for Responsible Fishing that are of interest to the REBYC-II LAC project in the context of co-management as well as the country's biodiversity protection and protected areas plans.
- iii. Colombia's national development plan at the time of design (Prosperidad para Todos 2010-2014), aimed to reduce poverty, increase income, generate employment opportunities, improve security and ensure the sustainable use of natural resources. The objectives include the promotion of competitive, equitable and sustainable strategies for fisheries (among other productive sectors) while fostering a decentralized administrative system to encourage full involvement of communities in development planning, including issues related to trawl fishing.
- iv. Mexico's national development plan 2013-2018 established a clear strategy for the transformation of the country, based on sustainable development concepts. It included a component on the need to establish a productive fisheries sector that contributed to food security and to establish sustainable practices in the fisheries sector.

- v. Suriname's fisheries policy includes the conservation of the biological resources of the sea and their balanced exploitation on a lasting basis and in appropriate economic and social conditions, ensuring that impact of fishing on marine ecosystems is reduced to a minimum. Specific aims of this policy include reduction of unwanted bycatch and of protected species, and increased stakeholder participation.
- vi. Trinidad and Tobago's government acknowledged the need to ensure sustainable use of the existing fishery resources and was at the time of design reviewing its fisheries management policy and legislation within the context of a small-island developing state, where coastal communities are dependent on the aquatic environment for their livelihood.

- 28. The project aimed to work with diverse stakeholders, including the private sector, since inception. This includes small and large-scale fishers, relevant stakeholders in harvesting and post harvesting, as well as processing and marketing sectors. The private sector is expected to take a lead role in scaling project activities, and their participation in gear trials is considered important to promote the adoption of approaches advanced by the project.
- 29. The subject of the project aligns with FAO's Strategic Framework in two ways. The first is with FAO's Strategic objective/Organizational Result SO2 (sustainable provision of goods and services from agriculture, forestry and fisheries). Next, components 2 and 3 fit into FAO's Strategic objective/Organizational Result SO3 (Reduce Rural Poverty) and SO4 (inclusive and efficient agricultural and food systems). The project falls under FAO's Regional Result/Priority Areas for LAC Regional Initiative 3 "Agricultural and Food Value Chain Development - Improving food and feed systems", in particular Result 2: Stakeholders of the value chains selected have adopted best practices (SO2, SO3 and SO4); and Result 5: Strengthened capacities to improve policy and institutional incentives and services for competitiveness and sustainability (SO1, SO4). The Project falls within the International Waters (IW) GEF Focal Area. Specifically, it aligns with objectives of the GEF5 IW Objective 2: "Catalyse multi-state cooperation to rebuild marine fisheries and reduce pollution of coasts and large marine ecosystems (LMEs) while considering climatic variability and change", i.e. outcome 2.2 "Institutions for joint ecosystem-based and adaptive management for LMEs and local ICM frameworks demonstrate sustainability", and outcome 2.3 "Innovative solutions implemented for reduced pollution, rebuilding or protecting fish stocks with rights-based management, ICM, habitat (blue forest) restoration/conservation, and port management and produce measurable results".
- 30. The Project and its strategy are relevant to each country's priorities. As indicated previously, the Project objectives and expected outcomes are derived from each participating country's national concerns as identified at design. Each country identified the relevance of the project in relation to its development concerns as they associate to natural resources in general and fisheries in particular.
- 31. Also, the issue of sustainable shrimp trawling is relevant in all countries involved given that the fisheries sector is important in terms of foreign exchange earnings, its contribution to food security, to employment and to local incomes. Shrimp fisheries are an important part

- of the total marine fisheries economy in the countries involved in the project and constitute an important factor for local economies.
32. Shrimp fisheries are an important part of the total marine fisheries economy in the countries involved in the project and constitute an important factor for local economies.
  33. There have been a series of political shifts in several countries throughout the project's implementation period, which could lead to modifications in country priorities. These should be observed during the remaining implementation period of the project.
  34. Country ownership of the project is high for the following two reasons: (i) harmony between the project's objectives and country priorities, in particular given the countries needs to establish equitable and sustainable management policies for shrimp trawling and; (ii) the fact that the project built on ongoing activities in the different countries involved.
  35. The continued support of the countries to the project and its objectives, expressed by all stakeholders from government as well as most stakeholders outside government, is an indicator of ownership. Another indicator of ownership is the level of co-financing leveraged in relation to each country's committed co-financing. For instance, in Brazil - notwithstanding different political administrations in office since the beginning of the Project and a steep downfall in the country's economy - the level of leveraged co-financing at mid-point is quite high.<sup>3</sup> In Colombia, ownership is quite high also, and it is related to the contributing factors such as institutional support the Project receives and the trajectory of the issue of bycatch, trawling and other fisheries as a whole. However, the project also faced challenging implementation contexts, such as conflictive fisheries situations in general and for trawling in particular, where ownership is neither high nor evident. This is the case for Costa Rica, where institutional ownership is not as prominent as in other countries.<sup>4</sup>
  36. The project's results matrix is sufficiently detailed, and appropriate to approach issues with holistic methods for bycatch management. In turn, given that not all countries are implementing the same activities, each country's expected outputs and outcomes are broken down within the results matrix, which is coherent with a multi-country sort of project.
  37. The results matrix is also coherent given that it manifests the need for a comprehensive approach to fisheries management that includes several pillars: policy, bycatch management, and socio-economic aspects. The inclusion of these three pillars, which underpin the ecosystem approach to fisheries (EAF) and therefore does not delve on only one aspect of shrimp fisheries, drives this Project's general relevance.
  38. However, the results matrix shows the over ambitiousness of the project, reflected in some unrealistic targets and expected outcomes. For instance, Outcome 2.1 "Selected key shrimp/bottom trawl fisheries in the region are successfully co-managed through EAF (including bycatch/discards considerations)" is overly ambitious given that effective

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<sup>3</sup> Co-financing committed and leveraged at implementation mid-point is part of the specific section on this matter and illustrated in the co-financing table.

<sup>4</sup> In Costa Rica trawling is virtually banned and licenses for this activity are being phased out with the expectation of total phase out in the year 2019.



implementation of an ecosystem-based approach with a co-management modality goes beyond the scope of the project (in terms of temporality, opportunity to do so, resources of all types allocated to the Project, etc.). The results matrix posits that the EAF approach would be implemented in select fishery systems, while in reality the project plans to implement pilot activities that, if successful, would lay the basis for possible implementation of an EAF. The expected impact is quite high considering that this project focuses on local and pilot activities for a number of components<sup>5</sup> and that expected changes and subsequent impacts have a longer time span than the project itself. Another example includes its environmental target, whereas the project results matrix aims to ensure “discards have been reduced by at least 20 percent in at least 5 project pilot fisheries”. This is unrealistic given the time span of the project. Reinforcing this issue is the fact that the matrix has been changed several times due to its over ambitiousness.<sup>6</sup>

39. Design issues: Furthermore, the geographic spread and national diversity of the countries involved is a major consideration in terms of logistics necessary for project implementation, which was perhaps not fully appreciated during the project design. The geographic spread of the Project is from the Gulf of Mexico in the North to the Southern Atlantic Ocean, covering sites in the Pacific Ocean as well. Similarly, in Colombia and Brazil the pilot intervention sites are dispersed throughout the country, whereas implementation is increasingly complex when taking into account the socio-economic and environmental differences between the pilot sites within these countries. The project operates across countries with extremely varied degrees of national capacities at the institutional/governmental level, as well as at the academic and fishery enterprises levels. While country contexts, needs and priorities were taken into account in the project design, no full capacity needs assessments was carried out to adequately appreciate the diverse capacity range that the project would face. As indicated by FAO personnel, the sites were strategically selected based on diversity and low hanging fruits which would allow the project to operate successfully given its time frame.

**Evaluation Question 2: To what extent have the expected outcomes and objectives of the project been achieved thus far?**

**Finding 5. The Project’s effectiveness has varied radically from country to country and consequently so have the outputs, yet there are a series of achievements, both at the output and at the effect levels. Nevertheless, a vision is still lacking on how the different country outputs and products will or should be used to influence policy. Furthermore, there is also a lack of strategic vision on how to prompt behavioural change and what are the incentives that can be triggered to cause this.**

40. The six countries in the Project started at very different levels in terms of their capacities, governance, industry participation and socio-economic issues related to trawling shrimp fisheries. Indicators of these variations between countries can be found in the Project Document, for instance data on industry participation per country regarding the number

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<sup>5</sup> Source: Project Document.

<sup>6</sup> For instance, in the meeting immediately before the evaluation process took place, the Project Steering Committee changed the Target for Output 1.2.1 to “Discard rates have been reduced by at least 20 percent measured through BRD reductions, utilization reductions and reductions from management measures (ex. spatial/temporal measures) in project pilot sites.”

of trawlers and harvesting employ is very different from country to country as seen in the table below.

**Figure 2: Number of trawlers and employment in shrimp fisheries in project countries in 2014<sup>7</sup>**

Country	Shrimp trawlers		Employment (in harvesting only)
	Small-scale	Semi-industrial and large-scale	
Brazil	4 000	370	21 500
Colombia	178	109	13 812
Costa Rica	1 540	69	730
Mexico	47 950	1 496	190 884
Suriname	318	46	513
Trinidad & Tobago	1 200	35	348
<b>TOTAL</b>	<b>55 186</b>	<b>2 148</b>	<b>227 787</b>

41. The way in which project countries approach shrimp trawling is very diverse. Also, as indicated in the Project Document, following are some examples of the diverse management measures implemented in project countries.

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<sup>7</sup> Source: Project Document.

**Figure 3: Examples of management measures implemented in project countries<sup>8</sup>**

Country	Fishery	Management measures
Brazil	Small- and large scale shrimp trawl fisheries.	Turtle Excluder Devices (TEDs); temporal closures; minimum mesh size; distance from land.
Colombia	Large-scale shrimp trawl fisheries.	TEDs; prohibited areas (gulfs, estuaries, Marine Protected Areas [MPAs]); temporal closure on Pacific coast to protect spawning areas (January-February); Small-scale fisheries exclusive zone on north Pacific coast.
Trinidad and Tobago	Small-scale shrimp trawl fisheries in the west and south.	Minimum mesh size; minimum chafing gear coverage of codend; distance from coast.

42. In addition to the above, Costa Rica is taking measures to phase-out the large-scale subsector (decision by the Constitutional Chamber of the Supreme Court in 2013) and in Trinidad and Tobago there have been on-going discussions on a trawl ban.
43. At the institutional level, structures for fisheries management include fisheries and environmental ministerial functions, research institutes and stakeholder associations. This varies to some degree whereby the larger countries within the project have more robust institutional structures (policy and research) and the smaller nations have weaker structures. Yet, in all of the countries involved, capacities to deal with bycatch as well as approaches in bycatch-related issues in an integrated ecosystem method are lacking for the most part, but are being developed in several countries. The project, in this sense, represents an added value as it brings in technical expertise as well as support for national actors' capacity development.
44. The socio-economic characteristics of fishers in the shrimp trawl fisheries (at the country level and at the pilot sites levels) is also varied. It ranges from industrial and semi industrial fishers to small scale fishers with precarious living conditions.
45. This variety has had effects on the ability of each country to achieve their mid-term goals, with some countries achieving at a high rate (for example, Colombia) with other countries currently lagging (for instance, Trinidad and Tobago). Overall however, at the product level, 67 percent of the outputs (as indicated in project monitoring documents) have been achieved as planned at the project's mid-point.
46. The extent of the outputs and outcomes being achieved varies from country to country and between the different components. Following are some illustrations of most salient achievements, both at the product level and at the effect level when the latter is evident:
- Component 1. Improving institutional and regulatory frameworks for shrimp/bottom trawl fisheries and co-management.
47. The project planned to effect change through the adoption of institutional structures required for co-management and of an ecosystem approach to fisheries supported by a

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<sup>8</sup> Source: Project Document.

suitable legal framework. This is intended explicitly to be delivered through the following outputs and activities:

- i. best bycatch management practices in line with Bycatch Management and Reduction Discards (B&D) and Food Security and Poverty Eradication (SSF) Guidelines disseminated to all countries in the region;
  - ii. national legal frameworks for shrimp/bottom trawl fisheries and bycatch co-management reviewed and amended;
  - iii. institutional structures for EAF and co-management of shrimp/bottom trawl fisheries and bycatch in place.
48. The project promotes exchanges between the different countries, formally and informally. This regional exchange allows for the sharing of best practices, for example among government stakeholders. More can be done in this sense, in particular to promote inter-country exchanges with national stakeholders from industry, fishing communities and individual fishers participating in the project in different capacities. In this sense, while best practices are being shared to some degree, they could be shared more widely, even more if the project could improve access for a variety of stakeholders to the information that is being generated.
49. Dialogue and exchange are noted by the evaluation as a positive unexpected effect. In particular, the dialogue between different stakeholders in order to search for sustainable solutions to bycatch issues and trawl fisheries, which are in many ways intangible outcomes or effects that were not programmed as such within the Project's framework, but that have occurred and are a necessary context for the search and implementation of sustainable management solutions. In this arena, FAO is perceived as a third party not vested in the conflicts that occur within shrimp fisheries and trawling in each of the countries involved, and this has also aided in fostering participation and dialogue between the interested stakeholders (such as governments, industry, small-scale fishers, etc.) in what was and continues to be a highly conflict-ridden productive sector in all the countries involved, as well as within the region at large.
50. For expected Outcome 1.2 (Improved legal and institutional frameworks in the project countries for shrimp/bottom trawl fisheries and by catch co-management and EAF are improved) there have been noteworthy products generated and there are several effects that already begin to emerge.
51. For instance, in Brazil, the project conducted an analysis of the legislation related to fisheries sector as a whole. Given, therefore, that the legal analysis is now complete, this analysis is to be used for a proposal to upgrade and reform fisheries norms and guidelines, including a National Management Plan for the Sustainable Use of Marine Shrimp, if the analysis is used strategically and if next steps to influence policy are put in place. Also, some effects are evident by now related to the improvement of the institutional and regulatory framework in shrimp trawl fisheries in Brazil, whereby, due in part to the country's involvement in the REBYC-II LAC Project, there has been a reactivation of a Standing Consultative Committee for the Management of the Shrimp Fishery, with its Scientific Subcommittee (with national and regional Brazilian scopes). The Committee's objective is to allow for co-management by giving fishing companies, fish workers' associations and

other stakeholders the opportunity to participate regularly in the decision-making process related to the management of the shrimp trawling fishery together with all relevant government bodies for the sector, including legislative reform.

52. In Colombia, a diagnostic analysis of the trawling legal framework (including an analysis of gaps in the Colombian legal system regarding shrimp fishing) has been carried out. Here also the explicit intention is to use this analysis to nourish the current debate surrounding a soon-to-be-proposed update to the country's fishery law. The partners' response to the diagnostic analysis has been positive and there are plans to use it for the debate ensuing from legislative reform.
53. In Costa Rica, a legal review was also carried out, but due to the ban of shrimp trawling activities and the ongoing conflict, its effects in seeking sustainable and equitable management structures are at a standstill. It is not likely that there would be an effect directly related to the legal review throughout the duration of implementation of the REBYC-II LAC Project, yet the analysis can provide a basis for further work in fisheries management that is sustainable and at the same time equitable.
54. In Mexico, also in part due to the Project, the consultative management committee of one of the main shrimp species in the pilot area has been activated. Project implementation generated the momentum to activate a committee that was basically "on paper" but never convened. The aim of this multi stakeholder committee is to generate management plans - and European Union Network for the Implementation and Enforcement of Environmental Law (IMPEL) implementation of these - as well as to develop public policy in this matter.
55. In Suriname, the Project has successfully provided input to a draft Coast Guard Act, and the project-generated recommendations on fisheries inspection at sea and monitoring on the implementation of fisheries regulations were incorporated in the now approved coastal guard act. The project also assumed training of the country's coast guard personnel with the necessary background information and skills to implement this new norm and therefore improve institutional framework. The training consisted of workshops to provide the sea-going personnel of the coast guard with the necessary background information and skills to inspect fisheries activities.
56. In Trinidad and Tobago, a National Working Group to support management of the fishery including bycatch issues and alternative livelihood strategies has been convened within the domain of the project's country-level activities. It is intended that this working group supports the adoption of an improved fisheries framework as it relates to shrimp trawling.<sup>9</sup>

Component 2: Strengthening bycatch management and responsible trawling practices within an EAF framework.

57. The project planned to effect change through the following planned outputs and activities:
  - i. information on bycatch and monitoring systems improved in selected fisheries (both small and large-scale) in project areas, supporting EAF and co-management, and information shared among countries;

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<sup>9</sup> Or at least becomes an established committee to discuss matters and provide recommendations on the bottom trawl fisheries. This is highly dependent on the passage of the new Trinidad and Tobago Fisheries Act.

- ii. alternative fishing methods, bycatch reduction device (BRD) technologies and other management measures identified and adopted by fishers;
  - iii. EAF training provided and participatory management planning process operational;
  - iv. drivers of bycatch and discard practices investigated and understood and potential incentives identified for bycatch management;
  - v. new products tested, using sustainable bycatch, with a view to reducing discards.
58. It was intended that this component would focus on pilot activities in each project country. Using the enabling frameworks and capacities developed under Component 1, co-management plans are to be developed and implemented through participatory processes. The baseline data include gathering information on bycatch and discards, and establishment of monitoring arrangements that allow for systematic collection and analysis of relevant data. Work is to be conducted on identifying and adapting suitable technologies and/or management measures, and also look into alternative fishing methods for catching shrimp (that is non-trawling techniques).
59. Although it was expected that the enabling frameworks and capacities established under Component 1 would be used in order to develop and implement co-management plans (defined as the institutional and legal frameworks for fisheries management based on stakeholder participation), most of the work thus far in this section of the project has mainly focused on field testing and identifying technologies to diminish bycatch and in generating information (mainly biological).
60. The testing of modified gear and of bycatch reduction devices (BRDs) was carried out in all the pilot sites the project has in the different countries involved in a participatory manner with fishers and fishing companies. Testing in several pilot sites was also conducted with the participation of several national and international institutional partners. In most cases, however, the testing of BRDs has not been robust enough to produce conclusive deductions on the reduction of bycatch. As the pilot tests are carried out in shrimp fisheries that are very complex because of the various species of shrimp caught, multi-species of bycatch, and seasonality, it is difficult to reach conclusive results. For instance, it is fully acknowledged by project partners in the different countries that technical solutions in a fishing area are usually not directly transferable to another place and that there is a need to customise the gear configuration according to the conditions of each area and stakeholder. This was evident by the comments of various stakeholders in Brazil, Colombia, and Suriname. Local conditions in Brazil were cited by various stakeholders as the reason for the need to test TEDs at each site. In Colombia, conditions in the Caribbean and the Pacific pilot sites were very different and necessitated local adaptations to address problems with the accumulation of natural debris that stopped the BRDs from working. In Suriname this issue became more extreme due to the need to develop and deploy a flexible TED due to the use of a net drum during fishing operations. All of these modifications are ongoing and in Brazil and Suriname they require further development to accomplish the stated goals of turtle reduction. Furthermore, in most cases, the reduction of bycatch has focused only on the testing of BRDs in pilot areas without taking an integral approach to the analysis of the efficiency of these tools in the context of looking into other gears or issues. Furthermore, there is a strong emphasis on device implementation while matters related to integrated fisheries management (such as zoning, co-management, protected marine and coastal areas management, etc.) are not fully incorporated within this component or integrated with exclusion device testing.

61. Another issue with the testing of BRDs is that there is no strong analysis on the incentives that should accompany their use in order to drive behavioural change and induce their adoption and that of modified gears. That is, fishers and industry need to verify and understand that at some level the reformed gear provides benefits in order for them to accept this technological shift. For example, in Colombia there is evidence that the gear being tested is more beneficial, and therefore more likely to be adopted, because there is substantial reduction in fuel consumption (due to the use of lighter net materials and the reduction of discards which lowers drag). Consequently, reducing the use of fuel clearly has an impact on the costs of the activity. Besides this example, there is no holistic analysis by the project partners in the individual countries involved nor by the project as a whole of the benefits that adopting modified gear would entail for fishing in the short and medium term, nor is there wide effective communication and visibility to benefit a wide range of stakeholders.
62. As expressed by individual fishers and industry, the only factors that they perceive now that could induce them to adopt BRDs are compliance issues should trawling be required to modify gears by law and be further regulated. The project, learning from past experience, acknowledges that technological advances alone are not enough to promote specific practices for trawling and bycatch reduction. As is expressed in the Project Document, and an issue that this evaluation corroborates, the experience in Brazil shows that the compulsory use of ineffective and obsolete turtle excluding devices meets with resistance from industry, an issue that extrapolates to the current project. Furthermore, the few incentives or benefits that are being harnessed through the use of BRDs are not properly documented nor is the little information available shared among the participating countries. Although participatory in all cases (that is the testing of bycatch reduction devices are being carried out with artisanal and industrial operators), at times these trials are carried out more as academic exercises than as on-the-ground processes that need to envisage and deliver results.
63. Other gears that catch shrimp must be included in the Project to be able to estimate the carrying capacity of the fishery at a sustainable level (effort, number of vessels, numbers of each gear) to allow for a negotiation, setting of quotas and the achievement of a negotiated goal that can be accepted by the diverse stakeholders involved in shrimp trawling. At this time, any improvements in the trawling gear may not result in any gains on shrimp or bycatch stocks if the fishery is not assessed systematically nor sufficiently negotiated.
64. A second feature of this area of work is the collection of information, improved and updated, on bycatch and discards. This has been done through the collection of relevant data by on-board observers (for instance in Mexico) as well as port enumerators. Countries like Trinidad and Tobago started their involvement in the project with little baseline information; therefore, to fill this gap, and fish stock and Geographic Information System (GIS) data and related materials are being generated.
65. There are also some effects beginning to emerge. For instance, the generation of new information or baseline information does not only update existing data or literature on levels of bycatch, but in many cases, it also helps to redefine bycatch and discards, and how discards relate to unused or unsustainably used resources. The Project Document accurately states, "bycatch is the catch of fish or other animals and plants that a fisher did not intend/want to catch, did not use, or which should not be have been caught in the first place" and it states that there is no global definition since bycatch is defined nationally.



Therefore, the relation bycatch-discard is being redefined given that with new information the level of discards (basically bycatch which is disposed of and not utilized) is being evaluated differently due to the new analysis coming out of the project activities. For instance, in Brazil, Colombia and Trinidad and Tobago interviews with community members indicate that bycatch is used by the local population as an important source of protein source, and as such contributes to food security in particular for the poorest segments of the population in the communities where trawling takes place. Data collected in the Bay of Campeche, Mexico, where the project has focused its pilot studies and works, has also shown that bycatch is about 20 percent less than what is presented in the prevailing literature, and that there are seasonal changes in its volume.

Component 3: Promoting sustainable and equitable livelihoods through enhancement and diversification.

66. This component aims to address the social and economic pillars related to bycatch in the shrimp/bottom trawling fisheries. In the first place, the logic lies in enhancing livelihood issues, particularly as they relate to better utilization and improved income generation from bycatch. It must be noted that potential reduction (through the use of exclusion devices or due to the banning of trawling) can affect income, livelihoods, food security, and related socio-economic issues. It is also within this component that an explicit gender dimension is evident, although to varying degrees of analysis.
67. Several countries are advancing in one way or another at different rates. Trinidad and Tobago's value chain analysis is nearing completion and in Mexico, at the time of the mid-term evaluation, this sort of study was being elaborated. Costa Rica has advanced in this component even more than with the other project sections due to the national situation regarding the banning of trawling. Suriname has approached the matter from a more applied outlook by contributing to strengthening the capacity of fishers to participate in fisheries management at national and regional levels by assisting them.
68. In Costa Rica the situation is a test case where trawling practices are deemed nationally as environmentally damaging resulting on a total ban of this activity. The country banned shrimp trawling in 2013 through the non-renewal of industrial fishing licenses program, which will reach a critical point in 2019 when all fishing licenses will expire. This has left the communities that depended on trawl fishing without the possibility of a livelihood. Although the project's national activities aimed, among other issues, to include an analysis of the alternative livelihoods of fishers who have been affected by the shrimp trawl ban, and implement these alternative livelihoods (by training and creating conditions for women to generate income via other productive activities which are not related to shrimp fishing), the success with male fishers has been weak since the reconversion of older male fishers (such as those involved in these communities in this activity) is difficult. Therefore, the project has concentrated on dealing with female workers involved in shrimp fisheries, which in this case - as in many if not most of the countries in the Latin American and the Caribbean Region - mainly work in the processing/marketing of fisheries' products. Since capture will not take place in the near future and it has drastically dropped in recent years after the 2013 ban, post-harvesting processing has been extremely affected. The project has concentrated its work in the generation of alternative livelihood opportunities by creating conditions and providing training for women to generate income via other productive activities which are not related to shrimp fishing in the communities affected by the trawling ban.



69. In Suriname no value-chain analysis, as proposed in overall project planning, has been carried out. Yet the country partners have taken a more hands-on approach directly with fishers and have worked with them to create an enabling environment that - in turn - would promote enhancement of livelihoods. This was done specifically, for instance, by supporting the establishment of the national umbrella organization for coastal fishers in Suriname (which includes representatives from the country's five regional fisherfolk organizations). Through this umbrella organization, the aim is to contribute to strengthening the capacity of fishers to participate in fisheries management at national and regional levels. Also, this umbrella organization (as a member of the Caribbean Network of Fisherfolk Organizations) represents coastal fishers regionally and internationally. It is expected that through this institutionalized organization of fishers there will be contribution to develop a more a sustainable, profitable, and equitable industry.
70. The value-chain study carried out in Trinidad and Tobago takes a more holistic approach to the issue of livelihoods and bycatch as an opportunity. The overall aim of this analysis has been to enhance sustainability of the sector equitably and provide livelihood support and opportunities for development. The study not only deals with analysis, but it also has other aims. Based on the situational analysis of the shrimp/bottom trawl fishery in the country, it identified opportunities to increase value of shrimp bycatch species, carried out an identification of specific areas for action, including opportunities for increased value added of bycatch species. It also generated policy recommendations to different stakeholders (government, donor agencies and local and regional technical/aid agencies) on how the bycatch value chain can become more sustainable for all actors. Furthermore, the study, and the process by which the value chain research was done, included a transversal gender analysis where gender roles in the bycatch value chain were mapped (current and potential with enhancement of the value chain opportunities). Regarding these issues, the analysis took a viewpoint that gender refers to a complex system of personal and social relations of power socially created and maintained. Specifically, in this case, a system through which women and men interact in the shrimp/trawling sector. The gender analysis had a set of specific findings as to the working conditions of women in the sector, where they are inserted in the shrimp value chain at the time, and what opportunities for women are if changes in the chain occur. These are, among other findings of the study, the basis of the recommendations given to the project and project stakeholders for possible changes in shrimp fisheries if value added activities are to be implemented. The study was concluded shortly before the mid-term evaluation. Therefore, uptake of the study findings and recommendations cannot be discerned at this time.

Component 4: Project progress monitoring, evaluation and information dissemination and communication

71. This component deals with two broad aspects: (a) internal follow through of project implementation (which will be dealt in detail in section 5.2) and (b) communication —both internal and external — as well as dissemination of materials. This section of the report will look at achievements and effectiveness of information dissemination and communication.
72. Regarding information sharing and communication, this component has as an expected output: "Project-related "best-practices" and "lessons-learned" published and disseminated in all project countries" and implicit outputs and processes which entail internal and external communication processes. Although national project coordinators indicate that they communicate continuously, in particular through the direction of the

Project Regional Coordinator, a webpage is maintained, and other communication platforms are used, the process is weak, both among participating and within countries involved in the REBYC-LAC II Project.

73. Among countries there is no proactive systematic exchange of best practices and lessons learned. Many of the findings of best practices that have been obtained by this mid-term evaluation, for example, are unknown among countries. Already mentioned are the gains in Colombia related to fuel efficiency benefits of the modified gear, or even the possibility to make the link for fisher's communities as to link them with issues related to new national regulations so that they can prepare their communities, such as was the case in Trinidad and Tobago. Even at midpoint of project implementation, information sharing can aid the cross-fertilization of each country's endeavours in order to improve the individual country's learning curve as products are developed, analyses carried out, and testing of different fishing gears are implemented. Also, although some information is exchanged between country coordinators, this does not properly percolate to other actors and stakeholders within each of the six countries involved. Internally within the countries, also, there are significant issues with the dissemination of information generated by the project, best practices, lessons learned, and so on. First of all, much of the information does not have open access, there are no platforms for the access of information at the national level, and the information and products generated are not "user friendly". The latter has been pointed out by many stakeholders who do access the reports generated yet indicate that they are highly academic in nature and not practical in those formats, neither for decision-makers nor for practitioners or for fisherfolk. User-friendly knowledge management products tailored for different stakeholders' capacities and needs are not being generated at this time.
74. FAO's technical assistance, or the leverage of assistance from other international institutions through FAO, has been highly positive and valued and has aided in achieving the current products and processes. For the region, as well as for the individual countries involved, the project's products and vision are innovative, regardless of their level of capacity. High-quality technical support such as the backing generated by FAO and/or articulated through the institution has positively affected performance.
75. Some issues are also evident in all countries, notwithstanding the level of their capacity. The project focuses on the trials to show improvement in shrimp trawling practices, but does not effectively communicate benefits to all implicated stakeholders, nor adequately promote a political advocacy vision to influence developments in the enabling environment. As such, there is still a general lack of strategic vision as to what is the overall outcome to be obtained from the products being generated (technical and policy-oriented products).

**Evaluation Question 3: Has the project been implemented efficiently, cost-effectively, and been able to adapt to changing conditions thus far?**

**Finding 6. The Project's efficiency in implementation varied by country. Most country level implementation adapted to changing conditions. At the regional level, partnering with institutional stakeholders has been effective and positively influenced project efficiency. Regional administration of the project, however, was negatively affected by administrative and financing issues.**

76. Efficiency of project management has differed from country to country, but overall implementation has been carried out in a moderately efficient manner. Efficiency has fluctuated according to the level of in-country expertise. Countries with contextual background and expertise in implementing this sort of project in the fisheries field have performed better than countries that did not have this type of experience. Countries with strong national institutions in the field have also performed more efficiently in relation to delivery. Yet, overall, when measured by the degree of achievements at the product level as an indicator of efficiency, 67 percent of the outputs have been achieved as planned at the Project's mid-point (as previously indicated the source of this data are project monitoring documents).
77. At the country level, the Project has been able to efficiently adapt to changing situations. Most countries have gone through different political administrations throughout the implementation process. Brazil has changed national administration three times, and the ministry and institution through which the project is executed have changed several times already, for example. When changes in administration or even ministerial changes take place in the countries involved in the project, they experience delays and stand stills vis-à-vis the country policy areas, or even the technical divisions at government levels, which are focal points or implementing partners. Notwithstanding these continuous shifts, the individual implementing partners, for the most part, have been able to efficiently adapt to changes. In some circumstances, such as in Brazil (as indicated above) that has gone through several national administrative changes in the years that the project has been in implementation, a factor that aided is that the implementing partner is based at a university and this has provided continuity in the midst of fluctuating political stakeholders.
78. The level of involvement of country FAO office varies from country to country. In some countries (such as in Trinidad and Tobago) the involvement of the national-level office is quite proactive.
79. The mechanism chosen to transmit funds to the six countries is through Letters of Agreement. However, even with this format there have been delays in fund transfers. Some delays have been due to national issues (government administration issues and bureaucratic matters, as well as changes in policy areas related to fisheries experienced in the different countries involved). Other delays have been due to the complex administrative processes found in FAO organisational systems. There has been efficient implementation and cost effectiveness at the national levels, for the most part. Although some countries underperformed in terms of delivery at the time of the mid-term evaluation, they were increasing momentum, implementing products and carrying out processes that, if this impulse is maintained, can bring the underperforming and delivery up to the expected levels as planned. Other delays have been due to some changing administrative processes.
80. FAO is the responsible agency for project oversight and technical support. The Regional Project Coordination Unit (RPCU) is located in FAO Subregional Office for the Caribbean (SLC) in Barbados. Regional coordination has been charged with overseeing and promoting the regional aspects of the project as well as the coordination and exchanges among the different participating countries.
81. Staffing of the Project's RPCU was to be made up of a coordinator and of an administrative/financial staff person. The project has an operational task force with different degrees of expertise that meet regularly to provide support. FAO officers read and

review reports, attend and support the organization of meetings, etc., No technical personnel were to be part of project staff (although technical support was received through the Lead Technical Officer). The lack of technical staff in a permanent or semi-permanent modality has hindered the implementation of some processes and has resulted in the project having to hire temporary consultants on a demand-basis for gear testing and for training. In the past years the project has established a successful partnership with NOAA to provide this sort of additional support which led to capacity building at country level. For much of the implementation the administrative/financial oversight post has not been filled. One person was recruited for one year. Some elements of this recruitment were not timely considered forcing a new recruitment process to take place. This has also meant that the project coordinator is taking on administrative and financial oversight roles, in addition to the assigned coordination roles. There are substantial delays in hiring to fill this post, in part due to administrative issues related.

82. The project has been very efficient in partnering with different institutional stakeholders and with other projects in order to cover activities, processes, and products which were not adequately funded and in order to avoid duplication and overlaps. This has also allowed for the creation of multiple synergies between the project and other similar projects or institutions working on the same topic.
83. Although the project as laid out engenders a great deal of independence in implementation by each individual country, which is key for the national implementation to be relevant and to create ownership, this has also hindered the possibility of coordination among countries, which at some level could have been beneficial for the nourishment of cross-country activities and coordination thus far. The Regional Project Coordinator, nonetheless, has had a proactive and positive role in general and in particular by furthering implementation in several of the countries, such as those who are lagging behind in delivery and in those countries where the project has met with resistance. The latter has been done by promoting dialogue, aiding in implementation, seeking technical advice and partnerships for the countries that needed it.
84. All of the above notwithstanding, funding and financial planning for the regional coordination has been quite deficient. Coordination activities were and are underfunded (including travel, translation, and other such costs that are expected for a multi-country project such as this) and the same occurs with dissemination outputs. Furthermore, specific outputs expected to be produced by or through the RCPU (such as Output 1.1.2 Regional strategy for shrimp/bottom trawl fisheries and bycatch management) were not properly costed in project planning. Finally, the last year and a half of operational costs (including Regional Coordinator's salary) has not been properly budgeted and, furthermore, affected by exchange rates fluctuations. At the regional coordination level efficiency has also been affected by FAO internal changes and administrative complexity. Given the circumstances, planning was not fully appropriate nor did it display a fully collaborative approach on the coordination of activities to withstand experienced internal challenges.

**Evaluation Question 4: To what extent has the project supported financial, institutional, socio-economic, and/or environmental improvements to sustain long-term project results?**

**Finding 7. Strong ownership by governments and other key stakeholders offers a foundation for sustainability of outcomes which have been achieved or which should be achieved in the concluding stage of the project. Nevertheless, the lack of a strategic vision regarding the**

**need to produce outcomes (not only products or outputs) and generate national financial as well as institutional capacities can also play a role in undermining sustainability if no corrective measures are taken.**

85. Although this is a midterm evaluation and the factors regarding the probability of sustainability of project results are still developing, a preliminary analysis of the factors that can or cannot support and sustain medium and long-term project results can be carried out. This analysis is carried out considering the various risks posed to sustainability (institutional, socio-political, financial and environmental).
86. The strong ownership manifested to the evaluation team by different stakeholders involved at the country level (in particular most governments involved) provides a base from which it can be expected that some of the achievements can be sustained. Also, strong ownership is derived from the fit between the countries' needs and the solutions to issues in shrimp fisheries that the project seeks to deal with. Strong ownership and relevance of the intervention are indicators that at least some of the achievements have a possibility of being sustained in the middle and long term. However, other issues also play a role in sustainability matters.
87. Several of the expected outcomes have sustainability mechanisms directly embedded in their design. With relation to institutional issues of sustainability, Component 1 has as its expected result improving institutional and regulatory frameworks for shrimp/bottom trawl fisheries and co-management. Specifically, as related to expected outcome 1.2 whereby it is anticipated that "legal and institutional frameworks in the project countries for shrimp/bottom trawl fisheries and by catch co-management and EAF are improved". In countries with political will and institutional capacity there is greater likelihood that legal and institutional frameworks could be implemented.
88. In Component 2, the expectation is that co-management and implementation of management plans would be in place, and that enabling environments in the project countries create incentives to sustain responsible practices.
89. Lastly, in Component 3 livelihood factors are to be enhanced in order to create financial incentives to sustain potential outcomes. In short, several different expected outcomes deal (directly and indirectly) with sustainability as expressed at design.
90. The larger question therefore is how the results (at the output and also at the outcome levels) can be translated into durable and continual effects. Here also the great variability among countries comes into play. For instance, those countries that do have a strong institutional framework to deal with improved bycatch management and sustainable management of shrimp trawling (Brazil, Colombia, Mexico) are more likely to sustain results in the long term. The factors that make existing frameworks conducive to sustainability are related to institutions that are strong enough to apply policies and structures to manage shrimp fisheries sustainably and equitably. Also, those countries that do not have suitable socio-political acceptance of trawling, such as Costa Rica, will find further resistance in implementing whatever outputs are achieved in this area except for the outputs and outcomes dealing with reconversion of fishing workers (which is where the project is concentrating its efforts). Therefore, the enabling environment available to ensure changes in fishing and management practices varies greatly from country to country. This also relates to the capacity of countries to continue work begun under this project in terms of management, data collection and enforcement.

91. Enforcement has not been a cornerstone of this project and has not been weaved into the project forcefully to support sustainability (in most countries). Yet there are countries that have carried out activities in this area and that to some degree can induce sustainability through the adoption of norms and training of those sectors of government to apply them. Such is the case of Suriname, where the Project has provided input to a draft Coast Guard Act, and the project-generated recommendations on fisheries inspection at sea and monitoring on the implementation of fisheries regulations were incorporated in the now approved Coast Guard Act. The project also assumed training of the country's Coast Guard personnel with the necessary background information and generation of skills to implement this new norm and therefore improve institutional framework. This sort of improved governance mechanism can aid in the sustainability of work carried out within the project.
92. Two major issues arise when analysing the probability of sustainability of project outputs and outcomes, which to some degree have been explored in the previous sections. First the lack of a strategic vision in all project countries on how to pursue outcomes/effects from products (such as information, studies, activities with the aim to generate capacity, etc.) and second the lack of a programmatic search of incentives for the adoption of more sustainable trawling practices.
93. On the lack of a strategic vision to seek outcomes and effects, this not only impacts effectiveness of the project but also hinders the engendering of sustainability. For instance, when the project countries generate information, data, and studies, there is a lack of overall vision of their ultimate efficacy and the intermediate outcomes that they should generate. That is, when country stakeholders present their achievements or are asked about the use of the products they are generating, there is in general a lack of strategic understanding that they should generate sustainable and sustained outcomes (such as influence policy generation, implementation of policies, generation of co-management mechanisms, implementation of studies, etc.). Although in a few instances there is a search for effects in relation to the products generated, this is weak at most levels.
94. Second, the degree of social acceptance of innovation and new gear that the different countries are testing to incorporate, or mandate incorporation is frail in most countries. Although very appropriately the project, in all the countries involved, has tested gear in a participatory manner involving fishers, the social acceptance of these is very weak for the most part. Fishers and fisherfolk organizations indicate (repeatedly and in different contexts) that the shift to the newer gear does not present clear benefits to them, beyond a theoretical compliance if gear changes are to be mandated by law in the future. Therefore, if fishers do not accept in and of themselves the technologies to be introduced this has a strong potential negative impact on sustainability.
95. Some countries, such as Mexico, indicate that data gathering that is being carried out through project activities by on-board observers will likely continue through government financing after the project ends. In other countries, such as Trinidad and Tobago, government stakeholders indicate that the project is financing what should be the regular fisheries administration work that is not covered by government budget, therefore the financial sustainability of whatever achievements are made at the country level would be less likely in this situation.

96. Therefore, there are moderate risks to sustainability at the social, policy, institutional and financial levels in several countries. The concluding stage of the project can be used to anchor outcomes to address sustainability.
97. In summary, the strong ownership by governments and other key stakeholders offers a foundation for sustainability of outcomes which have been achieved or which should be achieved in the project's concluding stage. Nevertheless, the lack of vision regarding the need to achieve outcomes (not only products or outputs) as well as to generate the national financial as well as institutional capacities to generate effects can also play a role in undermining sustainability if no corrective measures are taken.



### 3. Cross-cutting issues

#### 3.1 Gender analysis

**Finding 8. Design included some gender aspects for the Project as a whole. Several of the countries have pursued a gender dimension, mainly within the component dealing with livelihoods. Some countries have implemented on the ground processes in order to enhance the livelihood prospects of women affected by shrimp trawling bans. Other countries have carried out analysis (value chain, socio-economic) that include to varying degrees a gender dimension, yet there are no substantial changes as of yet, which is expectable since these analyses are just being carried out almost at the same time as this evaluation. Some countries have not, thus far, fully included gender aspects in their implementation.**

98. Design included some gender aspects for the Project as a whole. A gender analysis of fisheries in general is identified at design. In the region, harvesting is a male-dominated activity. At project design it is suitably indicated that women tend to play key roles in the postharvest sectors (processing, marketing). Yet full insight of how different gender roles are affected by current bycatch and discards practices or how they could be affected if shrimp/bottom trawl fisheries management changes, and therefore there is bycatch reduction, is missing at design. The role of women in food security is also acknowledged.
99. Gender issues were specifically incorporated in Component 3 (Promoting sustainable and equitable livelihoods through enhancement and diversification). Within this component, which addresses livelihood issues related to the shrimp/bottom trawl fisheries sector, in particular in light of expected changes that might originate out of bycatch reduction, it is acknowledged that a better understanding of by whom and how bycatch is used needs to be carried out in order to manage the issue. It is within this component, therefore, that gender issues are acknowledged by indicating that value chain studies would be carried which would include gender analysis and that new income generating opportunities for men and women would be explored.
100. The analysis of whether gender issues have been appropriately incorporated into project execution and whether gender considerations have been effectively incorporated varies among project countries. It was found that - as in much of other of this project's aspects - there is a great variation between countries. Brazil has included a more theoretical approach than other countries with (thus far) including analysis on the role of women in its site-level socio-economic studies. Several stakeholders have indicated, at all levels, that a theoretical approach is not the most valuable, and that work/analysis, etc., should be more results oriented and proactive in order to generate solutions to the issues that arise in the relation of gender issues. Costa Rica has intensely dealt with gender issues in practice; Trinidad and Tobago has included a thorough gender breakdown in its value chain analysis.
101. Although there are trials happening in Costa Rica, both by the government and fishers themselves and other management and normative activities (laws, regulations, zoning) also taking place, implementation in the country has put a strong emphasis on the situation once complete ban of trawling is to take place. Costa Rica, with its total trawl ban quickly approaching and with little expectation that court-ordered bans will be overturned in the near future, has concentrated much of its recent project implementation on working with women from the communities affected by shrimp/trawling prohibition. The women (who were mainly shrimp peelers) were affected given that if no trawling takes place, there is no



product to process and therefore their livelihoods were greatly influenced by this ban. The Project is working on creating and encouraging alternative livelihoods for those women in the communities affected by trawling prohibition. Work with fishermen in reconversion has practically halted given that the project found that reconversion to alternative livelihoods of affected fishermen was not successful. Regarding gender, therefore, there is no deep acknowledgment that these livelihood changes are not experienced equally across gender within the communities affected by the trawling ban. However, focusing on women only as those who will be in charge of maintaining the household, although worthy and dealing with an extreme situation, implies that the promotion or creation of alternative livelihoods only for women will have not only an impact on the responsibilities that women will assume but also on the power relations within the sector. That is, the roles assigned to women and men will change due to the project's intervention given that women will be sole breadwinners within households.

102. As indicated previously in the section above analysing effectiveness, the value chain study carried out in Trinidad and Tobago took a holistic approach to the issue of livelihoods and bycatch. The product also included a transversal gender analysis where gender roles in the bycatch value chain mapped (current and potential with enhancement of the value chain opportunities). Regarding these issues, the analysis took a viewpoint that gender refers to a complex system of personal and social relations of power socially created and maintained. Specifically, in this case, a system through which women and men interact in the shrimp/trawling sector. The study analysed several factors that deal directly and indirectly with gender (such as women's current access to the value chain, environmental factors, social and cultural issues). A set of recommendations were generated within the study regarding enhancement of women's role within the value chain and potential added value. These recommendations included training on value adding, fostering entrepreneurial activities, and enhancement of localized fisheries-related industry. Project partners, however, do not present a strategy on how to implement some or all of the recommendations resulting from this study.

## 3.2 Environmental and social safeguards

**Finding 9. Environmental safeguards are key elements of the REBYC-II LAC Project. One of the Project's explicit main objective is to diminish negative environmental impact of shrimp trawling, mainly through the reduction of discards and bycatch as well as through integrated management. Furthermore, a series of social issues, or safeguards, are embedded in the project. These issues, in order to support sustainable development within the shrimp trawling sector, include specific products and expected outcomes to support enhanced and equitable livelihoods and food security issues associated to bycatch. Hence, the project has clear equity and development factors weaved in several of its expected outcomes.**

103. Environmental safeguards are key elements of the REBYC-II LAC Project. One of the project's explicit main objectives is to diminish the negative environmental impact of shrimp trawling, mainly through the reduction of discards and bycatch as well as through integrated management of the issue. Furthermore, the Project is aligned with FAO Environmental and Social Safeguard Standards (ESS) that are relevant to the project:
- i. ESS 4: which promotes the sustainable management of aquatic genetic resources;
  - ii. ESS 6: to avoid, and when avoidance is not possible, minimize adverse social and economic impacts from restrictions on land or resource use or from land and

resource acquisition; ESS 7: to protect and support workers, particularly disadvantaged and vulnerable categories of workers;

iii. ESS 8: to ensure that all stakeholders benefit equally from development interventions and that inequality is not reinforced or perpetuated.

104. The project has taken (since its design) a perspective that environmental safeguards in and of themselves are not an integrated solution to the ecological impact of bycatch. With the understanding that projects with environmental objectives tend not to consider livelihood issues, the REBYC- II LAC Project has manifestly considered these issues within the poverty context that is the backdrop to most small-scale fisheries in the region. Therefore, a series of social issues, or safeguards, is embedded in the project (particularly in Component 3). These issues, in order to support sustainable development within the shrimp trawling sector, include specific products and expected outcomes to deal with supporting enhanced and equitable livelihoods and food security issues associated to bycatch.
105. Again, although the countries have been implementing the project according to their needs and perceived issues, to a greater or lesser degree, all the countries have had activities and products dealing with social safeguards and other associated socio-economic issues. These are, at the time of the mid-term evaluation, components and products lagging the most in several cases, therefore it is difficult to determine some aspects of the social safeguards involved. Nevertheless, in all countries there is definite buy-in into the project's components that deal with equity expectations, perhaps even more than other aspects of the project.

## 4. Process and factors affecting attainment of outcomes

### 4.1 Materialization of co-financing (in relation to the co-financing table in the Appendices)

**Finding 10. Co-financing confirmed at the Project's endorsement and approval stages was quite substantial. Most co-financing has materialized for most countries at expected levels or much higher levels than committed. Furthermore, co-financing from other partners (committed or not committed) has also emerged.**

106. The project has a total budget of USD 22 998 491 consisting of USD 5.8 million of GEF funding and USD 17 198 491 of co-financing. Therefore, committed co-financing (to be mostly from each of the countries involved in the Project) is of approximately a proportion of 3:1.
107. Co-funding at mid-point has been leveraged even at much higher levels than expected in some countries. The data in the FAO-GEF Co-financing Table in the Appendices specifies this. Co-financing could be even higher since some countries have not recently updated this information with project coordination. Even in countries such as Brazil, where the administration has changed several times and the country has faced an economic downturn in the last few years, government committed co-funding has occurred at the expected level. In Costa Rica, although a conflict situation with trawling is fully fledged and increasing over time, government has co-financed the national level implementation activities at expected levels. Also, in Costa Rica, national project level implementation is finding that some components (such as Component 3) are underfunded given the shift in focus of the project outputs and because government is funding Component 2 at a much higher level than planned. This situation should be recognized and adjusted in further project financing planning by shifting resources to Component 3.
108. Co-financing is expected to occur from different sources. Governmental origin (national and sub-national) co-financing is as follows. Two of the largest countries involved (Colombia, and Mexico) report substantial co-financing at mid-point, sometimes even more than 300 percent higher than total committed co-financing. Costa Rica indicates co-financing also at higher levels than expected. Whereas Brazil reports co-financing at about half of committed levels, which is analogous to what co-financing should be at a project's implementation mid-point. Suriname and Trinidad and Tobago report low co-financing levels (7.5 and 24.76 percent respectively).
109. FAO reports co-financing of 91.25 percent of the amount committed at Project start. It is also of interest to note that co-financing is materializing at expected levels or beyond via other partners (such as WECAFC with 61.60 percent and NOAA with a 78.12 percent of reported co-financing). Also, in line with the additional partnerships that the Project (at the regional coordination level and at the individual countries levels) has been able to forge, a series of institutions that did not commit co-financing have also cooperated with implementation and have therefore delivered co-financing.

## 4.2 Stakeholder engagement

**Finding 11. Project has been highly successful in involving different stakeholders in all the countries where implementation is taking place as well as at the regional level. Project has been highly successful at the regional level and within most of the countries involved in engaging diverse institutional stakeholders and partnering with them.**

110. The project has been highly successful in involving different stakeholders in all the countries where implementation is taking place as well as at the regional level. A varied mix of stakeholders have participated at country levels, including government agencies dealing with technical matters and government agencies dealing with policy issues, academics, non-governmental organizations, fisherfolk associations, women associations, industry, small-scale fishers, etc. Even in those countries where some of the larger industries related to shrimp trawling did not participate in the initial implementation period, they are doing so in recent times.
111. Project acceptance by diverse (and often antagonistic) stakeholders and stakeholder groups hinges upon this participation. The strategy by the Project Coordination to engage in dialogue with relevant stakeholders in several of the countries has been key in obtaining country buy-in through participation. This, in addition to national stakeholders' dialogue, has aided in creating exchanges in countries where they did not exist before. Also, especially in countries with high conflict levels regarding trawling, the perception that FAO has no vested interests in the conflict or conflicts (i.e. that it is not an interest group) has aided in creating an enabling environment for implementation.
112. Direct engagement with several stakeholders has also been key in obtaining support for the aims of the project, in particular in engaging with small-scale fishers. This has taken place in several different aspects, for example in gear testing as well as when participatory research is promoted for the generation of studies or research.
113. The project has been highly successful at the regional level and within most of the countries involved in engaging diverse institutional stakeholders and partnering with them. This not only has helped in dialogue but has also aided in creating synergies to develop expected activities, processes, and products which were not adequately funded and also to help to avoid duplication and overlaps. For instance, this was accomplished with other GEF-funded projects in the same area such as the Caribbean Large Marine Ecosystem project (CLME+) in its shrimp and groundfish component. At the regional level, this engagement also fosters high-level dialogue with key regional and global institutions engaged in policy regarding bycatch, shrimp trawling, as well as with institutions engaged in equitable and sustainable fisheries management. The project has engaged in several regional dialogues which deal with the aforementioned issues, such as meetings of the WECAFC/CRFM/L'Institut Français de Recherche pour l'Exploitation de la Mer (IFREMER) working group on Shrimp and Groundfish of the North Brazil Guianas Shelf.

## 5. Additional assessments (as related to the Rating table)

### 5.1 Assessment of project implementation and execution

**Finding 12. Quality of project implementation and execution has been moderately satisfactory in some respects and satisfactory in others. Quality of technical project oversight by FAO has been satisfactory, although the project has had to seek outside consultancies in some instances. Finance planning for regional level oversight and activities has been deficient.**

114. As seen in prior sections of this report that have dealt with issues related to effectiveness and efficiency, the quality of project implementation and execution has been moderately satisfactory in some respects and satisfactory in others. Achievements to date at the product and at the outcome levels, delivery, and management arrangements at the regional and national levels are indicative of the satisfactory level of project implementation and execution. Quality of technical project oversight by FAO has been satisfactory, although the project has had to seek outside consultancies when direct technical oversight from FAO was neither sufficient nor rapid enough for project needs.<sup>10</sup>
115. Implementation and execution, however, have had some shortfalls and problems. Finance planning for regional level oversight and activities has been deficient, where several products have not been costed and the salary of the project coordinator experienced difficulties due to cost fluctuations. Also, there have been several deficiencies regarding administration due to lack of adequate staffing. Having to adjust to FAO's convoluted administrative formats has also had a significant impact upon implementation and execution.
116. The Project has not thus far gone through a comprehensive lessons learned exercise. The Project has a webpage for sharing information between and among stakeholders as well as to provide visibility of the Project at-large and it has organized a number of workshops and exchanges for different stakeholders. However, several knowledge management activities and products are still lacking given that the project has also been deficient in the creation of user-friendly and tailored stakeholder-appropriate knowledge management products and processes. Lastly, communication has been suitable between Project national-level coordinators and with the Regional Project Coordinator, yet it has not been suitable at the country level given that the information does not fully permeate internally to country-level actors amongst stakeholders within each of the six countries involved.

#### Monitoring and Evaluation

**Finding 13. Project-level monitoring and reporting has been carried out appropriately and in a timely manner, for the most part, and has supported the project's implementation.**

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<sup>10</sup> The latter in part due to the fact that the fishery technologist in FAO retired and his position has not been replaced yet thus relying on consultants.

117. Project-level monitoring and reporting have been carried out appropriately and in a timely manner and have supported the project's implementation<sup>11</sup> Monitoring has been carried out to methodically chart the evolution of project outputs, achievements, as well as to flag issues that have arisen throughout the implementation process.
118. The Regional Coordinator collects inputs from national partners to prepare biannual project progress reports. National partners provide the information as national-level project progress reports as well as project implementation review reports which are in turn collated at the regional coordination level. This information also nourishes, in turn, project planning and progress monitoring meetings as well as the annual Project Steering Committee meetings.
119. To monitor progress towards results, the Project Coordination Unit devised and implemented a Monitoring Matrix with a "traffic light system" (red, yellow, green) coding, where progress is colour-coded based on the level of advancement achieved. This has proved to be an agile and graphic way to monitor and therefore identify the targets that are behind schedule and in danger of not being completed, the target outputs that are to be reached before the Project ends (targets to be reached fully as indicated upon design or with adjustments) as well as the targets that have been completed. Reporting has been supported by monitoring information and has followed standard practice, with Annual Work Plan and Budget, Project Progress Reports, and annual Project Implementation Review.
120. The Project had scheduled this mid-term evaluation to take place at execution midpoint (Quarters 2 and 3 of Year 3 of implementation out of a five-year execution period). However, the mid-term evaluation has been delayed and it has withstood a series of organizational problems. This can have an impact on the effectiveness of the evaluation given that whatever adjustments to the course of execution that would arise out of this evaluation process will have little time to be implemented.

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<sup>11</sup> Since Monitoring and Evaluation is specifically included as a component of the Project (i.e. Component 4: Project progress monitoring, evaluation and information dissemination and communication) several aspects as they relate to the component vis-à-vis Evaluation Question 1 are included in that section of this report.

## 6. Conclusions and recommendations

### 6.1 Conclusions

**Conclusion 1. The project remains relevant and its overall strategy is pertinent and in alignment with each country's priorities, as well as GEF and FAO priorities. This has aided in fostering high-level country ownership in most countries, but it has also caused imbalances in implementation resulting in countries performing at different levels.**

121. The type of design that was employed, where each country involved determined (based on its needs and internal issues) what was to be implemented or how to do so at the country-level, within the project's framework, has had a series of implications on the project as a whole. First, it has created high ownership within countries and pertinence to their local needs and situations. On the other hand, it has resulted in very diverse situations vis-à-vis the project at the different national levels. The scope of the project is also highly relevant, taking an explicit standpoint that the issues related to shrimp/trawling, and in particular bycatch, are not simplistic and that the question should be confronted in a multi-dimensional way by including not only technical aspects but also policy, livelihoods, gender and other matters in an integrated manner.

**Conclusion 2. The Project design logic is appropriate, although overly ambitious at times, and applied in countries with widely differing situations as they relate to fisheries and to shrimp trawling. This ambitiousness in design is having lasting impacts on implementation, hindering execution in some countries and resulting in several countries underperforming.**

122. The over-ambitiousness of the design is manifold. A project implemented in six countries, working with four languages, with very different national socio-economic and fishing characteristics, as well dealing with diverse degrees of national capacities (at institutional and governmental levels, as well as academic and fishery enterprise capacities and abilities), in wide geographic spread, and with large in-country dissimilarities among pilot sites, has in many ways resulted in a dispersed intervention. Although, as will be seen below, diversity is not the sole factor affecting the varying degrees of performance, this has had, in turn, a deep effect on the dissimilar performance among and within countries, with some overachieving goals and other countries extremely lagging behind.

**Conclusion 3. Notwithstanding issues in design and implementation difficulties, overall the project has had a series of achievements, mainly at the output levels, but also some achievements in terms of effects.**

123. Although there are numerous issues that the project has had to contend with regarding implementation, for example lack of in-country capacity, conflicts, changes in governments, as well as a combination of administrative problems, considering that the Project is slightly over its mid-point, a series of achievements have emerged. The achievements are not only due to the technical expertise or policy analysis that the Project countries are developing, but also due to the individual countries and the Regional Coordination modality of implementation. The modality of implementation (participatory, decentralized and anchored in the countries that participate) has had a great influence in the achievements, many of which are unplanned or intangible. However, there is still a lack of understanding of the project logic of the at the country level and on how to strategically go from outputs to outcomes/effects; also, on how to influence policy in order to embrace an ecosystem

management approach to shrimp trawling and/or prompt behavioural change which in turn could shape the attainment of solid and sustainable outcomes.

124. Furthermore, although the project is carrying out a set of analysis, in particular regarding gear but also in issues pertaining to shrimp trawling impact, there are many missing components to incorporate into future work. For instance, the analysis regarding other gears that catch shrimp to estimate the carrying capacity of the fishery at a sustainable level (effort, number of vessels, numbers of each gear) to allow for a negotiation and setting of quotas. Also, the analysis on the need for command and control measures to implement whatever policies arise out of the project in the different countries is somewhat lacking.

**Conclusion 4. Regional project coordination has been efficient and effective, but it has been negatively affected by administrative and financing issues.**

125. The role of regional coordination has very been fluid while recognising at the same each country's implementation dominion. Also, the modality of implementation has had an impact on the achievements, in particular unplanned achievements such as the creation of dialogues. However, communication and the generation of materials that are user-friendly are still lacking and there is little learning across countries (although a number of workshops and exchanges have been happening). Lack of proper funding for outputs that should be generated by the Regional Coordination Unit as well as deficient budgeting of operational costs are putting at risk coordination actions and the existence of the Unit itself. The Unit has been highly successful at the regional level and within most of the countries involved by engaging and partnering with diverse institutional stakeholders. This has helped in creating dialogue as well as aided in creating synergies to develop expected activities, processes, and products that were not adequately funded while also helping to avoid duplication of efforts and of products. At the regional level, this engagement also fostered high-level dialogue with key regional and global institutions engaged in policy regarding bycatch, shrimp trawling, and equitable and sustainable fisheries management.
126. The financing issues the project is facing and will further face in the second tranche of implementation are associated mainly to the regional project coordination. First, not all outputs were budgeted (with some expected outputs having no planned funding at all). Second the cost of salaries for project coordination unit staff have not been budgeted properly for the planned duration of the project. These issues are not a result of delayed onset of project activities, but a result of deficient overall project budgeting, which cannot be solely addressed by the redirection of resources, since the resources are not properly budgeted.
127. Trawling, regardless of its efforts to become more sustainable, may be phased out. This possibility must be contemplated and there is a need to propose radical changes to existing gears or search for alternative gears and management mechanisms to catch shrimp with lower damage to the environment and much-reduced bycatch, while maintaining socially-equitable livelihoods, within the framework of the time and funding available. It is within this core issue that the Project is to operate. The most important contribution from the REBYC-II LAC Project can be not only the accomplishments related to shrimp management itself, but rather that this project could provide a template for other fisheries to follow this process to achieve ecosystem and co-management frameworks that integrate livelihoods and sustainability factors. Therefore, the upscaling and replication potential is high. The project has facilitated and incentivized the coming together of stakeholders who are



disparate and at times antagonistic. This concept is very novel in this fishery, and for most countries in Latin America and the Caribbean it is new altogether. In addition, there is a realization that solutions are not standard and that they must be customized to areas, type of fishers, ecosystems, and other local factors.

## 6.2 Recommendations

### **Recommendation 1. To FAO and GEF: For future programming, design of projects should be streamlined based on initial assessments and include suitable financing.**

128. For future programming there should be a learning process from this sort of intervention and attempts should be made to streamline design. The difficulties of having many different countries very dissimilar among themselves and with very diverse pilot sites should be avoided since this not only adds (unnecessary) complexity but it also, in the long run, affects effectiveness in implementation. Therefore, less complexity should be sought when designing this type of project.
129. Design should be based on different types of assessments. Capacity assessments and the capacity of a country to absorb outputs should be assessed in order to design specific and tailored interventions to take place according to each country's needs and capabilities as well as to allow a more harmonized implementation process and progress. Gap analysis applied to in-country issues before or at design, to identify problems such as lack of capacity on data collection, stock assessment and other topics, is beneficial for a project's implementation and sustainability.
130. Although it is appropriate to create national buy-in and foster relevance, a multi-country project should have some mechanisms for coordination and leverage of country activities embedded at design. Lastly, activities, coordination, outputs and other aspects should be properly budgeted from the onset of activities.

### **Recommendation 2. To the country partners, coordination unit and FAO: Review log frame and adjust expected outputs vis-à-vis time left to implement. For the Regional Coordination, review expected outputs and streamline in order to properly budget not only the expected products but also funds for staffing, coordination activities, etc.**

131. For the upcoming work plans, countries should review their existing log frame(s) and adjust expected outputs vis-à-vis time left to implement, keeping in mind the results-based implementation expected out of a project of this nature. At each country's level, relevant stakeholders should reformulate, streamline and/or remove products that are defined nationally as unachievable or that do not conduct to clear effects. Country-level analysis should not only take into consideration funds and time available but also the changed situations in each country since implementation began. At the regional coordination level, there is a need also to reformulate/streamline expected products which are either (a) unachievable and/or (b) not budgeted or not adequately budgeted. The regional coordination should take into account time available but also funding that it realistically the Project can leverage. Furthermore, the same process for the national level restructuring should take place, such as results-based analysis, achievable products within the time framework, as well as changing situations at the regional level also.

**Recommendation 3. To Technical Team, FAO: It is necessary to include other gears that catch shrimp to estimate the carrying capacity of the fishery at a sustainable level.**

132. In the Project, it is necessary to include other gears that catch shrimp to estimate the carrying capacity of the fishery at a sustainable level (effort, number of vessels, numbers of each gear) to allow for a negotiation and setting of quotas. Current levels of fishing are unsustainable in various countries as evidenced by the increased effort, falling catches, and reduction of the average size of the various shrimp species and it will not matter how clean artisanal and industrial shrimp trawl fleets become if other actors in the fishery (in particular gillnets) overfish the resource and bycatch.

**Recommendation 4. To Coordination Unit, FAO and GEF: Establish if there is a need for a no-cost extension and begin to generate the mechanisms for requesting it if needed.**

133. With the reviewed planning mentioned above, establish if there is a need for a no-cost extension (at the country levels determine which country/ies might need them and also determine this at the regional coordination level). If such an extension is deemed necessary for project closing, there should be a budgeting exercise to properly budget this potential extension, making sure that the funds are available to guarantee it. If an extension is requested, and if funds are available to underwrite it, this evaluation recommends that it be granted, given the delays in implementation and the complexities that were not properly planned at design.

**Recommendation 5. To Project Coordination and FAO: Encourage all project main stakeholders at the national level to understand the link between products and expected outcomes, as well as the results-based nature of a project such as this.**

134. Review and guide the achievements at the product level in the different countries and encourage all project main stakeholders to grasp that a project such as REBYC-II LAC is not only rooted in the generation of products, but that there should also be strategic mechanisms in place in order to implement the achieved products. For instance, make it clear that the products should not be solely academic, that they should be practical and implemented or implementable at different levels. Provide advice to national – level stakeholders on results-based programming. Link these processes with the generation of knowledge management and user – friendly products as well as with horizontal exchanges between countries where best practices and lessons learned can be used to learn from each other while searching for outcomes. Whatever mechanisms are implemented to impel change should always include livelihood and equity factors (including gender issues) in order for these to be equitable and sustainable. This is linked also to the following recommendation on knowledge management and information.

**Recommendation 6. To Project Coordination and country-level partners: Generate knowledge management products and user – friendly materials, especially in order to reach stakeholders at different levels (policy and decision – makers, fishers, etc.).**

135. The very key findings and processes that the project is generating should reach stakeholders in all countries and at all levels. There should be a strong effort to permeate to different stakeholder levels with user-appropriate materials and with enhanced access to generated information. This is key for the generation of policy in order to work with decision – makers in adopting management policy. Furthermore, the generation of information of this type should also be used for change and sustainability. For instance, it

is also very significant to generate buy-in from fishers by demonstrating the incentives that result from changes in gear that reduce bycatch and for engendering adoption of more ecologically and socially sustainable equipment. Also, user-friendly knowledge management products tailored for different stakeholders' capacities and needs should be generated.

**Recommendation 7. To the Project partners at the national level and to Regional Coordination: Concrete actions that would make the project more sustainable need to be fostered and implemented as soon as possible.**

136. The issue of sustainability should begin to be debated and mechanisms for concrete actions for sustainability need to be developed. For instance, the different country-level partners should begin to contemplate what road map is necessary for the adoption of different products, implementation of recommendations generated by studies, enactment and application of policies, etc., generated in each country context to strength an enabling environment and seek medium to long-term results and effects. These concrete actions need to be implemented as soon as possible.

**Recommendation 8. To FAO: Streamline and accelerate administrative and operational mechanisms in order to be more efficient in project implementation and harmonize administrative issues at the various levels at which the Project operates.**

137. Delays and the consequent resulting impacts on efficiency are, in many ways, associated with demanding and convoluted administrative and operational issues at FAO. These operational issues need to be streamlined and accelerated. Operational issues, such as recruiting, hiring, and resource mobilization, need to be streamlined. FAO's work at the headquarters, sub-regional, and national levels (which are the three levels the Project operates at) needs to be made well-suited and compatible between each level of operation in order to hasten efficient implementation.

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## Appendices

### Appendix 1. FAO-GEF Evaluation Criteria Rating Table and Rating Scheme

#### 1.1 FAO-GEF Evaluation Criteria Rating Table

Each criterion receives a rating derived from the evaluative assessment in the main document.

GEF - FAO criteria/sub criteria	Rating	Summary Comments
<b>A. ASSESSMENT OF PROJECT RESULTS</b>		
1. Overall quality of project outcomes	MS	(for each component of quality see below summary comments)
1.1. Relevance	S	Project is relevant at each individual country level for the countries involved as well as at the regional level.
1.2. Effectiveness	MS	The Project has been moderately satisfactory regarding overall effectiveness (as a composite) in the achievement of outputs as well as in the achievement of unexpected effects (such as dialogues, etc.). There have variations among countries. However, this valorisation is made as a composite, considering that at this midterm evaluation, the achievements of outputs and results, as well as the delays, administrative issues and other matters weigh on effectiveness.
1.2.1. Delivery of Outputs	S	Level and delivery of outputs achieved was as expected and there were minor overall shortcomings in the delivery at the output level. An indicator of this is the achievement mark of 67 percent of expected outputs.
1.2.2. Attainment of outcomes and project objectives	MS	The extent to which objectives/outcomes have been achieved is moderately satisfactory given that some have and some of them have not. Considering that this a midterm review, and that intermediate objectives have not been set, there is moderate attainment.
1.2.3. Likelihood of Impact (ROtI)	UA	This being a mid-term evaluation impact cannot be measured thus far.
1.3. Efficiency	MS	Efficiency is moderate, some aspects such as coordination are quite satisfactory. In others, such as administrative aspects, are wanting.
<b>B. PROJECT IMPLEMENTATION AND EXECUTION RATING</b>		
2. Quality of project implementation	MS	(for each component of quality see below summary comments)
2.1. Project oversight	MS	Project oversight (technical and administrative) has been moderate. There has been key technical oversight
3. Quality of project execution	MS	(for each component of quality see below summary comments)
3.1. Project management arrangements and delivery (PMU, financial management, etc.)	MS	Project management arrangements are satisfactory. Delivery has been partially slowed down by administrative and bureaucratic issues internally in the countries involved as well as at the regional level.

3.2 Knowledge management and communication	U	Knowledge management has not been an element of the Project thus far. Communication is satisfactory among national project coordinators and with regional coordinator, yet relevant information is not transmitted properly to the different stakeholders within countries.
<b>C. PROCESSES AND FACTORS AFFECTING ATTAINMENT OF PROJECT OUTCOMES</b>		
4. Project design and readiness	MU	There were significant shortcomings, in quality of design. Project was overambitious and too geographically expansive. Coordination for country-level activities was not embedded in design. Little capacity assessment of the different countries was carried out, therefore, outputs as designed were not tailored to country's capacities and needs. Positively, however, design included the three pillars (policy, bycatch reduction technologies, and social that make-up fisheries management of bycatch).
5. Project partnerships and stakeholder involvement	HS	Stakeholder involvement and partnerships forged through and for the implementation of the Project (even some unplanned partnerships) is highly satisfactory.
6. Co-financing	S	Co-financing has been at expected level in some countries, below expected levels in other countries, and exceeded committed co – financing in other countries. Therefore, as a composite, co-financing leveraged at midpoint is satisfactory.
<b>D. MONITORING AND EVALUATION (M&amp;E) RATING</b>		
7. Overall quality of M&E	MS	(for each component of quality see below summary comments)
7.1. M&E Design	S	Design of monitoring and evaluation standard.
7.2. M&E Plan Implementation (including financial and human resources)	MS	Implementation of monitoring has been proactive as to the monitoring of outputs, etc. Mid-term evaluation delayed.
<b>E. SUSTAINABILITY OF PROJECT OUTCOMES</b>		
8. Overall likelihood of risks to sustainability	ML	(for each component of quality see below summary comments)
8.1. Financial risk	ML	The financial resources to underpin the sustainability are likely to be available in some countries (for instance, larger countries) than in other countries. Therefore, the overall probability of financially sustaining at least some outcomes is moderate.
8.2. Socio-political risk	L	Shrimp trawling is a highly socio – politically conflictive fishery in the region. The acceptance of outcomes or even outputs in order to be sustained is likely to encounter this risk.
8.3. Institutional risk	ML	In general, institutions that deal with fisheries in the region are weak, and although the Project works in strengthening these institutions and works on creating management tools that can be sustained for the integrated management of shrimp trawling, there are still moderate risks to institutional sustainability of outcomes. It is expectable, therefore, that some outcomes will be sustained.
8.4. Environmental risk	ML	The environmental risks associated to the Project are deeply imbedded into it. The risk of not properly managing bycatch in order to sustain shrimp fisheries, with issues such as capture of juveniles that do not allow for stocks to regenerate, pollution, climate change, etc., are very present environmental risks. Although the project is acknowledging these risks to some degree, many of them are externalities that fall outside of the Project's possibility to act upon and could have an impact on sustainability.
Overall project rating	MS	

## 1.2 Rating Scheme

### A. Overall Outcome ratings

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

### B. Project Implementation ratings (Assess Implementation and Execution separately)

Rating	Description
Highly Satisfactory (HS)	There were no shortcomings and quality of <b>implementation or execution</b> exceeded expectations.
Satisfactory (S)	There were no or minor shortcomings and quality of <b>implementation or execution</b> meets expectations.
Moderately Satisfactory (MS)	There were some shortcomings and quality of <b>implementation or execution</b> more or less meets expectations.
Moderately Unsatisfactory (MU)	There were significant shortcomings and quality of <b>implementation or execution</b> somewhat lower than expected.
Unsatisfactory (U)	There were major shortcomings and quality of implementation substantially lower than expected.
Highly Unsatisfactory (HU)	There were severe shortcomings in quality of <b>implementation or execution</b> .
Unable to Assess (UA)	The available information does not allow an assessment of the quality of <b>implementation or execution</b> .

### C. Monitoring and Evaluation Design or Implementation Ratings (Overall M&E design, Assess Design and Implementation separately)

Rating	Description
Highly Satisfactory (HS)	There were no shortcomings and quality of <b>M&amp;E design or M&amp;E implementation</b> exceeded expectations.
Satisfactory (S)	There were no or minor shortcomings and quality of <b>M&amp;E design or M&amp;E implementation</b> meets expectations.
Moderately Satisfactory (MS)	There were some shortcomings and quality of <b>M&amp;E design or M&amp;E implementation</b> more or less meets expectations.
Moderately Unsatisfactory (MU)	There were significant shortcomings and quality of <b>M&amp;E design or M&amp;E implementation</b> somewhat lower than expected.
Unsatisfactory (U)	There were major shortcomings and quality of <b>M&amp;E design or M&amp;E implementation</b> substantially lower than expected.
Highly Unsatisfactory (HU)	There were severe short comings in <b>M&amp;E design or M&amp;E implementation</b> .
Unable to Assess (UA)	The available information does not allow an assessment of the quality of <b>M&amp;E design or M&amp;E implementation</b>

**D. Sustainability**

<b>Rating</b>	<b>Description</b>
Likely (L)	There is little or no risk to sustainability.
Moderately Likely (ML)	There are moderate risks to sustainability.
Moderately Unlikely (MU)	There are significant risks to sustainability.
Unlikely (U)	There are severe risks to sustainability.
Unable to Assess (UA)	Unable to assess the expected incidence and magnitude of risks to sustainability.



## Appendix 2. FAO-GEF Co-financing Table

Name of the Co-financer	Co-financing at project start			Materialized Co-financing at project mid-term (30 June 2018 - white cell) (30 December 2018- dark cell)			Total Difference	Total Difference
	(Amount confirmed at GEF CEO endorsement/approval by the project design team) (in USD)			(in USD)			(in USD)	(in % delivery)
	In-kind	Cash	Total	In-kind	Cash	Total	Status	Status
INAPESCA, Mexico	3 175 000.00	407 000.00	3 582 000.00	3 885 971.61	368 551.00	4 254,522	672 522.61	118.78%
CONAPESCA, Mexico				4 694.84	17 214.40	21 909.24	21 909.24	N/A
AUNAP/ Colombia	132 456.00	744 567.00	877 023.00	2 057 300.00	545 643.00	2 602,943.	1 725 920.00	296.79%
INVEMAR/ Colombia	2 824 262.00	-	2 824 262.00	717 377.00	570 462.00	1 287,839	1 536 423.00	45.60%
Trinidad and Tobago	1 263 484.00	102 344.00	1 365 828.00	25 875.18	312 358.17	338 233.35	1 027 594.65	24.76%
Ministry of LVV Suriname	1 330 000.00	355 000.00	1 685 000.00	109 750.00	16 700.00	126 450.00	1 558 550.00	7.50%
NOAA, USA	450 000.00		450 000.00	351 520.00		351 520.00	98 480.00	78.12%
INCOPESCA Costa Rica	200 000.00	-	200 000.00		83 483.21	83 483.21	116 516.79	41.74%
WECAFC	620 000.00	630 000.00	1 250 000.00	350 000.00	420 000.00	770 000.00	480 000.00	61.60%
CoopeSoliDar R.L. Costa Rica	-	-	-		91 093.77	91 093.77	91 093.77	N/A
OSPESCA	-	-	-	89 075.00	-	89 075.00	89 075.00	N/A
FAO	400 000.00	-	400 000.00	365 000.00		365 000.00	35 000.00	91.25%
Brazil	1 577 189.00	1 577 189.00	3 154 378.00	434 537.37	1 213 310.54	1 647,847	1 506,530.09	52.24%
CAMAPUN Costa Rica	300 000.00	-	300 000.00	221 689.76		221 689.76	78 310.24	73.90%
UNIPESCA, Costa Rica	100 000.00	-	100 000.00	-			100 000.00	0.00%
ACODIARPE Colombia	860 000.00	-	860 000.00	760 000.00		760 000.00	100 000.00	88.37%
Pestolu, Colombia	150 000.00	-	150 000.00	21 000.00		21 000.00	129 000.00	14.00%
WWF Guianas	-	-			64 200.00	64 200.00	64 200.00	N/A
Haploeg, Holsu, Marisa Fisheries, Moti Fisheries, SAIL	-	-	-	115 750.00	49 750.00	165 500.00	165 500.00	N/A

Appendix 2. FAO-GEF Co-financing Table

EPOMEX/Mexico			-	12 520.00	33 802.83	46 322.83	46 322.83	N/A
CANAINPESCA/CSP Camaron- Mexico			-	8 007.00	34 533.12	42 540.12	42 540.12	N/A
FIDEMAR-Mexico			-		172 569.40	172 569.40	172 569.40	N/A
Biosphera Foundation (The Netherlands)			-	3 000.00		3 000.00	3 000.00	N/A
Institute for Agricultural and Fisheries Research (ILVO-Belgium)				3 000.00		3 000.00	3,000.00	N/A
ITBOCA Institute			-	7 511.74	3 693.27	11 205.01	11 205.01	N/A
CETMAR-Lerma					8 137.72	8 137.72	8 137.72	N/A
Marist University of Merida					7 386.54	7 386.54	7 386.54	N/A
Campeche State Government				14 606.16	8 158.58	22 764.74	22 764.74	N/A
Grand Total (in USD)	13,382,391	3,816,100	17,198,491	9 558,185	4 021 047	13 579 233	(3 619 257.79)	78.96%

## Appendix 3. Evaluation Matrix

Key Questions and Sub Questions : Relevance	Comments/Indicators	Methods for analysis: Data Sources
<p><b>Relevance of concept and of design:</b></p> <p>To what extent is the project strategy relevant to countries priorities, countries ownership, GEF and FAO priorities and the best route towards expected results?</p> <p><i>Sub-Questions:</i></p> <ul style="list-style-type: none"> <li>▪ How robust, elaborate and realistic is the Results Matrix?</li> <li>▪ How clear, coherent and achievable is the project's Results Matrix and how is it linked to programme-level targets?</li> <li>▪ Are the outputs aligned to the achievement of outcomes?</li> <li>▪ How is the project responding to the actual national/sub-national environmental needs, programmes and priorities set by the different Governments?</li> <li>▪ Has relevance changed since project was designed – have there been any changes (political, socio-economic, environmental, technological, gear use, in the different countries etc.) that have rendered the project more or less relevant?</li> <li>▪ Are the project's objectives and expected outcomes or components in design clear, practical, and feasible within its time frame?</li> <li>▪ Have gender issues been incorporated in the design?</li> <li>▪ Are the indicators feasible to be achieved considering the resources and temporality of the project?</li> </ul>	<ul style="list-style-type: none"> <li>▪ Degree of coherence (level of coherence between project expected results and project design internal logic/ level of coherence between project design and project implementation approach).</li> <li>▪ Degree to which the project supports national objectives.</li> <li>▪ Appreciation from national stakeholders with respect to adequacy of project design and implementation to national realities and existing capacities.</li> </ul>	<p>Document analysis:</p> <ul style="list-style-type: none"> <li>▪ Project Document.</li> <li>▪ National relevant policies.</li> </ul>

Key Questions and Sub Questions: Effectiveness and Efficiency	Comments/Indicators	Methods for analysis: Data Sources
<p><b>Implementation effectiveness regarding achievements of results and efficient use of resources (financial, human, technical, technological, and knowledge inputs):</b></p> <p>To what extent have the expected outcomes and objectives of the project been achieved thus far?</p> <p><i>Sub-Questions:</i></p> <ul style="list-style-type: none"> <li>▪ Have the expected outputs been achieved thus far in relation to midterm expectations (milestones)?</li> <li>▪ To what extent has FAO assistance resulted in achievement of current successes?</li> <li>▪ How has FAO oversight and technical support affected performance, effectiveness, and efficiency?</li> <li>▪ What factors are contributing and/or affecting negatively the performance and the effectiveness of the project (in highly successful countries versus the countries that are lagging)?</li> <li>▪ How have stakeholder engagement interventions been effective in enhancing achievement of project outcomes? Has it been a factor affecting performance?</li> <li>▪ What has been the project’s partnership strategy? How effective has the project’s partnership strategy been in supporting delivery of the project’s results to date? How can the partnership (membership, arrangements, communications, resources) be improved to promote the aims of the project and better delivery, impact and sustainability and ownership of the project’s results?</li> <li>▪ What have been the technical issues that have hindered or contributed in obtaining results (at the output and at the outcome levels)?</li> </ul>	<ul style="list-style-type: none"> <li>▪ Degree of achievement vis a vis expected output outcome indicators in LogFrame (Discrepancies between expected outputs/outcome by the time of mid-term and actual achievements).</li> <li>▪ Indication of policy guidance in project outputs, documents, products.</li> <li>▪ Changes in policy attributable to project.</li> <li>▪ Involvement of beneficiaries in project development and implementation.</li> <li>▪ Analysis of participation by stakeholders (associations, civil society, NGOs, etc.).</li> <li>▪ Harness effectiveness by analyzing how project’s results were met vis-à-vis intended outcomes or objectives.</li> <li>▪ Adaptive management and project-level monitoring and evaluation systems, reporting, and project communications supporting the project’s implementation.</li> <li>▪ Draw lessons learned/good practices from the implementation and achievement of results.</li> </ul>	<p>Document analysis:</p> <ul style="list-style-type: none"> <li>▪ Project Document.</li> <li>▪ Project implementation reports (project wide and at the country level).</li> <li>▪ Technical reports arising out of the project.</li> </ul> <p>Interviews:</p> <ul style="list-style-type: none"> <li>▪ Interviews with key informants (FAO, GEF, national policy institutions).</li> <li>▪ Interviews with beneficiaries, fisheries-related organizations.</li> </ul> <p>Direct observation:</p> <ul style="list-style-type: none"> <li>▪ Direct observation at Project Sites.</li> </ul>

<p><i>Note: An extensive list of specific questions of a technical nature is included following this matrix. These would be presented to relevant stakeholders as needed or as pertinent.</i></p> <p>Has the project been implemented efficiently, cost-effectively, and been able to adapt to changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?</p> <p><i>Sub-Questions:</i></p> <ul style="list-style-type: none"> <li>▪ Should resources be re-assigned to outputs with a greater impact on expected project outcomes?</li> <li>▪ Have changes to project (design, implementation, outputs, outcomes) been made and are they effective?</li> <li>▪ Are responsibilities and reporting lines clear?</li> <li>▪ Is decision-making transparent and undertaken in a timely manner?</li> <li>▪ Have funds been effectively implemented in relation to the activities completed/outputs generated?</li> </ul>		
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Key Questions and Sub Questions: Sustainability	Comments/Indicators	Methods for analysis: Data Sources
<p><b>Sustainability potential (assessing probability of continued implementation of project activities and use of the delivered project technologies and outputs even after the end of the project, as well as risks):</b></p> <p>To what extent has the project supported financial, institutional, socio-economic, and/or environmental improvements to sustain long-term project results?</p> <p><i>Sub-Questions:</i></p> <ul style="list-style-type: none"> <li>▪ What specific actions must FAO and partners take to ensure sustainability of project results – in terms of financial, socio-political, institutional/governance and environmental risks to the sustainability of project results?</li> </ul>	<ul style="list-style-type: none"> <li>▪ Mechanisms being implemented, adopted, etc., to sustain results overtime.</li> <li>▪ Sustainability strategy (tacit or explicit).</li> </ul>	<p>Document analysis:</p> <ul style="list-style-type: none"> <li>▪ Project implementation reports (project wide and at the country level).</li> <li>▪ Technical reports arising out of the project.</li> </ul> <p>Interviews:</p> <ul style="list-style-type: none"> <li>▪ Interviews with key informants (FAO, GEF, national policy institutions).</li> </ul>

<ul style="list-style-type: none"> <li>▪ Does an enabling environment exist to ensure changes in fishing and management practices?</li> <li>▪ Do countries have the capacity to continue the work begun under this project, particularly in terms of management, data collection and enforcement?</li> <li>▪ How can the project strengthen the enabling environment and ensure long-term impacts?</li> <li>▪ Are governance mechanisms (norms, laws, and other regulatory framework) being adopted to aid in sustainability?</li> <li>▪ Is there social acceptance of the project’s expected outcome which could aid in sustainability? Risks?</li> <li>▪ What is the degree of social acceptance of innovation/new technologies? How does this affect potential for sustainability?</li> <li>▪ Are the financial means in place to guarantee sustainability of outcomes and outputs after the project ends?</li> <li>▪ Have other risks to sustainability been identified (climate change, market issues, etc.)?</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interviews with beneficiaries, fisheries related organizations, academia, NGOs.</li> </ul>
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Key Questions and Sub Questions: Cross cutting issues	Comments/Indicators	Methods for analysis: Data Sources
<p><b>Cross-cutting Issues: Gender equality, youth, fisheries workers, development impact, participation</b></p> <p>Have gender and equity issues been appropriately incorporated into project execution and have gender considerations been effectively incorporated in all project countries?</p> <p><i>Sub-Questions:</i></p> <ul style="list-style-type: none"> <li>▪ How does the project engage with women?</li> </ul>	<ul style="list-style-type: none"> <li>▪ Effectives form of engagement.</li> <li>▪ Monitoring of effects.</li> <li>▪ Gender analysis.</li> <li>▪ Development (equity) outlook.</li> </ul>	<p>Document analysis:</p> <ul style="list-style-type: none"> <li>▪ Project implementation reports (project wide and at the country level).</li> <li>▪ Technical reports arising out of the project.</li> </ul> <p>Interviews:</p>

<ul style="list-style-type: none"> <li>▪ Are there indicators that women’s participation in fisheries has changed as a result of the project?</li> <li>▪ How does the project engage fish workers and small-scale fishers?</li> <li>▪ Does the project engage with youth?</li> <li>▪ Is the project likely to have the same positive and/or negative effects on fishers and fish workers, fisherwomen and fishermen?</li> <li>▪ Identify, possible, legal, cultural, or religious constraints on women’s participation in the project.</li> <li>▪ What can the project do to enhance its gender benefits?</li> <li>▪ What has been the stakeholders’ involvement in the project (during design, implementation)?</li> <li>▪ Do beneficiaries/stakeholders have buy-in into the projects expected outcomes in relation to equity expectations?</li> <li>▪ Does the project have clear equity and development factors weaved into its expected outcomes?</li> <li>▪ Have there been socio-economic/livelihood changes (or are changes foreseen) vis-à-vis the project (such as changes in salaries or benefits, changes in earnings and expenses, new market opportunities (eco-certification, new countries)?</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interviews with key informants (FAO, GEF, national policy institutions).</li> <li>▪ Interviews with beneficiaries, fisheries-related organizations.</li> </ul>
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## Appendix 4. Country Level Activities at Design

Output	Brazil	Colombia	Costa Rica	Mexico	Suriname	Trinidad and Tobago
<b>Component 1: Improving institutional and regulatory arrangements for shrimp/bottom trawl fisheries and bycatch co-management</b>						
<b>Outcome 1.1</b> Strengthened regional collaboration on shrimp/ bottom trawl fisheries and bycatch management.						
<b>1.1.1 The B&amp;D Guidelines are implemented in relevant fisheries in the project countries and regional collaboration promoted.</b>						
<p><b>Overall/regional targets:</b></p> <p>a) All project countries refer to the B&amp;D Guidelines in relevant policies and/or fisheries management plans.</p> <p>b) At least 3 media products (documentary, brochure, etc.) produced for dissemination to project and non-project countries, with content contributed by all project countries and RFBs/donors/international agencies involved in project.</p>	<p><b>Targets:</b></p> <p>A management plan for the shrimp trawl bycatch in line with B&amp;D Guidelines adopted at national, regional and local levels, in the 7 pilot sites.</p>	<p><b>Targets:</b></p> <p>Management plan for shrimp trawl bycatch in line with B&amp;D Guidelines developed (and adopted by AUNAP at national, regional and local levels (4 pilot sites)).</p>	<p><b>Targets:</b></p> <p>Workshops for awareness- raising on the B&amp;G Guidelines and the SSF Guidelines carried out.</p>	<p><b>Targets:</b></p> <p>4 shrimp fisheries management plans implemented (in line with B&amp;D Guidelines).</p>	<p><b>Targets:</b></p> <p>Review and consideration of the B&amp;D Guidelines continue to take place yearly and shall be fully incorporated through a Ministerial Decree. Recommendations by CLME+ will be discussed and incorporated as best as possible.</p>	<p><b>Targets:</b></p> <p>Recommendations made for increased participation of TTO in regional efforts for sustainable management of Caribbean LME in line with the B&amp;D Guidelines.</p>
<b>Outcome 1.2</b> Improved legal and institutional frameworks in the project countries for shrimp/bottom trawl fisheries and bycatch co-management and EAF.						
<p><b>1.2.1 National legal frameworks for shrimp/bottom trawl fisheries and bycatch management, EAF and co-management reviewed and amended.</b></p>	<p><b>Baseline:</b></p> <p>Legal review needed focusing on bycatch and EAF implementation (proposed new shrimp trawl fisheries management plan does not include bycatch).</p>	<p><b>Baseline:</b></p> <p>No legal provisions for bycatch co-management; only mandatory use for use of TEDs. Some co-management experience exists but this and rights-based management not reflected in legal framework.</p>	<p><b>Baseline:</b></p> <p>Recent decision on shrimp trawl ban (no renewal of licences) and adjustment of legal framework needed accordingly. The fisheries law does not refer directly to bycatch. Co-management exists in the context of 'responsible marine</p>	<p><b>Baseline:</b></p> <p>There is limited scope for industry participation although current legislation recognises fisheries co-management.</p>	<p><b>Baseline:</b></p> <p>Fisheries Act 2010 with apparent legal provisions for bycatch. Coast guard installed in 2013 but not covered by legal framework.</p>	<p><b>Baseline:</b></p> <p>New draft policy/legislation exists envisaging co-management but not yet passed.</p>



			fisheries areas' management mechanisms but related protected area legislation does not provide for co-management.			
<p>a) Institutions responsible for fishery law and regulations in at least 3 project countries have received training on and have applied the FAO legal assessment tool to evaluate the appropriateness of their legal frameworks for:</p> <ul style="list-style-type: none"> <li>• Bycatch management and EAF in accordance with the B&amp;D Guidelines.</li> <li>• Co-management, including rights-based approaches in accordance with the SSF Guidelines.</li> </ul> <p>b) Regional level recommendations for harmonized regulations on shrimp/bottom trawl bycatch management developed, reviewed and adopted by RFBs for region-wide implementation.</p>	<p><b>Targets:</b> Local (in the 7 pilot sites), regional and national legislation related to shrimp trawl fisheries reviewed, focusing on bycatch and the application of the EAF assessed, and a new legal and regulatory framework proposed.</p>	<p><b>Targets:</b> Legislation for bycatch co-management revised in line with B&amp;D Guidelines including agreement with small-scale fishers (in one pilot site) and large-scale fishers (in one pilot site) and evaluation of the management response by fisheries authorities.</p>	<p><b>Targets:</b> A public consensus policy for fisheries management established. Legal framework revised to include shrimp fisheries legislation and to be in line with the B&amp;G Guidelines and the SSF Guidelines. Legal assessment tool developed.</p>	<p><b>Targets:</b> N/A</p>	<p><b>Targets:</b> Legal framework reviewed and recommendations made for amendments as required. Coast Guard functional based on relevant legislation and supporting improved MCS of trawl fisheries.</p>	<p><b>Targets:</b> Recommendations made for necessary amendments to existing legislation and policies or to proposed Fisheries Management Bill and draft Fisheries Management Policy to create appropriate legislative and policy framework for sustainable management of the fishery.</p>
<b>1.2.2 Institutional structures for EAF and co-management of shrimp/bottom trawl fisheries and bycatch in place.</b>						
<p><b>Overall/regional targets:</b> a) Functional institutional structures, including</p>	<p><b>Targets:</b> State-of-the-art assessment of the</p>	<p><b>Targets:</b> Functioning institutional</p>	<p><b>Targets:</b> Capacities developed for</p>	<p><b>Targets:</b> Management committee</p>	<p><b>Targets:</b> Overarching organisations for</p>	<p><b>Targets:</b> Recommendations for institutional framework</p>

<p>multisectoral committees involving both men and women, for shrimp/bottom trawl fisheries and bycatch co-management exist in at least 3 project countries.</p>	<p>management process of the shrimp trawl fisheries in Brazil, focusing on bycatch and the application of the EAF, at local, regional and national levels, carried out and a new management framework adopted.</p>	<p>structure with clear shrimp bycatch co-management responsibilities in place.</p>	<p>shrimp/bottom trawl fisheries and bycatch co-management. Creation of a committee for closed seasons that meets monthly for monitoring and planning.</p>	<p>established.</p>	<p>small and large-scale fishers established.</p>	<p>to achieve efficient, effective delivery of services and sustainable management of fisheries focusing on restructuring of the Fisheries Division and establishment of mechanisms for institutional collaboration and cooperation on fisheries management among governmental and non-governmental agencies.</p>
<p><b>Component 2: Strengthening bycatch management and responsible trawling practices within an EAF framework</b></p>						
<p><b>Outcome 2.1</b> Selected key shrimp/bottom trawl fisheries in the region are successfully co-managed through EAF (including bycatch/discards considerations).</p>						
<p><b>2.1.1 Information on bycatch (species, volumes, bottom impacts) and monitoring systems improved in selected fisheries (both small and large-scale) in project areas, supporting EAF and co-management.</b></p>						
<p><b>Overall/regional targets:</b>  a) Critical bycatch species are known or identified in at least 5 project pilot sites.  b) Bycatch data monitoring systems are improved according to local needs and provide information for shrimp/bottom trawl fisheries and bycatch management in at least 3 project countries.  c) Information is shared in a harmonised and efficient way through the WECAFC/CRFM/IFREMER</p>	<p><b>Targets:</b>  Assessment of bycatch in the shrimp trawl fisheries carried out in the 7 pilot sites, with species composition and the main biological traits of the species caught, ecological interactions, and ecosystem resilience, including threats to seabed habitats and fish stocks, as well as a comparative analysis of the</p>	<p><b>Targets:</b>  At least 3 bycatch and habitat impact indicators available in 4 pilot sites through improved fisheries monitoring programmes.</p>	<p><b>Targets:</b>  Statistics are updated and publically available.  Capacity strengthened of small-scale shrimp fishers and INCOPECA.  Data are shared with other countries in the region.  Data collecting system is strengthened by provision of equipment and software to identified fisheries</p>	<p><b>Targets:</b>  Monitoring programme available providing information on the composition and spatial-temporal variation of bycatch in the Gulf of Mexico/Caribbean Sea.</p>	<p><b>Targets:</b>  Observer programme in place for collecting data. Observers are trained in data collection on trawlers. Data collected and analysed from all shrimp trawlers.</p>	<p><b>Targets:</b>  Appropriate data collection system to support bycatch reduction and monitor and assess effectiveness of measures introduced. Observer programmes, logbook programmes, etc., implemented.</p>

Working Group and the need for a regional DSS (as defined in the CLME SAP) has been evaluated.	results between sites.		organisations (small-scale and semi-industrial).			
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Output	Brazil (BRA)	Colombia (COL)	Costa Rica (CRI)	Mexico (MEX)	Suriname (SUR)	Trinidad and Tobago (TTO)
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**2.1.2 Alternative fishing methods, BRD technologies and other management measures identified and adopted by fishers.**

Overall/regional targets:	Targets:	Targets:	Targets:	Targets:	Targets:	Targets:
<p>a) Management measures for decreasing bycatch have been investigated in all project countries (in project pilot sites) and recommendations formulated and presented to competent authorities.</p> <p>b) At least half of the project countries have benefited from NOAA BRD testing assistance.</p> <p>c) The feasibility of alternative fishing methods has been tested in at least one project pilot sites,s. Outcomes of these activities are documented (including economic viability and level of acceptance by fishers), evaluated and communicated to all other project countries.</p>	<p>A catalogue of the main fishing boats and gears used in the shrimp trawl fisheries in the 7 pilot sites published.</p> <p>A report on simulated and observed behaviour of fishing gear during commercial trawls, prepared for one pilot site.</p> <p>A report on the behavior of bycatch species and their interaction with the gears currently used by the industrial fisheries, prepared for 2 pilot sites.</p> <p>Potential gear and/or operational changes in order to reduce bycatch of sensible/endangered organisms tested in all 7 pilot sites</p>	<p>At least 2 prototype BRDs in operation (1 for small-scale fisheries and one for large-scale) and other management measures agreed with fishers in at least half the project sites.</p>	<p>Technology adjustments to minimise ecosystem impacts; evaluation of other types of gear devices (doors, net material and design, etc) that do not entail high costs for fishers.</p> <p>Integration of scientific and traditional knowledge to prepare maps of sensitive areas.</p> <p>Redefinition of the closed shrimp season in the Gulf of Nicoya and change of fishing practices in small-scale fisheries.</p> <p>Fishing capacity plan developed (defining how many small-scale and semi-industrial vessels the resources can sustain).</p>	<p>Prototype net is used by the large-scale fleet in the Gulf of Mexico/Caribbean Sea and unsustainable bycatch is reduced by 20%.</p>	<p>BRD testing carried out with NOAA assistance. Most effective and environmentally sound BRD installed on all shrimp trawlers.</p> <p>Reduction of HP and licences for coastal fleets.</p> <p>VMS implemented in coastal fleet.</p>	<p>Up to 30% reduction in bycatch in pilot area compared to baseline established in Year 1 of project.</p> <p>Minimum of 50% of trawling vessels at pilot site using BRDs.</p> <p>Evidence-based identification of sensitive areas and periods for spatial-temporal restrictions within fishing grounds.</p>

	Management measures for the reduction of bycatch and increase of survival of the species caught adopted at national, regional and local levels (at the 7 pilot sites).					
<b>2.1.3 EAF training provided and participatory management planning process operational.</b>						
<p><b>Overall/regional targets:</b></p> <p>a) Government officials and technical staff and fisher representatives have been trained in co-management principles and EAF.</p> <p>b) EAF shrimp/bottom trawl fisheries co-management plans/strategies, developed through participatory approaches including both men and women and covering bycatch, are under implementation in at least 5 project pilot fisheries.</p> <p>c) Information on the EAF participatory processes is shared amongst the countries and at regional level (through workshop and/or via reports and website).</p>	<p><b>Targets:</b></p> <p>Stakeholders (fishers' representatives and government officials) trained in one stakeholder EAF workshop.</p> <p>National guidelines on strategies and methodologies to apply the participatory adaptive management to the reality of the shrimp trawl fisheries developed, with focus on bycatch and the application of EAF, to different fishery scales and regional contexts.</p> <p>42 demonstrative workshops on the BRDs to be developed, to be carried out in fishing communities of the 7 pilot sites.</p>	<p><b>Targets:</b></p> <p>Government officials and technical staff and fisher representatives have been trained in co-management principles and EAF (12 industrial fishers, 30 artisanal fishers and 10 technicians from fisheries and environment authorities).</p> <p>At least 2 participatory bycatch management planning processes applying EAF carried out (one for small-scale</p>	<p><b>Targets:</b></p> <p>4 training courses annually during first 3 years for INCOPECSA, MINAE, Guardacostas, AMPR in EAF; principles of co-management; entrepreneurship; negotiation tools.; organisational strengthening; research, fisheries information management and data bases; political influence; and women's health.</p> <p>Permanent capacity and extension programme established.</p> <p>Presence and participation of fishers associations (and not only technicians) in the development of bycatch management</p>	<p><b>Targets:</b> N/A.</p>	<p><b>Targets:</b></p> <p>Capacity development provided based on CANARI existing support and mentoring programmes established in at least 2 project pilot sites.</p> <p>National Fisheries Management plan is approved by Ministerial Decree.</p> <p>Management plans for other shrimp species and finfish species are drafted.</p>	<p><b>Targets:</b></p> <p>Stakeholders (fishers' representatives and government officials) trained in four (4) stakeholder EAF Shrimp/Bottom trawl fisheries co-management workshops/consultations.</p> <p>Five (5) workshops/consultations with key stakeholders (fishers' representatives and government officials) for baseline data gathering and dissemination of information and results gained from research programmes.</p> <p>Gear trial surveys (BRDs) for artisanal, semi-industrial and industrial trawl fleets-to cover one trawl-fishing season (6 months).</p>

	Sixteen (16) workshops for evaluation of the BRD results, in fishing communities of the 7 pilot sites done and a bycatch management plan adopted through a participatory process.	fisheries and one for large-scale).	measures/technologies. Inter-institutional approach to improve MSC.			
<b>Outcome 2.2</b> An enabling environment created including incentives and promoting responsible practices by trawl operators.						
<b>2.2.1 Drivers of bycatch and discard practices investigated and understood and potential incentives identified for bycatch management.</b>						
<b>Overall/regional targets:</b> a) Bycatch and discard drivers are investigated through collaborative research with fishers/industry in at least 5 project pilot sites, and SWOT and feasibility analyses carried out of potential incentives. b) Potential incentive packages are tested in at list 2 project pilot sites.	<b>Targets:</b> The socio-economic characteristics of the shrimp trawl fisheries in the 7 pilot sites assessed. One capacity-building workshop on ecological modeling and scenario analyses/management strategy evaluation carried out and 7 local models developed (one for each pilot site) and an integrated model for the shrimp trawl fisheries in the country. Design of possible ecosystem scenarios and management strategies. Preliminary evaluation of the potential use of certification schemes to aggregate value to	<b>Targets:</b> One resource has been evaluated with the intention to provide the basis for small-scale fisheries diversification. Recommendations formulated for creating incentives in the form of fuel consumption savings as part of bycatch management in large-scale fisheries in one pilot site.	<b>Targets:</b> Gear selectivity and incentives study carried out.	<b>Targets:</b> N/A.	<b>Targets:</b> Certification of the seabob fleet is confirmed and conditions lifted.	<b>Targets:</b> Incentives for bycatch reduction identified and implemented in pilot area. SWOT and feasibility analysis for possible incentive packages for bycatch reduction on a national scale.

	shrimp trawling fishery, in 2 pilot sites. The energy efficiency and possible solutions for the reduction of fossil-fuel consumption and the emission of greenhouse effect gases in the artisanal and small-scale fisheries tested in 2 pilot sites.					
<b>2.2.2 New products tested, using sustainable bycatch, with a view to reducing discards.</b>						
<b>Overall/regional targets:</b> a) New products and markets using current discards tested in at least one project pilot fishery, results evaluated and recommendations formulated for potential application in other fisheries in the region.	<b>Targets:</b> N/A.	<b>Targets:</b> Discards have been reduced by 10% in one pilot site for small-scale fisheries and in one pilot site for large-scale fisheries.	<b>Targets:</b> N/A.	<b>Targets:</b> N/A.	<b>Targets:</b> Production of smoked and salted fish for local consumption and exports.	<b>Targets:</b> N/A.
<b>Component 3: Promoting sustainable and equitable livelihoods through enhancement and diversification</b>						
<b>Outcome 3.1</b> Capacities and opportunities for enhanced sustainable and diverse livelihoods created						
<b>3.1.1 Value chain analysis with focus on the utilisation of bycatch and the roles of gender and vulnerable groups carried out.</b>						
<b>Overall/regional targets:</b> a) The utilisation of bycatch investigated and its economic and social value understood at different steps in the value chain. b) Gender roles in the shrimp trawl fisheries value chain and in households	<b>Targets:</b> The role of women in the shrimp trawling fishery assessed in 2 pilot sites.	<b>Targets:</b> Review of the gender roles in the shrimp fisheries value chain in at least 2 pilot sites (small-scale fisheries). Value chain	<b>Targets:</b> Value chain analysis carried out. Workshop carried out on the role of women in shrimp production. Analysis of the social security situation and work related risks.	<b>Targets:</b> N/A.	<b>Targets:</b> Involvement of women and their role in the fisheries sector are investigated and understood.	<b>Targets:</b> N/A.

<p>investigated in at least 2 project pilot sites. Men and women who are particularly vulnerable to changes in shrimp/bottom trawl fisheries management (e.g. changes in employment and catch/bycatch volumes) are identified and supported, as required and appropriate.</p>		<p>activities strengthening the role of women carried out. At least 10% of the small-scale fisheries women in at least one pilot site have been trained in organisational development, and marketing and processing of fishery products.</p>	<p>Negotiations with the Social Security agency to obtain benefits for semi-industrial fisheries, taking gender into account, undertaken. Experience exchanges between different women groups (also in other sectors) facilitated.</p>			
<p><b>3.1.2 Existing and potential non-fisheries livelihood alternatives for both men and women identified along the value chain, and capacity- building support provided accordingly, including promotion of decent work.</b></p>						
<p><b>Overall/regional targets:</b> a) Increased knowledge on current livelihood strategies and options for enhancement/diversification improved in at least 3 project pilot sites (communities). b) Support interventions have been carried out in at least 3 pilot sites.</p>	<p><b>Targets:</b> Assessment of existing and potential alternative activities to shrimp trawl fisheries in 2 pilot sites</p>	<p><b>Targets:</b> At least 2 business plans formulated for feasibility assessment of, and awareness-raising on, technology changes for alternative fisheries.</p>	<p><b>Targets:</b> Strengthened capacities on local entrepreneurship focusing on shrimp trawl crews and small-scale fisheries organisations. Commercial tourist fishing promoted and INCOPECA authorised to support this type of activity. Project on reconvertng the semi-industrial shrimp trawl fleet into pole and line tuna fishing initiated. Social study on fishers perspective on</p>	<p><b>Targets:</b> Alternative use of bycatch investigated in order to increase value-added products and provide diversification opportunities for shrimp fisher women in the Gulf of Mexico. Study carried out on the interactions between the large-scale trawl fisheries and the coastal finfish fisheries ('flota escamera</p>	<p><b>Targets:</b> Regulations are in place for processing plants for export to Caribbean countries.</p>	<p><b>Targets:</b> Comprehensive investigation into needs and capacity of fishers and fishing community carried out in pilot areas to inform the mechanisms required to improve the capacity and skills of fishers and fish workers for developing and adopting alternative livelihoods focusing on gender component. Incentive package for adoption of sustainable fishing practices and alternative livelihood options developed and implemented in pilot</p>

			alternatives, e.g., small-scale commercial fishing for tourists. 4 training courses for sector actors and support for the development of project portfolio.	riberaña') in the Gulf of Mexico and of the role of bycatch in food security and livelihoods of coastal communities.		areas. Increase by 25 % the numbers of persons engaged in sustainable fishing practices, new post-harvest activities, and alternative livelihood options directly as a result of project intervention in pilot areas compared to baseline established in Year 1. 3 workshops/consultations with key stakeholders (fishers representatives and government officials) for baseline-data gathering and dissemination of information and results gained from research programmes. 2 training workshops for existing fisherfolk associations/cooperatives to increase capacity to contribute to enhanced livelihoods.
<b>3.1.3 Community organisations strengthened allowing for participatory processes leading to desired livelihood changes.</b>						
<b>Overall/regional targets:</b> a) Fisherfolk associations/cooperatives are in place and contribute to enhanced livelihoods in at least at least 3 project pilot sites (communities).	<b>Targets:</b> N/A.	<b>Targets:</b> Common visions developed by fishers associations in 2 pilots sites and contributing to improved livelihoods.	<b>Targets:</b> Strengthening of INCOPESCA in extension and training.	<b>Targets:</b> N/A.	<b>Targets:</b> Existing fishers organisations strengthened and new ones established where there are none.	<b>Targets:</b> N/A.



<ul style="list-style-type: none"><li>• Where no fisher organisations exist, formation of at least one fisher/fish workers organisation at such site.</li><li>• Where fisherfolk associations/ cooperatives exist, delivery of minimum of one training workshop to increase capacity to contribute to enhanced livelihoods.</li></ul>						
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## **Appendix 5. Questionnaire**

1. What has been your involvement with the Project?
2. What have been, in your opinion, the major achievements obtained in the NewCAPP Project in your region?
3. What have been the main problems in your opinion in the implementation of the Project in your region?
4. What would be your recommendations for future work?
5. Any other comments or issues you would like to add, please insert here.

## Appendix 6. List of stakeholders consulted

Country	Institution/Context	Name-Surname
Australia	Technical consultant	1. Steve Eayrs
Barbados	Project Coordinator REBYC-II LAC	2. Carlos Fuentesvilla
	WECAFC/FAO	3. Yvette Diel Ouadi
	CLME+ Sub-Project EAF	4. Jeremy Mendoza Hill
	FAO	5. Nella Lowe
	FAO	6. Lorenza Zagarese
	FAO	7. Estelle Pache
	FAO	8. Anthony Kalman
Brazil	ICMBio	9. Alex Garcia Klautau
	Consultant/Lawyer	10. Ana Silvino
	Country Coordinator REBYC-II LAC	11. Fábio Hazim
	Coordinator Pernambuco	12. Jose Augusto Negreiros Aragão
	Coordinator Pará	13. Bianca Bentes da Silva
	Secretary of Fisheries	14. Dayvison Franklin da Sousa
	ICMBio	15. Héctor Macedo
	SEPSUL/Researcher	16. Roberta Aguiar dos Santos
	SEPSUL/Researcher Coordinator	17. Derien Duarte
	FURG/Researcher	18. Luis Felipe Cestari Dumont
	SINDIPI/Fishers Syndicate	19. Sabrina de Oliveira
	SINPESCA/Fishers Syndicate	20. Apoliano Oliveira do Nascimento
	SINPESCA/Fishers Syndicate	21. Thayson da Silva Reis
	UFRPE/ Researcher	22. Leandro Nolé
	Fisher Pernambuco	23. Isaias Jose de Lima Neto
	Fisher Pernambuco	24. Joan Vicente Franco
	Fisher Pernambuco	25. Sandra Maria do Nascimento Franco
	Fisher Santa Catarina	26. Renato Valmor Monteiro
	Researcher	27. Rodrigo Medeiros
SEAP/PR	28. Sandra Silvestre de Sousa	
UFRP/Researcher	29. Vanildo Sousa de Oliveira	
Colombia	AUNAP	30. Vianys Agudelo
	AUNAP	31. Raúl Pardo Boada
	Ship owner	32. Pío León Sepúlveda
	INVEMAR	33. Fabián Escobar
	Fishing Captain	34. Joaquín Chan
	Net maker	35. Carlos Rodriguez
	INVEMAR	36. Germán Angulo
	INVEMAR	37. Alexander Girón
	INVEMAR	38. Nelson Martinez
	Consultant/Lawyer	39. Laura Jaramillo
	UNIMAG/Researcher	40. Luis Orlando Duarte
	WWF	41. Luis Zapata
	Country Coordinator REBYC-II LAC	42. Mario Rueda
	Ministry of the Environment	43. Laura Bermudez
	Ministry of the Environment	44. Lorena Bejarano
	Ministry of the Environment	45. Kelly Moreno
	Ministry of the Environment	46. Eugenio Martín
	Ministry of the Environment	47. Julio Quintero
	Fish monger	48. Nidia Nelly Angulo
	Community leader/fisher	49. José Kennedy Caicedo
	Community leader/fisher	50. Aide Oviedo
Ministry of Agriculture	51. Sandra Muñoz	

	Fish buyer, processor	52. Susana Rojas
	Ship owner/manager	53. Mauricio Revelo
	Ship owner/manager	54. Gilberto Banguera
	Ship owner/manager	55. Rafael Sepúlveda
	Ship owner/manager	56. Carlos Rodriguez
	Ship owner/manager	57. Antonia Aguirre
	Ship owner/manager	58. Shirley Ardila
	AUNAP/Territorial government	59. Juana Murillo
Costa Rica	Country coordinator REBYC-II LAC	60. Ana Lucrecia Barrantes
	INCOPECSA	61. Jorge López Romero
	CoopeSoliDar/Cooperative	62. Vivienne Solis Rivera
	Consultant/researcher	63. Isaac Baldizón Fernández
Mexico	Country coordinator REBYC-II LAC	64. Cecilia Quiroga Brahms
	INAPESCA	65. Isaac Rojas
	INAPESCA	66. Horacio Haro Avalos
	Consultant/researcher	67. Alejandro Rodríguez
	Universidad Marista	68. Alvaro Hernández
	INAPESCA	69. Armando Wakida Kusunokii
	CONAPESCA	70. Raul Villaseñor
	INAPESCA	71. Rafael Ramos
	INAPESCA	72. Daniel Aguilar Ramirez
Suriname	Country coordinator REBYC-II LAC	73. Tomas Willems
	National Project Focalpoint	74. Radjes Asraf
	WWF	75. Michael Hiwat
	Marisa Fisheries	76. Johnny deBoer
	Marisa Fisheries	77. Kim Sys
Trinidad & Tobago	FAO	78. Lisa Martinez
	FAO	79. Devern Calvin-Smith
	Country Coordinator REBYC-II LAC	80. Nerissa Lucky
	Fisheries Division	81. Lara Ferreira
	FAO	82. Judi Ann Bennett
	Ministry of Agriculture, Land and Fisheries	83. Roland Wiseman
	Ministry of Agriculture, Land and Fisheries	84. Jamie St. George
	Ministry of Agriculture, Land and Fisheries	85. Shivani Deonarine
	Ministry of Agriculture, Land and Fisheries	86. Samcharran Parson
	Ministry of Agriculture, Land and Fisheries	87. Yashpal Singh
	Ministry of Agriculture, Land and Fisheries	88. Suruj Babwah
	Oropouche Vendors Association	89. Clement Charles
	Consultant	90. Kim Baldwin
	Blue River/Bamboo/Cunupia Fishing Association	91. Azard Mohamed
Institute of Marine Affairs	92. Rosemarie Kishore	
	Institute of Marine Affairs	93. Hamish Asmath
	Institute of Marine Affairs	94. Gyasi Collins
	Institute of Marine Affairs	95. Farahnaz Solomon
	Researcher/Value Chain	96. Sharon Hutchinson
	Fisher and net builder	97. Ramsan Mohammed
USA	NOAA	98. Daniel Foster