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Acronyms

ABNJ	Areas Beyond National Jurisdiction
ACRF	Advisory Committee on Fisheries Research
ADB	Asian Development Bank
ANAF	Aquaculture Network for Africa
APFIC	Asia-Pacific Fishery Commission
BH	Budget Holder
CAADP	Comprehensive Africa Agriculture Development Program
CBD	Convention on Biological Diversity
CCRF	Code of Conduct for Responsible Fisheries
CFC	Common Fund for Commodities
CGIAR	Consultative Group on International Agricultural Research
COFI	Committee on Fisheries
CPF	Country Programming Framework
EAA	Ecosystem Approach to Aquaculture
EAF	Ecosystem Approach to Fisheries
ERCU	Emergency Rehabilitation and Coordination Unit
EU	European Union
FCWC	Fishery Committee for the West Central Gulf of Guinea
FI	FAO Fisheries and Aquaculture Department
FID	Office of the Fisheries Assistant Director General
FIP	Fisheries and Aquaculture Policy and Economics Division
FIPM	Products, Trade and Marketing Service
FIRMS	Fisheries Resources Monitoring System
FPMIS	Field Programme Management Information System
GEF	Global Environment Facility
GIS	Geographic Information System
GoSL	Government of Sri Lanka
HACCP	Hazard Analysis and Critical Control Points system
HCD	Human Capacity Development
ICT	Information and Communication Technologies
IE	Impact Evaluation
IEE	FAO Independent External Evaluation
IFA	Impact Focus Areas
IFA-CODE	Impact Focus Area for the Code of Conduct for Responsible Fisheries
IFI	International Financial Institution
ILO	International Labour Organization;
IMO	International Maritime Organization;
IOTC	Indian Ocean Tuna Commission
IUCN	International Union for Conservation of Nature
IUU	Illegal, Unreported and Unregulated fishing
IPOA	International Plan of Action
LEGN	Development Law Service
LoA	Letter of Agreement
LTU	Lead Technical Unit
LVFO	Lake Victoria Fisheries Organization
MCs	Member Country/ies
MCS	Monitoring, control and surveillance
MoU	Memorandum of Understanding

MTF	Multilateral Trust Fund
NACA	Network of Aquaculture Centres in Asia-Pacific
NASO	National Aquaculture Sector Overview
NEPAD	New Partnership for African Development
NGO	Non-Governmental Organization
NPOA	National Plan of Action
OED	FAO Office of Evaluation
OECD	Organisation for Economic Co-operation and Development
OIE	World Organisation for Animal Health
OR	Organizational Result
PC	FAO Programme Committee
PCR	Polymerase Chain Reaction
PSM	Port State Measures
PWB	Programme of Work and Budget
RFB	Regional Fisheries Bodies
RFMO	Regional Fisheries Management Organization
RO	Regional Office
RP	Regular Programme
SaS	Safety at Sea
SF	Strategic Framework
SO	Strategic Objective
SOFIA	The State of World Fisheries and Aquaculture
SPS	Sanitary and Phytosanitary Measures
SRO	Sub-regional Office
SSF	Small-scale fisheries
STF/A	Status and Trends in Fisheries/Aquaculture
TBT	Technical Barriers to Trade
TC	FAO Technical Cooperation Department
TCD	Technical Cooperation for Development
TCE	FAO Emergency and Rehabilitation Division
TCI	FAO Investment Centre
TCP	Technical Cooperation Programme projects
TG	Technical Guidelines
ToR	Terms of Reference
TSS	Technical Support Services
UBC	University of British Columbia
UNDP	United Nation Development Program
UNEG	United Nations Evaluation Group
UNEP	United Nations Environment Programme
UNFCCC	UN Framework Convention on Climate Change. Countries
UNIDO	United Nations Industrial Development Organization
VME	Vulnerable Marine Ecosystem
VMS	Vessel Monitoring System
WHO	World Health Organization
WTO	World Trade Organization
WWF	World Wildlife Fund

Executive Summary

Overview of the evaluation

ES1. The Code of Conduct for Responsible Fisheries (CCRF), generated out of the preparations for and conduct of the 1992 United Nations Conference for Environment and Development, was adopted by FAO Members on 31 October 1995. In the Resolution adopting the Code, FAO member countries (MCs) also requested that FAO Secretariat provided support to those among them, that most required assistance for making progress in the implementation of the Code.

ES2. In April 2010, the Programme Committee of FAO selected FAO's support to the implementation of the CCRF as one of the priority areas for evaluation in 2011, with particular focus on Human Capacity Development.

ES3. The purpose of the CCRF evaluation was to:

- i. provide FAO member countries and Secretariat with an evidence-based and evaluative assessment of the support by the FAO Secretariat to the implementation of the Code of Conduct for Responsible Fisheries from January 2004 to December 2011, including all instruments developed under, within or related to the Code before January 2004; and
- ii. provide accountability about the Secretariat's performance and comparative advantage in this area of work and formulate recommendations on the future role and strategies of the Secretariat in its work in support of the enhanced implementation of the Code.

ES4. The ToR defined FAO's work in support of the implementation of the Code as "all activities conducted by the FAO Secretariat in the development of Code-relevant instruments and support for their implementation at national and regional levels, including the development of regional and national plans of action, legislation embodying the Code principles and approaches and other guidance, as well as execution of the plans and legislation in practice".

ES5. The evaluation team was led by an external team leader and comprised of external independent consultants. It visited 15 countries across all FAO regions, with the exception of Europe and Central Asia. An impact evaluation was also carried out in Sri Lanka, to assess in depth FAO's contribution to the implementation of the Code. The country was selected based on: size of FAO's field programme; extent of country involvement in FAO normative functions; and country dimensions that would allow efficient visits to field sites as well as some visibility for FAO's actions. Sri Lanka had benefited from large-scale emergency and rehabilitation interventions in the aftermath of the Indian Ocean earthquake and Tsunami in December 2004.

ES6. The Evaluation interviewed more than 455 stakeholders from governmental fisheries and aquaculture organizations, FAO Fisheries and Aquaculture Department (FI) in headquarters and decentralized offices, UN agencies, resource partners, participants in FAO projects, etc. A survey questionnaire was sent to all FAO Members, Regional Fisheries Bodies (RFBs) and Regional Fisheries Organizations (RFMOs), International Organizations and universities. Phone interviews were also carried out with some Members. The team

reviewed all Code instruments, COFI reports, relevant FAO publications, project documents, relevant strategic and technical publications, and assessed in detail 114 publications and 38 key projects. Triangulation by the Evaluation team members of information gathered from different sources was a key tool for the validation of evidence.

Key findings and conclusions

The CCRF and FAO's role in its implementation

ES7. FAO had been a key player in the preparation and negotiation process that led to the adoption of the Code by FAO Members in 1995. FAO Members, COFI and the Secretariat are the official owners of the Code; both COFI and the Secretariat, the latter through FI, have taken their mandate seriously. COFI has continuously guided FI's work in supporting the implementation of the Code, which has been the first agenda item of COFI since adoption and has been the object of intense debate among participants as well as of items sent forward to the FAO Council and Conference. Within the Secretariat, all FAO fisheries staff refer to the Code as the "overarching framework for their work and mandate".

ES8. As of end 2011, the set of Code products or 'instruments' was comprised of: eight legal instruments, including the 1995 Code itself, four International Plans of Action, two Strategies and one binding legal agreement; 31 Technical Guidelines, of which 3 had been negotiated and endorsed by COFI; and four related instruments. Despite the centrality of the Code for FI, the departmental web site, at the time of undertaking the Evaluation, did not have a clear specification of all the products, or a clear explanation of the different types of products in the Code package.

ES9. The COFI biennial questionnaire has been the main tool that FAO and COFI used so far to discharge their monitoring responsibilities. Rates of response, overall, have been inadequate to permit analysis of progress with implementing the Code. Asian and African countries have particularly low recent response rates, but all regions except North America and the South West Pacific have had less than 50 percent responses. Two separate questionnaires have also been developed recently, on aquaculture and marketing and trade respectively, but have not been applied yet beyond testing.

ES10. The Evaluation found general dissatisfaction with the current monitoring of the implementation of the Code, in terms of the frequency of monitoring, the low response rates for self-reporting and the biases in the subjective self-reporting format. Further, it reached the conclusion that FI had focused its support of Code implementation on a rather limited set of roles, namely on developing new instruments and technical guidelines for the Code and monitoring its implementation. These fell short of FAO's potential in supporting the implementation of the Code.

ES11. The Evaluation proposes that FI plan its work in support of the Code implementation within a more strategic framework, taking into account pathways for implementation and, according to the context, applying a wider and more varied range of support activities. Based on the evidence and conclusions of the Evaluation, the 'Overarching framework for the implementation of the Code' in the box below lists suitable FAO support functions for the implementation of the Code of three types: A. Strategic planning and dissemination; B. Advocacy for implementation; and C. Active use in projects.

Overarching framework for the implementation of the Code

A. Strategic and operational planning for Code development, dissemination and monitoring

Working with COFI to develop strategic priorities and the forward programme for Code products;

- i. Developing and establishing the policies, procedures and practices for producing the products;
- ii. Planning for and producing new normative Code products;
- iii. Disseminating Code products;
- iv. Monitoring the Code implementation as per Article 4 of the Code;

B. Advocacy for Code implementation

- v. Promoting, recognizing, demonstrating and piloting approaches to have the Code developed and adapted for local adoption and incorporated in all education and training programs for aquaculture and fisheries;
- vi. Influencing key agencies to support Code implementation: engage strategically with all development assistance partners, philanthropic foundations, countries and regional bodies to influence their aquaculture and fisheries funding priorities to be directed towards supporting the Code implementation. Likewise, engage with environmental, welfare and other NGOs, and aquaculture and fishing industry bodies to help implement the Code;

C. Embedding elements of Code implementation in all FAO aquaculture and fisheries projects

- vii. Designing and implementing projects that demonstrate and develop approaches to Code implementation and ensuring that the project results are sustainable in the long term through their uptake by others. Projects will need to focus on human capacity development, the needs for which the projects will identify at individual, institutional and enabling environment levels;
- viii. Feeding back through dialogue and analysis of lessons learned from projects, to further develop and adjust Code products.

FAO's Regular Budget resources and planning in support of the CCRF implementation

ES12. The FAO Strategic Framework 2010-19 assigned Strategic Objective C to Fisheries and Aquaculture, with the Code being visible at the level of Organizational Results. During the period under evaluation, allotments to FI in the period 2004-2009 represented just less than 5 percent of the total FAO Net Appropriation for the Regular Programme. For the biennium 2010-11, the Net Appropriation was 5.6% of the FAO total. FI also contributed with some work to the SO concerned with threats and emergencies.

ES13. FI has experienced a total decrease of four staff posts between 2004-05 and 2008-09 and two additional posts in 2012-13. However, in 2010-11 FI had 16 vacant posts in the Professional category, which definitely had a negative impact on the workload of FI staff. Over time, the skill-mix of FI staff evolved toward a more balanced ratio between the fisheries and aquaculture specialists, although many FI staff have been working on the two types of fisheries without a strong separation. Also, fisheries and aquaculture officers in the decentralized offices increased from 12 to 17 during the period under evaluation. However, given their areas of specialization in fisheries or aquaculture, the technical and policy assistance they can provide to the MC in their sub-regions could only be partial.

FI's role and work in the implementation of the International Plans of Action, IUU fishing and Port State Measures

ES14. At the time the Code was developed, world fish production and trade was in transition from domination by capture fisheries from developed countries to capture fisheries and aquaculture production from developing countries. Consequently, in the second half of the 1990s, FI devoted efforts to leading the preparation and endorsement by COFI of the International Plans of Action (IPOAs). By 2011, the 1999 International Plans of Action on Sharks, Seabirds and Managing fishing capacity and their technical guidelines, and the fourth IPOA on IUU finalized in 2001, had limited to very limited uptake by less-industrialized countries, though somewhat better uptake by others.

ES15. The IPOA for the Management of Fishing Capacity (IPOA Capacity) had the least uptake. This was a significant Code implementation failure, although ameliorated to an extent by action on related fronts. **Recommendation 11** was formulated on this specific issue.

ES16. Despite or because of the poor uptake of the IPOA Capacity, FAO has worked on developing broader normative measures to address control of the fishing fleet, namely the 2001 IPOA IUU, the 2009 legally binding Port State Measures Agreement (PSM), planning and scoping the Global Record of Fishing Vessels, International Guidelines on Deep-sea fisheries, and helping MCs build their capacity for monitoring, control and surveillance (MCS).

ES17. FAO's Code related work on how to control fishing vessels in a legal or environmental sense has been systematic but by itself has not delivered results as urgently as needed. It is, however, showing signs of greater progress through the market-place and supported by derivative instruments such as the EU 2008 Council Regulation (EC) No 1005/2008 that established a European system to prevent, deter and eliminate illegal, unreported and unregulated fishing. The IPOA IUU was the second most used Code instrument by MCs, after the Code itself. Certain FAO projects have provided positive support to countries to resolve cross-border conflicts but MCs greatly appreciated FAO's help in developing NPOAs and Regional POAs for sharks, managing fishing capacity, IUU, declarations on IUU and more broadly on new fisheries legislation. Even where countries did not intend to proceed to develop NPOAs, the discussion generated through FAO had at least raised awareness of the issues, and may lead to other measures being taken.

ES18. National fisheries officials in MCs feel challenged in implementing existing Code instruments to control IUU and would appreciate more implementation support, preferably in the form of pilot exercises rather than just awareness raising events.

FI's role and work in small-scale fisheries

ES19. The Code makes several references to the need to take into account the interests and needs of small-scale and artisanal fishers. Important Code products, such as the IPOAs and many technical guidelines, however, do not address options suitable for use in small-scale fisheries. Consequently, in the last decade, FAO has given prominence to the special position and needs of small-scale fisheries and fishers.

ES20. Since 2004, FI has increasingly addressed the needs of SSF. Learning opportunities across projects were not maximized; however, SSF was one of the three top ranked areas of work for which FAO was recognized. The most important ongoing activity in relation to SSF spearheaded by FI was the development of a new normative instrument on SSF, which, as appropriate to the topic, will not be part of the Code itself but will be allied with it. The

Evaluation compliments FAO on its broad-based, stakeholder consultative processes in developing the new instrument and the inclusion of the human rights approach. The enthusiasm generated among stakeholders suggests that the process of CCRF-oriented dialogue itself needs to be institutionalized “from the beach/lake/river” for future normative instruments.

ES21. During MC visits, groups representing small-scale fishers, aquaculture farmers and post-harvest processors underscored to the Evaluation the need for more access to national forums and decision makers. The great majority of FAO projects missed the opportunity to use the Code, both physically by distributing it in hard copies and conceptually as an advocacy tool.

FI's role and work in safety at sea

ES22. Key parts of FAO's normative Safety at Sea (SaS) were carried out in close cooperation with the International Labour Organization (ILO) and the International Maritime Organization (IMO) and focused on updating and production of standard international guidance on Safety at Sea, which was revised in 2004-5. Three guidelines are supporting instruments of the Code. FAO also collaborated with IMO and ILO in preparing guidelines for small vessels, (un-decked or <12m) which comprise the bulk of the global fishing fleet. These are now awaiting IMO publication.

ES23. SaS publications are generally of high quality and some are readily available through the FI web site and on the Safety for Fishermen web site. A major weakness in dissemination was due to IMO publication policy, but eventually a compromise was reached for most recent products.

ES24. Safety at Sea activities have also been integrated in development and emergency and rehabilitation projects, with mixed results.

FI's role and work in sustainable aquaculture

ES25. When the Code was drafted, aquaculture was much less important than it is now. FAO has compensated for this by a vigorous programme of development of Code instruments relevant to sustainable aquaculture. In 1997, the first Technical Guideline on Aquaculture Development was released, followed by ten others. In 2006, FAO-FI changed its name from “Department of Fisheries” to “Department of Fisheries and Aquaculture”, a change welcomed by COFI.

ES26. The Technical Guidelines for aquaculture are generally of high relevance to the Code and of a high technical quality, and the first TG on Aquaculture Development was cited as the best known Guideline after the Code itself by most MC respondents. The aquaculture projects evaluated showed a number of successes and shortcomings.

ES27. The TG on Aquaculture Certification published in 2011 was already well known in early 2012 because it addressed market needs and had been negotiated through COFI and its Aquaculture Sub-Committee. Many government officers requested that FAO take a proactive role in defining basic international standards in sustainable aquaculture and fisheries as

a counterpoint to what they see as potentially monopolistic, unachievable and discriminatory private sector/NGO certification and labelling initiatives.

ES28. In terms of addressing critical current issues in the aquaculture industry, the present set of Code aquaculture instruments is good, although the Evaluation identified two main areas that need further work: dedicated guidance on disease management and drug/chemical use; and further consideration of and guidance related to the use of fish and fishmeal in aquaculture feeds.

ES29. FI could reconsider the quantum of its resources being allocated to aquaculture. Support to capture fisheries should not decrease, given that the number of fishers, many of them poor, still greatly outnumber fish farmers, but with the increased output of aquaculture, and the ambitious plans that many member countries have ongoing, FAO should revisit the amount of financial support dedicated to aquaculture. It should engage in a more pro-active resource mobilization strategy, based on the importance of aquaculture and its challenges to be addressed, to capture more funds in order to increase the rate of successful implementation of already existing plans. **Recommendation 7** addresses this.

ES30. FAO should continue to develop its partnership with the intergovernmental organizations involved in aquaculture, such as regional organization NEPAD/PAF, NACA, and international research organizations. At the national level in MCs, FI could enlarge its reach through scientific research and capacity development partnerships with universities, instead of limiting themselves mainly to the departments of fisheries.

ES31. The Evaluation also developed outlook suggestions for aquaculture and formulated **Recommendations 12 and 13** on this theme.

FI's role and work in inland fisheries

ES32. Inland fisheries was one of the earliest themes within the Code for which a specific guideline was developed in 1997, TG No. 6 on Inland Fisheries. However, few actions followed. The Lake Victoria Fisheries Organization (LVFO), a sub-regional institution, referred to in the region as "FAO's baby", remains a rare example of FAO's support to inland fisheries. Inland fisheries projects are under development for other regions.

ES33. In view of the importance of inland fisheries for food security and poverty reduction, more effort is needed towards: (i) better documenting fish production data of inland fisheries; (ii) up-scaling the culture-based-fisheries developed in successful nations towards other countries where hydropower reservoirs are currently under development; and (iii) promoting to member country governments and donors the importance of inland fisheries to food security and poverty alleviation and gender equity. **Recommendation 7** addresses the issue of resources for inland fisheries.

FI's role and work in post-harvest, marketing and trade

ES34. The Joint FAO/WHO Codex Alimentarius Commission through the preparation of Codes of Practice and Product Standards contributed to progress made by MCs in their attempts to improve the safety and quality of fish and fishery products. Since the advent of

the CCRF in 1995, very few new goals and activities have been introduced by FAO in this area of work.

ES35. During the evaluation period, FAO partnership with the FishInfo Network and collaboration with other international aid agencies, among which the Common Fund for Commodities (CFC) played a major role, resulted in a number of relevant projects, workshops, training courses and conferences directed to the promotion of fish consumption. Within the CFC projects, FAO only carries out supervisory activities, which is a cost-effective use of FI's technical expertise. Focus has been on CD at the individual and institutional level, and in at least a couple of cases, with good attention to involve and enable women's groups. Two important regional fisheries networks of technical cooperation were also supported.

ES36. The Code provides guidance on traceability and the prevention of trade in illegally harvested resources to ensure that fishery products comply with sound conservation and management practices through improving the identification of the origin of the fish and fishery products. Traceability, which was covered in Codex even prior to the Code, serves much the same purpose as when applied to quality and safety standards, enabling the identification of the place of origin, the legality of harvesting and the nature of the management regime.

ES37. Over the past decade eco-labels, a market-based mechanism designed to provide incentives for more sustainable fisheries management, have become a feature of international trade and marketing of fish and fish products in most Western industrialized countries and are frequently part of NGO campaigns through the private sector. A number of experts consider that eco-labels and certification create artificial commercial barriers to trade, and jeopardize official national government efforts in the area of fish safety, quality and certification. Eco-labelling therefore presents FAO and MCs with a dilemma and FAO's TG states that eco-labelling 'should be of a voluntary nature and market driven'. The evidence gathered by the Evaluation suggests that member countries see a significant role for FAO in defining international procedures and standards instead of leaving these mainly in the hands of international non-governmental bodies and environmental NGOs.

ES38. At the global level, WTO, FAO and other UN agencies shape the global trade regime for fishery products. During the evaluation period, FAO, with the FishInfo Network, carried out a number of activities aimed at supporting MCs to cope with the new WTO rules concerning the international trade of fish and fishery products, particularly the WTO previously listed agreements.

ES39. In total, the four Technical Guidelines (TGs) on fish utilization and trade topics scored lower than other TGs and normative products across all criteria, including on relevance. Fish utilization and trade are well covered by the Codex Alimentarius through Codes of Practices and Product Standards. FAO and Codex publications are wide spread throughout specialized libraries, government agencies, training and research institutions, associations and fish industry around the world. By contrast, the Code products are little known.

ES40. The depth of understanding of the Code by the commercial fish sector in MCs varies considerably. For instance, leaders of fish industry associations in most visited countries demonstrated a good knowledge and understanding of it, although they pointed out that this

was not common among their peers not directly taking part in the leadership of the associations. Overall, FAO regular contact with the private/commercial sector of MCs has been poor and much more needs to be done to reach out to the private sector through the FishInfo Network.

ES41. A positive feature of FI technical documents in the area of fish utilization was the recognized importance given to develop synergies between its normative and operational work, a feature not found in several other theme areas. Nevertheless, there is no doubt that the amount of work that the three FI staff with competence in the field of fish technology, safety and quality, can carry out is very limited.

FI's role and work in the ecosystem approach to fisheries and ecosystem approach to aquaculture

ES42. FI developed the Ecosystem Approach to Fisheries (EAF) and its companion the Ecosystem Approach to Aquaculture (EAA) as the vehicle by which the Code would be implemented or operationalized. In the analysis of the Evaluation, FAO's interpretation that the EAF and EAA are sectoral adaptations of the EA based on the CCRF, is valid. Unfortunately, in the key Technical Guidelines of the Code on each of EAF and EAA, different definitions were developed. A single definition would have helped demonstrate consistency and coordination on the part of FAO.

ES43. Through the work in the early 2000s, including the Reykjavik Declaration on Responsible Fisheries in the Marine Ecosystem and the call for its application by 2010 launched by the 2002 Plan of Implementation of the World Summit on Sustainable Development, the EAF provided FAO with a strong link to the international environment instruments, and the Code provided a good basis for the EAF.

ES44. Despite some confusion and doubts about the EAF and EAA, the Evaluation found evidence of a strong demand for FAO EAF and EAA products and information. Most respondents, from both MCs and RFBs/RFMOs, knew the Ecosystem Approach to Fisheries and among the most highly used Code instruments by MCs was Technical Guideline No. 4 Suppl. 2 on EAF. RFB/RFMOs listed the EAF guideline among the well used products. In terms of areas for which respondents most wanted future assistance, EAF rated among the highest three, for MCs and the regional bodies.

ES45. Experience was still lacking, however, in FAO and more generally, on how to implement the EA and EAF in practice. Many fisheries officers in MCs requested more practical, area-based projects as learning platforms, rather than more high-level guidance. Where FAO has been involved in practical projects on the ground, such as Nicaragua, understanding of EAF and EAA and their utility were very positive. FAO should look to ensuring that these lessons are captured and used in other programmes.

ES46. The term EAF does not automatically convey the idea of holistic fisheries management, rather it seems to imply environmental management. FI may wish to consider whether they have the best name and public projection of intentions for the EAF and EAA. The Evaluation notes, however, that the "EA" term is now part of the lexicon of global environmental sustainability approaches and EAF and EAA position FAO well in this regard.

ES47. FAO has produced eight normative Integrated Coastal Management (ICM) and EAF relevant products and is developing a new EAF toolbox, a potentially useful online set of tools to support the development of improved fisheries management systems. The toolbox could be developed into a key learning and training resource for the implementation of the CCRF including aquaculture. As it develops, FI should engage with users to better understand what tools and information they need and use this needs assessment to guide toolbox development.

ES48. The Evaluation concluded that FAO still has some work to do to harmonize its normative products on EAF and EAA, and clarify definitions and principles that are lacking in an explicit and agreed form in key Technical Guidelines. Also, the Code should be placed much more front and centre when promoting EAF and EAA and FI should be careful that EAF and EAA do not lead to confusion and potentially diminished authority of the CCRF. **Recommendation 14** covers aspects of EAF and EAA.

FI's role and work in status and trends in fisheries and aquaculture

ES49. The Code of Conduct stresses the importance of data in fisheries and aquaculture and FAO is the lead UN agency on global fisheries and aquaculture statistics, status and trends. The Organization articulated its mandate in this area by developing normative instruments aimed at guiding MCs in this task and by collaborating with the MCs and RFBs/RFMOs that carry the primary responsibility for collecting the raw data. This was further expanded through the two non-binding legal instruments of the Code, namely the 2003 Strategy for Improving Information on Status and Trends of Capture Fisheries (STF) and the 2008 Strategy and Outline Plan for Improving Information on Status and Trends of Aquaculture (STA).

ES50. The fisheries and aquaculture data collected by MCs and RFBs/RFMOs, using FAO standards and compiled by FAO are also important inputs to the major synoptic reports produced by FAO, including the flagship biennial State of Fisheries and Aquaculture (SOFIA). The coverage of the Code's progress peaked in 2006 SOFIA which had a special topic on the Code, as it entered its second decade. This was not inspiring, however, and overall, despite the numerous Code-relevant special issues and studies reported, Code references in SOFIAs were low profile and not very explicit. FAO could make much better use of SOFIA to promote the Code and place on the public record progress, and lack of, in its implementation. A stand alone section on the Code would be a very good addition to each SOFIA.

ES51. An initiative funded by the World Bank entitled the 'Big Numbers project' and an inventory of data collection systems made under the FAO FishCode–STF project showed that data collection on small-scale fisheries was not well covered and required innovative strategies to overcome the intrinsic problems arising from the dispersed nature of the data and the weak national capacities in this area.

ES52. Aquaculture data and the Code's STA have not had the same level of attention by FAO as have fisheries data and the STF. Little funding is available and given the dynamic growth of aquaculture, FAO should improve resource mobilization to implement the STF. On other types of aquaculture information, aquaculture HQ staff within FI are attempting to "build a strong information platform to improve the information sharing among MCs,"

through an online national aquaculture legislation overview, 120 NASOs and a database of 47 species containing data on culture, practices and governance.

ES53. FAO has been focused, proactive and diplomatic in helping countries improve their statistics and thus gain better global statistics, moving from a passive mode that relied only on data submitted, to an active modality of work. For both MCs and RFB/RFMOs, information on status and trends was among the highest rated areas of FAO work. The Evaluation had also first-hand evidence during the country visits that nearly every country or regional body mentioned, with appreciation, FAO's support on data collection, including sorting out the problems encountered, providing workshops to improve capacity and train officers in new approaches.

ES54. In fisheries legislation, not all countries have included CCRF principles relating to guidance on data recollection for fishery management and protocols, standards and international best practices for fishery data updating. Since FAO has an excellent reputation for its legal help to MCs when they are drafting new fisheries and aquaculture legislation, it should ensure that, when giving help with new legislation, data collection responsibilities should also be clearly included.

ES55. Overall, STA and STF remain big challenges. **Recommendation 7** calls for more resource mobilization in support of both these themes.

FI's role and work in fisheries research

ES56. The Code of Conduct for Responsible Fisheries provides guidance on fisheries research, including a comprehensive statement of the obligations of member countries on research. Greater emphasis and detail are given to the requirements for stock assessment and biophysical research. Social and economic aspects are covered, though less comprehensively.

ES57. In the past, FAO had advisory bodies, most recently the Advisory Committee on Fisheries Research for its own research and related activities. The Evaluation found that all MCs, with a wide range of achievements according to their means and priorities, support fisheries and aquaculture research themselves, but often suffer from discontinuities between agencies needing the results and those doing the research. FAO has the opportunity to help MCs improve the research institutional arrangements, especially the research and policy links. FAO and the MCs could also make much better use of research, development and education capacity in universities and other ministries.

ES58. The Evaluation considers that FAO's future role in research under the Code should be directed to the broader needs of others, especially the MCs, in deciding and organising research to support code implementation. MC demand for support with research to implement the Code is high. **Recommendation 15** contains guidance for FAO on this area.

FI's role and work in Fisheries and Climate Change

ES59. FAO's mandate with respect to climate change, as stated in the CCRF, is to help states establish the research capacity necessary to assess the effects of climate on fish stocks and aquatic ecosystems. In effect, FAO's role in research in this area is in facilitating and coordinating. Its current climate change programme is highly relevant.

ES60. FI's Working Group on Climate Change coordinates the elaboration of FI Strategy for Fisheries, Aquaculture and Climate Change Framework and is also leading the Global Partnership for Climate, Fisheries and Aquaculture (PaCFA), organized as a UN-Oceans Task Force. Participants are FAO, UNEP, IOC, UNDP, CBD and the World Bank.

ES61. Despite this work, FAO's climate change work achieved among the lower ratings by MCs in terms of their knowledge of it and its quality. Few interviews in MCs touched on climate change, indicating that it is not yet a topic on most fisheries and aquaculture agency agendas. FAO has concentrated mainly on international partnerships and is now moving into more country and regional climate change activities. The Evaluation strongly encourages this direction.

FI's role and work in information, communication, publications and dissemination

ES62. After the Code was published in 1995, it was translated into the six official languages of FAO. Since then, reportedly, it has been translated into more than 50 national languages and has become the most translated FAO publication. All the COFI-agreed instruments have been translated into five of the official languages as well, though not all of them yet into Russian. Most of the TGs are available in English, French and Spanish and a certain number in Arabic, Chinese and Russian.

ES63. A simplified or popularized version of the Code was also produced and translated in a number of languages. However, the document still contains mainly general and abstract language that would be difficult for many to use to gain a practical understanding of the Code, including the human dimensions.

ES64. FI has a strong publication programme that produces about 40 percent of FAO publications with 6 percent of the resources, and a strong, although flawed, web site. Yet, all findings of the Evaluation confirmed that the Code and its instruments were not accessible widely, either in its standard form or in other plain languages. Most importantly, the Code has rarely been contextualized in ways that could engage the stakeholders in their specific circumstances.

ES65. The Evaluation concluded that FI needs to address how to practically improve access to much needed fisheries and aquaculture information in the field because this is a serious constraint to the implementation of the Code. The Evaluation noted also that FI has repeatedly not followed through on intentions to improve dissemination of its information products. **Recommendations 4 and 5** tackle this issue.

FI's role and work in human capacity development

ES66. The CCRF stresses the importance of CD in the mandate of FAO, by bringing attention to the special needs of developing countries in relation to the implementation of the Code. Other articles of the Code discuss the importance of capacity building in fisheries and aquaculture.

ES67. In 2003-04, the ACFR coordinated and endorsed a discussion paper entitled Strategic Framework on Human Capacity Development in Fisheries, which was presented at

the 26th session of COFI in March 2005. After publication in 2005 and 2009, the Fisheries HCD Strategic Framework was never used.

ES68. In 2008, FAO started developing its 'Corporate Strategy on Capacity Development and its Implementation Plan.' The strategy was endorsed by the FAO Council at its 141st session in April 2011. Capacity development is also one of the seven core functions of FAO, agreed by the Members and enshrined in the Strategic Framework 2010-19 of the Organization.

ES69. The Evaluation had the specific mandate to assess Human Capacity Development within FAO's work in support of the implementation of the CCRF. Specific tools were developed and analysis carried out. Results showed that the range of HCD activities was broad; the most common were regional/sub-regional/national training sessions and workshops to acquire knowledge and develop technical skills on various aspects of fisheries management. The activities did cover the three levels of HCD as defined by the new FAO corporate HCD strategy, individual, institutional and enabling environment. FI also collaborated with a few universities in carrying out regional training courses.

ES70. However, limited evidence was found that capacity development needs assessment were mainstreamed in FI projects or activities. All but two HCD projects were carried out in response to ad hoc needs expressed by MCs and regions instead of being an essential component of strategic or long-term planning. The analysis of CD activities also indicated a preponderance of activities at the individual level on fisheries technical skills and little addressing broader functional skills.

ES71. Modalities of capacity development of most interest to MCs in terms of assistance and collaboration were: capacity development courses on technical issues, meetings/workshops for exchange of experience and learning, and dedicated HCD materials. MCs still grapple with lack of capacity in the basic skills needed to carry out sound fisheries management, such as fisheries data collection and analyses. Thus, FI focus on these topics has been relevant to meet the needs of FAO's membership.

ES72. The overall scoring of key projects by the Evaluation showed that effectiveness of HCD at the individual level was good for TCPs, and adequate for voluntary-funded projects and at the institutional level for both groups of projects. HCD to improve the enabling environment was below adequate for all projects. The Evaluation recognizes the difficulties in assessing effects, impacts and sustainability of CD activities but also observed that little systematic effort is often given to attempting to assess outcomes or impacts.

ES73. FI is encouraged to explore more opportunities of collaboration with academic institutions which have the capacity not only to disseminate instruments and technical guidelines of the Code, but also to adopt them and its principles in their regular courses and academic programmes related to fisheries and aquaculture.

ES74. Overall, the evidence gathered showed the low level of specific and focused efforts devoted to HCD by FI and a need for staff to have a better understanding of CD. **Recommendations 9 and 10** were developed on this theme.

FI's role and work in human dimensions, gender mainstreaming for equality, social inclusion and poverty alleviation

ES75. The Code of Conduct contains a number of references, throughout several of its articles, to the social aspects of the fisheries sector. However, the Code pays very little attention to either food security or poverty and mentions them only in passing. Nor were the themes elaborated in Code instruments. The marginal status of food security and poverty alleviation in the Code is only one manifestation of its over-riding focus on environmental sustainability and technical issues related to aquatic resources rather than on people who use and benefit from these resources.

ES76. Successive COFI meetings have been generally supportive of the principle that social aspects of fisheries should be addressed by FAO and have linked this to the need to reduce poverty and increase food security. However, the mechanisms how this might be achieved were not elaborated in COFI documents and social issues are elided with 'small-scale fisheries'. Gender has been mentioned very infrequently by COFI.

ES77. The normative products produced by FAO during the evaluation period were weak in the contexts of 'gender mainstreaming' and 'integration of social inclusion and poverty reduction issues'. Nevertheless, over time, improvements occurred as shown in an examination of randomly selected Technical Guidelines. Another change that occurred over time was the elaboration of the Ecosystem Approach to Fisheries, which has become central in the FI approach to the implementation of the Code and which requires more attention to social aspects.

ES78. Overall, social and gender issues have been sidelined in FAO's work in support of the CCRF. This has been the result of a lack of focus on the primary objectives of FAO - food security and poverty reduction – and an over-emphasis in FAO's work on narrowly defined technical issues. At the same time, FAO has tended to equate social and gender issues with small-scale fisheries and aquaculture. Little if any attention, besides Safety at Sea issues, has been paid to, for example, the social and gender implications of the shift towards multi-day fishing and social and gender aspects of industrial level fishing. **Recommendation 2** was formulated to tackle this key aspect of FAO's mandate.

FAO's support to the implementation of the CCRF in Sri Lanka

ES79. Overall, the Evaluation found that FAO has had some success in promoting the CCRF in Sri Lanka. However, this success was limited. In the government sector, knowledge of the Code and its significance was generally limited to senior levels and knowledge was much less at more junior levels in the hierarchy. Amongst those directly involved in fishing there was very little knowledge of the Code, its contents or its significance. Whilst NGOs and the universities had some knowledge of the Code, other ancillary groups such as traders, processors and boat builders had little if any knowledge of it.

ES80. The impact of FAO's support to the Code has been greatest at the level of policy. There is clear evidence that FAO's activities assisted the GoSL to put in place policies and regulations in line with the Code of Conduct. Impact has been much less at the level of implementation. There have been impacts in terms of individual projects but at the wider level there is much less evidence of FAO being able to play an effective role in changing fishing practices or in working towards the sustainable management of fisheries resources.

ES81. FAO limitations in fostering stronger impacts in supporting the CCRF in Sri Lanka could be related to a number of factors. These included:

- The failure by FAO to produce a comprehensive strategy for its activities in Sri Lanka. With a couple of exceptions (the Post-Tsunami Reconstruction Strategy and the Institutional Analysis) FAO's activities have been overwhelmingly projects producing specific material targets and tending to side-line the CCRF.
- A failure to take up opportunities and to utilize the potential of projects as a vehicle for disseminating the CCRF.
- A failure to develop effective modes of dissemination.
- A failure to assist in the implementation of CCRF-relevant activities and regulations.
- The problem of political institutions at several levels. For its support to the CCRF to be effective, FAO must consider how it can encourage political support for the Code at all levels; and
- Projects with a regional or global focus paid greater attention to the CCRF.

The field programme for technical cooperation and development

ES82. The inventory of fisheries and aquaculture-related projects during the evaluation period comprised 343 Technical Cooperation for Development (TCD) projects with a total budget of almost USD 460 million. Furthermore, 121 projects were identified with a focus on inputs distribution, namely boats, gears and fingerlings, with a total budget of ca. USD 140 million. Most aquaculture projects were FAO-sourced TCPs and therefore the aquaculture projects were, on average, of smaller size compared to the fisheries projects.

ES83. Direct assessment of 38 projects showed that design ranked low, but still rather high by FAO standards. Efficiency of implementation, here a qualitative type of measurement, was scored as adequate, as for partnership. Gender mainstreaming and social inclusion had the lowest scores. The Evaluation of FAO's role and work related to Gender and Development had recognized that for approximately 20 percent of the FI projects, gender was not relevant, but it also stated that '*The analysis of projects in the Fisheries and Aquaculture Sector concluded that although half of the projects could be classified as GAD (Gender and Development) and WID (women in development), failure to institutionalize satisfactory understanding of gender in project design and implementation severely limited the potential effectiveness of interventions in the fisheries sector.*' This Evaluation reached very similar conclusions.

ES84. The Evaluation confirmed that these findings resonated with most of the assessed projects at country level. As discussed above in relation to SSF, the Code has been almost nowhere in FAO's projects at country level, as a reference, a guide or an advocacy tool. Furthermore, FI was not effective in engaging with those stakeholders at field level who could ensure longer-term sustainability and impacts of its actions. There is an urgent need for FAO to strengthen project management mechanisms and promote project management procedures that encourage and support participation and decision making by district level stakeholders in project implementation.

Emergency and rehabilitation initiatives in the fisheries and aquaculture sector

ES85. Fisheries and emergency operations became a major area of work for FAO following the Indian Ocean earthquake and tsunami of late December 2004. The Organization took immediate action and raised approximately USD 77 million for Tsunami-related emergency operations, two thirds of which were for the fisheries sector. Since then, however, more natural extreme events occurred that affected fisheries and aquaculture.

ES86. The core activity of the emergency projects in the fisheries sector was distribution of gears. The most successful projects steered away from project documents that were basically templates for gears and boats distribution, and moved into coordination, advice and capacity development activities on boats building and aquaculture management e.g. in Sri Lanka, Banda Aceh and Myanmar. Equally, FAO showed good performance when involved in the needs-assessment phases, on the basis of which other relief agencies could plan their support. In this coordinating and advising role, FAO could foster the principles of sustainable management in relief operations, and limit the risk of ending with higher fishing capacity after the disaster than before. In these contexts, the cases of boat-building have been particularly complex, as the Organization was torn between the immediate needs of asset replacement, i.e. building replacement boats, and the need to ensure that such boats were of high quality and met international standards, which had been developed in part by FAO. **Recommendation 16** tackles the role and mandate of FAO and FI in emergency and rehabilitation contexts.

Code-related normative products

ES87. The Evaluation assessed a sample of 114 Code-related normative products by FI. Their relevance was assessed as adequate to good, being somewhat lower for databases and policy notes than for other products. The same applied to technical quality, with the exception of the IPOAs. In both cases, somewhat higher scores were expected, considering the centrality of the Code in FI's work and the reputation of FI as a centre of excellence. Taken all together, most of these products were not considered suitable for capacity development purposes. As already discussed, gender mainstreaming and social inclusion scored poorly.

ES88. The Evaluation found that the Code products had been developed in an *ad hoc* manner and were presented in only a semi-consistent form. The number of officially recognized Code products has grown, and each product is expensive and time consuming to produce. Therefore, FI needs to take a much more rigorous and systematic approach to the future organization and development of the Code. Once having decided to develop a new Code product, FAO should ensure that it is reconciled with the beach/river/lake or farm level reality, using the field experience gained by FAO and other projects. Conversely, FAO projects need to make the best use of the Code and its products in their design and implementation.

ES89. Overall, these findings, coupled with the evidence gathered that most of the products are not known broadly outside a limited audience, and thus not used, raise serious issues about the efficiency and effectiveness of these outputs. FI should seriously re-consider whether a more focused and strategic approach, with fewer products but of a higher quality and better used, and meeting a precise need, complemented by an active dissemination strategy could better support Code implementation. **Recommendation 6** addresses this issue.

FishCode

ES90. The Evaluation paid particular attention to FishCode, the umbrella programme requested by MCs in 1995 to support developing countries in their efforts to implement the Code and designed as a multi-donor umbrella programme, covering substantial elements of the external work of the Department.

ES91. The multilateral FishCode Trust Fund became operational in 2004. In 2008, following a 2006-07 internal review, the FishCode Programme was moved to the Office of the Fisheries Assistant Director-General (FID), to provide a close relation with the highest strategic decision-making entity in the department. Its mandate was that of a support facility to FI technical divisions and to serve as the FI focal point with respect to: technical consultations with donors; promotion, identification and development of extra-budgetary funding (EBF) opportunities; and operational management with budget holder responsibilities of all EBF global and inter-regional projects.

ES92. Traditional donors of FishCode have mainly been Norway and Sweden. In addition, FishCode staff developed a close relationship with the GEF, which led to the assignment of the ABNJ programme to FAO. Nevertheless, the Evaluation noted that FishCode, and FI in general, received little from the International Finance Institutions: during the period under evaluation, only five projects were funded by this group of resource partners, for a total of USD 5.5 million.

ES93. As per its mandate, the greatest share of FishCode resources – 64 percent - went to initiatives that tackled the Code as a whole, including aquaculture. Thus, the programme has been effective in supporting the implementation of the Code as a whole. Furthermore, FishCode has been rather efficient and transparent in its resource mobilization and management function, considering that its management costs represented ca. 13 percent of the mobilized resources.

ES94. At the same time, the CCRF was one of the Impact Focus Areas, a concept introduced in the Strategic Framework 2010-19. The Evaluation found no evidence that the IFA-Code was a concept referred to by FI staff or resource partners or that it had played any role in resource mobilization. The concept of FishCode was on the contrary, a somewhat better known brand name for FI.

ES95. The Evaluation was firmly convinced that the function of resource mobilization for the implementation of the CCRF must be enhanced within FI and that a dedicated resource mobilization unit should be maintained – be it FishCode or its equivalent - to ensure that additional funds are mobilized in support of the implementation of the Code. **Recommendation 7** addresses resource mobilization and **Recommendation 8** addresses advocacy for development assistance for the CCRF implementation.

Partnerships with RFBs, RFMOs and other organizations

ES96. The RFBs, RFMOs and other regional and international organizations, including among others NACA, the InfoFish or Globefish network, regional fisheries and aquaculture bodies and management organizations, each in its own right and mandate, were already or could become effective partners of FI. Bodies such as NACA have been recognized through the Margarita Lizárraga award for their support to Code implementation.

ES97. The relationship between FI and RFBs/FRMOs is particularly important in this network of partnerships for the implementation of the Code as the Organization does not have the resources, human and financial, to provide the capillary type of assistance that RFB/RFMOs, being closer to member countries, can, or could potentially deliver in practice.

ES98. There are also some areas for improvement, however, such as managing relationships that have become almost competitive in the case of regional bodies that have matured. In such cases, FI needs to respect the expertise and capacity of its “offspring”. It should indeed focus its attention and support to those RFBs/RFMOs that still require it.

Overall conclusions

ES99. The Evaluation found that FAO's performance has been highly commendable and the quality of its work consistently high. FI's work in terms of contribution to FAO Core Functions was of adequate performance, as well as in relation to the Millennium Development Goal 7 on environmental sustainability and FAO Global Goal on sustainable natural resource management. However, the Evaluation's findings showed that FI has fallen well short of its potential. The main shortcomings have been:

- i. a lack of strategy and priorities for Code development and support to the implementation of the Code;
- ii. limited and mediocre outreach;
- iii. inconsistent articulation between the normative and operational work including capacity development; and
- iv. insufficient attention to the human dimensions that are so critical to implementation.

ES100. The implementation of the Code is central for sustainable fisheries and aquaculture management and for this, it is also a key pillar of FAO's mandate and mission. The Fisheries and Aquaculture Department has a specific responsibility in this endeavour. To contribute fully to it, the Department must re-align its strategic position and support the implementation of the Code in a much more proactive manner than to date.

ES101. Furthermore, if the Code is to become a living and meaningful source of inspiration for transformative change in fisheries and aquaculture, the huge chasm between the formal authority of the Code and its users must be bridged in numerous ways. FAO has a catalytic role in helping the world build this bridge.

ES102. On the basis of the evidence and analysis synthesised above, the Evaluation proposed the Overarching Framework already illustrated above and formulated 16 recommendations, a few of which contain multiple actions. These were grouped under two headings, Strategic approach to the implementation of the Code and Specific CCRF themes. Additional resources are required for only a few of them, and the Organization is urged to take all of them into consideration for action in the short to medium term.

Recommendation 1: To FI, on its Vision for the implementation of the Code of Conduct for Responsible Fisheries

As the Code of Conduct for Responsible Fisheries is the key pillar of FAO's mandate and mission for fisheries and aquaculture, the Fisheries and Aquaculture Department should make the promotion, development and implementation of the Code central to its strategies, planning and management. To achieve this, the FI-ADG should explicitly be the chief Code promoter and manager, responsible in FI and FAO for Code coordination and resource mobilization through direct reporting lines.

Recommendation 2: To FI, on its developmental objectives

The Fisheries and Aquaculture Department should ensure that human developmental objectives such as gender equality, food security and poverty reduction become the primary driver of its work, across all types of fisheries and aquaculture. Greater attention should be paid to the social and economic context in which fishing and fish farming populations live; and fishing and aquaculture should be approached within this wider context. This will require the greater involvement of professionals competent in social, economic and gender analysis and action.

Recommendation 3: To FI, on CCRF monitoring

The Fisheries and Aquaculture Department should:

- a) develop in a participatory manner with member countries, a set of objective indicators and benchmarks for reporting at national and sub-national levels on progress in Code implementation;
- b) include in every issue of SOFIA a stand-alone section on the Code;
- c) in consideration of current budget restrictions, propose again to COFI to extend the frequency of the CCRF questionnaire to four years so as to redirect efforts to increase response rates.

Recommendation 4: To FI, on an Immediate strategy for Code dissemination

By COFI 2014, the Fisheries and Aquaculture Department should:

- a) develop a Code dissemination strategy for the next 6 years; and
- b) develop strategies to promote, encourage and recognize innovation and achievement by stakeholders such as fishing and fish farmers groups and member countries' agencies, in promoting the implementation of the Code.

Recommendation 5: To FI, on a simplified version of the CCRF

The Fisheries and Aquaculture Department needs to produce a simplified version of the Code, written in plain English, to serve as a template for adaptation of the Code to national contexts, and foster its translation into the national spoken languages, and subsequently used as the basis for awareness creation and implementation of the Code at the district level. To support the successful implementation of the Code at national levels, the Code must be more widely appreciated and the Code's principles must be better understood. To achieve this result, a document is required that both describes the essence of the Code, the Code's aim and objectives, the Articles of the Code - avoiding technical, legal, legislative or bureaucratic jargon - and contextualises the Code by incorporating national examples of irresponsible/responsible and unsustainable/sustainable fisheries practices and management.

Recommendation 6: To FI, on establishing a system for relevant and effective CCRF products

By COFI 2014, the Fisheries and Aquaculture Department should:

- a) define the different categories of Code instruments (Technical Guidelines, IPOAs, Agreements, Strategies, etc.), giving consideration to the procedures for the development, review and clearance of each category;
- b) establish clear and transparent criteria for assessing the need for new TGs and submit to COFI for endorsement; and
- c) ensure that participants in technical consultations represent the diversity of FAO membership and regions, represent the range of necessary fields of expertise including human dimensions, and aim for gender-balance.

Recommendation 7: To FI, on resource mobilization approach

The Fisheries and Aquaculture Department should maintain a strategic and programmatic approach to resource mobilization through a dedicated unit that manages the umbrella programme and has trust and visibility with traditional and new resource partners.

In its resource mobilization strategy, FI should give priority and make specific effort to mobilize resources for:

- a) Sustainable aquaculture development;
- b) Capacity development for STA/STF; and
- c) Inland fisheries

Recommendation 8: To FI and TC, on advocacy in development assistance for the implementation of the CCRF

The Fisheries and Aquaculture Department and the Technical Cooperation Department, including the Investment Centre and the Funding Liaison Unit should engage more effectively with major resource partners, such as the IFIs, to influence their programmes in the fisheries and aquaculture sector towards promoting the implementation of the Code.

Recommendation 9: To FI, on human capacity development within the department

The Fisheries and Aquaculture Department should develop and implement an action plan for improving the planning, implementation, coordination, and monitoring of HCD in fisheries and aquaculture. The plan should:

- a) be informed by the 2005 Strategic Framework on Human Capacity Development in Fisheries, the 2008 FAO Corporate Strategy on CD, existing success stories and internal support and learning resources;
- b) assign to the FI Focal Point for Capacity Development, responsibility for leading the action plan development and implementation within the department;
- c) make provisions for training FI staff in incorporating the three dimensions of HCD in their HCD activities;
- d) make full use of FI staff comparative advantage as technical experts while facilitating and partnering with other organizations in HCD efforts;
- e) focus on training of trainers and development of national and regional capacity to do HCD work. Regional networks of experts and organizations can be built to assist regional, sub-regional and national HCD implementation;
- f) make provision for developing specific guidelines for HCD in EAF and EAA in the three dimensions, i.e. beyond the provision of tools and training activities;
- g) ensure HCD standards are set and met and quality control of HCD interventions are imposed; and
- h) develop indicators or other means for measuring HCD impacts.

Recommendation 10: To FI, on human capacity development for the implementation of the CCRF in member countries

The Fisheries and Aquaculture Department should support member countries and RFBs/RFMOs in developing capacity to implement the Code at the individual, organizational and enabling environment level by:

- a) providing assistance in assessing the actions they need to take to improve their capacity in the three dimensions;
- b) strengthening human capacity development as an integral part of plans and strategies for fisheries and aquaculture; and
- c) identifying common needs, available expertise and resources, and potential partnerships and networking opportunities at national, regional and interregional levels, which might serve to assist and

implement respective HCD plans. Universities and other training organizations should be given special focus as outreach partners for the long term.

Recommendation 11: To FI, on fishing capacity reduction

The Fisheries and Aquaculture Department should increase momentum in addressing the management of fishing capacity, to include complex multi species/multi gear fisheries and small-scale fisheries. It should revise its technical guidance on Fishing Capacity, to better address the complexity of issues that relate to fisheries management, fishing effort and capacity reduction and national economic planning. This should focus especially on:

- a) defining excess fishing effort, capacity and over-fishing in view of assessments of resource sustainability and existing fishing capacity and effort levels;
- b) social and economic consequences of, as well as resistance to, effort and capacity reduction on employment, income, food security and poverty; and
- c) links between excess capacity and IUU fisheries management, subsidies and fishing rights.

Recommendation 12: To FI, on strategic outlook for sustainable aquaculture

The Fisheries and Aquaculture Department should engage more vigorously with member countries and the private sector, fostering awareness of resource demands associated with further development and intensification of aquaculture development, including in particular the pressure on marine resources associated with high demand for under-valued fish and fish meal.

Recommendation 13: To FI, on aquaculture certification

The Fisheries and Aquaculture Department should take stock of – and clarify - its role in certification, in terms of both guidance and possible further engagement in the setting of minimum international standards for sustainable aquaculture development, determining its most appropriate and strategic role in certification and labelling of fish products, with reference to FAO's mandate and the requirements of the CCRF.

Recommendation 14: To FI, on the Code and the Ecosystem Approach to Fisheries and Aquaculture

The Fisheries and Aquaculture Department should explain the EAF and EAA for its primary fisheries and aquaculture sector stakeholders by:

- a) making explicit references to the embodied Articles of the CCRF and its technical guidelines, especially in fisheries management, the precautionary approach, fishing operations, sustainable aquaculture and integrated coastal management;
- b) exploring whether the EAF and EAA could be renamed or rebranded to emphasise more its people-centred approach and links with the CCRF;
- c) clarifying:
 - the FAO definition and principles or equivalent, of EAF and EAA;
 - the environment, social and economic objectives of the EAF and EAA; and
 - commonalities and differences between the EA principles and practices adopted under the Convention on Biological Diversity and its decisions;
- d) forming partnerships to accelerate, coordinate and assess practical applications with a view to supporting faster development of robust governance and management systems and gathering experience on putting fisheries into Marine Spatial Planning; and
- e) developing the EAF toolbox as a more comprehensive and rebranded CCRF toolbox to serve wider Code needs.

Recommendation 15: To FI, on research in fisheries and aquaculture

By COFI 2014, the Fisheries and Aquaculture Department should have conducted an Expert Consultation to explore the issues concerning research and research systems to support the development and implementation of the Code. In particular, the Consultation should address:

- a) what types of research are needed to support Code implementation, especially giving greater emphasis on the social science research for rights (including community rights) based governance and inter-disciplinary approaches to understanding social-ecological linkages. Specific recognition should also be given to peoples' science e.g. traditional knowledge, in fisheries and aquaculture;
- b) the organizational and institutional arrangements within which research operates and provides advice/seeks directions;
- c) how to ensure that research is directed at solving pressing short-term practical sustainability issues as well as at developing frameworks to better address longer-term issues; and
- d) FAO's roles in coordinating and facilitating research linkages among national, regional and academic agencies in support of the Code.

Recommendation 16: To FI and FAO, on the strategic role of the Organization in emergency, rehabilitation and disaster preparedness in the fisheries and aquaculture sector

The Fisheries and Aquaculture Department should develop a corporate policy and strategy defining its role and mandate in emergency, rehabilitation and disaster preparedness in the fisheries and aquaculture sector, in line with the current focus on enhancing resilience. The policy should be informed by the CCRF, ensure that FAO engages exclusively in rehabilitation needs' assessment, coordination and technical advisory role and clarify FAO's role in input distribution and boat-building.

A. Overview of the evaluation

1 Introduction

1.1 Evaluation background

1. The Code of Conduct for Responsible Fisheries (CCRF)¹ was unanimously adopted by FAO Members on 31 October 1995. It has subsequently been augmented and enriched through a number of instruments, including the International Plans of Action (IPOAs), Strategies and Agreements, and Technical Guidelines (TG). The Code, its instruments and guidelines are widely recognized by governments, international and non-governmental organizations as the model for the sustainable development and management of fisheries and aquaculture, and as a standard for reviewing and developing new national fisheries legislation. Although the global scenario of the fisheries sector has changed dramatically since the 1990s, including the fact that developing countries have become the dominant global fish producers and exporters, the Code is still regarded as the paramount reference for fisheries and aquaculture management.

2. In adopting the CCRF, FAO member countries (MCs) also requested that FAO: a) provide for an inter-regional programme of external assistance to upgrade capabilities of developing countries to facilitate compliance with their obligations under the Code; b) collaborate with members and other relevant organizations to elaborate technical guidelines in support of the implementation of the Code; and c) monitor and report on the implementation of the Code.

3. FAO's Global Partnership for Responsible Fisheries (FishCode) was set up as the key mechanism for mobilizing resources that would allow FAO to respond to member countries' requests. Furthermore, one of FAO's Impact Focus Areas² for 2010-2014 supports "*...the promotion of responsible fisheries and aquaculture sector management at the global, regional and national levels with priority given to capacity building in support of implementation of the Code of Conduct for Responsible Fisheries, Compliance Agreement and associated International Plans of Action*".³

4. In April 2010, in light of the above and of the observation that an independent assessment of the implementation of the CCRF had not been carried out yet, the FAO Programme Committee selected FAO's support to the implementation of the CCRF as one of the priority areas for evaluation in 2011. The evaluation was requested to focus in particular on the capacity development element of FAO's work, as this was the focus of the IFA-CCRF and one of FAO's Core Functions, i.e. one of the key means for achieving FAO's goals.⁴

5. The Evaluation took place at a time of important changes in FAO: the new Director-General, who took on office on 1 January 2012, launched a process to strengthen the

¹ In this report, the Code of Conduct for responsible Fisheries will be referred to as the Code or the CCRF.

² See Section 16.4 below

³ FAO Medium-Term Plan 2010-13

⁴ See Annex 1, Terms of Reference for the Evaluation of FAO's support to the implementation of the CCRF

decentralization of the Organization and to reformulate its Strategic Framework by 2014. At the time of finalizing this report, these reforms had not yet been formally endorsed by the FAO Governing Bodies and could not be referred to as 'acquired'. Nevertheless, insofar as the Evaluation conclusions and recommendations were in line with the changes being proposed, this was noted.

6. The Evaluation of FAO's support to the implementation of the Code of Conduct for Responsible Fisheries (hereinafter called the CCRF evaluation) was managed by the FAO Office of Evaluation (OED), and was informed by a consultative process with the FAO Secretariat and member countries. Work started in June 2011, with the evaluability assessment conducted by OED; the evaluation team, led by an external Team Leader and comprising of external independent consultants,⁵ carried out extensive data-gathering and country visits during the period November 2011 – March 2012 and finalized its report in the following weeks. The draft report was circulated to FAO stakeholders for comments and suggestions. A fisheries expert panel provided guidance on the ToR and commented on the draft report. The final report and the Management Response will be presented to the Programme Committee in October 2012. A side-event will be organized during the Committee on Fisheries (COFI) session in July 2012, to illustrate to member countries the evaluation's key findings, conclusions and recommendations.

1.2 Structure of the report

7. This report brings together the evidence and analysis made by the Evaluation throughout its work. Given the length of the report, specific assessment of normative products as well as detailed analysis of some topics, which were necessary to frame the evaluation analysis but were not closely related to FAO's work, have been included in the form of annexes.

8. To facilitate the reader, the report has also been divided in sections:

- A: Overview of the evaluation
- B: FAO and the CCRF
- C: Detailed assessment of FAO's role in the implementation of the CCRF, including Chapters 6 to 11
- D: Cross-cutting themes, including Chapters 12 to 16
- E: Main conclusions and recommendations

9. Section A, with Chapters 1 to 3, describes the background to the Evaluation, its purpose and the Evaluation methodology, including for the Impact Evaluation of FAO's support to the implementation of the Code in Sri Lanka.

10. Section B contains: Chapter 4, which briefly illustrates the history of the Code, the role of FAO and the Fisheries Department and discusses the Code questionnaire as well as a synthesis of non-FAO assessments of the Code; and Chapter 5 which illustrates FI's resources made available through the Regular Programme (RP) and voluntary contributions to the work of the Organization for the implementation of the Code. A brief analysis of the institutional set-up is also provided here.

⁵ See Annex 2, Profiles of Evaluation team leader and members

11. Section C includes Chapters 6 to 11, which analyse the work by FI in support of the implementation of the Code by theme: capture fisheries including small-scale fisheries and Safety at Sea, Sustainable aquaculture, Inland Fisheries, Post-Harvest, Marketing and Trade, Ecosystem Approach to Fisheries and to Aquaculture, Status and Trends for Fisheries and Aquaculture, Research and Climate Change. They include information on resources, both RP and Voluntary and on the quality of both the work carried out through the field programme and the Global Public Goods produced by the Department on these topics.

12. Section D includes Chapters 12 to 16, related to cross-cutting themes including: Information, Communications and Publications; Capacity Development; Human Dimension; Impact Evaluation of Sri Lanka; Modalities and overall performance of FAO delivery; and Contributions to the Millennium Development Goals, FAO Global Goals and Core Functions.

13. Section E contains the Overall conclusions and recommendations of the Evaluation, grouped under two headings, Strategic Approach to the implementation of the Code and Specific CCRF themes.

14. Most chapters contain their own conclusions and make reference to the recommendations, which were all consolidated in the final Section E. The repeated request by FAO Secretariat and Governing Bodies to keep the number of recommendations low has been taken fully into consideration, in so far as the Evaluation considered feasible. This, however, means that several suggestions on the 'what' and 'how' FAO could better fulfil its mandate for the implementation of the Code were integrated in the text. This will require attentive reading of the report as well as a more open 'learning attitude' by FAO and FI in particular, in relation to the Evaluation process.

15. Box 1 below illustrates where the issues identified in the Evaluation framework are discussed in the report and the link with the 16 recommendations put forward by the Evaluation.

Box 1. Evaluation framework and report structure

Main Evaluation issues and themes	Main report section and chapter	Recommendation
Context of the evaluation	Section A, Chapter 1	None
Purpose and scope of the Evaluation	Section A, Chapter 2	None
Methodology of the evaluation	Section A, Chapter 3	None
The Code and FAO	Section B, Chapter 4	N. 1 and 3
FAO resources for the implementation of the CCRF	Sections B and D, Chapters 5, 16	N. 7
FI's institutional role in the implementation of the CCRF	Sections B and D, Chapters 5, 16	N. 1 3, and 8
Relevance, awareness and knowledge of the Code	Section C and D, Chapters 6-16	N. 4, 5 and 8
Time-frame for the implementation of the Code	Section C and D, Chapters 6-16	None
Code instruments and Technical Guidelines	Section C and D, Chapters 6-16	N. 6
Capture fisheries: International Plans of Action, Technical Guidelines, Port State Measures, Fishing operations and Safety at Sea	Section C, Chapter 6	N. 11
Small Scale Fisheries, including marine and inland fisheries	Sections C and D, Chapters 6 and 14	N. 2
Sustainable Aquaculture and relations to fisheries, including Small-scale aquaculture	Section C, Chapter 7	N. 7, 12 and 134

Inland Fisheries	Section C, Chapter 8	N. 7
Products, markets, trade, food safety	Section C, Chapter 9	None
Ecosystem Approach to Fisheries, EAF as the vehicle for implementing the Code, EAF-Nansen	Section C, Chapter 10; Annex 15	N. 14
Integrated Coastal Management and other integrations	Section C, Chapter 10; Annex 15	None
Research	Section C, Chapter 11	N. 15
Climate Change	Section C, Chapter 11	None
Data and information gathering, Status and Trends in Fisheries and Aquaculture	Sections C and D, Chapters 11 and 12	N. 7
Capacity Development at the three levels – individual, institutional and enabling environment	Section D, Chapter 13	N. 9 and 10
Social considerations (gender, social development and inclusion, etc	Section D, Chapters 14 and 15	N. 2
Fisheries in FAO Emergency and rehabilitation interventions	Sections C and D, Chapters 6 and 16	N. 16
Resource mobilization	Section D, Chapter 16	N. 7
Partnerships	Section D, Chapter 16	N. 8

Source: Evaluation team

16. The annexes are part and parcel of the report and have been referenced throughout the text and footnotes. They include: the ToR of the Evaluation (Annex 1); the profile of team members (Annex 2); the Instruments of the CCRF (Annex 3); the list of institutions and people met by the Evaluation (Annex 4); the Evaluation tools (Annex 5); the inventory of FAO projects related to the Code, including those for the Impact Evaluation in Sri Lanka (Annex 6); the inventory of FAO Global Public Goods related to the CCRF and short assessments of the Technical Guidelines (Annex 7); Bibliography (Annex 8); Projects' assessment (Annex 9); Survey questionnaire analysis (Annex 10); Terms of Reference of the Impact Evaluation of FAO's support to the implementation of the CCRF in Sri Lanka (Annex 11); Report of the IE field survey in Sri Lanka (Annex 12); Sri Lanka Fisheries regulations and articles of the Code (Annex 13); FAO future engagements in aquaculture (Annex 14); the Ecosystem Approach and the CCRF (Annex 15); Brief analysis of the Web site of the Fisheries and Aquaculture Department (Annex 16); the Report of the Expert Panel (Annex 17).

2 Purpose and scope of the evaluation

2.1 Purpose

17. The purpose of the CCRF evaluation was defined in the Terms of Reference as follows:

- i. provide FAO member countries and Secretariat with an evidence-based and evaluative assessment of the support by the FAO Secretariat to the implementation of the Code of Conduct for Responsible Fisheries from January 2004 to December 2011, including all instruments developed within or related to the Code before January 2004; and
- ii. provide accountability about the Secretariat's performance and comparative advantage in this area of work and formulate recommendations on the future role and strategies of the Secretariat in its work in support of the enhanced implementation of the Code.

2.2 Scope and criteria

18. The ToR defined FAO's work in support of the implementation of the Code as "All activities conducted by the FAO Secretariat in the development of Code-relevant instruments and support for their implementation at national and regional levels, including the development of regional and national plans of action, legislation embodying the Code principles and approaches and other guidance, as well as execution of the plans and legislation in practice". The selected period of analysis was 2004-2011, although some references were made to earlier work when history and continuity were considered relevant.

19. For the sake of simplification, the Evaluation decided to include in the term 'Code instruments' all the agreements, IPOAs, Strategies and Technical Guidelines, although the team was well aware of the different legal status and procedures for approval of each of these categories of 'normative tools'. Annex 3 of the present report contains the full list of the instruments and technical guidelines.

20. The Evaluation also assessed the extent to which the Secretariat met the priorities set by the member countries as a collective through COFI, COFI Sub-committees, Council and Conference, as well as specific responses to member countries' requests insofar as relevant to the Code and its instruments. Among these, processes aimed at developing guidelines for 'gaps in the Code' such as governance of small-scale fisheries were also considered. Activities that concern small and specific actions downstream the causality chain of the CCRF were not included, so as to maintain a sufficiently broad scale.

21. The Evaluation was to assess all work that met the definition above and that was carried out by the FAO Secretariat during the period under evaluation in all its locations, irrespective of the source of funding and whether defined normative or field programme. It utilized for its assessment the criteria listed below applied as appropriate:

- relevance;
- efficiency,
- effectiveness;
- institutional and environmental sustainability;
- impact;
- technical quality; and
- contribution to gender equality and social inclusion; this also was to include access-rights aspects.

22. Furthermore, the evaluation framework took into consideration the following key elements:

- a. the functions attributed to FAO by the Code;
- b. the different themes contained in the Code and the streams of work developed by FAO, to complement the gaps and tackle emerging issues, as well as cross-cutting themes;
- c. the institutional players at global, regional and national level; and
- d. issues that have emerged during the evaluability assessment on specific aspects of FAO's role in the implementation of the Code.

3 Methodology of the evaluation

3.1 The overall evaluation

23. The Terms of Reference established the methodology of the Evaluation, which was based on the evaluation framework. Accordingly, the Evaluation adopted a participatory approach and consulted with FAO stakeholders at different points in time, namely on the draft ToR, the plan of work and the final draft report.

24. The views of internal FAO stakeholders on their own work, achievements and challenges, were canvassed extensively throughout the whole evaluation process. Equally, the views of clients and users of FAO products and services and of the partners of the Organization in the fisheries and aquaculture sectors were sought and taken into due account, through interviews in the visited countries, questionnaire surveys, and phone interviews. In total, the Evaluation team interviewed 455 stakeholders⁶ from the categories below:

- FAO staff, in particular that of FI, in headquarters, at the decentralized offices and in the FAO Representations;
- Staff of governments and relevant institutions in member countries, at decision-making and implementation level;
- UN organizations, International Financial Institutions (IFIs), CGIAR⁷ members, international NGOs;
- International and national research institutes and universities active in the sectors; and
- National NGOs and civil society organisations, and ultimate beneficiaries.

25. The internationally accepted evaluation criteria and the UNEG⁸ Norms and Standards informed the evaluation process; independence and rigour of analysis were maintained throughout it. Also, particular attention was given to cross-cutting issues: gender mainstreaming, social inclusion and environmental sustainability.

26. The Evaluation used a wide range of quantitative and qualitative tools and methods, described further below and contained in Annex 5 of this report. An evaluation matrix guided the data gathering and analytical process, by relating the evaluation questions to the evaluation criteria and themes set out in the ToR.

27. The Evaluation also made extensive use of past evaluation reports of programmes, projects and thematic areas relevant to fisheries and aquaculture in FAO, as well as of auto-evaluation reports. This proved to be a cost-effective approach that allowed canvassing a much larger body of evidence than would have been otherwise possible with available resources. In total, 32 past evaluation reports were reviewed.⁹

⁶ See Annex 4, List of institutions and stakeholders met during the evaluation process

⁷ CGIAR: Consultative Group on International Agricultural Research

⁸ United Nations Evaluation Group

⁹ The full list of past evaluations reviewed can also be found in Annex 5

28. Through a search in the corporate Field Programme Management Information System (FPMIS), the Evaluation compiled an inventory of all fisheries-related projects since January 2004, which was then updated to include all related projects operational until the end of 2011.¹⁰ Additional selection criteria included: i) FI as Lead Technical Unit (LTU), in HQ, Regional and Subregional Offices; and ii) projects with other units as LTU, but related to the implementation of the CCRF. The list was validated by each concerned unit.

29. Equally, a search of the FAO and FI websites led to an inventory of approximately 550 normative products produced by the department and Regional Offices since 2004. This included: guidelines and manuals; reports; conferences, workshops and meetings; databases; and policy briefs and brochures.¹¹ The Evaluation team analysed in detail all Code Technical Guidelines and instruments and a sample of the other normative products. Furthermore, large numbers of project documents, progress reports, COFI reports, FI technical papers, reports and articles, by FAO and other organizations were reviewed.¹²

30. The Evaluation also analysed each programme entity, or plan of work financed by the Regular Budget under FI's responsibility and made an attempt at linking these and each major and biennial output to normative products by FI in the period 2004-2011. Details concerning inputs in terms of resources and outputs were not available, which did not allow carrying out an input-output analysis of Regular Programme resources.

31. A major step in the evaluation process was the visit to member countries, as this offered the opportunity to get an insight and discuss the opinion of national stakeholders at the different levels on the whole of FAO's work in support of the implementation of the CCRF, including projects, technical assistance, policy support and normative products. The selection of countries to be visited followed a rigorous process to balance regional representativeness, cost effectiveness and resources available. The first criterion was the total volume of CCRF-related work by FAO, funded through the Regular Programme budget (RP) or voluntary contributions. Countries with larger volumes of work were then screened against the variety of work, the presence of a RFB or RFMO, and the possible presence of an FAO Regional (RO) or Subregional (SRO) Office to allow for interaction with FAO staff in the decentralized offices.

32. As is usually the case in FAO evaluations, priority was given to visits to countries that benefit from FAO's assistance. Representatives of resource partner countries were met in the visited countries or interviewed by phone.¹³ Thus, selected and visited countries were: Argentina, Bangladesh, China, Ghana, Indonesia, Mauritania, Morocco, Nicaragua, Peru, Senegal, Seychelles, Thailand, Uganda, and Uruguay. An impact evaluation of FAO's CCRF-related work was conducted in Sri Lanka, explained in more detail in Section 3.3 below. In addition, two team members attended a Caribbean regional workshop on the CCRF in Barbados. During these visits, besides the MCs' governments, the Evaluation consulted directly with ten RFBs/RFMOs as well as with a number of other fisheries and aquaculture-related organizations and networks.

¹⁰ See Annex 6, Inventory of CCRF related projects and programmes

¹¹ See Annex 7, Inventory of CCRF-related normative products

¹² See Annex 8, Bibliography

¹³ The questionnaire for member countries was sent to all FAO MCs, as described in paragraph 35

33. All FAO regions were visited, excluding Europe and Central Asia due to time and budget constraints and to the lower volume of activities in the fisheries and aquaculture sector. However, the former Fisheries and Aquaculture Officer for Central Asia was interviewed in Barbados and the Fisheries Officer posted in the Regional Office for Europe and Central Asia was interviewed on the occasion of a separate visit to Hungary. The Evaluation conducted phone interviews with the decentralized officers in Cairo (RNE), Tunis (SNE), Harare (SFS) and the newly arrived officer in Panama (SLM). Also, a short questionnaire had been sent to all decentralized fisheries and aquaculture officers inquiring about the range of activities and focus areas in which they work in their respective regions and sub-regions, for the preparation of the terms of reference.

34. The evaluation assessed a sample of projects in each country visited, at regional, and at HQ level in more detail. This was selected according to the following criteria: relevance to the CCRF, innovativeness, catalytic role, budget size, time frame (more recent ones were given priority to facilitate data collection), and thematic coverage. When enough evidence was available, through document review and/or from country visits, separate reports were prepared (see Annex 9). In any case, findings and conclusions from these in-depth project reviews informed the evidence base of the evaluation.

35. The opinion of government stakeholders in all FAO member countries, RFBs/RFMOs, international organizations and universities working in the fisheries and aquaculture sectors were captured through four questionnaire surveys. Relevant information resulting from the analysis of the responses has been included throughout the report; the full report of the questionnaire analysis can be found in Annex 10. The rates of responses were: 30 percent for MCs and 24 percent for RFBs. The response rates from international organizations and universities were too low to be taken into account.

36. Triangulation by the Evaluation team members of information gathered was a key tool for the validation of evidence. In addition, the team members applied their own professional experience and technical judgment in the assessment of, for example, the quality of normative, project and process outputs and outcomes and in the formulation of recommendations and suggestions.

37. OED ensured the management of the Evaluation, including the identification and recruitment of the Evaluation team. Each team member received individual terms of reference, indicating areas of technical expertise and specific evaluation issues, as well as background material.¹⁴ Extensive communication among team members took place throughout the whole process.

38. The Evaluation held extensive meetings in FAO headquarters in late November 2011, to gather information from FAO stakeholders, before travelling to Ghana in early December. All other country visits took place between December and March. A debriefing session was held in late March 2012, to present preliminary findings and conclusions to key

¹⁴ This included: Background information on FAO; notes on the evaluation function in FAO; UNEG Norms and Standards, Code of Conduct, and evaluation methodology; the inventory of CCRF-related FAO normative products, as well as electronic versions of each, if available; the inventory of CCRF-related projects implemented by FAO since 2004; project documents and other available documentation on FPMIS for all the projects in the sample countries and all key projects; evaluation reports for CCRF-related projects and relevant themes and programs already evaluated and a synthesis of their findings and conclusions.

stakeholders in FAO headquarters: comments and suggestions formulated on that occasion were taken into due account by the team during the preparation of the report.

39. The final draft report was circulated to FAO stakeholders for comments and suggestions, which were integrated in the final report, as considered appropriate by the Evaluation team. A matrix consolidating all comments and the Evaluation's uptake was also circulated afterward.

40. Finally, the Evaluation was supported by an external panel of experts, composed of representatives of international organizations, and of experts in their personal capacity. The following organizations had participated in the first virtual session of the panel in November 2011, to revise the Evaluation ToR: the EU, World Fish, and two experts in their personal capacity.¹⁵ Its comments had been integrated in the Evaluation ToR. The second session of the panel was held in late May 2012 to comment on the final draft report, as well as review comments of FAO stakeholders. The comments and suggestions of the expert panel were integrated to a large extent in the final report, and the report is available as Annex 17 to this report. In this respect, the Evaluation invites FI and FAO to give due attention to the reflections offered by the expert panel in their report.

3.2 *The theory of change of the Evaluation*

41. Evaluations, and even more so impact evaluations of normative products involve particular challenges concerning the nature of causation and degrees of attribution. In some cases where the normative product is relatively clear, well bounded and internally coherent these issues are relatively minor, but in the case of normative products such as the Code of Conduct for Responsible fisheries, problems are many. The Code itself was created as a non-binding voluntary agreement but without any explicit consideration of how it might be implemented or the degree to which different elements of the Code might be more important or strategic than others. Whilst the basic document has remained the same since 1995, it expanded to include a series of technical guidance publications, the result being an unwieldy and heterogeneous collection of disparate elements, some negotiated, but most not; most voluntary; others international legal agreements. Despite all these accretions, the Code still remains highly regarded and firmly a child of the post-Rio world of the 1990s.

42. From the evaluability assessment onward, it appeared that within FI itself there was a certain lack of clarity on what the Code is, what its purpose might be, and what impacts might be expected from support and implementation of the Code. FAO fisheries staff likened it to the Bible or the Koran; a set of principles or standards against which policies and actions in the fisheries sector may be judged. Thus, what FAO did was not to directly promote the Code through projects or other forms of intervention, but rather to see the Code as informing their actions. Supporting the adoption or implementation of the Code was a matter implicit in the activities of the Fisheries and Aquaculture Department rather than an activity in itself.

43. One of the results of the somewhat nebulous status of the Code in the activities of FI was the lack of a clear 'theory of change' against which its role and potential impacts could be judged. The Code set aspirational goals, but these were loosely defined and with some exceptions for the Technical Guidelines, no explicit attempt was made to define a set of

¹⁵ Institutions that were invited and did not attend included: the World Bank, the GEF, and IUCN

activities which might result in these aspirations being realised, or a set of conditions recognized as necessary for these actions to produce the desired results. Rather, it was a situation where, on the one hand, it could be argued that all activities supported by FAO in the fisheries sector had necessarily been embodiments of the Code, because this informed all their activities and, on the other hand, a situation where various forms of intervention (projects; training, etc.) had been vehicles through which the Code or elements of the Code had been disseminated. The Fisheries and Aquaculture Department also tended to overlook the importance of strengthening country ownership of the Code as a key step towards its implementation.

44. Without an explicit theory of change there was a clear danger of formlessness and lack of focus. The best possible solution was suggesting two levels to look for change as a result of FAO activities: knowledge and implementation.

45. Whilst FAO had a stated desire to encourage knowledge of the Code and the various elements in the Code, it did not appear to have a strategy, either implicit or explicit, to encourage dissemination of Code-related information. In terms of practices, there was a desire to change practices or at least to bring them into line with the Code. This had been done through a series of disparate activities not directly concerned with the Code, rather with various elements which may or may not have been directly associated with the Code. This meant that, in order to identify Code-relevant information, it was in effect necessary to evaluate each intervention before being able to identify whether it was germane to the issue at hand.

3.3 *The impact evaluation in Sri Lanka*

46. As planned in the ToR for the CCRF evaluation, OED decided to carry out an Impact Evaluation of FAO's support to the implementation of the CCRF in one specific country. Three main criteria were retained for the selection of candidate countries, within the fisheries and aquaculture sector: size of FAO's field programme; extent of country involvement in FAO normative functions; country dimensions that would allow visiting a representative sample of field sites in a short space of time at reasonable cost as well as some visibility for FAO's actions.

47. The country that best met these criteria was Sri Lanka, which had benefited from large-scale emergency and rehabilitation interventions in the aftermath of the Indian Ocean earthquake and Tsunami in December 2004. Since that event, around 34 projects have been active in the country amounting to a total expenditure of approximately USD 59 million.¹⁶

48. Specific terms of reference were prepared following a preparatory mission to the FAO Regional Office in Thailand and to Sri Lanka and circulated for comments and suggestions among FAO stakeholders before finalizing and starting the field work (see Annex 11).

49. The purpose and the key question of the IE were defined respectively as follows:
i. Provide accountability and draw lessons on the impact of FAO's contribution to the implementation of the Code of Conduct for Responsible Fisheries in Sri Lanka;

¹⁶ See Annex 6, Tabs SRL TCD 2004-11 and SRL Input distribution 2004-11

- ii. Did FAO support in an effective manner the Government of Sri Lanka in its efforts to implement the Code of Conduct for Responsible Fisheries and its instruments and to what lasting and significant changes in the fisheries and aquaculture sectors has the Organization contributed?

50. The IE was to provide supporting evidence to the conclusions and recommendations of the CCRF Evaluation and contribute in-depth evidence of FAO's work in the fisheries and aquaculture sector to the incipient Evaluation of FAO's Cooperation in Sri Lanka, 2006-2011, a country evaluation also managed by OED. The IE also formulated four recommendations, two of which were addressed to FI, aimed at improving the diffusion of the Code and its use through project design and implementation. These were integrated in the relevant sections of this report. The other two recommendations and four Lessons Learnt were also developed, mostly focused on Sri Lanka; these will be integrated by the team responsible for the country evaluation, as considered appropriate.

51. The exercise was carried out under the responsibility of OED, by a team comprising an international consultant in the role of coordinator, an international fisheries expert with extensive experience in Sri Lanka and five field assistants. The detailed report of the field survey, including fuller details of how sites were chosen and the format of the meetings at district level, is given in Annex 12.

52. As outlined in Section 3.2 above, impact evaluations of normative products involve particular challenges concerning the nature of causation and degrees of attribution. Thus, the Impact Evaluation adopted a number of inter-related approaches to the collection of data and the analysis of data. Overall, this of necessity involved a 'top-down' approach for after all, the aim of the evaluation was to assess the impact of FAO activities in support of the GoSL. These components consisted of:

- i. A review of the available literature, primarily the large - but at times fragmentary - material relating to FAO's activities relating to the Sri Lankan fisheries sector since 2004. This encompassed documentation covering projects supported by FAO in Sri Lanka plus more general documents covering policy issues relevant to Sri Lanka. The focus of this review was to identify the presence or absence of direct mention of the Code, the degree to which activities were in line with Code precepts, and the degree to which there was evidence that these interventions had been used to encourage knowledge and implementation of the Code;
- ii. Interviews with FAO staff in Rome, Bangkok and Colombo. These interviews were designed to identify how FAO fisheries staff understood the Code and its significance in their work, what they saw as the major challenges relating to the Code and their views on activities supporting the CCRF in Sri Lanka;
- iii. Interviews with Government of Sri Lanka officials in the fisheries sector, canvassing a broad range of issues including their attitude towards the CCRF, FAO support for the CCRF and how it was being implemented in Sri Lanka, and the degree to which FAO activities had impacted in terms of knowledge and practices;
- iv. Interviews with staff employed in Sri Lanka and outside to implement FAO projects: besides a general overview of their activities, these interviews concerned how staff saw the CCRF fitting into the projects they were involved in and how far the CCRF was a relevant point of reference;
- v. Interviews with other donors, private sector organizations and with non-government organizations in Sri Lanka, to understand how the CCRF and FAO's support for the CCRF were seen outside the government sector;

- vi. Focus group meetings at the District level, with local officials and people directly involved in the fishing industry in Sri Lanka to ascertain the degree to which knowledge of the Code had reached the local level and the degree to which FAO activities had encouraged implementation of the principles of the Code.
- vii. Interviews with ancillary groups (e.g. NGOs; university staff; boat builders) in Sri Lanka to identify the degree of awareness of the Code; and
- viii. Review of fisheries regulations promulgated by GoSL in the period since the Code was first published in order to see how far they had been informed by the principles of the Code (see Annex 13).

53. The overall findings of the IE are illustrated in Chapter 15 of this report, although they are also referred to throughout the report, as supporting evidence for broader conclusions of the CCRF Evaluation.

3.4 Constraints and limitations

54. The Evaluation could not develop a proper theory of change, as outlined in more detail in Section 3.2, for the support provided by FAO to its member countries for the implementation of the Code. The evaluability assessment showed that although the Code was considered as the 'overarching framework' for all of FI's work, this did not translate into a body of strategic path-ways or actions. The Impact Evaluation in Sri Lanka was the closest attempt possible to develop it, but it was considered that any similar attempt at a higher level of aggregation would have been rather meaningless. This means that the Evaluation had great difficulty in bounding the scope of its investigations, since virtually all of FI's work was stated as being relevant to the implementation of the Code. The Evaluation was therefore necessarily "broad brush".

55. A second obstacle was the absence in FAO of corporate systems for recording time inputs by staff and consultants in all normative work and to a certain extent, also in the field programme. This means that no rigorous and objective assessment of FAO's efficiency, intended as input-output flow, was possible. In consideration of the large weight of the normative component in the CCRF-related work, this is a major gap in the Evaluation's work.

56. Equally, FAO does not have a corporate system for recording specific requests by its member countries for assistance: the reports of FAO Committees and regional conferences are formulated at a global or regional level and can only represent a generic benchmark, unsuitable for assessment of performance at a more detailed level of analysis.

57. The Evaluation team, due to budgetary and time constraints, was unable to visit the Pacific region. The questionnaire survey for MCs was sent to all national fisheries organizations in the region, but OED received no responses to it.

B. FAO and the CCRF

4 The CCRF and FAO's role in its implementation

4.1 FAO and the Code

58. FAO has been a key player in the preparation and negotiation process that led to the adoption of the Code by FAO Members in 1995. In March 1991 COFI,¹⁷ had called '*for the development of new concepts which would lead to responsible, sustained fisheries*'.¹⁸ In response to this, the FAO Secretariat contributed important technical inputs and thinking in the whole set of events that followed, including the 1992 Cancun International Conference on Responsible Fishing and the Rio United Nations Conference on Environment and Development in Rio, the United Nations Conference on Straddling Fish Stocks and Highly Migratory Fish Stocks and the adoption in 1993 of the Agreement to Promote Compliance with International Conservation and Management Measures by Fishing Vessels on the High Seas.

59. This whole process strengthened the perceived need for a global code of conduct, which eventually led to the adoption of the Code of Conduct for Responsible Fisheries by FAO Conference in 1995, a non-binding agreement articulated in 12 Articles. FAO, comprising its Members - through COFI - and the Secretariat, is thus the official 'owner' of the Code and has a specific role as stated in the Preface to the Code: '*FAO, in accordance with its mandate, is fully committed to assisting Member States, particularly developing countries, in the efficient implementation of the Code of Conduct for Responsible Fisheries and will report to the United Nations community on the progress achieved and further action required.*'

60. More specifically, Article 4 of the Code gives FAO and COFI special responsibilities for its implementation, monitoring and updating: "*All members and non-members of FAO, fishing entities and relevant subregional, regional and global organizations, whether governmental or nongovernmental, and all persons concerned with the conservation, management and utilization of fisheries resources and trade in fish and fishery products should collaborate in the fulfillment and implementation of the objectives and principles contained in this Code.*" Both 'legs' of FAO, COFI representing the membership and FI representing the Secretariat, have taken their mandate seriously.

61. COFI has continuously played a strong role in guiding FI's work in supporting the implementation of the Code. The Code has been the first agenda item of COFI since its adoption and most sessions were very clear in their mandate to FI on streams of work, e.g. on the International Plans of Action or certain Technical Guidelines, to pursue. For example, the COFI report of its 26th Session fully relates to the outcomes of the Code implementation at the end of its first decade and contains a fair analysis of problems and suggestions on possible solutions, including special recommendations on small-scale fisheries/aquaculture and the tsunami. The report also revealed that COFI members were satisfied with the quality of the meeting documents.

¹⁷ COFI '*constitutes the only global inter-governmental forum where major international fisheries and aquaculture problems and issues are examined and recommendations addressed to governments, regional fishery bodies, NGOs, fish-workers, FAO and international community, periodically on a world-wide basis. COFI has also been used as a forum in which global agreements and non-binding instruments were negotiated*': <http://www.fao.org/fishery/about/cofi/en>

¹⁸ The Code of Conduct for Responsible Fisheries, Preface

62. All COFI reports have provided guidance to the Secretariat on priority areas of work, often adding to the already long list of planned and asked for actions. Although this is a very legitimate role of FAO governing bodies, including COFI, the Secretariat has become increasingly unable to respond to it adequately, in consideration of the successive resource cuts operated by the Conference. Also, there have been a few cases in which COFI's decision did not seem to represent the views of the full membership, for example on eco-labelling as discussed later in the report.¹⁹ Under the new governance system of FAO, a COFI Bureau was created in late 2011 and COFI 2012 will be the first occasion for its action to become visible.

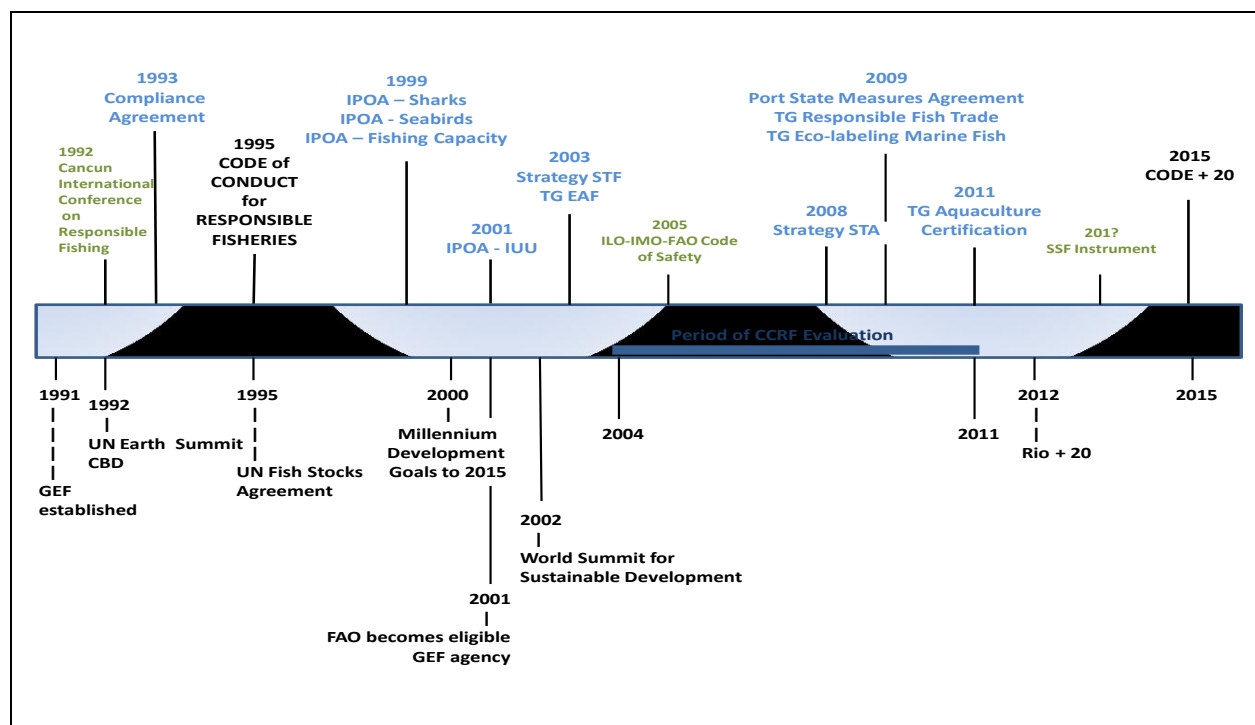
63. The FAO Secretariat's work is described in detail throughout the report. Here it is worth mentioning the FAO Fisheries Department mid-term strategy in support of the CCRF implementation 1998-2002, prepared two years after the approval of the Code, and the setting up of a CCRF Task Force that was later subsumed into the departmental senior management mechanism. More recently, the Fisheries and Aquaculture Department formulated its vision statement as follows: *"a world where the use of fisheries and aquaculture resources makes an appreciable contribution to human well-being, food security and poverty alleviation"*. The department also states that its mission is *"to strengthen global governance and the managerial and technical capacities of members and to lead consensus-building towards improved conservation and utilization of aquatic resources."*²⁰ All FAO fisheries staff, when asked, referred to the Code as the *"overarching framework for their work and mandate"*.

64. As described, the Code was the product of a process and its approval led to further processes, products and events. Box 2 below illustrates a simplified time-line of major fisheries and aquaculture events that had a bearing on the Code or were influenced, even if indirectly, by it.

¹⁹ The working mechanisms of FAO Committees have been discussed at length in other corporate exercises and documents, from the Independent External Evaluation of FAO through the Immediate Plan of Action.

²⁰ FAO Web site: <http://www.fao.org/fishery/about/en>

Box 2. Relevant events leading to and following the adoption of the CCRF



Source: Evaluation team

4.2 The Code and its instruments

65. FAO, both COFI and the Secretariat, set out to fulfill the mandate to implement the Code in different ways. One, if not the major stream of action, was the development of ‘instruments’ of the Code, including international plans of action, one binding agreement, negotiated and non-negotiated technical guidelines.

66. In mid 2011, at the time of undertaking the Evaluation, the FAO website did not have a clear specification of all the products, or a clear explanation of the different types of products in the Code package. At recent COFI meetings, a CD-ROM containing Code products was usually produced, but without explanation about the nature of each product.

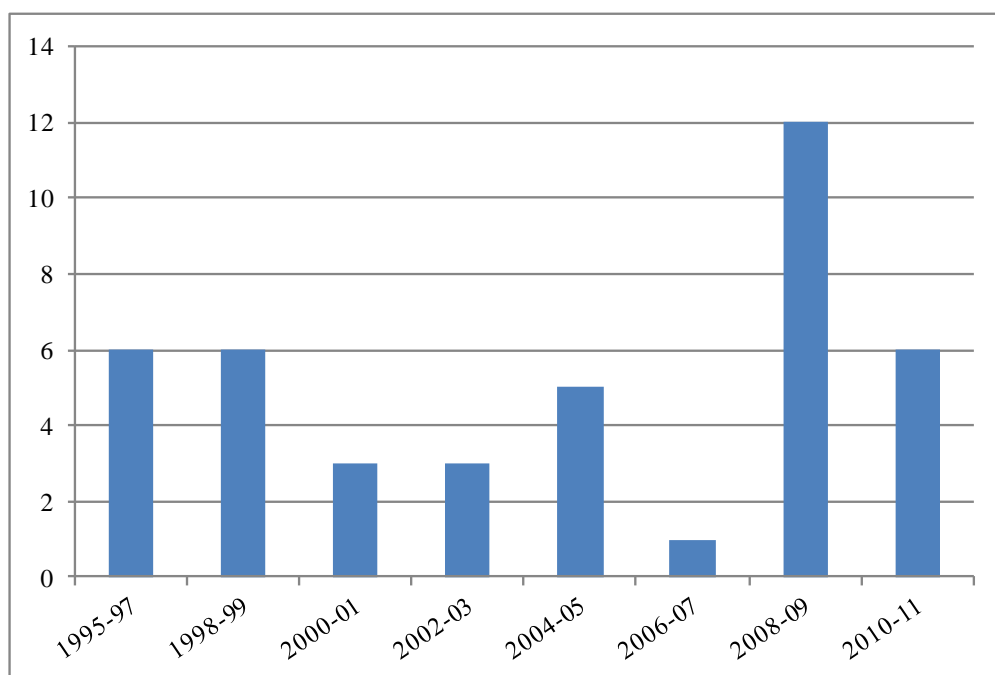
67. The Evaluation spent considerable time and effort to determine the definitive set of Code products or ‘instruments’ (Annex 3). Extensive discussions with several FI senior officers determined that, as of 31 December 2011, the Code of Conduct of Responsible Fisheries consisted of:

- eight legal instruments, including the 1995 Code itself, four International Plans of Action, two Strategies and one binding legal agreement;
- thirty-one Technical Guidelines, of which three have been negotiated and endorsed by COFI; and
- four related instruments.

68. The 42 Code products were released in two main phases, between 1995-99 and 2005/09. Products are still flowing out, and the last 4 years – 2008-09 and 2010-11 – were as prolific as the previous one. Box 3 below represents this graphically. As will be discussed in

the following sections, the Evaluation is not suggesting that a proliferation of Code products should be an end in itself.

Box 3. Number of Code products over 2-years periods



Source: Evaluation team

4.3 The CCRF questionnaire

69. The main tool that FAO and COFI use to discharge their monitoring responsibilities is the biennial “Questionnaire for Monitoring, Implementation of the 1995 Code of Conduct for Responsible Fisheries, the International Plans of Action on Capacity, Sharks, Seabirds, Illegal, Unreported and Unregulated Fishing and the Strategy for Improving Information on Status and Trends of Capture Fisheries”. The responses from member countries, regional fisheries bodies (RFBs) and regional fisheries management organizations (RFMOs) and other interested bodies are then reported to and discussed by COFI.

70. Rates of response, overall, have been inadequate to permit analysis of progress in the implementation of the Code. Asian and African countries have particularly low recent response rates, but all regions, except North America and the South West Pacific, have had less than 50 percent responses, as shown in Box 4 below. In an effort to increase the reporting rate, in 2010, FAO piloted an electronic version of the questionnaire. Most interlocutors in the countries visited by the Evaluation were aware of the new format. The electronic version has also been used for the 2012 COFI session.

Box 4. COFI CCRF questionnaire response rates (percentage of FAO Members) by region

FAO Region	2000 (%)	2002 (%)	2004 (%)	2006 (%)	2008 (%)	2010 (%)	2010 (no. of MCs)
<i>Africa</i>	74	77	21	55	34	23	47

<i>Asia</i>	48	44	27	24	30	12	33
<i>Europe</i>	36	42	21	24	25	41	44
<i>Latin America & the Caribbean</i>	64	64	36	52	39	45	33
<i>Near East</i>	47	32	26	21	37	47	19
<i>North America</i>	100	100	50	100	100	100	2
<i>Southwest Pacific</i>	42	85	33	27	53	67	16
Total	56	58	27	37	35	36	194

Source: FI data, elaborated by Evaluation

71. In the questionnaire survey that the Evaluation conducted with member countries and RFBs/RFMOs, nearly all respondents²¹ reported that they found the COFI discussions on the Code and FAO's Code proposals to COFI to be worthwhile. This approval also extended to the COFI biennial Code questionnaire, although some commented that countries should be required to report more rigorously. The Evaluation noted a strong overlap between the MC/RFB/RFMOs that responded to its own questionnaire and those that answered the last COFI questionnaire.

72. During the Evaluation's visits to member countries and FAO Regional Offices, opinions on the COFI CCRF questionnaire were varied, from positive to strongly negative, ranging from "This is a flagship global document" to "It needs a professional questionnaire". Interviewees in many countries agreed that interest in the questionnaire needed to be renewed to improve monitoring and also the utility of the questionnaire to the countries themselves. Some MCs use teams from across the main government agencies to fill in the questionnaire, "rather than hand it to a junior behind a desk", whereas for others it is perceived as a national obligation.

73. Several suggestions were put forward for improving the questionnaire itself and the way FAO supports MCs in complying with the requirement: i) survey analysis should be circulated to MCs in advance of going to COFI; ii) development of an ICT platform to help MCs share good practice and learn from each other; iii) continuous monitoring should act as a means rather than an end so that corrective steps could be taken after feedback from FAO and the capacity gaps identified in this way should find a place in new projects; iv) third parties, mostly the INFO-Global network and RFBs/RFMOs, could assist MCs to fill out the questionnaire; v) national workshops on the questionnaire would make stakeholders more aware of the CCRF tool; and vi) benchmarking tools or indicators should be developed to help MCs assess their own progress in implementing the Code.

74. Low response rates were not the only shortcoming of the COFI questionnaire. Some interviewees in MCs felt that its biennial administration was too frequent as little changed in that period. Some topics such as EAF and EAA, Integrated Coastal Management and gender sections were also considered inadequately covered by some interviewees.

75. Following dissatisfaction with the depth of monitoring information on the Code and aquaculture, in 2008, the COFI Sub-Committee on Aquaculture requested FAO to develop a

²¹ As mentioned above, 30 percent of the MC and 24 percent of the RFB/RFMOs responded to the Evaluation survey questionnaire

special aquaculture questionnaire. This has now been developed, a manual and training programme instituted and further testing done to make the instrument more results-based in its monitoring. The approach recommended by FAO to the 2012 COFI Sub-Committee on Aquaculture is for member countries and regional bodies to involve a multi-disciplinary and even multi-agency team to respond to the two-part questionnaire. The first part addresses the extent of compliance with Code provisions and the second part assesses the member countries' capacity to support compliance.

76. A special questionnaire was also developed by the COFI Sub-Committee on Fish Trade. However, this questionnaire was not yet piloted and tested, as in the case of the aquaculture one.

77. The Evaluation considers it positive that new approaches are being tested and if lessons can be learned from the more results-based approach of the Sub-Committee on Aquaculture questionnaire, then the whole monitoring exercise can be improved. However, the FAO Department of Fisheries and Aquaculture needs to ensure that full internal consistency among different Code questionnaires be maintained.

4.4 Comments on the Code by FAO and others

78. Although FAO's support for the implementation of the Code had not previously been evaluated, other partial global assessments have been carried out through FAO and externally to gain evidence of the progress in implementing the Code or parts of it. Five assessments/evaluations are briefly described.

*FI Auto-evaluation 2007-2008*²²

79. From December 2007 to March 2008, an FAO auto-evaluation was carried out on some elements of the Code. It was facilitated by a consultant contracted by the FAO Fisheries and Aquaculture Economics and Policy Division (FIE)²³ and focused on factors of relevance mainly to FIE, namely:

- development of the Code, its associated instruments and Technical Guidelines (the Code package or Code products);
- dissemination and promotion of the Code package; and
- monitoring of the implementation of the Code and its related instruments.

80. Overall, the draft report arrived at a positive assessment of the continuing importance of the Code package and the high regard within which it is held. It commented positively on the process of developing new elements in the Code package but drew attention to the lack of priority setting for new Code products and planning in their delivery i.e. "*The FAO Committee on Fisheries (COFI) gives guidance to FI and the different FI services initiate activities as they see required but there is an apparent lack of a proactive and methodical strategy for situation analysis and the identification of emerging issues.*"

²² Although the exercise was finalized, a final version of the report was not available.

²³ In compliance with the guidelines for auto-evaluation then valid.

81. The draft auto-evaluation did not assess the use of modalities other than dissemination and promotion of the Code products to support the implementation of the Code by member countries, RFBs and others, although minor reference was made to workshops for capacity development. It was critical of the traditional and routine dissemination approaches used and felt that more could be done. It was mindful of the complex matters associated with monitoring implementation by self-reporting member countries of FAO. It does not appear that the recommendations of the auto-evaluation were ever implemented.

FAO Independent External Evaluation, fisheries section

82. The FAO Independent External Evaluation (IEE), was highly positive on the Code and the role it gave FAO, including in the UN discussions on the ocean. The IEE was also highly positive on the biennial State of Fisheries and Aquaculture (SOFIA) reports, saying that they “had now developed to become the most influential publication in global fisheries”.

83. The IEE found that FAO's fisheries field work was better aligned with normative products than in other areas of FAO, though the field work was of variable quality. For example, the IEE was critical of the Sustainable Fisheries Livelihood Programme in that: it did not use pilot assessments, was not leaving a sustainable impact and was only a ‘step-child’ of FI - in other words, tensions existed between FAO headquarters and the field.

Fisheries Centre, University of British Columbia and WWF (2006-2008)

84. In 2006, researchers from the University of British Columbia (UBC) (Canada) published an assessment of how 53 countries were meeting the requirements of Article 7 (Fisheries Management) of the Code on their marine capture fisheries management, covering 96 percent of global marine capture fisheries catch.²⁴ This document covered the methods and detailed results but drew no conclusions. These followed later in a document published with WWF (Pitcher et al. 2008 – see below).

85. The assessment covered 52 of the 56 clauses of Article 7. It used a rapid appraisal system, based on published reports and expert validation in 33 of the 53 countries. The six evaluation fields included fisheries management intentions, ways of implementing, precautionary intentions and actions, and the results of managing on stocks, fleets, gear, social and economic, monitoring, control and surveillance.

86. In 2008, the UBC authors and WWF-International published the conclusions and an overview.²⁵ This gave a very negative assessment of progress, with no countries achieving good scores (defined as 70 percent or more in overall compliance) and only six countries having confidence limits of the overall scores overlapping the 60 percent score (passable). Fifty-three percent of countries had overall ‘fail’ scores (less than 40 percent). In 2009, the same authors published ‘Not honouring the code’, in Nature.²⁶

²⁴ T.J. Pitcher, D. Kalikoski and G. Pramod (eds), Evaluations of Compliance with the FAO (UN) Code of Conduct for Responsible Fisheries. Fisheries Centre Research Reports 2006 Volume 14 Number 2, 1191 pp (including linked pages for countries and regions), main report 69 pp.

²⁵ T.J Pitcher, D. Kalikoski, G. Pramod and K. Short. Safe Conduct? Twelve years fishing under the UN Code. WWF-International, UBC, 65 pp

²⁶ Pitcher, T.J., Kalikoski, D., Pramod, G., and Short, K. (2009), Not Honouring the Code, Nature 457:658-659.

87. Notwithstanding methodological shortcomings and its narrow application to only Article 7, the UBC, WWF-International assessment was reasonably objective and found that, of the sample of countries assessed for compliance with Article 7 Fisheries Management, a huge Code implementation gap exists. By 2008, most maritime countries had made insufficient progress towards implementing the Code and demonstrating results. The country assessments found that many had national fisheries laws and regulations drafted since the Code that did reflect and/or refer to the Code. This accords with the findings of the present Evaluation in the MCs visited. The UBC/WWF reports were critical of the weaknesses inherent in the self-reporting of Code implementation through the COFI questionnaire route.

2009 FAO commissioned study

88. In 2009, FAO published a study on an analysis of the implementation of the Code.²⁷ This study covered mainly fisheries elements of the Code and one conclusion was that the biennial monitoring did not do justice to the aquaculture sector. Using the 2000-2006 COFI questionnaire responses, the study analysed the responses and performance of the questionnaire, noting the low response rates, but the improved FAO analysis of the data received. Article by article, the author examined inconsistencies in the responses and highlighted a lack of common understanding of technical terms used, e.g. “indicators” and “management measures”. He assessed progress with the IPOAs, noting the very poor progress with the IPOA on reducing fishing capacity; and somewhat less so with sharks, seabirds and IUU, but noting the difficulty with the last one of obtaining the requisite technical capacity in country.

89. The study made an effort to assess how aquaculture and fisheries industry associations were adopting Code-like arrangements, finding evidence of progress largely in developed countries, but not making an overall conclusion. The present Evaluation also had difficulty penetrating the industry side as FAO lacks strong industry networks to tap for views. In 2009, it appeared that countries were starting to respond more to those products that addressed market needs. The Evaluation found this effect to be very strong in 2011-2012.

90. The report examined RFMOs/RFB in some detail and by body, indicating that progress in Code recognition and policy adoption was high, but action was lagging considerably. The report did not delve much into the use of projects as a support tool for implementing the Code. It looked at NGO partners and donor partners, and various relevant (fisheries specific and more general) regional partners; described the single Code award (the Margarita Lizárraga Medal); and attempted an impact assessment of the Code by looking at what it had achieved in terms of moral high ground, influence on policy, legislation and language. It concluded that the impact was slow but, by way of comparison, it also pointed out that so too is that of the implementation of environmental legislation in other sectors such as energy. Hosch pointed out that the transition costs of moving to sustainable fisheries, even if the long-term prospects were better, were very high and represented a barrier to action. The suggestion was that FAO should promote good governance solutions and show countries how to manage the transition costs.

²⁷ Hosch, G. Analysis of the implementation and impact of the FAO Code of Conduct for Responsible Fisheries since 1995. FAO Fisheries and Aquaculture Circular. No. 1038. Rome, FAO. 2009. 99 pp

91. The study stressed that though well known, the Code was read by few and needed to be read more widely and 'assimilated' by much greater masses of grassroots stakeholders. With respect to dissemination of Code products, it also noted their general availability online but the lack of an FAO coherent dissemination strategy.

92. In another study in 2011, Hosch and co-authors examined the performance of nine countries in implementing the Code and reported serious shortcomings.²⁸

4.5 Conclusions

93. FAO, both its member countries and the Secretariat, are the 'owners of the Code' and they all have roles to play in its implementation. A major activity of the Secretariat has been the development of new Code 'instruments' at a steady pace of work.

94. The monitoring system of Code implementation through the biennial COFI questionnaire has not been adequate, and many suggestions exist for its improvement, especially training, getting multi-disciplinary and multi-agency teams to complete it, better feedback and lower frequency. The use of electronic administration of the instrument is a positive step ahead, provided excellent technical standards are met.

95. Nevertheless, the summary FAO report to COFI of the questionnaire responses generates debate on the floor that sets the tone for other COFI debates and leads to items that COFI sends forward to the FAO Council and Conference. With the formation of the COFI Bureau to better prepare the COFI agenda of work, the Evaluation expects that this debate will become more focused.

96. Most assessments of the Code agree that progress towards implementing the Code has generally been poor and hence fisheries and aquaculture are not yet conducted in a responsible manner. It is considered that FAO has an imperative to improve the monitoring of the implementation of the Code.

97. Last, although none of the other assessments focused on FAO's own role in supporting countries and regional bodies in their implementation, they identified some common threads on FAO's role, namely:

- Inadequate dissemination of Code materials, even though the materials are accessible if sought; and
- Generally poor uptake by countries, as many MCs suffer from large basic human/institutional capacity problems, and attention tends to go to parts of the Code related to fish market needs.

98. In the light of the above analysis, the Evaluation formulated **Recommendation 3** to the attention of FI.

²⁸ Hosch, G. G. Ferraro and P. Failler. The 1995 FAO Code of Conduct for Responsible Fisheries: Adopting, implementing or scoring results? *Marine Policy* 35:189-200

5 FAO's resources and planning in support of the CCRF implementation

5.1 Regular Programme budget and work plans

99. Since 2000, FAO defines its mandate, objectives and functions in its Strategic Frameworks (SF), that are operationalized through the four-year Medium-Term Plans (MTP) and biennial Programmes of Work and Budget (PWB). The PWB is the planning tool for assigning the Regular Budget (RB) or core financial resources of the Organization to the technical streams of work: these were called Major Economic and Technical Programmes until 2009, and Organizational Results since 2010.

100. The first Strategic Framework, planned for the period 2000-2015, was structured through Strategic Objectives (SOs) that encompassed several thematic sectors. The Fisheries Department was responsible for managing five Major Economic and Technical Programmes, which contributed, similarly to the programmes of the Forestry and Agriculture Departments, to several SOs. The SF prepared for the period 2010-2019 was articulated through sectoral strategic objectives: '*Strategic Objective C - Sustainable management and use of fisheries and aquaculture resources*' was FAO's Strategic Objective in the fisheries and aquaculture sector for the biennia 2010-11 and 2012-13. The second formulation appeared to give a stronger identity and ownership to fisheries and aquaculture staff of the SO itself. It also gave visibility to the CCRF at the level of Organizational Results. The new SF proposed to the Governing Bodies in June 2012, with five cross-cutting Strategic Objectives very close to FAO Global Goals, will bring back fisheries into the same SF with forestry and agriculture. It remained to be seen, at the time of finalizing this report, how fisheries-specific areas of work will be linked to the new high-level SF.

101. The PWB Net Appropriation²⁹ assigned to the Fisheries Department in the period 2004-2009, and corresponding Major Programmes, is reported in Box 5. All figures are at nominal value, and were not adjusted for inflation or exchange rate fluctuations.³⁰

Box 5. Major Programmes and Net Appropriation resources assigned to the Fisheries Department in the biennia 2004-05, 2006-07, 2008-09

Biennium	Major Programme	Net Appropriation to FI (USD)	% of total Net Appropriation
2004-05	231 - Fisheries information	6,624,000	0.9
	232 - Fisheries Resources and Aquaculture	10,412,000	1.4
	233 - Fisheries Exploitation and Utilization	8,301,000	1.1
	234 - Fisheries Policy	7,595,000	1.0
	239 – Programme Management	3,976,000	0.5
Total biennium 2004-05		36,908,000	4.9

²⁹ PWB net appropriation is the sum of the mandatory contributions to FAO by the member countries as approved by the Conference. Since the PWB 2010-11, FAO presents an integrated view of the total resource requirements, from both assessed and voluntary contributions, needed to achieve the two-year targets in the Organizational Results frameworks presented in the Medium-Term Plan 2010-13.

³⁰ Figures in Box 5 include salaries for HQ staff, which are paid in Euro. The rate of exchange was 1.25 USD/Euro in January 2004 and 1.46 USD/Euro in January 2008.

Biennium	Major Programme	Net Appropriation to FI (USD)	% of total Net Appropriation
2006-07	2H - Fisheries and aquaculture information, statistics, economics, and policy	13,300,000	1.7
	2I - Fisheries and aquaculture management and conservation	10,547,000	1.4
	2J - Fisheries and aquaculture products and industry	7,201,000	0.9
	2K - Sustainable natural resources management	836,000	0.1
	2X - Programme management	4,632,000	0.6
Total biennium 2006-07		36,516,000	4.8
2008-09	2H - Fisheries and aquaculture information, statistics, economics, and policy	16,368,000	1.8
	2I - Fisheries and aquaculture management and conservation	12,689,000	1.4
	2J - Fisheries and aquaculture products and industry	8,586,000	0.9
	2K - Sustainable natural resources management	1,050,000	0.1
	2X - Programme management	5,848,000	0.6
Total biennium 2008-09		44,541,000	4.8

Source: PIRES, 2004 to 2009, elaborated by the Evaluation

102. Starting in the biennium 2010-11, and similarly to any other technical sector, a share of the Net Appropriation for the fisheries and aquaculture sector was assigned to other units, in particular Regional Offices. Box 6 below illustrates funds assigned to FI at headquarters and to other units in 2010-11, for activities contributing to Strategic Objective C, by Organizational Result. FI also contributed with some work to 'SO I, Improved preparedness for, and effective response to, food and agricultural threats and emergencies', in particular to 'SO I2, Countries and partners respond more effectively to crises and emergencies with food and agriculture-related interventions'. No meaningful comparison was possible between financial allocations to major programmes and organizational results, as their thrust changed quite substantially.

Box 6. Organizational Results and Net Appropriation (N.A.) resources assigned to FI and other units for Strategic Objective C in the biennium 2010-11

Major Programme/ Organizational result	N.A. to FI (USD)	N.A. to others (USD)	Total N.A.	% of total N.A.
C01. Members and other stakeholders have improved formulation of policies and standards that facilitate the implementation of the Code of Conduct for Responsible Fisheries (CCRF) and other international instruments, as well as response to emerging issues	17,541,655	4,234,907	21,776,562	2.2
C02. Governance of fisheries and aquaculture has improved through the establishment or strengthening of national and regional institutions, including RFBs	3,900,379	3,543,599	7,443,978	0.7
C03. More effective management of marine and inland capture fisheries by FAO Members and other stakeholders has contributed to the improved state of fisheries resources, ecosystems and their sustainable use	5,650,644	797,330	6,447,974	0.6

Major Programme/ Organizational result	N.A. to FI (USD)	N.A. to others (USD)	Total N.A.	% of total N.A.
C04. Members and other stakeholders have benefited from increased production of fish and fish products from sustainable expansion and intensification of aquaculture	7,231,047	1,632,516	8,863,563	0.9
C05. Operation of fisheries, including the use of vessels and fishing gear, is made safer, more technically and socio-economically efficient, environmentally-friendly and compliant with rules at all levels	4,377,666	136,435	4,514,101	0.5
C06. Members and other stakeholders have achieved more responsible post-harvest utilization and trade of fisheries and aquaculture products, including more predictable and harmonized market access requirements	5,538,751	181,971	5,720,722	0.6
I02. Countries and partners respond more effectively to crises and emergencies with food and agriculture-related interventions	201,996	1,321,775	1,523,771	0.2
Total biennium 2010-11	44,442,138	11,848,533	56,290,671	5.6

Source: PIRES, 2010/11, elaborated by the Evaluation

103. The share of FI within the total FAO Net Appropriation was virtually the same from 2004 to 2009 and increased slightly in 2010-11. Further increase was planned in the Programme of Work and Budget (PWB) 2012-13, to reach 6.5 percent, including regional programmes. The revised PWB proposed to the Governing Bodies in June 2012 included only the abolition of one professional and one general service post in the actual allotment to FI and to SO C for the biennium 2012-13, which will therefore be in the order of 6 percent of the corporate Net Appropriation.

104. The trend for all FAO technical departments over the last four biennia has been of a decrease in non-staff resources from an average of 25 percent to 22 percent. In FI, this value went from 23.8 percent in 2004-05 to 18.2 percent in 2008-09 and 18.7 percent in 2010-11. The number of staff did not seem to be the main reason for the increase in staff costs, as there was a net decrease of four posts between 2004-05 and 2008-09, through the abolition of four posts at D1 level, from seven to three, and one at D2 level, due to the 'delaying' policy of the Organization. Other changes related to the upgrading of six P2 to higher levels in the professional category and one additional post in the general service category. Increased unit cost of posts may nevertheless have played a role.

105. Despite the loss of posts mentioned above, in 2010-11 FI had 16 vacant posts in the professional category, six of which at P5 level, five at P4 level and five between P3 and P2, corresponding to 13 percent of the total Net Appropriation of FI at headquarters level and to an actual increase by 67 percent of the non-staff resources.

5.2 Results-based planning within FI

106. Overall, the Fisheries Department, following an organizational trend, progressively moved towards a more tangible and measurable definition of what it planned to do in the context of the Programmes of Work and Budget. In 2010, Aquaculture became an organizational result in its own right, which was consistent with the relevance given to the

sub-sector in the new name of the department and in Strategic Objective C. Also, the Code itself became more visible, through Organizational Result C.1 and in the wording of all other ORs that were better articulated and 'Code-compliant'. No explicit reasons for this emerged; with due appreciation of these improvements, FI staff recognized that the structure of OR was still very much linked to the intra-departmental structure.

107. The Evaluation also assessed in detail the formulation of outputs within each PWB. This showed that the number of Major Outputs and Biennial Outputs increased substantially over time, as shown in Box 7 below.

Box 7. Number of FI Major Outputs and Biennial Outputs

Biennium	Major Outputs (MO)	Biennial Outputs (BO)
<i>2004-05</i>	55	205
<i>2006-07</i>	85	337
<i>2008-09</i>	59	220
<i>2010-11</i>	78	405
Grand Total	277	1,167

Source: PIRES, elaborated by the Evaluation

108. The analysis showed a certain degree of repetition in the results-based formulation: on average, 13 percent of the major outputs and 15 percent of the biennial outputs were repeated within the same biennium. In the absence of benchmarks from other FAO departments, the Evaluation is not in a position to draw specific conclusions on this specific aspect. This is discussed further in Section 16.3.

109. One main finding was worth noting here: within the PWB, approximately 40 percent of the end-products were contributed by different FI units or FI outposted officers, linked to different major or biennial outputs and formulated with different indicators and means of verification. This seemed to indicate a good level of collaboration in practice among units, but it could also be an indicator of duplication of efforts. At the same time, it showed a planning mechanism by unit or individuals rather than by results. Interviews with FI officers confirmed a certain lack of clarity in what the tasks of individual officers were and how workplans were established and carried out.

110. Thus, planning within FI seems to take place with a certain degree of fragmentation and dispersion. This means that there is still room for improvement in terms of strategy and priority setting and more efficient use of existing and available resources, both financial and human.

5.3 Field programme

111. The final inventory of all fisheries and aquaculture-related projects during the evaluation period³¹ comprised 343 Technical Cooperation for Development (TCD) projects, including a few TCE-managed initiatives strongly oriented to development goals, with a total

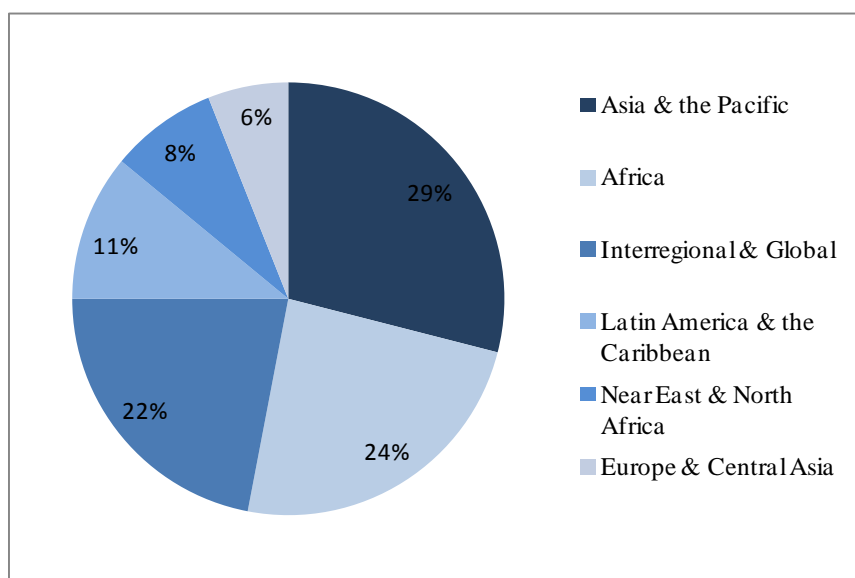
³¹ See Annex 6 of this report.

budget of almost USD 460 million. Furthermore, 121 projects were identified with a focus on inputs distribution, namely boats, gears and fingerlings, with a total budget of ca. USD 140 million. Boxes 8 and 9 illustrate graphically the data described below.

112. Within the list of TCD projects, 31 had budgets of above USD 4 million.³² Thirteen of these projects were at the national level, while the rest were distributed as follows: 10 regional, five interregional and three global. Also, 22 percent of TCD projects were either interregional or global, 29 percent were in Asia and the Pacific, 24 percent in Africa, 11 percent in Latin America and the Caribbean, 8 percent in the Near East and North Africa and 6 percent of them in Europe and Central Asia.

113. Within the input distribution group, 44 percent of projects were in Asia and the Pacific, mainly attributable to the Tsunami; 40 percent in Africa, and the three countries with the most projects in ascending order were DRC, Somalia and Sudan; 12 percent in Latin America and the Caribbean; 2 percent in the Near East and North Africa; 2 percent interregional and 1 percent in Europe and Central Asia.

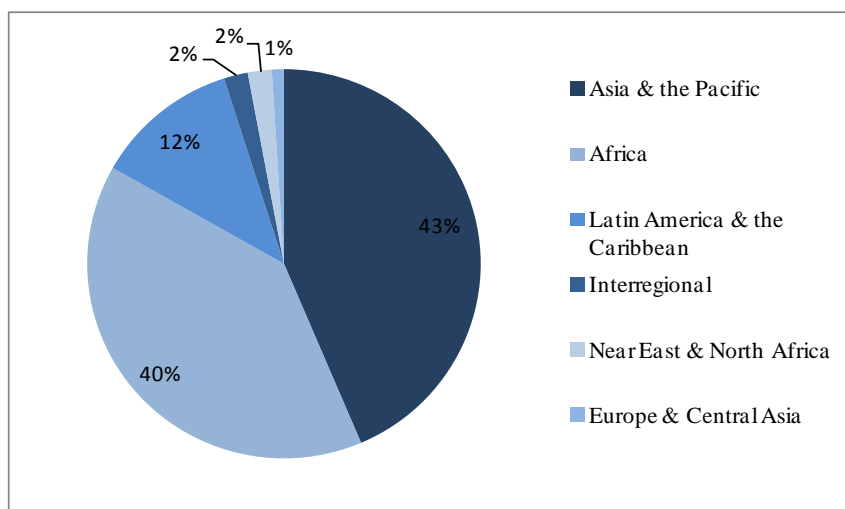
Box 8. Regional Distribution of TCD projects in the Fisheries and Aquaculture sector



Source: FPMIS elaborated by the Evaluation

³² This is the threshold for mandatory evaluation. Of the 31, 10 had been evaluated through separate project evaluations, and six were planned to be evaluated by April 2012.

Box 9. Regional Distribution of input distribution projects in the Fisheries and Aquaculture sector



Source: FPMIS elaborated by Evaluation

114. A closer look at global and interregional TCD projects showed that the majority of projects in both groups could be considered normative as they entailed studies, support to data collection and management, and support to fisheries commissions and institutions. Field projects within the interregional project group (approximately 25 percent) were primarily the large LME projects funded by the Global Environment Facility (GEF) and larger livelihoods programmes.

115. The largest single TCD donor in support of fisheries and aquaculture projects was Spain, very closely followed by the UK.³³ Other major donors in descending magnitude were FAO itself, Italy, the GEF, Japan and Norway. It should be noted that multilateral funding in all its forms and compositions, formed the largest donor contribution to the sector.

116. The contribution of international financial institutions (IFIs) to FI's portfolio has been particularly low in the fisheries and aquaculture sector, excluding the GEF. This seemed to apply also to the work carried out by the FAO Investment Centre (TCI), which collaborates through its staff and consultants with IFIs in the identification, design, supervision and final review of their investment projects in agriculture, forestry, fisheries and natural resources management. TCI's contribution to IFIs' work in fisheries and aquaculture in the period 2004-2011 comprised support to fisheries investment projects in Asia (6) and Africa (1) for a total portfolio of approximately USD 120 million, a relatively small figure when compared, for example, to TCI's support to IFIs on water (USD 5 billion). Additional activities included technical support to investment projects with fisheries components, fisheries projects and sector reviews.

117. The Evaluation made an attempt at classifying all TCD projects by Code theme and sub-theme; however, given the multi-focused nature of many projects, the analysis did not produce reliable results. A more straightforward categorization is the source of funding and number of projects, as shown in Box 10 below. Discrepancies between number and budget

³³ Only single donor initiatives have been considered for this section. In the cases of both Spain and the UK, totals do not include their respective contributions to multilateral funds.

sizes are due to the fact that FAO-sourced Technical Cooperation Projects (TCP) have a ceiling of USD 500,000, whereas voluntary contributions can have much larger budgets.

Box 10. All CCRF-related Technical Cooperation for Development Projects, by source of funding

All projects				
	Number of projects	Total Budget USD	% of number of projects	% of total budget
TCP by FAO	158	37,830,525	46.1	8.2
Voluntary Contributions	185	421,850,895	53.9	91.8
TOTAL	343	459,681,420	100.0	100.0

Source: FPMIS, elaborated by the Evaluation

118. This feature was particularly relevant in the case of Aquaculture, as most aquaculture projects were TCPs, as shown in Box 11 below.

Box 11. Sources of funding for aquaculture-focused projects

Aquaculture projects				
	Number of projects	Total Budget	% of number of projects	% of total budget
Aquaculture projects only				
Aquaculture TCPs	61	16,063,261	70.9%	23.9%
Aquaculture Voluntary Contributions	25	51,281,988	29.1%	76.1%
Aquaculture total	86	67,345,249	100.0%	100.0%
Aquaculture projects within total number and budget of all projects				
Aquaculture TCPs	61	16,063,261	38.6%	42.5%
Aquaculture Voluntary Contributions	25	51,281,988	13.5%	12.2%
Aquaculture total	86	67,345,249	25.1%	14.7%

Source: FPMIS, elaborated by the Evaluation

5.4 FI institutional set-up and staff

119. The FAO Fisheries and Aquaculture Department, like other departments, has gone through a series of structural changes over the period under evaluation. In 2004, the department comprised of three divisions, six services and one unit directly reporting to the Assistant Director-General's (ADG) office. Aquaculture was part of one division only. In 2010-11, there were two divisions, both with focus on fisheries and aquaculture, each including three units each. Two units, FishCode and Programme Coordination, reported directly to the ADG. These changes have allowed adjusting to the 'delaying process' at corporate level and possibly integrating the aquaculture perspective more consistently across the work of the department, as also reflected in the formulation of FI organizational results in the 2010-19 Strategic Framework (see Section 5.1).

120. The slow decrease in posts and the number of vacant posts in headquarters were discussed above. At the same time, the number of Fisheries and Aquaculture officers in decentralized offices increased from 12 in 2004-05 to 17 in 2010-11 - in Europe and Central Asia, Near East and North Africa and Latin America. Box 12 below illustrates their

distribution in decentralized offices (DOs) over the biennia. However, this increase did not compensate for the vacant posts in headquarters. Also, although the posts in each Sub-regional and some Regional Offices should be for a Fisheries and Aquaculture officer, in several cases officers are competent in only one of the themes that are important for the region. Thus, the officer in Southern Africa only covers marine fisheries, whereas the officer in the Regional Office for Latin America and the Caribbean is an aquaculture expert who cannot handle also the work on marine fisheries. This in addition to having the role, at least until mid-2012, of FAO Representative in Argentina. Furthermore, changes in posts in 2011 led to no senior fisheries expert in the Regional Office for Africa and in the Sub-regional Offices for Central Africa, and Central Asia.

Box 12. Fisheries and aquaculture staff in FAO decentralized offices

Region/sub-region	Office	2004-05	2006-07	2008-09	2010-11
Africa	RAF	3	1	2	2
Eastern and Southern Africa	SAFR	2			
Central Africa	SFC		2		
Eastern Africa	SFE		1	1	1
Southern Africa	SFS		1	1	1
West Africa	SFW		1	1	1
Total Africa		5	6	5	5
Asia and Pacific	RAP	2	2	2	2
Pacific	SAPA/SAP	1	1	1	1
Total Asia and Pacific		3	3	3	3
Eastern Europe	SEU			1	1
Central Asia	SEC		1	1	1
Total Eastern Europe and Central Asia		0	1	2	2
Latin America and the Caribbean	RLC (posted as FAO Rep in Argentina)	1	1	1	1
Caribbean	SLAC/SLC	2	2	1	1
Central America	SLM			1	1
Southern America	SLS			1	1
Total Latin America and the Caribbean		3	3	4	4
Near East and North Africa	RNE	1	1	1	1
North Africa	SNE				1
Oriental Near East	SNO				1
Total Near East and North Africa		1	1	1	3
Grand Total		12	14	15	17

Source: PIRES, 2004-05 to 2010-11, elaborated by the Evaluation

121. In terms of skill-mix, the distribution of recruited staff competences by sub-sector in 2004-05 and 2010-11 is illustrated in Box 13 below. The most remarkable change is the difference in the numbers of aquaculture and marine fisheries officers: in 2010/11 there was a more balanced ration between the two groups, although FI staff stated that many of them have been working on the two types of fisheries without a strong separation.

Box 13. FI staff by areas of work

Sector	2004-05	2010-11
<i>Marine fisheries</i>	22	19
<i>Aquaculture</i>	11	12
<i>Inland fisheries</i>	3	4
<i>Post Harvest and Trade</i>	7	6
<i>Other (liaison, information, systems developer, etc.)</i>	20	17
Total	63	58

Source: PIRES, 2004-05 to 2010-11, elaborated by the Evaluation

122. The skill-mix in favour of marine fisheries and the limited numbers of specialized staff in Post-harvest and Trade and Inland Fisheries appear to have had some consequences on the areas of the Code that were mostly developed by FI in recent years, as discussed above. Still, the link between staff and number of projects was not necessarily straightforward. For example, the slight increase in aquaculture staff may have contributed to some extent to the strong increase in the number of aquaculture focused projects between 2007-08, with 16 new projects approved, and 2010-11, with 27 new projects approved, most of which are TCPs. Nevertheless, it is also very likely that member countries' requests for projects in the area of aquaculture increased substantially during this period, hence the current situation.

123. Equally, the slight decrease in the number of Post-harvest and Trade staff may not have been the only cause behind the slight decrease in numbers of projects approved in this area, which went from 14 in 2008-09 to 12 in 2010-11. Thus, to some extent, drivers for interventions were beyond FI's staffing, for example an increased interest among MCs for developing their aquaculture sector. Also, the time-lag between project formulation, approval and actual start-up, affects the moment when changes in staff get reflected in the composition of the project portfolio.

124. In addition to the staff listed above, in a few FAO Representations the Evaluation came across national programme officers who had an academic or professional background in fisheries and aquaculture and who were fully involved in supporting national projects, also from a technical view point. In total, about 10 national programme or operation officers may have the appropriate technical background across all FAO Representations, and thus the number is still small. However, these professionals are precious human resources that could be more effectively used by FI in supporting national projects, through some form of technical up-grading or supervision. At the same time, there are also at least three FAO staff who moved from fisheries and aquaculture posts into the role of FAO Representative: in consideration of the workload that a FAO Representative has in most countries, it would be unfair to count on them as 'active' fisheries staff.

125. The Evaluation had no direct evidence that the gaps in staffing have affected specific work in support of the implementation of the Code, apart from possibly in Post-Harvest and Trade (see below, Chapter 8) and Inland Fisheries. However, the fact that the department workforce was 20 percent less than planned, definitely had a negative impact on FI staff workloads, as mentioned by virtually all staff interviewed, as well as on the overall capacity of the department to carry out its workplans and fulfil its mandate. Also, the department had

been in a transition phase for too long and staff were losing sight of goals, mandates and priorities.

126. The Evaluation was aware of the freeze on posts across FAO during the first half of 2012, as well as of the pending guidance from the Director-General on how decentralization should be further pursued in FAO. These critical decisions will clearly have a bearing on the FI internal process of re-structuring and strategic planning, which has been ongoing for some time now. At the same time, the indications emerging from FAO Regional Conferences in 2012 should help in more effectively steering the work of FI in headquarters and at regional and sub-regional levels. There is little doubt that FI should adjust with a certain urgency to the new directions, as soon as these will be approved by the Governing Bodies of the Organization, and clarify priorities, objectives and pathways, as well as roles and responsibilities, so as to enhance the relevance, efficiency and effectiveness of its work.

C. Detailed assessment of FAO's role in the implementation of the CCRF

6 Capture Fisheries

6.1 The International Plans of Action, IUU fishing and port state measures

6.1.1 Main results and achievements

127. When the Code of Conduct for Responsible Fisheries was developed in the early 1990s, world fish production and trade were in transition from a situation of dominance of products from capture fisheries from developed countries, to one of dominance of aquaculture products from developing countries. Consequently, Articles 7 (Fisheries Management) and 8 (Fishing Operations) were the longest, most detailed theme sections of the Code. The historical context also shaped the priority topics for early legal instruments and technical guidelines and these products were developed predominantly by marine capture fisheries experts from developed countries, based on developed country experience.

128. In such an environment, COFI and FAO ranked control of fishing vessels and their practices as the most important immediate priorities for which to develop normative instruments, with a bias towards controlling larger vessels in marine capture fisheries. Attention was almost totally on marine capture fisheries; the contributions from inland fisheries were under-recognized. In marine and inland fisheries, Small-scale fisheries were accorded little attention. The still-escalating competition for declining fisheries resources drove the work on Illegal, Unreported and Unregulated fishing (IUU), a term first used in 1997 by the Convention on the Conservation of Antarctic Marine Living Resources, including cross-border IUU that generates political tensions. A formal part of the Code, but predating it, the 1993 binding Compliance Agreement to Promote Compliance with International Conservation and Management Measures by Fishing Vessels on the High Seas also concerned measure to combat illegal fishing. It came into force in 2003. By the time of the Evaluation, a modest number of states, 38 member countries of FAO and the EU, had ratified/acceded to it.

129. In the second half of the 1990s, FI devoted efforts to leading the preparation and endorsement by COFI of the international plans of action (IPOAs). Data available on the FI web site in early 2011 showed that the 1999 International Plans of Action on Sharks, Seabirds and Managing Fishing Capacity and their technical guidelines, and the fourth IPOA on IUU finalized in 2001, had limited to very limited uptake by less-industrialized countries, though somewhat better uptake by others (Box 14). The IPOA for the Management of Fishing Capacity (IPOA Capacity) had the least uptake: only three countries have developed NPOAs and in one of these, Indonesia, it has not been given legal authority. By any measure, the lack of uptake of the IPOAs into National Plans of Action (NPOAs) and then into national law is a significant Code implementation failure, although ameliorated to an extent by action on related fronts.³⁴

Box 14. National Plans of Action for each IPOA, as of December 2011 on FI Web site

Year	IPOA Sharks (1999)	IPOA Seabirds (1999)	IPOA Fishing Capacity (1999)	IPOA IUU (2001)
1999				
2000				
2001	UK, USA	USA		
2002				European Union
2003	Mediterranean Sea	Australia		
2004	Australia, Mexico, Taiwan	Brazil, New Zealand, South Africa	USA	Chile, Japan, Lake Victoria, New Zealand
2005	Ecuador			Canada, Pacific Islands
2006	Malaysia	Uruguay		
2007	Canada, Seychelles	Canada	Namibia	
2008	Uruguay		Indonesia	Argentina
2009	Argentina, Japan	Japan		
2010		Argentina		
2011				
n/a				USA; Korea

Source: FI web site, elaborated by the Evaluation

130. The IPOAs also scored poorly on some dimensions of the Evaluation's assessment of normative products, as shown in Box 15. They had mediocre scores for potential uptake and had minimum scores for social inclusion and gender, both dimensions that would affect their political acceptability. All scored reasonably well on integrating environmental sustainability concepts. The technical quality of each of the IPOAs was assessed as adequate in what they covered but inadequate overall because of their narrow focus and lack of options for developing countries and small-scale fisheries. The lack of guidance on social inclusion is one reason for the poor uptake of these instruments.

³⁴ The Evaluation was told in late May 2012 that the FI web site did not provide accurate information on the development of NPOAs; however, no alternative source of information was available by the time of finalizing this report.

Box 15. Assessment of IPOAs

	Relevance for CCRF	Technical quality	Outcome (actual or potential uptake and use)	Potential Impact as Capacity Development tool	Integration of environmental sustainability concepts	Gender mainstreaming	Integration of social inclusion and poverty reduction issues
<i>Average IPOAs</i>	5.0	3.8	3.2	3.8	4.6	1.0	1.0

Source: Evaluation team

131. Despite or because of the poor uptake of the IPOA capacity, FAO has worked on developing broader normative measures to address control of the fishing fleet. The 2001 IPOA IUU was a first important step. In efforts to help MCs control fisheries vessels, FAO has worked on four interconnected fronts: developing the 2009 Port State Measures Agreement; planning and scoping the Global Record of Fishing Vessels; developing an International Guideline on High Seas fisheries; and helping MCs build their capacity for monitoring, control and surveillance (MCS) and vessel monitoring. These streams of work are discussed here below.

The Agreement on Port State Measures to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing

132. Leading to the PSM Agreement, FAO explored options for controlling fishing vessels under international law, such as the principle of the “genuine link” between a ship and its flag state as a registration principle.³⁵ During the 2000s, port state control was increasingly recognized as a key area for action in combating IUU, especially noting the failure of flag states to control unsustainable fishing operations. The binding PSM Agreement was “approved by the FAO Conference at its Thirty-sixth Session on 22 November 2009, through Resolution No 12/2009, under Article XIV, paragraph 1 of the FAO Constitution.” Under Article 29, it will come into force “thirty days after the date of deposit with the Director-General of the twenty-fifth instrument of ratification, acceptance, approval or accession in accordance with Article 26 or 27.” To date, 23 MCs or regional groups, including the EU, have signed; and 4 have ratified, accepted, approved or acceded, namely the EU, Mozambique, Norway and Sri Lanka.

Global Record of Fishing Vessels, Refrigerated Transport Vessels and Supply Vessels

133. This “is intended to be the catalyst around which global transparency and traceability in the fisheries sector can be improved. Its primary purpose is to provide a tool to prevent, deter and eliminate IUU fishing and related activities, making it more difficult and expensive for vessels and companies acting illegally to do business”.³⁶

134. The Global Record was recommended by fisheries ministers in the 2005 Rome Declaration on Illegal, Unreported and Unregulated Fishing. It is intended as a

³⁵ The “Genuine Link” Concept in Responsible Fisheries: legal aspects and recent developments,” Riella D’Andrea FAO Legal Consultant, Development Law Service, (normative product 795), 2006.

³⁶ FI Web site

“*comprehensive record of fishing vessels*” that contains authoritative information to facilitate verification of data in traceability schemes, assist MCS, enhance monitoring of flag State performance and deter corruption and other illegal practices. Following an Expert Consultation in 2008 and a Technical Consultation in 2010, COFI 2011 discussed progress in developing the concept and plan and concluded that FAO should pursue its development in the form of a voluntary initiative and in collaboration with partners such as IMO, RFMOs and IHS-Fairplay.

International Guidelines for the Management of Deep-sea Fisheries in the High Seas

135. This negotiated International Guideline is non-binding and linked to the ‘United Nations General Assembly (UNGA) Resolution 61/105, paragraphs 76-95, concerning responsible fisheries in the marine ecosystem.’ Although the Guidelines are not officially under the CCRF’s umbrella, they refer to the Code and were developed at the request of COFI. Therefore, in the absence of a clear definition of what is or not a Code instrument, the Evaluation decided to include the International Guidelines among the ‘instruments’ of the Code and assess these as other Technical Guidelines, negotiated or not.

136. The international community expressed concerns about the likely, known, or feared consequences of deep sea fishing in terms of its effects and impacts on target stocks, associated species and habitats. These concerns are reflected in the resolutions adopted by the United Nations General Assembly (UNGA) and led to the adoption of specific recommendations by the FAO Committee on Fisheries (COFI). Acting on the requests of the UNGA Resolution 61/105, the 27th session of the Committee on Fisheries (COFI) agreed in March 2007 that the Food and Agriculture Organization of the United Nations (FAO) should prepare draft technical guidelines including standards for the management of deep sea fisheries in the high seas. The FAO international guidelines are a voluntary international instrument and provide management tools and guidance to facilitate and encourage the efforts of States and RFMO/As towards sustainable use of marine living resources exploited by deep sea fisheries, including the prevention of significant adverse impacts on deep sea vulnerable marine ecosystems (VMEs) and the protection of marine biodiversity that these ecosystems contain. FAO has initiated a programme for deep sea fisheries in the high seas to implement the international guidelines.

Monitoring, Control and Surveillance (MCS) capacity development

137. The Regular Programme of FAO, in addition to a number of projects described in more detail in Section 1 of Annex 9, addresses supporting MCs in developing their MCS capacity, including helping to develop Vessel Monitoring Systems (VMS). As this is an area where many MCs admit a huge gap between their present capacity and needs, the demand in the long term cannot be met by FAO alone. A number of major projects relevant to controlling fishing, IUU and fishing capacity have been supported in the period under evaluation, and can also be found in Section 1 of Annex 9.

6.1.2 Main findings

138. More than a decade of solid work on how to control fishing vessels in a legal or environmental sense have not delivered results as urgently as needed, but, as more

instruments come into place, there are signs of greater progress ahead. This is largely due to related initiatives through the market-place, in particular, the EU 2008 Council Regulation (EC) No 1005/2008 of 29 September 2008 establishing a European Community system to prevent, deter and eliminate illegal, unreported and unregulated fishing. This and related regulations were based firmly on the Code's IPOA IUU and linked to the PSM Agreement responsibilities. As the EU is a major market, exporting countries are working hard to meet the certificate required of export product. The EU based its Regulations on FAO agreed instruments, giving a strong measure of protection against legal challenges, e.g. through the WTO. However, some exporting countries indicated to the Evaluation that they were also aiming to lessen the impact by broadening their export markets to include countries with less stringent requirements.

139. Respondents to the Evaluation questionnaire rated the quality of FAO's work on 'preventing, deterring and eliminating IUU' as the third highest; few respondents expressed dissatisfaction. However, even the IPOA Capacity rated moderately well. For MCs, 'Preventing, deterring and eliminating IUU' was one of the top three areas requested for future FAO assistance, the others being EAF and sustainable aquaculture. Support for the IPOA Capacity was much lower on the list of requests. For RFBs/RFMOs, support for "Preventing, deterring and eliminating IUU" was the second most requested topic.

140. In addition, the IPoA IUU was the second most used Code instrument by MCs, after the Code itself. Technical Guideline No. 4 on Fisheries Management also rated well in most relevant questions. The IPOAs on sharks, seabirds and managing fishing capacity were much lower on the lists. Among the Code instruments least used by MCs were the International Guidelines on the Management of Deep sea fisheries in the high seas and Technical Guideline No. 6 Suppl. 1 on the rehabilitation of inland waters.

141. RFB/RFMOs mostly used the Compliance Agreement, Port State Measures, and the International Guidelines on by-catch. The IPOA sharks, IPOA IUU, TG on the EAF were also used by many respondents within this group.

142. Some FAO projects have provided positive support to countries to resolve cross-border conflicts, as mentioned above. Countries seem to have the greatest problems controlling vessels coming from Distant Water Fishing Nations (DWFNs). Some suggested that FAO could serve as a neutral forum to discuss and agree regulatory measures with the different stakeholders and countries involved. Some measures could be to promote the creation of a monitoring system, together with inspection measures such as friendly boarding of vessels.

143. MCs greatly appreciated FAO's help in developing NPOAs and Regional POAs (RPOAs) for sharks, managing fishing capacity, IUU, declarations on IUU (e.g. St. Lucia Declaration on IUU Fishing, July 2010) and more broadly on new fisheries legislation. FAO has also helped MCs in Latin America, Africa and Asia with how to implement and monitor such plans of action. FAO's convening power means that international UN and NGO bodies and other interested government agencies with relevant expertise are also brought in to help the MCs.

144. In several interviews, the Evaluation was informed that FAO assistance did not lead to actual development of NPOAs or RPOAs, due to other intervening national/regional issues. Most felt that, even where countries did not intend to proceed to develop NPOAs, the

discussion generated through FAO had at least raised awareness of the issues, and may lead to other measures being taken. Most countries, and all RFBs/RFMOs, said they used FAO standards for their policies on capacity and IUU, even if they did not actually develop an NPOA.

145. In the country visits, the Evaluation found that the IPOA Capacity had “come up against a political wall”. This was verified by the low number of NPOAs. The national fisheries departments and regional bodies are grappling with how to manage fishing capacity, including defining and measuring it. With large numbers of short-lived small fishing boats, MCs have great difficulty in establishing and maintaining vessel registration and licensing systems. Governments are faced with political dilemmas at both ends of the scale: they have to contend with the political power of the big fishing interests and are reluctant to deal with overcapacity and associated livelihoods issues over small-scale fishers. Most countries, especially in Asia and Africa, have therefore shelved capacity reduction and are promoting co-management instead. Co-management can include various ways of controlling fishing, including establishing closed seasons over extended coastal areas.

146. However, concerns were expressed as to the utility and practice of co-management, which also can be undermined by practical, economic and political drivers. For example, managers who limit entry and enforce capacity or gear restrictions in declining fisheries are unlikely to be re-elected by their communities, relations between local managers and different government levels can be strained, and fishers are often not a stable social group. Also, few co-management systems effectively separate fishing from enforcement. FAO's assistance in helping develop co-management systems does not suit TCP support as these are too short-term relative to the time frame required to develop effective systems. Further, the short-term nature of project/FAO/donor inputs was raised repeatedly. Once the funding stops, the initiatives stop because the money has been used to sustain an aid-dependent system, rather than create a self-sustaining system.

147. Countries that have adopted the PSM Agreement have requested FAO's support in drafting national legislation and strengthening their management control systems for dealing with IUU. In many MCs, the NPOAs and the PSM Agreement will be implemented without the support of fisheries management plans, vessel monitoring systems and similar support. Some countries reported that previous efforts by FAO to help them develop and implement management plans had failed. Successful implementation of the PSM Agreement therefore still faces many challenges. From a different perspective, RFBs see the PSM Agreement as the key/precondition/entry point for traceability, IUU and capacity reduction. The Agreement forces MCs to take key measures, and forces agreement between MCs.

148. FAO has helped countries develop national and regional projects and loans that incorporate elements to control IUU and other fishing controls e.g. World Bank projects in West Africa. One of the most critical areas where FAO support is sought and often obtained, subject to resources, is improving the overall fisheries governance system, including MCS and vessel registration systems. Some countries felt that the technical and cost requirements for vessel monitoring systems (VMS) were unrealistic and that FAO should reconsider what is appropriate in different circumstances.

149. Some countries considered that the implementation needs of the existing normative instruments for controlling fishing vessels and IUU were so great that the development of

TGs should be oriented by these priorities and no new consultations should be planned until some topics have the time to be implemented (e.g. Port State Measures and EAF).

150. More frequently now, certificates of IUU are already required for exported fish and this is driving national fishing vessel controls. However, certification for the small-scale fleet remains a major problem and limits the markets for these fleets. Countries in Africa, Asia and South America reported that the EU Council Regulations, which have required catch certificates since 1 January 2010, were strongly driving their work on IUU, product quality and traceability. FAO has assisted some countries in their efforts to meet the regulations, which were based on the IPOA IUU. Such support includes assistance on how to implement vessel monitoring systems. FAO, through headquarters and its Regional Offices, has also worked with RFBs/RFMOs on workshops to raise awareness on IPOA-IUU and the PSM Agreement. National fisheries officials, however, indicated that they would appreciate pilot exercises rather than just awareness raising events.

6.2 *Small-scale fisheries*

151. In capture fisheries, the Code of Conduct for Responsible Fisheries is perceived as focusing on matters of concern to large-scale and industrial fisheries rather than those of concern to small-scale fisheries (SSF). Although this perception has some basis, and is also supported by a preponderance of the Code's technical guidance and instruments focusing on topics and interventions of more relevance to larger-scale fisheries, the Code does make several references to the need to take into account the interests and needs of small-scale and artisanal fishers in Articles 5, 6, 7, 8, and 12.³⁷

152. Until the last decade, however, FAO has not given prominence to the special position and needs of small-scale fisheries and fishers. The Evaluation's view, supported by evidence gathered during the process, was that important Code products, such as the IPOAs and many technical guidelines, did not address options suitable for use in small-scale fisheries. At the same time, given the complexity of the SSF issues, the Evaluation appreciated that years were required to build understanding and explore productive avenues for suitable normative instruments and technical guidance. FAO only recently started to converge on a comprehensive body of guidance, although the processes still have a way to go to join in with the wider body of development knowledge and action, as discussed below.

6.2.1 Main results and achievements

153. During the period under evaluation, FAO began to focus more attention on small-scale fisheries and small-scale aquaculture (SSA) than it had done in the past. After years of activism by NGOs and civil society organizations representing the interests of small-scale fishers and fishing communities, this focus began in earnest after the 26th Session of COFI in 2001 recommended that "*more resources be set aside for a number of priority areas aimed at improving global fisheries management, i.e. management of small-scale fisheries,...*". In 1999, the 3rd meeting of the Advisory Committee on Fisheries Research (ACFR) had also

³⁷ References are in Article 5 (Special Requirements of Developing Countries), Article 6 (General Principles, paragraph 6.18), Article 7 (Fisheries Management, paragraphs 7.2.2, 7.6.9), Article 8 (Fishing Operations, 8.2.5, 8.11.3) and Article 12 (Fisheries Research, paragraph 12.12).

highlighted the need for greater investigation of SSF, including with respect to rights-based systems and use of traditional knowledge in SSF.

154. Between 2001 and 2003, COFI and ACFR provided guidance and support to FAO on SSF, including: convening a working party on this theme; supporting the Secretariat's initiative to treat the small-scale fisheries sector as a stand-alone COFI agenda item; welcoming the suggestion to elaborate, in the context of the CCRF, technical guidelines on increasing the contribution of small-scale fisheries to food security and poverty reduction; and recognizing that there was linkage between EAF and small-scale fisheries. In November 2003, the Director-General of FAO convened the Working Party on Small-scale Fisheries of ACFR to undertake an evaluation of the role and importance of small-scale fisheries, elaborate a research agenda for the sector, review strategies and mechanisms to bridge the gap between research and action and provide views on key elements that should be included in the draft guidelines on small-scale fisheries.³⁸

155. The following initiatives and events took place since 2004:

- In 2004, the Working Party on SSF and ACFR background papers provided inputs to a SSF research brief produced by APFIC and FIPL;³⁹
- In 2005, FAO released Technical Guidelines for Responsible Fisheries 10: "Increasing the Contribution of Small-scale Fisheries to Poverty Alleviation and Food Security";
- In 2008 in Bangkok, FAO held a global conference on 'Securing Sustainable Small-Scale Fisheries: Bringing together responsible fisheries and social development'. In the lead up, a civil society workshop was held and one of the statements was that '*The Conference re-enforced... that small-scale fisheries have yet to .. realize their potential to ... contribute to sustainable development and the ... UN Millennium Development Goals (MDGs)*';
- In 2009, COFI's 28th Session recommended that FAO '*..embark.. on a consultative process to examine the need and various options for an international instrument on small-scale fisheries and a global assistance programme for the sector*'; and
- In 2011, FAO released the Discussion Document 'Towards Voluntary Guidelines on Securing Sustainable Small-Scale Fisheries' on the latest international instrument on SSF in making.⁴⁰

156. Including the above, from 2004-2011, FAO conducted more than 20 activities related to SSF and released associated products, all listed in Annex 7. Further, the Organization implemented several projects focused on SSF and SSA. Five of these were assessed more in detail by the Evaluation, and are discussed in detail in Section 2 of Annex 9.

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³⁸ FAO. Report of the Expert Consultation on the Role of Small-scale Fisheries in Poverty Alleviation and Food Security. Rome, 5–8 July 2004. FAO Fisheries Report. No. 749. Rome, FAO. 2004. 20p.

³⁹ FAO. A research agenda for small-scale fisheries. FAO Regional Office for Asia and the Pacific, Bangkok, Thailand. FAO RAP and FIPL/C 10009 42 pp, RAP 2004/21, 2004

⁴⁰ FAO. Discussion Document: Towards Voluntary Guidelines on Securing Sustainable Small-Scale Fisheries. FAO, Rome July 2011. 49 pp.

⁴¹ The five projects assessed were: TCP/GHA/2904; TCP/THA/3202; GCP/RAB/003-005/SPA; TCP/NIC/2901; and BGD/97/017/01/99. The Sustainable Fisheries Livelihoods Programme (SFLP-GCP/INT/735/UK) was evaluated twice during its lifetime; the Regional Fisheries Livelihoods Programme (RFLP-GCP/RAS/237/SPA) had its Mid-Term Evaluation completed at the same time as the present report

157. Overall, these projects showed that FAO is gaining experience and exposure to SSF and SSA issues and revealed some of FAO's operational strengths and weaknesses. Among others, the Evaluation noted that the experience being gained from SSF projects on the ground, especially the Sustainable Fisheries Livelihood Programme (SFLP), the Regional Fisheries Livelihood Programme (RFLP), the Bangladesh Empowerment of Coastal Communities project and others, did not appear to be systematically captured by FAO for future use in its normative instruments, or across projects. Conversely, these projects were not well informed by the Code in their inception; nevertheless, at least SFLP and the Bangladesh project made excellent use of the Code in their implementation and RFLP was contributing to the mainstreaming of gender and other Code-relevant themes.

158. The Evaluation also assessed seven normative products of relevance to SSF including a TG, policy briefs and technical papers. On average, the scores were good in terms of relevance to the Code and technical quality, but medium for likely uptake, utility as capacity development tool, and environmental impact. As was to be expected given the topic, gender mainstreaming and social inclusion and attention to poverty scored somewhat higher than for most other normative products, although still short from being adequate. Box 16 below reports the average values.

Box 16. Assessment of Small-scale fisheries and Small-scale aquaculture normative products

Category normative product	Relevance for CCRF	Technical quality	Outcome (actual or potential uptake and use)	Potential Impact as Capacity Development tool	Integration of environmental sustainability concepts	Gender mainstreaming	Integration of social inclusion and poverty reduction issues
<i>SSF focused products (7)</i>	5.0	5.2	4.6	4.0	3.6	3.8	3.8

Source: Evaluation team

159. Among the seven products, the FAO Fisheries and Aquaculture Report on the 'Africa regional consultative workshop, Securing sustainable SSF-bringing together responsible fisheries and social development, Mozambique, 2010',⁴² received the highest scores: it is a very significant document for SSF that provides valuable leads to the discourse on the new SSF instrument and recommends involving stakeholders as well as states, as does the CCRF. The Evaluation concluded, however, that an abridged version that highlighted case studies and avoided all the workshop details would be more useful.

160. The next most highly rated was the Fisheries Circular 'Mainstreaming fisheries into national development and poverty reduction strategies: Current situation and opportunities'⁴³

was under drafting. The three evaluations have been taken into due account in the analysis of FAO's projects in SSF.

⁴² Africa regional consultative workshop, Securing sustainable SSF-bringing together responsible fisheries and social development, Mozambique, 2010. FAO Fisheries and Aquaculture Report 963. FAO, Rome, 2011

⁴³ Mainstreaming fisheries into national development and poverty reduction strategies: Current situation and opportunities. Fisheries Circular 997. FAO, Rome, 2005

which underscores the importance of SSF in national economies and the need to mainstream fisheries into national Poverty Reduction Strategic Plans and national development programmes, followed by TG 10 'Increasing the contribution of SSF to poverty alleviation and food security'.⁴⁴ Also the Fisheries Technical Paper 'Credit and microfinance needs in inland capture fisheries and conservation in Asia' contained valuable information.⁴⁵

161. The SFLP policy briefs dealt with important topics, but were inconsistent when referring to the Code. The SFLP Policy Brief 'Making global governance work for SSF'⁴⁶ paid close attention to the Code but still did not touch at all on issues such as IUU. The policy brief on HIV did not mention the Code.

6.2.2 Main findings

162. Overall, FAO's work on SSF is recognized. The Evaluation questionnaire analysis revealed that SSF was ranked third by the MC respondents in their knowledge of FAO's areas of work, after EAF and IUU.

163. Indeed, two of the normative products mentioned above, the FAO Fisheries Circular 997 and the Technical Guideline no. 10 made significant changes to the direction of the discourse on fisheries development in developing countries. Another milestone was when SOFIA 2008 carried out a special study on increasing the contribution of SSF in poverty reduction and food security. Now fisheries, especially SSF, are widely recognized as contributing substantially to the national economies and hence the sector is poised to become more active in articulating its contributions towards achieving the Millennium Development Goals, especially MDG1 'End poverty and hunger' and MDG7 'Environment sustainability'.

164. Further, the two large projects focused on small-scale fisheries, namely the SFLP and the RFLP for South and Southeast Asia, were linked with FAO's growing eminence in small-scale fisheries work and were two of the few FAO interventions which made explicit reference to the Code, food security and livelihoods as guidance for good practice in fish resource use, and as a framework for using grassroots procedures to influence policy issues and institutional frameworks. The policy briefs from the SFLP captured the sentiment of the role and importance of SSF, although impacts at policy, institution and community levels in participating countries appeared to be very scattered and thin.⁴⁷

165. The 2011 Discussion Document proposed to link the SSF normative instrument being developed to human rights instruments and to the Code: '*While there is an important number of instruments that are relevant to the (proposed SSF) Guidelines, those dealing with human rights (the Universal Declaration of Human Rights) and the Code of Conduct for Responsible Fisheries (CCRF) would appear to be of particular importance*' and, later '*Within this context, the Guidelines are intended to promote the contribution of small-scale fisheries to the fulfilment of the MDGs and support the implementation of the CCRF and*

⁴⁴ FAO Technical Guidelines for Responsible Fisheries 10: Increasing the contribution of SSF to poverty alleviation and food security. FAO, Rome, 2005

⁴⁵ Credit and microfinance needs in inland capture fisheries and conservation in Asia. Fisheries Technical Paper 460. FAO, Rome, 2007

⁴⁶ Making global governance work for SSF. SFLP Policy Brief. FAO, Rome, 2008

⁴⁷ The RFLP was still ongoing at the time of the Evaluation; the mid-term evaluation of the project made specific recommendations for enhancing its potential impact at community and policy level

other international instruments for sustainable development and human rights.' Thus, as appropriate to the topic, the proposed new SSF normative instrument will not be part of the Code itself but will be very explicitly allied with it and complement it.

166. Another recent output that will affect the development of the SSF instrument is the new 'Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security', whose preparation was motivated by the Committee on World Food Security (CFS) and in which FAO participated actively with a broad range of other key stakeholders. Fisheries governance is perceived as weak, especially in SSF, and security of tenure⁴⁸ is identified as an important component in improving fisheries governance. The guidelines are a significant step in the context of the new SSF instrument being developed, as they are consistent with, and draw on, international and regional instruments. In 2011, FAO also conducted a workshop on 'Governance of Tenure for responsible capture fisheries'.⁴⁹

167. In parallel to this process, FAO is taking measured, consultative steps to meet the need expressed by MCs and advocacy groups for the new international instrument on SSF. Through it, FAO is emphasizing broad-based, stakeholder consultative processes by which the agenda for the new instrument is being developed. Following the 27th session of COFI, FAO organized one global conference and three regional consultations. The enthusiasm generated among stakeholders suggests that the process of CCRF-oriented dialogue itself needs to be institutionalized "from the beach/lake/river" to the level of the normative instrument.

168. One of the major challenges in developing the new normative instrument will be to reconcile the needs of broader approaches such as the Human Rights-based Approach that should be mainstreamed throughout the UN system, other UN goals of poverty reduction, gender equality and environmental sustainability, the Right to Food guidelines and the new Voluntary Guidelines for the responsible governance of land, forests and fisheries. One danger will be resorting to high-level generalizations that leave the real challenge of translating the normative reconciliation into practice. To some extent, this is the risk every global normative instrument runs, including the Code itself. As has been expressed by many stakeholders in the formative workshops for the new instrument, the immediate needs at the beach/lake/river level are frameworks for action and enabling environments.

169. The shift in focus to human rights-based approaches from a narrower focus of fisheries property rights is appealing. It should help create synergies between community development concerns and responsible fisheries issues. However, this raises major challenges for FI in how to embed its SSF support activities into the realm of wider development and fisheries ideas. Development interventions are the "sociological laboratories" of MCs and

⁴⁸ FAO's working definition is that tenure is an institution, i.e. rules developed by societies to regulate behaviour. The rules of tenure define how rights to land and other natural resources are assigned within societies. They define how access is granted to rights to use, control and transfer these resources, as well as associated responsibilities and restraints. In simple terms, tenure systems determine who can use what resources, for how long, and under what conditions. Tenure in fisheries alludes to the manner in which relationships between people in the course of the utilization of the fishery resources is defined and negotiated. It is about the rights and the responsibilities that resource users take upon themselves in defining what resource, and where, when, how and by whom that resource will be appropriated for the use of society. Secure tenure hence is an important component of the larger pursuit for aquarian reforms.

⁴⁹ FAO Fisheries and Aquaculture Report No. 983.

donors. Therefore, if the normative products are already empirically grounded in development practice, then FAO, as a UN body, is in a unique position to influence these “experiments,” despite the short-term political risks of testing new approaches.

170. Further support for a strong practice-orientated tool comes from the interviews conducted by the Evaluation during visits to MCs. These included several groups representing small-scale fishers, aquaculture farmers and post-harvest processors and showed how these groups lacked regular opportunities to express their voice and have their concerns heard. In most places, interactions such as those with the Evaluation were considered a rare event, and participants underscored the need for more access to national forums and decision makers. There were a few notable exceptions among the initiatives assessed, directly and indirectly. One was the Bangladesh project ‘Empowerment of Coastal fishing communities for livelihood security’ which developed a locally contextualized version of the Code⁵⁰ and created groups of vocal representatives who, even six years after the close of the project, have no hesitation in visiting the local offices of the Department of Fisheries to make their views known. A similar case emerged in Ghana, where a women-led and focused NGO, whose leader had participated in a sequence of FAO initiatives on food security and on SSF, stated she had publicly used the Code to call the national Department of Fisheries to be accountable on fisheries management.

171. Further, FAO made efforts to break the pattern of exclusion of the representative bodies of small-scale fishers, farmers and fish processors from comprehensive consultative systems with organizations representing larger-scale operators that have better access to government officials through the FAO EAF projects in the Estero Real area in Nicaragua.⁵¹ Here, FAO supported SSF and SSA groups, within a framework involving also large-scale operators such as large shrimp farms and other users of the coastal resources.

172. Nevertheless, these good examples do not appear enough, as confirmed by the Impact Evaluation in Sri Lanka and the Evaluation’s findings elsewhere. The great majority of FAO projects missed completely the opportunity to use the Code, both physically by distributing it in hard copies and conceptually as an advocacy tool. FAO through its projects could and should have developed processes of dialogue around the Code with the national departments of fisheries and the fishers, processors and aquaculture associations, and refer explicitly to it and its instruments as a body of internationally agreed measures that should be used for management of SSF/SSA and for accountability purposes. This simply did not happen and a common request from representatives of small-scale fisheries workers to the Evaluation was a plea to make their governments accountable to “implement the Code”.

173. The Evaluation was also asked to assess to which extent the concept of small-scale fisheries should be inclusive of small-scale aquaculture considering the increasing importance of the latter for local and national food-security and poverty reduction. This was a complex question that would require going beyond the evaluative assessment of FAO’s work. Sustainable management in capture and culture fisheries is mediated by the nature of the respective property rights regimes, the former being unique in its common property context, compared to aquaculture which has most of the benefits of a private property regime. This

⁵⁰ Training manual: Fishing community based FAO Code of Conduct for Responsible Fisheries. Empowerment of Coastal Fishing Communities for Livelihood Security GOB/UNDP/FAO, BGD/97/017 Field Doc:03/2005. FAO, Dhaka, 2005

⁵¹ FMM/002/MUL, FMM/003/MUL, GCP/GLO/322/NOR, and GCP/INT/253/JPN

distinction has major socio-ecological and political economy implications because “responsibility” is always vested with ownership issues.

174. Small-scale aquaculture, especially in less industrialized countries, is also confronted with new market-driven challenges that impinge food security and poverty issues, including increasing land and water access and ownership challenges. But these challenges are more gravely felt and found to be less amenable to generic technical and policy solutions in the case of SSF. Thus, the short answer proposed by the Evaluation is that SSA should be included only to a small extent in the SSF concept, and mainly with respect to situations where rights regimes are common, including property rights and human rights to development, and where the small-scale operators are both fishers and aquaculture farmers.

175. At the same time, sustainable small-scale fisheries/aquaculture for local and national food security and poverty reduction need to be better tackled through community management and partnership approaches involving all grassroots stakeholders, who should have the opportunity to contribute their inputs also in terms of indigenous knowledge. In this approach, FAO should certainly establish partnerships with specialized institutions well aware of the holistic paradigm. In all cases, FI work in support of small-scale aquaculture should be informed by thorough socio-economic feasibility studies that involve producers, from problem identification throughout the implementation process

6.3 Safety at Sea

176. Safety at Sea (SaS) is referred to in Article 8 of the Code through several sub-articles. These paragraphs cover the need for all states to ensure that health and safety standards are adopted and safety requirements put in place for fishing vessels and fishers in accordance with international obligations and agreed guidelines, and to adopt safety requirements for small vessels not covered by such agreements or guidelines. Reference is made to the need to comply with IMO regulations for preventing collisions at sea and IMO requirements relating to the organization of marine traffic, protection of the marine environment and the prevention of damage to or loss of fishing gear.

177. As FAO makes clear on the SaS web page⁵² Safety at Sea is an important livelihood and economic issue globally with particular importance for the poor: *“Fishing at sea is probably the most dangerous occupation in the world. The International Labour Organization (ILO) estimates that 24,000 fatalities occur worldwide per year in capture fisheries. The consequences of loss of life fall heavily on the dependants. In many developing countries, these consequences can be devastating. Widows often have a low social standing, and where there is no welfare state to support families and no alternative source of income, widows and their children may face destitution.”*

178. Figures from developed countries indicate 80 deaths per 100,000 fishermen per annum. Information from developing countries is scarce and the fatality rate may be considerably higher than in developed countries. Experts estimate that there are probably 280 lost lives per 100,000 in West Africa. Non-fatal injuries may also have devastating consequences with loss of digits or limbs in hauling machinery not uncommon.

⁵² <http://www.fao.org/fishery/topic/12272/en>

179. Key factors resulting in accidents include:

- economic incentives to maximize fishing per unit effort/time and cut costs;
- fishing in dangerous waters and/or weather;
- fatigue; and
- unsafe boats, gear and/or operating procedures.

180. Key factors that may improve safety include:

- design, construction and equipment of fishing vessels;
- health and safety procedures and codes of practice;
- training of fishers; and
- safety intended as an integral part of fisheries management.

181. FAO has also identified fisheries management as a significant factor influencing safety at sea.⁵³ Among others, overcapacity is likely to lead to more competition and cost-cutting; restricted seasons may lead to greater intensity of fishing (race to fish); overfishing may drive fishers out to more distant waters and/or to fish in inclement weather. FAO has therefore suggested that improved safety should become an explicit objective of fisheries management.

6.3.1 Main results and achievements

182. On SaS, FAO provides routine advice, disseminates information, organizes and facilitates workshops and expert/technical consultations, prepares guidance/publications, and engages in global and field level projects.

183. A key feature of FAO's work in this area has been close cooperation with the International Labour Organization (ILO) and International Maritime Organization (IMO) in the updating and production of standard international guidance on Safety at Sea, which was revised in the period 2001-2004. These guidelines are supporting instruments of the Code and include:

- FAO/ILO/IMO Code of Safety of Fishermen and Fishing Vessels, Parts A and B;
- FAO/ILO/IMO Voluntary Guidelines for the Design, Construction and Equipment of Small Fishing Vessels; and
- FAO/ILO/IMO Document for Guidance on Training and Certification of Fishing Vessel Personnel.

184. "Small fishing vessels" according to IMO criteria are those less than 24m in length. In practice, this category includes boats which are relatively large by global standards. In 2004, once work on the revision of the Code of Safety and voluntary guidelines had been completed, the IMO agreed with FAO's proposal that new safety recommendations should be developed for fishing vessels that were not already covered by existing voluntary instruments, namely decked fishing vessels of less than 12 metres in length and undecked fishing vessels of any length, which comprise the bulk of the global fleet. Thus, FAO collaborated with IMO and ILO in the preparation of these guidelines, which have already been presented to COFI and are awaiting publication by IMO as a new international voluntary instrument. As part of this process FAO field tested the draft safety

⁵³ Petursdottir, G.; Hannibalsson, O.; Turner, J.M.M.2001. Safety at sea as an integral part of fisheries management. FAO Fisheries Circular. No. 966. Rome, FAO. 2001. 39p

recommendations through its projects in various countries with the objective of confirming their relevance to diverse fishing vessel types and operations. Based on this experience, new guidelines were developed to assist competent authorities in the implementation of Part B of the Fishing Vessels Safety Code, the voluntary guidelines and the safety recommendations. These guidelines, referred to as the “Implementation Guidelines”, were approved by the IMO in 2011 and submitted to the ILO and FAO for acceptance. The document will be considered by the 30th Session of COFI in July 2012.

185. FAO has been active in undertaking or commissioning background studies - for example on SaS in the Southwest Indian Ocean, the Pacific Island countries, South and Southeast Asia, and on Safety at Sea as an integral part of fisheries management. FAO has supported regional workshops and associated publications for the Southwest Indian Ocean, for Latin America and the Caribbean and for the Pacific, among others, and has facilitated expert consultations (e.g. on Sea Safety in Small Fishing Vessels, Suva, Fiji). A Fisheries and Aquaculture Technical paper (No 517) on safety practices related to small fishing vessel stability has been published. A variety of products and publications has been developed in support of the projects discussed below.

186. FAO has implemented a wide range of Safety at Sea initiatives through global projects, several TCPs, and as part of post-cyclone and post-tsunami rehabilitation. The most significant ones were: Support to Safety at Sea for small-scale fisheries in developing countries - Global with core activities in West Africa and South Asia (GCP /GLO/158/SWE and GCP /GLO/200/MUL); Regional Fisheries Livelihood Programme for South and Southeast Asia (RFLP) (GCP/RAS/237/SPA); and Emergency assistance for the rehabilitation of fisherfolk communities in the tsunami-affected districts of Trincomalee, Matara, Galle and Hambantota, Sri Lanka (OSRO/SRL/505/ITA). These are discussed in more detail in Section 3 of Annex 9.

187. FAO also had influence on Safety at Sea through engagement in other projects not specifically focused on SaS. In Morocco, for example, the entry point was the need to upgrade safety of seafood products as required under EU standards. Further, through the project ‘Assistance technique pour l’adaptation de la flotte côtière à la pêche durable - TCP/MOR/3302’, FAO was able to expand assistance to developing the safety regulations for all types of vessels.

188. Further, FAO made attempts at integrating SaS concerns within emergency response and rehabilitation initiatives. Activities have included for example:

- upgrading of boatyards, boatbuilding skills and construction standards;
- repairing of boats and engines;
- design and building of boats;
- capacity building of government departments and provision of logistical and technical equipment;
- development of regulations covering the construction of vessels up to 24 metres;
- training materials in local languages on safety at sea developed in cooperation with local maritime training institutions; and
- training of fishers on the principles of vessel stability and safety at sea, supported with video and printed training materials.

189. A positive example was in Myanmar, where the project ‘Restoration of production capacity and food security for the most vulnerable farmers and fishers affected by Cyclone

Nargis' (OSRO/MYA/902/SWE) prepared and distributed a boat design manual, of which no copies were left, and in Bangladesh a step-by-step guidance on building boats locally produced under GCP /GLO/200/MUL was highly appreciated.

190. Some of the regional post-tsunami work has been done in collaboration with IMO. A key issue for FAO and IMO has been the recognition that boats replaced by NGOs after emergencies have tended to be of very low quality. FAO/IMO have sought to rectify this through engagement in the various activities listed above. IMO has also been keen to go further and engage in construction of boats while FI wanted to concentrate on an improved structural design of beach landing boats and the practical training for small boatyards in order to improve the quality of future boats. As a result, two boats of the FAO IND-30 design were constructed during a training course and a training manual on the construction of fibreglass reinforced plastic beach landing boats, for use in the whole Bay of Bengal region, was prepared. When responding to emergencies, the Emergency Operations and Rehabilitation Division of FAO has, with technical support from FI, provided assistance in a number of countries in replacing and repairing boats and engines. Results have been very mixed overall, as discussed later in the report (see Section 16.2).

6.3.2 *Main findings*

191. Safety at Sea is a global issue with significant impact on the livelihoods of poor people, but health and safety guidelines, protocols and regulations are poorly developed in most developing countries, especially with respect to the artisanal fleet. Safety at Sea therefore still represents a significant challenge and responsibility for FAO.

192. FAO has engaged effectively with IMO and ILO to produce the international standard guidance on Safety at Sea for fishers, which is of high quality. Most publications in this area of work have generally been of a high quality and some were readily available through the FI web site. A more comprehensive, though poorly organized list of relevant SaS publications can be found on the Safety for Fishermen web site initially supported by Sweden/IMO under GCP/GLO/200/MUL.⁵⁴ There was a link to the Safety for Fishermen web site from the FI web site,⁵⁵ however, not from the relevant FAO topic page which would have been preferable. Furthermore, neither of these web pages allowed rapid access to some of the key FAO/ILO/IMO guidance on safety at sea and vessel design, construction and equipment.

193. Unfortunately, dissemination of joint FAO/ILO/IMO safety guidance has, in the past, been severely constrained by IMO publication policy, which does not make publications available online to oblige purchase. This appeared as a major weakness in dissemination, seriously compromising the utility and impact of these guidelines as some form of link, reference or source would be essential if this guidance were to be used by the bulk of the global fishing fleet. In order to address this major weakness, IMO and ILO have agreed to the proposal by FAO to have a joint copyright on the new Safety Recommendations for decked fishing vessels of less than 12 metres in length and un-decked fishing vessels. Consequently, this publication will be made available, free of charge, on the websites of the three

⁵⁴ <http://www.safety-for-fishermen.org/en/>. The web site was still very much under construction at the time of writing this report

⁵⁵ <http://www.fao.org/fishery/topic/16038/en>

organizations as well as on the Safety for Fishermen website. There have also been long delays in the publication of new guidance for small fishing boats (more than six years).

194. The vast numbers of small-scale or artisanal fishermen in the world mean that FAO cannot have significant global influence through dissemination and awareness raising in individual projects and initiatives. Rather, it must ensure that:

- The best possible international guidance be widely available, and be updated on a regular cycle;
- This guidance be recognized and used by relevant departments, fisheries agencies and maritime teaching and training institutions in MCs as the international standard;
- Derivative materials be produced by FAO and educators in different languages targeted at particular groups; and
- Relevant global NGOs representing or working with fishers and fishing communities be aware of and respect this guidance, including after emergencies.

195. This task appears particularly challenging, considering the rather poor score received by the topic in the Evaluation questionnaire survey. Safety at Sea scored third lowest in terms of MCs' knowledge of FAO's work, and lowest in terms of MCs' appreciation of the quality of the Organization's work on SaS work and priority for future FAO assistance. The use of the Code of safety for fishermen and fishing vessels was scored as fourth last. Admittedly, the guidelines were mostly aimed at maritime or transport administrations, and respondents to the Evaluation questionnaire were fisheries administrations. The latter still play an important role in awareness raising and promoting SaS and should be reached in a more effective manner. Thus, the poor rating appears to reflect some of the difficulties in dissemination discussed above, as well as the rather limited "safety culture" in many fishing communities.

196. It is also crucial that any initiative developed during project implementation is followed through and built on. The limited commitment and follow-through with a key maritime training institution in Mauritania under a regional safety project is one example. Given that each member country rarely has more than one or two such institutions it should be possible for FAO to engage on a more sustained and consistent basis with all of them directly or by persuading fisheries training institutes to cooperate at national/regional levels.

6.4 Conclusions

197. FAO's Regular Programme and project resources had given early priority in the Code to instruments more useful for the areas of historical fisheries importance, that is, controlling marine capture fishing using developed country experience, such as controls on environment impacts on sharks and seabirds, and control of fishing capacity. The Code instruments in these focus areas have had limited uptake and impact. More recently, a focus on IUU and the new Port State Measures Agreement are experiencing faster and more comprehensive uptake, including by developing countries that are driven by the need to retain market access, including to the European Union.

198. Through the Code, FAO has made huge contributions to the global problem of tackling over-fishing by the excessive world fishing fleet, especially in how it has addressed the issues of IUU, the PSM Agreement and its project assistance to MCs, RBS/RFMOs. On the theme of controlling fishing, and bound as it is more to the needs of larger marine fishing vessels, the FAO projects are highly relevant to the instruments of the Code.

199. FAO has grappled with the core technical issues confronting fisheries management such as IUU, VMS and MCS, but it has not sufficiently examined regulatory and control options appropriate for small-scale fisheries, including approaches suited to inland fisheries. Arguably, FAO has been too focused on the technical side of marine capture fisheries involving larger industrial vessels, as also discussed elsewhere in this report.

200. In the medium term, the Code-related measures appear to be bearing fruit, due to FAO's direct work with the MCs and RFBs/RFMOs and the adoption of the instruments for use in market measures such as the EU Council Regulation. Based on the IPOA IUU, such market measures show signs of becoming effective in driving fish exporting countries to take action on fishing control. But they do not help countries to solve their problems of over-capacity in fishing fleets, problems that are becoming more severe as stocks deplete and that are more rooted in national fishing and socio-ecological systems at several scales. Aside from some attempts at fisheries co-management, MCs with large fleets are resorting to long (and lengthening) seasonal closures covering wider areas of the sea, effectively causing massive inefficiency in capital use and failing to solve the fisheries over-exploitation and over-capacity problems. Even this experience has not been examined to learn lessons about what works and what does not.

201. Whereas this support is still needed, and is among the topics in greatest demand from FAO stakeholders, none of these FAO Code instruments (the IPOAs and the PSM Agreement) can be applied in practice to small-scale fisheries, which are left behind in markets, rights and management. Fisheries co-management has been promoted as a potential solution but its success takes a long time and its implementation can be problematic in a declining and conflict ridden resource environment. It does, however, potentially enable a multitude of fisheries management approaches according to context. FAO has not yet made the same normative contribution to small-scale fisheries, including inland fisheries, although the SSF instrument to be finalized by 2014 should fill this gap.

202. The ongoing process to develop an independent instrument for small-scale fisheries, may redress some of this imbalance but the Evaluation considers that, once the SSF instrument is concluded, FAO will need to undertake more work in order to integrate its provisions with those of the now-mainstream instruments for fisheries control. It appears advisable to take a step back and a broader system approach, reconsidering the advice to MCs on how to control key aspects of fisheries exploitation in the face of the realities of today and tomorrow.

203. The 1995 CCRF gave some space to small-scale fisheries needs but FAO did not prioritise SSF solutions in the technical guidance it initially developed. More recently, FAO began to address the contributions and needs of small-scale fisheries, and other small-scale sub-sectors. Consequently, it is starting to make contributions to changing the direction of developmental thinking and discourse in the SSF sector, following this decade of systematic progress including projects, consultative events and early stage normative instruments under the Code. The trends driving the development of the new FAO normative instrument on SSF are simultaneously from the Code, from the wider development context (e.g. human rights, MDGs and tenure) and from the consultative processes for the instrument.

204. Depending on its specific content, the SSF normative instrument, when developed and agreed, requires that existing CCRF products, including the IPOAs and several of the

technical guidelines, be revised or augmented with options suited to application in small-scale fisheries and aquaculture. The Evaluation expects that the updating will present considerable challenges to FAO, as the existing products have been developed largely based on a western technocratic epistemology of fisheries problems and management solutions.

205. The Evaluation concludes also that FAO can draw many more operational lessons from its SSF and SSA projects. Broadly, the assessments in this sub-section indicate that FAO should:

- i. better share lessons from field projects, with other field projects and to feed into normative instruments;
- ii. recognize its own strengths, including technical expertise and capacity development, and weaknesses, mainly the non-fishery areas such as microfinance and insurance, and partner with other more experienced agencies as appropriate;
- iii. make more explicit and contextualized use of the CCRF in SSF/SSA projects; and
- iv. develop exit strategies for all projects, especially SSF/SSA projects that are typically long term capacity development experiments.

206. Safety at Sea is a global issue with significant impact on the livelihoods of poor people. FAO, in collaboration with ILO and IMO, has the mandate, skills and stature to improve SaS for fishers globally. In particular, FAO should develop and sustain more effective communication and collaboration with key maritime and fishery training institutions in member countries

207. The Evaluation had good evidence that where the opportunities arose to engage more directly through a project, good results were achieved. However, work at project level should not become an end in itself and the objective should be to test and refine existing guidance, develop case studies and derivative training/awareness raising materials, and distribute these more widely through the developing global dissemination network.

208. Following the publication of the guidance for small fishing boats, i.e. the FAO/ILO/IMO Safety Recommendations and the FAO/ILO/IMO Implementation Guidelines, the Evaluation suggests that FAO seeks funding for a global campaign which would mobilise relevant institutions throughout the world to generate training and awareness materials at all levels. FI should also ensure that the new guidance does not simply reside in publications catalogues. The existing Safety at Sea website developed under GCP/GLO/200/MUL is a step in the right direction, but is still an inadequate response to dissemination needs.

209. The Evaluation formulated **Recommendation 11** addressed to FI, on further efforts to be devoted to reduction of fishing capacity.

7 Sustainable aquaculture

7.1 Introduction

210. Worldwide, aquaculture is growing in importance as a means to produce aquatic products, with Asian countries, and especially China, India, Vietnam, Indonesia, Thailand and Bangladesh which each produce more than a million tonnes annually (excluding marine

plants). According to FAO statistics, global aquaculture production has grown from 10 percent of the total production of aquatic food directly consumed by people in the 1990s, to about 50 percent in 2010, and 37 percent of total aquatic products for all uses.

211. Article 9 of the Code on aquaculture and culture-based fisheries, consists of four sub-sections on strategies and sustainable development of aquaculture within national waters, transboundary aquaculture ecosystems, genetic resources use and management in aquaculture, and on responsible aquaculture production processes. Most stakeholders and the Evaluation are well aware that when the Code was drafted, aquaculture was much less important than it is now.

212. In 2006, the FAO department for fisheries changed its name from “Department of Fisheries” to “Department of Fisheries and Aquaculture”, a move welcomed by COFI 2007, along with the presentation of an FAO global aquaculture situation report.⁵⁶ The aquaculture work of FI is led by the Aquaculture Service unit (FIRA) of the Fisheries and Aquaculture Resources Use and Conservation Division (FIR). Guidance comes from COFI, the COFI Subcommittee on aquaculture and regional bodies.

213. The unit has three areas of focus and devotes one third of its resources to each area of these: i) sustainability of resources, addressed from the development point of view; ii) improving food security through the development of aquaculture; and iii) building a strong information platform to improve the information sharing among MCs. Within the third area, FIRA has developed several types of information systems and databases, e.g. the online national aquaculture legislation overview (see also Chapter 11).

7.2 Main results and achievements

214. In 1997, the first Technical Guideline on Aquaculture Development was released, followed by ten others. It is worth noting that this first TG was cited as the best known guideline after the Code itself by most MC respondents in the evaluation questionnaire. Other Code instruments also appeared to be relevant to aquaculture, although not focused directly on this sub-sector, especially the TG No. 2 “Precautionary approach to fisheries and species introductions” and No. 3 “Integration of fisheries into coastal area management”, both issued in 1996, along with others discussed elsewhere in this report.

215. The technical guidelines for aquaculture were assessed to generally be of high Code-relevance and high technical quality, although target audiences were not always clear. Some of the guidance was suitable for high-level government and/or officers in fisheries departments, whereas other was suitable for researchers and academics who support or advise government.

216. The Technical Guidelines on Aquaculture Certification, endorsed by COFI and published in 2011, were considered concise with clear advice on the institutions required, principles and the main categories for standards and associated minimum criteria. Guidance on actual standards was limited beyond reference to other international standards. Included amongst the minimum environmental criteria was Environmental Impact Assessment, which

⁵⁶ FAO. State of world Aquaculture 2006. FAO Fisheries Technical Paper. 500. Rome, FAO. 2006. 134pp. The first such report had been published in 1997 (<http://www.fao.org/DOCREP/003/W7499E/W7499E00.HTM>)

was questionable as this is a completely different process dependent on government legislation, related to establishment rather than operation, and could only realistically be achieved by recently established and larger farms. A missed opportunity was also found in the absence of more specific standards in relation to two key issues – the use of feeds and antibiotics. The Aquaculture Certification TG already had influence in practice. For example, the “New Good Aquaculture Practice” in Thailand drew on the FAO guidance to refine certification structures and procedures, and it was referred to by government officers in other parts of Asia, such as Indonesia and Sri Lanka.

217. FAO has also produced approximately 40 other normative products on aquaculture, including regional reviews on aquaculture development, workshops and reports. Furthermore, many normative workshops and meetings, including those on aquaculture statistics, the COFI Sub-committee on Aquaculture, and on inland fisheries, were organized to discuss issues related to implementing dedicated measures of the Code. In Asia, an example of a relevant FAO activity in the area was the “FAO Expert workshop on enhancing the contribution of small-scale aquaculture to food security, poverty alleviation and socio-economic development” in Hanoi, Viet Nam in April 2010. Twenty five experts from regional, national and international institutions attended the event that included post-harvest and trade benefits to Small-scale aquaculture.

218. Box 17 illustrates the scoring of the aquaculture TGs and other normative products. Likewise most other products, relevance and technical quality were assessed as good to high, potential outcomes and impact were adequate, but the scores for gender mainstreaming and human dimensions were very low.

Box 17. Assessment of aquaculture normative products

Category normative product	Relevance for CCRF	Technical quality	Outcome (actual or potential uptake and use)	Potential impact as capacity development tool	Integration of environmental sustainability concepts	Gender mainstreaming	Integration of social inclusion and poverty reduction issues
<i>Aquaculture TG (8)</i>	5.7	5.3	4.5	4.4	5.1	2.0	3.3
<i>Aquaculture other products (12)</i>	5.7	5.4	4.6	4.5	5.2	2.2	3.4

Source: Evaluation team

219. FAO has implemented almost 90 projects on aquaculture at global, regional and national levels during the period under evaluation. A sample of these were assessed directly through the Evaluation's country visits and are discussed in Section 4 of Annex 9.⁵⁷

⁵⁷ Projects assessed include: GCP /INT/073/SWE; GCP /RAF/417/SPA; TCP/RAS/3203; TCP/GHA/3301; TCP/MAU/3103; CP/SEN/3307; TCP/SEN/3102; TCP/UGA/0166-0167; TCP/CPR/3203; TCP/BGD/3101-3206; TCP/THA/3202; TCP/INS/2905; TCP/ARG/3302; TCP/PER/3101; TCP/URU/2904; TCP/URU/3101; and GCP /RLA/190/BRA. Projects that related to post-harvest, health and certification issues in aquaculture were included in Section 9 of this report.

7.3 Main findings

220. The aquaculture projects evaluated showed a number of successes and shortcomings. In Africa, the shortcomings included: i) a low implementation rate and too few of the usually positive aquaculture projects due to insufficient involvement of the private sector, researchers and NGOs while planning the projects; ii) insufficient follow-up by FAO of the post-project phase; and iii) in regional efforts such as ANAF and SPADA underway, insufficient identification yet of champions at sub-regional or national levels to take the regional actions to operational level. Thus, tangible outcomes tended to be reduced. Traditional funders have tended to reorient their efforts to other organizations, some of which are FAO's creations. If FAO could improve its operational performance with aquaculture projects in Africa, this should lead to improved funding, since, in spite of the recent problems with some projects, FAO remains cited as the reference institution for aquaculture development.

221. In Latin America, aquaculture development in most countries was in its early stages, and as in Africa, FAO's action was oriented towards strategy and planning of the activity, and strengthening of aquaculture capacity in the Regional and Sub-regional Offices. In Central America, FAO was asked to help create an integrated sub-regional approach. The Organization of Fishing and Aquaculture in Central America (OSPESCA) seemed to be effective in promoting integrated and harmonized work among its MCs. OSPESCA has developed an Integrated System for Fisheries and Aquaculture Register (SIRPAC) which is a register of aquaculture enterprises by country and species. Likewise for Africa, effective implementation of the various aquaculture strategies and plans cited above were yet to be achieved, and FAO could productively direct its efforts towards field support through practical demonstration units.

222. The desired outcomes and impacts will need dedicated competent nationals to ensure an active follow-up. Relatively successful projects from Africa and Latin America may suggest an alternative approach. A better trade-off should be found between the added-value of regional meetings and international travel, and more direct actions within countries with sub-regional support and/or dedicated national consultants identified and progressively supported through their involvement in FAO-generated projects. When and where feasible, fruitful partnerships with international partners should be encouraged, for instance as happened productively with the WorldFish Centre for the TIVO project in West Africa.

223. In Asia, the NACA network is an important FAO-generated means of information exchange in and outside the region. Institutions such as the Asia-Pacific Regional Centre for Integrated Fish Farming (Wuxi, China) and the Asian Institute of Technology (Bangkok, Thailand) constitute ideal partners for information sharing and capacity development that do not need much FAO effort once they are involved.

224. In general, interviewees at the country level revealed understandably mixed knowledge of and views about the activities of FAO at country, regional and international levels. Those working at the field level were often doubtful of the value of some of FAO's normative work considering it too general, yet often finding great value in specific technical papers. In nearly all cases, there was a view that FAO was somewhat too theoretical and needed to work more on practical projects. Equally, there were those who thought FAO could

not possibly take on such a role, but had to be more effective in partnerships with those who did work at a more practical level.

225. One important step required to improve operational performance was for FI staff, at headquarters, regional and sub-regional levels to work well together and coordinate their efforts. For example, the Evaluation found that the coordination between FI in headquarters and RAF in the area of aquaculture was very weak, each party having different visions of what the priorities were and neither side consulting and informing each other well on operational or normative work.

226. In relation to the normative products and TGs on aquaculture, the Evaluation's findings were as follows:

- Regional organizations such as NACA, INFOSAMAK/FISH etc. were very familiar with FAO's products;
- Higher-level government officials were familiar with some of these, but many had difficulties accessing the documents (hard copy and electronic);
- Researchers and academics were usually familiar with FAO's products in their technical areas;
- Some national-level representative organizations were familiar with some of the guidance; and
- Local government and local NGOS or representative organizations were not in general familiar with FAO's products, though some were familiar with the Code itself.

227. Overall the technical guidelines appear to have had limited actual impact, meant as use and application, although this could vary to a large extent from country to country. The very recent TG on Aquaculture Certification was stimulating action. However, this may be due mainly to its relevance to market access, with the EU market norms being a major driver. Through several years of COFI and COFI Sub-committees on Aquaculture, meetings and technical consultations, exporting and importing countries had followed its development and eventual adoption as a negotiated COFI document. During country visits, many government officers requested that FAO take a pro-active role in defining basic international standards in sustainable aquaculture and fisheries as a counterpoint to what they saw as potentially monopolistic, unachievable and discriminatory private sector/NGO certification and labelling initiatives.

228. In terms of addressing critical current issues in the aquaculture industry, the present set of Code aquaculture instruments is good, although the Evaluation identified two main gaps or weaknesses:

- Dedicated guidance on disease management and drug/chemical use: current guidance focused on only part of this, namely the movement of aquatic animals. The rationale for this apparent gap was that many international (e.g. OIE), regional and national documents addressed this issue. However, comprehensive international guidance could be important; and
- The issue of the use of under-valued fish and fishmeal in aquaculture was covered in TG 4:5 Supp. 5 - Use of wild fish as feed in aquaculture and a Fisheries and Aquaculture Technical Paper, both finalized in 2011. The TG was optimistic in its appraisal: "*it is projected that over the next ten years or so, the total use of fishmeal by the aquaculture sector will decrease while the use of fish oil will probably remain around the 2007 level*". The Evaluation findings across a number of very diverse

countries suggested that there will be continuing rapid growth, caused largely by intensification (industrialization), which will be more dependent on formulated feeds than more traditional partly fertilized systems. Caution will also be needed in recommending the use of locally developed feeds as called for in both documents. Lack of formulation skills and alternative sources of protein may increase pressure on locally available low-cost fish

7.4 Conclusions

229. Overall, the articles and paragraphs dealing with aquaculture in the Code were viewed positively by MCs. The TGs on sustainable development of aquaculture were assessed as above average. FI should adopt a dynamic strategy to disseminate the available TGs, as they are and in suitable practical forms, to grassroots-level stakeholders, rather than leaving them in forms accessible to decision-makers only. Of more importance, FAO needs to go beyond producing normative products and support MCs in their implementation efforts and should reorient its activities towards implementation support for strategies and plans.

230. Many field projects, however, seem not to have achieved tangible impacts, especially in Africa. In aquaculture development, the shift is towards more intensification, and the marginalization of small-scale pond farming. In this respect, the Evaluation concluded that FAO should coordinate its development efforts, both within the Organization and also through increasing the involvement of national dedicated partners in project design and implementation. This means taking into account gender, food security and poverty reduction aspects of projects. Also, FAO needs a strategy to better engage with private sector partners in projects from the set-up stage onwards.

231. Overall, the CCRF remains sufficiently balanced even today in relation to fisheries versus aquaculture. The more focused TGs, including the EAF and the EAA provide good guidance on these issues. However, the Evaluation found that fisheries and aquaculture officers in some member countries lack awareness of the relationship between fisheries and aquaculture. Many assumed that aquaculture will decrease the pressure on fisheries when the opposite is true, at least for crustacean and finfish farming. Few are aware that species introductions associated with aquaculture may threaten traditional fisheries especially in inland waters. FAO needs to take care in promoting aquaculture as an alternative livelihood to fisheries: production and marketing are often radically different, and, with a few exceptions, aquaculture demands a different set of skills, attitudes and location.

232. As aquaculture is now seen by many MCs as the way out of the current problem of scarcity of fisheries resources, FAO should also be more realistic about what sustainable aquaculture means in the long term, in terms of overall resource use. MCs aquaculture development plans are almost invariably too ambitious and could only be met through tactics leading to a boom that would inevitably be followed by crashes, e.g. due to environmental or disease and market supply problems, with which they could not deal.

233. This having been said, FAO could reconsider the quantum of its resources being allocated to aquaculture, but also taking into account the scale of the task of implementing the CCRF in these two sectors, as well as the overall potential impacts on livelihoods. Support to capture fisheries should not decrease, but with the increased output of aquaculture, and the ambitious plans that many member countries have ongoing, FAO should revisit the amount of

financial support dedicated to aquaculture. It should engage in a more pro-active resource mobilization strategy, based on the importance of aquaculture and its challenges to be addressed, to capture more funds in order to increase the rate of successful implementation of already existing plans.

234. Fishers still greatly outnumber aquaculture farmers, and many fishers are poor and vulnerable. A failure to implement the CCRF in fisheries would threaten many millions of people directly and/or indirectly dependent on fisheries. Equally, unfortunately, an over-enthusiastic implementation of some dimensions of the CCRF, the precautionary approach and the EAF, would also threaten livelihoods, at least in the short term. Addressing these issues and the associated trade-offs is a major task, and while there are also major CCRF issues relating to aquaculture, the medium-term threat to livelihoods of the poor associated with these issues is less pressing.

235. FAO should continue to develop its partnership with the intergovernmental organizations involved in aquaculture, such as regional organizations NEPAD/PAF, NACA, and international research organizations such as the WorldFish Center. The current links between FAO, UNDP and World Food Programme (WFP) are weak compared to the 1970s when they jointly implemented projects. At the national level in MCs, FI could enlarge its reach through scientific research and capacity development partnerships with universities, instead of limiting themselves mainly to the departments of fisheries. This would help in re-orienting the research programmes and curricula towards more practical aspects (as requested by leaders in NEPAD/CAADP) while gaining the benefit of a base of sound training approaches. These partnerships could be realized by developing TCPs that also include ministries in charge of research and higher education. With the professionalization of the curricula and research programmes in tertiary institutions, as desired by decision-makers in most developing countries, these partnerships could also put FAO in touch with the national private sector, and gain more funds from MCs in the developing world.

236. The Evaluation, based on these general conclusions, formulated two specific **Recommendations, 12 and 13**, addressed to FI on specific aspects of FAO's future work in aquaculture. Also, **Recommendation 6** deals with a more strategic approach to production of normative products and **Recommendation 7**, both addressed to FI, deal with the issue of resources for sustainable aquaculture development. Furthermore, the Evaluation also formulated a set of more specific conclusions on the directions FI might take in its aquaculture support for the Code and more generally. Given their level of detail, these are illustrated in Annex 14 of this report and summarized here below.

The outlook for aquaculture

237. Production and practice: Aquaculture is becoming more specialized and more intensive. The implications of intensification in terms of waste management locally and feed resource use globally are significant. Formulated feeds are becoming the norm and, at present, most of these contain fish meal or under-valued fish. Whatever the source, we can expect the price of "low value" fish to rise, especially those rich in high quality fish oil, and this will undoubtedly increase pressure on fisheries globally. These considerations suggest that FAO must increase its effort to strengthen fisheries governance and work at every level to promote low fishmeal diets and/or production systems.

238. Drugs and chemicals to control pathogens and diseases are another consequence of intensification. This trend is arguably best dealt with through national regulation reinforced with codes of conduct/practice and certification. While many dimensions of sustainable aquaculture are hard to pin down at global level because of differences of context and technology, use of chemicals and drugs is more amenable to such standards or benchmarks, and FAO should have a role in establishing or facilitating the development of such standards.

239. Planning and strategy issues and relations with EAA: FAO and other organizations have supported the development of aquaculture plans and strategies in several countries, but these plans are often rather general and aspirational and of limited practical utility. Increasingly they are developed through a participatory process, but few are underpinned by in-depth studies on the strengths and weaknesses of institutional capacities (government and private sector), different species and technologies, market analysis, economic feasibility, strategic environmental assessment, comparative advantage, risk analysis and so forth. Furthermore, such plans can often not be developed properly or implemented because of a lack of resources and/or effective governance systems. Member countries are mostly some way from implementing the ideal comprehensive, integrated, participatory and adaptive planning approach, namely the ecosystem approach. Despite the lack of progress, it is essential that FAO not give up, but rather intensify its efforts in this area of work. The key elements of a good plan, and a good planning and management system are well known, but difficult to implement. This is an area where we do not need more technical guidance, although the EAF toolbox could be extended to provide a range of more practical supporting resources and capacity building tools. One possible way to reinvigorate effort in this area might be to publish benchmarks or standards for a satisfactory aquaculture planning and management system, rather in the manner of MSC for fisheries. This might be used for example as a framework for discussion with MCs and other donors to identify key areas in need of strengthening.

240. Economic development and poverty reduction issues: Aquaculture is booming in many countries, suggesting that aquaculture development per se needs rather little support, and that the emphasis should therefore be on developing more effective governance to ensure sustainability. From reviewing FAO and other projects aimed at grassroots level implementation, the Evaluation concluded that the manner of engagement in aquaculture development is crucial, and that commercial considerations are paramount. In pursuit of poverty reduction, FAO will need to carefully consider, according to the context, whether and when to: (1) facilitate small-scale development and new entry by poor people; (2) work with larger commercial farmers to maximize sustainability; and (3) facilitate development of fair contract farming/nucleus estate type systems where larger commercial enterprises supply seed, feed, and advice, and source product from a range of satellite producers. The first approach has many problems but addresses the needs of FAO's target beneficiaries. It has shown much greater success in Asia than in Africa.⁵⁸ The second is arguably unnecessary and not a priority for FAO. The third approach (or set of approaches) is now being aired as an option and, in some contexts, an important way forward. In all cases, it is essential that FAO and its partners undertake very thorough financial, economic and market feasibility studies before engaging directly in promoting or facilitating aquaculture development. FAO needs to temper the expectations of low-cost aquaculture products, and assist in the identification and development of low-cost commercially viable production systems.

⁵⁸ De Silva, S.S, and F.B. Davy (eds) 2009. *Success Stories in Asian Aquaculture*. NACA and IDRC, Bangkok. 214 pp.

241. Certification: The recent guidelines on aquaculture certification are in high demand and have already had impact on aquaculture certification systems. There is substantial demand for FAO to take a more pro-active role in defining basic international standards in sustainable aquaculture and fisheries as a counterpoint to the competitive private sector/NGO initiatives that the member countries view as dictatorial. The existing certification guidelines offer some minimum criteria, but no clear benchmarks, and, at least in some areas (such as chemical and drug use), clearer international standards are possible. FAO is well placed to take a significant role in developing such standards or benchmarks.

242. Genetic improvement: FAO has paid some attention, including in Code products, to genetic resources management and is furthering the development of normative work on this topic in broader FAO and UN consultations, particularly within the FAO Commission on Genetic Resources for Food and Agriculture (CGRFA). However, as aquaculture intensifies, genetic resources, especially improved breeds of the main species, become more important in its success, and more sought after by farmers. Ownership and access become issues of commercial and ecological significance. FAO seems to be taking project-by-project decisions on genetic resource issues and genetic improvement approaches. FAO could aggregate and help member countries review the available pros and cons of the mounting experience of local breeding versus importing of improved breeds with attendant risks. Overall, FAO should be taking a much more proactive role in respect to the range of genetic resource management issues in aquaculture, including advising on germplasm collection, conservation, exchange and translocation protocols, access and benefit sharing, genetic improvement, biotechnology application in selection, characterization, breeding, etc.

243. Levels and manner of engagement: Engagement in aquaculture development at the entry level for farmers has not been a strength of international organizations such as FAO. At this level, activities must be informed by both local knowledge and realistic market/commercial analysis of opportunities and constraints as well as development ambitions. Any technology focused assistance must follow from such analysis, not drive it. Addressing poverty reduction through aquaculture at the local level is difficult, and can probably only be addressed through the planning process. Broadly, FAO's aquaculture activities are following the above. However, FAO might engage more effectively with a wider range of partners at regional and national levels and take a more pro-active role in guiding and integrating donor support and programmes, at regional and national levels. This is increasingly the case since organisations such as the ADB and World Bank now have very limited technical experience in aquaculture development.

244. FAO resource allocation: Due to the rapid development of aquaculture, a strong argument could be made that FAO should consider re-aligning the resources allocated to fisheries and aquaculture in FI to reflect this balance. In so doing however, FI should also take into account the special public good needs of much fisheries support (as fisheries are common resources) and the scale of the task of implementing the CCRF in these two sectors, plus the overall potential impacts on livelihoods.

8 Inland Fisheries

245. Inland fisheries was one of the earliest themes within the Code for which a specific guideline was developed, namely the 1997 TG N°6 on Inland Fisheries. However, few actions followed, perhaps because most of the inland production was directed to domestic markets, except for the Lake Victoria fisheries. Small-scale fisheries, thanks to the poverty reduction and contribution to nutritional welfare challenge, were of more interest to FAO in projects. Even the promotion of man-made lakes in continental states did not cause much interest in inland fisheries. Given sustained pressure from developing states at a COFI meeting, a TG (n. 6 Supp. 1) on Rehabilitation of Inland Waters for Fisheries was published in 2008.

246. Few projects have been fully dedicated to inland fisheries. The Lake Victoria Fisheries Organization (LVFO), a sub-regional institution referred to in the region as “FAO’s baby”, remains a rare example of FAO’s support to inland fisheries. The Evaluation did not assess the Code-related work of the Lake Victoria Fisheries Organization in East Africa but notes that this, the most significant inland fishery in Africa, has had significant FAO support for its formation in 1994 and, more recently, in developing a Regional Plan of Action for the Management of Fishing Capacity in Lake Victoria (2007).

247. Given the importance of the issues, steps are underway to develop similar strategies for other major river basins of Africa, namely Congo, Oubangui and Sangha (CICOS), with the facilitation of the Regional Fisheries Committee for the Gulf of Guinea (COREP), which is currently the acting fisheries agency of the African Union in the sub-region. Among countries visited by the Evaluation, inland fisheries in Argentina are modest but growing; nearly 80 percent of total fish production in Bangladesh comes from inland fisheries, from capture, culture and intermediate forms such as stock enhanced open water fisheries that FAO classifies under capture; in China, pollution remains a problem for some inland fisheries and aquaculture; but aquaculture-based fisheries have been developed in man-made reservoirs initially designed for electricity production purpose.

8.1 Main results and achievements

248. The three Technical Guidelines related to inland fisheries scored from average to good for all criteria. In addition, many technical workshops were organized, but with insignificant outcomes.

249. The TG ‘Inland fisheries, No. 6 (1997)’ is short but inconsistent. Environmental and socio-economic issues are mentioned, with explicit references to multi-usage functions of water bodies. Reservoir fisheries, conflicts between native, and foreign fishers, gender, issues related to information, are only slightly covered. If these TGs were to be updated, the above topics would need more comprehensive treatment.

250. In the TG ‘Rehabilitation of Inland Waters for Fisheries. FAO Technical Guidelines for Responsible Fisheries. No. 6 Suppl. 1 (2008)’, the fisheries ecosystem is treated in a purely ecological/fishery/technical manner. The guidelines are clear for aspects covered, but these are not well related to the political and governance contexts within which they would normally operate, especially in developing countries. In its own technical niche, it is an excellent piece of work, very detailed and comprehensive. This TG is a fair text book on the physical and ecological rehabilitation of inland waters, but contains little discussion of social and economic priorities. No good case studies of rehabilitation anywhere in the world are

given, other than vague references to Austria. It appears as preliminary guidelines, needing practical development. It was prepared by a small number of developed country experts, with few consultations. No real guidance as to who does what, when and how.

251. Some guidance on culture-based fisheries was provided for Bangladesh.⁵⁹ This document reviewed the development of culture-based fisheries enhancements in Bangladesh and discussed the outcomes in the context of the social and economic impacts. The various management arrangements and the risks and benefits they entailed for the stakeholder groups were examined as well as the roles of donors, non-governmental organizations and the government and its agencies. Culture-based enhancements have been encouraged as a panacea to increase benefits from fisheries. However, here it was concluded that the entry point for fisheries management should not be stocking. Interventions such as sanctuaries and limits on fishing effort are less risky and cause less social conflict. Habitat rehabilitation has a higher initial capital cost but does not require recurring annual investments in stocking. However, this type of intervention is not very attractive due to the government's lease policies that discourage long-term investments in fisheries management. A series of recommendations for organizations involved with community-based fisheries management were provided.

8.2 Main findings

252. FAO inland fisheries work in five projects were assessed, listed in Section 5 of Annex 9. Overall, the Evaluation concluded that:

- a. member countries, FAO and donors often do not agree on the priority to be given to inland fisheries, the different parties having contrasting views on whether or not inland fisheries are a priority;
- b. the fact that inland fisheries in many countries do not provide foreign exchange is not attractive;
- c. even where good agreement is reached on the opportunities in inland fisheries, environmental risks from species introductions are often high. FAO needs to develop suitable positions on when introductions do and do not make sense;
- d. inland fisheries are under-estimated in terms of their production, value and numbers of livelihoods supported, likely adding to the lack of appreciation of their importance by all parties; and
- e. inland fisheries management is complex, especially if transboundary conditions and a mix of scales of exploitation also occur, such as for Lake Victoria.

253. Although inland and coastal fisheries have many characteristics in common, especially those dominated by small-scale fishing, they have often been distinguished in fisheries agencies, including in FAO, by the biological and ecological characteristics of their resources and by the somewhat different set of multi-sector and environment issues that predominate in inland versus coastal fisheries, especially the intense competition for the use of freshwater in inland waterways. In combination, these biophysical and human factors give some reasons for treating inland and coastal fisheries separately, but the Evaluation also recognizes the strong commonalities.

⁵⁹ Valbo-Jørgensen, J.; Thompson, P.M. Culture-based fisheries in Bangladesh: a socio-economic perspective. FAO Fisheries Technical Paper. No. 499. Rome, FAO. 2007. 41p.

254. Statistics on fish production in inland fisheries were scarce, and if available were usually underestimated. Compared to aquaculture and marine fisheries, the situation was poorer since most fish landings are difficult to access and fishers are more isolated, and less educated.

255. Insufficient funding is provided for inland fisheries management, except probably in fisheries open to culture-based enhancement. In this case, implementation of FAO technical guidelines on fish transfers needs to be better promoted and heeded.

256. In recent years, man-made lakes have been created in many developing countries for power purposes. Except in China, and to a lesser scale in Morocco, the development of reservoir fisheries, with a specific focus on aquaculture based fisheries, has hardly started. FAO's expertise in developing hatcheries can play a significant role in realizing the potential for culture-based fisheries.

8.3 Conclusions

257. More effort is needed towards: (i) better documenting fish production data of inland fisheries; (ii) upscaling the culture-based fisheries developed in successful nations (China, Bangladesh) towards many developing countries where hydropower reservoirs are currently under development; and (iii) promoting to member country governments and donors the importance of inland fisheries to food security and poverty reduction. **Recommendation 7** to FI addresses the resource issue for inland fisheries.

9 Post-harvest, marketing and trade

258. Fish utilization and trade directly fall within the scope of the Code, through Article 5.1 and Article 11 on post-harvest practices and trade, which brings together the two aspects as they are somewhat inter-dependent. Article 11 is subdivided in three separate items: i) responsible fish utilization, ii) responsible fish trade; and iii) laws and regulations relating to fish trade.

259. For decades, FI had a service dedicated to post-harvest, marketing and trade issues. Currently, this is called Products, Trade and Marketing Service (FIPM) and is part of the Fisheries and Aquaculture Policy and Economics Division (FIP). FIPM responsibilities, as stated by the Service itself, include the promotion of the improved utilization of fisheries and aquaculture resources and the reduction of losses by improving the efficiency of all operations which take place between fish harvesting or culturing and consumption. It is responsible for developing, through consultation with governments, other international organizations and non-governmental organizations, codes of practice and standards related to safety of products, utilization, marketing and responsible trade and monitor their implementation.

260. Since the advent of the CCRF in 1995, very few new goals and activities were introduced by FAO in this area of work, including within the period covered by the Evaluation. Among these new activities, one may point out efforts aimed at the preparation of CCRF TGs related to the general application of traceability schemes associated with eco-

labelling and certification, themes developed by FAO because of the pressure coming from major fish importing countries/buyers and the consequent pressure on fish exporting countries to be able to comply with market requirements.

9.1 Main results and achievements

Fish safety and quality

261. The work of FAO in this area has been exhaustive throughout the last decades. Initially, FAO concentrated on the planning, establishment, organization, and/or strengthening of national fish inspection and quality control systems. Thus, in the 1990s FAO focused on assisting MCs to plan and apply the HACCP system in the fish industry mainly through capacity development at all levels of government and private sector. In this, FAO counted with the partnership of other UN agencies such as UNIDO and WHO and bilateral resource partners.⁶⁰ The main drive for FAO's activities in this area, responding to an overwhelming request of MCs, was the strict sanitary regulations of major fish importing countries that were issued during this period, in particular by the European Union and the United States. The main "goal" to achieve was to maintain and enlarge international markets, which is a must also nowadays. Also, the Joint FAO/WHO Codex Alimentarius Commission through the preparation of Codes of Practice and Product Standards contributed to any move or progress made by MCs in their attempts to improve the safety and quality of fish and fishery products.

262. During the period under evaluation, a number of FAO national, regional and global projects were implemented with focus on fish safety and quality. The analysis of some of them, including 'Fisheries management in Uruguay- UTF/URU/025/URU' and 'Capacity building for improving fish trade performance of selected African countries-MTF/RAF/429/STF', showed a good contribution to capacity development at the individual and institutional levels.

263. FAO contributed to the organization and implementation of national, regional, inter-regional and global workshops, seminars and conferences in the area of fish safety and quality. The full list is given in Annex 7.

264. In the field of fish technology, safety and quality control FAO has supported the establishment of two important regional fisheries networks of technical cooperation – "Red Panamericana de inspección, control de Calidad y tecnología de productos pesqueros y de acuicultura – REDPAN" (Pan American Network of fish inspection, quality control and technology) and the "African Network on fish technology and safety – ANFTS". Both networks have received financial support from FAO for their regular regional meetings and workshops. FAO has funded the participation of a number of regional experts to these meetings and also provided technical support for the events in close collaboration with INFOPECA and INFOPECHE. In most of these events pre-meeting training courses were held on technical matters of members' common interest.

⁶⁰ UNIDO: United Nations Industrial Development Organization; WHO: World Health Organization. Main resource partners were Canada, Denmark, Iceland Japan, Norway, Sweden and the United Kingdom.

265. FAO, in collaboration with UNIDO and the International Association of Fish Inspectors (IAFI) and national agencies of the countries holding the events, has been funding the participation of a number of fish technologists and quality controllers from MCs in a series of international meetings on fish inspection and quality control known today as “World Seafood Congress” (WSC). FAO is an active participant in the organization of the events that from 2004 to 2011 were held in Sydney, Australia (2005), Dublin, Ireland (2007), Agadir, Morocco (2009), and Washington DC, USA (2011). During the last meetings one day was kept for a FAO/UNIDO “Symposium on issues and challenges for developing and emerging economies”. The proceedings of these WSCs, when published, are distributed and read throughout the world.

266. Recent years have seen significant improvements also in the safety and quality of seafood destined for the domestic markets, thus closing the gap between standards for export products and products for the local market. FAO has been advocating the abolition of these double standards aiming at contributing to improved fish products and increasing fish consumption. Nevertheless, problems in key areas remain to be solved due to two groups of challenges. The first are intrinsic difficulties faced by the industry in the less industrialized world, in terms of capacity and infrastructures, as well as the low importance given to fish business in most countries. The second group of challenges stems from the strong pressure exercised by sanitary authorities and clients of major importing countries, some clearly obstructive to fair commercial practices, particularly from the European Union and the United States of America.

267. Article 11.1.5 of the Code deals with the need for member countries to consider the economic and social role of the post-harvest sector in their national policies for the sustainable development and utilization of fishery and aquaculture results. FAO's strategy to address these, be it through trust fund projects or TCPs, tended to be through a value chain approach that would include promotion of responsible fish utilization while fostering greater financial benefits. In this, a good level of attention has been given to gender issues.

268. Obviously the problem is so complex and difficult that efforts to tackle it always seem insufficient. In Africa, six trust fund projects and eight TCPs have been or are being implemented during the period under evaluation, involving post-harvest aspects and improvement of socio-economic conditions. An example of these was the pilot project “Improved livelihoods in post-harvest fisheries in Cameroon, Chad, the Gambia and Senegal”, implemented from 2004-2006 within the framework of project GCP/INT/735/UK “Sustainable fisheries livelihoods programme in West Africa (SFLP).

Post-harvest losses, by-catch and low value/under-valued fish

269. During the past decades, FAO dedicated great efforts to reducing post-harvest losses and waste, and the improved use of by-catch, closely linked to assistance to MCs in the field of fish technology, safety and quality control. Despite the gradual limitation of resources faced by FAO during 2004-2011, the Organization continued to promote, coordinate and execute activities at regional and national levels aimed at supporting countries' efforts to reduce post-harvest losses and make better use of by-catch and low value/under-valued fish. The most relevant examples of FAO's recent work in this area have been a “Regional post-harvest loss assessment programme” (PLHA) in small-scale fisheries with Regular Programme funds and the project ‘Improving post-harvest practices and sustainable market development for long-line fisheries for tuna and other large pelagic fish species in the Indian

Ocean Region - TCP/RAS/3302'.⁶¹ These initiatives were useful in bringing together regional experts and to develop their capacities in fish-loss assessment, as well as to gather data. The effectiveness of these initiatives, which usually enhance the capacity of individuals, tends to be overall rather limited.

Fish use and value added for direct human consumption

270. FAO's activities to support MCs' efforts to increase fish consumption are an "ever green" struggle initiated many decades ago. These activities have focused mainly on the area of development and implementation of better practices of handling, processing and marketing small pelagic marine species to direct human consumption instead of for the production of fish meal and oil. FAO has concentrated many of its efforts in four Latin America Pacific countries, i.e. Chile, Peru, Ecuador and Mexico, which can raise their food supply by diverting some of the small pelagic catch (especially anchovy) currently used for fishmeal for direct human consumption. For instance in Peru, FAO contributed to the development of a short-term strategy to establish a food security system based on a higher intake of fish, especially anchovy, and included this as a priority in its Country Programming Framework 2012-13.

271. During the evaluation period, FAO's partnership with the FishInfo Network and collaboration with other international aid agencies, among which the Common Fund for Commodities (CFC) plays a major role and resulted in a number of relevant projects, workshops, training courses and conferences directed to the promotion of fish consumption and related issues. These were implemented in Latin America on tilapia and in Asia and the Pacific on tuna.

272. Projects assessed directly by the Evaluation were: 'Support to productive rehabilitation of agriculture and fisheries sector in affected provinces by the earthquake of 2007 (GCP/PER/044/SPA)'; 'Improvement of domestic markets for fish and fish products in Latin America and the Caribbean (TCP/RLA/3111)'; 'Improving marketing efficiency of artisanal fisheries in Central America, Mexico and the Caribbean (MTF/RLA/158/CFC)' and 'Enhancing market access of Amazonian aquaculture and fisheries products (MTF/RLA/191/CFC)'.⁶²

273. Within the CFC projects, FAO carries out only supervisory activities, which seems to be a cost-effective manner of providing FI's technical expertise to fishers, processors and government staff with rather limited effort. Focus was on HCD at the individual and institutional level, and in at least a couple of cases, with good attention to involve and enable women's groups.

Traceability, eco-labelling and certification

274. Traceability (identification of the origin of the product and its chain of custody) and the prevention of trade in illegally harvested resources are relatively new disciplines. The

⁶¹ In addition, TCP/RAF/3311 "Support to regional capacity building to reduce post-harvest losses" was approved in 2011 with the African Union, but it was out of the scope of this evaluation due to starting date in 2012

⁶² Short descriptions for all are to be found in Annex 9; TCP/RLA/3111 was assessed in detail.

Code provides guidance on this topic to ensure that fishery products comply with sound conservation and management practices through improving the identification of the origin of the fish and fishery products traded at domestic and international levels, without creating market distortions. Traceability was included in all Codex food standards, and before Codex in the food legislation of most countries. However, traceability serves as much the purpose of applying quality and safety standards, enabling the identification of the place of origin as it can serve the purpose of preventing the marketing of seafood that was harvested by identified illegal, unlicensed, or otherwise non-compliant entities.

275. According to the FAO 2010 assessment of the Code, traceability schemes globally have not substantially evolved over the period monitored. However, over the past decade eco-labels, as a market-based mechanism designed to provide incentives for more sustainable fisheries management have become a feature of international trade and marketing of fish and fish products in most Western industrialized countries. Eco-labelling and certification schemes are typically designed and managed by non-governmental organizations (NGOs) or private businesses. A number of international seafood experts consider eco-labels and certification just as temporary market tools developed by the private sector of industrialized Western countries. They contend that such schemes have no future, create artificial commercial barriers to trade, and jeopardize official national government efforts in the area of fish safety, quality and certification.

276. The Evaluation gave specific attention to the Technical Guideline on Eco-labelling of Fish and Fishery Products from Marine Capture Fisheries. Though generally clear and concise, the assumption that the key management objective should be MSY rather than biologically constrained social or economic objectives⁶³, was perhaps questionable. Either way, defining a safe stock level in data poor or complex fisheries will be challenging, and it is arguable that alternative/proxy indicators should be allowed. The guidance was unclear on this crucial issue, and this therefore limits its utility with respect to most fisheries, which are species complex and multi-gear.

277. Eco-labelling therefore presented FAO and MCs with a dilemma. FAO's TG states that eco-labelling '*should be of a voluntary nature and market driven*'. On the other hand such schemes may refer to management systems and standards developed by governments as well as NGOs. Some governments have developed their own eco-label (e.g. Thai Quality Shrimp; Chinese "Green Food and Chinese "organic" label). The links between the CCRF, government initiatives in sector management and eco-labelling are therefore complex. The evidence gathered by the Evaluation suggested that member countries saw a significant role for FAO in defining international procedures and standards instead of leaving these mainly in the hands of international non-government bodies and environmental NGOs.

278. In recent years, FAO has dedicated considerable efforts to this subject through workshops, training courses, conferences and a few regional projects.⁶⁴ These focused on addressing the information and training needs of participating countries on current and emerging issues related to seafood safety, with special reference to principles of traceability, labelling and risk assessment and implications of new international regulations. FAO has also

⁶³ Such as maximum economic yield or maximum employment subject to a biological constraint such as minimum safe breeding stock biomass

⁶⁴ Project Strengthening National Capabilities in Seafood Trade Policy, including Risk Assessment and Traceability- TCP/RAS/3011' is shortly described in Annex 9.

worked on aquaculture certification throughout the world over the last two decades, convened several major conferences and workshops, listed in Annex 7. Specific projects assessed directly were described in the Aquaculture section above.

279. Traceability will eventually become a pre-requisite for any trade in developed countries, although at present this applies only to products destined for export, and aquaculture farmers may therefore have little choice. In this sense, projects that support the development of traceability schemes at the national level are preparing countries for the inevitable.

Responsible international trade

280. At the global level, WTO, FAO and other UN agencies shape the global trade regime for fishery products and provide a frame of reference for states to cooperate in the formulation of appropriate rules and standards for international trade, including trade in fish and fishery products.

281. Within FAO, the statutory bodies directly concerned with these issues are: i) the COFI Sub-Committee on Fish Trade, which provides a forum for states to consult on technical, economic and environmental aspects of international trade in fish and fishery products, including production and consumption aspects; and ii) the Codex Alimentarius Commission (Codex) which develops food standards, guidelines and related texts such as codes of practice under the Joint FAO/WHO Food Standards Programme.

282. During the evaluation period, FAO carried out a number of activities aiming at supporting MCs to cope with the new WTO rules concerning the international trade of fish and fishery products, particularly the WTO previously listed agreements. Again, its main partners were the international organizations that are part of the FAO FishInfo Network.

283. A recent FAO study on world seafood tariffs found that the global average tariff applied on fishery products is around 13 percent which is higher than the average tariff for industrial goods. Thus, although FAO has made significant efforts to support MCs' struggle to comply with international trade tariff and non-tariff barriers, the results are far from satisfactory. MCs complain bitterly about obstacles faced by them to export value-added products to major importing countries, particularly the European Union.

Technical guidelines and other publications

284. In total, four technical guidelines (TGs) on fish utilization and trade topics have been produced by FAO since the late 1990s, to meet the need for facilitating responsible management in the post-harvest and trade sectors of the fish producing industry. Overall, they have scored lower than other TGs and normative products across all criteria, including on relevance. The Evaluation's average scoring of all of them is illustrated in Box 18 below.

Box 18. Assessment of fish safety and quality and eco-labelling technical guidelines

Category normative product	Relevance for CCRF	Technical quality	Outcome (actual or potential uptake and use)	Potential Impact as Capacity Development tool	Integration of environmental sustainability concepts	Gender main-streaming	Integration of social inclusion and poverty reduction issues
<i>Post Harvest and Trade TG (3)</i>	5.0	4.3	3.0	2.3	4.0	1.0	1.8
<i>Post Harvest and Trade other products (13)</i>	3.9	3.9	2.6	2.3	3.1	1.1	1.9

Source: Evaluation team

285. Fish utilization and trade are well covered by the Codex Alimentarius through Codes of Practices and Product Standards. FAO and Codex publications are wide spread throughout specialized libraries, government agencies, training and research institutions, associations and fish industry around the world. This may be the reason why the Evaluation found in its interviews during country visits that the FI TGs on this topic are practically unknown to stakeholders.

9.2 Main findings

286. The analysis of the questionnaire survey to MCs and RFBs/RFMOs gave very few indications of FAO work and the Code concerning fish utilization and trade, which was in eighth place in the ranking of the best known areas of work. Also, more than half of the MC respondents considered the area of products, markets and trade among the best in terms of quality of work. The largest number of MC respondents also asked for assistance in the future on products, markets and trade.

287. The great bulk of FAO's capacity development and technical assistance work in this area was implemented in the decades before the period under evaluation. Nevertheless, some good examples existed of effective projects and initiatives, as well as good quality normative products, since 2004. In these, gender and social inclusion issues were taken into due account. This, despite the drastic cuts in human resources within FI in these particular areas of work.

288. FAO work in supporting national efforts in the area of fish inspection and quality control systems contributed to the improvement of these activities, assisting countries to maintain and/or increase their international markets for fishery products. However, the same level of improvement was not observed at domestic level, jeopardizing national efforts to increase fish consumption.

289. FAO member countries had mixed reactions to eco-labelling. Some accept that eco-labelling and its variants exist and will be used by retailers. Many others are understandably concerned that this may represent a barrier to trade. Many MCs were looking to FAO to

ensure that this did not happen by establishing basic global standards related to sustainable sourcing – some of which FAO has already produced – though this may need to be hardened up and internationally endorsed. This is going to be very challenging, given the strong subjective dimensions, but FAO needs to sit down and work out its policy on this.

290. Despite FAO's continuous efforts, poor fish post-harvest practices, particularly those related to fresh fish handling and preservation methods on board fishing vessels and at shore persist as major areas for improvement in the tropics. These poor practices contribute to post-harvest losses and connected negative issues, including poverty and food insecurity.

291. Government institutions have been the main FAO interlocutors on post-harvest and trade. However, the Evaluation reached the conclusion that they were not the most appropriate interlocutors because of their bureaucracy, lack of flexibility, terms of reference, and limitation of human and financial resources, quantitatively and qualitatively.

292. The Evaluation gathered enough evidence about the knowledge and understanding of the commercial fish sector in MCs about the Code as a whole. The depth of the understanding of Article 11 of CCRF by the commercial fish sector in MCs varied considerably. For instance, leaders of fish industry associations in most visited countries demonstrated a good knowledge and understanding of Article 11, although they pointed out that this was not common among their peers, i.e. the bulk of fish industries not directly taking part in the leadership of the associations. Moving down the hierarchy very few had any detailed knowledge that the Code existed or that the Code covered issues related to fish utilization and trade.

293. However, overall, FAO regular contacts with the private/commercial sector of MCs have been poor. It was repeatedly stated that FAO needs to be more pro-active in reaching out to the commercial sector, must strengthen communication channels, exchange information and involve the sector in the Code dissemination work. In order to do so, FAO should continue to use its solid partnership with the intergovernmental organizations members of the FishInfo Network. For example, the Evaluation's appraisal of the work of INFOSAMAK in Africa/Near East was positive, and the relationship appeared to be highly cost-effective.

294. A positive feature of FI technical documents in the area of fish utilization was the recognized importance given to develop synergies between its normative and operational work. During the period under evaluation, good examples were FAO work in fish post-harvest losses in Africa, as well as FAO global work in the area of risk analysis/risk assessment concerning fish as food. The synergy is actually strong in the field of fish trade, particularly concerning the emergent and fashionable issues of eco-labelling and certification.

295. Nevertheless, there is no doubt that the amount of work that the three FI staff with competence in the field of fish technology, safety and quality, can carry out is very limited. This will inevitably jeopardize any possible link and synergy. FAO officers at FIPM indicated that the cause of this reduction rests with the drastic cuts in personnel and financial resources.

9.3 Conclusions

296. Most work by FI in the areas of fish safety and quality and trade was at its peak before the period under evaluation. Extensive efforts went into capacity development at the regional and sub-regional levels, through workshops and projects.

297. Results of FAO long-time work contribution were highly positive: today practically all fish processing plants involved in the international market throughout the world have an operational HACCP plan coordinated by a team of professionals that were trained in HACCP. HACCP plans were also developed and are applied by many fishing vessels and fish farms delivering raw materials for exporting firms, including small-scale enterprises. Moreover, a significant number of fish farms, handling and processing plants, and retail markets, not involved in the international trade, have also voluntarily implemented HACCP systems.

298. As a result of HACCP implementation a radical change occurred in the way fish is handled, processed, stored and distributed from catching/farming till marketing. Government fish inspection and private quality control activities have also changed considerably. Compared with figures from 10-15 years ago, non-OECD countries significantly increased the quantities and values of their fish exports with a progressive product diversification. Many more among FAO's member countries are now included in the EC list of third-countries authorized to export fishery products to the European Union, although some of the control systems of these countries still face shortcomings and need to be enhanced.

299. The intergovernmental institutions taking part in the FAO FishInfo Network (INFOPECA, INFOFISH, INFOPECHE/INFOSA, INFOSAMAK, EUROFISH, INFOYU) have been of great assistance to FAO in its work aimed at supporting national efforts to implement CCRF in the area of fish utilization and trade. The same approach should be taken concerning regional networks of technical collaboration such as REDPAN and ANFTS. Collaboration with other UN agencies (UNIDO) and other regional bodies (OLDEPECA, OSPESCA, CARICOM, SEAFDEC and others) should also be investigated, tried, strengthened aiming at disseminating Article 11 of the Code

300. FAO's actual involvement in issues related to trade barriers linked to eco-labelling and private certification may have unintended and even negative consequences on the post-harvest sector of developing countries involved in the international market. These initiatives are in conflict with Article 11.2 of the Code and FAO is missing the opportunity to advocate their correction.

301. In light of the above, the Evaluation considers that FAO should maintain and strengthen, should financial resources be available, its activities to support the implementation of Article 11 of the Code, giving priority to the following:

- a. improvement of fish safety and quality, reduction of post-harvest losses and increasing fish consumption, taking into account the economic and social aspects of the post-harvest sector; and
- b. determining its most appropriate and strategic role in certification and labelling of fish products, with reference to FAO's mandate and the requirements of the CCRF.

10 Ecosystem Approach to Fisheries and Ecosystem Approach to Aquaculture

10.1 Introduction

302. The “ecosystem approach” (EA) is referred to widely in national and international policy documents. Most commentators refer to the Convention on Biological Diversity (CBD) for a basic definition. In 2000, Decision V/6 of the 5th Meeting of the Conference of the Parties of the Convention defined EA as “a strategy for the integrated management of land, water and living resources that promotes conservation and sustainable use in an equitable way”. This suggests that despite its name and definition, the EA is neither an approach nor a strategy, but rather a set of principles which extends and elaborates on those typically associated with sustainable development to give greater weight to conservation, sustainable use, and the fair and equitable sharing of the benefits arising out of the utilization of genetic resources.

303. The CBD decision also endorsed twelve principles and five points of operational guidance as a framework with which the EA could be enacted and which were the foundation of most subsequent interpretations of the EA, including the sectoral versions in the Ecosystem Approach to Fisheries (EAF) and the Ecosystem Approach to Aquaculture (EAA). It is important however to note the caution, spelt out in Decision VII/11 of the Convention: “.. *no single correct way to achieve an ecosystem approach...The underlying principles can be translated flexibly to address management issues in different social contexts*”. This suggests that despite its name and its definition, the EA is neither an approach nor a strategy, but rather a set of principles which extends and elaborates on those typically associated with sustainable development to give greater weight to conservation, sustainable use, and the fair and equitable sharing of the benefits arising out of the utilization of genetic resources.

304. Although the CBD principles and the various approaches through which they might be applied are not new, the CBD, WSSD and FAO, among others, are making concerted efforts to get greater application in practice of the principles of the EA. Similar principles can be found in the literature and guidance relating to integrated practices to sustainable development, Integrated Rural Development, Integrated Natural Resource Management, Integrated Coastal Zone Management (ICZM/ICAM), Integrated Watershed Management (IWSM) and more recently Marine Spatial Planning (MSP). In relation to aquaculture, they can be found in the GESAMP Report “Planning and management for sustainable coastal aquaculture development” and FAO’s Technical Guideline on Integrating Fisheries into Coastal Area Management. Many can also be found in the other technical guidelines produced in support of the Code. All these approaches are broadly similar, although there is arguably a greater emphasis on the constraints and opportunities associated with “ecosystem functioning”, “ecological health or wellbeing”, “resilience”, and equity in those associated with the EA. The CBD principles are also explicit or implicit in the CCRF itself and most of the supporting technical guidelines (i.e. not just the EAF and EAA guidelines).

The ecosystem approach and the Code

305. Although it preceded it, the CCRF could be interpreted as an elaboration of the EA as it should be applied to the fisheries sector, as per Article 10.1.1 of the Code: ‘*States should ensure that an appropriate policy, legal and institutional framework is adopted to achieve the sustainable and integrated use of coastal resources, taking into account the fragility of coastal ecosystems and the finite nature of their natural resources, and the needs of coastal communities.*’

306. The relationship between the EA principles, as defined in the CBD and the CCRF, is explored in more detail in Annex 15. The analysis suggests that the Code and its immediate derivative guidance cover all the key principles and operational guidance of the EA as defined in the CBD. In addition to the principles, five points of “operational guidance” are offered by the CBD. Two of these are effectively restatements or variants on principles 2, 5, 6 and 8. The other three address the need for benefit sharing, adaptive management, and inter-sectoral cooperation. All of these figure strongly in the Code and supporting guidance. FAO, however, had not elaborated either a set of EAF and EAA principles derived from the EA more generally, or been explicit on how the CCRF is reflected in the EAF and EAA.

307. Thus, the Code is compatible with the EA principles, and indeed could be regarded as a practical interpretation and elaboration of EA principles as applied to the fisheries and aquaculture sectors, even though it pre-dates the EA by several years.

308. As would be expected, the two sets of principles differ in their perspectives. The EA is ecosystem health focused (while taking account of human interests); the CCRF is fisheries management issues focused (while taking account of the wider ecosystem). The FAO interpretation that the EAF and EAA, sectoral adaptations of the EA based on the CCRF, are vehicles for implementing the Code, therefore, is valid.

309. The Code, in Article 10, also provides for the establishment of institutional frameworks and policy measures for the integrated management of coastal areas as well as regional cooperation and implementation of measures within these frameworks. However, Integrated Coastal Management (ICM) is not the only integrated approach mooted for aquatic systems. Another two examples are ecosystem-based management (EBM) and marine spatial planning (MSP). The main difference among the three approaches is the planning area or geographic scope of the approach, as well as the assessment methodology. These all involve cross-sectoral ecosystem planning and management.

310. The ecosystem approach to fisheries has required fisheries management to take a broader and more comprehensive view by adding the human factor in the planning and management of fish stocks. EAF is also an ecosystem-based, planning process that needs to be incorporated, sooner or later depending on the context, in broader management and governance frameworks. Thus, ICM is concerned with the multiple uses of the coastal zone, including fisheries, whereas EAF is a sectoral approach to EA.

311. FAO, in view of its sectoral mandate, appears to have stepped aside from taking a lead role in ICM, or other IM approaches for aquatic ecosystems other than coastal, and has chosen to focus on its sectoral area through EAF and EAA, bringing an ecosystem perspective explicitly into fisheries management. This does not, however, avoid the dilemma of how fisheries management can be integrated with management of other sectors.

10.2 Main results and achievements

312. FAO led the move into EAF in 2001, when 57 countries issued the Reykjavik Declaration on Responsible Fisheries in the Marine Ecosystem, which included a declaration of their intention to work on incorporating ecosystem considerations into fisheries management. This was followed by the 2002 Plan of Implementation of the World Summit

on Sustainable Development that called for the application of the Reykjavik Declaration by 2010. Thus the EAF provided FAO with a strong link to the international environment instruments, and as the foregoing analysis showed, the Code provided a good basis for the EAF.

313. Experience was still lacking, however, in FAO and more generally, on how to implement the EA and EAF in practice. This, along with the high profile of the EA internationally, especially in global environmental instruments and the commitment implicit in the Reykjavik Declaration, led to considerable activity to develop and clarify the meaning of the EA, including by FAO. Opinions differ as to how effective such activity has been to date, especially as much of the action has remained at the level of global principles and explanations. Many fisheries officers in MCs requested more practical, place-based projects as learning platforms, rather than more high-level guidance.

314. Most emerging guidance centres around some form of integrated, participatory natural resource planning and management, with emphasis on understanding and sustaining the full range of ecosystem services. This presents a similar challenge for FI as does ICM, because such approaches imply planning and management institutions and systems which address more than fisheries or aquaculture management. However, as EAF is part of the wider global efforts on EA, the ecosystem conservation objectives should be common across sectors and sectoral human activities will have to be managed in line with protecting ecosystem health and achieving their socioeconomic objectives. In the short to medium term, large challenges still remain for integrated management, e.g. the cross-sectoral institutions do not usually exist and the scope of the exercise is large. For fisheries managers, however, the short-term steps are to take account of wider ecosystem impacts and other interests when developing fishery and aquaculture strategies, plans, and in planning and management systems. The need to engage more broadly with other sectors and interests in order to achieve even EAF and EAA is still a major challenge.

315. FAO responded to the call for guidance and clarification of the meaning of EA through a range of publications, resources workshops and fieldwork, some of which are reviewed below. It had already produced a 'Technical Guideline on Integration of Fisheries into Coastal Area Management' in 1996 and 'Guidelines on Integrated Coastal Area Management and Agriculture, Forestry and Fisheries' in 2008. These are focused around the two primary interpretations: the Ecosystem Approach to Fisheries; and the Ecosystem approach to Aquaculture. These now guide much of FAO's thinking and work and, to some in the department, represent the main mechanism for delivery of the CCRF.

316. Marine spatial planning (MSP) is gaining increased attention, including in the CBD processes. It provides a potential mechanism for incorporating fisheries and aquaculture in multiple use ocean planning. A number of European countries (e.g. European Union COEXIST Project) as well as the United States (Massachusetts and Rhode Island) have started to use MSP to guide multiple stakeholders in working together in a transparent and science-based process to explore siting of ocean and coastal uses such as fisheries and aquaculture. Regional and state efforts to develop MSP are ongoing, with some already focused on aquaculture. For example, MSP could help pave the way towards the development of an efficient aquaculture permitting process.

317. In anticipation of developing countries moving in this direction shortly, FAO could build on its earlier work on spatial planning tools and develop guidelines on integrating

fisheries and aquaculture in MSP. The Evaluation notes that the CBD processes are already examining MSP with respect to biodiversity protection. These guidelines could be part of the EAF series of guidelines as an Addendum or Supplement, in order to emphasize the link of EAF to MSP. A vigorous programme of capacity development for fisheries officers should follow in order to ensure implementation of the guidelines.

318. FI has produced eight normative ICM and EAF relevant products. These are analysed in detail in Annex 7 and only the discussion of the EAF Toolbox, and of the EAF Web page given its relevance to FI work, are reported here. Key findings from the analysis are that the EAF and EAF have developed different definitions, and neither has shown explicitly the points of linkage with the Code or defined their principles.

319. The EAF toolbox is a useful online set of tools to support the development of improved fisheries management systems: 'The EAF toolbox is aimed at national and local fisheries management authorities, including fishery managers, scientists and stakeholders looking for practical solutions they can apply given their circumstances and resources. By ensuring that situations with low capacity are covered adequately, it is hoped that the toolbox will be seen as useful by all individuals, groups and sectors interested in the development of improved fisheries management systems to better generate positive community outcomes in each location.'

320. The toolbox is straightforward, accessible and useful and covers key dimensions of developing an effective fisheries management system and the tools that should support such a process. It could be developed into a key learning and training resource for the implementation of the CCRF including aquaculture.

321. The EAF web page⁶⁵ is where most people will come when seeking clarification of the nature and implications of EAF and EAA. The page illustrates some of the strengths and weaknesses of FAO's interpretation of the EAF and EAA. The background section is clear and immediately identifies the nature of the problem from a fisheries perspective, including a call for urgent corrective action which, however, gets immediately after compromised by implying, unintentionally, that fisheries managers will need to spend a lot of time gathering information and developing institutions before they can address ecosystem issues.

322. The section on principles again starts with clarity, but the definition (taken from the EAF guidance discussed above) is ambitious, implies substantial political and institutional change, and may be difficult for all but the most academic reader. Nevertheless, it closes with a clear explanation of what the EAF means in practice. The section "Elements needed for successful ecosystem management" is a useful if long and aspirational set of "elements" (i.e. a mix of principles; ways of doing things; specific actions). It encompasses most interpretations of the EA and most suggestions for how to go about it. Users can use it as a checklist to identify where existing fisheries management can be strengthened.

323. In terms of practical application of the EAF, three key FAO projects were the most relevant to the Code articles and products on ICM, EAA and EAF: the EAF-Nansen project (GCP /INT/003/NOR); the Bay of Bengal Large Marine Ecosystem (BOBLME) programme;

⁶⁵ <http://www.fao.org/fishery/topic/13261/en>

and GCP /GLO/322/NOR on climate change. These were briefly assessed in terms of their relevance to FAO's support to the Code implementation in Section 6 of Annex 9.

10.3 Main findings

324. Despite some confusion and doubts about the EAF and EAA, the Evaluation questionnaires revealed a strong demand for FAO EAF and EAA products and information, likely reflecting within-fisheries as well as broader national and international attention to EA. Most respondents, from both MCs and RFBs/RFMOs, knew the Ecosystem Approach to Fisheries (EAF), along with the other most highly rated area, Preventing, Eliminating and Deterring IUU. By contrast, FAOs work in ICM was among those least known by respondents. Among the most highly used Code instruments by MCs were Technical Guideline No. 4 Suppl. 2 on EAF. RFB/RFMOs listed the EAF guideline among the well used products.

325. In terms of areas for which respondents most wanted future assistance, EAF rated among the highest three, for MCs and the regional bodies. For the regional bodies, ICM was listed among the areas of least interest.

326. At country level, in meetings with the Evaluation, positive, less positive and negative views were expressed on similar aspects, indicating that the integrated/ecosystem management space is still in a contested stage of development. This is expected for complex tools that, although not necessarily new conceptually, are not normal practice in many countries. Although integrated management approaches may be well applied in some countries, especially in some developed countries, they are not as well applied elsewhere. Depending on the particular context, the lack of wider usage of integrated management may also be a local judgement on whether such complex approaches are needed to solve the issue at hand.

327. The key messages that emerged on both EAF and EAA were as follows:

- i. EAF and EAA are not interpreted as a "people centred" planning and management approaches as currently promoted by FAO. The term EAF does not convey the idea of holistic fisheries management, rather it implies environmental management and this image may need to be overcome before more widespread testing is done;
- ii. Clarification was needed on how the human and social dimensions are embodied in EAF and EAA. Even institutions in countries working with FAO on implementing the EAF tend to have a biology and conservationist perspective and they need tools to better include the socio-economic aspects of the EAF and EAA as fisheries have to do with livelihoods;
- iii. Researchers were more comfortable with the EAF and EAA concepts than fisheries officers who were less convinced and considered it complex and data hungry. Some felt it had limited relevance to key issues on the ground;
- iv. Government officers suggested FAO make further efforts to conduct research, case studies and develop methodologies to clarify EAF concepts. Contextualization of EAF as well as the Code is a critical need;
- v. In Latin America, where FAO has been working concertedly on projects that embrace EAA, views were very positive. The ecosystem approach is highly regarded by all stakeholders that consider its promotion and application a must for fisheries and aquaculture in Argentina and Nicaragua. In Nicaragua and Uruguay, FAO has

supported the creation of capacities at the individual and organizational level to implement the EAF and EAA. In Peru, the law and public policy for promotion of aquaculture development were reoriented. The Strategy and National Plan for Aquaculture include principles of the Code such as the EAA. In Uruguay, the new national legislation for responsible fisheries and aquaculture development is currently in the congress for its approval. It contains basic CCRF principles such as the precautionary approach, ecosystem approach to fisheries and aquaculture, and also institutionalizes the participation of society; and

- vi. In Asia, differing views on the utility of EAF were expressed, i.e., “EAF does not obstruct our approach; but cannot say it helped”; “EAF approach underpinned by the CCRF”; “EAF same as Code”; “EAF is delivery”. It appears that additional capacity development is needed to better appraise EAF and EAA concepts. While interviewing government officials in one country, the impression was that they tended to interpret EAF and EAA narrowly in terms of establishing sanctuaries to protect fish seasonally or permanently.

10.4 Conclusions

328. The EAF and EAA, their relationship with the Code, specifically with Article 10 on ICM, and FAO's support for developing the concepts and supporting pilot testing is one of the most complex areas of FI's work in support of the Code.

329. The Evaluation found from normative instrument assessments that the EAF and EAA and the Code are congruent with the EA as embodied in global environment instruments and processes such as the WSSD and the decisions of the COPs of the CBD. As with many of FAO's normative products on the Code, the EAF and EAA and ICM instruments were much stronger on biophysical work and weak on the human dimension. Although FAO has developed a TG on the human dimensions of EAF, this still prioritizes fisheries resources and the ecological over people and has only a relatively unsophisticated level of analysis compared to the more sophisticated levels achieved by FAO on TGs on technical areas (see Chapter 13).

330. This imbalance of technical over human dimensions is particularly important for EAF and EAA that claim to be people-centred. FAO is now conducting a small number of projects that are piloting EAF and to a lesser extent EAA in specific locations and early experience is positive. This experience is very young as yet. During country visits, the Evaluation found that a wide range of views, interpretations and experience existed regarding EAF and EAA. The Evaluation questionnaire revealed that respondents in MCs and regional bodies have a high awareness of FAO's EAF and EAA work and are keen to learn more and receive more help in the future, especially in practical implementation. The Evaluation concluded that FAO needs to:

- a. further clarify the EAF and EAA concepts and determine their relationship with the CCRF;
- b. develop better guidance of a practical nature, including on how fisheries and aquaculture managers, working in an ecosystem approach, can better engage in integrated management planning and management processes, such as MSP, while staying on track or reinforcing key fisheries and aquaculture governance issues; and
- c. consider the hypothesis of re-branding the EAF toolbox as the CCRF toolbox.

331. In relation to a., FAO should further clarify, through its website, toolbox, publications and projects, that EAF and EAA require strong fisheries and aquaculture policies and management, rather than being a replacement or alternative. FI should build on and strengthen existing or developing fisheries and aquaculture management systems to address well known key issues, for example overfishing; misuse of antibiotics; and wasted feed. Engagement in more integrated initiatives at local or regional levels should be taken in such a manner as to improve focus on the key issues and, as indicated by diagnosis and planning, to systematically embark on additional and reinforcing or augmenting efforts as they help meet long-term needs. Put simply, diverting resources to trying to understand and manage complex ecosystem and multi-sectoral effects will not succeed if basic matters are not taken care of, for example, overfishing or antibiotic use. On the other hand, if careful analysis, pilot testing and risk assessment indicate a likely good pay-off for investing in incremental or even redirected efforts, then these opportunities should be taken.

332. The Code should be placed much more front and centre when promoting EAF and EAA. Parts of the Code - Articles and normative products - can and are used independently in appropriate and focused functions, e.g. certification and dealing with IUU. EAF and EAA take a systems approach around fisheries management and sustainable aquaculture, and can, theoretically, roll in many other parts of the Code. However, the Evaluation considers that such “mission creep” of EAF and EAA leads to direct competition with the Code and further confusion and potentially diminishes the authority of the CCRF.

333. In relation to b., FAO should increase its practical work through its own projects and through partnerships with others, including governments and NGOs. FAO should consider how to most efficiently use its convening and coordinating power, including through rapidly developing the EAF toolbox and through capacity building at the individual and institutional levels. FAO can team up with competent training and education establishments on the EAF and EAA practical application. Results achieved, positive and negative lessons learned should be fed back into improving the practical guidance. Also, while developing the toolbox and gaining practical first hand and convening experience, FAO should be mindful of opportunities to work with MSP initiatives in order to gain practical experience of how to get fisheries and aquaculture included in MSP.

334. The rationale for c., comes from the observation that EA has entered international policy vocabulary, and is strongly promoted by NGOs, donors, and FAO itself. Given the importance of the UN global governance processes that impinge on fisheries and aquaculture, FAO should position its products in this space. The EAF and EAA emphasise the need to manage fisheries and aquaculture as part of an ecosystem, taking full account of actual or possible impacts on ecosystem services. The EAF and EAA also emphasise the need for more effective governance systems for fisheries and aquaculture. These needs are also explicit in and central to the principles of the Code. However, seeking to promote the CCRF primarily through the EAF and EAA at this stage of their practical development presents risks for the Code, as well as for the EAF and EAA.

335. The risk for the Code is that this important, widely and formally agreed soft-law instrument starts to fade into the background and lose its authority. Now, the CCRF is widely known and highly regarded, yet often taken for granted and not mentioned explicitly in FAO activities. Many FAO documents which state that a particular project activity or approach will support the ecosystem approach could and should state they support the CCRF. The EAF and EAA are less well known amongst fishery practitioners, less highly regarded, and less

able to be put into direct practice yet without considerable long-term support. To say that the Code is implemented through the EAF and EAA is a risk and puts a lot of weight on an emerging instrument.

336. The EAF toolbox appears to have good long-term development potential. Renamed, e.g. as the CCRF Toolbox, it could become a platform for convergence with the CCRF, and become a comprehensive and effective support tool for CCRF implementation. When communicating with fishers and fishery managers, it would be more sensible to stick with CCRF, but subsections of the toolbox could be suitably named to help engage other audiences, e.g. environmental managers. **Recommendation 14** to FI embodies these conclusions.

11 Status and Trends in Fisheries and Aquaculture, Research and Climate Change

11.1 Status and Trends and data in Aquaculture and Fisheries

11.1.1 Main results and achievements

337. FAO is the lead United Nations agency on global fisheries and aquaculture statistics, status and trends. The Organization articulated its mandate in this area by developing normative instruments aimed at guiding MCs in this task and by collaborating with the MCs and RFBs/RFMOs that carry the primary responsibility for collecting the raw data. The Code stresses the importance of data in fisheries and aquaculture through Articles 7, 9 and 12. This was further expanded through the two non-binding legal instruments of the Code, namely the 2003 Strategy for Improving Information on Status and Trends of Capture Fisheries (STF) and the 2008 Strategy and Outline Plan for Improving Information on Status and Trends of Aquaculture (STA).

338. The STF draws its authority from the Code and recognizes relevant parts of the Code, namely Article 2 (Objectives d and e), Article 3 (relationship with other international instruments), Article 5 (Special Requirements of Developing Countries), Article 6.13 (appropriate transparency and participation), Article 7 (Fisheries Management) and Article 12 (Research). FAO's work on STF and its augmentation by the FishCode work on data gathering methods for small-scale fisheries (the frame surveys) are well regarded by the MCs and regional bodies.

339. The STA also relates fully to the CCRF principles and articles. It comprises a strategic framework, and an implementing plan in an annex. The roles of different parties in information gathering are made clear. The document however, can read as a rather theoretical wish list based on an assumed national willingness to gather information, and the capability of regional bodies. As a non-binding instrument, no incentives or coercive measures are mentioned. To make them more action oriented, the strategy could be shortened and more focus placed on building collaboration and capacity of producers, research and development agencies.

340. The fisheries and aquaculture data collected by MCs and RFBs/RFMOs, using FAO standards and compiled by FAO, are also important inputs to the major synoptic reports produced by FAO, including the flagship biennial State of Fisheries and Aquaculture (SOFIA). As mentioned above, the FAO IEE called this “the most influential publication in global fisheries”. SOFIA is more than a compilation and presentation of statistics and the Evaluation team assessed all SOFIA reports issued during the evaluation period, as shown in Box 19 below.

Box 19. Assessment of Code-related normative products

Category of product (number products)	Relevance for CCRF	Technical quality	Outcome (actual or potential uptake and use)	Potential impact as capacity development tool	Integration of environmental sustainability concepts	Gender mainstreaming	Integration of social inclusion and poverty reduction issues
<i>SOFIA (4)</i>	5.5	5.3	4.7	4.6	5.3	2.9	4.6

Source: Evaluation team

341. The four SOFIAs scored well. Indeed, the coverage of the Code’s progress peaked in 2006 SOFIA which had a special topic on the Code, as it entered its second decade. The special section on the Code was not inspiring, however, but rather full of reasons why implementation was not working. Overall, despite the numerous Code-relevant special issues and studies reported, Code references were low profile and not very explicit.

342. In terms of gender mainstreaming, the SOFIA coverage of women and gender issues gradually increased with time. Poverty, food security and small-scale fisheries were commonly mentioned in all editions of SOFIA, especially in the last four. Small-scale fisheries were featured in SOFIA 2008. The EAF was profiled in 2008 in the feature on the Benguela current large marine ecosystem and in 2010 when the socio-economic aspects were featured.

343. On aquaculture, SOFIA covered the developments in the sector well, and in addition included special topics such as capture-based aquaculture (2004), and the ecosystem approach to aquaculture (2006).

344. At present, SOFIA is written almost entirely by FAO’s own experts, sometimes supplemented by commissioned consultants. The Evaluation considered that the quality and interest in SOFIA could be further improved by using additional experts and both internal and external teams on key themes. This would both improve the expertise brought to bear on the document, and would bring in wider interest and ownership. Other UN agencies have had good success with this approach, for example, UNEP in its annual Yearbook⁶⁶ that brings in the best available experts to work with UNEP experts on key topics.

⁶⁶ <http://www.unep.org/yearbook/2012/>

345. Besides the normative instruments and global publications just discussed, a number of projects have been ongoing in support of data collection and analysis.⁶⁷ The main ones are listed and commented in Section 7 of Annex 9.

346. Furthermore, FAO's work on fisheries and aquaculture data collection has been also underpinned by its Regular Programme, aiming at global fisheries statistics collections and capacity development for MCs. These include: the online and downloadable software FishStat in its various versions, electronic databases, annual statistical publications, the Fisheries Resources Monitoring System (FIRMS), the Coordinating Working Party on Fishery Statistics (CWP), and the online fact sheets, namely the National Fishery and Aquaculture Country Profiles, the Regional Fishery Bodies (RFB) and the National Aquaculture Sector Overview (NASO). In the case of fisheries data, the RFBs/RFMOs have a very strong focus on data and are thus close partners of FAO in data collection and verification. One of FAO's main tasks and activities has been to help define and assess fish stocks, and produce a series of fact sheets making this information publicly available.

347. For ease of updating, cost efficiency and accessibility, FAO has moved most of its basic statistical information from hard copy format to online and CD-ROM versions. For example, the FAO Yearbook of Fishery and Aquaculture Statistics, which comprised of four annual volumes (Aquaculture Production 2009, Capture Production 2009, Commodities 2009 and Food Balance Sheets 2007), is now produced for downloading and on a CD-ROM. In terms of preferred formats, interviewees in MCs tended to prefer hard copies and several asked whether the volumes were still available. Those who used online material frequently, preferred summarized versions such as the NASOs. Many were not aware that they could download the full data sets and software or interrogate the databases online, or preferred not to. FAO has not been as proactive as it should have been in promoting to MCs, other stakeholders and the interested public the spectrum of forms in which they can access fisheries and aquaculture statistics. Experts have little trouble finding what they need in the FAO system, but less expert users are challenged to make sense of what is available to suit their needs.

348. FI headquarters staff reported that, from 1998 to 2008 their focus had been on developing an integrated information base (FIGIS) and releasing an integrated fisheries website. All information sources in fisheries were to be integrated into a single entry point. They have retreated from ground and field work and shifted to enabling outreach, through NGOs and other organizations that can then help disseminate material. In practice, they have shifted from being an independent information generator to being an information broker.

349. An initiative funded by the World Bank entitled the 'Big Numbers project' and an inventory of data collection systems made under the FAO FishCode–STF project showed that data collection on small-scale fisheries is not well covered and requires innovative strategies to overcome the intrinsic problems arising from the dispersed nature of the data and the weak national capacities in this area.⁶⁸ FI staff also stated that they intend to give attention to

⁶⁷ Project activities reviewed in Annex 9 are: the FishCode Trust (GCP /GLO/125/MUL); strengthening of RFBs/RFMOs (GCP /INT/069/JPN); GCP /RLA/140/JPN); UTF /URU/025/URU and GCP /URU/030/GFF.

⁶⁸ Source: abstract of: de Graaf, G. J., Grainger, R. J. R., Westlund, L., Willmann, R., Mills, D., Kelleher, K., and Koranteng, K. 2011. The status of routine fishery data collection in Southeast Asia, Central America, the South Pacific, and West Africa, with special reference to small-scale fisheries. – ICES Journal of Marine Science, 68: 1743–1750

gender-disaggregated data, especially in SSF; further, the upcoming GEF ABNJ project has a large information management component.

350. Aquaculture data and the Code's STA have not had the same level of attention by FAO as have fisheries data and the STF. Little funding is available. This is not appropriate given the dynamic development of aquaculture, which would suggest that MCs and FAO are unlikely to have accurate aquaculture statistics.

351. Aquaculture staff within FI at headquarters are attempting to "build a strong information platform to improve the information sharing among MCs". They have developed different types of information systems and databases, e.g. the online national aquaculture legislation overview, which covered 50 countries by the end of 2011, together accounting for 90 percent of world aquaculture production, as well as the 120 NASOs that they intend to update each 4-5 years. The aquaculture unit of FI has also developed a database covering 47 different species containing data on culture, practices and governance.

352. STA and STF remain big challenges as information capacity and information systems in MCs are often weak and work is needed on a country-by-country basis. FAO has done this in a very targeted, proactive and diplomatic way in recent years in order to help countries improve their statistics and thus gain better global statistics. In this sense, FAO is moving from a passive mode that relied only on data submitted, to an active modality of work. Also, it must be acknowledged that there are important time-lags between the moment of collecting fisheries and aquaculture data and their release, since FI must cross check the received information with the MCs and RFBs/RFMOs themselves.

353. IUU and MCS work, which should complement and strengthen the basic data gathering work, has not proved as helpful as expected as it is more geared to monitoring. The Global Record of fishing vessels has widespread support and agreement, however it will be very costly to establish and available funding is limited. The tuna RFMOs are now implementing a similar initiative for their vessels but FAO had hoped for more enthusiasm and support from MCs. COFI and most of MC efforts are currently focusing mainly on the illegal part of IUU, and little on the unregulated and unreported parts that are very important to the base data collections so important for fisheries and aquaculture decision-making.

354. Trade statistics are problematic when they do not distinguish between capture fisheries and aquaculture trade information. Countries considered INFOFISH and the Globefish network to be important, although national price data were usually limited.

355. FAO is also experiencing increasing demand for: data on food security, social and economic contributions, and impact on and by the environment. FI is relatively strong on biophysical data but not so on socio-economic information. Perhaps the Coordinating Working Party on Fishery Statistics could be used to help FAO strengthen this type of data collection, as well as its analysis and policy work. For fisheries and aquaculture, additional information for cross-sectoral resources management is needed.

Main findings

356. The Evaluation questionnaire showed that for both MCs and RFB/RFMOs, information on status and trends was among the highest rated areas of FAO work. The Evaluation had also first-hand evidence during the country visits that nearly every country or

regional body mentioned, with appreciation, FAO's support on data collection, including sorting out the problems encountered, providing workshops to improve capacity and train officers in new approaches. For example, in several countries, FAO projects were mentioned in which strong support was given in the data collection side of the project, e.g. in Barbados, FAO provided a consultant responsible for collection and data analysis in a collaborative project on the assessment of flying fish fisheries between Trinidad and Tobago and Barbados. Overall, the Evaluation noted a high degree of integration between the field programme and the normative work of the Fisheries Department, as field projects frequently gave priority to improving data as stressed in the STF and the Code itself.

357. Another positive finding was that countries were well disposed towards strengthening data collection systems using the frame survey method, as its potential to provide a solution to the challenges of collecting small-scale fisheries information is becoming well recognized. The positive attitude was noted especially in those MCs that have been involved in FAO projects.

358. However, the demand for more assistance was very high, again nearly universally, as clearly stated in the questionnaire and the country visits. Even countries with reasonably strong data systems are aware of shortcomings in certain areas, such as inland fisheries, fisheries and aquaculture censuses, and would appreciate further help. Also, structural changes due to decentralization of government services have weakened statistical services in other countries. Some specific gaps and needs are illustrated here below.

359. Among the weaknesses noted, data collection for fisheries and aquaculture management was often missing in national legislation and not used if collected. Although some of the larger fishing countries, are giving considerable attention to creating and maintaining good data collection systems, including vessel registration and licensing, not all countries have included CCRF principles relating to guidance on data recollection for fishery management (Article 7.4) and protocols, standards and international best practices for fishery data updating (Article 8.1). In addition to lacking laws requiring data, and although some FAO projects seek to strengthen information systems, MCs often lack procedures or decision-making processes to demand or use this data. Despite the increasing emphasis on fisheries governance, governance issues fail to be addressed. Decision-making procedures themselves need to be examined, rather than just assuming that science or information must come first.

360. In addition, some countries requested FAO assistance in conducting a periodic fisheries census, and to help address definitional and practical SSF issues. The latter request was especially strong from MCs with large multi-gear, multi-scale fleets.

361. Another finding was that RFBs and RFMOs repeatedly put greater premium on data collecting and data quality than MCs. The regional bodies are strong advocates of the Code in their work, including data collections and use, as the Code gives them the authority. Several MCs mentioned that they relied on the regional bodies for data, especially in the case of tuna RFMOs, others managing shared stocks and even in inland fisheries (e.g. Lake Victoria Fisheries Organization). The RFMOs are also critical on port inspections, vessel registries and stock assessments, usually having greater capacity than many member countries and/or coordinating the assessment and peer review processes.

362. A major issue was that STA needs greater attention to help countries get accurate aquaculture statistics: in some MCs that have national policies to support rapid increases in

commercial aquaculture production, the recent reported production levels may be incorrect. Often, these countries have not carried out surveys for a decade. Rough heuristic calculations would show up some of these inconsistencies that need investigation. Using the inflated, or in some cases deflated, estimates could lead to inappropriate policies and programmes. The Evaluation was not convinced that FI officers were fully abreast of these doubts in the case of some MCs aquaculture statistics. Furthermore, as the aquaculture sector lacks regional bodies, aquaculture data tends not to benefit from regional initiatives.

11.2 Fisheries and aquaculture research

11.2.1 Main results and achievements

363. Article 12 of the Code of Conduct for Responsible Fisheries concerns Fisheries Research and its paragraph 12.1 is a comprehensive statement of the obligations of States on research.⁶⁹ Despite the insistence on the use of all scientific disciplines in research, Article 12 does give greater emphasis, and detail, to the requirements for stock assessment and biophysical research. Social and economic aspects are also covered, though less comprehensively.

364. Research is not part of the FAO mandate but the Organization has long recognized the importance of research. In addition, FAO's Technical Guidelines and other normative products for the Code are founded on knowledge out of the latest research. After establishing in 1961 the Advisory Committee of Experts on Marine Resources Research (ACMRR), a FAO Council-led process launched in 1993 led to the expansion of the body's mandate and the creation of the Advisory Committee on Fisheries Research (ACFR) which met for the first time in December 1997.⁷⁰ On this occasion, FAO's mandate for fishery research - *to take responsibility for collecting data, formulating research needs and recommending management options* - as reaffirmed by the 22nd session of COFI (1997), was noted and the conclusion was that *'FAO is expected to have a coordination and leadership role in internationally applied research in fisheries.'*

365. ACFR met six times between 1997 and 2006, providing advice to FI and COFI on FAO's role in relation to fisheries and aquaculture research and oversaw the development of the Strategic Framework on Human Capacity Development in Fisheries. No meetings were held since 2006. In its role of alerting FAO to emerging and over-the-horizon issues, the 2006 ACFR meeting provided FAO with a 'major works list': 1) trade: spread of benefits; 2) trade: generic certification systems; 3) fish meal, fish as feed and fertilizer trade flows; 4) SSF: successes and failures and assessment needs through case studies; 5) measuring the implementation of CCRF; 6) climate change and fisheries and aquaculture; 7) emergency preparedness, disaster prevention, rebuilding and rehabilitation; 8) disease prevention in aquaculture; 9) fisheries in integrated inland water systems; 10) land tenure, property rights

⁶⁹ "States should recognize that responsible fisheries requires the availability of a sound scientific basis to assist fisheries managers and other interested parties in making decisions. Therefore, States should ensure that appropriate research is conducted into} all aspects of fisheries including biology, ecology, technology, environmental science, economics, social science, aquaculture and nutritional science. States should -ensure the availability of research facilities and provide appropriate training, staffing and institution building to conduct the research, taking into account the special needs of developing countries."

⁷⁰ Source: <http://www.fao.org/fishery/rfb/acfr/en>

and resource access in fisheries; 11) inland and culture-based fisheries; 12) FIRMS implementation for national level assessments; and 13) catch documentation of fish origin.

366. All of these topics were Code relevant and the Evaluation noted that the ACFR highlighted “measuring the implementation of CCRF”. The Evaluation’s assessment of how FAO supported implementation of Article 12 was mixed but overall positive. On the positive side, through the Regular Program and specific projects, FAO has been highly supportive of research. However, the ACFR no longer meets and FAO has not explicitly addressed the processes by which it can support fisheries and aquaculture research in MCs and RFBs/RFMOs.

367. FAO has not produced any normative instruments on Article 12, but several of the normative instruments, such as STF and STA, and most of the TGs are effectively based on the latest research results relevant to Code themes. What is missing, then, is guidance on research priorities, and institutional and enabling environment matters concerning research.

368. Among the projects examined by the Evaluation, a few concern fisheries and aquaculture research fully or partly. In Section 8 of Annex 9, a sample⁷¹ of these projects is described, however many other projects also contained elements of research support and coordination.

369. Another area of research included in the Code – Article 11.1.6 - is about fish technology and quality assurance and support projects to improve post-harvest handling of fish, taking into account the economic, social, environmental and nutritional impact of such projects. Most work by FAO in this area, was carried out in the period 1960-2000 and took the form of technical assistance and capacity development for improving the technology of fish handling, processing and marketing. Overall, this was a history of constant and influential global active participation, with hundreds of government officers and industry personnel trained in fish technology, inspection and quality control mainly through the FAO/DANIDA “Training programme on fish technology and quality control”. With the establishment of the FAO FishInfo Network, INFOPESCA, INFOFISH, INFOPECHE, INFOSAMAK and EUROFISH, strong partnerships were established in the area of training in fish technology, inspection and quality control in each region.

370. The last decade saw efforts mostly aimed at supporting regional collaboration in fish technology as a whole. Regional technical consultations, workshops, and symposia have been held in the three regions. These events provided a unique opportunity for fish technologists from the regions to exchange information, discuss problems and elaborate programmes of applied research to be carried out in the period until the next consultation. For instance, in Africa, regional meetings were held during the period under evaluation in Bagamoyo, Tanzania (2005), Agadir, Morocco (2008), and Mahe, Seychelles (2011). Another good example was FAO’s contribution to the organization and implementation of the recent regional fish technology and quality control meetings in Santos, Brazil (2010) and Mahe, Seychelles (2011). Besides these very positive initiatives, FI has devoted only very limited efforts to research for the development and improvement of commercial value added fishery products.

⁷¹ Projects assessed include: FIINPESCA (GCP/RLA/150/SWE); Strengthening the Knowledge Base for and Implementing an Ecosystem Approach to Marine Fisheries in Developing Countries (GCP/INT/003/NOR); and Artfimed (GCP/RAB/003-005/SPA).

11.2.2 Main findings

371. Nearly every MC visited brought up research and development issues and needs. In addition, the Evaluation visited research institutes of various kinds (government agencies, regional bodies, universities and international bodies) in most countries and so met with many researchers to also gauge their views on FAO's support to Article 12 of the Code.

372. FAO officers pointed out that FAO headquarters and Regional Offices have done little on research at country/regional levels, for either fisheries or aquaculture. However, fisheries officers in MCs seek guidance from FAO on what research is needed in issues of sustainable fisheries and aquaculture development. This was seen as central to Code implementation. Regionally and indeed globally, FAO also has not taken a wider look at research in terms of the wider set of disciplinary skills and knowledge, and suitable institutional structures for their work.

373. The Evaluation found that all MCs, with a wide range of achievements according to their means and priorities, support fisheries and aquaculture through funding research and research institutes. During the visits to MCs and regional bodies, it emerged that the research community was often the best informed about fisheries, aquaculture and, more specifically, the Code. The evaluation questionnaire found that fisheries research was in the middle group of MCs' requests for future FAO assistance, that it received a middle ranking in terms of MCs' level of knowledge of FAO's support, and their assessment of the quality of work done.

374. With respect to the RFBs/RFMOs, these bodies tend to have strong research capacity and, even so, in the evaluation questionnaire, they listed fisheries research among their top three requests for FAO assistance. Through FIRMS and other initiatives, they are already cooperating with and being coordinated by FAO to a large extent.

375. FAO's support to research has been a two-way street. Frequently, human capacity development work carried out by FAO has been oriented towards developing organizational capacities in research institutes, such as to help them implement models for the evaluation of fisheries resources, to test technologies for the production of aquaculture feeds, to improve aquatic disease diagnostic capacity and fish utilization and marketing capacity. Conversely, a number of countries have made strong national contributions towards implementing the Code and responsible fisheries and aquaculture and these national efforts have contributed to FAO's achievements also because the Organization has been recognized as associated with the country's status in fisheries and CCRF adoption. What this means is that MC research institutes have much to offer and share with other MCs and with FAO. Several MCs with large and competent research capacity suggested that FAO should make better use, through partnerships, of their capacity, including for training officials and researchers in other developing countries. For example, in China, FAO could help broker international linkages. Last, as a result of FAO's work on IUU and related topics, some countries reported that they intended to modify their research themes towards issues related to EAF and also regulation of IUU.

376. Many countries support similar "Department of Fisheries/Fisheries Research Institute" (DOF/FRI) structures but lack good links between the agencies. Furthermore,

DOFs and FRIs generally lacked good links with industry. These institutional gaps have been major constraints to implementing the Code. FAO would have the opportunity to help countries review and improve the institutional arrangements, using its convening and coordinating capacity and projects and may best work through its regional fisheries councils or other RFBs as the platform to help countries to strengthen the research, management and policy links. Also, in its projects, FAO should carefully choose its partners. There have been cases, e.g. the BOBLME programme, where FRIs were chosen as the key partner, when the actual focus on policy and management action would have required closer engagement with DOF. Conversely, as mentioned above, FAO could consider linking with an FRI as well as the DOF when the contribution of an additional knowledgeable partner on a project or activity would increase its impact.

377. Indeed, through some of its projects, FAO helped to bring in relevant national and international research agencies such as, in Ghana, the TIVO project that brought together the Water Research Institute from the Council for Scientific and Industrial Research, country researchers from Volta basin countries, WorldFish Centre and genetic researchers from Wageningen University, Netherlands. This capitalized on the most critical national and international agencies and their infrastructure, often built by earlier development assistance investments.

378. Countries can make much better use of research, development and education capacity in universities and other ministries. In some cases, officers of MC agencies felt that FAO might have helped sub-regional/regional projects pay particular attention to linking with their national research institutes. In an environment of scarce research resources, such projects are usually the main means of doing any research because local budgets cover salaries of staff in their institutes but are not sufficient to fund research projects. FAO needs to consider how Article 12 of the CCRF can be implemented under the typical conditions of non-industrialized countries.

379. FAO itself was in the early stages of making more use of national universities, including for education on the Code. Recognizing that national research and teaching capacities have greatly increased in recent years, and generally impressed with the level of understanding of the Code in the universities visited, the Evaluation encourages FAO to speed up its linkages with universities as vehicles for Code dissemination to the next generation of students and researchers.

380. Stock assessment capacity was still a major area of need. This was pointed out as a major lacuna during many interactions with fisheries officers in MCs. Although stock assessment and related science and research have tended to dominate FAO's interests for decades, and stock assessment is not the prime determinant to how fisheries are managed, the Evaluation believes that it is still important and needed.

381. In many MCs, current stock assessment specialists are nearing retirement, are not being replaced and leave at a time when their previous work has not had much influence on fisheries management. Also, stock assessment researchers are not well engaged in fisheries policy and management decision making, although a few MCs do have standing stock assessment committees linked to management. In most cases, this lack of influence is not due to the quality of the assessment, but rather to the lack of management systems that can control fishing effectively and/or to lack of suitable stock assessment approaches for the type of management practices.

382. Admittedly, no agreed stock assessment methods exist that would motivate government, industry and non-government stakeholders to bring rampant overfishing under control in the most populous countries with large fleets. The reasons for this are many-fold: 1) earlier efforts to use length-based rather than age-based stock assessment methods have not been found useful and have not been replaced effectively by more modern methods such as harvest rules which take into account levels of data available and risk assessments; 2) often governments do not favour transparency of knowledge on stock status; 3) research and survey vessels have aged, are not being replaced or used much due to the costs of running them; and 4) fisheries governance systems that require knowledge of the status of stocks have not developed. In addition, stock assessment is difficult for small pelagics that now dominate the fisheries catches, and in the face of increasing fishing power, such as from light fishing. In addition, little progress has been made in merging social, economic and biotechnical assessments.

383. FAO's role in helping countries solve some of these problems could be to lead and coordinate the research development of new and more appropriate stock assessments, including on the social and policy dimensions, for the fisheries now in most critical need. These fisheries are especially those comprised of many species and exploited by multiple gears of multiple scales. Inland fisheries are also major assessment challenges. A positive and well appreciated example in this sense has been APFIC's help with regional stock assessment efforts. In general, many MCs felt that regional projects had been a very good vehicle for strengthening national stock assessment capacity. The project mode seemed to be more favoured than the training or HCD mode.

384. In concert with the research questions, fisheries management also needs rethinking in developing countries in Asia and Africa, taking into account the need for approaches suited to complex multi-species fisheries. The current focus is on simple technical measures such as spawning/closed areas, but there is a lack of good guidance on fisheries management without stock assessment. Challenges include how to build on the MSC-type risk assessment approach that uses Fishery Improvement Plans (FIPs) where fisheries management does not meet certification standards, the norm rather than the exception for many Asian fisheries. FAO could play a role engaging more actively in developing and promoting similar initiatives, especially for complex fisheries where stock assessment is difficult, or by offering benchmarks for FIP-type schemes.

385. The Evaluation frequently found that researchers in MCs were more knowledgeable than fisheries officers about the latest ideas for fisheries and aquaculture management and sustainability, were often better connected to the international fields of new knowledge and could effectively contribute to spreading new Code approaches in MCs. Examples included integrated fish farming technology, EAF and EAA, the importance of gene-banks in aquaculture, and the need for fishmeal replacement in aquaculture feeds. Several MCs suggested FAO could make further efforts to conduct research, case studies and develop methodologies to clarify concepts such as the EAF. Through linkages with FAO, research institutes such as IMARPE in Peru credited their ability to handle stock assessments over the decades and, more recently, to move into more participatory research with artisanal fishers. One agency felt that a possible modality for FAO further technical assistance could be to have FAO's experts or retirees at their disposition for one year.

386. MC officers frequently expressed strong appreciation of FAO activities directed to capacity development in the research and technology through regional and national training activities. The participation of selected specialists in international workshops, congresses and internships in leading research and training institutions from developed countries had greatly enhanced national capacities in research and technology. Many of the senior officials interviewed had themselves benefitted from early HCD opportunities.

387. In most, but not all, MCs and regions, FAO and the MC research agencies did not have good links with private sector research. This was most evident in aquaculture where feed manufacturing is dominated globally by large companies that guard their proprietary technology (feed formulae and manufacturing practices) closely. FAO had not been able to engage with such companies when studying under-valued fish replacement options. And yet, success stories in aquaculture are usually based on tripartite relationships – research, private entrepreneurs and government. With further effort, FAO may be able to help generate and improve this equilibrium.

388. Some of the regional agricultural research bodies, such as ASARECA⁷² also include fisheries and aquaculture, and have very good links with national and international research agencies of relevance, e.g. in the CGIAR and from the overseas arms of institutes such as CIRAD (France). These agricultural research bodies also give access to partnerships to improve aquaculture productivity, market access research, value addition and feed options, as well as helping with partnerships with the private sector. As these example topics indicate, agricultural research networks are of particular benefit to aquaculture research agencies. In these cases, FI could help broker relationships with the help of the FAO Agriculture Department.

389. Last, more social science research capacity is needed to push forward Code implementation. As discussed more at length in Chapter 14, the Evaluation observed that social science research capacity in all countries lags behind that of biophysical science research and in most MCs is very weak. FAO needs to build its own capacity in this regard, and also to find more research partners in the social sciences.

11.3 Climate Change

390. Despite remaining pockets of agnosticism regarding climate change and its impacts, the international community has been vigorously addressing climate change as shown by on-going efforts within the context of the UN Framework Convention on Climate Change (UNFCCC). Countries have responded to the call for action on climate change issues, including through the development of National Adaptation Programmes of Action. Because of the urgent nature of the climate change issues, especially regarding the vulnerability of coastal and Small Island Developing States to the impacts of climate change, stakeholder groups also are taking action outside the UNFCCC context.

391. On climate change and fisheries and aquaculture, FAO is well-positioned to provide assistance to MCs within and outside the context of UNFCCC and has been very active in doing so. Its mandate with respect to climate change, as stated in Article 12.5 of the CCRF, is to help states establish the research capacity necessary to assess the effects of climate on fish

⁷² Association for Strengthening Agricultural Research in Eastern and Central Africa

stocks and aquatic ecosystems. In effect, FAO's role in research in this area is in facilitating and coordinating. In line with this, FI has focused its work on climate change in the following thematic areas:

- Improving awareness of impacts pathways and vulnerabilities and supporting adaptation potentials;
- Understanding greenhouse gas emissions from aquaculture and fisheries sectors as well as supporting mitigation efforts;
- Communicating and advocating for the sectors in global, regional and national climate change discussions;
- Making the bridge between science and policy; and
- Coordinating and collaborating international efforts in the above areas.

392. FI staff in headquarters and decentralized offices have been contributing to this work under the coordination of FI's Working Group on Climate Change. This provides input to FAO's Interdepartmental Working Group on Climate Change, mandated to liaise with the UNFCCC Secretariat on technical issues, for coordinating responses to outside inquiries for information, and for tracking and representing FAO in policy discussions in UNFCCC and in other forums. The members of FI's Working Group on Climate Change are also the focal points for information exchange between FAO headquarters and its Regional and Sub-regional Offices on their respective activities on climate change.

393. FI major initiatives on climate change are listed below.

- a. FAO Expert Workshop on Climate Change Implications for Fisheries and Aquaculture, 7-9 April 2008, Rome: FAO convened this workshop to identify and review the key issues of climate change in relation to fisheries and aquaculture and to evaluate policy options and activities at various levels that can help minimize the negative impacts of climate change, improve on mitigation and prevention, and maintain and build adaptive capacity to climate change. The workshop produced recommendations regarding: the development of the knowledge base needed for planning interventions; policy, legal and implementation frameworks at various levels; capacity development; and enabling financial mechanisms;
- b. FAO Fisheries and Aquaculture Department Strategy for Fisheries, Aquaculture and Climate Change Framework and aims 2011-16: This was developed to provide the medium-term framework, laying out the perspectives and objectives of the FI with respect to climate change issues and development responses, with a focus on implementation of its mandate in this area through Regional and Sub-regional Offices. It also identified the comparative role and strengths of FAO's FI in strategic planning, knowledge management and partnership building in addressing climate change issues. The strategy also includes a programme logical framework, which is a planning and management framework in which specific projects can be linked, and which could be used for assessment and updating of the strategy itself, and indications on available adaptation and mitigation funds.
- c. FI is leading the Global Partnership for Climate, Fisheries and Aquaculture (PaCFA), organized as a UN-Oceans Task Force: This is a very active voluntary global level initiative among more than 20 international organizations and sector bodies concerned with climate change interactions with global waters and living resources and their social and economic consequences. Participants are FAO, UNEP, IOC, UNDP, CBD and the World Bank, and PACFA contributed so far to global meetings such as the Conference of the Parties of the UNFCCC, with parallel meetings, special events and exhibits;

- d. Project 'Climate Change, Fisheries and Aquaculture: Understanding the consequences as a Basis for Planning and Implementing Suitable responses and Adaptation Strategies (GCP/INT/253/JPN)' aimed at improving understanding of the impacts of climate change on the fisheries and aquaculture sector towards the development of guidelines and actions on improving the adaptive capacity of the sector. One of the project's outputs was "FAO Circular 1064 - The fisheries and aquaculture sector in national adaptation programmes of action: importance, vulnerabilities and priorities", that provides guidance to fisheries and aquaculture decision-makers in least developed countries to improve the inclusion of the fisheries and aquaculture sector in the planning and implementation of climate change adaptation strategies. Further in Nicaragua, a model for assessing climate change vulnerability to climate change was developed for the Gulf of Fonseca;
- e. The project 'Climate Change, Fisheries and Aquaculture: testing a suite of methods for understanding vulnerability, improving adaptability and enabling mitigation-GCP /GLO/322/NOR' was discussed in Chapter 11 and Annex 9. Among others, work on vessel fuel efficiency is being carried out, by analysing greenhouse gases originating in fishing operations;
- f. The FIINPESCA project in Latin America covered specialized training; development of a shared database of fisheries; awareness raising of the importance to include climate variability on evaluation models; and the conduct of market studies on important fisheries of the region;
- g. Analysis and synthetic research, resulting in publications, e.g. 'Building Adaptive Capacity to Climate Change. Policies to Sustain Livelihoods and Fisheries. New Directions in Fisheries, 2007' and 'Climate change implications for fisheries and aquaculture. Overview of current scientific knowledge, 2009';
- h. FAO has convened 11 national, sub-regional and regional adaptation workshops since late 2009 and will hold another two in the coming months. These workshops bring together climate change experts with fisheries and aquaculture experts to review current scientific knowledge and defined priorities activities to guide actions and investments. In support of the recommendations stemming from these workshops and the established national climate change strategies, such as National Adaptation Programmes of Action (NAPA) and UNFCCC National Communications, climate change adaptation project development has been initiated in Bangladesh, Benguela Current LME (three countries), Cape Verde, Chile, Eastern Caribbean, Malawi, Nigeria-Lake Chad Basin, Pacific SIDS and Vietnam; and
- i. In support of regional bodies and their work on climate change, FAO provided technical inputs into the First Conference of African Ministers of Fisheries and Aquaculture (CAMFA) in September 2010 and the 16th Session of the Committee for Inland Fisheries and Aquaculture of Africa (CIFAA) in November 2010 as well as supporting a series of stakeholder meetings to develop the NEPAD-FAO Fisheries Programme for Africa targeting the need to develop and integrate disaster risk management (DRM) and climate change adaptation (CCA) plans into fisheries and aquaculture strategies.

394. In the Evaluation questionnaire, FAO's climate change work achieved among the lower ratings by MCs in terms of their knowledge of it and its quality. Just over 40 percent rated it of high quality. This low visibility and knowledge was confirmed through the interviews in MCs and in the regional bodies, few of which touched on climate change, indicating that it is not a topic yet on most fisheries and aquaculture agency agendas.

395. The Evaluation noted that the main partners of FAO's climate change efforts to date have been international agencies, but with recent work including more national and regional partners. However, the Evaluation perceived that those MCs where climate change was seriously considered presented a growing demand for assistance in understanding the likely implications of climate change on fisheries and aquaculture. Thus, FAO should gradually move into greater inclusion of these topics in its work with MCs in need of assistance, so as to balance their work on climate change with that on more pressing needs, and improve understanding of the difference between existing drivers of fisheries and aquaculture and emerging threats/opportunities such as climate change.

11.4 Conclusions

396. FAO, MCs and regional bodies have all paid attention to Article 12 of the Code of Conduct and FAO has supported its implementation. This happened strongly in the case of those elements that concern the content of research; but relatively little in the case of the higher level functions of research prioritization and delivery, or the "how" of research. MCs and regional bodies strongly appreciated and asked for FAO projects in support of very specific research needs and reported good results where this had happened.

397. There is large room for FAO to support MCs improving their institutional arrangements for research, and how it links to policy and management for fisheries and aquaculture. Also, much of Article 12 concerns the "what" of fisheries and aquaculture research, and to a large extent, FAO has worked on many of these areas, although not sufficiently on the social and food security aspects as also indicated in other sections of this Evaluation.

398. FAO is in the early stages of making greater linkages with and more use of the capacity of national universities, including for education on the Code. The Evaluation encourages much faster development in this direction.

399. The Evaluation found that most countries have developed some level of research capacity, including through FAO's projects and Regular Programme support, and that researchers were usually very knowledgeable about fisheries, aquaculture, the Code and FAO's role and products. Researchers are also the most knowledgeable about new fields relevant to the Code, such as the EAF and others, and could be better used by FAO to promote faster understanding in MCs of new ideas and challenges.

400. FAO has achieved a strong reputation for its global work in fisheries and aquaculture data, status and trends. This has been a mainstay of FAO's Regular Programme and the topic of several well integrated and Code-relevant projects. The normative instruments related to this theme scored highly, except on gender and social inclusion but some steps are being taken to overcome these weaknesses. The publication of SOFIA as the flagship publication has become more inclusive of human dimensions but could improve much further as a place to promote and report on progress with the Code.

401. FAO's work in data covers a continuum from normative work on data collection, standards, to capacity development for collecting data, development of new methods, e.g. the frame survey approach for small-scale fisheries, human capacity development in all aspects, data collation and trend reporting, through to derived and interpreted products such as SOFIA

and the national fisheries and aquaculture fact sheets. This continuum has not consciously been used by FI to target different products for different segments of its stakeholders according to their needs and interests. The Organization needs to become more strategic in using its unique position on world fisheries and aquaculture data, status and trends.

402. FAO could also make much better use of its flagship publication, SOFIA, to promote the Code and place on public record progress (and lack of) in its implementation. A stand alone section on the Code would be a very good addition to each SOFIA.

403. FAO needs to point out more forcefully that the “UU” (unreported, unregulated) fishing types have been neglected in the treatment of IUU. Unreported fishing (and aquaculture) in particular should be given more attention if accurate information is to be collected.

404. FAO has an excellent reputation for its legal help to MCs when they are drafting new fisheries and aquaculture legislation. FAO should ensure that, when giving help with new legislation, data collection responsibilities also be clearly included.

405. FAO has taken a lead in putting fisheries and aquaculture on the global climate change agenda. However, FAO should include this debate also in its direct work with member countries. The next steps must be to engage more in specific project work at the country, operations or regional levels, again in partnerships, in order to get a much more practical experience of the climate risks and options. In this regard, the Evaluation noted that FAO has started working with countries on obtaining climate change adaptation funds. Care must be taken that, in focusing more on climate change, FAO does not fall into the possible trap of ignoring or not sorting out the effects of climate and climate change from those of independent drivers such as overfishing and unsustainable aquaculture practices.

406. Also, FAO should consider carefully whether a global normative instrument is the appropriate product required on climate change, given the strong local/regional specificity of the issues to be analysed and addressed. Interim steps based on practical operational experience, FAO's own and that of others, such as NACA and SPC, could preferably be in the form of substantive reviews of experience and approaches that work, and how to mainstream these, such as into the EAF and EAA. Thus, the Evaluation cautions against a rush to create a normative instrument on climate change per se, and would rather support focus on those areas where global norms may be appropriate, for example fishing vessel and supply chain fuel efficiency.

407. Overall, FAO should give greater urgency and priority to STA and STF, with detailed practical technical guidance, capacity development and other support as required to member countries. In particular, STA has received far too little attention at this critical time of aquaculture development when accurate data is essential. Strong efforts should be made to raise the resources to overcome this neglect. **Recommendation 7** addresses the resource issue.

408. Also, in the light of the above, the Evaluation has formulated **Recommendation 15** to FI, to ensure that further attention be given to fisheries and aquaculture research to enhance the implementation of the Code.

D. Cross cutting themes

12 Information, Communication, Publications and Dissemination

409. FAO has a global mandate to promote and, where appropriate, recommend national and international action with respect to conservation, development and research in the fields of aquaculture and fisheries as well as a mandate in analysis, interpretation and dissemination of information. This was enshrined in the Basic Texts of the Organization and was further reinforced within the Strategic Framework 2010-19 by including information and communication in two of the seven corporate Core Functions, namely: b) Assembly and provision of information, knowledge and statistics; and f) Advocacy and communication.

410. FAO's Publishing Policy and Support Branch (OEKP) coordinates the development and maintenance of a system for cross-media, and provides support for multilingual technical and specialized publishing by FAO headquarters and decentralized offices. OEKP provides oversees the overall corporate policies related to publishing and information, plus a number of other services. In addition, FAO has an international Media Centre, in charge of communicating news on FAO events and other activities through various media. FAO policy allows the mailing of two paper copies of Code-related instruments and technical guidelines to fisheries ministries in member countries. The technical departments, including FI, have their own publication and communication unit officers.

411. The Code also guides FAO's work on this, through Articles 6.4 and 12.1 and FI established in 2000 its functional goals on information as follows: '*To develop further the role of FI as a knowledge source and sharing mode for fisheries and aquaculture*' and '*To improve assistance to member countries and fishery bodies in their efforts to gather and provide reliable information in conformity with international norms and standards*'.⁷³

412. FI's information programme aims to meet the information needs of the following primary target clients:

- Member countries, specifically government policy- and decision-makers who are responsible for establishment of fishery and aquaculture policies and management decisions;
- Professionals in government ministries who advise and recommend fishery and aquaculture policies and management options to senior officials;
- International organizations and RFBs/RFMOs that are concerned with development and management of sustainable fisheries and aquaculture;
- Technical experts such as researchers, economists, policy analysts and other technical personnel who work in the fields of fisheries and aquaculture;
- NGOs that are concerned with the management and development of responsible fisheries and aquaculture; and
- Educators and media specialists who are interested in the fields of the FI programmes.

⁷³ FAO Fisheries Department Information Strategy: Supporting Informed Decisions and Actions.

413. Although not targeted directly, the information provided by FI may also serve the needs of the technical experts, management, and other personnel of the fisheries and aquaculture industry.

12.1 Main findings

414. The Code was published in 1995 and translated into the six official languages of FAO. Reportedly, it has been translated into more than 50 national languages and has become the most translated FAO publication. FI's web site provides links to 20 languages other than the official six. Only six other instruments had been translated by 2011 in all official languages, and 10 in five languages, excluding Russian.⁷⁴ However, most of the TGs are available in English, French and Spanish and a certain number in Arabic, Chinese and Russian.

415. A simplified or popularized version of the Code was also produced and translated in a number of languages. It focused on the important aspects of the Code and was intended to be a popularized information material that anybody could use as a reference or public outreach piece.⁷⁵ However, the document, while written in fewer words, still contains mainly general and abstract language that would be difficult for many to use to gain a practical understanding of the Code, including the human dimensions. Also, unfortunately, the gender perspective was missing from this publication.

416. As per FAO publication policy, Code-related publications are subject to quota distribution lists and numbers (maintained and managed by OEKP). Distribution of most of the Code-related publications and all others is done electronically in pdf format and html through the FAO document repository and on the FI web site. Print publications are also sent to a mailing list maintained by FI through FIGIS, which currently contains 4,100 entries in various categories, including individuals from governmental, nongovernmental, intergovernmental and international organizations, civil society and private sector. Further, copies of publications are sent to 371 libraries all over the world, which are part of the FAO Fishery Branch Library list. Originators of technical guidelines and other publications in the FI are responsible for putting together specific mailing lists for particular publications.

417. The Evaluation was aware that FI had already identified, back in 2000, the problem of inadequate distribution of its publications on fisheries and aquaculture in paper format; commitments had been made to address it vigorously. However, this did not happen. In practice, as of 2012, in MCs very few know about the FI publications, let alone have access to them. The assumption that posting a publication in a complex and heavy web site means diffusing it and making it accessible to all potential users, was heavily challenged during the Evaluation.

418. The external FI web site per se was also part of the difficult access.⁷⁶ The Evaluation itself, in particular during the evaluability assessment by OED, found this web site to be useful and in comparison to other departmental web sites in the Organization. The FI web site

⁷⁴ The Russian Federation joined FAO as a member in 2006

⁷⁵ 'What is the Code of Conduct for Responsible Fisheries?' FAO, Rome 2001

⁷⁶ The Evaluation is aware that in early May 2012, FI renovated its intra-net web site; here reference is only made to the web site accessible to external, non FAO users.

contains a more systematic record of its normative products. It is also configured to display some of its content in all of the FAO official languages. However, external stakeholders, including many who were IT-savvy, reported that finding documents and publications in the web site was a time-consuming and frustrating endeavour, often terminated before finding what was sought after. Therefore, a restructuring of the web site might be beneficial to reach the broad array of users' needs and capacity. A more detailed analysis of the strengths and weaknesses of FI web site is contained in Annex 16.

419. These difficulties meant that the great majority of people met during the country visits, below the level of those most senior officers who had attended COFI, workshops and seminars and possibly received the hard copy on their desk, had never seen the Code in printed version, or any of its instruments and TGs. In fact, the copies of the Code that the Evaluation had brought to the meetings to ensure focused discussion, 'disappeared' in the hands of participants in all meetings in all countries. On the other hand, to underline the importance of having hard copies available, those few representatives of small-scale fishers and fish processors groups who had hard copies available mainly received from past FAO or other projects, proudly carried these to their meetings with the Evaluation.

420. The impact evaluation in Sri Lanka provided a very accurate insight into this problem. The Code was translated a number of years ago into the two official languages, Sinhala and Tamil. Thus, a first major obstacle should have been resolved. However, the field survey and the interviews at central level showed the following:

- The translations of the Code into Sinhala and Tamil were too complicated to be understood by district level stakeholders. District level government fisheries and aquaculture extension staff who had read the Code commented that not only did FAO need to re-translate the Code into spoken Sinhala and into spoken Tamil, but also consider translating the Code in terms of the 'context' of the Code, explaining principles and giving examples of responsible fisheries based on local experiences in Sri Lanka; and
- There was no knowledge and only a very low level of awareness about the Code at the district level in Sri Lanka. Only five or six DFAR extension staff and the staff of the two local NGOs had seen or read a copy of the English or Sinhala version of the Code.

421. The findings above were confirmed through anecdotal evidence by the Evaluation in virtually all visited countries. Although most of the publications are posted on the FI web site, they are not accessible to all target clients, especially by fishery officers in developing countries because of inadequate information and communication technology infrastructure and information skills.

422. The Evaluation thus came to the conclusion that translating the Code into a national/local language is not the only way in which the Code should be made available and understandable locally, even if the above-mentioned conceptual and language problems could be overcome. What is also needed is local contextualization of the Code. As mentioned in Section 6.2 (SSF), a local version produced through a consultative process and based on images and activities that were locally applicable (e.g. mangrove protection, local fry collection practices, vessels, gears, markets and post-harvest practices), provided a much better appreciation of the Code in the specific particular setting which was Bangladesh coastal fisheries. No doubt other examples of locally contextualized interpretations of the Code exist, but the Evaluation was not shown them in its many country visits. While FAO

should not be expected to be responsible for producing such materials in a multitude of places, it can stimulate, encourage, promote and even reward with recognition such efforts in order to disseminate the Code to where it matters most.

423. The Evaluation's survey questionnaire contained specific questions on the use of FI products and services. Responses on these issues indicated the following:

- a. The products and services most frequently used by MCs were the FI web site, the technical guidelines and publications. In the case of RFB/RFMOs, the most frequently used products are the publications, closely followed by support to the RFBs, expert consultations, technical guidelines, and the FI web site;
- b. Overall, needs in terms of information products seem to have been met in the perspective of the majority of respondents. In addition, FAO was one of their first sources of information. FAO's current information support to the implementation of the CCRF covers MCs and RFBs/RFMOs needs, although for a few MC respondents there seemed to be room for improvement; and
- c. The products and services that MC respondents would like assistance with in the future were the publications, technical guidelines, expert consultations and technical consultations. Workshops and e-conferences, support to the RFBs/RFMOs and the web site were similarly indicated as areas for support in the future. For the RFB/RFMOs, all respondents stated they would like assistance with the web site, and publications.

424. Additional direct findings of the Evaluation from the country visits were as follows:

- broad and consistent agreement about the need for FAO to improve its dissemination of the Code and related instruments and products, as well as to play a more active role and effort on clarifying and explaining its contents;
- the normative products of FAO were perceived to be of great utility by the researchers and academics and the Code had been incorporated in fisheries undergraduate curricula in some cases; also, several FAO fisheries technical papers were used extensively and in-depth in certain courses of the curricula;
- usually, there was greater scope for using mass media like radio, TV and print for taking the message of the Code to fishing communities. The IE in Sri Lanka analysed this in detail and provided specific suggestions suitable for the national context;
- broad appreciation was expressed in several countries for SOFIA for the global picture it provides, although clientele for it is less numerous than for technical documents;
- in countries with less easy access to Internet, particularly but not only in Africa, the normative products in hard copies were highly sought after and often represented the main sources of technical and normative materials; and
- FI should also prepare and present new developments in the Code to FAO country and regional officers as these are the frontline of support to Code implementation.

425. Clearly, there is a need to reconcile FAO's compliance with UN policies that prescribe less use of paper; another obstacle has been and will still be lack of funding for distribution of paper copies. However, the need to provide access to much needed fisheries and aquaculture information in the field should not be under-estimated, since the lack of access to timely, relevant and accurate information is a serious constraint to the implementation of the Code.

426. Also, periodic assessment on the progress achieved in carrying out the 2000 FI Information Strategy/Programme has been lacking, although it should be an integral part of a regular assessment of FI's programme of work. Further, an in-depth re-haul of the web site of the Fisheries and Aquaculture Department for external users could greatly facilitate access to and awareness, if not knowledge, of the department's products.

12.2 Conclusions

427. FI's work on information, communication, publications and dissemination, although praiseworthy, did not result in widespread awareness, access to and knowledge of FI publications and reports. The demand for paper copies, due to limited distribution of these to MCs and prevailing difficulties among developing countries in accessing electronic copies, and the need for simplified, popularized, and local language versions of these materials for use in public outreach, have been repeatedly raised. The IE in Sri Lanka provided well-grounded evidence for the gaps in dissemination and a detailed analysis was also made of the weaknesses of the FI web site.

428. The evidence and analysis above indicates the need for an improved strategy for dissemination of the Code and Code-related products by FAO. A number of proposals and ideas were suggested by FI staff on how to better communicate on and disseminate the Code. These should be harnessed at departmental level as contributions to revisit FI's 2000 Information Strategy and its main tasks, in order to address FI's shortcomings in this area, which has serious implications in the implementation of the Code. **Recommendations 4 and 5** to FI address these issues.

13 Human Capacity Development

13.1 Background

429. Human capacity development (HCD) in fisheries was given a high international priority at the 2002 World Summit on Sustainable Development (WSSD), when political leaders considered it an essential element to meeting targets of global reporting and assessment of the state of the environment by 2004, implementing the International Plans of Action, applying the ecosystem approach by 2012, and maintaining or restoring fish stocks by 2015. This focus stemmed from the emergence of new approaches to fisheries management and aquaculture, including the ecosystem approach, which required additional sets of skills over those that were traditionally needed. Additional drivers were the failure of many previous development initiatives, and the realization of the key role that HCD must play in supporting sustainable development.

430. In December 2004, the UN General Assembly Resolution 59/250 10 provided further impetus to efforts from the international community in support of capacity development to improve results and impact. In 2005, the Paris Declaration on Aid Effectiveness, and in 2008, the Accra Agenda for Action provided new directions in HCD, stipulating the application of five principles (ownership, alignment, harmonization, results and accountability) essential for the success of development initiatives.

431. In 2008, FAO started developing its 'Corporate Strategy on Capacity Development and its Implementation Plan' in close consultation with member countries and with contributions from FAO units worldwide. The strategy was endorsed by the FAO Council at its 141st Session in April 2011. The internal consultation process reviewed approaches to capacity development and identified ways for improvement, including aligning FAO's work with the new paradigm of capacity development that takes a more integrated approach to addressing MCs' needs at three levels: individual, institutional and the enabling environment. The Strategy also defined 'functional capacities', such as such leading, managing, adapting to, and sustaining change. Last, roles and responsibilities were also defined for the FAO Office of Knowledge and Capacity Development, an Interdepartmental Working Group (IDWG) on Capacity Building, the technical departments at headquarters, and for the regional and country offices.

432. Human capacity development was also at the core of the Impact Focus Area-Code (see Introduction) and is one of the seven Core Functions of FAO, agreed by its Members and enshrined in the Strategic Framework 2010-19 of the Organization.

13.2 Capacity Development within FI

433. The CCRF stressed the importance of HCD in the mandate of FAO Secretariat, through Article 5.1, by bringing attention to the special needs of developing countries in relation to the implementation of the Code. The Code also provides for the promotion of awareness of responsible fishing through education and training (Article 6.16), suggests that States should enhance the education and skills of fishers and, where appropriate, their professional qualifications, taking into account agreed international standards and guidelines through education and training programmes (Article 8.1.7), and suggests that States should ensure appropriate training, staffing and institution building to conduct research, again taking into account the special needs of developing countries (Article 12.1).

434. In 2003, the Advisory Committee on Fisheries Research (ACFR) coordinated the preparation of a strategic framework on human capacity development in fisheries and endorsed in October 2004 a discussion paper entitled Strategic Framework on Human Capacity Development in Fisheries. The framework provided conceptual ideas on HCD; examined needs and past approaches to HCD in fisheries and other sectors for key lessons; reviewed current approaches at that time and assessed ongoing initiatives for possible delivery mechanisms. The discussion paper was presented at the 26th Session of COFI in March 2005.

435. Among its key elements, the Strategic Framework established that HCD had to be focused at the appropriate level, namely i) individual; ii) institution; iii) sector/network; and (iv) enabling environment, and that capacity needs assessments should be made at all four levels. Also, and importantly, it clarified that capacity development efforts for more sustainable fisheries management required more than fisheries-specific skills, e.g. fisheries science, fisheries management, fisheries law, fisheries technology, and should include wider functional skills such as conflict management, general management, good governance, community mobilization, information and communication skills.

436. The Strategic Framework of 2004 was never used by FI, apart from a re-print of the document in 2009 for reasons that were not identified by the Evaluation. The framework is still available on the FI web site. No alternative departmental approach to HCD was developed in the meantime. The usefulness of the Strategic Framework was recognized elsewhere; for example, it was used in the development of a regional strategy for HCD in marine capture fisheries in South East Asia⁷⁷. The incumbent FI focal point for CD at the time of the Evaluation had joined the Organization only a few years earlier. He participated in the corporate process for the preparation of the FAO Strategy but had never been told that such a strategy existed. At the same time, most FI officers when asked, stated that HCD was fully embedded in their work and was their primary mandate. Some also mentioned a recent trend towards more professionalism in HCD events.

13.3 Main results and achievements

437. FI biennial outputs (BOs), as defined in PIREs, focused on Human CD in fisheries and aquaculture represented 7 percent of the total number of BOs supported by the Regular Programme during the period under evaluation, as shown in Box 20 below. These products included workshops and specific training activities, but excluded expert consultations and technical consultations organized for the production of Technical Guidelines. A related set of activities was the development of CCRF Technical Guidelines (3 percent) and manuals (3 percent). Although technical guidelines and manuals are essential to the development of technical capacity and could be considered among the means required to enable HCD, the activities undertaken in the development of these guidelines are not by themselves considered HCD initiatives in this Evaluation, unless there is subsequent effort to develop capacity to implement the guidelines once they are published.

Box 20. FI Capacity Development Biennial Outputs

Category	Number of Biennial Outputs	% within total number of BOs
<i>CCRF Technical Guidelines</i>	30	3%
<i>Other manuals</i>	25	3%
<i>Events with CD element</i>	67	7%
Total	122	13%

Source: PIREs elaborated by OED

438. Since 1998, within the FishCode Trust (see Section 16.4 below), FI carried out four sets of activities focused in particular on HCD. These and the activities within the EAF-Nansen project are described in more detail in Section 9 of Annex 9.

439. The evaluability assessment had identified 61 projects with particular focus on HCD. The Evaluation selected 20 out of these and assessed them in detail through a desk review. The range of activities on various topics was rather broad, as shown in Box 21 below. The most common were regional/sub-regional/national training sessions and workshops to acquire knowledge and develop technical skills on various aspects of fisheries management. Regional/sub-regional workshops addressed the dual goals of training and advancing regional/sub-regional cooperation and collaboration. Two points are worth noting though:

⁷⁷ Department of Agriculture, Fisheries and Forestry. 2011, Net Returns – A Human Development Capacity Building Framework for Marine Capture Fisheries Management in South East Asia. Department of Agriculture, Fisheries and Forestry, Canberra

- i. a number of projects reviewed involved the development of guidelines, such as technical guidelines, guides, manuals, other HCD materials; and
- ii. a number of projects reviewed involved two or all three dimensions; these were:
 - Scientific and Institutional Cooperation to Support Responsible Fisheries in the Eastern Mediterranean (EastMed - GCP /INT/041/EC-ITA-GRE and GCP /INT/989/ITA);
 - Capacity building in support of Cleaner Fishing Harbours - TCP/IND/3102
 - Environmental Protection in Support of Sustainable Livelihood in the Lake Lanao Area - PHI/03/001/ /01/99; and
 - Sustainable aquaculture development in Pacific Micronesia - TCP/RAS/3101-3208.

Box 21. Categories of HCD activities carried out by 20 HCD focused regional/sub-regional/national projects

	Individual Dimension	Organizational Dimension	Enabling Environment Dimension
Activities	<ul style="list-style-type: none"> • On-the-job training • Course development • National/regional training programmes • National/regional/sub-regional workshops • Seminar • Study tour • Field visit • Participation in regional/international meetings • Public outreach • Development of public outreach materials 	<ul style="list-style-type: none"> • National and regional assessments of human capacity • Establishment of national/regional management structures • Reinforcement of fisheries departments/ institutional strengthening • Conduct of research/ policy analyses • Procurement of equipment and supplies • Technical assistance 	<ul style="list-style-type: none"> • Development of inter-regional/regional/sub-regional cooperative/ collaborative agreements • Development of national policies and legislation • Development of fisheries management plans • Development of implementation plans • Development of management strategy • Follow-up legislative assistance
Topics	<ul style="list-style-type: none"> • Responsible fisheries/CCRF as a whole • IUU fishing/Port State measures • EAF • Fish identification • Small-scale fisheries • Deep-sea fisheries • Hatchery management and restocking • Fish handling, processing and trade • Fish inspection and certification • Fisheries information • Non-fisheries functional skills (e.g., empowerment, self-reliance, stakeholder consultation and engagement, strengthening fishery and aquaculture associations) 	<ul style="list-style-type: none"> • Fisheries and aquaculture • Fish inspection and certification • Management of stocks • Institutional structure, financial capacity and technical competence • Fishing harbor • Vulnerable Marine Ecosystems in major deep sea fishing areas • Fisheries management, including collection of fisheries data, performing fish stock assessments, and characterizing marine ecosystems • National aquaculture development • Non-fisheries: Livelihood development assistance, financial capacity 	<ul style="list-style-type: none"> • IUU fishing/ Port State measures • EAF • International trade • Fishery research, monitoring and management • National aquaculture development • Non-fisheries: Environmental management plan, cleaning and sanitation programmes

Source: Evaluation team

440. FI also collaborated with universities, e.g. Legon University in Accra, Ghana; Rhodes University in South Africa; and Ibn Zair University in Agadir, Morocco, in carrying out regional training courses.

13.4 Main findings

441. The responses to the Evaluation questionnaire survey showed that the modalities of capacity development that were of most interest to the respondent MCs in terms of assistance and collaboration were: capacity development courses on technical issues; meetings/workshops for exchange of experience and learning; and dedicated HCD materials, including handbooks, videos, operations manuals, among others. It appears therefore that MCs still grapple with lack of capacity in the basic skills needed to carry out sound fisheries management, such as fisheries data collection and analyses. Thus, FI focus on these topics has been relevant to meet the needs of FAO's membership.

442. However, evidence from the previous evaluation of FAO CD activities in Africa, showed that sound needs assessment, along with recurrent training, long timelines, and a great deal of follow-up, would be contributing factors to enhance impact of CD activities. Furthermore, some benchmarks were necessary, against which progress in CD could be measured.

443. Limited indication emerged throughout the whole Evaluation that the human capacity development needs assessment was integrated in FI projects or activities. Of the 20 HCD projects reviewed, only two included human capacity needs assessment resulting in identification of gaps in national capacity. Thus, most HCD projects were carried out in response to ad hoc needs expressed by MCs and regions instead of being an essential component of strategic or long-term planning. Admittedly, it appeared that prioritizing HCD for fisheries and aquaculture in Country Planning Frameworks would be a challenge because fisheries and aquaculture are not the main sources of revenue at national level, funds for fisheries and aquaculture are limited and HCD has to compete with other priorities in the sector.

444. The analysis of HCD activities by FAO also indicated a preponderance of activities aimed at HCD at the individual level and on fisheries technical skills. However, FAO should bring the attention of MCs to the importance of strengthening also functional skills in the fisheries and aquaculture sector. Among others, the additional sets of competencies required to implement EAF and EAA will need a better balance between technical and functional capacities.

445. The overall scoring of key projects by the Evaluation – see Box 22 below - showed that effectiveness of HCD at individual level was good for TCPs, and adequate for VF and at the institutional level for both groups of projects. The reason for differences between TCP and VF are unclear: a possible explanation may be that TCPs tend to be more focused and 'hands-on' and therefore, HCD becomes an active component of the initiative, which ensures better results. The effects on enabling environment were below adequate for all projects: a number of projects scored very poorly, and none was scored as Excellent as this dimension was often absent from FI's focus. However, in the HCD-focused projects there was no clear information on how outcomes had been achieved. Cost-effectiveness considerations were also usually not taken into account.

Box 22. Average key project scoring on HCD – Regular Programme and Voluntary-funded initiatives

Evaluation criteria	TCPs	Voluntary-funded initiatives	All key projects
<i>Effectiveness of capacity development - individual</i>	5.1	4.5	4.8
<i>Effectiveness of capacity development - institutional</i>	4.6	4.0	4.3
<i>Effectiveness of capacity development – enabling environment</i>	3.8	3.0	3.4

*: 1=very poor; 2=poor; 3=inadequate; 4=adequate; 5=good; 6=excellent; NA: not possible to assess/Not Applicable

446. Difficulties in assessing effects, impacts and sustainability of HCD activities are well known. This was confirmed through the observation of a training-workshop on “Regional Policy and Planning Workshop on the FAO Code of Conduct for Responsible Fisheries (CCRF) in the Caribbean: Achieving Improved Fisheries Management and Utilization in the Wider Caribbean Region” held in Barbados in December 2011. The merit and worth of this workshop was on how it allowed the participants to formulate solutions to problems that they identified as constraints to the implementation of the Code in the region and to come up with follow-up activities. The assumption was that new knowledge acquired in the workshop, where ample opportunity was provided for sharing and exchanging of information, including from outside of the region, would restore interest among the participants for going forward in the implementation of the Code. The workshop appeared to mark the beginning of a renewed concerted effort for CCRF implementation in the region.

447. Still, at the learning level there were no measures taken that could be used to establish whether the workshop had been effective. Participants rated the workshop at its conclusions, but this would not be an indicator of how successful the workshop was in developing their ability to apply the new knowledge and skills in their professional endeavours. This could only be ascertained with follow-up surveys of key individuals and their supervisors in their work sites in the short and medium term.

448. Difficulties notwithstanding, the Evaluation identified in Latin America some examples of positive impact and sustainability of HCD activities, possibly also thanks to effective partnerships among FAO, RFBs and other international organizations such as INFOPECA in conducting its HCD work in the region. FAO's work in the Latin American region appeared to have supported the creation, enhancement or strengthening of national and regional capacities to implement various articles of the Code. In particular:

- a. In Peru, the creation of Rural Aquaculture Farmer Field Schools and training of trainers might be a promising approach with potential impact;
- b. In Nicaragua, the project on ‘Climate Change, Fisheries and Aquaculture-GCP/GLO/322/NOR’ already discussed above, resulted in the formation of a group of mainly local actors, representing fishers, farmers, women, and government, who are actively participating in the diagnosis of their problems and how these problems might be solved. These actors claim that they will continue their efforts to achieve project objectives even if financial resources are drastically reduced; and
- c. In Uruguay, the project ‘National Plan for the Development of Aquaculture-TCP/URU/3101’ incorporated the implementation of the CCRF as a principle within the National Policy and Strategy for the Sustainable Development of Aquaculture and contributed to the dissemination of the CCRF articles on aquaculture. The

project followed a participatory process during the preparation of the national policy and strategy, which used a diagnosis developed by a previous FAO project (TCP/URU/2904). The project also produced three technical manuals on planning of aquaculture development, which are aligned with a sectoral policy, and developed a proposal for legislation of aquaculture, which was then taken up by a subsequent project (UTF/URU/025/URU) as a reference for the development of the law of responsible fisheries and promotion of aquaculture of Uruguay. Government authorities in the National Directorate for Aquatic Resources, which also benefited from specialized training on planning conducted by the project, highly appreciated the project outputs.

449. In other regions, FAO assisted Ghana in building a strong National Fish Inspection Service through capacity development activities. In the Mediterranean, more than ten years of scientific collaboration led by FAO with Italian and other funds, have contributed to enhanced capacities in shared stock assessment and management in the national fisheries research institutes of riverine nations of the Adriatic and Straits of Sicily sub-regions.

450. Last, an analysis of an illustrative sample of 14 universities from various countries in Europe, Asia-Pacific, North America and the Caribbean surveyed regarding their use of FAO materials in their fisheries and aquaculture courses indicated that the Code and the technical guidelines on EAF, IUU fishing, SSF, ICM and Sustainable Aquaculture were commonly used; and climate change and protection of fish habitats were specific/emerging issues addressed in their courses. However, the survey and the country visits made by the Evaluation also revealed that FI did not explore so far opportunities of collaboration with academic institutions which have the capacity to not only disseminate instruments and technical guidelines of the Code, but also to adopt them and its principles in their regular courses and academic programmes related to fisheries and aquaculture.

451. Finally, technical guidelines and other normative products are essential to the development of technical capacity and could be considered among the means required to enable HCD. However, their development is not by itself a HCD initiative and subsequent effort is needed to develop capacity to implement the guidelines once they are produced. The two distinct types of activities are, however, not independent of each other; rather, they are part of a continuum, whereby normative products are enhanced by operational work, through the feedback loop that should occur between them. One key example of this synergy was the development of the technical guidelines for EAF and their expansion to include the human dimensions of the approach.

13.5 Conclusions

452. Overall, the information above shows the low level of specific and focused efforts devoted to HCD by FI. This belied to some extent the claim by FI staff interviewed that all activities they carried out were at their core, HCD activities, or at least indicated a certain level of disconnect between what FI staff understood by HCD and what should be actually done for FI's work to be effective and generate impacts in terms of capacity development.

453. Not only specific efforts were limited, but results also were uneven: adequate to good results were found, but impacts and sustainability tended to be inadequate. Also, HCD projects commonly lacked a monitoring and evaluation component. Efforts at the individual

level and on the technical aspects still were predominant; HCD at the individual level on social and economic aspects and in the organizational and enabling environment dimensions was lacking or required strengthening.

454. Despite the considerable technical expertise and experience in HCD present among FAO staff at HQ and decentralized level, there was a clear need to ensure that those delivering HCD require development of their own capacity for effective delivery. **Recommendations 9 and 10** to FI address key aspects to enhance the effectiveness of FI's efforts in Capacity Development.

14 Human dimension: gender mainstreaming for equality, social inclusion and poverty reduction

14.1 Background

455. The Code of Conduct contains a number of references, throughout several of its articles, to the social aspects of the fisheries sector. However, the Code pays very little attention to either food security or poverty and mentions them only in passing: 'food security' is mentioned only three times (in Articles 2, 6.2 and 6.18) and poverty only once, in Article 2. Nor were the themes elaborated. The marginal status of food security and poverty reduction in the Code is only one manifestation of its over-riding focus on environmental sustainability and technical issues related to aquatic resources rather than on people who use and benefit from these resources.

456. Several COFI meetings have been generally supportive of the principle that social aspects of fisheries should be addressed by FAO and have linked this to the need to reduce poverty and increase food security. However, the mechanisms how this might be achieved were not elaborated in COFI documents and social issues are elided with 'small-scale fisheries'. Gender was infrequently mentioned by COFI.

457. Since the approval of the Code, a series of other issues have become increasingly important and are relevant to the analysis of the social dimensions of FAO's support to the CCRF. These included, among others: interest in, and understanding of, gender and the meaning of gender gap in productivity; the significance of marginalization and social exclusion; the importance of livelihoods and poverty reduction; and the relevance of a rights-based approach to development. To a certain extent, the CCRF adopted such an approach in suggesting that the rights of indigenous groups and artisanal fishers should be respected, but the often powerful rights of large-scale operators in fisheries were not addressed.

458. Perhaps the most significant characteristic of the fisheries and aquaculture sector is its heterogeneity. Besides fish and other aquatic organisms, different groups of stakeholders within this sector share little in common. This is particularly true of the social organization of both fishing and aquaculture, with the implication that what works and is appropriate for one context may well be inappropriate for another. Some of the more significant aspects of this heterogeneity are:

- The transhumant nature of much capture fishing: in Africa and Asia a large proportion of fishers migrate on a temporary basis. This can create issues over

control of fishery resources and use of different types of gear. As resources have declined, it has also become a major factor in transboundary IUU whereby fishers are attracted to fish in the areas of remaining relative abundance, regardless of the legality;

- The part-time nature of much of both capture fisheries and aquaculture: as well as full-time fishing, many households depend on a range of other sources of income, and fishing activities have to be understood in these various different contexts;
- Variations in scale of fishing and aquaculture efforts: aquaculture varies from small household-owned ponds to large-scale industrial ventures; marine capture fisheries also exhibits a continuum varying from small-scale inshore fishing to large distant-water vessels. Also, in many respects aquaculture is more similar to agriculture than to capture fisheries;
- The social embeddedness of economic relations: fishing and aquaculture exhibits a bewildering range of forms of ownership, ways of compensating various inputs, and complex relations between producers, processors, traders and lenders. There are dangers in divorcing seemingly economic relations from the social complexities within which they are embedded;
- Issues of gender: men and women are equally involved in the fisheries and aquaculture sector. Assumptions about the gender distribution of power and decision making within fishing households and communities are frequently incorrect;
- Stigmatization and marginalization of fishing groups: fishing groups are frequently although by no means always, treated as inferior groups;
- The social composition of the fishing population: anecdotal evidence suggests that the population dependent on fishing and aquaculture, especially artisanal fishing, is ageing and is becoming increasingly urban. At the same time, evidence also shows that ease of entry in the sector means that fishing is an activity of the last resort for those who cannot find employment elsewhere; and
- The vulnerability of fishing communities: coastal communities are vulnerable to seasonal variability, inter-annual variability, and natural disasters. The increasingly globalized nature of the trade in fish products means that those involved in the fisheries and aquaculture sectors are increasingly at risk from disruptions to market relations.

459. To be effective in the social context, these, among other issues, have to be addressed in any effort aimed at the implementation of the CCRF. Admittedly, many of the factors mentioned above take on a political significance and political factors may actively inhibit the implementation of the Code. More successful implementation may involve acknowledging this and finding ways to develop new solutions and pathways to implementation.

14.2 Main findings

460. Overall, the Evaluation found that the normative products produced by FAO in the period under assessment, were relatively weak in the contexts of gender mainstreaming and integration of social inclusion and poverty reduction issues. The Evaluation's assessment of all normative products for gender mainstreaming was 2.3 and for social inclusion 3.3, within a six-point scale.

461. Using the same criteria, all FI Technical Guidance documents scored even lower: 2.0 and 2.9 respectively. Whilst it could be argued that in some cases they are so narrowly

focused on technical issues that the social or gender dimension is irrelevant, for example in the case of the guidance on health management for responsible movement of live aquatic animals, in most cases the integration of social analysis would have strengthened the quality and relevance of these products. Similar feedback emerged from the Evaluation questionnaire, wherein the work on the human dimension of the CCRF received the lowest ranking in terms of knowledge of FAO's work, quality of the work and interest in further support.

462. As explained above, these low scores in part are manifestations of the nature of the CCRF, which focused on the technical aspects of fishing and aquaculture where the social and the human become secondary, as well as on the 'technical' nature of the expertise used by FAO to produce the normative products, in the absence of sociological expertise or awareness of recent literature on the sociology of fisheries and aquaculture.

463. The Evaluation acknowledged that over time, improvements occurred as shown in an examination of randomly selected Technical Guidelines. Whereas the first TG issued in 1996 was 'social and human dimension-blind', the similarly highly technical TG on the use of wild fish as feed in aquaculture issued in 2011 contained a good level of attention to poverty and ethical issues. Mention should also be made of the 2005 FAO paper 'Ethical issues in fisheries', which refers to the CCRF and raises a series of issues pertaining to the social and human aspects of fishing and the fishing industry. Although theoretically unsophisticated it could have provided a basis for debate and greater clarification as to what the overall objective of CCRF-related activities is. Unfortunately, it appears to have had no influence on later normative products.

464. Another change that occurred overtime was the elaboration of the Ecosystem Approach to Fisheries, which has become central in the FI approach to the implementation of the Code. Here again, some evidence suggests that social aspects of fisheries and aquaculture have become more important in FAO thinking, although improvements can still be made.

465. Further, some note must be taken of the biennial State of the World's Fisheries and Aquaculture (SOFIA), the FAO flagship publication in the field. Overall, there were relatively few references to social issues (including gender), although the 2006 SOFIA did include extended discussions of HIV/AIDS in the fisheries sector as well as a section on the influence of international trade in marine products on the role and status of women. As far as other social issues are concerned, there was some discussion of rights to fishing grounds in the 2006 SOFIA and of safety at sea issues in the 2008 SOFIA. A major opportunity was lost in the discussions of climate change in the 2008 and 2010 SOFIAs which failed to address the social implications.⁷⁸

466. Scores for gender mainstreaming and social inclusion were slightly higher for projects: 3.4 for the former, and 3.9 for the latter, always on a six-point scale.⁷⁹ Here again, there were many missed opportunities where both gender and other social issues could have been more directly addressed and project design and effectiveness improved. Admittedly, some of these projects were of a highly technical nature with only an indirect relationship to

⁷⁸ Reportedly, SOFIA 2012 will contain a section on gender in fisheries, but the publication was still not available by the time of finalizing this report.

⁷⁹ See Section 16 below

social and gender interests, but in many cases examined by the Evaluation, relevant social and gender dimensions were not addressed.

467. Some projects ignored social issues, and especially gender, entirely. However, more frequently the Evaluation noted a partial realization of the implications of what was being proposed or operationalized through projects. Thus, the project 'Reducing the dependence on the utilization of trash fish/low value fish as feed for aquaculture of marine finfish – TCP/RAS/3203' ignored the potential impacts of the project on vessel crew, traders and other intermediaries. Another project, 'Reduction of Environmental Impact from Tropical Shrimp Trawling, through the Introduction of Bycatch Reduction Technologies and Change of Management - EP/GLO/201/GEF' failed to adequately address the important role that by-catch can play in both the incomes of poor people and the availability of cheap fish to impoverished consumers. The Evaluation however noted that in the follow-up project 'Strategies for Fisheries for By-catch Management - GCP/RAS/238/GFF' which started in 2011, FAO had taken these issues into consideration. The main outputs to date appear to be technical measures to reduce by-catch (juvenile excluder devices); this is however problematic and unpopular among fishers since it is complicated, uses more fuel, and there is strong demand for 'under-valued-fish' i.e. small fish are no longer low value due to their use as aquaculture food and in feeds. It is unclear that steps are being taken to reduce the drivers for catching and retaining "by-catch" since, in a sense, there is no such thing in an economy where all forms of catch can be utilized. It appeared that the Philippines had the most effective uptake, through enforcement.

468. Three projects have to be mentioned, that made a major effort to address the social and human aspects of fisheries, and illustrate both the possibilities of implementing the social and human aspects of the CCRF and the problems in so doing. They were: the 'Sustainable Fisheries Livelihood Programme - GCP /INT/735/UK', the 'Empowerment of coastal communities for livelihood security - BGD/97/017', and the 'Regional Fisheries Livelihood Programme - GCP/RAS/237/SPA'. Their activities and achievements are discussed in Section 10 of Annex 9.

14.3 Conclusions

469. Overall, social and gender issues have been sidelined in FAO's work in support of the CCRF. This has been the result of a lack of focus on the primary objectives of FAO - food security and poverty reduction – and an over-emphasis in FAO's work on narrowly defined technical issues. There has been an increasing awareness of the need for greater attention to be paid to social and gender issues but with a few exceptions the required shift in thinking has not taken place nor has suitable expertise been available. Questions are still couched in terms of biological and ecological modalities rather than in terms of developmental objectives. As a consequence, from a social point of view FAO normative products over the evaluation period have tended to be of low quality and not surprisingly have had little impact. Similarly, the lack of suitable expertise in project planning and implementation has led to projects which in general have been ineffective in achieving developmental objectives such as reducing poverty, increasing food security or enhancing livelihoods of the poor.

470. A second feature which should be remarked upon, has been the tendency to equate social and gender issues with small-scale fisheries and aquaculture. Little if any attention, besides Safety-at-Sea issues, has been paid to industrial level fishing and the social and

gender implications of the shift towards multi-day deep sea fishing. This aspect of fishing at a global level has been ignored, or at least its social ramifications have been ignored.

471. At the same time, an increasing albeit slow move towards integrating food security and poverty reduction into FAO's work has been evident in CCRF-related work. Some of the projects mentioned above took both into account. Others were concerned with food security although perhaps at the expense of poverty reduction. The emergence of the EAF and EAA as the main paradigm for implementing the CCRF, if it is rigorous in including the human dimension as part of the 'system', is a very positive step for a more inclusive approach to fisheries and aquaculture management. Based on the evidence and analysis above, the Evaluation formulated **Recommendation 2**, addressed to FI.

15 FAO's support to the implementation of the CCRF in Sri Lanka⁸⁰

15.1 Institutional setting for fisheries and aquaculture in Sri Lanka

472. At the beginning of the period under evaluation, the fisheries sector in Sri Lanka was the responsibility of the Ministry of Fisheries and Aquatic Resources (MFAR), later renamed the Ministry of Fisheries and Aquatic Resources Development (MFARD). The Ministry is broadly responsible for plans, policies and strategies in the aquatic sector.

473. At the time of the Evaluation, under the MFARD came a number of institutions. The Department of Fisheries and Aquatic Resources (DFAR) was responsible for the management, regulation, conservation and development of fisheries and aquatic resources whilst the National Aquaculture Development Authority (NAQDA) was concerned with the development and management of freshwater aquatic resources plus all forms of aquaculture. Both the NAQDA and the DFAR had field staff (e.g. the Assistant Directors and Fisheries Inspectors of the DFAR) responsible for all aspects of the agencies' activities at the district and local levels

474. Research was the responsibility of the National Aquatic Resources Research and Development Agency (NARA), also mandated with knowledge dissemination and the provision of advisory services. In addition, there were two state-owned corporations: the Ceylon Fisheries Corporation (CFC) was active as a buyer, distributor and seller of fish and fish products as well as providing ice, and the Ceylon Fisheries Harbours Corporation (CFHC) was responsible for the provision and maintenance of fisheries harbours and related infrastructure. There was also a state-owned company, the CEYNOR Foundation Ltd which built, manufactured and repaired boats and produces fishing gear.

475. Two other agencies had been under the authority of the MFARD at the beginning of the period under review but had been transferred to other ministries in the mean time. The Coast Conservation Department (CCD) had been transferred to the Ministry of Ports and

⁸⁰ This chapter illustrates the findings of the impact evaluation of FAO's support to the implementation of the CCRF in Sri Lanka, carried out in the framework of the CCRF evaluation. The methodology of the IE is illustrated in Chapter 3; Annexes 11, 12 and 13 referred to in the text contain more detailed reports and analysis of the findings.

Aviation in 2009 and subsequently to the Ministry of Defence and Urban Development in 2011. The National Institute of Fisheries and Nautical Engineering (NIFNE) had been transferred to the Ministry of Youth Affairs and Skills Development in 2010. It was broadly responsible for training in marine-related activities through the Ocean University in Colombo and a string of regional training centres (now known as colleges of fisheries and nautical engineering).

476. Sri Lankan fisheries, both marine and inland, were regulated by the Fisheries and Aquatic Resources Act of 1996. The formulation of this Act was reportedly strongly influenced by the deliberations surrounding the adoption of the Code by FAO and it embodied many principles of the Code. It laid out a system which, inter alia, allowed for the licensing of fishing operations, the registration of fishing boats, the control of fishing methods, the establishment of fisheries committees to manage fisheries management areas and the establishment of fisheries reserves. It also set out in some detail the means through which the provisions of the Act may be implemented. Subsequently a series of regulations have been formulated which again embody many principles of the Code. These are discussed below and in Annex 13.

477. The Code has been translated into both Sinhala and Tamil. In 1999, the National Fisheries Solidarity Organisation (NAFSO) produced a Sinhala translation, for which it was awarded the Margarita Lizárraga medal. The Bay of Bengal-Inter Governmental Programme produced a Tamil translation of the Code around the same time. Both translations were available on the DFAR web site, were written in literary forms of both languages and were not easily accessible to most readers.

15.2 FAO interventions in Sri Lanka during the period under evaluation

478. This section provides an overview of FAO project support to the Sri Lanka fisheries sector and the degree to which the CCRF was a major element in this support. A full list of these projects is given in Annex 6. The Evaluation was aware that during most of the period under analysis, hostilities between the GoSL and Tamil separatists hindered fishing activities in the North and East of the country. However, these hostilities had only a limited effect on FAO activities: the Evaluation found evidence of only one conflict-related implementation problem, the abandonment of the project 'Emergency rehabilitation of the fisheries sector in conflict affected areas of Sri Lanka - OSRO/SRL/302/GER' in the immediate pre-evaluation period, and of some restrictions on the scope and effectiveness of some post-tsunami relief and rehabilitation work on the east coast. However, this was not a topic directly relevant to this Evaluation and the hostilities had little effect on FAO's work in support of the CCRF.

Emergency and rehabilitation

479. Sri Lanka was seriously affected by the Asian Tsunami of 26 December 2004 and FAO was centrally involved in relief and rehabilitation activities in the fisheries sector. In early 2005, a series of emergency and rehabilitation projects was launched through the Emergency and Rehabilitation Coordination Unit (ERCU) which focused on the replacement and rehabilitation of fishing craft and associated equipment. FAO was only one of a large number of agencies providing fishing boats and equipment to Sri Lanka.

480. Many of these projects were apparently agreed without any needs assessment. Only after these projects had been designed and begun operations were the dangers of over-capacity fully identified by two FAO needs-assessment missions. This led to a change in focus of FAO's post-tsunami work. FAO was crucial in the establishment of a coordination unit in the MFARD which attempted to bring some sort of order to the relief effort. One of its successes was persuading the NGO Sewalanka to cancel an order for 2000 vessels.

481. As far as FAO-managed projects were concerned, bureaucratic and administrative delays allowed the reorientation of project activities. Thus, OSRO/SRL/507/EC, a wide ranging project covering agriculture as well as support for boatyards, engine repairing and post-harvest issues dropped the component covering the supply of new fishing craft. Similarly, OSRO/SRL/506/NOR focused on providing training material on fishing gear, on hygienic fish handling and processing for export, a practical guide on icing fish and guidance on improved boat building techniques. OSRO/SRL/505/ITA provided support for aquaculture, for boat certification and the legal framework for boat standards, and training related to Safety at Sea.

482. Whilst none of the emergency and rehabilitation projects were explicitly related to the Code, this was a central feature of the Strategy and Programme for Post-tsunami Reconstruction and Development of the Marine Fisheries Sector, published by the MFAR in November 2005. The formulation of this strategy was strongly supported by FAO and is imbued in the Code.⁸¹

483. A month later, FAO established the Rome-based 'Coordination and Technical Support Unit to Tsunami Rehabilitation and Reconstruction in Fisheries and Aquaculture' (CTSU) (GCP/INT/984/MUL). The Code was a central principle underlying the work of the CTSU. One element of its work in Sri Lanka was to identify potential projects. Whilst some were taken up by other agencies, three were activated by FAO: a project concerned with post-harvest issues (GCP/SRL/056/SPA), another with fish landing sites (GCP/SRL/057/CAN) and a third with fisheries management (GCP/SRL/054/CAN). All these projects concerned Code-relevant activities although the Code was only explicitly mentioned in the ProDoc of the third project. In none was there a major effort to support the Code per se as distinct from particular elements associated with the Code.

484. The CTSU also supported the Fisheries Institutional Analysis and Capacity Assessment published in 2007. The Code is central to this ambitious document, the Terms of Reference stating that the aim of the analysis is 'to promote the principles of the FAO Code of Conduct for Responsible Fisheries'. Much of the discussion is concerned with how present and planned activities in the fisheries sector can be squared with the tenets of the CCRF, particularly in the context of fisheries management. Relatively little attention is paid to other aspects of the Code. This report appears to have had little if any impact in Sri Lanka mainly due to political factors, in particular the appointment of a new minister.

⁸¹ *"The implementation of the programme will seek to be in conformity with the FAO Code of Conduct for Responsible Fisheries, and promote the diversification and broadening of the economic base of fishing communities... Actions will include the strengthening of fisheries management and integrated coastal area management, improvements to post-harvest infrastructure to add quality and value to fish and fishery products, vocational training and credit schemes to allow for income diversification, and the strengthening of public and private service providers including fishers and civil society organizations at national, district and local levels"*, Strategy and Programme for Post-tsunami Reconstruction and Development of the Marine Fisheries Sector, MFARD, 2005

485. Beyond the tsunami-related emergency and rehabilitation initiatives, FAO has as yet had relatively little involvement in post-conflict rehabilitation following the cessation of hostilities between the GoSL and Tamil separatists in 2009. The one exception is OSRO/SRL/104/CAN which included a fish landing site component but does not appear to have addressed other Code-relevant issues.

TCP projects

486. In the period under review, there were only three TCP projects solely concerned with Sri Lanka. One of these (TCP/SRL/3004) was concerned with emergency relief and the other two (TCP/SRL/3203 and TCP/SRL/3301) focused on inland fisheries. Neither explicitly addressed Code-related issues but both were broadly related to it. For instance, the first of these projects aimed at producing a master plan for the development of aquaculture in the Southern Province.

Regional and global projects

487. There were 11 regional projects involving Sri Lanka, three concerned with post-tsunami issues. Excluding those, the more important were BOBLME, the 'Bay of Bengal Large Marine Ecosystem Project - GCP/RAS/175/SWE' and others, the 'Regional Fisheries Livelihood Programme/RFLP - GCP/RAS/237/SPA', and 'Improving post-harvest practices and sustainable market development for long-line fisheries for tuna and other large pelagic fish species - TCP/RAS/3302'.

488. BOBLME, fully operational at the time of writing this report, is concerned with the maintenance of the Bay of Bengal ecosystem and the importance of transboundary issues in addressing this. The project is firmly in line with the Code and focuses on fisheries management and coastal area management; it also uses of a number of technical guidelines associated with the Code, most importantly the ecosystem approach to fisheries.

489. The RFLP, also fully operational at the time of writing this report, in part arose from the activities of the CTSU and is active in six South and Southeast Asian countries. Project documentation makes frequent references to the Code and the components of the project are directly associated with various articles in the Code such as fisheries management, fisheries operations and coastal zone management. The Sri Lankan component builds upon the Code-related activities of other projects, for instance the post-harvest interests of GCP/SRL/056/SPA, the work in support of fish landing sites in GCP/SRL/057/CAN and support for safety at sea carried out by OSRO/SRL/505/ITA. The project is also supporting efforts in the MFARD to modify the legal framework in support of novel forms of co-management.

490. The final significant regional project – the ongoing TCP/RAS/3302 - is concerned with the handling of tuna and similar species, and makes direct reference to the Code.

491. Mention has already been made of GCP/INT/984/MUL which supported the CTSU. Two other FAO interventions are worth mentioning, both concerned with Safety at Sea. The first of these was GCP/GLO/200/MUL which complemented the activities of OSRO/SRL/505/ITA and GCP/RAS/237/SPA both in terms of training and assisting the

MFARD in drawing up regulations. The second, the 'FishCode Custom Training courses (CTC) Project on Fishing Vessel Stability in Sri Lanka' involved training through NIFNE on boat stability issues.

Non-project activities relating to the CCRF

492. Whilst there was no specific effort to support the CCRF in Sri Lanka, FAO made more general pro-CCRF efforts through international organizations and meetings. Through APFIC and NACA Sri Lankan administrators and policy makers were brought into the ambit of discussions focusing on the significance of the Code and raising awareness of specific aspects of the Code (e.g. the EAF; the precautionary principle; the importance of managing fishing capacity). Colombo was the site of the first Asian Regional Ministerial Meeting on Aquaculture, partly sponsored by FAO, which produced the 'Colombo Declaration' on regional cooperation in aquaculture which stressed the importance of the Code.

15.3 *Integration of the Code into FAO interventions in Sri Lanka*

493. Overall, the degree to which the Code was a central component in FAO's activities in the Sri Lankan fisheries sector varied along two axes: time and global versus local.

494. As far as time is concerned, the immediate post-tsunami interventions were formulated with little attention paid to the Code. In part this seemed to have been the result of pressure from donors' intent that 'something should be done' immediately; in part it appeared to be the result of these interventions being handled by the FAO ERCU rather than the Fisheries Department. In Sri Lanka, the situation was not helped by the appointment in some cases of non-fisheries specialists as FAO emergency coordinators. Only after fisheries specialists became involved, either in implementing particular projects or in attempting to coordinate activities, was more cognisance taken of the issues involved. This was clear when it was possible to compare the project documents with terminal statements, the former focusing almost entirely on fishing craft and gear; the latter on a range of challenges to be addressed including over capacity, safety at sea, governance of the fisheries sector and post-harvest issues.

495. As far as the global versus local perspective is concerned, the evidence indicated that greater attention seemed to have been paid to the Code in projects with a regional and global focus compared with those restricted to Sri Lanka. All global and regional projects made frequent and direct reference to the Code and its implications, whilst more locally-orientated projects, although still informed by the Code, made less direct reference to it and were more focused on specific outputs. Individual projects pursued particular aspects of the CCRF – management issues; post-harvest issues etc. – but there was no attempt to use this opportunity to present the CCRF as an integrated and holistic approach to the fisheries sector. Project staff members involved in these projects reported that there was little if any encouragement from FAO to disseminate the idea that the CCRF provided a general framework for interventions in the fisheries sector. Rather, the stress was on the delivery of project outputs.

496. This raises the issue of what role FAO envisaged for the CCRF. The frequently used metaphor was that the CCRF is like the Koran or the Bible, or the 'overarching framework for FAO's work': it is always there and acts as a set of ultimate standards against which the activities of particular projects can be judged and particular fisheries understood. Thus, it can

be argued that, except perhaps for the immediate post-tsunami relief operations, all FAO activities in the Sri Lankan fisheries sector were in line with the scriptural text. But adopting this line of argument is risking a fragmentation of effort and a failure to recognize that support for one aspect of the CCRF may be in conflict with other elements. It also meant that the Organization, holding the mandate to support implementation of the Code amongst its member countries, missed opportunities to raise awareness and knowledge about it.

497. One way of assessing the degree to which FAO's activities had been effective in supporting the CCRF in Sri Lanka was to determine the extent of knowledge of the Code.

498. At senior level in the MFARD, DFAR and NAQDA there was widespread knowledge of the existence of the CCRF and its significance in terms of sustainable fisheries. The Code was seen as highly relevant to the Sri Lankan fisheries sector and an integral part of the set of international agreements to which Sri Lanka subscribed. Most people at senior levels had not read the CCRF but were aware of its main features, especially those relating to fisheries management and operations, and saw them as providing a framework for policy and management of the sector.

499. How this knowledge was gained was less clear. Primarily it seemed to be part of the general 'atmosphere' of FAO's dealings with the fisheries sector in Sri Lanka at least at the highest levels. Individuals mentioned the importance of regional and global workshops and meetings they had attended where the CCRF was an important element. Negotiations over individual projects where the CCRF was relevant were mentioned. There was also the influence of FAO involvement in drawing up the 2005 Rehabilitation Strategy and its activities when producing the Institutional Analysis in 2007. Only a few people had read the CCRF, and this was mainly during their university training.

500. Knowledge and awareness of the CCRF were unevenly distributed through the various agencies involved in the fisheries sector. Until this Evaluation, it appears that no one in the CFC had ever heard of the Code, knowledge of the Code was somewhat sketchy in the CFHC, whilst the CCD seemed equally unclear as to the nature, relevance or significance of the CCRF for their activities. This is perhaps not surprising as FAO activities have tended to focus on other institutions.

501. There were also comments that one of the problems in sustaining knowledge of the CCRF was the turnover of personnel. As new appointees were made in the key departments and the Ministry, there was a tendency for knowledge of the CCRF to be dissipated and a need for some form of renewal.

502. Moving down the hierarchy, most DFAR staff at the district level had heard of the CCRF but had little idea of its contents beyond stating that it 'supported sustainable fisheries'. Beyond the general knowledge that the Code existed, very few (7 out of 53) DFAR staff at the district level had any more detailed knowledge. Of these, three had been exposed to it during their university degrees, three through attending an overseas course, and one through a training programme in Sri Lanka which had mentioned but not elaborated on the CCRF. Only three interviewees were aware that the CCRF had been translated into Sinhala and none that a Tamil translation was available. All these interviews took place in districts

where FAO had been active over the last few years. Amongst field staff employed by the NAQDA there was universal ignorance of the existence of the Code.⁸²

503. Senior officials in the MFARD, DFAR and NAQDA were aware of the technical guidance notes associated with the CCRF and how to access them but this was the result of a general tendency to use the FAO website when in need of technical information. No one interviewed mentioned that their use of these materials had been encouraged by specific contacts with FAO in the context of the CCRF. At the field level, staff members of the DFAR and NAQDA were unaware of the technical guidance notes produced by FAO.

504. Reasons for this general lack of awareness and detailed knowledge of the Code and its instruments are unclear. After all, a considerable number of DFAR, MFARD and CFHC staff attended training sessions and workshops staged by various FAO projects (856 attended courses mounted by GCP/SRL/057/CAN). Given the salience of the Code in FAO thinking, it might be expected that some mention of the Code and its relevance be made in these courses. Nevertheless, whilst some knowledge of issues such as co-management, safety at sea and post-harvest issues, had been gained through these training sessions, there was no appreciation of how these might fit into the wider vision of the Code.

505. Amongst members of the fishing community (both marine and inland) there was little knowledge of the existence and no knowledge of the content of the CCRF.⁸³ Those who did know of its existence had heard of it in the context of FAO projects working in their immediate vicinity (GCP/RAS/237/SPA; OSRO/SRL/504/ITA), but in other areas where projects had been active there was no knowledge of the Code. No members of the fishing communities interviewed had seen a copy of the Code. While there was general awareness of 'responsible fishing' and the need to conserve stocks and regulate fishing, this did not seem to be directly relatable to FAO's activities.

506. FAO appeared to have made little effort to publicise the Code or elements of the Code among fishing communities in Sri Lanka. It could almost be claimed that this Impact Evaluation did more to raise awareness of the existence of the Code and its significance amongst the fishing population of Sri Lanka than FAO's activities over the last eight years.

507. Turning to other groups involved in the fisheries sector, the picture was mixed. Small-scale fish processors, even in areas where FAO had been active, were not aware of the Code. A large-scale fish exporter, whilst well aware of FAO's activities and a user of FAO's Fishing Areas Reference Code, was also unaware of the existence of the Code. Similarly, boatyard owners interviewed in the course of the evaluation were unaware of the Code or of FAO's activities in support of safer and more seaworthy boats.

508. Among NGOs, knowledge of the Code varied. IUCN had been and was currently working with FAO under the BOBLME project to support co-management, and saw itself as subscribing to the tenets of the Code. Two other NGOs, perhaps more activist in persuasion, were also aware of and supported the CCRF. The National Fisheries Solidarity Organization (NAFSO) translated the CCRF into Sinhala in 1999. At that time, it held meetings with

⁸² During the field survey, over 600 photocopies of the simplified guide to the Code were distributed to DFAR and NAQDA field staff and other interviewees

⁸³ At times, even in areas where FAO projects had been active, the existence of FAO as a locally-active organization was unknown

fishermen to promote a better understanding of the Code. NAFSO continued to see the CCRF as a useful tool in promoting awareness of sustainable fisheries amongst fishing communities as well as a potential lobbying tool in negotiations with the DFAR and politicians. Interestingly, NAFSO staff members claimed that knowledge of the CCRF was lower in Sri Lanka than in other countries they have visited, although there were no suggestions as to why this should be.

509. Another NGO, the Small Fishers Federation (SFF) was also aware of the CCRF even though staff members had not read it, claiming that the language of both the Sinhala and English versions was too technical. However, it made use of technical papers associated with the Code in the production of project proposals and reports.

510. Some of the universities offering courses relevant to fishing made direct reference to the Code and treated it as an integral part of their curricula. Three of the seven DFAR field staff who knew about the CCRF had encountered it as students. At the University of Wayamba the Code was an integral part of Master-level courses and students are expected to have an awareness of the content of the Code and its significance. This was also true at the University of Ruhuna and the Eastern University, and technical papers produced by FAO were also in demand in these institutions. But other universities teaching in fisheries related topics (e.g. Peradeniya and Kelaniya) appeared unaware of the Code or the technical papers associated with the Code. Most surprisingly, Ocean University, an offshoot of NIFNE, did not appear to be aware of the CCRF.

511. In summary, beyond the higher levels of the administration, activist NGOs and the universities, there was little knowledge of the Code or its contents. FAO efforts to make the Code better known appear to have been minimal and with little effect. By default, spreading knowledge of the Code within Sri Lanka was left to local institutions

15.4 Implementation of the Code

512. This section of the report analyses the degree to which the Code and FAO's assistance to GoSL in implementing the Code, can be identified in the wider context of Sri Lankan fisheries. On the one hand, it is concerned with the normative framework of Sri Lankan fisheries – the policies and regulations which govern fishing and fish-related activities; and on the other, with the degree to which policies and regulations are put into practice.

Policy development

513. Over the period under evaluation, there have been a number of major GoSL policy statements concerning the fisheries sector. The first of these was the Mahinda Chintana ('Mahinda Vision'), the President's electoral statement before the 2005 election, which became the basis for later policy decisions. This envisaged increasing levels of production, mainly through deep sea fishing as well as providing government support to the fisheries industry by means of subsidised fuel and gear, 500 multi-day boats at concessionary prices, and support for establishing new harbours and anchorages. The Mahinda Chintana also envisaged support for prawn farms, ornamental fish production and freshwater fish production, as well as control over destructive fisheries methods and foreign interlopers.

514. The 'National Fisheries and Aquatic Resources Policy' was produced by the MFAR in 2006. It stressed sustainable exploitation of the fisheries resources of the country, adopted a 'precautionary approach' and promoted the principles of 'responsible fisheries'. It also recognized the degree of pressure on coastal fisheries and envisaged the expansion of aquaculture and inland fisheries along with deep sea fishing.

515. The 2006 policy statement was integrated the following year in the 'Ten Year Development Policy Framework of the Fisheries and Aquatic Resources Sector 2007-2016'. This ambitious document envisaged a 94 percent increase in fish production between 2006 and 2016, coastal fisheries rising by 94 percent, deep sea production by 90 percent and inland fishing/aquaculture by 104 percent. This document was clearly influenced by the CCRF: for instance, it stressed the importance of co-management, of responsible fisheries, of surveys to determine stock levels and of the need to control illegal, unregistered and unreported fishing.

516. The 'Fisheries Sector Development Strategy 2010-2013' aimed to double fish production by 2013 mainly through almost trebling the deep sea catch, increasing coastal fish production by a relatively modest 43 percent along with smaller increases for inland fisheries and aquaculture. It also took into account the benefits which would accrue to fishing in the north of Sri Lanka as a result of the end of hostilities. The policy also envisaged improvements in post-harvest facilities and trading systems, as well as co-management and control of IUU fishing.

517. The revitalization of fishing in the north of Sri Lanka was the subject of the 'Accelerated Fisheries Sector Development Plan for the Northern Province of Sri Lanka' published in 2010. This envisaged almost doubling marine fish production between 2009 and 2013 with slightly smaller increases in inland fishing and aquaculture. Deep sea fishing received less stress here than in other parts of Sri Lanka and the overall thrust of this plan is on infrastructure, boat and gear rehabilitation.

518. Overall, there were clear traces of Code influence on elements in these policies. However, what was less clear was the extent to which key elements in the Code, notably issues surrounding over-capacity in coastal fisheries, were being addressed through these policies. Catch per fishing unit (or per fisherman) in coastal fisheries is declining, but there still appears to be a push to increase employment in the fisheries sector, an increase which cannot be realistically attained through deep sea fishing and aquaculture. Similarly, the drive to increase domestic fish consumption is also likely to increase pressure on coastal stocks. These political pressures prevent a more comprehensive adoption of the Code.

Fisheries regulations

519. Under the 1996 Fisheries Act, a number of regulations have been put in place. These were all broadly in line with the recommendations of the Code and FAO assistance has been used in formulating these regulations. Most of these regulations were concerned with fisheries operations, relatively few being concerned with other aspects of the fisheries sector, for instance aquaculture (see Annex 13).

Fisheries management

520. One of the key issues facing Sri Lankan fisheries was its management, especially fishing in coastal waters. The only comprehensive survey of Sri Lanka's marine resources was carried out in 1979-80. Over 30 years later, there was still a need for a comprehensive assessment of marine resources to act as the basis for sustainable management plans in line with the tenets of the Code. As mentioned previously, one project (GCP/SRL/054/CAN) did address stock assessment issues, but this focused on only three areas of coastal waters, concentrated on relatively marginal species, and appeared to have failed in its major purpose of building capacity and awareness in NARA. The utility of the Atlas it produced as a management tool was questionable.

521. A second significant area concerned boat registration, an important element in the Code's approach to fisheries management. There was a system in place prior to the evaluation period but it became clear in the rehabilitation process that this system was working poorly. FAO and the Icelandic International Development Agency (ICEIDA) supported the establishment of a new system of registration and the establishment of a Vessel Registration Unit in the MFARD. Until 2011, a nominal fee was charged for registration but as of 2012, it was free and open to all. Registration has not been used to manage entry into the fishery.

522. The Code stresses co-management, and this was an important element of Sri Lanka's approach to lagoon and coastal resources management. There have been a number of efforts involving FAO to encourage various forms of co-management (e.g. GCP/RAS/175/SWE; GCP/SRL/054/CAN; and GCP/RAS/237/SPA) but these had a limited impact. Despite the policy commitment of GoSL to co-management, there were doubts as to the feasibility of co-management in the Sri Lankan context, as well as a few attempts to analyse or learn lessons from past experience.

523. A key issue in the context of the long-term sustainability of Sri Lankan coastal fisheries was over-capacity. One of the central themes in the Code concerns the reduction of pressure on fish stocks. FAO has supported this in a minor way (through investigating alternative livelihoods in GCP/RAS/237/SPA) but at a broader level reducing the numbers involved in fishing did not appear to be a major theme in fisheries management. The encouragement of deep sea fishing was seen as an addition to rather than an alternative to inshore fishing. GoSL appeared to have done nothing to restrict access to coastal fisheries and given the political pressures on the government to create jobs, it is unlikely to do so in the near future. Thus, not surprisingly, there was no national action plan for reducing fishing capacity.

524. Finally, transboundary issues were a continuing source of tension between Sri Lanka and India. These concerned fishing activities in the Gulf of Mannar and the Palk Straits. BOBLME had been involved in establishing meetings between representatives of India and Sri Lanka and was working with IUCN to disseminate socio-economic and biological information concerning the Gulf of Mannar. However, the ongoing negotiations between the two countries were driven primarily by political interests, which meant that contributions from other parties or references to the Code would not necessarily be acknowledged.

Fisheries operations

525. With assistance from FAO, there was some success in improving fisheries operations in terms of the Code. However, the picture was mixed.

526. Safety at Sea has been a major thrust in FAO's activities over the evaluation period and this has led to greater attention being paid to the quality of boats being produced in Sri Lanka (e.g. the Fishing Boat Safety Regulations of 2009). An inspection system was in place to ensure compliance with these regulations, although how effective it was, remained unclear. There were regulations covering the use of life jackets but these were not enforced. Whilst there had been progress towards fulfilling the standards of the Code, the lack of comprehensive data sets meant that progress was impossible to measure.

527. There was a similarly mixed picture concerning IUU fishing and the use of illegal gear and fishing methods. On the one hand, there was evidence that miscreants were dealt with, those engaged in illegal fishing being punished and losing their equipment. On the other hand, there was evidence that political considerations entered into who was punished and the degree to which the regulations were imposed.

528. Port State measures appeared to be in line with those outlined in the Code, and progress was being made to implement systems of catch recording in the deep sea fishery. However, progress towards full traceability was more the result of the need to engage with EC regulations on fish imports than on direct pressure from FAO.

529. Finally, FAO had supported work on fish landing sites. This had a positive impact in terms of the Code in sites where FAO has been active (e.g. in post-harvest activities), but had not been emulated more widely.

Post-harvest issues

530. FAO's work on post-harvest issues focused on improvements at point of sale (e.g. GCP/RAS/237/SPA; and GCP/SRL/057/CAN) or in fish drying (e.g. GCP/SRL/056/SPA). These did not appear to have had a broader impact on the fisheries sector beyond the immediate project sites.

531. One area in which FAO may have had a broader impact concerned the handling of tuna and other demersal deep sea species (TCP/RAS/3302), but the project was still ongoing at the time of the evaluation and the impact remained potential.

Aquaculture and inland fisheries

532. FAO's inputs into aquaculture and freshwater fishing have been relatively minor, and ADB appeared to have been a much more significant partner for NAQDA. Nevertheless, senior NAQDA staff claimed that their work had been influenced by the CCRF and that ongoing activities (e.g. TCP/SRL/3203) will have an impact on production. Otherwise, in terms of the CCRF, there was relatively little evidence that FAO's activities had an impact beyond supporting the regulatory framework.

15.5 Livelihoods and gender issues

533. As far as FAO activities in the Sri Lankan fisheries sector were concerned, much of the post-tsunami relief and rehabilitation work was centrally concerned with restoring

livelihoods. In subsequent projects (e.g. the RFLP, BOBLME and GCP/SRL/057/CAN), although livelihoods were seen as an issue, little systematic attention was paid to them. Attention to gender issues was extremely limited. Any impetus to take these issues seriously did not emerge from attempts to implement the CCRF.

15.6 Conclusions

534. FAO had some success in promoting the CCRF in Sri Lanka. However, this success was limited. In the government sector, knowledge of the Code and its significance were generally limited to senior levels and knowledge was much less at more junior levels in the hierarchy. Amongst those directly involved in fishing, there was very little knowledge of the Code, its contents or its significance. While NGOs and universities had some knowledge of the Code, other ancillary groups such as traders, processors and boat builders had little if any knowledge of it.

535. As far as implementation was concerned, although there was an increasing alignment of fisheries regulations with the Code and its articles, there was still a long way to go. At the most general level, there was no attempt to manage fisheries in a sustainable and controlled way: marine resources remained primarily an open access resource, although there were 'islands of management'. In areas such as Safety at Sea and boat construction, FAO had been constructive and supportive, especially in assisting in the formation of regulatory frameworks. However, there were major questions as to how far the regulatory framework was successfully implemented and considerable evidence that political forces often undermined the successful implementation.

536. The impact of FAO's support to the Code had been greatest at the level of policy. There was clear evidence that FAO's activities assisted the GoSL to put in place policies and regulations in line with the Code of Conduct. Impact had been much less at the level of implementation. There have been impacts in terms of individual projects but at the wider level, there was much less evidence of FAO being able to play an effective role in changing fishing practices or in working towards the sustainable management of fisheries resources.

537. FAO limitations in fostering stronger impacts in supporting the CCRF in Sri Lanka can be related to a number of factors. These include:

- a. The failure by FAO to produce a comprehensive strategy for its activities in Sri Lanka. With a couple of exceptions (the Post-Tsunami Reconstruction Strategy and the Institutional Analysis) FAO's activities have been overwhelmingly projects directed at producing specific material outputs and frequently driven by the interests of the donors. The result was that the CCRF has tended to be sidelined;
- b. Failure to take up opportunities for disseminating the CCRF. Projects infrequently mentioned the Code, and their training efforts were not utilized as a vehicle to promote the Code;
- c. Failure to develop effective modes of dissemination. This was most obvious at the district level and among fishing groups but was also apparent among other relevant groups such as fish processors and boat builders. It appeared that little thought had been given to how FAO might reach such groups, or what could be effective means of dissemination;

- d. Failure to assist in the implementation of CCRF-relevant activities and regulations. Whilst there had been progress at the policy level, FAO had done little to encourage or support the effective implementation of these policies.
- e. The problem of political institutions. Effective implementation of the Code requires firm and committed political support. At the policy level, there had been support but political constraints prevented the adoption of some policies, e.g. measures to reduce the number of fishing units in coastal waters. At the district level, it appeared that local political considerations frequently over-rode measures in support of responsible fishing. For its support to the CCRF to be effective, FAO must consider how it can encourage political support for the Code at all levels.

16 Modalities and overall performance of FAO's work

538. This chapter builds on the evidence and analysis contained in the report so far and focuses on the aggregate performance of FAO in supporting the implementation of the Code, through its field programme for technical cooperation to development, the emergency operations and its normative products. The analysis of FishCode as a Code-related fund-mobilization strategy for the Fisheries Department is also included here, as well as FI's support to the regional fisheries bodies and regional fisheries management organizations.

16.1 The field programme for technical cooperation for development

539. As illustrated in Section 5.3 above, during the period under evaluation FAO implemented 343 projects within the category 'Technical Cooperation for Development' for a total budget of approximately USD 460 million, including projects leveraged by FishCode. For 41 percent of these, corresponding to 45 technical cooperation projects (TCPs) and 95 voluntary-funded (VF) initiatives, the project documents (ProDoc) contained an explicit reference to the Code. Excluding 32 projects (9 percent) for which no project document was available, 50 percent of the projects had no mention of CCRF in their ProDocs. Also, 51 percent of VF projects (95 out of 185) had a reference to the CCRF, whereas 28 percent (45 out of 158) of the TCPs did.

540. The Evaluation assessed directly 38 projects, 20 TCPs and 18 VF: these had been classified as 'key' based on their objectives which appeared to be of particular significance to the implementation of the Code. Among these were projects that should have been 'flagship' initiatives to foster the Code and its principles. Indeed, the majority of projects (23 out of 38) had a specific reference to the Code in the project document, though again this was more frequent among the VF initiatives (13 out of 18).

541. The assessment was carried out through the OED set of criteria established for this type of analysis. The overall resulting picture is contained in Box 23 below.

Box 23. Key projects average scoring – TCP and Voluntary-funded initiatives

Evaluation criteria	TCPs	Voluntary-funded initiatives	All key projects
<i>Relevance</i>	5.3	5.1	5.2
<i>Design</i>	4.8	4.4	4.6

Implementation process/efficiency	4.6	4.4	4.5
Effectiveness/ Impact	4.3	4.3	4.3
Effectiveness of capacity development - individual	5.1	4.5	4.8
Effectiveness of capacity development - institutional	4.6	4.0	4.3
Effectiveness of capacity development – enabling environment	3.8	3.0	3.4
Effectiveness of partnerships	3.9	4.0	4.0
Gender mainstreaming (all criteria)	3.6	3.3	3.4
Social inclusion	4.1	3.7	3.9
Sustainability	4.3	4.3	4.3

*: 1=very poor; 2=poor; 3=inadequate; 4=adequate; 5=good; 6=excellent; NA: not possible to assess/Not Applicable

542. Average relevance was good for both groups, as to be expected given the selection criteria. Design ranked lower, but still rather high by FAO standards; and represented a slight improvement over a similar scoring of FI projects assessed in the framework of the Evaluation of FAO Activities in Fisheries Exploitation and Utilization Programme 2.3.3 in 2003-04. Efficiency of implementation, here a qualitative type of measurement, was scored as adequate, though slightly lower than in the 2003-04 assessment for TCPs. Their effectiveness in terms of human capacity development was already discussed in Chapter 13 above.

543. FAO scored adequately in partnerships, for both TCPs and VF initiatives, while gender mainstreaming and social inclusion had the lowest scores. The Evaluation of FAO's role and work related to Gender and Development had recognized that for approximately 20 percent of the FI projects, gender was not relevant, but it also stated that *'The analysis of projects in the Fisheries and Aquaculture sector concluded that although half of the projects could be classified as GAD (Gender and Development) and WID (Women in Development), failure to institutionalize satisfactory understanding of gender in project design and implementation severely limited the potential effectiveness of interventions in the fisheries sector.'*⁸⁴ This Evaluation reached very similar conclusions, as already discussed above.

544. A more in-depth analysis of FI projects was carried out in the context of the impact evaluation in Sri Lanka, as discussed in the section above and in the field report in Annex 12. It is still worth raising here two key conclusions from the field report:

- C3: Actions implemented by FAO in Sri Lanka since 2005 have not, with one or two exceptions supported the implementation of the Code at the district level in Sri Lanka and FAO was not cited as a source of knowledge or awareness of the Code by any of the respondents who had seen or read the Code, at the district level in Sri Lanka.
- C4: However, actions implemented by FAO in Sri Lanka have contributed to promoting and implementing responsible fisheries at the district level in Sri Lanka. DFAR extension staff in all four districts and fishing communities in the districts of Gampaha, Matara and Batticaloa were able to identify many activities implemented by FAO projects, which have contributed to promoting and implementing responsible fisheries at the district level

545. The Evaluation confirmed that these findings resonated with most of the assessed projects at the country level. As discussed above in relation to SSF, the Code has been almost nowhere in FAO's projects at country level, as a reference, a guide or an advocacy tool.

⁸⁴ http://typo3.fao.org/fileadmin/user_upload/oed/docs/Eval%20GaD%20Report%20Final_2011_ER.zip

Furthermore, FI was not effective in engaging with those stakeholders at field level who could ensure longer-term sustainability and impacts of its actions. There is an urgent need for FAO to strengthen project management mechanisms and promote project management procedures that encourage and support participation and decision making by district-level stakeholders in project implementation.

16.2 Emergency and rehabilitation initiatives in the fisheries and aquaculture sector

546. Fisheries and emergency operations became a major area of work for FAO following the Indian Ocean earthquake and tsunami of late December 2004. The Organization took immediate action in the days and weeks following the disaster, spearheaded by the Emergency and Rehabilitation Division and the Fisheries Department. This focused on needs assessment, fund raising, coordination activities, advice and guidance. Among others in March 2005, a FAO Ministerial Meeting on Fisheries subscribed to the 2005 Rome Declaration on Fisheries and the Tsunami, in which specific mention was made of the Code of Conduct for Responsible Fisheries and the need for any rehabilitation intervention in the fisheries and aquaculture sector to be in line with its principles.⁸⁵

547. Many reports and analysis have been written about the massive rehabilitation efforts after the Tsunami. In some countries, the disaster almost paralysed the fisheries and aquaculture industry, with extensive damage to boats, harbours and fish ponds, and consequently affected the livelihoods of hundreds of communities which depended on it.

548. FAO raised approximately USD 77 million for Tsunami-related emergency operations, two thirds of which were for the fisheries sector. Since then, however, more natural extreme events have occurred that affected fisheries and aquaculture. In the period under evaluation, FAO implemented a total of 121 projects classified as 'input distribution' as their focus was mostly on re-building lost assets. The total budget of these initiatives was in the order of USD 140 million. Of these, 17 were leveraged through FishCode. Also, only 15 percent had an explicit reference to the CCRF in their ProDoc, including one of those funded through FishCode.

549. In addition, FAO also implemented 11 projects funded through the Emergency channel, which however contained strong elements of development, for a total budget of USD 46.5 million. These were analysed with the TCD projects.

550. The Evaluation assessed this stream of work through past evaluations, both of individual projects and of major emergency operations such as the Tsunami, and through direct assessment in some of the few countries visited. The IE in Sri Lanka contributed to this analysis as well.

551. The core activity of the emergency projects in the fisheries sector was distribution of gears. This tended to be quite straightforward, although recurrent problems arose about type of gears, targeting and excessive quantity of gears in the case of the Tsunami. In the case of aquaculture rehabilitation, projects re-built ponds and distributed fingerlings. Some projects embarked on ice-plants construction, for example in Nicaragua and Somalia; results were very poor in both cases.

⁸⁵ <ftp://ftp.fao.org/fi/DOCUMENT/ministerial/2005/tsunami/declaration.pdf>

552. The most successful projects steered away from project documents that were basically a unique template for gears and boats distribution, and moved into coordination, advice and capacity development activities on boat building and aquaculture management. In Sri Lanka, Banda Aceh and Myanmar, this was quite an effective approach and in these cases, FAO's work appears to have made some contribution to 'building back better'. Equally, FAO showed good performance when involved in the needs-assessment phases, on the basis of which other relief agencies could plan their support. In this coordinating and advisory role, FAO could foster the principles of sustainable management in relief operations, and limit the risk of ending with higher fishing capacity after the disaster than before.

553. The cases of boat-building have been particularly complex. The Organization was torn between the immediate needs of asset replacement, i.e. building replacement boats, and the need to ensure that such boats were of high quality and met international standards, which had been developed in part by FAO as well. The latter was difficult to achieve at acceptable cost and within a short timeframe. Although FI was reluctant to directly engage in boat building as such, FAO Representatives in the countries did on occasion agree with governments to provide boats post-disaster. The conflicting objectives noted above have been difficult to resolve, and the associated delays and compromises have been unsatisfactory to all parties, and appear to have undermined the reputation of FAO in some instances. Box 24 below illustrates such a case in Bangladesh.

Box 24. FAO emergency and rehabilitation in the fisheries sector, the case of Bangladesh

After cyclone Sidr in November 2007 destroyed between 6,000 and 10,000 small fishing boats, FAO's Bangladesh country office was asked to help by providing 1,500 replacement boats. In the years following, FAO developed prototype wooden boats that did not succeed due to their higher cost and new boat-building techniques, and new fibre reinforced plastic (FRP) vessels that were also much more expensive than traditional vessels which did not rely on scarce timber resources. FAO and the Government of Bangladesh agreed on producing fewer (300) of the FRP vessels. The overall response by FAO illustrates both strengths and weaknesses: the delays associated with the process (the 300 boats are only now being built – nearly 5 years after the cyclone) meant these were not an effective response to the immediate problem of lost fishing boats; the trade-offs between cost and durability are complex and context dependent. On the other hand, the "opportunity" was used to increase awareness of quality, safety, and fishing capacity issues - possibly to the longer term benefit of the fleet. FAO was caught between its own objectives (safety and sustainability), and those of emergency relief (replacement of lost assets) and FAO's reputation suffered as a consequence. It also highlighted organisational tensions that arise in FAO when FAOR must respond rapidly to the demands of an emergency, while technical specialists insist on a slower more thorough approach with safety and quality as paramount concerns.

Source: Evaluation team

554. A few projects turned into development initiatives as they started one or two years, or even later, after the natural disaster they had been intended for. This usually led to more positive results, as was the case of the American Red Cross funded project in Banda Aceh. However, in a couple of cases, the ProDocs tended to still be emergency-oriented and were not revised in depth, which led to very poor implementation and absence of or very weak results on the ground.⁸⁶

555. It has been acknowledged by most, including in the Real-Time Evaluation of the Tsunami operations, that an important factor of difference in the type of response was the

⁸⁶ See evaluations of GCP/SRL/057/CAN and GCP/MOZ/078/ITA, <http://www.fao.org/evaluation/oed-documents-and-reports/oed-search/en/>

presence of FI technical officers or international fisheries experts fully involved in the decision-making process, who could counter-balance the inputs distribution drive of FAO Emergency Coordinators who responded to the HQ-based Emergency and Rehabilitation Division.

556. The lesson of the Tsunami was well taken on board by FAO, at least at the headquarters level. Within the FishCode unit of FI (see section below), the Emergency and Rehabilitation Division has been funding one post, for emergency coordinator. An additional post for a Disaster Risk Management Specialist is funded, from both Voluntary contributions and Regular Budget. The job descriptions of both Emergency Coordinator and DRM specialist in FI explicitly mention the task of ensuring that emergency initiatives be harmonized with the CCRF principles. It was not possible to assess in practice the effectiveness of such a decision on the quality of the projects approved since the creation of the posts, as most initiatives approved tended to be small in size and dispersed over a large number of countries, including the Democratic Republic of Congo, Myanmar, the Philippines and Sudan among others, and have not been evaluated so far.

557. Furthermore, in late 2007, after the bulk of the emergency operations linked to the Tsunami was over, FI could complete a task that had been initiated in 2004 and issued a technical paper on disaster response and risk management in the fisheries sector.⁸⁷ The document provided a good overview of the issues to be taken into account in situations of emergency and rehabilitation operations in the fisheries sector. More work has followed on fisheries in disaster risk management, reportedly in good collaboration with a network of partner organizations. This was still in full preparation at the time of the Evaluation, thus no further assessment was possible.

558. In conclusion, the Evaluation considers that FI should not engage directly in boat building but rather coordinate, assist and advise government and emergency response organizations and initiatives on the ground in the field of fisheries reconstruction and rehabilitation. The quality and safety of replacement craft, and the importance of not increasing fishing capacity, should be paramount in this advice. This may require the fielding of fishing industry advisors in post-emergency response, and a case for funding such advisors and coordinators should be strongly made. **Recommendation 16** to FI and FAO tackles this aspect.

16.3 Code-related normative products

559. The Evaluation, throughout its work, compiled an inventory of normative products produced by FI, at headquarters and decentralized office-level since 2004, divided by type: codes, guidelines and manuals; reports; conferences, workshops and meetings; databases; and policy briefs and brochures. The great majority of the products are reports and conferences, workshops and meetings, as shown in Box 25.⁸⁸ All are listed by theme in Annex 7 of this report.

⁸⁷ FAO Fisheries Technical Paper 479, Disaster response and risk management in the fisheries sector, FAO 2007

⁸⁸ The ToR indicated a list of 800, but this was an erroneous figure as Annex 3 of the ToR, the inventory, contained 585 of these. Some were added throughout the process and some were taken out, as they were translations in other languages of the same product.

Box 25. CCRF-related normative products

<i>Codes, guidelines, agreements</i>	43
<i>Conferences, Workshops, Meetings</i>	387
<i>Databases</i>	24
<i>Policy Notes, Briefs, Brochures</i>	33
<i>Reports</i>	101
Total	588

Source: FAO and FI web sites, elaborated by the Evaluation

560. These are overwhelming numbers, even by FAO standards. It is acknowledged that FI goes through a very laborious process of documenting and reporting in written form on all the meetings it holds; there are clear reasons of transparency and rigour for such process; however, there may be scope for rationalizing and simplifying, hence efficiency-savings, without losing important information. In practice, such a mass of written information does not necessarily facilitate access to the right type of information by external users and in a timely manner.

561. The Evaluation assessed a sample of these products against established criteria, 114 in total. The selection was purposive, by apparent relevance and usefulness in terms of providing insights into the relevance and technical quality, as well as their potential as 'passive' capacity development tools to be used by fisheries and aquaculture officers and professionals around the world. The assessment by sector is contained in each section above, whereas Box 26 below brings all of them together by category.⁸⁹

Box 26. Assessment of Code-related normative products

Category of product (number products)	Relevance for CCRF	Technical quality	Outcome (actual or potential uptake and use)	Potential impact as capacity development tool	Integration of environmental sustainability concepts	Gender mainstreaming	Integration of social inclusion and poverty reduction issues
<i>All Technical Guidelines (30)</i>	5.4	4.9	4.1	4.0	5.0	2.0	2.9
<i>IPOAs (4)</i>	5.0	3.8	3.2	3.8	4.6	1.0	1.0
<i>Other Code related instruments (4)</i>	5.3	4.9	4.4	3.2	4.1	2.3	3.0
<i>COFI reports (10)</i>	5.4	4.9	4.2	3.6	4.0	2.2	3.5
<i>SOFiA (4)</i>	5.5	5.3	4.7	4.6	5.3	2.9	4.6

⁸⁹ The total of 114 assessed included meeting reports as well as products that did not belong to any category.

Fisheries and aquaculture report and circulars (17)	5.7	5.4	5.0	4.8	4.4	2.7	4.2
Databases (4)	4.4	4.6	4.2	3.8	4.0	1.0	1.7
Policy Notes, Briefs and Brochures (15)	4.9	4.4	4.5	4.0	4.4	3.5	4.5
Others (26)	4.7	4.6	4.7	4.2	4.0	2.4	2.9
Total average of 114	5.3	4.8	4.4	3.9	4.3	2.2	3.1

Source: Evaluation team

562. Relevance of these products was adequate to good, being somewhat lower for databases and policy notes than for other products. The same applied to technical quality, with the exception of the IPOAs, discussed earlier in the report in Section 6.1. In both cases, somewhat higher scores were expected, considering the centrality of the Code in FI's work and the reputation of FI as a centre of excellence.

563. Taken all together, most of these products were considered barely adequate for capacity development purposes, with the exception of reports and circulars: if this is understandable in the case of IPOAs or COFI reports, it appears less justified in the case of policy briefs and technical guidelines. The low scores for gender mainstreaming and social inclusion were in line with similar results for FAO's products in other sectors.

564. The Evaluation also made an attempt at tracing the production of these outputs through the corporate system for planning the work of the Regular Programme, as discussed in Section 5.2 above. This analysis also looked at the length of time that took to produce the technical guidelines and negotiated agreements, but this was possible only for a limited number of products, as follows:

- it took one biennium to produce each international plan of action, as well as one of the TGs endorsed by COFI;
- most of the TGs took between one and two biennia;
- STF and STA were in the planning for three and four biennia respectively;
- The agreement on Port State Measure also took four biennia; and
- Two guidelines, one endorsed by COFI and one not, were in the plans for three biennia.

565. Overall, the findings confirm that negotiated and sensitive issues took a long time due to clear need for discussions and negotiations within the COFI process of endorsement.

However, long production times were also noted for some technical papers and analysis,⁹⁰ which required several biennia each. Admittedly, these are products for which long data-gathering phases may be necessary to be robust enough. On the other hand, in these cases it is also reasonable to question whether the reasons leading to the decision to embark on the production were sound enough to start with, and if the final product will still be relevant after such a long time.

566. The auto-evaluation of the programme entity for the CCRF, carried out under the responsibility of FI in 2007-08, analysed to some extent the production costs of TG. The estimated average cost for TG was in the range of USD 300,000 - 500,000, staff time included. Thus, of particular importance is the decision to go for a technical guideline rather than a technical paper. A TG may only be needed when very clear sound basic guidance is required, whose implementation is fundamental to the delivery of the Code. States need to be able to say “we are following the TG; therefore we are implementing the Code.”

567. Overall, these findings, coupled with the evidence gathered from interviews with key stakeholders that most of the documents were not known broadly outside a limited audience, and thus were not used, raised a number of questions about the actual need for, the relevance of and the cost-effectiveness of these outputs. FI should seriously re-consider the amount of resources allocated to producing TG and other technical publications, as well as the mechanisms for their quality assurance. A more focused and strategic approach, with fewer products but of a higher quality and meeting a precise need, is strongly advisable. This should be complemented by an active dissemination strategy to effectively increase the availability of hard copies to end-users at the level of both producers and technicians.

568. The Evaluation is aware that the 2004 Circular on Roles and Responsibilities assigned greater responsibility for normative work to HQ-based staff and greater responsibility for field-programme support work to staff in the decentralized offices. This, compounded with other related senior management decisions on decentralization, led in practice to a gap in the continuum between the normative and operational work of the Organization. At the same time, no efforts went into developing a results-based approach for the development of normative products, that would include needs assessment, validation of the products, monitoring of their relevance and effectiveness by dissemination through projects and programmes managed by staff located in decentralized offices, and capitalization of lessons learned. Development of normative products became an end in itself. If this is acknowledged by FI as a correct interpretation, the department should take definite action towards a culture change that gives priority to results at the country level: to achieve better implementation of the Code, more on the ground demonstration will be needed, and FAO should be involved in at least piloting, stimulating and even coordinating some of the more cutting edge areas of this work. The process initiated in 2011 by NRL on strategic planning of normative products may be a useful example for FI as well.

16.4 FishCode

⁹⁰ Two examples among several: A community-based ecosystem approach to fisheries management: guidelines for Pacific Island countries; Analysis of aquaculture development in Southeast Asia: a policy perspective. FAO Fisheries and Aquaculture Technical Paper T509.

FishCode from its creation until 2008⁹¹

569. As per its terms of reference, this Evaluation paid particular attention to FishCode, the umbrella programme requested by MCs in 1995 to support developing countries in their efforts to implement the Code. Following the request from the FAO Conference in 1995 for a programme for external assistance to support implementation of the Code of Conduct for Responsible Fisheries, FI designed and established the Interregional Programme of Assistance to Developing Countries (FishCode) as a multi-donor umbrella programme, covering substantial elements of the external work of the department.

570. Originally, 11 components were identified, with provisions for flexible funding by donors. However, only two had initial support in 1997, namely 'Upgrading MCS capabilities' and 'Improving provision of scientific advice'. By early 2002, FishCode had only one donor, Norway, and one project. This had expanded by 2003, and was designated one of FAO's high-visibility programmes in mid-2003. FishCode strengthening included among others:

- continuous promotion and development as an FI umbrella programme;
- collaborative drafting of updated FishCode programme document (2004);
- establishment of general multilateral pool fund – the FishCode Trust (MTF/GLO/125/MUL); and
- positive reception by COFI member countries and favourable notice and promotion within other international forums.

571. Notwithstanding the clear benefits of an umbrella programme of this kind, and its strong 'brand' value, an FI review as early as 2000 noted the difficulties in developing this profile both inside the department and externally, the omission of key areas of FI interest, and the apparent ineffectiveness of donor engagement at strong strategic level. Concerns were also expressed at that stage about financial transparency and ensuring that funds were genuinely applied to additional outputs.

572. In 2006, the Fisheries Department conducted another internal review covering all extra-budgetary funding and the mechanisms by which these were attained. FishCode was reviewed in detail and suggestions were made for its improved use.

573. The multilateral Trust Fund, the FishCode Trust (MTF/GLO/125/MUL), became operational in 2004. It has since provided a mechanism by which the funds of resource partners could be channelled to Code-related activities. This was done in the form of baby projects within the MTF to finance specific activities or support ongoing FI programmes. This arrangement reduced the administrative burden attached to the opening and closing of projects.

FishCode since 2008

574. As a follow-up to the internal review process, the location and mandate of FishCode were modified. Institutionally, the FishCode Programme was situated in the Office of the Fisheries Assistant Director-General (FID), to permit a close relation with the highest

⁹¹ Information in this section comes mostly from the FI document 'A Better Harvest? Improving the coherence, flow, and implementation and impact of Extra-Budgetary Funds in the FAO Fisheries and Aquaculture Department', 2007

strategic decision-making entity in the department, the FID Programme and Planning Group and the FI Programme Coordinator. Its aim became 'to facilitate implementation of the Code of Conduct for Responsible Fisheries, as specified in the FishCode Programme Document' and its mandate that of a support facility and focal point for FI technical divisions with respect to: technical consultations with donors; promotion, identification and development of extra-budgetary funding (or voluntary contributions) opportunities; and operational management with budget holder responsibilities of all voluntary contributions for global and inter-regional projects. Two distinct, though inter-related functions, were identified:

- On the basis of the strategy and priorities of the FI Department, and liaising closely with the FI technical and other FAO divisions concerned, FishCode would identify resource mobilization opportunities and assist technical divisions in the formulation of programme and project proposals and their further internal processing; and
- FishCode would ensure timely and efficient delivery of the department's voluntary-funded programme through intra and inter-departmental facilitation and through the assumption of full operational responsibilities, including liaison as required with the Technical Cooperation Department (TC) and other FAO departments, financial monitoring and reporting routines, and support for operational and administrative actions.

575. A departmental task force developed an FI resource mobilization strategy that identified both traditional and non-traditional resource partners as potential sources of funding.

576. In the period 2004-2011, there were 12 initiatives under the supervision of FishCode with a total budget of USD 46,001,020.⁹² Of these, in the period under evaluation, the MTF hosted 17 baby projects for a total amount of USD 17.1 million. The complete list is to be found in Annex 6; Box 27 below illustrates their total budget by technical area of intervention. As per its mandate, the greatest share of FishCode resources – 71 percent - went to initiatives that tackled the Code as a whole, including aquaculture. By comparison, the approximate share of budget for the 'CCRF as a whole' TCD projects was 31 percent.

Box 27. FishCode projects

FishCode projects		
Main theme of focus	Total Budget (USD)	% of total budget
CCRF as a whole	32,926,917	71.6
Capacity development	5,705,352	12.4
Small Scale Fisheries	2,345,474	5.1
EAF	2,694,362	5.9
Fishing operations	728,138	1.6
IPoA IUU	523,761	1.1
Aquaculture	159,854	0.3
Info & Communication	170,953	0.4
Status and Trends	746,209	1.6
TOTAL	46,001,020	100.0

⁹² Among the 12 projects, two are split into multiple babies, which have not been counted as projects in their own right. One of these is the FishCode Trust, split into 17 babies. The other one is the FAO Multi-donor Mechanism (FMM), within which there are 4 separate CCRF-related babies. At the time of writing this report, the GEF ABNJ programme was still in the pipeline for 2012 and was not included in the analysis below

Source: CCRF Evaluation with data from FishCode unit

577. Traditional donors of FishCode have mainly been Norway and Sweden. In addition, FishCode staff developed a close relationship with the GEF, which led to the assignment of the ABNJ programme to FAO. Nevertheless, the Evaluation noted a gap in the relations between FishCode, and FI in general, with the International Finance Institutions: during the period under evaluation, only five projects were funded by this group of resource partners, for a total of USD 5.5 million. There seems to be scope for substantially improving the IFIs' contribution to the implementation of the Code, directly through FI or indirectly by mainstreaming the Code principles more visibly in their investments.

578. In 2011, FishCode staff comprised a coordinator at D1 level and administrative and support staff. In addition, FishCode included among its staff two positions, one since 2009 for emergencies and rehabilitation and one since 2010 for disaster risk management, as discussed above in Section 16.2. This arrangement also ensured that all technical support services (TSS) from emergency projects could be claimed. The costs of the programme amounted to approximately USD 1.2 million/biennium, including the coordinator and support staff, as well as a number of consultants involved in project formulation and management. The costs of the unit increased by USD 600,000/biennium when including the two emergency posts.

579. Overall, FishCode has been rather efficient in its resource mobilization and management function, considering that its management costs represented ca. 10 percent⁹³ of the mobilized resources. FAO does not have standard benchmarks for such a ratio, but it is usually considered that 10-20 percent is an acceptable share. As a somewhat bold comparison, the share of FI Regular Budget resources against the whole Field Programme, including TCP but excluding emergency and rehabilitation activities, for the period under evaluation, was 38 percent. In addition, the management of FishCode has become increasingly transparent since 2009.

580. In terms of coherence between FishCode and the CCRF, the programme has been effective in supporting the implementation of the Code as a whole, as it should have been. The development of closer relationships with the GEF led to the assignment to FAO of the upcoming ABNJ programme. This programme covers tuna and deep sea fisheries; the tuna project is the largest and includes a large portion of the major global fisheries. The programme also aims at increasing the participation of developing countries in RFMOs for ABNJ fisheries in general and also in international discussions/forums thereby increasing the capacity of developing countries to make decisions on resources of the ABNJ which are common property and constitute resources and biodiversity for the future. Although some see this programme as not being among the first priorities for FI, the argument as raised that sustainable deep sea fisheries has an effect on the whole sector, including small-scale fisheries and thus it was appropriate for FI to take it on. It is still too early to assess how this initiative will affect the 'modus operandi' of the department, let alone its results.

⁹³ This figure is based on the cost of FishCode without the emergency posts.

581. At the same time, as mentioned above, the CCRF was one of the impact focus areas (IFA), a concept introduced in the Strategic Framework 2010-19.⁹⁴ The rationale for this IFA was the observation of the number of people who depend on fisheries for their livelihoods (half a billion) and for consumption of animal protein (3 billion) and the challenges that the sector is facing. The IFA-CODE is articulated in four key programmes that enshrine the Code's core mandate and set the way for tackling current challenges, namely Ecosystems Approach to Fisheries and Aquaculture, Availability and Application of Data for Small-scale Fisheries and Aquaculture, Improved Market Access by Small-scale Fisheries and Aquaculture Producers and Response to Disaster and Impacts of Climate Change.

582. The Evaluation did not find any evidence that the IFA-CODE was a concept referred to by FI staff or resource partners or that it had played any role in resource mobilization. The concept of FishCode was on the contrary, a somewhat better known brand-name for FI. This could be partly explained by the relatively short-life of the IFA concept against the life of FishCode and the latter's clear task in leveraging resources.

583. FPMIS shows that the FishCode umbrella programme was not formally extended beyond December 2011, although this would have required only an administrative action. This appears urgent as the mechanism has proven its worth. At the same time, informal communications to the Evaluation team indicate that internal managerial decisions made in FI in late 2011 and early 2012 have – at least temporarily - virtually emptied the FishCode unit of staff.

584. The Evaluation clearly has no say in such decisions, although it can see some risks resulting from the, albeit temporary, suspension of an active pursuit of additional resources, particularly at a time when the Regular Budget resources of the Organization are at great risk. In general, it appears unlikely that staff already over-burdened with technical and administrative tasks could also take on effectively and efficiently, the additional task of resource mobilization. Furthermore, this appears to be somewhat at odds with the recent corporate Resource Mobilization Strategy, which calls for increased coordination and professionalization of such a function.

585. Based on the evidence above and its findings from interviews with a wide range of stakeholders, the Evaluation is firmly convinced that the function of resource mobilization for the implementation of the CCRF must be enhanced within FI and that a dedicated resource mobilization unit should be maintained to ensure that additional funds are mobilized in support of the implementation of the Code. As in the recent past, such a unit would need to be staffed at the appropriate level of professional competence and clout, be mandated to lead and facilitate the development of a departmental strategy for resource mobilization, build long-term and trustful relations with traditional and new resource partners, coordinate other low-effort resource mobilization actions by FI staff and liaise with relevant units within FAO. **Recommendation 8** to FI and the Technical Cooperation Department was formulated on this key issue.

⁹⁴ FAO web site states: "IFAs highlight priorities identified by Members and by the Organization which require additional resources, with emphasis on capacity building and getting policy frameworks right. While FAO's Strategic Objectives are linked to the 10-year Strategic Framework, IFAs relate to the four-year Medium-Term Plan, providing flexibility to respond to changes in the external environment and address emerging priorities".

16.5 Partnerships with RFBs, RFMOs and other organizations

586. The Evaluation found very good evidence that the FAO Fisheries and Aquaculture Department is widely recognized as one of the major global authorities in the area of fisheries and aquaculture. Despite the weaknesses discussed above, decision-makers across the world knew the work of FI and referred to it on a regular basis. This having been duly acknowledged, FI was not the only player in the global scenario in fisheries and aquaculture. Also thanks to the Organization's work in the past decades, by 2012 there were a good number of global, regional and sub-regional organizations with very good capacity, solid reputation, resources and willingness to operate and collaborate with FAO and among themselves, for the sustainable management of fisheries and aquaculture.

587. These organizations, including among others the World Fish Centre, the Globefish network, NACA, regional fisheries and aquaculture bodies and management organizations, each in its own right and mandate, are already or can become effective partners of FI. Through them, the department can extend its outreach in a more effective and efficient manner, as well as integrate their experience and knowledge into its own products, thus fulfilling the important role of 'knowledge broker' that FAO has.

588. A particular role in this network of stakeholders is played by the RFBs/RFMOs. The Fisheries and Aquaculture Department Web site indicates that FAO has committed to: i) provide its technical and administrative support to its own RFBs with a view to strengthening their effectiveness; and ii) promote collaboration and consultation among all RFBs on arrangements or matters of common concern.

589. The nature of the relationship between FAO and each RFB/RFMO varies substantially depending on the institutional relationship between them and the Organization. There were three main categories: RFBs/RFMOs within Article VI, RFBs/RFMOs within Article XIV of FAO's Constitution and organizations '*established outside FAO's framework*'. In addition, each of them has its own specific history, which means that in practice every RFB/RFMO tends to have a different relationship with FAO, somewhat independently from its statute.

590. The relationship between FI and RFBs/RFMOs is particularly relevant in the context of the implementation of the Code, as the Organization does not have the resources, human or financial, to provide the capillary type of assistance that RFB/RFMOs, being closer to member countries, can, or could potentially deliver in practice. In this respect, there was little doubt, in the Evaluation's analysis, that FI was well aware of the importance of RFBs and RFMOs in terms of their potential role in the global sustainable governance of fisheries. However, the relationships did not always appear to be as smooth and collaborative as desirable.⁹⁵ Key findings are discussed below.

591. In a number of cases, RFBs/RFMOs have been influential in promoting the implementation of the Code. To mention a few positive examples, the Evaluation discussed with OSPESCA and OLDEPESCA in Latin America their work in fostering the adoption of

⁹⁵ The Evaluation held face-to-face meetings with ten RFBs/RFMOs, discussed issues related to the support that FI staff can provide when in the position of Secretary of an RFB and canvassed their opinions through the questionnaire survey.

IPOAs at the national level and active engagement in the promotion of the EAF and EAA approach in the region. Also, IOTC is fostering IUU control in the Indian Ocean on the tuna-fishing fleet and LVFO will host the Secretariat of the African Network for Aquaculture. RFBs currently outside the FAO framework are the INFO-Network and NACA, whose work fully embodies and promotes the Code.

592. There were also some areas for improvement though. By using a metaphor, and slightly stretching it, the relationship between FI and a number of RFBs/RFMOs resembled those between older and younger siblings, when the latter have grown up. FI had provided support, in the form of projects and capacity development at the individual and institutional level, and maintained a long engagement to ensure the sustainability of the investments. Once the RFB/RFMO had become capable of standing on its own feet, at least to a certain extent and had become a competitor for financial resources from partners or on the technical level on specific issues, some RFBs/RFMOs perceived a decrease in the collaboration in the rapport with FI.

593. Admittedly, FI should indeed focus its attention on and support to those RFBs/RFMOs that still require it, and not disperse its resources on those which are more autonomous and self-sufficient. However, the Evaluation noted that this lower degree of attention also went together with a certain disregard by FI of the expertise and capacity of the 'grown-up' RFBs/RFMOs. The end results were missed opportunities for fruitful collaboration and a certain amount of frustration among all concerned.

594. To a good extent, these weaknesses seem to be mostly due to mild organizational antagonism and lack of strategic planning for the common goal of the implementation of the Code, than to real institutional obstacles. A similar pattern was noticed also in the relationships with some of the other organizations mentioned throughout this report: more competition than collaboration and a number of missed opportunities.

595. The Evaluation did not consider that a recommendation on this aspect would be required, but wished to stress the importance and the actual and potential contribution that RFBs/RFMOs and many other partners can make in the implementation of the CCRF.

16.6 Contribution to MDGs, FAO global goals and core functions

596. At the corporate level, FAO is mandated to contribute mainly to three of the Millennium Development Goals, namely MDG1 on poverty and hunger, MDG 3 on gender equality and MDG 7 on environmental sustainability. There is also a good level of concurrence between the three MDGs and the Organization's Global Goals, on eradication of hunger and improvement of food security as part of poverty reduction, on economic development for all, men and women included although this was not made explicit in the actual wording, and on sustainable management of natural resources.

597. The Code, as discussed throughout the report, provided guidance for fisheries and aquaculture management and development to achieve similar goals, including, to a much lesser extent though, on the social aspects of these broad themes.

598. The evidence and analysis above showed that the main focus of FI's work was on environmentally sustainable management in marine fisheries, and on economic development,

with some attention to poverty reduction and social inclusion, in post-harvest and trade and aquaculture. To some extent, this was a reasonable response to the rapid changes in the sector and the most urgent issues at stake: heavy threats to marine stocks that needed to be monitored and whose exploitation needed urgent regulation; increased attention to food safety and quality and opening up of opportunities through improved quality of seafood to increase incomes for those working in the sector; and strong demand for increasing aquaculture production, for both food security and increased incomes.

599. Limited attention, mainly driven by resource partners, was also given to the one widely acknowledged gap in the Code, small-scale fisheries and livelihoods or, in other terms, poverty reduction, social inclusion and food security. Among the three biggest projects managed by FI until the end of 2011, two had explicit focus on SSF.⁹⁶ Other initiatives within the emergency and rehabilitation umbrella were also carried out. However, results did not stand up to investments. In the case of the SFLP, there was little if any evidence of tangible improvements in livelihoods at the community level. For the RFLP, although early to say at the time of this Evaluation, it appeared that some measures would be required to fulfil expectations and achieve impacts. Nonetheless, there was no evidence that any lessons learned had been integrated from the former to the latter. Also, very few of the emergency and rehabilitation initiatives made a lasting and significant contribution to improving the livelihoods of those affected by natural disasters. The absence of attention to social and gender aspects has been discussed at length above.

600. Admittedly, something has been changing, at least at the normative level. The instrument on SSF is under development and discussions between 2011 and 2014 should, at least partly, re-balance the Code's focus on resources by bringing into the picture central themes to the UN and FAO mandates, i.e. poverty reduction and food security, human rights and entitlements, and gender equality. Once finalized and approved, FI will need to support the implementation of the instrument and operationalize it into its daily work. This will be a serious challenge, for which the department should get ready in time.

601. FI was also mandated to contribute to the core functions of the Organization through its work in support the implementation of the Code. Box 28 synthesises the key highlights in this respect.

Box 28. Contribution to FAO core functions in supporting the implementation of the Code

N.	Core function	Highlights of FI's contribution in its support to the implementation of the Code
<i>a</i>	<i>Monitoring and assessment of long-term and medium-term trends and perspectives</i>	Work on STF and STA highly appreciated; limited resources available and imbalance between STF and STA.
<i>b</i>	<i>Assembly and provision of information, knowledge and statistics</i>	SOFIA very widely used reference; good relevance and adequate technical quality of technical publications.
<i>c</i>	<i>Development of international instruments, norms and standards</i>	40 instruments and technical guidelines produced in 17 years;
<i>d</i>	<i>Policy and strategy options and advice</i>	High appreciation and good impact of FAO's work in supporting the integration of the Code on national legislative frameworks in large numbers of countries, through direct assistance by the Organization.

⁹⁶ GCP/INT/735/UK; MTF /INT/661/MUL; GCP/RAS/237/SPA.

<i>e</i>	Technical support to promote technology transfer and build capacity	Focus on production of normative products; capacity development equated with training of individuals through workshops and seminars;
<i>f</i>	Advocacy and communication	Communication and diffusion – and use as advocacy tools of the Code and its instruments, fell short of potential; many missed opportunities.
<i>g</i>	Inter-disciplinarity and innovation	Some progress made recently in bridging the gap between technical and human dimensions work leading to limited achievements in integrating social, economic and rights-based perspectives and approaches in the work.
<i>h</i>	Partnerships and alliances	Some excellent examples of good collaboration; improvement in peer-to-peer partnerships with RFBs/ RFMOs and others is required and feasible

Source: Evaluation

602. Overall, the assessment of FI's work in terms of contribution to the corporate core functions is of adequate performance. There is plenty of room for improvement on different aspects: this will not necessarily require investments or diversion of resources, rather a more strategic and inclusive way of defining and operationalizing the role that FI can play in the global scenario of sustainable management of fisheries and aquaculture.

E. Overall conclusions and recommendations

603. The Evaluation found that FAO's performance has been highly commendable and the quality of its work consistently high but also, that it has fallen well short of its potential. The main shortcomings have been:

- i. a lack of strategy and priorities for Code development and support to the implementation of the Code;
- ii. limited and mediocre outreach;
- iii. inconsistent articulation between normative and operational work including capacity development; and
- iv. insufficient attention to the human dimensions that are so critical to implementation.

604. In particular, FI's focus on developing instruments and technical guidelines for the Code and in monitoring its implementation, were 'support' roles to Code implementation. These were, however, only a few of the potential roles that FAO could have use to support those responsible for its implementation. The Evaluation proposes re-focusing the mandate of FI in relation to the implementation of the Code, by strategizing objectives and pathways. Box 29 below contains a possible 'overarching framework' to operationalize the implementation of the Code in a more effective manner

Box 29. Overarching framework for the implementation of the Code

A. Strategic and operational planning for Code development, dissemination and monitoring

Working with COFI to develop strategic priorities and the forward programme for Code products;

- i. developing and establishing the policies, procedures and practices for producing the products;
- ii. planning for and producing new normative Code products;
- iii. disseminating Code products; and
- iv. monitoring the Code implementation as per Article 4 of the Code;

B. Advocacy for Code implementation

- v. promoting, recognizing, demonstrating and piloting approaches to have the Code developed and adapted for local adoption and incorporated in all education and training programs for aquaculture and fisheries; and
- vi. influencing key agencies to support Code implementation: engage strategically with all development assistance partners, philanthropic foundation, countries and regional bodies to influence their aquaculture and fisheries funding priorities to be directed towards supporting the Code implementation. Likewise, engage with environmental, welfare and other NGOs, and aquaculture and fishing industry bodies to help implement the Code;

C. Embedding elements of Code implementation in all FAO aquaculture and fisheries projects.

- vii. designing and implementing projects that demonstrate and develop approaches to Code implementation and ensuring that the project results are sustainable in the long term through their uptake by others. Projects will need to focus on human capacity development, the needs for which the projects will identify at individual, institutional and enabling environment levels; and
- viii. feeding back through dialogue and analysis of lessons learned from projects, to further develop and adjust Code products.

605. Within this framework, and with the basis on the evidence and analysis contained in the report, the Evaluation drew major conclusions and formulated recommendations addressed to FI and FAO as appropriate. The recommendations were arranged in two groups: those with overall relevance to support for implementing the Code; and those relevant to specific themes of the Code. The Evaluation did not prioritize further the recommendations, as suggested by the expert panel: this appeared to be a more appropriate task for FI to carry out, when considering the implications of each recommendation in the preparation of its management response to the Evaluation.

Conclusions and Recommendations for a strategic approach to the implementation of the Code

I. FAO's Vision and Strategy for the Code of Conduct for Responsible Fisheries⁹⁷

606. The implementation of the Code is central to sustainable fisheries and aquaculture management and is a key pillar of FAO's mandate and mission. The Fisheries and Aquaculture Department has a specific responsibility in this endeavour. To contribute fully to it, the department must re-align its strategic position and support the implementation of the Code in a much more proactive manner than to date.

607. Overall, social and gender issues have been sidelined in FAO's work in support of the CCRF. This has been the result of a lack of focus on the primary objectives of FAO - food security and poverty reduction – and an over-emphasis in FAO's work on narrowly defined technical issues. At the same time, FAO has tended to equate social and gender issues with small-scale fisheries and aquaculture. Little if any attention, besides Safety at Sea issues, has been paid to, for example, the social and gender implications of the shift towards multi-day fishing and social and gender aspects of industrial level fishing. However, FI and the Organization at large are realizing the need to integrate the human dimension in its work, as proposed in the new Strategic Framework submitted for endorsement to the Governing Bodies of the Organization in June 2012.

⁹⁷ See Chapters 4, 5, 14 and 15 for main evidence supporting the recommendations contained in this section

608. FAO also needs to strengthen project management mechanisms and promote project management procedures that encourage and support participation and decision-making by local level stakeholders in FAO project implementation. The knowledge and experience of representatives of local stakeholder groups needs to be more effectively utilized by future FAO projects in terms of need assessments of awareness creation; of planning awareness and implementation strategies; and in the design and delivery of programmes and activities that seek to promote and implement the Code at the local level. Greater engagement by FAO projects with representatives of community or district level stakeholder groups will also ensure that FAO's future support for the implementation of the Code is congruent with existing actions and interventions in support of responsible fisheries, promoted and implemented by local stakeholder groups.

Recommendation 1: To FI, on its Vision for the implementation of the Code of Conduct for Responsible Fisheries

As the Code of Conduct for Responsible Fisheries is the key pillar of FAO's mandate and mission for fisheries and aquaculture, the Fisheries and Aquaculture Department should make the promotion, development and implementation of the Code central to its strategies, planning and management. To achieve this, the FI-ADG should explicitly be the chief Code promoter and manager, responsible in FI and FAO for Code coordination and resource mobilization through direct reporting lines.

Recommendation 2: To FI, on its developmental objectives

The Fisheries and Aquaculture Department should ensure that human developmental objectives such as gender equality, food security and poverty reduction, become the primary driver of its work, across all types of fisheries and aquaculture. Greater attention should be paid to the social and economic context in which fishing and fish farming populations live; and fishing and aquaculture should be approached within this wider context. This will require the greater involvement of professionals competent in social, economic and gender analysis and action.

II. Monitoring the implementation and impact of the CCRF⁹⁸

609. The CCRF gives FAO a formal role in monitoring the implementation of the CCRF. FAO's own attempts at assessing the state of implementation through the biennial COFI questionnaire and other efforts, as well as independent analysis, have all agreed that progress is not satisfactory. Stakeholders agree there is a gap in the available knowledge about the status of implementation and the need to fill it.

610. The Evaluation also found general dissatisfaction among member countries with the current monitoring of the implementation of the Code, in terms of the frequency of monitoring, the low response rates for self-reporting and the biases in the subjective self-reporting format. While recognizing the challenges of achieving a strong and effective monitoring system, FI can take steps to improve over the current approach. Although the Evaluation was well aware that the implementation of the Code ultimately depends on the willingness of sovereign states, it found value in the expert panel's suggestions of including suitable indicators within the CCRF monitoring framework that could contribute to measure FI's own performance as well.

Recommendation 3: To FI, on CCRF monitoring

The Fisheries and Aquaculture Department should:

- a) develop in a participatory manner with member countries, a set of objective indicators and benchmarks for reporting at national and sub-national levels on progress in Code implementation;
- b) include in every issue of SOFIA a stand-alone section on the Code; and
- c) in consideration of current budget restrictions, propose again to COFI to extend the frequency of the CCRF questionnaire to four years so as to redirect efforts to increase response rates.

III. Getting the Code to Stakeholders⁹⁹

611. The Fisheries and Aquaculture Department has a strong publication programme that produces about 40 percent of FAO publications with 6 percent of the resources, and a strong, but still flawed, web site. Its flagship publication, the biennial State of Fisheries and Aquaculture (SOFIA) has rightly been called the "most influential publication in global fisheries".

⁹⁸ See Chapter 4 for main evidence supporting the recommendation contained in this section

⁹⁹ See Chapters 12 and 16 for main evidence supporting the recommendations contained in this section

612. Yet, the Evaluation found that the Code was not accessible widely, either in its standard form or in other plain languages. Most importantly, the Code has rarely been contextualized in ways that could engage the stakeholders in their specific circumstances. If the Code is to become a living and meaningful source of inspiration for transformative change in fisheries and aquaculture, the huge chasm between the formal authority of the Code and its users must be bridged in numerous ways. FAO has a catalytic role in helping the world build this bridge.

Recommendation 4: To FI, Immediate strategy for Code dissemination

By COFI 2014, the Fisheries and Aquaculture Department should:

- a) develop a Code dissemination strategy for the next 6 years; and
- b) develop strategies to promote, encourage and recognize innovation and achievement by stakeholders such as fishing and fish farmer groups and member countries' agencies, in promoting the implementation of the Code.

Recommendation 5: To FI, on a simplified version of the CCRF

The Fisheries and Aquaculture Department needs to produce a simplified version of the Code, written in plain English, to serve as a template for adaptation of the Code to national contexts, and foster its translation into the national spoken languages, and subsequently used as the basis for awareness creation and implementation of the Code at the district level. To support the successful implementation of the Code at the national level, the Code must be more widely appreciated and the Code's principles must be better understood. To achieve this result, a document is required that both describes the essence of the Code, the Code's aim and objectives, the Articles of the Code - avoiding technical, legal, legislative or bureaucratic jargon - and contextualizes the Code by incorporating national examples of irresponsible/responsible and unsustainable/sustainable fisheries practices and management.

613. The 20th anniversary of the Code occurs in 2015. This offers FAO the opportunity to sponsor, with appropriate support from MCs, donors, other partners in civil society, private sector and research, global **Code + 20** events. In this context, FI could consider activities such as: (a) developing a programme of Code promotion; (b) identifying opportunities for Code promotion in major ocean, freshwater and related international fora; (c) organizing a parallel activity where positive experiences in the promotion of the Code are featured/showcased (marketplace); (d) launching a new global plan/programme in support of the implementation of the Code to catalyse renewed interest and wider support; and (e) organizing the International Year of Responsible Fisheries and Aquaculture.

IV. Develop the CCRF in a systematic manner¹⁰⁰

614. The Evaluation found that the Code products had been developed in an *ad hoc* manner and were presented in only a semi-consistent form. The number of officially recognized Code products has grown, and each product is expensive and time consuming to produce. Therefore, FI needs to take a much more rigorous and systematic approach to the future organization and development of the Code. Once having decided to develop a new Code product, FAO should ensure that it is reconciled with the beach/river/lake or farm level

¹⁰⁰ See Chapters 4 and 16 for main evidence supporting the recommendations contained in this section

reality, using the field experience gained by FAO and other projects. Conversely, FAO projects need to make the best use of the Code and its products in their design and implementation. The Overarching Framework illustrated in Box 29 above could guide the implementation of Recommendation 6 below.

Recommendation 6: To FI, Establishing a system for relevant and effective CCRF products

By COFI 2014, the Fisheries and Aquaculture Department should:

- a) define the different categories of Code instruments (Technical Guidelines, IPOAs, Agreements, Strategies, etc.), giving consideration to the procedures for the development, review and clearance of each category;
- b) establish clear and transparent criteria for assessing the need for new TGs and submit to COFI for endorsement; and
- c) ensure that participants in technical consultations represent the diversity of FAO membership and regions, represent the range of necessary fields of expertise including human dimensions, and aim for gender balance.

V. Resource Mobilization to support the CCRF implementation¹⁰¹

615. At a time of major financial crisis, FI must focus its efforts on strategically mobilizing enough resources to meet key challenges. This has to be done in a coordinated manner, at the required professional level required, developing long-term trust and rapport with resource partners.

Recommendation 7: To FI, on Resource Mobilization approach

The Fisheries and Aquaculture Department should maintain a strategic and programmatic approach to resource mobilization through a dedicated unit that manages the umbrella programme and has trust and visibility with traditional and new resource partners.

In its resource mobilization strategy, FI should give priority and make specific effort to mobilize resources for:

- a) sustainable aquaculture development;
- b) capacity development for STA/STF; and
- c) inland fisheries

616. The Evaluation also found that FI missed many opportunities of promoting the Code through partnering with other organizations, in particular the International Finance Institutions, and advocate for the uptake of the Code in a broader set of interventions. Stronger collaboration between FI and the FAO Technical Cooperation Department, including the Investment Centre, will be necessary to have an impact on the uptake of the Code principles by the different categories of resource partners.

¹⁰¹ See Chapters 5, 7, 8, 11 and 16 for main evidence supporting the recommendation contained in this section

Recommendation 8: To FI and TC, on advocacy in development assistance for the implementation of the CCRF

The Fisheries and Aquaculture Department and the Technical Cooperation Department, including the Investment Centre and the Funding Liaison Unit should engage more effectively with major resource partners, such as the IFIs, to influence their programmes in the fisheries and aquaculture sectors towards promoting the implementation of the Code.

VI. Human Capacity Development¹⁰²

617. Human capacity development is a major modality for FAO and in April 2012 the FAO Council approved the FAO “Corporate Strategy on Capacity Development and its Implementation Plan.” The Evaluation found that FI devoted a low level of specific and focused efforts to HCD: this appeared to be caused by some disconnect between staff understanding of HCD and the actual work needed for effective HCD. The results of HCD activities were uneven and dominated by efforts at the individual level and on the technical aspects. HCD at the individual level on social and economic aspects and in the organizational and enabling environment dimensions were lacking or weak.

618. The Evaluation cautions that many of those delivering HCD in FI may themselves require development of their capacity for effective HCD delivery, as the following recommendations indicate.

Recommendation 9: To FI, on Human Capacity Development within the Department

The Fisheries and Aquaculture Department should develop and implement an action plan for improving the planning, implementation, coordination, and monitoring of HCD in fisheries and aquaculture. The plan should:

- a) be informed by the 2005 Strategic Framework on Human Capacity Development in Fisheries, the 2008 FAO Corporate Strategy on CD, existing success stories and internal support and learning resources;
- b) assign to the FI Focal Point for Capacity Development, responsibility for leading the action plan development and implementation within the department;
- c) make provisions for training FI staff in incorporating the three dimensions of HCD in their HCD activities;
- d) make full use of FI staff comparative advantage as technical experts while facilitating and partnering with other organizations in HCD efforts;
- e) focus on training of trainers and development of national and regional capacity to do HCD work. Regional networks of experts and organizations can be built to assist regional, sub-regional and national HCD implementation;
- f) make provision for developing specific guidelines for HCD in EAF and EAA in the three dimensions, i.e. beyond the provision of tools and training activities;
- g) ensure HCD standards are set and met and quality control of HCD interventions are imposed; and
- h) develop indicators or other means for measuring HCD impacts.

¹⁰² See Chapter 13 for main evidence supporting the recommendations contained in this section

Recommendation 10: To FI, on Human Capacity Development for the implementation of the CCRF in Member Countries

The Fisheries and Aquaculture Department should support member countries and RFBs/RFMOs in developing capacity to implement the Code at the individual, organizational and enabling environment levels by:

- a) providing assistance in assessing the actions they need to take to improve their capacity in the three dimensions;
- b) strengthening human capacity development as an integral part of plans and strategies for fisheries and aquaculture; and
- c) identifying common needs, available expertise and resources, and potential partnerships and networking opportunities at national, regional and interregional levels, which might serve to assist and implement respective HCD plans. Universities and other training organizations should be given special focus as outreach partners for the long term.

Conclusions and Recommendations on specific CCRF Themes

619. On specific CCRF themes, FI has experienced particular success in terms of the recognition of the quality and importance of its guidance. The overall package of work on IUU fishing, including the Port State Measures Agreement, guidance on aquaculture development and the development of the EAF stand out as topics most acknowledged by stakeholders. Recent topics are gaining early attention, such as aquaculture certification and the process of consultation being followed in developing the new SSF normative instrument, which will be related to but not part of the Code.

VII. Controlling overexploitation of fisheries resources to achieve responsible fisheries¹⁰³

620. FAO has long focused its attention on managing exploitation of marine fisheries and despite a considerable wealth of Code instruments in marine fisheries as compared to inland fisheries, some gaps exist, especially in terms of specific advice suitable for use in small-scale fisheries, and in assistance to the adoption and implementation of potentially important instruments.

621. The gap in the Code from specific normative products that help small-scale fisheries is gradually being covered by the systematic process FAO is spear-heading, impressive in its inclusive and consultative nature and by the basis in analysis. The Evaluation supports the approach taken in terms of the process, most of its analytical foundations and the intention that it be linked not just with the Code but with global human rights instruments and the new FAO “Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security”.

622. On this specific matter, as the process for the development of the new SSF instrument is still ongoing, the Evaluation decided not to formulate a formal recommendation, considering the participatory nature of the process. Still, it wishes to stress the importance for FAO to ensure that issues in small-scale fisheries will not be addressed in isolation and that adequate consideration be given to how the small-scale fisheries issues are

¹⁰³ See Chapter 6 for main evidence supporting the recommendation contained in this section

caused by and interact with related issues in the medium and large fisheries sectors, e.g. competition for the same resources, as well as in relation to aquaculture and agriculture.

623. Inland fisheries have received relatively little attention from FAO, although some minor and little known Code products apply. In the light of Recommendation 2 for FI to better address FAO's core mandate for improving food security and reducing poverty, FI will necessarily have to redress the imbalance on inland fisheries.

624. FAO has had substantial success at the normative level, and has made some progress on supporting implementation also of global efforts to tackle illegal fishing – the “I” of IUU fishing. Part of this success is because fish trade offers opportunities to enact sanctions on possibly illegally caught fish, as long as the fish are traded into markets such as the EU which is a strong supporter of the FAO instruments. FAO has not paid the same attention to the unreported and unregulated fishing activities. The former requires renewed attention to data collection, through support for the Code strategies on Status and Trends in Fisheries and Status and Trends in Aquaculture.

625. On efforts to encourage member countries to reduce fishing capacity, FAO has almost totally failed. Although the Code products are by no means solely to blame for not solving this difficult political, social and economic problem, FAO's key normative instrument on managing fishing capacity, and IPOA, has not been implementable and need a complete redesign.

Recommendation 11: To FI, on Fishing capacity reduction

The Fisheries and Aquaculture Department should increase momentum in addressing the management of fishing capacity, to include complex multi species/multi gear fisheries and small-scale fisheries. It should revise its technical guidance on Fishing Capacity, to better address the complexity of issues that relate to fisheries management, fishing effort and capacity reduction and national economic planning. This should focus especially on:

- a) defining excess fishing effort, capacity and over-fishing in view of assessments of resource sustainability and existing fishing capacity and effort levels;
- b) social and economic consequences of, as well as resistance to, effort and capacity reduction on employment, income, food security and poverty; and
- c) links between excess capacity and IUU fisheries management, subsidies and fishing rights.

VIII. Sustainable Aquaculture¹⁰⁴

626. Under the Code, FAO's work in sustainable aquaculture has been highly commendable. This sub-sector continues to grow rapidly and will run into increasing sustainability problems. Therefore, FAO should engage more vigorously with both government and private sector partnerships for responsible aquaculture development and facilitate the improvement and implementation of aquaculture strategies and development plans.

¹⁰⁴ See Chapter 7 for main evidence supporting the recommendations contained in this section

Recommendation 12: To FI, on Strategic outlook for sustainable aquaculture

The Fisheries and Aquaculture Department should engage more vigorously with member countries and the private sector, fostering awareness of resource demands associated with further development and intensification of aquaculture development, including in particular the pressure on marine resources associated with high demand for under-valued fish and fish meal.

Recommendation 13: To FI, on Aquaculture certification

The Fisheries and Aquaculture Department should take stock of – and clarify - its role in certification, in terms of both guidance and possible further engagement in the setting of minimum international standards for sustainable aquaculture development, determining its most appropriate and strategic role in certification and labelling of fish products, with reference to FAO's mandate and the requirements of the CCRF.

IX. The Ecosystem Approach to Fisheries and Aquaculture¹⁰⁵

627. Article 10 of the Code concerned integrated coastal management (ICM). Since the adoption of the Code, FAO and other global agencies have further developed concepts of integrated management, creating a plethora of overlapping and sector-specific approaches, principles and strategies. FAO has particularly developed the Ecosystem Approach to Fisheries and the Ecosystem Approach to Aquaculture. Although the EAF and EAA succeeded the Code, the analysis of the Evaluation found that the Code was, in effect, an elaboration of the EAF and EAA.

628. Interest in the EAF and EAA is high but different stakeholders have different interpretations and mixed views, and even confusion exists. Partly due to the names, EAF and EAA are not perceived as people-centred and more attention is needed on social and economic dimensions. The new EAF toolbox holds good potential and FAO could make more use of this approach for providing some type of technical support for the whole CCRF.

¹⁰⁵ See Chapter 10 for main evidence supporting the recommendation contained in this section

Recommendation 14: To FI, on the Code and the Ecosystem Approach to Fisheries and Aquaculture

The Fisheries and Aquaculture Department should explain the EAF and EAA for its primary fisheries and aquaculture sector stakeholders by:

- a) making explicit references to the embodied Articles of the CCRF and its technical guidelines, especially in fisheries management, the precautionary approach, fishing operations, sustainable aquaculture and integrated coastal management;
- b) exploring whether the EAF and EAA could be renamed or rebranded to emphasize more its people-centred approach and links with the CCRF;
- c) clarifying:
 - the FAO definition and principles or equivalent, of EAF and EAA;
 - the environment, social and economic objectives of the EAF and EAA;
 - commonalities and differences between the EA principles and practices adopted under the Convention on Biological Diversity and its decisions;
- d) forming partnerships to accelerate, coordinate and assess practical applications with a view to supporting faster development of robust governance and management systems and gathering experience on putting fisheries into Marine Spatial Planning; and
- e) developing the EAF toolbox as a more comprehensive and rebranded CCRF toolbox to serve wider Code needs.

X. Research to Support the CCRF¹⁰⁶

629. FAO is a research broker and is in a position to make good strategic use of this role by focusing and coordinating research on key applied research needs, especially those needed for the Code of Conduct. To achieve this, FAO will need to attend not only to priorities for research topics but also address the “how to” or institutional and enabling environment of research. Throughout the Evaluation, researchers as individuals in government and university agencies were among the most knowledgeable about the Code and the most up-to-date on new developments. The research enterprise represents an important resource for the Code. The Code was reasonably broad on the types of research needed to support the Code, but as a product of its time, paid relatively more attention to the technical areas in research, and contained less depth on social aspects.

Recommendation 15: To FI, on Research in Fisheries and Aquaculture

By COFI 2014, the Fisheries and Aquaculture Department should have conducted an expert consultation to explore the issues concerning research and research systems to support the development and implementation of the Code. In particular, the consultation should address:

- a) what types of research are needed to support Code implementation, especially giving greater emphasis on the social science research for rights (including community rights) based governance and inter-disciplinary approaches to understanding social-ecological linkages. Specific recognition should also be given to peoples' science, e.g. traditional knowledge, in fisheries and aquaculture;
- b) the organizational and institutional arrangements within which research operates and provides advice/seeks directions;
- c) how to ensure that research is directed at solving pressing short-term practical sustainability issues as well as at developing frameworks to better address longer-term issues; and
- d) FAO's roles in coordinating and facilitating research linkages among national, regional and academic agencies in support of the Code.

¹⁰⁶ See Chapter 11 for main evidence supporting the recommendation contained in this section

XI. Emergency and Rehabilitation work¹⁰⁷

630. FAO's work in situations of emergency and rehabilitation operations in the areas of fisheries and aquaculture has been important to contribute to the rapid restoration of livelihoods. However, the Organization must also ensure that CCRF principles are followed also in such circumstances, which is best done through coordination and advisory roles. Direct engagement in input distribution and construction of boats and ponds has proved not to be coherent with FAO's comparative advantage and mandate.

Recommendation 16: To FI and FAO, on the strategic role of the organization in emergency, rehabilitation and disaster preparedness in the fisheries and aquaculture sector

The Fisheries and Aquaculture Department and FAO should develop a corporate policy and strategy defining its role and mandate in emergency, rehabilitation and disaster preparedness in the fisheries and aquaculture sector, in line with the current focus on enhancing resilience. The policy should be informed by the CCRF, ensure that FAO engage exclusively in rehabilitation needs assessment, coordination and technical advisory role and clarify FAO's role in input distribution and boat-building.

¹⁰⁷ See Chapters 6 and 16 for main evidence supporting the recommendation contained in this section

Annexes

- Annex 1.** Terms of Reference of the Evaluation of FAO's support to the implementation of the Code of Conduct for Responsible Fisheries
- Annex 2.** Profile of Evaluation Team Members
- Annex 3.** Instruments of the Code of Conduct for Responsible Fisheries
- Annex 4.** List of institutions and stakeholders met during the evaluation process
- Annex 5.** Evaluation tools: matrix, past evaluations, check lists, descriptors
- Annex 6.** Inventory of CCRF related projects and programmes
- Annex 7.** Inventory of CCRF related normative products
- Annex 8.** Bibliography
- Annex 9.** Project assessment
- Annex 10.** Analysis survey questionnaire to Member Countries and other stakeholders
- Annex 11.** Terms of Reference of the Evaluation of FAO's support to the implementation of the Code of Conduct for Responsible Fisheries in Sri Lanka
- Annex 12.** Report of the field survey for the Impact Evaluation of FAO's support to the implementation of the CCRF in Sri Lanka
- Annex 13.** Sri Lanka Fisheries regulations and the Articles of the Code of Conduct
- Annex 14.** FAO future engagement in Aquaculture
- Annex 15.** The Ecosystem Approach and the CCRF
- Annex 16.** Brief analysis of the Web site of the Fisheries and Aquaculture Department
- Annex 17.** Report of the Expert Panel