

Independent Office
of Evaluation



**IFAD's support to livelihoods involving aquatic resources from
Small-scale Fisheries, Small-scale Aquaculture, Coastal Zones and
in Small Island Developing States**

Evaluation Synthesis

Approach Paper

Contents

Abbreviations and acronyms	ii
I. Introduction	3
II. IFAD's strategy and portfolio	5
III. Objectives and methodology	7
IV. The Evaluation Synthesis process	11
V. Proposed timeline and synthesis team	12

Annexes

I. Proposed report outline	13
II. Evaluation synthesis detailed questions	14
III. List of IFAD evaluations relevant to the synthesis, by country of focus	19
IV. List of IFAD projects selected for analysis of recent trends (tentative)	Error!
Bookmark not defined.	
V. Evaluations on fisheries, aquaculture and coastal area resources by other organizations	20
VI. Preliminary bibliography	22
VII. Theory of Change for SSF, CGIAR Programme on Fish	23

Abbreviations and acronyms

CGIAR	Global research partnership for a food-secure future
CZR	Coastal Zone Resources
CPE/CSPE	Country Programme Evaluation/ Country Strategy and Programme Evaluation
CPM	Country Programme Manager
DANIDA	Denmark's development cooperation
ES	Evaluation Synthesis
FAO	Food and Agriculture Organization of the United Nations
FINNIDA	Finnish International Development Agency
ICEIDA	Icelandic Development Agency
IOE	Independent Office of Evaluation
NGO	Non-Governmental Organization
NORAD	Norwegian Agency for Development Cooperation
SF	IFAD Strategic Framework
SIDS	Small Island Developing States
SSA	Small-scale Aquaculture
SSF	Small-scale Fisheries
USAID	United States Agency for International Development

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Evaluation Synthesis

Approach paper

I. Introduction

1. Evaluation Syntheses (ES) were introduced by the Independent Office of Evaluation of IFAD (IOE) after the 2010 Peer Review of IFAD's Office of Evaluation and Evaluation Function. The Peer Review had recommended this new product as a way to further strengthening the use of evaluation findings, learning and feedback loop. Evaluation Syntheses are now considered in the Evaluation Policy (2011)¹ and in the second edition of the Evaluation Manual of IFAD (2015)².
2. Evaluation syntheses are syntheses of evaluations rather than evaluations per se, or evaluations of evaluations. They differ from other IOE products, as they primarily promote learning, collective reflection and improving IFAD's development effectiveness. Taking stock of findings from previous independent IOE evaluations, they aim to bring together lessons from IFAD evaluations while also capturing evaluation-based lessons from other organizations.
3. This approach paper presents the rationale, objective, scope, key questions, methodology, the outline of the process, and the timeline, team composition and dissemination for this evaluation synthesis.
4. **Rationale for conducting the Evaluation Synthesis.** Fisheries and aquaculture supply 17 percent of global animal protein in people's diets and support the livelihoods of some 12 percent of the world's population. In some Small Island Developing States (SIDS)³ and in other countries, fish contributes, or exceeds, 50 percent of total animal protein intake; even small quantities of fish in the diet of fish can have a significant positive nutritional impact on plant-based diets, which are common in many Low-Income Food-Deficit Developing Countries (LIFDCs) and least-developed countries.
5. World per capita fish supply reached a new record high of 20 kg in 2014, thanks to vigorous growth in aquaculture, which now provides 50 percent of all fish for human consumption, to a slight improvement in the state of certain fish stocks through better fisheries management and greater attention being paid to post-harvest losses and bycatch problems. Fish continues to be one of the most-traded food commodities worldwide with more than half of fish exports by value originating in developing countries,⁴ in part the result of increased attention to food-safety and quality assurance measures.
6. In the overall picture, small-scale Fisheries (SSF) and Small-scale Aquaculture (SSA) play a paramount role. The produce of both SSF and SSA provide vital supplements to the livelihoods of millions, by enhancing food and nutrition security and incomes of rural households⁵. The most recent available data indicate that in

¹ <http://www.ifad.org/pub/policy/oe.pdf>

² http://www.ifad.org/evaluation/process_methodology/doc/manual.pdf

³ Small Island Developing States are a distinct group of countries facing specific social, economic and environmental vulnerabilities. SIDS were recognized as a special case both for their environment and development at the 1992 United Nations Conference on Environment and Development (UNCED), and in Agenda 21 approved by UNCED.

⁴ FAO. 2016. The State of World Fisheries and Aquaculture 2016. Contributing to food security and nutrition for all. Rome; at <http://www.fao.org/3/a-i5555e.pdf>

⁵ See Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the Context of Food Security and Poverty Eradication at <http://www.fao.org/3/a-i4356e.pdf>

2014, there were approximately 38 million capture fishers world-wide, engaged in fishing either on a full-time or part-time basis. SSF employ more than 90 percent of the world's capture fishers and fish workers, about half of whom are women.⁶ With regards to SSA, the same source indicates approximately 18 million fish farmers globally, again fully, partly or occasionally employed. About 70–80 percent of these are considered small-scale.⁷ Issues such as Safety at Sea, Decent Work, traditional gender divisions of labour in SSF, are all of the utmost importance to those whose livelihoods depend on fisheries resources and need to be taken into account whenever engaging in these sectors.

7. At the same time, increased harvests and production, compounded by the effects of climate changes on natural resources availability and the competition between aquaculture and agriculture for water and land, sustainable management of natural resources in both capture fisheries and aquaculture, becomes increasingly important.
8. Given this complex context of increasing reliance on aquatic resources for food security, poverty alleviation and income generation for the poor, and related risks to their sustainable management, in recent years IFAD Member Countries have manifested growing interest in IFAD's work with people whose livelihoods depend on aquatic resources from fisheries, aquaculture and coastal zones. Upon their request, IOE identified a critical knowledge gap in these areas of the Fund's work, that could be suitably filled with a synthesis of the available evaluative evidence. Thus, the Executive Board of IFAD approved this evaluation synthesis at its 119th session of December 2016, to be conducted during the biennium 2017/18⁸.
9. **Definition.** Given the potential magnitude of the breadth of work to be addressed by the Synthesis, the search for appropriate and workable definitions of the three themes was one of the first steps in the preparatory work leading to this Approach Paper. There are no clear-cut definitions, as discussed below.
10. Aquatic Coastal Zone Resources (CZR) are possibly the most difficult to define given the potential outreach of a coastal zone. According to the definition adopted by the Integrated Coastal Zone Management (ICZM) approach, the coastal zone consists of "*a broad management zone - one extending from the coastal hinterlands and lowlands (the "dry side") to the coastal waters and the deep sea (the "wet side")*".⁹ In ecological terms, Coastal Zones are specific ecosystems defined by the close interrelation between geophysical and biological elements, that interact with each other in a gradient from dry land to water. On a similar line, the NOAA Shoreline Website¹⁰ provides a legal definition for Coastal Zone as "*the coastal waters (including the lands therein and thereunder) and the adjacent shorelands (including the waters therein and thereunder), strongly influenced by each and in proximity to the shorelines of the several coastal states, and includes islands, transitional and inter-tidal areas, salt marshes, wetlands, and beaches*".
11. With regards to Small-scale Fisheries, either marine or fresh-water, an internationally agreed definition does not exist. The Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the Context of Food Security and Poverty Eradication (VGSSF), endorsed by the 31st session of the FAO-hosted Committee on Fisheries (COFI) in 2014 as a complement to the Code of Conduct for Responsible Fisheries (CCRF), is the only international normative instrument in this subsector so far.¹¹ This acknowledges that due to the great diversity of small-

⁶ FAO. 2016. The State of World Fisheries and Aquaculture 2016. Contributing to food security and nutrition for all. Rome; at <http://www.fao.org/3/a-i5555e.pdf>

⁷ FAO, Enhancing the contribution of small-scale aquaculture to food security, poverty alleviation and socio-economic development, 2013: <http://www.fao.org/3/a-i3118e.pdf>

⁸ See EB 2016/119/R.2/Rev.1

⁹ Clark, J. 1992. Integrated management of coastal zones, Food and Agriculture Organization of the United Nations, Rome, at <http://www.fao.org/docrep/003/T0708E/T0708E00.htm#TOC>.

¹⁰ National Oceanic and Atmospheric Administration of the USA (NOAA), at <https://shoreline.noaa.gov/index.html>

¹¹ Ibid.

scale fisheries across the world, “*there is no single, agreed definition of the subsector*”. Key characteristics include, among others: a strong anchor in the local communities, traditions and values; historic links to adjacent fisheries resources and a way of life that depends on the fisheries resources, accessed and harvested through customary practices; frequent seasonal migratory patterns and remoteness of communities; low investment in fishing gears. Typically, small-scale fishing communities are among the poorest population groups in most countries, have less access to social services and infrastructures and tend to be marginalized.

12. Communities, whose livelihoods depend, fully or partly, on SSF, are also often, located in marine or fresh-water bodies coastal zones or wetlands,¹² and partly draw their livelihoods from other locally-available aquatic resources. These include, among others, use of mangroves; farming and harvesting of aquatic resources, e.g. weeds and aquatic animals, for food, fibre, construction works, handicrafts; and small-scale tourism facilities.
13. At the same time, development activities promoted by the private sector, and sometimes governments and development agencies in coastal zones, e.g. urbanization, large-scale fishing operations and aquaculture, tourism, agriculture, energy, mining, industry and infrastructure developments, typically have extended impacts, including negative ones, on SSF and other coastal area resources.
14. A particular case of communities whose livelihoods are mostly dependent on fisheries, both SSF and semi/industrial fisheries, and on CZRs, are Small Island Developing States (SIDS). In some islands, the available land mass for activities other than fisheries and the exploitation of other aquatic resources is minimal, and competition for land use is acute, including for settlements. Small Island Developing States are also particularly and increasingly fragile with respect to climate change and hazards.
15. Small scale aquaculture is defined in the FAO Term Portal as an “*Aquaculture system with a small annual production (max one tonne per unit and 10 tonnes total), made of one or more small production units; family or communally run; low to moderate input levels and limited external labour. Own food supply may be a motive.*”¹³ Typically, small-scale aquaculture can be carried out virtually wherever there is sufficient water available to be diverted from other uses such as drinking water for human and animals, domestic use and irrigation.

II. IFAD’s strategy and portfolio

16. Fisheries have been part of IFAD’s mandate from the very early days of the Fund, with the Agreement establishing IFAD in 1976 stating that “*food production*” shall mean the production of food including the development of fisheries and livestock”.¹⁴ Over the last decade, IFAD Strategic Frameworks for 2007-10, 2011-2015 and 2016-2025 followed a similar approach, with the first of the three Frameworks implicitly subsuming fisheries under agriculture; whilst both fishing and aquaculture were explicitly subsumed under agriculture from 2011 onward, using the term, ‘artisanal fishing’.
17. In detail, the 2007-10 Strategic Framework mentions lack of access to common resources such as fishing grounds as a defining feature of poverty in fishing communities, and sees the establishment of fishers’ organisations to manage fishing grounds as a means of achieving sustainable exploitation of these resources. The following SFs make no reference to actual policies relating to fishing or aquaculture except in the current SF where it is planned that IFAD should

¹² Exceptions to this exist in a number of countries, where seasonal fishers from inland or upland areas establish temporary settlements in the coastal zones.

¹³ See Small-scale aquaculture at <http://www.fao.org/faoterm/en/>. It is assumed that a unit corresponds to a pond, and a small-scale aquaculture farm should not have more than ten ponds in total.

¹⁴ See Agreement establishing the International Fund for Agricultural Development, at <https://www.ifad.org/documents/10180/3162024b-49d9-4961-a5de-8e2bbfabef9d>

strengthen country partners' ability to implement the FAO 'Voluntary Guidelines on the Responsible Governance of Land, Fisheries and Forests'.

18. At a more general level, there was a shift in emphasis through the three SFs analysed, which could be seen as relating to fishing, aquaculture and the development of coastal zones. The first SF focuses on poor rural households entirely dependent on agriculture (encompassing fishing) and stresses the intensification of production systems and increased yields – including fish – per unit area.
19. The 2011-2015 Strategic Framework recognises the complexity of what is called the 'new rurality' and the diversification and differentiation of rural livelihoods. It stresses the importance of non-farm activities and the significance of value chains and implicitly recognises the role of traders, fish processors etc. in rural livelihoods, while moving away from a simple stress on intensification or production and increasing yields.
20. The 2016-2025 SF is in some ways an attempt to balance the focus of the first and the second SFs. There is an explicit acceptance that '*the world is becoming more urban*', the implication being that rural people are not necessarily farmers, fishers or fish farmers and that '*inclusive and sustainable rural transformation*' has to generate '*improved and more resilient livelihoods for all poor people*'. This involves the complementary development of agriculture and non-farm activities. Yet at the same time this SF calls for an increased focus on improving smallholder agricultural productivity. In sum, there has been a movement away from simply stressing productivity to a more complex understanding of rural poverty and an approach which is more multi-dimensional.
21. As far as fisheries and aquaculture is concerned, very little is said about how these fit into IFAD's overall strategy or how the organization should engage in these sectors. Similarly, the IFAD Web site does not list 'fisheries and aquaculture' among the 'Topics we cover', but it includes an entry for 'Small Island Developing States'.
22. The gap in the SFs on these sectors has not been filled by any other specific IFAD policy or strategy for supporting livelihoods which involve aquatic resources from fisheries, aquaculture or coastal areas, although some guidelines that relate to fisheries and aquaculture have been developed in recent years¹⁵. In addition, in preparation for the Third International Conference on Small Island Developing States held in Samoa in 2014,¹⁶ IFAD developed an Approach Paper on Small Island Developing States¹⁷, which "*recognizes the specific challenges and particular needs of food security for smallholder farmers and fishers in Small Island Developing States (SIDS) and the obligation of taking into account SIDS-specific vulnerabilities in defining the post-2015 development agenda*". The Approach Paper foresees 'sustainable small-scale fisheries and aquaculture' as one of the three thematic areas for IFAD's interventions in SIDS, together with 'opportunities and employment for smallholder agriculture' and 'environment and climate change'.
23. In terms of corporate technical capacity on these themes, fisheries and aquaculture initiatives were handled initially by the Water and Rural Infrastructure Unit, and then by the Senior Technical Adviser, Livestock and Farming Systems, while most of the technical work in these areas was carried out by consultants. Since early 2015, a Senior Technical Specialist, Fisheries and Aquaculture Service, has been working in the Policy and Technical Advisory Division (PTA). Feedback gathered during the preparatory work for this Approach Paper, indicate that this represented a major milestone in the capacity of the organization to respond to Members' demands in these sectors.

¹⁵ IFAD, 2014, Guidelines for Integrating Climate Change Adaptation into Fisheries and Aquaculture Projects; IFAD, 2015, How to do: Fisheries, aquaculture and climate change.

¹⁶ <https://sustainabledevelopment.un.org/sids2014>.

¹⁷ See: <https://www.ifad.org/documents/10180/127f9ca4-420f-41c9-a21d-5f511d6d01d0>.

24. With regards to the portfolio, the first project in the fisheries sector available in IFAD corporate systems was approved in 1979, to be implemented in Laos on inland fisheries. It took almost ten years for other projects in these sectors to be approved. A search of IFAD's corporate systems led to a list, still tentative, of 104 loans and associated grants, and 16 self-standing grants, approved by IFAD's board that address to a varying extent one or more of the three themes, among others, or are located in SIDS. The total value of IFAD funding for the loans and associated grant initiatives, all components included, has been in the order of US\$ 1.5 billion; this corresponds to 9.5 per cent of total IFAD authorized loans in the same period.¹⁸

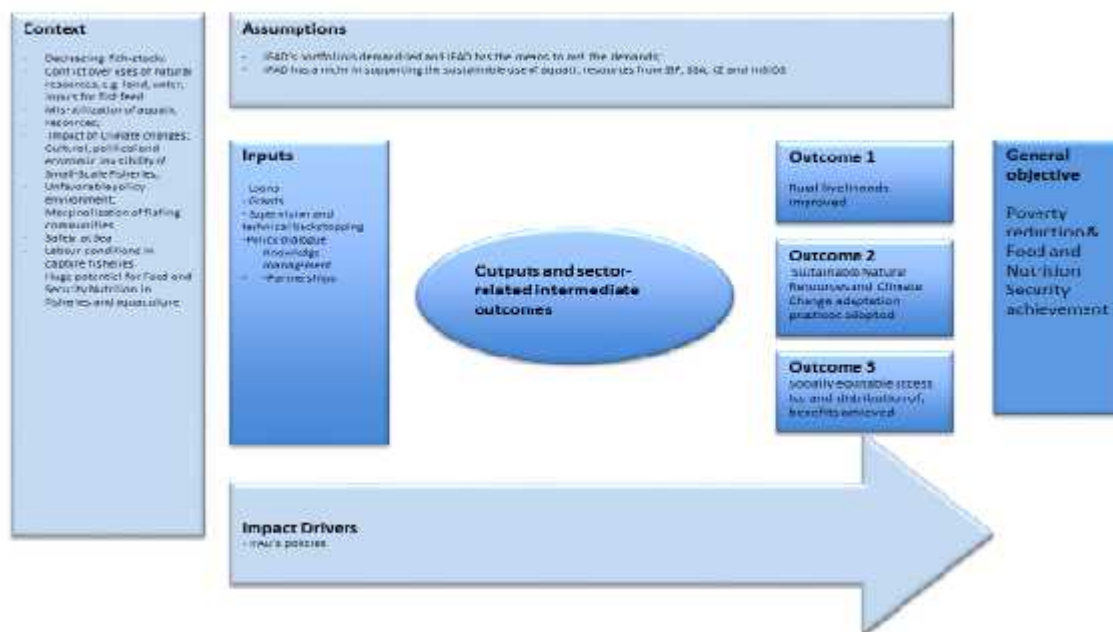
III. Objectives and methodology

25. **Purpose:** The synthesis will contribute to promoting learning and collective reflection about IFAD's support to livelihoods involving aquatic resources from Small-scale Fisheries, Small-scale Aquaculture and Coastal Zones, and to improve IFAD's development effectiveness in these sectors.
26. **Objectives:** The synthesis has two main objectives: (i) assessing the extent of IFAD's work, including loans, grants, policies, strategies and guidelines, in support of livelihoods involving aquatic resources from Small-scale Fisheries, Small-scale Aquaculture and Coastal Zones; and (ii) generating findings and documenting lessons, good practices and challenges, that can inform the design and implementation of ongoing and future IFAD's policies, strategies and investments in these sectors.
27. **Stakeholders:** the primary stakeholders for the synthesis are IFAD management and staff, particularly in the Programme Management Department, and Member Countries through the Evaluation Committee. Many of the issues addressed will be of concern to a wider audience including other multilateral and bilateral development agencies that engage in these sectors, as well as sectoral Non-Governmental Organizations, Civil Society Organizations and professional organizations.
28. **Analytical assumption:** During the preparatory phase of the ES, the diversity of the IFAD' portfolio in the SSF, SSA and CZR management sectors did not allow the identification of a coherent corporate Theory of Change for the sector¹⁹. The ES will thus aim at defining one, if possible, as part of its findings. Nevertheless, the team considered that it is possible to formulate an assumption about IFAD's core thrust of its work in these sectors so far, as follows: "By supporting the sustainable use and management of aquatic resources and scaling up its experiences to the policy level, IFAD has contributed to reducing poverty and strengthening Food and Nutrition Security, through: improving the livelihoods of the rural poor; introducing sustainable natural resources management and adaptation practices to climate change; promoting socially equitable access to, and distribution of, benefits achieved;." Figure 1 is the graphic representation of this assumption; the Synthesis should provide contents at the level of Outputs and of the Sector-related Intermediate Outcomes.

¹⁸ The financial figures include ASAP and GEF funding, though excludes IFAD grants. The list of projects will be further revised during the analysis.

¹⁹ A rapid search on-line showed that only the CGIAR Programme on Fish managed by WorldFish, developed a theory-of-change for SSF, see Annex VII.

Figure 1
The Analytical Assumption for the Evaluation Synthesis



29. **Criteria.** This assumption will guide the assessment of the performance of IFAD's work, articulated through the following IOE criteria:
- Relevance of projects to IFAD's Strategic Frameworks, national policies and strategies, and population's needs; this will also include the analysis of projects' design and targeting approaches;
 - Effectiveness of projects in achieving the established objectives;
 - Rural Poverty Impact, and its four domains, namely household income and net assets, human and social capital and empowerment, Food Security and Nutrition and productivity and Institutions and Policies;
 - Sustainability of projects' achievements in the long term;
 - Gender equality and women's empowerment;
 - Results and impacts on Natural Resources Management;
 - Integration of Climate Change mitigation and adaptation measures.
30. **Key questions/issues:** the synthesis will also be guided by a list of overarching issues that were identified based on a preliminary analysis of documents and on a round of interviews held in IFAD headquarters with key stakeholders. These are:
- IFAD's overall performance in supporting livelihoods that include aquatic resources from SSF, SSA, CZ and in SIDS, including with regards to financial investment, compared to the organization's performance in other sectors;
 - Extent to which IFAD's mandate and focus on livelihoods, poverty reduction, food and nutrition security and sustainable natural resources management, have informed the organization's interventions in supporting livelihoods that include aquatic resources from SSF, SSA, CZ and in SIDS;
 - IFAD's typical targeting and beneficiaries' profile in the organization's interventions in supporting livelihoods that include aquatic resources from SSF, SSA, CZ and in SIDS and integration of youth and women in these interventions;

- iv) IFAD's role and niche in supporting livelihoods that include aquatic resources from SSF, SSA, CZ and in SIDS, considering the potential for partnerships with other organizations.
31. In addition, a set of secondary questions have been identified, for each of the selected criteria. These are listed in Annex II of this Approach Paper. During the actual synthesis work, some new questions may be added and some adjusted. If some will not result in any evidence, this will be explained in the final report.
 32. Thus, the thrust of the synthesis will be the work carried out by IFAD, and other organizations for comparison and learning purposes, in support of IFAD's primary beneficiaries, i.e. poor rural people, whose livelihoods depend, fully or partly, on aquatic resources from Small-scale Fisheries, both from marine and inland fisheries, Small-scale Aquaculture, and coastal zones²⁰. Only initiatives by IFAD and others in coastal zones that imply use of aquatic CZR, or that entail purposeful alternative livelihoods from these for the sake of endangered resources conservation, will be analysed. In addition, the synthesis will also analyse: i) all initiatives in SIDS, given the limited range of alternative livelihoods to dependency on fisheries and CZRs in these countries; and ii) all the Post 2004 Indian Ocean Tsunami recovery initiatives, considering the extent of damage to all sources of livelihoods in affected areas.
 33. **Scope:** the synthesis will focus on all IFAD evaluations conducted since 2009, when IOE adopted its first Evaluation Manual.²¹ A total of 48 evaluations have been identified,²² that in total assess 50 projects which were approved between 1996 and 2015.²³ The sample also includes the Post 2004 Indian Ocean Tsunami recovery initiatives.
 34. With regards to the IFAD's portfolio in these sectors, the synthesis will consider all projects approved and identified in the corporate system that were or are relevant to the sectors under analysis. This long-term perspective will allow an analysis of trends in terms of geographical areas, thematic focus and resources allocated. An in-depth analysis of projects' thrust will be conducted on projects approved in the most recent years, also considering that a milestone in IFAD's engagement in these sectors was the inclusion among PTA staff, of a full-time expert in fisheries and aquaculture in January 2015. Similarly, flexibility will be applied for identifying evaluations and initiatives by other organizations.
 35. **Methodology:** in line with IOE 2015 Evaluation Manual guidance, the synthesis will mostly rely on the qualitative analysis of available evidence and information canvassed from IFAD and other organizations' sources. The primary instruments for the synthesis will be a desk review and interviews and discussions with stakeholders and key informants.²⁴ All interviews will be guided by check-lists to be developed by the ES team, for the different categories of interlocutors. The findings emerging from each of these instruments will be analysed and triangulated, and discussed in the synthesis report.²⁵
 36. The selection of evaluations and projects included in the Synthesis was based on the following criteria:

²⁰ This might also include poor rural people who earn their livelihoods by working in the industrial and semi-industrial fishing vessels and fish-farming plants, insofar they live in communities where a significant source of livelihood are small-scale fisheries, small-scale aquaculture, and coastal area resources.

²¹ The standardization across evaluations of criteria and analytical frameworks is a basic condition for extracting coherent information from evaluations reports for the synthesis.

²² These comprise: 20 Project Completion Report Validations, 15 Country Strategy and Programme Evaluations, 12 project evaluations and one Impact Evaluation.

²³ Country Strategy and Programme Evaluations may address more than one project; and the same project may have been evaluated more than once.

²⁴ The team members for the ES have all taken part in evaluations of relevant projects; the first hand experience from those evaluations will provide the useful insights that are typically generated by country visits.

²⁵ See Annex I, Proposed outline for the synthesis report.

- One or more components in the project addressed aspects of SSF and SSA; the identification drew on project titles; corporate systems classification of components and sub-components; a list prepared by the PTA Fisheries and Aquaculture Expert; references in country strategy/programme evaluations to relevant initiatives; direct analysis of the project President's Report;
 - The project is/was implemented in a coastal zone, and considered this as a distinct and specific ecosystem, and the target population is/was located in a coastal zone;
 - The project is/was implemented in a Small Island Developing State.
37. The desk review will include canvassing for information and analysing the following categories of documents:
- All relevant IOE Evaluation reports issued since 2009, complemented as required by respective Project Document Reports, Mid-Term reports and Project Completion Reports;²⁶ the reports will be analysed searching for information useful to answer the detailed questions and contribute to provide evidence for the overarching issues;
 - All non-evaluated projects, 16 in the current list, included in the list of relevant projects, that were approved by IFAD in the period 2013-2017, to assess any change in focus or approach over the last five years;²⁷
 - A small sample of thematic and regional evaluation reports addressing issues of SSF, SSA, CZ management and SIDS; issued during the period 2009-2017 or earlier if necessary, by other multilateral and bilateral development agencies;²⁸
 - IFAD Country Strategy Opportunities Papers (COSOPs) for the countries where relevant projects have been identified, as well as for SIDS and tsunami-affected countries, to assess the extent of IFAD's explicit strategic attention to SSF, SSA and CZR;
 - IFAD relevant guidelines and strategies;²⁹
 - Recent normative, scientific and development literature on issues related to livelihoods development based on fisheries, aquaculture and coastal zones resources.³⁰
38. The ES team will also carry out two quantitative analysis:
- a comparison of the average evaluation scoring of the selected evaluated projects for the identified criteria, against the overall average IFAD scorings for the same criteria in the same period; and
 - a quantitative analysis of the portfolio of all IFAD's projects classified as relevant to SSF, SSA, CZR management and SIDS, in terms of budgets, geographical concentration, links to grants and focus; this analysis will also compare IFAD's contributions through loans and grants.
39. Semi-structured interviews and discussions will be held with IFAD staff at the various levels, who were engaged in IFAD's support to livelihoods involving fisheries, aquaculture and coastal area resources including Directors of the Programme Management Department (PMD); Country Programme Managers and Country Directors in countries with more than one initiative in the sectors under analysis; technical staff responsible for and engaged in these sectors; project staff in a few selected cases.³¹ In so far as appropriate, IFAD senior consultants who have a long engagement with IFAD in these sectors will also be interviewed. These interviews and discussions will be held at different points in time: during the

²⁶ See Annex III.

²⁷ See Annex IV.

²⁸ See Annex V.

²⁹ See Annex VI.

³⁰ See Annex VI.

³¹ The selection will be informed by the desk-review, depending on the level of information available through evaluations and project documents.

preparatory phase of the synthesis, to canvass suggestions on the scope, criteria and key synthesis questions; after the desk review of evaluation reports and project document reports, to deepen and validate understanding of the findings and of the emerging lessons by then.

40. Interviews will also be carried out, after the desk review, with senior staff from other multilateral and bilateral organizations that work in supporting livelihoods involving fisheries, aquaculture and coastal area resources, to canvass their views on the respective approaches and strategies, including lessons learned from their evaluations, in support of livelihoods involving fisheries, aquaculture and coastal area resources. The exact institutions and persons to be interviewed will be identified through the desk review and in the course of interviews in IFAD. The preliminary tentative list of organizations includes:
 - International financial institutions (World Bank, regional development banks);
 - United Nations agencies, International and Research Organisations (FAO, The GEF, CGIAR/World Fish);
 - Bilateral development agencies (FINNIDA, ICEIDA, NORAD).
41. As mentioned above, the synthesis will also aim at identifying the conceptual framework underpinning IFAD's interventions in these sectors, and its evolution if any, over time.

IV. The Evaluation Synthesis process

42. The main steps in the Evaluation Synthesis process include: (i) the peer review, discussion and finalization of this approach paper; (ii) the desk review of all relevant documentation; (iii) interviews with managers and relevant staff and with external key informants; (iv) analysis of data and information; (v) preparation of the report, including quality review; (vi) sharing of the report with IFAD and finalization of the report integrating comments received; (vi) learning event with IFAD management and staff; (vii) dissemination of the final report (see below).
43. The present approach paper and the draft report will be subjected to a peer review in IOE and will be submitted to IFAD's Management for comments and finalised taking those comments into account. An audit trail will be shared with IFAD Management for information. IFAD Management will prepare a written response (2-3 pages) on the final evaluation synthesis report, which will be included in the final report.
44. **Discussion at the Evaluation Committee.** All final evaluation synthesis reports, together with the written IFAD Management's response, are discussed in the Evaluation Committee. Upon request of the Evaluation Committee, the reports may also be discussed in the Executive Board. This Evaluation Synthesis will be presented to the Evaluation Committee in the second half of 2018.
45. **Risks and limitations:** At the time of preparing the Approach paper, the foreseeable risks and limitations of the synthesis are as follows:
 - (a) Evaluative evidence: the IOE evaluations may not provide sufficiently robust evidence for the questions identified for the ES; this is partly due to 20 of the 48 evaluations being Project Completion Report Validations (PCRVs), which typically entail a lower evaluative effort level; whenever necessary, the ES team will also analyse other project documents, including the Project Design Reports, the Mid-Term Reviews and the Project Completion Reports, to gather as much information as possible on beneficiaries, activities and achievements;
 - (b) The body of IFAD's work in these sectors appears at first sight very diverse and somewhat ad-hoc; this may affect the possibility of identifying common trends and challenges, and drawing robust lessons for the future.

46. **Dissemination:** The Evaluation synthesis report will be prepared in English only, and the final published report should include the written IFAD Management's response. The Evaluation Manager will prepare an Evaluation Profile and Insights. The Evaluation Communication Unit (ECU) of IOE will also prepare an infographic note.
47. An in-house workshop shall be organized to discuss the evaluation synthesis report, to share lessons and promote dialogue around the main emerging themes. It will be held at IFAD headquarters and will be attended by IFAD Management and staff, IOE staff and others concerned. The main background document – the final evaluation synthesis report – should be shared with all participants ahead of the session.
48. Once finalized, the evaluation synthesis report will be submitted to the ECU for editorial quality assurance, web publishing and dissemination. The ECU will post the report on the IFAD intranet (log-on screen), the video wall in the IFAD lobby, the independent evaluation section of the IFAD website, IFAD's Facebook page and Twitter and Yammer accounts. The link to the report is also included in the UNEG database of evaluation reports, available at <http://www.uneval.org/evaluation/reports>.
49. The ECU shall share the final report electronically with internal and external audiences, including IFAD Management and staff, IOE staff, consultants, members.

V. Proposed timeline and synthesis team

50. **Evaluation Team:** The study will be supervised by Mr Fabrizio Felloni, Deputy Director and the team will comprise: Ms Tullia Aiazzi, senior consultant, evaluation manager; Dr Roderick Stirrat, senior advisor; Mr Prashanth Kotturi, evaluation analyst; and Mr Boaz Liesdek, intern. Ms Maria Cristina Spagnolo, IOE Evaluation Assistant, will provide research and administrative support.
51. **The proposed timeline** is shown in table 1 below.

Table 1

Proposed timeline for the Evaluation Synthesis

<i>Activity</i>	<i>Date</i>
Preparatory work, including interviews in IFAD	August -September 2017
Draft Approach Paper to IOE	21 September
Approach paper shared with IFAD	6 October 2017
Comments on Approach Paper	End-October 2017
Final Approach Paper	Mid-November 2017
Data gathering and analysis	October-December 2017
Interviews with other organizations	January 2018
Draft report shared with IOE	End February 2018
Comments	End March 2018
Advanced draft report shared with IFAD	Mid-April 2018
Comments to team	End April 2018
Final report	Mid-May 2018
Learning event/Workshop	June 2018
Publication of report, Profile and Insight	July 2018

Proposed report outline

- 1. Introduction** (3 pages)
 - Background
 - Objectives
 - Scope, methodologies and process
 - Limitations
- 2. Broad context** (3-4 pages)
 - Livelihoods including Small-scale Fisheries
 - Livelihoods including Small-scale Aquaculture
 - Livelihoods including Coastal area resources
- 3. Approaches and operations of other organizations** (5-6 pages)
 - International financial institutions (World Bank, Inter-American Development Bank, Asian Development Bank)
 - United Nations agencies (FAO, The GEF)
 - CGIAR (World Fish)
 - Bilateral development agencies
 - Comparison between IFAD and other organizations
- 4. Overview of IFAD's portfolio with people living off aquatic resources** (5-6 pages)
 - IFAD's strategic approach to SSF, SSA and coastal area resources
 - Evolution of operational requirements and guidelines
 - IFAD financial support
 - IFAD non-financial support
- 5. Review of IFAD's engagement** (15-18 pages)
 - Synthesis of evaluation findings: Project and country programme performance
 - Assessment of IFAD's strategy and approach
 - Review of IFAD's activities at corporate/global level
- 6. Key issues emerging and lessons learnt** (3-4 pages)

Evaluation synthesis detailed questions

<i>Criteria</i>	<i>Detailed questions</i>	<i>Source of information</i>
Relevance	<p>Was the intervention relevant to IFAD/host country objectives</p> <p>Are there any obvious failures in the project?</p> <p>Are there lessons to be learnt with respect to relevance?</p> <p>Was the contribution from aquatic resources to poverty reduction recognised, and how?</p> <p>Did the project adopt an integrated approach to the use of aquatic resources from SSF, SSA, CZ and in SIDS?</p> <p>What was the focus (specific objectives) of the project, e.g.: household livelihoods; sustainable NRM; infrastructures; value-chain development</p> <p>To what extent has Safety at Sea been taken into account in projects' design?</p>	<p>President's Reports and Project Design Documents;</p> <p>Project Completion Reports;</p> <p>Evaluation reports;</p> <p>Interviews with IFAD staff</p>
Targeting	<p>What criteria have been used to target beneficiaries in SSF, SSA, coastal zones and SIDS? Have these criteria changed over time?</p> <p>Were young people and women explicitly targeted?</p> <p>What social and economic categories benefitted from the intervention?</p> <p>Were participatory approaches used to select project participants/beneficiaries? If so, what form did this take?</p>	<p>President's Reports and Project Design Documents;</p> <p>Project Completion Reports;</p> <p>Evaluation reports;</p> <p>Interviews with IFAD staff</p>
Effectiveness	<p>How effective was the intervention in achieving project objectives, and IFAD's policy objectives?</p> <p>Has targeting been successful?</p> <p>Has IFAD's support to rural organizations been successful?</p> <p>Are there lessons to be learnt from successes and failures which might improve effectiveness?</p> <p>How far was IFAD successful in developing a participatory approach and did this have an effect in achieving results?</p> <p>Was IFAD suitably organised and did it have the human resources to work effectively in this project?</p>	<p>Project Completion Reports;</p> <p>Evaluation reports;</p> <p>Interviews with IFAD staff</p>
Rural poverty impact in terms of household incomes and assets; (ii) human and social capital and empowerment; (iii) food security and agricultural productivity; and (iv) institutions and policies	<p>Has the intervention been successful/unsuccessful in reducing poverty?</p> <p>Did the project have a differential impact on different social categories (youth, the old; unskilled versus skilled; male versus female)?</p> <p>How can the impact of IFAD's interventions be improved?</p> <p>Have project activities contributed to improved levels of food and nutrition security?</p> <p>Is there evidence of negative impacts (externalities?) on non/target groups and of mitigating measures put in place? If so, are there lessons to be learnt?</p> <p>Was there any impact at the institutional and policy level?</p>	<p>Project Completion Reports;</p> <p>Evaluation reports;</p> <p>Interviews with IFAD staff</p>

Gender	<p>How far have project design and implementation been in line with IFAD's gender policies?</p> <p>How successful was the project in addressing gender issues?</p> <p>Are there cases of good practice which should be highlighted?</p> <p>Are there aspects of gender which have been ignored?</p>	<p>President's Reports and Project Design Documents;</p> <p>Project Completion Reports;</p> <p>Evaluation reports;</p> <p>IFAD policies</p> <p>Interviews with IFAD staff</p>
Sustainability	<p>How far has sustainability been an issue in project design and implementation?</p> <p>To what extent were the results of the intervention sustainable?</p> <p>Is there anything to be learnt about differences in sustainability (ecological, financial, social)?</p>	<p>President's Reports and Project Design Documents;</p> <p>Project Completion Reports;</p> <p>Evaluation reports;</p>
NRM and climate change	<p>To what extent did the project integrate sustainable NRM and climate change adaptation measures in its design and implementation?</p> <p>Have specific issues, such as water quantity and quality in aquaculture, bycatch and post-harvest waste in capture fisheries, and reduction of environmentally damaging destructive fishing practices, been taken into account?</p> <p>How far did the intervention make a positive impact on these issues?</p>	<p>President's Reports and Project Design Documents;</p> <p>Project Completion Reports;</p> <p>Evaluation reports;</p> <p>Interviews with IFAD staff</p>

List of IFAD evaluations relevant to the synthesis, by country of focus

<i>Evaluation type</i>	<i>Evaluation report, year</i>	<i>Project start, year</i>	<i>Project completion, year</i>	<i>Division</i>	<i>Country</i>	<i>Project/evaluation title</i>
PCRV	2015	2006	2014	APR	Bangladesh	The Market Infrastructure Development Project in Charland Regions (MIDPCR)
CPE	2016	NA	NA	APR	Bangladesh	Country Programme Evaluation People's Republic of Bangladesh (CDSP; CCRIP; HILIP)
PCRV	2016	2003	2014	APR	Bangladesh	Sunamganj Community Based Resource Management Project (SCBRMP)
PPE	2016	2008	2014	APR	Bangladesh	Finance for Enterprise Development and Employment Creation Project (FEDEC)
PCRV	2016	2008	2014	APR	Bangladesh	National Agricultural Technology Project (NATP)
PCRV	2012	2003	2011	WCA	Benin	Support Programme to the Participatory Development of Artisanal Fisheries (PADPPA)
PCRV	2015	2007	2013	NEN	Bosnia & Herzegovina	Rural Enterprise Enhancement Project (REEP)
PPA	2013	2004	2011	APR	Cambodia	Rural Poverty Reduction Project in Prey Veng and Svay Rieng (RPRP)
PCRV	2015	2000	2013	WCA	Cape Verde	Rural Poverty Alleviation Programme (PLPR)
PCRV	2016	2007	2014	ESA	Comoros	National Programme for Sustainable Human Development (PNDHD)
PCRV	2013	2004	2012	WCA	Congo, Republic of	Projet de Développement Rural dans les Départements des Plateaux, de la Cuvette et de la Cuvette Ouest (PRODER I)
PCRV	2016	2006	2014	WCA	Congo, Republic of	Rural Development Project in the Niari, Bouenza and Lékoumou Departments (PRODER 2)
PPE	2016	2007	2014	WCA	Democratic Republic of Congo (DRC)	Programme de réhabilitation de l'agriculture dans le district de la Tshopo Province orientale (PRAPO)
PCRV	2016	2005	2013	WCA	Democratic Republic of Congo (DRC)	Programme de relance agricole dans la province de l'Equateur (PRAPE)
CSPE	2017	NA	NA	WCA	Democratic Republic of Congo (DRC)	Évaluation de la stratégie et du programme de pays République démocratique du Congo (PRAPO, PRAPE)
PPE	2016	2004	2012	NEN	Djibouti	Projet de développement du micro financement et de la microentreprise (PDMM)
CPE	2016	NA	NA	WCA	Gambia	Country Programme Evaluation Islamic Republic of the Gambia (LHDP)
PCRV	2011	2002	2009	LAC	Grenada	Grenada Rural Enterprise Project (GREP)
PCRV	2014	2008	2013	WCA	Guinea-Bissau	Rural Rehabilitation and Community Development Project (RRCDP)
CPE	2010	NA	NA	APR	India	Country Programme Evaluation Republic of India (PTSLP)
CPE	2016	NA	NA	APR	India	Country Programme Evaluation Republic of India (PTSLP)
CPE	2014	NA	NA	APR	Indonesia	Country Programme Evaluation Republic of

<i>Evaluation type</i>	<i>Evaluation report, year</i>	<i>Project start, year</i>	<i>Project completion, year</i>	<i>Division</i>	<i>Country</i>	<i>Project/evaluation title</i>
						Indonesia (CCDP)
Completion Evaluation	2011	2002	2010	APR	Laos	Oudomxai Community Initiatives Support Project (OCISP)
PPA	2015	2006	2014	APR	Laos	Rural Livelihoods Improvement Programme in Attapeu and Sayabouri (RLIP)
CPE	2013	NA	NA	ESA	Madagascar	Évaluation du programme de pays République de Madagascar
PPE	2017	2006	2014	APR	Maldives	Post-Tsunami Agriculture and Fisheries Rehabilitation Programme (PT-AFReP)
PPA	2014	2000	2011	ESA	Mauritius	Rural Diversification Programme (RDP)
PCRV	2016	2009	2015	ESA	Mauritius	Marine and Agricultural Resources Support Programme (MARS)
CPE	2010	NA	NA	ESA	Mozambique	Country Programme Evaluation Republic of Mozambique (SBAFP)
PCRV	2012	2002	2011	ESA	Mozambique	Sofala Bank Artisanal Fisheries Project (PPABS)
Impact evaluation	2016	2002	2011	ESA	Mozambique	Sofala Bank Artisanal Fisheries Project (PPABS)
CSPE	2017	NA	NA	ESA	Mozambique	Country Strategy and Programme Evaluation Republic of Mozambique (SBAFP, ProPesca; PROAQUA) 2017
CSPE	2017	NA	NA	LAC	Nicaragua	Evaluación de la Estrategia y el Programa en el País República de Nicaragua (NICARIBE)
CPE	2016	NA	NA	WCA	Nigeria	Country Programme Evaluation Federal Republic of Nigeria (CBNRMP, CBARDP)
Interim Evaluation	2009	1999	2007	APR	Philippines	Western Mindanao Community Initiatives Project (WMCIP)
PPA	2012	2003	2010	APR	Philippines	Northern Mindanao Community Initiatives and Resource Management Project (INREMP)
CSPE	2017	NA	NA	APR	Philippines	Country Strategy and Programme Evaluation Republic of the Philippines (FishCORAL)
PCRV	2016	2003	2015	WCA	Sao Tome & Principe	Participatory Smallholder Agriculture and Artisanal Fisheries Development, PAPAFA
PCRV	2013	2006	2010	APR	Sri Lanka	Post-Tsunami Livelihoods Support and Partnership Programme (PT-LiSPP)
PCRV	2015	2006	2014	APR	Sri Lanka	Post Tsunami Coastal Rehabilitation and Resource Management Programme (PT-CRRReMP)
PPE	2017	2006	2014	APR	Sri Lanka	Post -Tsunami Coastal Rehabilitation and Resource Management Programme (PT-CRRReMP)
CPE	2015	NA	NA	ESA	Tanzania	Country Programme Evaluation United Republic of Tanzania
Interim Evaluation	2011	1997	2012	ESA	Uganda	Vegetable Oil Development Project (VODP)
PCRV	2011	1999	2006	APR	Vietnam	Ha Tinh Rural Development Project (HTRDP)
CPE	2012	NA	NA	APR	Vietnam	Country Programme Evaluation Socialist Republic of Vietnam (ARCDP, RIDP)

Annex III

<i>Evaluation type</i>	<i>Evaluation report, year</i>	<i>Project start, year</i>	<i>Project completion, year</i>	<i>Division</i>	<i>Country</i>	<i>Project/evaluation title</i>
PCR	2014	2005	2012	APR	Vietnam	Decentralized Programme for Rural Poverty Reduction in Ha Giang and Quang Binh Provinces (DPRPR)
CPE	2012	NA	NA	NEN	Yemen	Country Programme Evaluation Republic of Yemen (FIP)
PCR	2014	2000	2010	NEN	Yemen	Al-Mahara Rural Development Project (AMRDP)

List of IFAD projects selected for analysis of recent trends (tentative)

<i>Division</i>	<i>Board approval year</i>	<i>Project start, year</i>	<i>Project completion, year</i>	<i>Country</i>	<i>Project title</i>
APR	2014	2014	2021	Bangladesh	Promoting Agricultural Commercialization and Enterprises Project (PACEP)
APR	2015	2015	2021	Bangladesh	National Agricultural Technology Program - Phase II project
WCA	2015	2015	2022	Benin	The Market Gardening Development Support Project (MGDSP)
WCA	2015	NA	NA	Cameroon	Aquaculture Entrepreneurship Development Support Project
APR	2013	NA	NA	China	Shiyan Smallholder Agribusiness Development Project
NEN	2013	2013	2019	Djibouti	Programme to reduce vulnerability in coastal fishing areas
NEN	2016	2016	2023	Djibouti	Soil and Water Management Programme
NEN	2016	2016	2023	Eritrea	Fisheries Resources Management Programme (FRoMP)
WCA	2014	2014	2020	Ghana	Ghana Agricultural Sector Investment Programme
APR	2014	2014	2019	Kiribati	Outer Islands Food and Water Project
ESA	2013	2013	2016	Mozambique	Strengthening Artisanal Fishers' Resource Rights Project (Projeto de Direitos aos Recursos dos Pescadores Artesanais (PRODIRPA))
APR	2015	2016	2020	Pacific Islands	Leveraging the Development of Local Food Crops and Fisheries Value Chains for Improved Nutrition and Sustainable Food Systems in the Pacific Islands
ESA	2013	2013	2018	Seychelles	Competitive Local Innovations for Small-Scale Agriculture Project (CLISSA)
APR	2015	2015	2020	Solomon Islands	Rural Development Programme (Phase II)
APR	2017	2017	NA	Tonga	Tonga Rural Innovation Project - Phase II
APR	2013	2013	2019	Vietnam	Project for Adaptation to Climate Change in the Mekong Delta in Ben Tre and Tra Vinh Provinces (AMD)

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