

Logical Framework for the Fish Fund MEL System

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Table of Contents

1	ABBREVIATIONS	. 2
2	INTRODUCTION TO THE LOG FRAME	. 2
3	DESIGN PRINCIPLES FOR THE LOG FRAME	. 2
4	READER'S GUIDE TO THE LOG FRAME	. 3
5	LOG FRAME LIBRABRY	. 6
AN	INEX 1: FISH FUND'S THEORY OF CAHNGE	17
AN	INEX 2: FISH FUND'S THEORY OF CAHNGE	19
AN	INEX 3: RISK MATRIX	20
AN	INEX 4: ADDITIONAL INDICATORS FOR PROJECT MANAGEMENT AND LEARNING PURPOSE	21

1 ABBREVIATIONS

Abbreviation	Explanation
AFS	Agreement on Fisheries Subsidies
C1	Category 1
C2	Category 2
EOP	End-of-project
FF	Fish Fund
Interm.	Intermediate
IUU	Illegal, Unreported and Unregulated fishing
Log Frame	Logical Framework
ТоС	Theory of Change

2 INTRODUCTION TO THE LOG FRAME

This document details the Logical Framework (Log Frame), which is a key part of the Fish Fund's Monitoring, Evaluation, and Learning (MEL) framework. It aims to serve as a reference of indicators that can be adapted to meet the Fish Fund's specific program needs. The Log Frame is a tool that organizes and aligns indicators with each step in the Theory of Change (ToC)¹, creating a roadmap for measuring outputs, outcomes, and impacts. This Log Frame document offers the Fish Fund's Secretariat a comprehensive set of indicators, which can be customized depending on the objectives and requirements of each grant. This flexibility is crucial, as the current five categories under Category 2 grants are illustrative, and countries may seek grant activities that span multiple categories. To facilitate this adaptability:

- This document serves as a library of potential indicators, designed to be modified based on the Fish Fund's varying program contexts and stakeholder needs.
- For each indicator, recommendations are provided on its relevance, aiding in the selection process for different grants and contexts.

Through these features, this Log Frame document functions as a tool that supports the Fish Fund in its mission to monitor, evaluate, and learn from its grant activities effectively. The first section of this document outlines the design principles that shaped the Log Frame. These principles were derived from stakeholder consultations and built upon Dalberg's experience in MEL systems. The second section provides a reader's guide that explains the structure of the draft Log Frame. The last and main section presents a draft Log Frame tailored for the Fish Fund, incorporating the elements necessary to track progress and ensure accountability. The Annex includes the draft ToC that underpins the Log Frame, as well as a risk matrix that identifies potential risks at both the project and portfolio levels, along with recommended mitigation strategies.

3 DESIGN PRINCIPLES FOR THE LOG FRAME

The design principles are informed by stakeholder interviews and review of implementing partners' existing M&E approaches:

1. The Log Frame should prioritize cost-efficiency and practicality. It should align with resource constraints, cover the comprehensive scope of the Fish Fund, and accommodate the varying data-reporting capacity of grant recipients. To this end:

¹ Additional details on the ToC can be found in the annex

- At output level, we recommend keeping indicators simple and concise, using relatively lowcost methods for data collection. Recognizing that definitions may vary across countries such as interpretations of "training" or distinctions between single and multiple sessions we suggest establishing common definitions in the Terms of Reference (ToR) to enhance consistency
- At the impact level, the focus should be on tracking near-term impacts, as long-term impacts are costly to monitor and more challenging to attribute solely to the Fish Fund's support
- For several indicators across outputs, outcomes and impacts, we propose using selfassessment through EOP reports and surveys conducted 24-30 months after project closure. While self-assessments have consistency and reliability limitations, they offer a feasible method for gathering insights on project outcomes and impacts.

2. The Log Frame should align, as much as possible, with approaches and reporting requirements of partners, donors, and beneficiaries, to avoid duplication and reduce reporting burdens. This includes adopting similar indicators where possible, such as those relating to gender and sustainability.

3. The Log Frame should support transparency and accountability. To promote effective project management, beneficiaries are invited to self-report on whether external support met the timelines, deliverables, and quality standards outlined in the ToR.

4. The Log Frame should include a learning component to help continuous improvement of Fish Fund's grant activities. In the EOP reports, grant beneficiaries are encouraged to share how the Fish Fund projects have supported them in building capacity to implement the disciplines of the AFS, as well as challenges encountered during project implementation (e.g., reasons for project delays). These learnings can be shared by the Secretariat to inform future projects.

4 READER'S GUIDE TO THE LOG FRAME

The Log Frame follows a logical progression from inputs, outputs, intermediate outcomes, to outcomes. It begins with the impact pathway for C1 projects and outlines three impact pathways for C2 projects, with some outcomes shared across the outputs of the C2 projects. Impact is defined as a cross-cutting result that applies to both C1 and C2 projects.

The Log Frame includes both portfolio-level and project-level indicators, providing a comprehensive view of the Fish Fund's results:

- Portfolio-level indicators measure the overall operational results of the Fish Fund's portfolio, aggregating data across projects to provide a broad view of program effectiveness
- Project-level indicators capture data specific to each project, feeding into portfolio-level metrics. Project-specific data are reported by grant recipients through end-of-project (EOP) reports and one-time surveys after project closure

Long-term impact indicators are deprioritized in the Log Frame due to challenges in measuring them within project lifecycles and Fish Fund's resource constraints. Instead, existing data sources, such as third-party database, are recommended to track long-term progress toward AFS's goals. To ensure a systematic approach to data collection, the Log Frame defines data sources and suggested measurement frequency as follows:

- Input: Fish Fund's Secretariat can consider updating the dashboard every 3 to 6 months²
- EOP report: Grant recipients are encouraged to submit the EOP report within 1 month of project closure
- Survey: The Secretariat could consider distributing a survey to grant recipients 2-2.5 years after C2 project closure to track longer-term outcomes. This low-cost approach can capture outcomes that may only materialize post-project, but it also presents challenges: (i)

² Dashboard includes data such as grant allocation and grant recipients' EOP report and survey responses

declining participation rates over time, (ii) difficulty reaching respondents due to job changes or shifting priorities, and (iii) limited incentives for recipients to respond. To mitigate these risks, the survey should be concise and focused on key metrics, and grant recipients could be asked in the EOP report to outline intended follow-up actions. We recommend the Steering Committee consider using survey to track longer-term outcomes while weighing the trade-offs involved

The Log Frame includes a "recommended inclusion" column to guide indicator selection for different project types. Typically, each project type is associated with 6-8 indicators at the Fish Fund's portfolio level. In this column, relevant projects types are tagged, as outlined below. Definitions for each project type can be found in Annex 1:

- Category 1: Needs assessment and project preparation plan
- Category 2 (a): Analysis, reports and sector studies
- Category 2 (b): Update of legislative frameworks and institutional support
- Category 2 (c): Capacity building and technical assistance
- Category 2 (d): Data collection
- Category 2 (e): Improvements or setup of fisheries management system

Table 1 below serves an example of indicators for a Category 2 project focused on "update of legislative frameworks and institutional support".

Table 1: A subset of indicators for a Category 2 project focused on "update of legislative frameworks and institutional support"

Level	Result defined in the ToC	Portfolio-level indicator	Project-level indicator	Data sources
Input	FF's funding disbursed to grant recipients	 Total amount of funding allocated(\$) 	Not relevant	FF 's grant agreements
Output	Drafted changes for national fisheries legislation, regulations and procedures	 Number of completed projects related to update of legislative frameworks and institutional support 	 What is the date of completion of the project? 	EOP report
Interm. outcome	e Improved capacity and knowledge among key stakeholders to support the implementation of legislative, regulatory and procedural	 Number of grant recipients reporting a clear understanding of the required changes of the legislation, regulations or procedures 	 On a scale of 1 to 5, how strongly do you agree with the following statement: "We have a clear understanding of the specific changes required to our legislation, regulations or procedures." 	EOP report
	changes	 Number of grant recipients reporting a clear understanding of the next steps to carry out the changes 	 On a scale of 1 to 5, how strongly do you agree with the following statement: "We have a clear understanding of which changes should be highest priority and the steps needed to carry 	• EOP report

Level	Result defined in the ToC	Portfolio-level indicator	Project-level indicator	Data sources
			out the legislative, regulatory or procedural changes."	
Outcome	Revision of the national legislation, regulations or procedures in alignment with the disciplines of the AFS	 Number of grant recipients that have developed or updated legislation, regulations or procedures Percentage of grant recipients reporting that the C2 grant contributed to these revisions 	 Have you developed or updated laws, policies, regulations and /or procedures? (Yes/No) If yes: To what extent did this C2 project contributed to the updates ? (Likert scale: 1 = No contribution, 5 = Significant contribution) 	 Survey to grant recipients

5 LOG FRAME LIBRABRY

This section provides a library of potential indicators that can be tailored to each Fish Fund project's specific context and needs. While the full library of indicators (Table 2) may initially appear extensive, it is designed to ensure comprehensive coverage for different project types. After filtering for a specific project type, typically only 6-8 relevant indicators remain at the portfolio level.

To facilitate the selection process, the full library of indicators will be available in an Excel format (once finalized), allowing easy filtering by project type. Grant recipients and project implementers are encouraged to prioritize indicators that align most closely with their objectives and activities, ensuring focused and effective monitoring and evaluation.

Level	Result defined in the ToC	Portfolio-level indicator	Data to be collected/questions to be answered by grant recipients	Data sources	Recommended inclusion for project type
Input	FF's funding disbursed to grant recipients	 Total amount of funding allocated (\$) (by number of C1 and C2 projects, country type³ and displayed geographically on a world map) 	Not relevant	 FF 's grant agreements 	For all projects
Output 1 (C1: needs assessment)	Needs assessment reports/project preparation plan	 Number of needs assessments/project preparation plan completed 	Type and complete date of project	EOP report	Category 1
	developed (detailing identified grant recipients' gaps to implement the AFS and/or plans to address the gaps)	 Number of grant recipients reporting each type of implementation gap (e.g., legislative and regulatory gaps, technical skills) 	 What types of implementation gaps were identified in the needs assessment? (Select all that apply: (i) legislative and regulatory gaps, (ii) technical skills gaps, (iii) tools and data management systems, (iv) infrastructure and hardware, (v) data collection, (vi) political challenges, (vii) other (please specify)? 	EOP report	Category 1
Interm. outcome 1 (C1: needs assessment)	Improved understanding among grant recipients of implementation gaps and options to address the gaps, either through self-financing or by	 Number of grant recipients reporting a clear understanding of their implementation gaps (by LDC and developing countries) 	 If identified implementation gaps: On a scale of 1 to 5, how strongly do you agree with the following statement: "We clearly understand the gaps that our government needs to address for implementation of the AFS" 	EOP report	Category 1

Table 2: Log Frame library

³ Developing Countries, Least Developed Countries (LDC)

Level	Result defined in the ToC	Portfolio-level indicator	Data to be collected/questions to be answered by grant recipients	Data sources	Recommended inclusion for project type
	applying for additional funding	 Number of grant recipients reporting a clear understanding of potential next steps to address the gaps (by LDC and developing countries) 	 On a scale of 1 to 5, how strongly do you agree with the following statement: "We clearly understand of the most effective sequence for addressing the implementation gaps." How do you plan to address the implementation gaps, and what funding amount do you plan to request? (i) self-financing, (ii) C2 grants, (iii) co-funding from FF and others, and/or (iv) funding outside of FF, (v) I do not know, (vi) others (please specify the channel and the amount) 	• EOP report	Category 1
Outcome 1 (C1: needs assessment)	Grant recipients addressing the gaps to implement the AFS disciplines (potentially with newly secured funding)	 Number of grant recipients that secured funding with the outputs from C1, to address the implementation gaps (by C2 funding, co-funding, and external funding not related to the Fish Fund) Total expected amount of funding catalyzed by C1 projects (by C2 funding, co-funding, and external funding not related to the Fish Fund) 	 Did you conduct a needs assessment/preparation plan through C1 grant? (Yes/No) 	 Category 2 project proposals FF's grant agreements 	Category 1
Output 2 (C2: sector study)	Developed analyses, reports and sector studies to support the formulation of legislative	Number of completed projects related to analysis, reports and sector studies		EOP report	Category 2 (a)

Level	Result defined in the ToC	Portfolio-level indicator	Data to be collected/questions to be answered by grant recipients	Data sources	Recommended inclusion for project type
	documents in alignment with the disciplines of the AFS				
Output 3 (C2: update of legislative frameworks and institutional support)	Drafted revisions of national fisheries legislation, regulations and procedures to align with the disciplines of the AFS	 Number of completed projects related to update of legislative frameworks and institutional support 	Type and completion date of project	EOP report	Category 2 (b)
Interm. outcome 2 (Immediate change as a result of output 2 and output 3)	5 11	 Number of grant recipients reporting a clear understanding of the required changes of the legislation, regulations or procedures 	 On a scale of 1 to 5, how strongly do you agree with the following statement: "We clearly understand the specific changes required to our legislation, regulations or procedures to align with the AFS disciplines." 	EOP report	 Category 2 (a), 2(b)
			 Number of grant recipients reporting a clear understanding of the next steps to carry out the changes 	 On a scale of 1 to 5, how strongly do you agree with the following statement: "We clearly understand which changes should be highest priority and the steps needed to carry out the legislative, regulatory or procedural changes." 	• EOP report
Outcome 2 (Longer term changes as a result of interm. outcome 2)	Revision of the national legislation, regulation, or procedures to align with the AFS disciplines	 Number of grant recipients reporting that the C2 project has contributed to the development or revisions of legislation, regulations and/or procedures to ensure they do not grant or maintain subsidies to a vessel or operator engaged in IUU fishing or fishing-related activities in support of IUU fishing 	 Have you developed or updated legislation, regulations and/or procedures to ensure you do not grant or maintain subsidies to a vessel or operator engaged in IUU fishing or fishing-related activities in support of IUU fishing? (Yes/No) If yes: On a scale of 1 to 5, how strongly do you agree with the following statement: "The Category 2 	Survey to grant recipients	• Category 2 (a), 2(b)

⁴ Implementation of legislative, procedural, and regulatory changes refers to the process of operationalizing new or revised laws, procedures, and regulations by establishing administrative frameworks, building institutional capacity, engaging stakeholders, mobilizing resources, enforcing compliance, and conducting periodic evaluations to ensure the intended outcomes are achieved.

Level	Result defined in the ToC	Portfolio-level indicator	Data to be collected/questions to be answered by grant recipients	Data sources	Recommended inclusion for project type
			project has contributed to the development or updating of legislative documents to ensure no subsidies are maintained or granted to a vessel or operator engaged in IUU fishing or fishing-related activities in support of IUU fishing"		
		• Number of grant recipients reporting that the C2 project has contributed to the development or revisions of legislation, regulations and/or procedures to ensure they do not grant or maintain subsidies for fishing or fishing related activities regarding an overfished stock, unless such subsidies or other measures are implemented to rebuild the stock to a biologically sustainable level	 Have you developed or updated legislation, regulations and/or procedures to ensure you do not grant or maintain subsidies for fishing or fishing related activities regarding an overfished stock? (Yes/No) If yes: On a scale of 1 to 5, how strongly do you agree with the following statement: "The Category 2 project has contributed to the development or updating of legislative documents to ensure no subsidies are maintained or granted for fishing or fishing related activities regarding an overfished stock" If no: Have you implemented subsidies or measures to rebuild the stock to a biologically sustainable level? (Yes/No) If yes: On a scale of 1 to 5, how strongly do you agree with the following statement: "The Category 2 project has contributed to the development or updating of subsidies/measures to rebuild 	 Survey to grant recipients 	• Category 2 (a), 2(b)

Level	Result defined in the ToC	Portfolio-level indicator	Data to be collected/questions to be answered by grant recipients	Data sources	Recommended inclusion for project type
			the stock to a biologically sustainable level"		
		 Number of grant recipient reporting that the C2 project has contributed to the development or revision of legislation, regulations and/or procedures to ensure they do not grant or maintain subsidies provided to fishing or fishing related activities outside of the jurisdiction of a coastal Member or a coastal non- Member and outside the competence of a relevant RFMO/A Number of grant recipient reporting that the C2 project has contributed to the development or revision of legislation, regulations and/or procedures to ensure they exercise special care and due restraint when granting subsidies to vessels not flying their Member's flag Number of grant recipient reporting that the C2 project has contributed to the development or revision of legislation, regulations, and/or procedures to ensure they exercise special care and due restraint when granting subsidies to fishing or fishing-related activities regarding stocks whose status is unknown. 	 legislation, regulations and/or procedures to ensure you do not grant or maintain subsidies provided to fishing or fishing related activities outside of the jurisdiction of a coastal Member or a coastal non-Member and outside the competence of a relevant RFMO/A? (Yes/No) If yes: On a scale of 1 to 5, how strongly do you agree with the following statement: "The Category 2 project has contributed to the development or updating of legislative, regulatory and/or procedural documents to ensure no subsidies are maintained or granted for fishing or fishing related activities outside of the jurisdiction of a coastal Member or a coastal non-Member and outside the competence of a relevant RFMO/A" 	Survey to grant recipients	Category 2 (a), 2(b)

Level	Result defined in the ToC	Portfolio-level indicator	Data to be collected/questions to be answered by grant recipients	Data sources	Recommended inclusion for project type
			 procedural documents to ensure special care and due restraint are exercised when granting subsidies to vessels not flying my country's flag." Have you developed or updated legislation, regulations, and/or procedures to ensure special care and due restraint are exercised when granting subsidies to fishing or fishing-related activities regarding stocks of unknown status? (Yes/No) If yes: On a scale of 1 to 5, how strongly do you agree with the following statement: "The Category 2 project has supported the development or updating of legislative, regulatory, and/or procedural documents to ensure special care and due restraint are exercised when granting subsidies to fishing or fishing-related activities regarding stocks of unknown status." 		
		 Number of grant recipients reporting that the C2 project has enabled them to submit notifications as required in the AFS 8.3⁵ and 8.4⁶ article 	 On a scale of 1 to 5, how strongly do you agree with the following statement: "The Category 2 project has enabled my organization to submit notifications as required in the AFS 8.3 article" On a scale of 1 to 5, how strongly do you agree with the following 	 Survey to grant recipients 	• Category 2 (a), 2(b)

⁵ Each Member shall, within one year of the date of entry into force of this Agreement, inform the Committee of measures in existence or taken to ensure the implementation and administration of this Agreement, including the steps taken to implement prohibitions set out in Articles 3, 4 and 5. Each Member shall also promptly inform the Committee of any changes to such measures thereafter, and new measures taken to implement the prohibitions set out in Article 3.

⁶ Each Member shall, within one year of the date of entry into force of this Agreement, provide to the Committee a description of its fisheries regime with references to its laws, regulations and administrative procedures relevant to this Agreement, and promptly inform the Committee of any modifications thereafter. A Member may meet this obligation by providing to the Committee an up-to-date electronic link to the Member's or other appropriate official web page that sets out this information.

Level	Result defined in the ToC	Portfolio-level indicator	Data to be collected/questions to be answered by grant recipients	Data sources	Recommended inclusion for project type
			statement: "The Category 2 project has enabled my organization to submit notifications as required in the AFS 8.4 article"		
Output 4 (C2: capacity building and	Trainings and workshops conducted on data collection, vessel	 Number of completed projects related to capacity building and technical assistance 	Type and completion date of project	EOP report	Category 2 (c)
technical assistance)	monitoring systems, inspection, notification processes and areas related to AFS disciplines	 Number of training documents developed 	 How many training documents were developed as the deliverables of the project? Please specify the main theme of the training documents (e.g., how to use vessel monitoring systems) 	EOP report	Category 2 (c)
		 Number of training sessions and workshops conducted 	How many training sessions and workshops during this project?	EOP report	Category 2 (c)
		 Number of people trained, of which women (%), and of which small-scale fisheries (%) 	 Among people trained, how many participants are women? Among people trained, how many participants are small-scale fisheries stakeholders? 	EOP report	Category 2 (c)
Output 5 (C2: data collection)	Research conducted, with templates and tools developed for data collection to assess marine stocks	 Number of completed projects related to data collection 	Type and completion date of project	EOP report	Category 2 (d)
Interm. outcome 3 (Immediate change as a result of output 4 and output 5)		 Percentage of trained staff reporting that training equipped them with the skills to implement the disciplines of the AFS (by gender, by SSF, by LDC and developing countries) 	 On a scale of 1 to 5, how strongly do you agree with the following statement: "The training has improved my technical skills for activities aligned with the AFS disciplines." 	EOP report	 Category 2 (c), (d)
		Number of grant recipients reporting that the research studies improve their	• On a scale of 1 to 5, how strongly do you agree with the following	EOP report	• Category 2 (c), (d)

Level	Result defined in the ToC	Portfolio-level indicator	Data to be collected/questions to be answered by grant recipients	Data sources	Recommended inclusion for project type
		understanding of the current state of fish populations in the scope of the project	statement: "The research studies have improved our understanding of the current state of fish populations."		
Outcome 3 (Longer term changes as a result of interm. outcome 3)	Stakeholders actively applying skills in activities contributing to the implementation of the disciplines of the AFS	 Number of grant recipients reporting improvements in their organization's capacity to meet AFS requirements as a result of applying skills acquired through training 	 On a scale of 1 to 5, how strongly do you agree with the following statement: "The skills gained from the C2 project have improved my organization's capacity to meet the AFS requirements" What skills did you acquire through the Category 2 project that helped you improve your capacity to meet AFS requirements? 	 Survey to grant recipients 	• Category 2 (c), (d)
		 Number of grant recipients reporting initiating or enhancing specific activities in alignment with the AFS discipline due to skills gained from the project (by LDC and developing countries) 	 On a scale of 1 to 5, how strongly do you agree with the following statement: "The skills gained from the C2 project have allowed my organization to initiate or enhance specific activities in alignment with the AFS disciplines(e.g., data reporting, inspections)" What specific activities has your organization initiated as a result of the capacity building provided through the Category 2 project? 	 Survey to grant recipients 	Category 2 (c), (d)
Output 6 (C2: improvements	Improved fisheries management. systems, electronic reporting	 Number of completed projects related to improvements or setup of fisheries management systems 	Type and completion date of project	EOP report	Category 2 (e)
or setup of fisheries mgmt. systems)	systems, or other monitoring tools	 Number of systems or tools that were implemented or upgraded 	 How many fisheries management systems, electronic reporting systems, and monitoring tools were implemented or upgraded? What types of changes or upgrades were conducted? (e.g., fisheries management systems, electronic 	EOP report	Category 2 (e)

Level	Result defined in the ToC	Portfolio-level indicator	Data to be collected/questions to be answered by grant recipients	Data sources	Recommended inclusion for project type	
			reporting systems, monitoring tools, other: please specify)			
Interm. outcome 4 (Immediate change as a result of output 6)	Availability of required systems and tools to enhance fisheries authorities' operational capabilities and support sustainable fisheries management	 Number of grant recipients' stakeholders reporting that they have access to the necessary tools for data collection and mgmt., e.g., for vessel monitoring (by gender and by SSF) 	 On a scale of 1 to 5, how strongly do you agree with the following statement: "We have the necessary tools and systems to carry out sustainable fisheries management." 	EOP report	Category 2 (e)	
Outcome 4 (Longer term changes as a result of interm. outcome 6)	Data collection and management systems are in place to help grant recipients monitor and report in meeting with the disciplines of the AFS	 Number of grant recipients reporting that the monitoring systems enable them to submit notifications as required in the AFS 8.1 article⁷ (regarding fisheries subsidies) 	 On a scale of 1 to 5, how strongly do you agree with the following statement: "The Category 2 project has enabled my organization to submit notifications as required in the AFS 8.1 article." 	 Notifications submitted Survey to grant recipients 	Category 2 (e)	
		 Number of grant recipients reporting that the monitoring systems enable them to submit notifications as required in the AFS 8.2 article⁸ (regarding list of vessels and operations engaging in IUU fishing) 	 On a scale of 1 to 5, how strongly do you agree with the following statement: "The Category 2 project has enabled my organization to submit notifications as required in the AFS 8.2 article." 	 Notifications submitted Survey to grant recipients 	Category 2 (e)	
Impact (cross-cutting, as a result of C1 & C2 grants)	Implementation of the disciplines of the AFS by grant recipients	 Number of grant recipients that have completed legislative or policy changes 	Not relevant	Country published legislative records/news	All projects	

⁷ Without prejudice to Article 25 of the SCM Agreement and in order to strengthen and enhance notifications of fisheries subsidies, and to enable more effective surveillance of the implementation of fisheries subsidies commitments, each Member shall (a) provide the following information as part of its regular notification of fisheries subsidies under Article 25 of the SCM Agreement12,13: type or kind of fishing activity for which the subsidy is provided; (b) to the extent possible, provide the following information as part of its regular notification of fisheries subsidies under Article 25 of the SCM Agreement: (i) status of the fish stocks in the fishery for which the subsidy is provided (e.g. overfished, maximally sustainably fished, or underfished) and the reference points used, and whether such stocks are shared14 with any other Member or are managed by an RFMO/A; (ii) conservation and management measures in place for the relevant fish stock; (iii) fleet capacity in the fishery for which the subsidy is provided; (iv) name and identification number of the fishing vessel or vessels benefitting from the subsidy; and (v) catch data by species or group of species in the fishery for which the subsidy is provided.

For LDC Members, and developing country Members with an annual share of the global volume of marine capture production not exceeding 0.8 per cent as per the most recent published FAO data as circulated by the WTO Secretariat, the notification of the additional information in this subparagraph may be made every four years.

⁸ Each Member shall notify the Committee in writing on an annual basis of a list of vessels and operators that it has affirmatively determined as having been engaged in IUU fishing

Level	Result defined in the ToC	Portfolio-level indicator	Data to be collected/questions to be answered by grant recipients	Data sources	Recommended inclusion for project type
		 Number of grant recipients that have been submitting notifications to the WTO (by LDC and developing countries) 	Not relevant	 WTO notification reports 	All projects
Long-term impact (AFS wide)	Prevention, deterrence, and elimination of IUU fishing	 Number of suspected IUU fishing vessels detected within national waters (by region and over time) Percentage of known IUU vessels intercepted or denied entry in national ports (by country and over time) Reduction in IUU fishing vulnerability score (as measured by the IUU Fishing Index) (by country) 	Not relevant	 Potential sources: Global Fishing Watch, Combined IUU Fishing Vessel List⁹, FAO Global Record¹⁰, IUU Fishing Index¹¹, RFMOs reports 	• De-prioritized for the Fish Fund
	Reduction of fishing on overfished stocks	 Percentage of overfished stocks showing improved stock health or biomass levels Reduction in catch volume of species classified as overfished (by species and country) 	Not relevant	 Potential resources: RFMO stock assessment reports, FAO's State of World Fisheries and Aquaculture (SOFIA) report, FAO FishStatJ, Sea Around Us 	
	Improvement in sustainability of marine resources	Percentage of assessed fish stocks that are within biologically sustainable levels	Not relevant	FAO SDG Indicator 14.4.1 Data	• De-prioritized for the Fish Fund

⁹ Combined IUU Fishing Vessel List, <u>TMT</u>
 ¹⁰ Global Record of Fishing Vessels, Refrigerated Transport Vessels and Supply Vessels, <u>FAO</u>
 ¹¹ <u>IUU Fishing Risk Index</u>

Level	Result defined in the ToC	Portfolio-level indicator	Data to be collected/questions to be answered by grant recipients	Data sources	Recommended inclusion for project type
		 Change in stock biomass and exploitation rate of commercially fished species Ocean health index fisheries score improvement 		Portal ¹² , RAM legacy stock assessment database ¹³ , RFMO stock assessment reports, Ocean Health Index ¹⁴	

 ¹² SDG Indicators Data Portal, <u>FAO</u>
 ¹³ <u>RAM legacy stock assessment database</u>
 ¹⁴ <u>Ocean Health Index</u>

ANNEX 1: DEFINITIONS OF TERMS

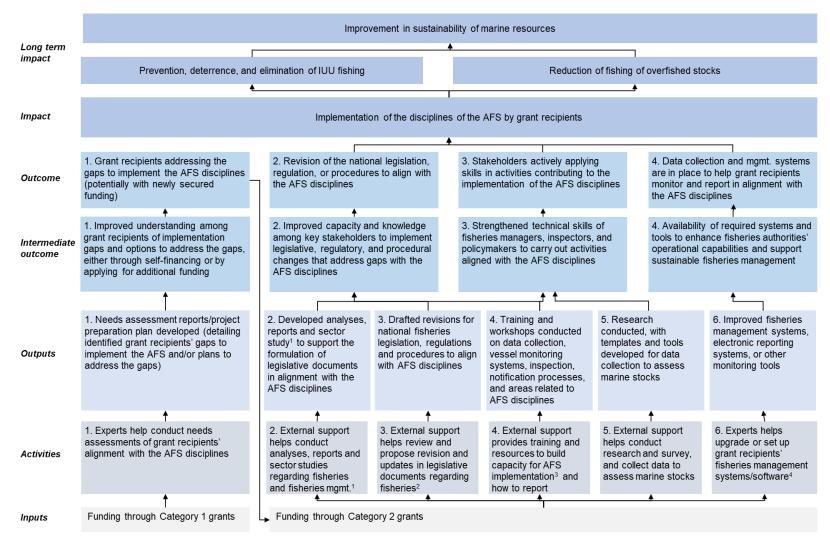
This section presents the definitions of the terms used in this document. Where possible, the definitions are taken from Fish Fund's internal documents, with sources included in the footnotes.

Term	Definition
Grant recipients	Beneficiaries of the Fish Fund include national governments, implementing partners (public or private), or a combination of both, operating in or working collaborating with a least developed country (LDC) or a developing country that is a party to the Agreement on Fisheries Subsidies (AFS)
The disciplines of the AFS	The disciplines of the AFS are detailed in the below articles:
	 Article 3: subsidies contributing to illegal, unreported and unregulated fishing
	Article 4: subsidies regarding overfished stocks
	Article 5: other subsidies
	Article 8: notifications and transparency
Category 1 projects	Funding up to a maximum of US\$ 50,000 aimed at providing quick, lower-cost support for studies and initial assessments of compliance with the disciplines contained in the Agreement on Fisheries Subsidies (AFS). This category of funding can also be used to prepare a proposal for Category II funding support. ¹⁵
Category 2 projects	Funding aimed at supporting more complex, programmatic interventions. Category II projects may be integrated into existing larger programs from other development organizations contributing to the implementation of the AFS or funded as standalone projects responding to a specific discipline of the AFS. These projects are based on prior assessments of national needs for implementing the AFS disciplines and address the identified gaps, up to a maximum of US\$ 300,000.
	Five initial types of Category 2 projects have bee identified based on Steering Committee's discussions and potential grant recipients' inputs, and WT/BFA/INF/15. Other types of support may emerge that have yet to be contemplated. Applicants may blend different types of support, so that a specific project can serve several aspects in the implementation of the AFS. ¹⁵
Category 2 project: Analysis, Report and Sector Studies	These types of projects will focus on formulating national sectoral plans, assessments, and studies related to fisheries and fisheries management, IUU fishing, and other rules of the AFS. They will assist WTO Members to formulate domestic policy and planning needed for alignment with the AFS. ¹⁵
Category 2 project: Capacity building and technical assistance	These types of project grants are aimed at enhancing skills and capabilities, through training and development, of those involved in front-line fisheries management as far as required by the AFS.
	These are projects with strong capacity development components in areas such as notifications and the usage of data collection systems, vessel monitoring systems, inspections, etc. It is expected that these initiatives will provide training and supporting resources targeted at ensuring effective training for activities identified as priorities in implementing the AFS. ¹⁵

¹⁵ Source: Categories of Projects and Funding Windows for the Fish Fund, Fish Fund

Category 2 project: Update of legislative frameworks and institutional support	This category of project grants would support WTO Members in revising and updating key legislation and legislative documents in line with the AFS.
	The main objective of these grants is to ensure that the legal and institutional frameworks governing fisheries are current, effective, and responsive to the requirements of the AFS. ¹⁵
Category 2 project: Data collection	This category encompasses project grants that will be destined towards research and data collection for assessing marine stocks and surveys, as needed to implement AFS requirements.
	These assessments are vital for understanding the current state of fish populations and enabling WTO Members to fulfill specific reporting requirements adequately. ¹⁵
Category 2 project: Improvement or setup of fisheries management system	Project grants of this type would focus on providing governments with upgrades or for setting up systems that contribute to better and more sustainable fisheries management as needed for implementation of the AFS disciplines.
	Such projects would aim to enhance the operational capabilities and efficiency of fisheries authorities. These types of upgrades would be essential for maintaining effective fisheries management and supporting compliance with regulations of the AFS.
	The Fish Fund Secretariat and core partners of the Fund can support WTO Members that require additional assistance in establishing management systems by facilitating resource mobilization and capacity building efforts. ¹⁵
Sector studies	In the context of the Fish Fund, a sector study is an analysis conducted to support the development of national plans, policies, and strategies related to fisheries management. These studies focus on areas such as illegal, unreported, and unregulated (IUU) fishing and fisheries management systems to help WTO Members identify gaps, develop policies, and align practices with the requirements of the Agreement on Fisheries Subsidies (AFS)
Legislative documents	In the context of the Fish Fund, a legislative document refers to any law, regulation, or legal framework that governs fisheries.
Implementation of legislative, procedural, and regulatory changes	The process of operationalizing new or revised laws, procedures, and regulations by establishing administrative frameworks, building institutional capacity, engaging stakeholders, mobilizing resources, enforcing compliance, and conducting periodic evaluations to ensure the intended outcomes are achieved.

ANNEX 2: FISH FUND'S THEORY OF CAHNGE



(1) These types of projects will focus on formulating national sectoral plans, assessments, and studies related to fisheries and fisheries management, IUU fishing, and other rules of the AFS.

(2) The main objective of these grants is to ensure that the legal and institutional frameworks governing fisheries are current, effective, and responsive to the requirements of the AFS.

(3) These are projects with strong capacity development components in areas such as notifications and the usage of data collection systems, vessel monitoring systems, inspections, etc

(4) Project grants of this type would focus on providing governments with upgrades or for setting up systems that contribute to better and more sustainable fisheries management as needed for implementation of the AFS disciplines

ANNEX 3: RISK MATRIX

This risk matrix identifies potential risks that could impact the Fish Fund at both the project and portfolio levels. The listed risks reflect common concerns raised by stakeholders, highlighting areas that could affect the effective delivery and desired outcomes and impact of Fish Fund grants. The Fish Fund and grant recipients should take ongoing efforts to actively manage these risks, ensuring that mitigation strategies are in place.

Table A: Dick matrix	and recommended	I mitigation strategy
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Risk	Recommended mitigation Strategy
Limited interest of LDC and developing country stakeholders in Fish Fund's grants	(Fish Fund) Make ongoing efforts to ensure that the Fish Fund's work remains relevant and targeted to the needs of grant recipients. This will involve regular engagement and consultations to understand evolving priorities, and incorporating feedback from key issues raised in learning sessions and meetings organized by the steering committees or implementing partners
Backlash or low interest due to perceived adverse social or economic impacts of subsidy removal	(Fish Fund and implementing partners) Engage with stakeholders to understand and address their concerns. Encourage governments or project implementers to include alternative livelihood measures in project designs to support affected communities and minimize risks.
Slow or ineffective policy change and legislative adoption	(WTO/Fish Fund) Engage in continuous advocacy efforts, provide technical support for drafting policies, and conduct awareness sessions for policymakers to underscore the importance of AFS disciplines. Identify key champions within government agencies who can drive and advocate for policy changes.
Unexpected regulatory changes or political instability affecting implementation	(Fish Fund and grant recipients) Build flexibility into the project design to allow for adjustments in response to regulatory or political changes. Develop contingency plans for high-risk regions and establish ongoing communication with local authorities to stay informed about potential shifts in policy or political climate
High staff turnover in key government roles	(Grant recipients) Implement succession planning by training multiple staff members within agencies and ensuring knowledge transfer. Consider periodic refresher training or workshops to update new staff on AFS disciplines and Fish Fund-supported initiatives
Limited funding or resources to sustain project outcomes post- project closure	(Fish Fund) Encourage co-funding opportunities with other donors, governmental bodies or international organizations to extend the impact of Fish Fund projects. Develop an exit strategy that includes a plan for continued funding or local resource mobilization to sustain outcomes beyond the project period

ANNEX 4: ADDITIONAL INDICATORS FOR PROJECT MANAGEMENT AND LEARNING PURPOSE

This section presents project-level indicators specifically designed to support the Secretariat in managing and monitoring Fish Fund projects effectively and for learning purposed. These indicators, captured through EOP reports and surveys, focus on understanding the performance and quality of individual projects while identifying lessons that can inform improvements across the portfolio. They are intended solely for internal use by the Secretariat to enhance project management and learning.

Level	Result defined in the ToC	Portfolio-level indicator for project management and learning purpose	Data to be collected/questions to be answered by grant recipients	Data sources	Recommended inclusion for project type
Output 1 (C1: needs assessment)	Needs assessment reports/project preparation plan	 Number of needs assessments/project preparation plan completed on time, based on a predefined timeline in the ToR¹⁶ (by country type) 	 If the project is delayed: what were the reasons for delay? 	 Project proposals EOP report	Category 1
	developed (detailing identified grant recipients' gaps to implement the AFS and/or plans to address the gaps)	 Number of complete projects meeting the quality expectations agreed in the ToR (by country type) 	 To what extent did the C1 project deliverable meet the quality standards defined in the ToR? (Likert scale, 1 = not met, 2 = partially met, 3 = mostly met, 4 = fully met, N/A = not applicable) If you score under 4: please elaborate 	EOP report	Category 1
Interm. outcome 1 (C1: needs assessment) Improved understanding among grant recipients of implementation gaps and options to address the gaps, either through self- financing or by applying for additional funding	understanding among grant recipients of	 Number of grant recipients reporting a clear understanding of their implementation gaps (by LDC and developing countries) 	If you score under 4: please elaborate	EOP report	Category 1
	 Number of grant recipients reporting a clear understanding of potential next steps to address the gaps (by options and by country type) 	• If you score under 4: please elaborate	EOP report	Category 1	

¹⁶ The Terms of Reference (ToR) mentioned here refers to the document provided by the Fish Fund as part of the grant agreement. It outlines the scope, timelines, deliverables, and specific requirements for grant recipients or project implementers to complete needs assessments or project preparation plans.

Level	Result defined in the ToC	Portfolio-level indicator for project management and learning purpose	Data to be collected/questions to be answered by grant recipients	Data sources	Recommended inclusion for project type	
(C2: sector	Developed analyses, reports and sector	 Number of projects that were delivered in time, based on a predefined timeline in the ToR 	 If the project is delayed: what were the reasons for delay? 	EOP report	Category 2 (a)	
	studies to support the formulation of	 Number of developed analyses, reports and sectors studies 	 How many analyses, reports and sector studies were developed as the deliverables of the project? 	EOP report	 Category 2 (a) 	
	legislative documents in alignment with the disciplines of the AFS	 Number of complete sectoral studies meeting the quality expectations agreed in the ToR 	 To what extent did the deliverable meet the quality standards defined in the ToR? (Likert scale, 1 = not met, 2 = partially met, 3 = mostly met, 4 = fully met, N/A = not applicable) If you score under 4: please elaborate 	EOP report	Category 2 (a)	
Output 3 (C2: update of	Drafted changes for national fisheries legislation, regulations and procedures	2: update for national fisheries islative legislation, meworks regulations and d procedures	 Number of projects that were delivered in time, based on a predefined timeline in the ToR 	 If the project is delayed: what were the reasons for delay? 	EOP report	Category 2 (b)
legislative frameworks and institutional			 Number of developed draft updates to legislation, regulations, or procedures 	 How many draft updates to legislation, regulations, or procedures were produced as the deliverables of the project? 	EOP report	Category 2 (b)
support)			 Number of complete drafted changes meeting the quality expectations agreed in the ToR 	• If you score under 4: please elaborate	EOP report	Category 2 (b)
Interm. outcome 2 (Immediate	outcome 2 capacity and	 Number of grant recipients reporting a clear understanding of the required changes of the legislative frameworks 	If you score under 4: please elaborate	EOP report	• Category 2 (a), 2(b)	
change as a result of	change as a result of output 2 and	among key stakeholders to advocate for drafted legislative changes aimed at reducing gaps with the AFS disciplines	 Number of grant recipients reporting a clear understanding of the next steps to carry out the changes 	If you score under 4: please elaborate	EOP report	• Category 2 (a), 2(b)



Level	Result defined in the ToC	Portfolio-level indicator for project management and learning purpose	Data to be collected/questions to be answered by grant recipients	Data sources	Recommended inclusion for project type
(Longer national p term laws, and changes as a result of alignment interm. the discip	Revision of the national policies, laws, and regulations in alignment with the disciplines of the AFS	 Number of grant recipients that have developed or updated laws, policies, regulations and/or procedures to ensure they do not grant or maintain subsidies to a vessel or operator engaged in IUU fishing or fishing-related activities in support of IUU fishing 	If you score under 4: please elaborate	 Survey to grant recipients 	 Category 2 (a), 2(b)
		 Number of grant recipients that have developed or updated laws, policies, regulations and /or procedures to ensure they do not grant or maintain subsidies for fishing or fishing related activities regarding an overfished stock, unless such subsidies or other measures are implemented to rebuild the stock to a biologically sustainable level 	 If you score under 4: please elaborate Which change(s) have been most important to protecting your fisheries resources? 	 Survey to grant recipients 	Category 2 (a), 2(b)
		 Number of grant recipient that have developed or updated laws, policies, regulations and /or procedures to ensure they do not grant or maintain subsidies provided to fishing or fishing related activities outside of the jurisdiction of a coastal Member or a coastal non-Member and outside the competence of a relevant RFMO/A Number of grant recipient that have developed or updated legislation, regulations and/or procedures to ensure they exercise special care and due restraint when granting subsidies to vessels not flying their Member's flag Number of grant recipients that have developed or updated legislation, regulations, and/or procedures to ensure they exercise special care and due restraint when granting subsidies to fishing or fishing- 	If you score under 4: please elaborate	Survey to grant recipients	Category 2 (a), 2(b)

Level	Result defined in the ToC	Portfolio-level indicator for project management and learning purpose	Data to be collected/questions to be answered by grant recipients	Data sources	Recommended inclusion for project type
		related activities regarding stocks whose status is unknown.			
		• Number of grant recipients reporting that the C2 project has enabled them to submit notifications as required in the AFS 8.3 ¹⁷ and 8.4 ¹⁸ article	 …If you score under 4: please elaborate Which specific notifications remain the most challenging for you to identify, value, and report? 	 Survey to grant recipients 	 Category 2 (a), 2(b)
Output 4 (C2: workshops capacity conducted on building and data collection, technical vessel assistance) monitoring systems, inspection, notification processes and areas related to AFS disciplines	• Number of projects that were delivered in time, based on a predefined timeline in the ToR (by country type)	• If the project is delayed: what were the reasons for delay?	EOP report	Category 2 (c)	
	vessel monitoring systems, inspection, notification processes and	Number of developed training documents meeting the quality expectations agreed in the ToR	 To what extent did the deliverable meet the quality standards defined in the ToR? (Likert scale, 1 = not met, 2 = partially met, 3 = mostly met, 4 = fully met, N/A = not applicable) If you score under 4: please elaborate 	EOP report	Category 2 (c)
		 Number of complete training sessions and workshops meeting the quality expectations agreed in the ToR 	If you score under 4: please elaborate	EOP report	Category 2 (c)
(C2: data collection) conducte tools dev for data	Research conducted, with	Number of projects that were delivered in time, as per target date in the ToR	• If the project is delayed: what were the reasons for delay?	EOP report	Category 2 (d)
	tools developed	 Number of research studies/templates and tools completed 	 How many research studies were developed? How many templates and tools were developed? 	EOP report	Category 2 (d)

¹⁷ Each Member shall, within one year of the date of entry into force of this Agreement, inform the Committee of measures in existence or taken to ensure the implementation and administration of this Agreement, including the steps taken to implement prohibitions set out in Articles 3, 4 and 5. Each Member shall also promptly inform the Committee of any changes to such measures thereafter, and new measures taken to implement the prohibitions set out in Article 3.

¹⁸ Each Member shall, within one year of the date of entry into force of this Agreement, provide to the Committee a description of its fisheries regime with references to its laws, regulations and administrative procedures relevant to this Agreement, and promptly inform the Committee of any modifications thereafter. A Member may meet this obligation by providing to the Committee an up-to-date electronic link to the Member's or other appropriate official web page that sets out this information.

Level	Result defined in the ToC	Portfolio-level indicator for project management and learning purpose	Data to be collected/questions to be answered by grant recipients	Data sources	Recommended inclusion for project type
	assess marine stocks		 Please specify the main theme of the research study or the types of templates and tools (e.g., survey) 		
		 Number of complete research studies/ templates and tools meeting the quality expectations agreed in the ToR 	 To what extent did the deliverable meet the quality standards defined in the ToR? (Likert scale, 1 = not met, 2 = partially met, 3 = mostly met, 4 = fully met, N/A = not applicable) If you score under 4: please elaborate 	EOP report	Category 2 (d)
	ate fisheries s a managers, inspectors, and and policymakers to	 Percentage of trained staff reporting that training equipped them with the skills to implement the disciplines of the AFS (by gender, by SSF, by country and by region) 	 If you score under 4: please elaborate The AFS discipline(s) for which the training provided the most support or benefit were: (please fill in text): Our largest unmet training need now is (please fill intext): 	EOP report	 Category 2 (c), (d)
output 5)		• Number of grant recipients reporting that the research studies improve their understanding of the current state of fish populations in the scope of the project	If you score under 4: please elaborate	EOP report	 Category 2 (c), (d)
term skills in activiti changes as a contributing to result of the interm. implementation	actively applying skills in activities contributing to the	 Number of grant recipients reporting improvements in their organization's capacity to meet AFS requirements as a result of applying skills acquired through training 	If you score under 4: please elaborate	 Survey to grant recipients 	 Category 2 (c), (d)
	of the disciplines	 Number of grant recipients reporting initiating or enhancing specific activities in alignment with the AFS disciplines due to skills gained from the project (by country income level) 	If you score under 4: please elaborate	 Survey to grant recipients 	 Category 2 (c), (d)
Output 6 (C2: improvemen	Improved fisheries management.	 Number of projects that were delivered in time, based on a predefined timeline in the ToR 	 If the project is delayed: what were the reasons for delay? 	EOP report	Category 2 (e)

F/SH FUND

Level	Result defined in the ToC	Portfolio-level indicator for project management and learning purpose	Data to be collected/questions to be answered by grant recipients	Data sources	Recommended inclusion for project type
ts or setup of fisheries mgmt. systems)	systems, electronic reporting systems, or other monitoring tools	 Number of systems or tools that were implemented or upgraded 	 How many fisheries management systems, electronic reporting systems, and monitoring tools were implemented or upgraded? What types of upgrades were conducted? (e.g., fisheries management systems, electronic reporting systems, monitoring tools, other: please specify) 	• EOP report	Category 2 (e)
		 Number of complete systems or tools meeting the quality expectations agreed in the ToR (by country income level and region) 	 To what extent did the systems or tools meet the quality standards defined in the ToR? (Likert scale, 1 = not met, 2 = partially met, 3 = mostly met, 4 = fully met, N/A = not applicable) If you score under 4: please elaborate 	EOP report	Category 2 (e)
Interm. outcome 4 (Immediate change as a result of output 6)	Availability of required systems and tools to enhance fisheries authorities' operational capabilities and support sustainable fisheries management	 Number of grant recipients' stakeholders reporting that they have access to the necessary tools for data collection and mgmt., e.g., for vessel monitoring (by gender and SSF) 	 How did the upgrades and changes help you improve your capacity to implement the disciplines of the AFS? Please provide a short answer. 	• EOP report	Category 2 (e)
Outcome 4 (Longer term changes as a	Data collection and management systems are in place to help	 Number of grant recipients reporting that the monitoring systems enable them to submit notifications as required in the AFS 8.1 article¹⁹ (regarding fisheries subsidies) 	 If you score under 4: please elaborate What is the most significant unmet need you face in implementing the disciplines of the AFS? 		Category 2 (e)

¹⁹ Without prejudice to Article 25 of the SCM Agreement and in order to strengthen and enhance notifications of fisheries subsidies, and to enable more effective surveillance of the implementation of fisheries subsidies commitments, each Member shall (a) provide the following information as part of its regular notification of fisheries subsidies under Article 25 of the SCM Agreement12,13: type or kind of fishing activity for which the subsidy is provided; (b) to the extent possible, provide the following information as part of its regular notification of fisheries subsidies under Article 25 of the SCM Agreement: (i) status of the fish stocks in the fishery for which the subsidy is provided (e.g. overfished, maximally sustainably fished, or underfished) and the reference points used, and whether such stocks are shared14 with any other Member or are managed by an RFMO/A; (ii) conservation and management measures in

Level	Result defined in the ToC	Portfolio-level indicator for project management and learning purpose	Data to be collected/questions to be answered by grant recipients	Data sources	Recommended inclusion for project type
result of interm. outcome 6)	grant recipients monitor and report in meeting with the disciplines of the AFS			 Survey to grant recipients 	
		 Number of grant recipients reporting that the monitoring systems enable them to submit notifications as required in the AFS 8.2 article²⁰ (regarding list of vessels and operations engaging in IUU fishing) 	 If you score under 4: please elaborate What is the most significant unmet need you face in implementing the disciplines of the AFS? 	 Notifications submitted Survey to grant recipients 	 Category 2 (e)

place for the relevant fish stock; (iii) fleet capacity in the fishery for which the subsidy is provided; (iv) name and identification number of the fishing vessel or vessels benefitting from the subsidy; and (v) catch data by species or group of species in the fishery for which the subsidy is provided.

For LDC Members, and developing country Members with an annual share of the global volume of marine capture production not exceeding 0.8 per cent as per the most recent published FAO data as circulated by the WTO Secretariat, the notification of the additional information in this subparagraph may be made every four years.

²⁰ Each Member shall notify the Committee in writing on an annual basis of a list of vessels and operators that it has affirmatively determined as having been engaged in IUU fishing