

**Project Evaluation Series**

**Terminal evaluation of the project  
“Improving forest and protected area  
management in Trinidad and Tobago”**

**Project code: GCP/TRI/003/GFF  
GEF ID: 4769**

**Annex 1. Terms of Reference**

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## **Acronyms and abbreviations**

DNRE	Department of Natural Resources and the Environment
FLO	Funding liaison officer
FPA	Forestry and Protected Areas
FPMIS	Field Project Management Information System
MEWR	Ministry of the Environment and Water Resources
MIS	Management information system
OPF	Operational focal point
PA	Protected area
THA	Tobago House of Assembly
T&T	Trinidad and Tobago

# 1. Background and context of the project

1. An estimated 60 percent of the land area of Trinidad and Tobago (T&T) is under forests and other wooded land. Managing biodiversity therein to provide national and global benefits to human societies is therefore relevant, especially when their sustainable supply is under constant threat. In addition, forests serve as carbon sinks which is relevant to TT because it is a high per-capita greenhouse gas emitter.
2. Even though forests have been formally reserved since 1764, apart from their declaration as protected areas (PAs) under multiple laws, efforts to manage biodiversity remain fragmentary and ineffective. This has resulted in multiple designations of the same PAs with a fragmented responsibility for their management. Similarly, multiple pressures from diverse stakeholders and rapid economic growth have put pressure on forests and other natural areas and posed risks to biodiversity conservation. Loss of habitats and conflicting interests of various stakeholders have led to a decline in wildlife population in many natural areas, threatening the existence of many globally and nationally important species in both terrestrial and marine ecosystems.
3. At the time of project design, the Government had initiated policy reforms needed to prevent biodiversity loss and increase the management effectiveness of PAs. As a result of this initiative, new PA and Forest policies have been in place since 2011. In addition, a new National Wildlife Policy was in progress which will complement policy interventions driven by the Forest and PA policies. The Green Fund has already begun funding PA management through State Agencies and civil society organizations, while the European Union was providing budget support assistance for the implementation of both Forestry and Protected Areas Policies.
4. As per the new PA policy, restructuring the Forestry Division (the agency responsible for managing most of the PAs) to an autonomous authority was planned. Also, enhancing management effectiveness, institutionalising new financing strategies and developing management arrangements in pilot PAs. This GEF-FAO project was conceived with the objective to support this process.

## 1.1 Description of project, project objectives and components

5. The overall project **goal** was to conserve globally important biodiversity and ecosystems in Trinidad and Tobago. The project **objectives** are to facilitate the development of a new system of PAs, consistent with the country's policy, by:
  - i. proposing a new PA system for conservation of biodiversity;
  - ii. increasing management effectiveness of PAs;
  - iii. increasing capacity for sustainable financing of PAs management.
6. These specific objectives were planned to be met by parallel actions on the ground, within the six model PAs and at a PA-systems level. In the former case, the project planned to showcase the application of enhanced mechanisms for stakeholder engagement and co-management; provide resources and capacity-building for all civil society and state stakeholders. In the latter case, the project was to provide the technical support for the design of the new system-level PA by developing the national gap analysis for PAs,

proposing models for co-management and mechanisms for improving sustainable financing conservation at the pilot PAs.

7. By project end it was expected to reach the following outcomes:
  - i. PA system covering at least 214 000 ha consolidated and 98 452 ha formally designated as new PAs.
  - ii. Management of six pilot PAs improved and biodiversity conservation of unprotected species strengthened in these sites.
  - iii. Resources, PA staff capacity and infrastructure needed for effective PA management built in six pilot PAs.
  - iv. A sustainable financing system developed for long-term management of the PA system and a Forestry and Protected Areas (FPA) fund established.
  - v. New revenue generating mechanisms reduce annual funding gap by at least USD 100 000 for management of PA system.
  - vi. Results-based management and effective communication to stakeholders that ensures delivery of outputs and sustainability of outcomes.
8. The box below provides basic project information including the financing plan.

**Box 1: Basic project information**

GEF Project ID Number: 4769 Recipient country: Trinidad and Tobago Implementing Agency: FAO Executing Agency: Forestry Division, Ministry of Environment and Water Resources (MEWR) <sup>1</sup> ; Department of Natural Resources and Environment, Marine Resources and Fisheries Department (MRFD), Tobago House Assembly (THA); and civil society groups. GEF Focal Area: BD GEF Strategy/operational programme: BD1 – Improve sustainability of Protected Area Systems Date of project start: June 2015 Initial date of project completion (original NTE): April 2014 Revised project implementation end date: May 2020 Date of mid-term evaluation: July 2017	
GEF allocation: Co-financing: GORTT: The Green Fund: The European Union: FAO: Subtotal co-financing: <b>Total Budget:</b>	USD 2 790 000  USD 2 271 662 USD 22 563 078 USD 2 135 334 USD 750 000 USD 27 720 074 <b>USD 30 510 074</b>

9. A mid-term review (MTR) was conducted in July 2017; it assessed the project’s progress towards results with a view of providing implementing partners and other key stakeholders with recommendations on the way forward. It concluded that:
  - i. The project is as relevant to the country’s international commitments, national vision and priorities as when it was conceived and possibly more so, given TT’s subsequent commitment to the Paris Agreement on Climate Change and the Sustainable Development Goals, and the focus on diversification of the economy as a result of

<sup>1</sup> Now the Environmental Policy and Planning Division, Ministry of Planning and Development.

declining oil and gas revenue. However, more needs to be done to raise the awareness of policy, and decision-makers to the triple bottom line benefits of biodiversity conservation in general and of the project specifically.

- ii. FAO remains in a strong position to implement the project effectively and to use its 'brand' and influence to leverage additional political, technical and financial support. However, the Project Coordination Unit (PCU) needs to manage its human resources more strategically in order to achieve an efficient balance between policy influence, increasing the pace of implementation, assuring the quality of outcomes and maximizing the potential for sustainability. If used strategically, the additional support from staff in the newly-established FPA Management Unit could contribute to increased PCU efficiency.
- iii. Even with increased emphasis on policy influence, it is unlikely that the Forest and PA legislation, the FPA Management Authority, the FPA Fund, a gazetted PA Systems Plan and the formal designation of the six pilot PAs will be in place by the project end date; all adaptive actions should therefore be based on this assumption.
- iv. FAO/PCU has taken useful adaptive action in response to the challenges and changes in the external context. However, more adaptive steps need to be taken to increase the effectiveness of project communications, implementation and sustainability.
- v. Monitoring and evaluation is taking place in line with the M&E Plan. However, this has not yet stimulated the extent of remedial action that is needed to ensure activities can be completed within the proposed timeframe. Participatory M&E is largely confined to the Project Steering Committee (PSC), with the exception of the recent Lessons Learned workshop to which pilot PA Sub-committee members were invited. Consequently, many project stakeholders seem unaware of the full scope of the project or progress towards results and no in-depth analysis of the findings of the annual PA management evaluations has been conducted with the pilot PA Subcommittee.
- vi. The range of communications and dissemination channels used to date has been inadequate to foster project awareness, buy-in and support from stakeholders at national and local level. The findings of the Knowledge, Attitudes and Practice surveys in relation to community stakeholders' communication preferences appear insufficient to determine the most cost-effective products and pathways, so additional data needs to be collected.
- vii. Where the results framework envisages that activities will be rolled out initially in just two pilot PAs (e.g. development of business plans, identification of new areas for restoration), the Matura and Main Ridge pilot PAs offer the greatest potential to act as the pilot sites.
- viii. A sustainable financing strategy is critical to sustainability, even though it is unlikely to take the form of an FPA fund as originally envisaged. The Results Framework for Output 3.2.2 Strategic plan for sustainable financing produced identifies important deliverables in both Years 1 and 2 that have not been initiated but should now be prioritised.
- ix. Although it may still be feasible to achieve the revised project outputs by the proposed project end date of May 2019, this could compromise the effectiveness, gender sensitivity and equity of the participatory processes and, by extension, sustainability. A one-year no-cost extension could address these concerns and ensure that the Forest, PA and Wildlife Bill is enacted during the project timeframe. This would clarify what

laws and institutional structures will be in place post-project and therefore help to refine the strategies needed to ensure post-project sustainability.”

10. The mid-term review formulated several recommendations to address the above issues (see Appendix 1), including the revision of the results framework. The June 2019 Project Implementation Report (PIR) noted “that the project was redesigned at the midterm (June 2017)”, and that “this translated into two key variables being introduced. First, instead of working with one entity in one Ministry for implementation, the PCU now has to work with over ten governmental entities to implement project activities. This has consumed considerable time to liaise with these organisations and execute activities. Also, the Government had indicated that they would reorganize the Forestry Division to aid in the implementation of the project and to build the capacity of the Division. However, to date there has been no substantial change. Second, two activities were added in the redesign: i) A socioeconomic assessment, which had not been included in the initial project design; ii) The management information system (MIS), initially listed as co-funding. Funds did not materialize and the Government requested that the MIS be covered with project resources. Both of these activities required considerable time to mobilise expertise and related resources to execute.”

## **1.2 Project stakeholders and their role**

11. The Project document outlines the following partners in the project implementation structure:
  - i. FAO as the GEF Agency responsible for supervision and provision of technical guidance during the implementation of the project.
  - ii. The FAO representative Trinidad and Tobago to be the budget holder (BH) for the project’s GEF resources.
  - iii. Ministry of the Environment and Water Resources (MEWR), through the Forestry Division<sup>2</sup> until the FPA Management Authority is established, and Tobago House of Assembly (THA), through its Department of Natural Resources and the Environment (DNRE) and Marine Resources and Fisheries Department, to be the main executing partners.
  - iv. A PCU, hosted by MEWR, to support the day-to-day management, coordination and monitoring of project activities.
  - v. A multi-stakeholder project steering committee (PSC) to guide and oversee implementation of the project.
  - vi. The subregional forestry officer for the Caribbean as lead technical officer (LTO).
  - vii. The forest economics team of FAO Forestry Dept as lead technical unit (LTU).
  - viii. A technical advisory group chaired by FAO with representatives of relevant technical institutions and other resource partners involved in similar projects.
  - ix. The GEF coordination unit in the Investment Centre Division as funding liaison office (FLO) to review and approve project progress reports, annual project implementation reviews (PIRs), financial reports and budget revisions. This unit is also designated to participate in the midterm review and the development of corrective actions to mitigate eventual risks affecting the timely and effective implementation of the project.

<sup>2</sup> Now the Environmental Policy and Planning Division, Ministry of Planning and Development.

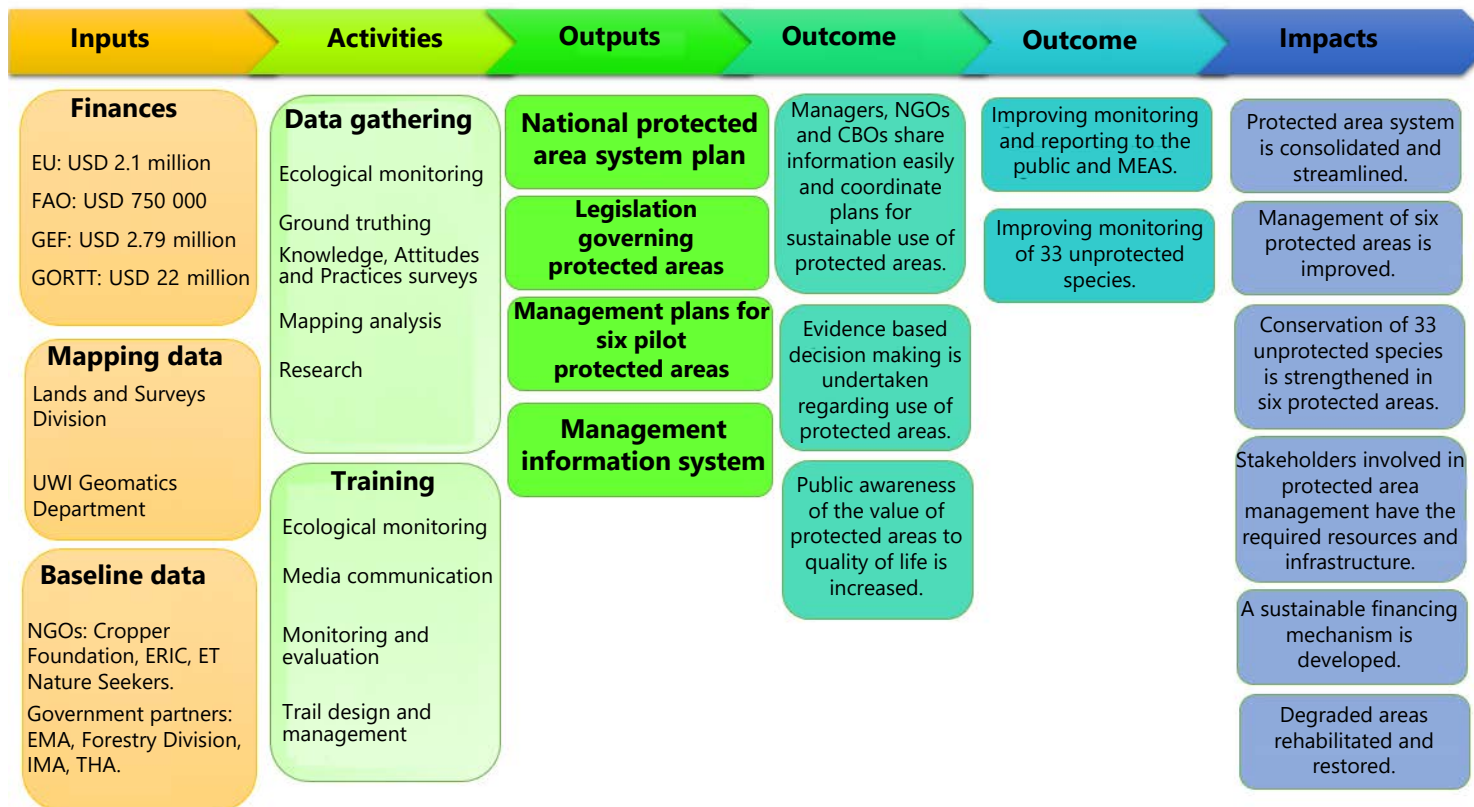


12. The June 2019 PIR provides a list of over 200 stakeholder organizations involved during the project life. It includes a range of government and non-governmental actors which collaborated in several formal and informal ways during project implementation, such as members of the steering committee; subcommittees; communication working groups; participants in training in interpretive trail design and maintenance; sustainable wildlife harvesting campaign; conservation objective consultations and lessons learned workshops; Fruits and Seeds of the Forest Exhibition; primary school teachers workshop; livelihood clinic; enforcement officers workshop and mock trials; management planning, socioeconomic study and Thrills of Trinity Hills.

### **1.3 Theory of change**

13. The mid-term review noted that the *"Project Document does not articulate an explicit theory of change (ToC) but its Results Framework provides the basis for inferring one and was used as such when the CTA presented the project ToC at the Lessons Learned workshop in February 2017"*. Furthermore, *"The logic of the Results Framework/ToC appears sound but, as noted above, the expectation that legislation for forests, wildlife and PA management and the FPA Management Authority would be in place by year 2 proved unfounded, rendering some of the outcomes and outputs difficult or impossible to achieve by the end of the project."*
14. The June 2019 PIR includes a results chain for the project (see figure below) which will be used by the terminal evaluation team as a reference for their analysis. The PIR also provides the latest information on progress towards the agreed results, as per the original results framework (see Appendix 2).

**Results chain for Improving Forest and Protected Area Management in Trinidad and Tobago project**



Source: Mid-term review - Improving forest and protected area management in Trinidad and Tobago (IFPAMTT) project, 2017

## **2. Evaluation purpose and scope**

15. The evaluation's main purpose is to provide accountability to the government, FAO management and the GEF (donor) on the achievements of the project. Being a terminal evaluation, the assessment will focus on the results achieved, although it will also review specific aspects requested by the donor.
16. The evaluation will cover all the activities undertaken by the project, with particular attention to the progress made since the mid-term review (i.e., from July 2017 to date). In scoping and during the implementation of the evaluation, key stakeholders of the project will be involved, such as the members of the project steering committee including representatives from the government (Ministry of Planning and Development, THA/DNRE), FAO (Country Office, PCU, LTO, FLO) and co-funding agencies (Green Fund and the European Union).

### 3. Evaluation criteria and questions

17. Although focused on results, the evaluation will also seek to assess a set of performance-related issues deriving from the donor’s evaluation criteria. For some criteria, a rating is required by the GEF Evaluation Office (see rating descriptors in Appendix 3). Box 1 below provides the list of questions that will guide the work of the evaluation team, grouped by evaluation criteria.

#### Box 2: Evaluation criteria and questions

<p><b>1) Relevance</b> (rating required)</p>	<p>Were the project outcomes congruent with the GEF focal areas/operational programme strategies, country priorities and FAO Country Programming Framework?</p> <p>Was the project design appropriate for delivering the expected outcomes?</p> <p>Has there been any change in the relevance of the project since its design, such as new national policies, plans or programmes that affect the relevance of the project objectives and goals?</p>
<p><b>2) Effectiveness</b> (rating required)</p>	<p>To what extent have project objectives been achieved, and were there any unintended results?</p> <p>To what extent did the project actual outcome commensurate with the expected outcomes?</p> <p>To what extent can the attainment of results be attributed to the GEF-funded component?</p>
<p><b>3) Efficiency</b> (rating required)</p>	<p>(implementation) To what extent did FAO deliver on project identification, concept preparation, appraisal, preparation, approval and start-up, oversight and supervision? How well risks were identified and managed?</p> <p>(execution) To what extent did the executing agency effectively discharge its role and responsibilities related to the management and administration of the project?</p> <p>To what extent has the project been implemented efficiently, cost-effectively, and management been able to adapt to any changing conditions to improve the efficiency of project implementation?</p>
<p><b>4) Sustainability</b> (rating required)</p>	<p>What is the likelihood that the project results will continue to be useful or will remain even after the end of the project?</p> <p>What are the key risks which may affect the sustainability of the project benefits?</p>
<p><b>5) Factors affecting performance</b></p>	<p><b>Monitoring and Evaluation</b></p> <p>(M&amp;E design) Was the M&amp;E plan practical and sufficient?</p>

<p>(rating required)</p>	<p>(M&amp;E implementation) Did the M&amp;E system operate as per the M&amp;E plan? Was information gathered in a systematic manner, using appropriate methodologies?</p> <p>Was the information from the M&amp;E system appropriately used to make timely decisions and foster learning during project implementation?</p> <p><b>Stakeholder engagement</b></p> <p>Were other actors, such as civil society, indigenous population or private sector involved in project design or implementation, and what was the effect on the project results?</p>
<p><b>6) Environmental and social safeguards</b></p>	<p>To what extent were environmental and social concerns taken into consideration in the design and implementation of the project?</p>
<p><b>7) Gender</b></p>	<p>To what extent were gender considerations taken into account in designing and implementing the project? Was the project implemented in a manner that ensures gender equitable participation and benefits?</p>
<p><b>8) Co-financing</b></p>	<p>To what extent did the expected co-financing materialize, and how short fall in co-financing, or materialization of greater than expected co-financing affected project results?</p>
<p><b>9) Progress to Impact</b></p>	<p>To what extent may the progress towards long-term impact be attributed to the project?</p> <p>Was there any evidence of environmental stress reduction and environmental status change, or any change in policy/legal/regulatory framework?</p> <p>Are there any barriers or other risks that may prevent future progress towards long-term impact?</p>
<p><b>10) Knowledge management<sup>3</sup></b></p>	<p>How is the project assessing, documenting and sharing its results, lessons learned and experiences?</p> <p>To what extent are communication products and activities likely to support the sustainability and scaling-up of project results?</p>

<sup>3</sup> See for reference: Stocking, M. et al. 2018. Managing knowledge for a sustainable global future. Scientific and Technical Advisory Panel to the Global Environment Facility. Washington, DC (2018).

## 4. Methodology

18. The evaluation will adhere to the United Nations Evaluation Group Norms & Standards (UNEG, 2017) and be in line with FAO Office of Evaluation's (OED) Manual and GEF guidelines. The evaluation will adopt a consultative approach with internal and external stakeholders throughout the evaluation process. Triangulation of evidence and information gathered will underpin the elaboration of findings, conclusions and recommendations.
19. The evaluation will be carried out following a mixed-method approach, whereby data will be collected using an array of tools such as field observations, semi-structured interviews, focus groups and stakeholder surveys. The sample of stakeholders that will be interviewed as well as the field visits will be identified with the support of FAO (PCU, LTO, FLO) and other key stakeholders (Government, co-funding partners), and aimed at providing sufficient evidence for responding to the evaluation questions.
20. With respect to field visits, the evaluation team may visit project sites in both Tobago and Trinidad to observe first-hand the status of pilot PAs and meet with key stakeholders (such as the pilot PA subcommittee members, local partners, beneficiaries and Government authorities). Besides, they will hold meetings with the PSC and individual meetings with Government Ministers, Permanent Secretaries, Managing Director of the EMA, etc.
21. The evaluation team will be provided with relevant project documentation (see Appendix 5) to conduct a desk review, which will serve as a basis for developing context-specific evaluation sub-questions, as well as protocols for the semi-structured interviews, focus groups and surveys.
22. The evaluation team will submit an inception report identifying the sub-questions, protocols and field visits that will be carried out during the evaluation, based on the desk research and the suggestions made by FAO and other key stakeholders.

## 5. Roles and responsibilities

23. This section describes the different roles that key stakeholders play in the design and implementation of the evaluation.
24. The **OED**, in particular the evaluation manager develops the first draft ToR *with inputs from the project task force (PTF) including the budget holder (BH), LTO, and the FLO*. The evaluation manager is responsible for the finalization of the ToR and for the selection of the evaluation team members.<sup>4</sup> OED has the responsibility of following up with the BH for the timely preparation of the Management Response.
25. The **BH** is responsible for initiating the evaluation process. Together with the project **LTO**, they assist the evaluation manager in drafting the ToR, in the identification of potential consultants and in the organization of the missions. The BH will arrange for the provision to the evaluation team of all the relevant project-related documents (see Appendix 5). The BH is also responsible for sharing the report with the GEF Operational Focal Point, the execution partner, the project team and national partners and for leading and coordinating the preparation of the FAO management response and the follow-up Report, fully supported in this task by the LTO and others members of the project task force. OED guidelines for the management response and the Follow-up Report provide necessary details on this process.
26. The **GEF Coordination Unit (in particular the FLO)** provides inputs to the first version of the Terms of Reference, especially the description of the background and context chapter, and support the evaluation team during its work. They are required to meet with the evaluation team, make available information and documentation as necessary, and comment on the terms of reference and draft reports.
27. The country level **GEF Operational Focal Point (OPF)**. According to the GEF Evaluation Policy (2019), Minimum Requirement 4 (Engagement of Operational Focal Points), "the OPF will be informed of midterm reviews and terminal evaluations and will, where applicable and feasible, be briefed and debriefed at the start and at the end of evaluation missions. They will receive a draft report for comment, will be invited to contribute to the management response (where applicable), and will receive the final evaluation report within 12 months of project or programme completion". "The GEF OPFs play a key role in facilitating access to staff members of government institutions involved in GEF projects during evaluations. They may promote the use of, follow-up to, and action on evaluation recommendations related to GEF matters and directed at the regional, national, and project levels. They also play an important role in keeping national stakeholders (including the civil society organizations involved in GEF activities) fully consulted with, informed on, and involved in the plans, conduct, and results of country-related GEF evaluation activities".
28. The **evaluation manager** shall brief the evaluation team on the evaluation methodology and process and will review the final draft report for quality assurance purposes in terms of presentation, compliance with the ToRs and timely delivery, quality, clarity and

<sup>4</sup> The responsibility for the administrative procedures for recruitment of the team, will be decided on a case-by-case basis.

soundness of evidence provided and of the analysis supporting conclusions and recommendations in the evaluation report.

29. The **evaluation team** is responsible for further developing and applying the evaluation methodology, for conducting the evaluation, and for producing the evaluation report. All team members, including the evaluation team leader, will participate in briefing and debriefing meetings, discussions, field visits, and will contribute to the evaluation with written inputs for the final draft and final report. The evaluation team will agree on the outline of the report early in the evaluation process, based on the reporting outline provided in this ToR. The evaluation team is fully responsible for its report which may not reflect the views of the Government or of FAO. An evaluation report is not subject to technical clearance by FAO although OED is responsible for quality assurance of all evaluation reports.
  
30. The **evaluation team leader** guides and coordinates the evaluation team member(s) in their specific work, discusses their findings, conclusions and recommendations and prepares the final draft and the final report, consolidating the inputs from the team members with his/her own.



## **6. Evaluation team composition and profile**

31. The evaluation will be carried out by a team with a combined\_experience in and/or knowledge of:
  - i. Evaluation of GEF projects.
  - ii. Natural resource management in tropical areas, and protected areas.
  - iii. Trinidad and Tobago's environmental and development context.
  - iv. Gender equity and indigenous rights.
  - v. FAO's programmes and procedures.
32. The evaluation team will be composed of a senior team leader and a team member with complementary expertise; in performing their work, the team will demonstrate sensitivity to customary and cultural aspects influencing project performance.
33. The evaluators will be supervised by the OED evaluation manager, and undertake the evaluation as per the present ToR and according to the methodology included in the inception report. The evaluators should not have been involved in designing, executing or advising any aspect of the project under evaluation, and should abide by the UN code of conduct for evaluators in particular regarding their impartiality and professionalism.

## 7. Evaluation products (deliverables)

34. This section describes the key evaluation products the evaluation team will be accountable for producing.
- i. **Inception report:** an inception report should be prepared by the evaluation team before going into the fully-fledged data collection exercise. It should detail the evaluators' understanding of what is being evaluated and why, showing how each evaluation question will be answered by way of: proposed methods, proposed sources of data and data collection procedures. The inception report should include a proposed schedule of tasks, activities and deliverables, a stakeholder analysis and the final evaluation matrix.
  - ii. **Zero draft evaluation report:** a clear, concise (40-50 pages excluding appendices and annexes), professionally-written and high-quality draft evaluation report is expected. It should be written in English and in accordance with the FAO Style of Writing. For reference, samples of FAO evaluation reports can also be accessed at <http://www.fao.org/evaluation/library/>. The zero draft should be sent by the evaluation team to OED for comments, peer review and clearance, and will then be circulated by OED for comments to internal and external stakeholders (BH, FLO, LTO, GCU, project team, executing partner, PSC members, key project partners).
  - iii. **Final evaluation report:** this is the result of the incorporation of comments received on the zero draft. The final report will be submitted by OED to all the stakeholders, and will be revised by an editor and graphic designer, before publication on OED website.
    - The evaluation report should be prepared in MS Word Format and submitted electronically by the ETL to OED.
    - Supporting Evidence – Electronic or hard copies of the survey data and report, minutes or notes of interviews and discussions, and other sources of the primary data/information collected by the evaluation team and used in the report should be sent to OED. Sources of secondary data/information used in the report should be cited in the footnotes and included in the list of documents reviewed which is appended in the evaluation report.
    - The evaluation report should include an executive summary and illustrate the evidence found that responds to the evaluation questions listed in the ToR. The executive summary should include the following paragraphs, in order to update the GEF Portal: i) Information on Progress, challenges and outcomes on stakeholder engagement; ii) Information on Progress on gender-responsive measures; iii) information on knowledge activities / products.
    - Evaluation reports should have numbered paragraphs, following the GEF OED reporting outline (see *Appendix 4*). Supporting data and analysis should be annexed to the report when considered important to complement the main report.
    - The evaluation report should include the GEF Rating table:<sup>5</sup>

<sup>5</sup> See Appendix 3 for more information on GEF ratings

FAO - GEF Rating Scheme	Rating
Overall relevance of the project	HS→HU
Overall assessment of project results	HS→HU
Outcome 1	HS→HU
Outcome 2	HS→HU
Outcome 3	HS→HU
Overall quality of project implementation & adaptive management (implementing agency)	HS→HU
Quality of execution (executing agencies)	HS→HU
Efficiency (incl. cost effectiveness and timeliness)	HS→HU
Overall sustainability	L→U
Overall quality of stakeholder engagement	HS→HU
Overall quality of M&E	HS→HU
M&E design at project start up	HS→HU
M&E plan implementation	HS→HU

## 8. Evaluation timeframe

35. This section lists and describes all tasks and deliverables for which evaluators or the evaluation team will be responsible and accountable, as well as those involving the evaluation manager, indicating for each the due date or time-frame, as well as who is responsible for its completion.

Task	Period	Responsibility
ToR preparation	By December 2020	Evaluation manager, LTO, FLO and GCU & Government and co-funding partners
ToR finalization	By January 2020	Evaluation manager
Team identification and recruitment	By January 2020	Evaluation manager
Travel arrangements and organization of the agenda/travel itinerary in the country for the field mission	By February 2020	Evaluation manager, project team/CO and evaluation team
Reading background documentation	By February/March 2020	Evaluation team
Briefing of evaluation team	Early March 2020	Evaluation manager, GCU, LTO, FLO & Government and co-funding partners
Inception report	Early March 2020	Evaluation team
Data collection	Late March 2020-Early April 2020	ET with support of EM and PMU/CO
Production of first draft for OED review	May 2020	Evaluation team
Circulation of first draft for comments	Early June 2020	Evaluation manager
Integration of comments and production of the final report	Late June 2020	Evaluation team
Circulation of final report and publication	July 2020	Evaluation manager
Management Response (MR)	1 month after the Final report is issued	BH
Follow-up report on TE	6 months after the MR is issued	BH

## Appendix 1. Recommendations of the mid-term review

**Recommendation 1 (to PCU).** Prioritize the participatory development and implementation of a national communication/policy advocacy strategy to highlight the relevance of the project and its wider objectives to the country's international commitments and national policies and priorities. Explore avenues for engaging more senior technocrats directly in the project and consider leveraging the resources of the Communication for Development team in the FAO Office for Partnerships, Advocacy and Capacity Development.

**Recommendation 2 (to PCU).** Piggyback on the stakeholder identification and engagement processes currently taking place under the various consultancies to fill gaps in the KAP survey methodology (detailed communication preferences of different community level target audiences) that are a prerequisite for identifying cost-effective products and dissemination channels.

**Recommendation 3 (to PCU, PSC, LTO).** Use the Matura and Main Ridge pilot PAs as the pilot/demonstration sites where it is envisaged that activities will start in just 2 PPAs. This should raise the project's profile in both islands and serve as the basis for tailored approaches in the other pilot PAs, based on lessons learned and identification of the enabling factors and challenges. Consider piloting other activities, such as the funding and infrastructure gap analyses, management plans and pilot PA-specific capacity building in these two pilot PAs.

**Recommendation 4 (to PCU/LTO/PSC).** Prioritize the development of the ToR(s) and selection of consultants for the assessment of funding gaps for all pilot PAs and the development of sustainable financing strategies.

**Recommendation 5 (to PCU/PSC).** Share the GEF BDTT mid-term ratings with the respective PPASCs for validation. If this review confirms the current variability in management score improvements, hold a PSC meeting (including all those who did the ratings) to assess and document what factors have led to improvements and what lessons can be learned and applied for the remainder of the project. Initiate a participatory review with each PPASC of the annual PA management evaluations to confirm the validity of the data and, if the wide variations in opinions prove to be accurate, to explore these in more depth.

**Recommendation 6 (to PCU/LTO/PSC).** Review and revise the proposed activities relating to gender sensitivity to include an assessment of the capacity gaps and needs, with a view to providing training as soon as possible on implementing gender sensitive projects and activities. The training should be based on GEF and FAO guidelines and materials and model gender-sensitive and gender-inclusive processes and activities. Consider the potential for including a 'training of trainers' component so that project stakeholders, rather than a consultant (or in collaboration with a consultant) can offer these workshops to the wider PPA communities in Year 4 and contribute to post-project sustainability.

**Recommendation 7 (to PCU/PSC).** Initiate discussion of and actions towards post-project sustainability. Unless action is taken now, the risk to post-project sustainability is high, as perceived by the majority of respondents. The PCU and PSC should act as the champions for this, taking the lead on stimulating discussion and development of sustainability strategies. Areas for consideration include building partnerships to secure funding for successor projects and ongoing capacity building; identifying the potential role of the PPASCs in sustaining project outputs; and developing informal co-management arrangements, modelled on those that exist for turtle protection.

**Recommendation 8 to (PCU/LTO/FPAMU).** Develop a workplan/responsibility matrix for the remainder of the project based on the proposed amendments to the Results Framework (see Appendix 8), once this has been formally agreed by FAO-GEF, the project task force and PSC. This will provide the basis for risk assessment and identifying whether there is a need to request a no-cost extension for the project. Both the revised review matrix and workplan should be shared in accessible formats with other key project stakeholders and used as the basis for regular participatory monitoring of progress and evaluation of results and lessons learned.

## Appendix 2. Project results framework (project impacts linked to outcomes)

Impact	Baseline	Outcome indicators and targets	Assumptions	Monitoring milestones towards achieving outcomes
<p><b>Global Environmental Objective</b></p> <p>Strengthen conservation of biodiversity of global importance in Trinidad and Tobago through consolidating the PA system and enhancing capacity and finance for effective PA management.</p> <p><b>Project Development Objective</b></p> <p>Promote sustainable management of PAs to support local livelihoods</p>	<p><b>Component 1</b></p> <p>1.1 Current legal and institutional arrangements inadequate for effective conservation. Conflicting and scattered mandates among different agencies engaged in PA management. PA system not consolidated with adequate coverage of all important ecosystems.</p> <p>1.2 Management effectiveness assessment scores in BDTT: Main Ridge Forest Reserve (31), Caroni Swamp National Park (31), Trinity Hills Wildlife Sanctuary and Reserve (16), Nariva Swamp National Park (27), Matura National Park (23) and North East Tobago (23).</p> <p>1.3a. The population of the 33 species of global importance are low; e.g. the Trinidad Piping Guan's (Pawi) population is now restricted to N.E. Trinidad and critically endangered, (estimated at between 77-231 individuals in 2009). In addition, critical habitats for the species are unknown (baseline to be clearly established in PY1).</p> <p>1.3.b The populations of all 20 indicator species identified for each of the 6 PAs are in most cases unknown or poorly</p>	<p><b>Component 1</b></p> <p>1.1 Draft Legislation addressing current legislative and administrative problems prepared and a minimum of six new sites, covering important ecosystems, designated as formal under the new legislation (to cover about 98,452 ha).</p> <p>1.2. Management effectiveness assessment scores improved: Main Ridge Forest Reserve (34), Caroni Swamp National Park (34), Trinity Hills Wildlife Sanctuary and Reserve (38), Nariva Swamp National Park (30), Matura National Park (25) and North East Tobago MPA (25)</p> <p>1.3a Population indicators or estimates of at least 33 globally important species stabilized or increased in 6 PAs (b) Key habitat elements identified by PY2, and baseline conditions of at least 1 critical habitat component improved by 5% by PY4.</p>	<p><b>Component 1</b></p> <p>High level political and institutional commitment for implementing the PA, Forest and wildlife policies and setting up FPAMA/ relevant THA entity with management authority for all PAs</p> <p>Continued stakeholder support at local level</p>	<p>PY (Project Year) 1: Establish an inter-institutional coordination mechanism to start implementation. Assess the progress in enacting the legislation. Identify critical habitats for the 33 species of global importance.</p> <p>PY2: Identify key habitat elements in the critical habitats and establish population baseline for all indicator species. Initiate the steps to establish PAs under new PAs system and implement the measures to enhance management effectiveness.</p> <p>Midterm evaluation: Review the progress in establishing the new PAs, demarcating boundaries and monitoring key indicator species. Review the effectiveness of coordination mechanisms at the FPAMA &amp; THA. Assess the improved capacity of staff to establish and monitor indicator species baselines. Review progress with enabling legislation, and regulations. Completed technical studies, gap analysis. Threats at 6 PAs identified and management actions taken. Progress in proposing draft PAs system.</p> <p>PY 3 and 4: Finalize new PAs and improve management effectiveness in 6 PAs in the</p>

<p>and assist in generating sustainable income to benefit the people in and around PAs</p>	<p>known, and for those species that are exploited, all thought to be in decline</p> <p>1.3c Action to address key threats to biodiversity not taken. Current Threat Scores in BDTT: Main Ridge Forest Reserve (59), Caroni Swamp National Park (95), Trinity Hills Wildlife Sanctuary and Reserve (65), Nariva Swamp National Park (94), Matura National Park (84) and North East Tobago MPA (66).</p> <p>1.3d no biodiversity monitoring system in place</p>	<p>1.3b Population baselines for all 20 indicator species established by PY2 and improved by 10% within the 6 PAs by PY4.</p> <p>1.3c The threat score in BDTT decreased:</p> <p>Main Ridge Forest Reserve (from 59 to 53 ), Caroni Swamp National Park (from 95 to 85 ), Trinity Hills Wildlife Sanctuary and Reserve (from 65 to 58 ), Nariva Swamp National Park (from 94 to 85 ), Matura National Park (from 84 to 76 ) and North East Tobago MPA (from 66 to 59 ).</p> <p>1.3d Biodiversity monitoring system established for 6 PAs</p>		<p>new System and biodiversity conservation strengthened</p>
<p><b>Impact</b></p>	<p><b>Baseline</b></p>	<p><b>Outcome indicators and targets</b></p>	<p><b>Assumptions</b></p>	<p><b>Monitoring milestones towards achieving outcomes</b></p>
<p><b>Continued</b></p>	<p><b>Component 2</b></p> <p>2.1 Infrastructure for biodiversity conservation and visitor facilities inadequate. Equipment and facilities scores for the BDTT are: Main Ridge Forest Reserve (31), Caroni Swamp National Park (31), Trinity Hills Wildlife Sanctuary and Reserve (16), Nariva Swamp National Park (27), Matura National Park (23) and North East Tobago (23).</p>	<p><b>Component 2</b></p> <p>2.1 BDTT score for equipment and facilities increased as below.</p> <p>Main Ridge Forest Reserve (from 31 to 34), Caroni Swamp National Park (from 31 to 34), Trinity Hills Wildlife Sanctuary and Reserve (from 16 to 18), Nariva Swamp National Park (from 27 to 29), Matura National Park (from 23 to 25) and North</p>	<p><b>Component 2:</b></p> <p>Allocation of sufficient resources, by the government, to procure and maintain equipment, infrastructure and develop visitor facilities.</p> <p>Support of NGOs and CBOs to collaborate with FPAMA &amp; THA in developing and</p>	<p>PY 1 and 2: Progress in procuring equipment, and developing visitor facilities. Prepare business plans for ecotourism development. Engagement of relevant partners in managing visitor facilities.</p> <p>Midterm evaluation: Review the level of infrastructure development and involvement of FPAMA/THA staff and propose measures to rectify, if needed. The level of visitor satisfaction. Improvements in BDTT score.</p>



		East Tobago MPA (from 23 to 25).	maintaining the infrastructure	PY 3 and 4: Further monitor the progress of infrastructure development and effective use of equipment
	<p><b>Component 3</b></p> <p>3.1 A sustainable financing system does not exist to support the PA system</p> <p>3.2 Annual funding gap between optimal requirements for effective management and what is currently available is not clearly known (clear figures to be established in PY1 building on the PPG outcomes)</p> <p>3.3 Goods and services provided by six project sites proposed support the livelihood of only a few individuals in the local communities</p>	<p><b>Component 3</b></p> <p>3.1a Options for establishing FPA Fund finalized</p> <p>3.1b Financial sustainability score in BDTT improved from 13 to 80</p> <p>3.2 Annual funding gap for managing PA system reduced by USD 100,000 by PY4.</p> <p>3.3a At least 50 people's livelihood secured by sustainable extraction practices.</p> <p>3.3b At least 20 new jobs will be created through developing ecotourism.</p>	<p><b>Component 3</b></p> <p>Political support and local acceptance for user fee system/other forest related revenues and financing plans</p> <p>Enabling policy and institutional environment and markets continue to be conducive to ecotourism growth</p>	<p>PY 1 and 2: Monitor the progress of FPAMA legislation, assessment of funding requirements, and preparation, approval and implementation of the financing plan.</p> <p>Midterm evaluation: Review the progress with respect to the user fee system, evaluation of forest revenues and establishment of FPA Fund.</p> <p>PY 3 and 4: Monitor the progress in implementing the financial plan and income generation. Monitor the progress in capacity building for financial management. Assess progress in meeting funding gaps</p>
	<p><b>Component 4</b></p> <p>4.1 Project monitoring and evaluation system does not exist</p>	<p><b>Component 4</b></p> <p>4.1 Project monitoring system is designed and operational</p>	<p><b>Component 4</b></p> <p>Stakeholders and PSC have the capacity and willingness to undertake project M&amp;E function</p>	<p>PY 1 to 2: Monitor the project progress through the monitoring system. Workshops to share lessons learnt.</p> <p>Midterm evaluation: Review the project progress against the indicators. Progress in website development.</p> <p>PY 3 and 4: Monitor the project progress and lessons learnt</p>

## Appendix 3. GEF ratings

### PROJECT RESULTS AND OUTCOMES

Project outcomes are rated based on the extent to which project objectives were achieved. A six-point rating scale is used to assess overall outcomes:

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

During project implementation, the results framework of some projects may have been modified. In cases where modifications in the project impact, outcomes and outputs have not scaled down their overall scope, the evaluator should assess outcome achievements based on the revised results framework. In instances where the scope of the project objectives and outcomes has been scaled down, the magnitude of and necessity for downscaling is taken into account and despite achievement of results as per the revised results framework, where appropriate, a lower outcome effectiveness rating may be given.

### PROJECT IMPLEMENTATION AND EXECUTION

Quality of implementation and of execution will be rated separately. Quality of implementation pertains to the role and responsibilities discharged by the GEF Agencies that have direct access to GEF resources. Quality of Execution pertains to the roles and responsibilities discharged by the country or regional counterparts that received GEF funds from the GEF Agencies and executed the funded activities on ground. The performance will be rated on a six-point scale:

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

**MONITORING AND EVALUATION**

36. Quality of project M&E will be assessed in terms of:

- i. Design
- ii. Implementation

**SUSTAINABILITY**

The sustainability will be assessed taking into account the risks related to financial, socio-political, institutional, and environmental sustainability of project outcomes. The evaluator may also take other risks into account that may affect sustainability. The overall sustainability will be assessed using a four-point scale:

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

## **Appendix 4. FAO-GEF terminal evaluation reporting outline**

Acknowledgements

Acronyms and abbreviations

Executive summary

1. Introduction
  - 1.1 Purpose of the evaluation
  - 1.2 Intender users
  - 1.3 Scope and objectives of the evaluation
  - 1.4 Methodology
  - 1.5 Limitations
2. Background and context of the project
  - 2.1 Theory of change
3. Evaluation questions: key findings
  - 3.1 Relevance [Or main evaluation question on relevance]
  - 3.2 Achievement of project results [Or main evaluation question on effectiveness]
  - 3.3 Efficiency, project implementation and execution [Or main evaluation questions on efficiency, project implementation and execution]
4. Conclusions and recommendations
  - 4.1 Conclusions
  - 4.2 Recommendations
5. Lessons learned
6. Appendices

Appendix 1. GEF Evaluation Criteria Rating Table

Appendix 2. Rating Scheme

Appendix 3. GEF Co-financing Table

Appendix 4. List of people interviewed

Appendix 5. List of documents consulted

Appendix 6. List of Annexes

## Appendix 5. List of project-related documents

Most of the project's reports and educational resources are uploaded to the National Forest and Protected Areas website at [www.protectedareastt.org.tt](http://www.protectedareastt.org.tt). A shared folder with relevant information will be provided to the evaluation team, including the documents below.

1. Project Identification Form (PIF)
2. Comments received from GEF Secretariat, the GEF Scientific and Technical Advisory Panel (STAP) and the GEF Council members on the project's design and FAO's responses
3. FAO Concept Note, and FAO Project Review Committee report
4. Request for GEF CEO Endorsement
5. FAO-GEF Project Preparation Grant (PPG) document<sup>6</sup>
6. Project Document
7. Project Inception Report
8. Six-monthly FAO project progress reports (PPR)
9. Annual work plans and budgets (including budget revisions)
10. All annual GEF Project Implementation Review (PIR) reports<sup>7</sup>
11. Any documentation detailing any changes to the project framework and project components, e.g. changes to outcomes and outputs as originally designed
12. List of stakeholders
13. Relevant technical, backstopping, and project supervision mission reports, including Back to the Office Reports (BTOR) of relevant project and FAO staff, including any reports on technical support provided by FAO HQ or regional office staff
14. Minutes of the meetings of the Project Steering Committee (PSC), FAO Project Task Force (PTF) and other relevant meetings
15. Any Environmental and Social Safeguards analysis and mitigation plan produced during project design period and online records on FPMIS
16. Any awareness raising and communications materials produced by the project, such as brochures, leaflets, presentations given at meeting, address of project website, etc.
17. FAO policy documents e.g. related to FAO Strategic Objectives and Gender
18. Finalized GEF focal area Tracking Tools (TT) at CEO endorsement and updated TT at midterm for GEF-5 projects or review of contribution to GEF-7 core indicators (retrofitted) for GEF-6 projects, and GEF-7 core indicators for GEF-7 approved projects
19. Financial management information including: an up-to-date co-financing table; summary report on the project's financial management and expenditures to date; a summary of any financial revisions made to the project and their purpose; and copies of any completed audits for comment (as appropriate).
20. GEF Gender Policy, GEF Gender Implementation Strategy, GEF Guidelines on Gender Equality, and GEF Guide to advance Gender Equality in GEF projects and Programmes
21. Mid-Term Evaluation report
22. FAO Country Programming Framework
23. FAO Guide to the Project Cycle
24. FAO Environment and Social Management Guidelines and Policy
25. FAO Policy on Gender Equity
26. Guide to mainstreaming gender in FAO's Project Cycle
27. Free, Prior and Informed Consent (FPIC) Manual

<sup>6</sup> Applicable to full-sized projects, medium-sized projects, and projects under Programmes for which Project Preparation Grant (PPG) was approved by the GEF.

<sup>7</sup> A Project Progress Report (PPR) is an FAO requirement, due every six month, with deadlines on 31 July for a reporting period from 1 January to 30 June, and on 31 January for a reporting period from 1 July to 31 December every year. The Project Implementation Report (PIR) is a GEF requirement, due every year (usually from July) until project closure for projects that have been under implementation for one year or longer.