

Project Evaluation Series

Terminal evaluation of “Developing Organisational Capacity for Ecosystem Stewardship and Livelihoods in Caribbean Small-Scale Fisheries (StewardFish)”

**Project code: GCP/SLC/211/GFF
GEF ID: 9720**

Annex 1. Terms of reference

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1. Background and context of the project

1. The fisheries sector is an important driver of economies in the region, and healthy fish stocks are vitally important for the sustainability of coastal communities and rural livelihoods. Fisheries production in the Wider Caribbean Region has declined by 40 percent over the last two decades¹. Fifty-five percent of commercially harvested fishery stocks are overexploited or depleted and 40 percent of stocks are currently fully exploited. This has resulted in an increase in fish importation by Caribbean states.
1. Habitat degradation and ecosystem modification, unsustainable fisheries practices and pollution all present significant threats to the Caribbean region, and specifically, negatively impact the small-scale fisheries of members of the Caribbean Regional Fisheries Mechanisms (CFRM). In addition, small island developing states (SIDS) face difficult problems associated with unsustainable management of fisheries, including insufficient financial resources and human capacity in state institutions; and inadequate organizational, human, financial and technical capacity among non-state actors such as fisherfolk along the value chain to engage meaningfully in management.
2. The Caribbean and North Brazil Shelf Large Marine Ecosystems (CLME) Transboundary Diagnostic Analysis (TDA) found that the major environmental threats affecting the Wider Caribbean Region were: 1) habitat degradation and ecosystem community modification, 2) unsustainable fisheries practices and 3) pollution. In response, the Caribbean and North Brazil Shelf Large Marine Ecosystems (CLME+) Strategic Action Programme (SAP), which is nearing the end of its 10-year timeline, provides a "comprehensive roadmap towards sustainable living marine resources management through strengthened and consolidated regional cooperation", with transboundary marine governance as its focus. The CLME+ SAP regional and sub-regional attention to transboundary institutional arrangements is necessary, but not adequate to address these threats at all levels of governance. The dense mosaic of marine jurisdictions, and mobility of fisheries resources and people, also require the involvement of national and local level, state and non-state, actors to address these threats, and to build resilience in these fisheries socio-ecological systems. Cross-cutting strategies and actions in the CLME+ SAP which require national and local level interventions are related to three key SAP strategies: 1. enhancing regional governance for marine environment protection (vis-à-vis civil society participation, implementing and utilizing science and research findings); 2. enhancing the regional governance arrangements for sustainable fisheries with special attention to marine livelihoods (through capacity building and pilot initiatives for small scale fisheries, and job creation through national initiatives); and 3. establishing and operationalizing a regional policy coordination mechanism for ocean governance (through evidence-based decision-making).
3. Even though the CLME+ SAP and other regional and national initiatives are addressing threats, and engaging management authorities and other stakeholders in the process, there are still significant barriers which require urgent attention. Remaining barriers include: limited capacity of regional and national fisherfolk organizations to achieve objectives aligned with fisheries policies and plans; fisheries-related state agencies at national and local level lack the appropriate capacity to support fishing industry institutions and stewardship; fisherfolk do not or cannot lead ecosystem stewardship practices for fisheries sustainability; sustainable fisheries livelihood strategies do not benefit from systematic learning from experience and compilation of best practices for use in interventions; and fisherfolk are removed from project monitoring and

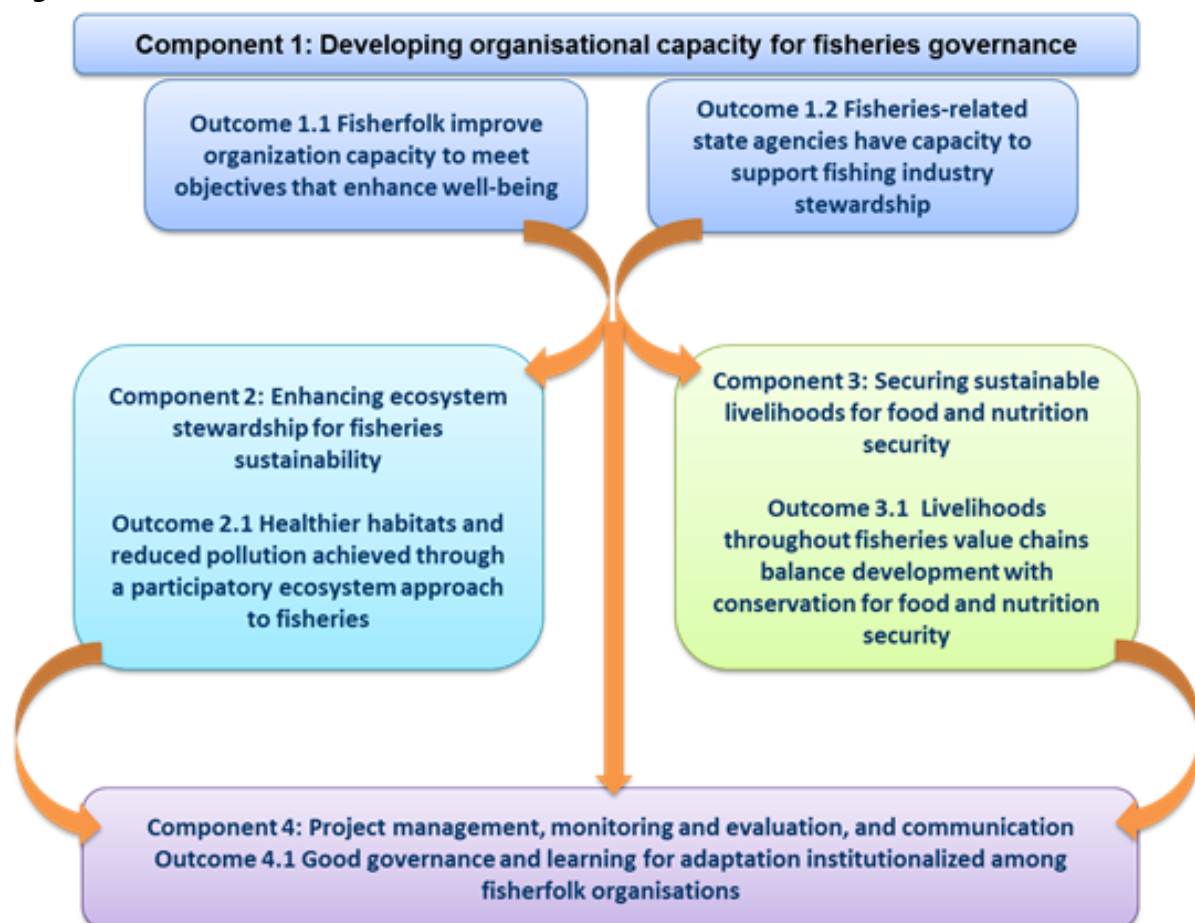
¹ FAO. 2014. Sustainable Intensification of Caribbean Fisheries and Aquaculture. <http://www.fao.org/3/a-i3932e.pdf>

evaluation as a technical rather than a participatory undertaking, and this constrains their learning for adaptation.

1.1 Description of project, project objectives and components

4. With support by GEF project financing and technical assistance from FAO, the project Developing Organizational Capacity for Ecosystem Stewardship and Livelihoods in Caribbean Small-Scale Fisheries (StewardFish) (GCP/SLC/211/GFF) set out to address the CLME+ SAP strategies 1-3 in order to ensure better engagement of state and non-state actors in the fisheries sector in the implementation of the CLME+ SAP. StewardFish aims to implement the CLME+ SAP within CRFM Member States by empowering fisherfolk throughout fisheries value chains to engage in resource management, decision-making processes and sustainable livelihoods, with strengthened institutional support at all levels. The implementation of project activities will be guided by the principles of EAF and seek to promote women’s empowerment through leadership and promote the importance of social protection for sustainable livelihoods.
5. To achieve this, the project is implemented through the following four components:
 - i. Component 1: Developing organizational capacity for fisheries governance
 - ii. Component 2: Enhancing ecosystem stewardship for fisheries sustainability
 - iii. Component 3: Securing sustainable livelihoods for food and nutrition security
 - iv. Component 4: Project management, monitoring and evaluation, and communication

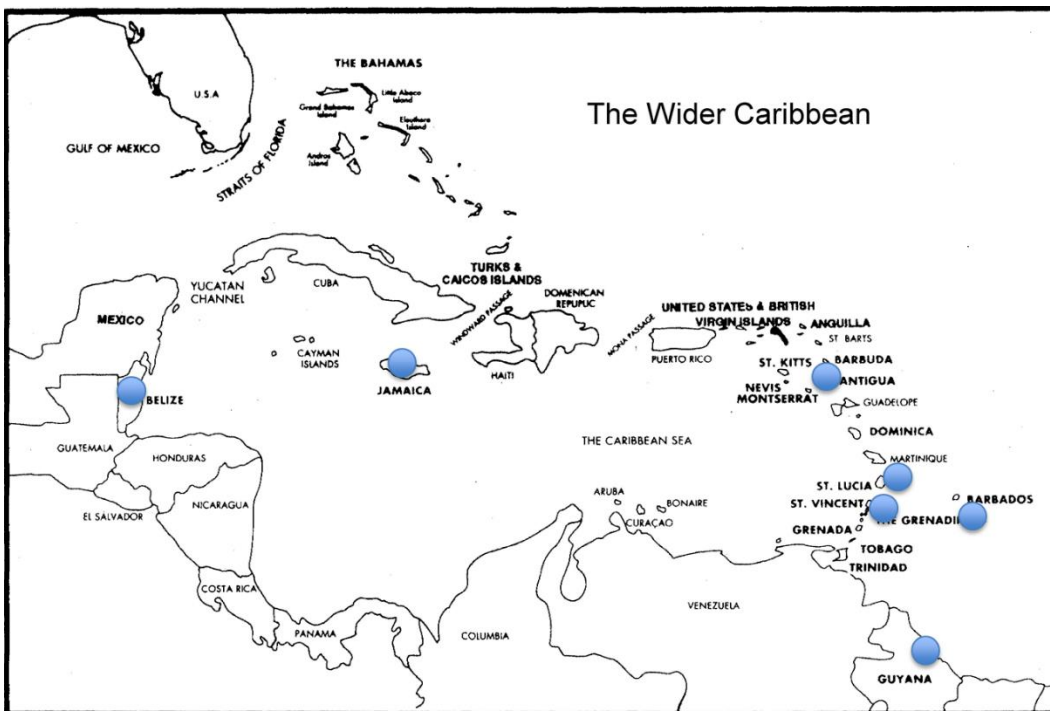
Figure 1. StewardFish framework



Source: Project document.

6. The project was developed in collaboration with the regional partners (CANARI, CNFO, CRFM Sec., and UWI-CERMES) and seven project countries. It is being implemented by FAO (Sub-regional Office for the Caribbean), with a revised start date of 1 May 2018, and an expected end date of 30 April 2021. However, due to delays in project deliveries in relation to the COVID-19 pandemic, the end date was postponed to 30 September 2021.
7. During the September 2018 inception workshop, it was decided that the regional partners (CARNARI, CNFO, CRFM, UWI-CERMES) would take the lead in executing the project activities under the four components in keeping with their areas of expertise, experience and interest. It was also agreed that the University of the West Indies Caribbean ICT Research Programme (CIRP), based in Trinidad and Tobago, would lead ICT activities under Component 1.
8. StewardFish is being implemented in the following seven countries: Antigua and Barbuda, Barbados, Belize, Guyana, Jamaica, Saint Lucia and St. Vincent and the Grenadines (see figure 1). The Project Inception Workshop was held from 13 to 14 September 2018, in Barbados.

Figure 2. Location of the seven project countries



Source: Map conforms with UN. 2019. *Map No. 3977, Rev. 6*. <https://www.un.org/geospatial/content/economic-commission-latin-america-and-caribbean-eclac>

9. The project is funded by the Special Climate Change Fund (SCCF) managed by The GEF. The SCCF allocation is of USD 1 776 484 with a co-financing of USD 7 113 000.
10. The intended beneficiaries of the StewardFish project range are: fisheries-related state agencies; national and primary fisherfolk organizations, including civil society organizations and producer organizations, and regional and international partner organizations.
11. The following box summarizes general project information:

Box 1. Basic project information

- GEF Project ID Number: 9720
- Recipient country: Antigua and Barbuda, Barbados, Belize, Guyana, Jamaica, St. Lucia and St. Vincent and The Grenadines
- Implementing Agency: Food and Agriculture Organization of the United Nations (FAO)
- Executing Partners:
 - Fisheries Division of the Ministry of Agriculture, Lands, Fisheries and Barbuda Affairs, Antigua and Barbuda
 - Fisheries Division of the Ministry of Maritime Affairs and Blue Economy (previously, Ministry of Agriculture, Food, Fisheries, Water Resource Management), Barbados
 - Fisheries Department of the Ministry of Agriculture and Fisheries, Belize
 - Fisheries Department of the Ministry of Agriculture, Guyana
 - National Fisheries Authority of the Ministry of Industry, Commerce, Agriculture and Fisheries, Jamaica
 - Department of Fisheries of the Ministry of Agriculture, Food Production, Fisheries, Co-operatives and Rural Development, St. Lucia
 - Fisheries Division of the Ministry of Agriculture, Forestry, Fisheries and Rural Transformation, St. Vincent and the Grenadines
 - Caribbean Regional Fisheries Mechanism (CRFM)
 - Caribbean Network of Fisherfolk Organisations (CNFO)
 - Caribbean Natural Resources Institute (CANARI)
 - University of the West Indies Centre for Resource Management and Environmental Studies (UWI-CERMES)
 - Western Central Atlantic Fishery Commission (WECAFC)
- GEF Strategy/operational programme: The project is aligned with GEF 6 Programming Directions: GEF International Waters Programme 7: Foster sustainable fisheries, with emphasis on indicator 7.1.3: 20 communities of fishers have adopted an ecosystem approach to fisheries management.
 - PIF approved: December 20, 2016
 - Date of CEO endorsement: July 10, 2017
 - Date of PPRC endorsement: 14 July 2017
 - Date of project start: 01 May 2018
 - Revised project implementation end date: 30 September 2021
 - Date of mid-term evaluation: N/A

• GEF allocation:	<u>USD 1 776 484</u>
• Co-financing:	
FAO (WECAFC)	USD 500 000
CNFO	USD 1 000 000
CANARI	USD 300 000
CRFM Secretariat	USD 150 000
UWI-CERMES	USD 350 000
Governments:	
Antigua and Barbuda	USD 500 000
Barbados	USD 500 000
Belize	USD 1 800 000
Guyana	USD 870 000
Jamaica	USD 200 000
Saint Lucia	USD 443 000
Saint Vincent and The Grenadines	USD 500 000
Subtotal co-financing:	<u>USD 7 113 000</u>
• Total budget:	USD 8 889 484

Source: Project document.

12. A mid-term evaluation (MTE) was not conducted for this project (as this was not mandatory for medium-size projects financed by GEF).

1.2 Project stakeholders and their role

13. FAO is the agency responsible for the supervision and provision of technical guidance during project implementation. FAO is responsible for ensuring the overall coordination of the project's implementation, coordination and collaboration with partner institutions, national fisheries authorities, fisher-folk organizations and other entities participating in the project. The national co-executing partners are the national fisheries authorities, which will work in close collaboration with the national fisherfolk organisations, as well as with other fisheries-related stakeholders, through the same national inter-sectoral consultation mechanisms as engaged under the CLME+ Project.
14. Box 2 summarizes participants and project stakeholders, as well as their functions and roles in the project implementation:

Box 2. Main stakeholders of the project

Stakeholder	Role in the project
Government	
<p>National fisheries authorities</p> <ol style="list-style-type: none"> 1. Fisheries Division of the Ministry of Agriculture, Lands, Fisheries and Barbuda Affairs, Antigua and Barbuda 2. Fisheries Division of the Ministry of Agriculture, Food, Fisheries, Water Resource Management, Barbados 3. Fisheries Department of the Ministry of Agriculture and Fisheries, Belize 4. Fisheries Department of the Ministry of Agriculture, Guyana 5. Fisheries Division of the Ministry of Industry, Commerce, Agriculture and Fisheries, Jamaica 6. Department of Fisheries of the Ministry of Agriculture, Food Production, Fisheries, Co-operation and Rural Development, St. Lucia 7. Fisheries Division of the Ministry of Agriculture, Rural Transformation, Forestry, Fisheries and Industry, St. Vincent and the Grenadines 	<p>The national fisheries authorities are co-executing partners, which are expected to work in close collaboration with the national fisherfolk organizations, as well as with other fisheries-related stakeholders, through the same national inter-sectoral consultation mechanisms as engaged under the CLME+ Project. In addition, they supply the co-financing for the project. They participate in project M&E via the Project Steering Committee and national intersectoral consultative mechanisms</p> <p>Among these stakeholders are the GEF Operational Focal Points (OFP), government staff persons who ensure that GEF proposals and activities are consistent with country priorities and the country commitments under global environmental conventions.</p>
Regional organizations	
Caribbean Regional Fisheries Mechanism (CRFM)	CRFM Secretariat, as the inter-governmental partner, is contributing to activities that facilitate fisheries-related state agency support to fishing industry stewardship (Component 1 - Outcome 1.2).
UWI-CIRP – The Caribbean ICT Research Program (CIRP) of the Department of Electrical and Computer Engineering at The University of the West Indies, Trinidad and Tobago	Involved in the delivery of activities aimed at improving information and communication technologies (ICT) used for good governance in Component 1.
Caribbean Network of Fisherfolk Organisation (CNFO)	As the partner and beneficiary with intimate connection to the fisherfolk, the CNFO is key to mobilising appropriate participants for all activities. They are specifically involved with UWI-CERMES in mobilizing fisherfolk organizations at the national and local level to be engaged in activities under Components 1, 2 and 4.

Stakeholder	Role in the project
Caribbean Natural Resources Institute (CANARI)	As the main NGO in the partnership, CANARI is contributing to much of Component 3, given its experience with livelihood initiatives, as well as the mentoring aspects of Component 2, since it is currently involved in mentorship in other related fisherfolk projects. CANARI is also adding skills and experience to the design and delivery of capacity development (Component 1) and civil society engagement as it is doing in the CLME+ Project.
University of the West Indies-CERMES	UWI-CERMES, as the applied academic partner with a strong interdisciplinary capacity for science and outreach, is contributing to the science-based aspects of all activities, especially the capacity development design and delivery in Component 1; promoting EAF and stewardship in Component 2; and the participatory monitoring and evaluation in Component 4. Its Gender in Fisheries Team is also involved in StewardFish gender analysis and capacity building.
International organizations	
FAO/WECAFC	This will be the GEF agency supervising and technically backstopping the project. FAO and its WECAFC Secretariat in Barbados will provide technical assistance to ensure that the project activities benefit from experiences elsewhere and meet current best practices. Moreover, findings, lessons learned and recommendations from the project can be brought to the attention and be presented for endorsement (as necessary) at WECAFC's sessions and working groups. The project should also benefit FAO in terms of institutionalizing direct and deeper engagement with resource users.
Civil society organizations and NGOs	
National and primary fisherfolk organizations - civil society organizations (CSOs) and/or producer organisations	Fisherfolk organizations (at national and local levels) should be involved in all project components covering capacity building, stewardship, improving livelihood opportunities along the value chain, and participatory monitoring and evaluation.

Source: Project document.

1.3 Theory of change

The project document contains a results matrix, which provides an overview of the project's objectives, assumptions, components, outcomes and outputs, indicators, milestones and target values, as well as the data collection and reporting tools. No theory of change (TOC) was developed.

2. Terminal evaluation purpose and scope

15. The evaluation's main purpose is to provide accountability to national governments, regional stakeholders, FAO Management and technical staff, and the GEF. The findings of the evaluation aim at informing decision-making regarding future activities and initiatives regarding the coordinated and sustained support at all levels to fishing industry stewardship and sustainable livelihoods. The evaluation's main users are the governments of participating countries and the key participating regional stakeholders, the Project Steering Committee and the Project Task Force, and the FAO-GEF Coordinating Unit.
16. The evaluation will assess progress towards the project's strategic objective, outcomes, and outputs. It will focus on relevant activities carried out by the project under its four components. Being a sub-regional project, the evaluation will provide insights on progress made across the seven target countries.
17. During the inception phase it will be important to confirm the geographical scope of and time covered by the evaluation, as well as highlight aspects that will not be covered. Given that there was no MTR conducted, the evaluation will strive to assess change and performance from the beginning of the project. Considering the ongoing travel limitations, geographic scope may have to be limited in terms of depth and potential case studies.
18. This evaluation will be run in tandem with the terminal evaluation for the Climate Change Adaptation of the Eastern Caribbean Fisheries Sector (CC4FISH) (GCP/SLC/202/SCF) project. As such, there will be a common team leader for both evaluations, which will each have a technical evaluator to conduct the data gathering and analysis of each project respectively. While this will be useful to streamline roles and budget, there is also an opportunity to extract from the two evaluation reports a 'chapeau' document to highlight any common and significant findings, conclusions, lessons learned and recommendations of common interest for evaluation users. Synergies between the two projects, and the key stakeholders involved, will be surfaced.

3. Evaluation objectives, criteria and questions

19. The objectives of the evaluation are to assess the relevance of the project, its effectiveness in achieving positive outcomes for beneficiary countries and the different groups of stakeholders, its efficiency, and likelihood of sustainability of the results achieved and the processes established, progress towards impact, its strategy for stakeholder engagement and partnerships, as well as the consideration and involvement of gender issues, environmental and social safeguards during its implementation. The evaluation will also assess the co-financing arrangement as well as the project's knowledge management strategy and contributions.
20. The evaluation will take into consideration the impact of COVID-19 on project delivery and response, including initiatives taken to facilitate project delivery during the uncertainty of the pandemic.
21. The modality of a focused or in-depth analysis in a representative or purposefully selected sample of countries will be considered by the evaluation team and decided upon in coordination with the project team and relevant counterparts. Key project stakeholders will be involved both during the scoping and the implementation of the evaluation. Major stakeholders include the relevant Ministries, regional stakeholders, FAO personnel, and national project teams.
22. Box 3 provides an overview of evaluation criteria and questions that will guide the implementation of the evaluation. For some criteria, a rating is required as defined by the GEF Evaluation Office (see rating descriptors in Annex 2). The terminal evaluation report will be structured around main evaluation questions.

Box 3. Evaluation criteria and questions

Area	Evaluation questions
1) Relevance (rating required)	<p>Were the project outcomes and envisioned long-term impacts congruent with the GEF focal areas/operational programme strategies, country priorities and FAO Country Programming Framework, as well as regional and sub-regional environmental and development priorities?</p> <p>Was the project design appropriate for delivering the expected outcomes?</p> <p>Was the project and its activities designed in a manner consistent with the institutional capacity and timeframe for implementation of the various implementing actors (i.e. state-level, civil society, academia)?</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>Were the project activities considered relevant by the project beneficiaries (institutional and local level)?</p>
2) Effectiveness (rating required)	<p>To what extent have project outcomes and outputs been achieved, and were there any unintended results? What pivots have fisherfolk had to make given the COVID-19 pandemic and climate events, and how have these pivots affected project activities and results?</p> <p>To what extent did the project actual outcome commensurate with the expected outcomes? How did COVID-19 affect project activities and outcomes, what were the adaptations, challenges and mitigations implemented by the project?</p> <p>To what extent can the attainment of results be attributed to the GEF-funded component? To what extent have GEF corporate results targets been achieved?</p> <p>What were the innovations in approaches and outputs that have strengthened the project's effectiveness?</p> <p><i>Sub-evaluation questions may include:</i></p> <p>To what extent have male and female fisherfolk improved their organizational capacity? What organizational changes are evident as a result of capacity building? How has this capacity</p>

Area	Evaluation questions
	<p>building also led to a balance between conservation and development of livelihoods? What examples of adaptation exist?</p> <p>How has the project contributed to boosting female leadership in the fisheries sector? To what degree have women's voices been present in policy dialogues, and to what degree have women had access to advisory and financial services and organizational and leadership opportunities?</p> <p>To what degree have FFOs engaged in ecosystem-based management contributed to improved habitat health and pollution reduction? Who is engaged and how in biodiversity conservation and coastal management that wasn't engaged previously? How did COVID-19 impact cooperative action around biodiversity conservation and coastal management?</p> <p>What livelihood enhancement activities are FFO leaders engaged in and what have been the ensuing change?</p> <p>To what degree have fisherfolk participated in M&E and what have been the results of that? How did COVID-19 impact the participation?</p> <p>To what extent are fisheries-related state agencies, civil society, academia and any other stakeholders able to support fishing industry stewardship? What does that support look like in different islands?</p>
<p>3) Efficiency (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 degree did the Project Steering Committee and the Project Task Force lead efficient policy and technical processes?</p> <p>To what extent has the project been implemented efficiently, cost-effectively and in a timely manner, and management been able to adapt to any changing conditions to improve the efficiency of project implementation?</p>
<p>4) Sustainability (rating required)</p>	<p>What is the likelihood that the project results will continue to be useful or will continue by both FAO and partner countries, after the end of the project?</p> <p>What is the potential for project results to be scaled and / or replicated?</p> <p>What are the key financial, sociopolitical, institutional, and environmental risks which may affect the sustainability of the project benefits?</p> <p>What recommendations can be provided to help strengthen the sustainability plan of the project?</p>
<p>5) Factors affecting performance (rating required)</p>	<p>Monitoring and evaluation</p> <p>(M&E design) Was the M&E plan practical and sufficient?</p> <p>(M&E implementation) Did the M&E system operate as per the M&E plan? Was information gathered in a systematic manner, using appropriate methodologies?</p> <p>Was the information from the M&E system appropriately managed and used by the regional executing partners, project management, PTF and RPSC, in order to make timely decisions and foster learning during project implementation?</p> <p>Stakeholder engagement</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>6) Environmental and social safeguards</p>	<p>To what extent were environmental and social concerns taken into consideration in the design and implementation of the project?</p>

Area	Evaluation questions
7) Gender	To what extent were gender equality gaps and considerations taken into account in designing and implementing the project? Was the project implemented in a manner that ensures gender equitable participation and benefits? Was there appropriate gender targeting or mainstreaming in the project activities?
8) Co-financing	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?
9) Progress to Impact	To what extent may the progress towards long-term impact be attributed to the project? Was there any evidence of environmental stress reduction and environmental status change, or any change in policy/legal/regulatory framework? Are there any barriers or other risks that may prevent future progress towards long-term impact?
10) Knowledge management²	How is the project assessing, documenting and sharing its results, lessons learned and experiences? What are the knowledge products produced by the project and how were there shared? What will become of the data and information products post-project completion? To what extent are communication products and activities likely to support the sustainability and scaling-up of project results?
11) Lessons learned³	What are the key lessons learned and good practices (from the diversity of issues the project tackled, as well as its implementation process) from the StewardFish project that could be used in subsequent programming?

Source: Developed by the evaluation team.

² 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.

³ See new GEF Guidance on lessons learned (22 categories):
<https://unfao.sharepoint.com/:b:/s/OEDD/ETDikIZI8WpHvOFVBacRUP8BFPPbaJAZ6ariylqu6tbt6w?e=sEPuPx>

4. Methodology

23. The evaluation will adhere to the UNEG Norms & Standards⁴ and be in line with the OED Manual and methodological guidelines and practices. The evaluation will adopt a consultative, participatory and transparent approach with internal and external stakeholders throughout the evaluation process. Triangulation of evidence and information gathered will underpin its validation and analysis and will support conclusions and recommendations.
24. The evaluation will recreate a TOC for the project, using the results chain, and retrospectively capturing the causal relationship between inputs, expected outputs detailed in the project results framework, results to which they should have contributed and conditions under which they should have occur. The evaluation team will use the TOC to validate causal pathways with the project team and include assumptions, a mapping of externalities and possible unintended results, and any adjustments in the results framework.
25. At the beginning of the evaluation process, a mapping of stakeholders at the national and regional levels will be prepared in order to identify additional users of the evaluation and to plan the information gathering phase, ensuring that all counterparts are identified, as well as to identify the key actors that the project worked with to bring about change.
26. The evaluation team will submit an inception report which will include an evaluation matrix. The evaluation matrix specifies the sub-questions of the evaluation, evaluation criteria, sources of information, as well as the data collection and analysis methods and instruments to be used. The inception report will reflect the information gathered during desk research, as well as suggestions made by FAO and other key stakeholders.
27. The evaluation will rely on different sources and methods for the collection and analysis of information and may draw on different evaluation approaches such as Outcome Harvesting or Process Tracing. The evaluation team will undertake a review of relevant project and context documentation to develop specific evaluation sub-questions. The information gathered will inform the development of different data collection tools. These may include semi-structured interviews (the evaluation team should note that some interviewees, particularly fisherfolk, are only available evenings and should coordinate accordingly), focus group discussions and stakeholder surveys. In the context of the COVID-19 pandemic, visits of project sites and direct observations may only be considered by the evaluation and project teams if regional and national sanitary situations and preventive measures in place allow their safe and regular realization.
28. At the beginning of the research phase, the evaluation team will develop the interview protocol according to the type of stakeholder to be interviewed and the topic to be addressed. Special attention will be paid to ensure that disadvantaged groups and expected beneficiaries of the project are consulted and will take into account the restrictions that the project has had to have a presence in the field since the beginning of the pandemic.
29. The methodology and data collection instruments for answering certain questions should take into account various internal policies and strategies in their formulation, such as:
 - i. The specific project objectives include capacity development at both the enabling environment and individual levels. The OED Framework for Capacity Development evaluation will be the basis for the assessment of measures, approach, performance and

⁴ <http://www.uneval.org/document/detail/21>

- outcome of the activities that were implemented throughout the project to develop capacities (question 2).
- ii. In terms of gender analysis and the work done with local communities (question 7), an assessment will be made of the project's contribution to the objectives presented in the FAO and GEF Gender Equity Policy. In addition, the new FAO Free, Prior and Informed Consent (FPIC) Manual will be used, which includes the current FAO policy on working with indigenous peoples and local communities.
 - iii. To answer the question on sustainability (question 8), four main criteria will be assessed: i) ownership by beneficiaries, ii) availability of resources, iii) sufficient capacities of stakeholders and iv) enabling institutional and social environment (with respect to FAO's capacity development framework). With respect to beneficiary ownership, the project's strategy for accessing local, regional and national markets will also be evaluated.
30. FAO personnel (PMU, LTO, FLO) and other key stakeholders (government and other partners) will support the identification of relevant stakeholders to be considered by the evaluation team during data collection. FAO personnel and the project team will also provide relevant project documentation (see Annex 3).

5. Roles and responsibilities

31. This section describes the different roles that key stakeholders play in the design and implementation of the evaluation.
32. The Office of Evaluation (OED), in particular the Evaluation Manager (EM) develops the first draft of the evaluation's terms of reference (TORs) with inputs from the Project Task Force (PTF), including the Budget Holder (BH), Lead Technical Officer (LTO), Financial Liaison Officer (FLO), and the GEF Coordination Unit. The EM is responsible for the finalization of the TORs and for the selection of the evaluation team members.⁵ OED has the responsibility of following up with the BH for the timely preparation of the Management response and the follow-up report to the Management response.
33. The BH is responsible for initiating the evaluation process. Together with the project LTO, they assist the EM in drafting the TORs, in the identification of potential consultants and in the organization of the missions. The BH ensures the provision of relevant project documents (see Annex 3) to the evaluation team. The BH is also responsible for sharing the report with the GEF Operational Focal Point, the Execution Partner, the project team and national partners. The BH further leads and coordinates the preparation of the FAO Management response and the follow-up report with support from the LTO and others members of the PTF. OED guidelines for the Management response and the follow-up report provide necessary details on this process. Involvement of different members of the PTF will depend on respective roles and participation in the project.
34. The GEF Coordination Unit (in particular the FLO), together with the M&E focal points in GCU are responsible for initiating the evaluation process, providing inputs to the first version of the TORs, especially the description of the background and context chapter, and supporting the evaluation team during its work. They are required to meet with the evaluation team, make available information and documentation as necessary (see Annex 3), and comment on the TORs and draft reports.
35. 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 OFPs 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".
36. The EM shall brief the evaluation team on the evaluation methodology and process and will review the final draft report for quality assurance purposes, including presentation, compliance with the

⁵ The responsibility for the administrative procedures for recruitment of the team, will be decided on a case-by-case basis.

TORs, timely delivery, quality, clarity and soundness of the analysis and evidence in support of conclusions and recommendations in the evaluation report.

37. 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, visits of project sites, 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 Annex 4. The evaluation team will also be free to expand the scope, criteria, questions and issues listed above, as well as develop its own evaluation tools and framework, within time and resources available and based on discussions with the EM, and consultations with the BH and PTF where necessary. 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.
38. The evaluation team leader guides and coordinates the evaluation team members in their specific work, discusses their findings, conclusions and recommendations and prepares the first draft and final report, consolidating the inputs from the team members with his/her own.

6. Evaluation team composition and profile

39. The evaluation team will consist of one senior independent consultant who will serve as team leader, and one consultant member of the team.
40. The evaluation team should comprise of individuals with the following expertise:
- i. experience in the design and conduct of multi-country evaluations;
 - ii. an appropriate mix of qualifications and experience to address the thematic areas identified, particularly small-scale fisheries and aquaculture activity in the Caribbean, poverty and vulnerability in the region especially as it relates to fisherfolk, country-specific governance, ecosystems approach to fisheries and stewardship, state level institutional practices and capacity challenges and opportunities related to sustainable management of the fisheries and aquaculture sector, and gender equality;
 - iii. knowledge of development issues in the Caribbean, particularly in the context of sustainable management of the fisheries and aquaculture sector;
 - iv. experience in evaluation of projects financed by the GEF;
 - v. knowledge of FAO and GEF policies and norms (such as gender, indigenous peoples, co-financing, role of agencies in the GEF project cycle);
 - vi. ability to integrate qualitative and quantitative data;
 - vii. strong inter-cultural communication skills in English;
 - viii. strong report writing and presentation skills, ability and experience in communicating concepts using non-technical language to diverse audiences; and
 - ix. ability to work in an iterative, collaborative, team approach, both face-to-face and virtually; and to give and receive constructive feedback.
41. The evaluators will be supervised by OED and undertake the evaluation as per the present TORs 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)

42. This section describes the key evaluation products the evaluation team will be accountable for producing.
- i. Inception report: the evaluation team will present an inception report, that will include the following:
 - stakeholder mapping and analysis, highlighting those that will be contacted for interviews, focus group discussions, validation meetings, presentation of results and recommendations;
 - analysis of an initial/draft TOC, reconstructed based on initial document review and interviews to map the evolution of the project, and ready for further validation during the evaluation;
 - the evaluation approach and methodology;
 - evaluation matrix that should include the main evaluation questions, sub-questions, expected types of evidence, indicators and data collection tools;
 - mapping and sampling of sites for data collection;
 - work schedule; and
 - draft tools and protocols
 - ii. Preliminary findings report: the evaluation team should consolidate interview notes according to the format agreed with OED, which will be treated confidentially, and prepare a presentation of preliminary findings at the end of the data collection.
 - iii. Draft evaluation report: the evaluation team is responsible for submitting the draft evaluation report to OED for the first quality control check. It should be written in English and composed in accordance with the FAO Style of Writing and the GEF guidelines for conducting terminal evaluations. The draft report should be sent by the ET 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).
 - iv. The report will include preliminary findings, conclusions and recommendations, which will be discussed with the project team to analyze their feasibility and relevance. Comments and suggestions received will be included in the final report, as deemed appropriate, within a maximum period of two weeks. In case comments are not included, the team will have to justify its decision in the comments matrix.
 - v. Comments matrix: this matrix consolidates all comments received by the evaluation team on the first draft of the report. In this case each team member is responsible for responding to comments related to the project assigned to him/her. For transparency reasons, the matrix presents the evaluation team's response to the comments (whether they are accepted or not), as well as the justification for the decision taken.
 - vi. Final evaluation report: the final evaluation report will include an executive summary, revised content based on comments received and findings responding to the evaluation questions listed in the TORs and finalized conclusions and recommendations. 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; and iii) information on knowledge activities/products:

- 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. As the main author of the report, OED will have the final decision as to how the report should be composed.;
 - 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;
 - evaluation reports should have numbered paragraphs, following the GEF OED reporting outline (see Annex 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;⁶
 - evaluation briefs and other knowledge products or participation in knowledge sharing events, if relevant, should be included as annexes.
- vii. 'Chapeau' document: this evaluation will be run in tandem with the terminal evaluation for the Climate Change Adaptation of the Eastern Caribbean Fisheries Sector (CC4FISH) (GCP/SLC/202/SCF) project. The evaluation team will develop a brief 'chapeau' document which will highlight common and significant findings, conclusions and recommendations of interest for evaluation users based on both evaluations.
- viii. Presentation deck: a short PowerPoint to include overview of findings, conclusions, lessons and recommendations.

43. The table below should be completed by the evaluation team, as part of the terminal evaluation process. See Appendix 2 for guidance on the rating schemes under each area of analysis.

GEF criteria/sub-criteria	Rating ⁷	Summary comments ⁸
A. STRATEGIC RELEVANCE		
A1. Overall strategic relevance	HS→HU	
A1.1. Alignment with GEF and FAO strategic priorities	HS→HU	
A1.2. Relevance to national, regional and global priorities and beneficiary needs	HS→HU	
A1.3. Complementarity with existing interventions	HS→HU	
B. EFFECTIVENESS		
B1. Overall assessment of project results	HS→HU	
B1.1 Delivery of project outputs	HS→HU	
B1.2 Progress towards outcomes ⁹ and project objectives	HS→HU	

⁶ See Annex 2 for more information on GEF ratings

⁷ See rating scheme at the end of the document.

⁸ Include reference to the relevant sections in the report.

⁹ Assessment and ratings by individual outcomes may be undertaken if there is added value.

GEF criteria/sub-criteria	Rating⁷	Summary comments⁸
- Outcome 1	HS→HU	
- Outcome 2	HS→HU	
- Etc.	HS→HU	
- Overall rating of progress towards achieving objectives/ outcomes	HS→HU	
B1.3 Likelihood of impact	HS→HU	
C. EFFICIENCY		
C1. Efficiency ¹⁰	HS→HU	
D. SUSTAINABILITY OF PROJECT OUTCOMES		
D1. Overall likelihood of risks to sustainability	L→HU	
D1.1. Financial risks	L→HU	
D1.2. Socio-political risks	L→HU	
D1.3. Institutional and governance risks	L→HU	
D1.4. Environmental risks	L→HU	
D2. Catalysis and replication	HS→HU	
E. FACTORS AFFECTING PERFORMANCE		
E1. Project design and readiness ¹¹	HS→HU	
E2. Quality of project implementation	HS→HU	
E2.1 Quality of project implementation by FAO (BH, LTO, PTF, etc.)	HS→HU	
E2.1 Project oversight (PSC, project working group, etc.)	HS→HU	
E3. Quality of project execution For DEX projects: Project Management Unit/BH; For OPIM projects: Executing Agency	HS→HU	
E4. Financial management and co-financing	HS→HU	
E5. Project partnerships and stakeholder engagement	HS→HU	
E6. Communication, knowledge management and knowledge products	HS→HU	
E7. Overall quality of M&E	HS→HU	
E7.1 M&E design	HS→HU	
E7.2 M&E plan implementation (including financial and human resources)	HS→HU	
E8. Overall assessment of factors affecting performance	HS→HU	
F. CROSS-CUTTING CONCERNS		
F1. Gender and other equity dimensions	HS→HU	
F2. Human rights issues/Indigenous Peoples	HS→HU	
F2. Environmental and social safeguards	HS→HU	
Overall project rating	HS·HU	

¹⁰ Includes cost efficiency and timeliness.

¹¹ This refers to factors affecting the project's ability to start as expected, such as the presence of sufficient capacity among executing partners at project launch.

8. Evaluation timeframe

44. 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	June-July 2021	EM, LTO, FLO and GCU
Team identification and recruitment	August 2021	EM with support from FAO SLC and project team
Background document review and briefing meetings, briefing evaluation team	September 2021	Evaluation team with support from EM, FAO SLC, LTO, FLO, project team
Presentation of inception report, workplan	October 2021	Evaluation team
Travel arrangements and organization of the agenda/travel itinerary in the country for the field mission	October-November (COVID-dependent)	EM, SLC
Data collection	November-December 2021	Evaluation team with support of EM, SLC, project team
Production of first draft for OED review	January 2022	Evaluation team
Circulation of first draft for comments (BH, LTO, FLO, project team, GCU, key national partners, PSC members, EP)	January 2022	EM
Integration of comments and production of the final report	February 2022	ET
Circulation of final report and publication	February 2022	EM
Management response	March 2022	BH

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