

Project Evaluation Series
[18/2023](#)

Terminal evaluation of the project “Enhancing Climate Change Resilience in the Benguela Current Fisheries System”

Project codes: GCP/SFS/480/LDF and
GCP/SFS/480/SCF
GEF ID: 5113

Annex 1. Terms of reference

Contents

Abbreviations	iii
1. Introduction	1
2. Context and background of the project	2
2.1 Description of the project context	2
2.2 Description of the project objectives and outcomes.....	3
2.3 Project stakeholders and their role.....	6
2.4 Theory of change.....	9
2.5 Mid-term evaluation.....	12
3. Terminal evaluation purpose, audience and scope	15
4. Evaluation objective and questions	16
4.1 Evaluation questions.....	16
5. Methodology	19
6. Roles and responsibilities	22
7. Evaluation team composition and profile	24
8. Evaluation products (deliverables)	25
9. Evaluation time frame	27
References	28
Appendix 1. Detailed overview of project stakeholders (as per PIR 2022)	29
Appendix 2. Outline of the inception report	31
Appendix 3. Revised project results framework with progress up to 30 June 2022 (PIR 2022)* ...	32
Appendix 4. Glossary of often used terms in GEF projects	40
Appendix 5. GEF evaluation criteria rating table	42
Appendix 6. GEF ratings	44
Appendix 7. GEF evaluation criteria glossary	46
Box 1. Basic project information.....	6
Figure 1. Reconstructed theory of change at the mid-term evaluation	11

Abbreviations

BCC	Benguela Current Commission
BCLME	The Benguela Current Large Marine Ecosystem
BH	Budget holder
FAO	Food and Agriculture Organization of the United Nations
GEF	Global Environment Facility
M&E	monitoring and evaluation
TOC	theory of change
TOR	terms of reference

1. Introduction

1. The FAO Office of Evaluation will undertake a terminal evaluation of the Global Environment Facility (GEF), the Food and Agriculture Organization of the United Nations (FAO) and the Benguela Current Commission (BCC) project called "Enhancing Climate Change Resilience in the Benguela Current Fisheries System" (GCP/SFS/480/LDF and GCP/SFS/480/SCF). The project is implemented in Namibia, South Africa and Angola. The GEF ID is 5113.
2. This document presents the terms of reference (TOR) for the evaluation and should be considered a guiding document for the Evaluation Team and the project's main stakeholders. It briefly describes the context, the project and its key areas of work. Furthermore, it sets out the approach of the evaluation and presents a preliminary methodology, the deliverables and timeframe. The entire evaluation process will be inclusive, and herewith executed in close consultation with key project partners.

2. Context and background of the project

2.1 Description of the project context

3. The Benguela Large Marine Ecosystem (BCLME) is situated along the coast of south-western Africa, stretching from Angola's Cabinda Province in the north and southwards to the east of the Cape of Good Hope (South Africa). Most of its fisheries resources are shared between Angola, Namibia and South Africa. It provides the resource base for important and diverse fisheries, ranging in scale from subsistence to large-scale commercial activities and contributing to local food security and employment for hundreds of thousands of people, many of whom have no or limited alternatives. Artisanal, commercial and recreational fisheries are all of significance.
4. Angola's fisheries are very important for domestic food supply (90 percent of fish produced is sold in the domestic market) and, especially small-scale, artisanal fisheries are the main or sole means of livelihoods and food provision for a large part of the population in coastal areas. Namibia does not have a well-developed artisanal fishery because of the harsh coastal environment; its fisheries are primarily commercial but still provide essential employment, livelihoods and cheap sources of protein for Namibia and neighbouring countries. Fisheries are the third largest contributor to the country's gross domestic product (GDP). In South Africa, while making a small percentage contribution to GDP, fisheries also provide essential benefits to coastal populations and economies, often in areas with very limited alternative sources of livelihood.
5. The fisheries sectors in the three countries are facing a number of serious challenges to ensuring sustainable use of the productive but vulnerable marine resources that support them. These include over-exploitation of resources by fisheries, impacts on the aquatic ecosystems from land and aquatic resource use within other sectors, including coastal zone development and offshore mining and oil and gas extraction. All these negatively affect the integrity, resilience and productivity of the ecosystem. Decreased productivity of fishery resources impacts on the livelihoods and, in some small-scale communities, the food security of those dependent on fisheries and leads to a reduction in the economic returns from commercial fisheries at national and regional scale.
6. Climate variability and climate change form an additional challenge that could potentially push the natural ecosystem beyond its limits, and the institutions established to manage human uses of and impacts beyond their capacity to do so. Impacts are already being felt through changes in surface water temperatures, an increased frequency of Benguela Niños and other such intrusions of warm, nutrient-poor water from southern Angola, an increase in winds in the summer months, a general decline in oxygen concentration, and a sea level rise. Changes in the aquatic food web have also been observed, including distribution shifts in important fisheries resources with marked negative social and economic impacts.
7. FAO has published in 2018 the technical paper "Impacts of climate change on fisheries and aquaculture" which is a synthesis of current knowledge, adaptation and mitigation options in the fisheries sector. The document identifies the climate change impacts, vulnerabilities and adaptation needs for different regions, including for the Southeast Atlantic and Southwest Indian Ocean marine fisheries, which encompasses the BCLME. The technical paper outlines key messages for BCLME, including:
 - i. The best-documented changes in marine resources in the past few decades have been a southward shift in coastal fish species important to Angola's small-scale fishery, and the eastward shift of commercially-exploited small pelagic fish and west coast rock lobster in South Africa.

- ii. The fisheries rated as most vulnerable to climate change in Angola and Namibia were the artisanal and demersal trawl fisheries, respectively, while in South Africa they were small-scale line- and net-fisheries and that for small pelagic fish.
 - iii. Institutional climate change adaptation measures include creating early warning systems for flooding and storms (Angola); promoting integrated fisheries and coastal zone management for the protection of marine resources, strengthening of joint management of shared fish stocks (Namibia), expanding and tailoring research and monitoring to inform and assist adaptation initiatives; and involving artisanal and small-scale fishers in local resource co-management initiatives (South Africa).
8. The fisheries of the BCLME are under significant threats. The project document identified three main challenges:
 - i. The first is the overexploitation of many of the marine resources by fisheries. This exploitation has the effect of reducing the productivity and resilience of fish stocks, and it also affects other species that depend on these resources. The reduction of the productivity of fish resources has an impact on the degradation of the means of existence of artisanal fishing communities, and populations dependent on the fishery. It also leads to the reduction of economic returns from commercial fisheries at national and regional scales.
 - ii. The second challenge is habitat loss and pollution. Dumping of industrial waste and accidental oil spills have occurred within the region. It can be disruptive to the ecosystem, poisoning marine resources and decreasing the resilience of the system to variability and change. Coastal development activities can also damage or destroy key coastal habitats with negative impacts on inshore marine species, seabirds and other taxonomic groups.
 - iii. The third is climate variability and change. The major part of the BCLME is driven mainly by the upwelling and is therefore naturally highly variable throughout much of the ecosystem. There have been important changes, the most marked of which are the extensive warming of sea surface waters at both the northern and southern boundaries of the system in recent decades. There have also been indications of cooling in the inshore areas along the west and south coasts of South Africa, which may be a result of increases in the winds that generate upwelling. These changes have also been associated with an increased frequency in the incidence of Benguela Niños¹⁰ and other such intrusions of warm, nutrient-poor water from southern Angola, widespread declines in oxygen concentration, and sea level rise.
9. In August 2008, the three countries created the BCC, which is the first Large Marine Ecosystem Commission of its kind and they chose the headquarters of its Executive Secretariat to be located in Swakopmund, Namibia. The countries signed the BCC (BCC, n.d.) in Benguela, Angola, on 18 March 2013. The objective of the convention is to promote a coordinated regional approach to the long-term conservation, protection, rehabilitation, enhancement and sustainable use of the BCLME, to provide economic, environmental and social benefits. Thus, the signing of the convention formalized the establishment of the BCC as a regional inter-governmental organization with a mandate to promote sustainable use and management of the BCLME.

2.2 Description of the project objectives and outcomes

10. The project is a combined effort by the BCC, the governments of Angola, Namibia and South Africa, FAO and GEF. The project was approved in 2015, started in 2017 and is expected to complete in 2023 after two extensions. The project was designed with a GEF grant amount of

USD 4 725 000 (SCCF: USD 3 025 000 & LDCF: USD 1 700 000) and expected co-financing of USD 19 166 000. The breakdown at design is as follows:

Sources of Co- financing	Name of Co-financer	Type of Co-financing	Amount confirmed at approval (USD)
National Government	Angola	In-kind	5 000 000
National Government	Namibia	In-kind	5 000 000
National Government	South Africa	In-kind	5 000 000
GEF Agency	FAO	In-kind	960 000
IGO	BCC	In-kind	3 000 000
Other Multi-lateral Agency	ECO Fish	In-kind	100 000
Civil Society Organization	GULLS	In-kind	100 000
Civil Society Organization	Masifundise	In-kind	6 000
TOTAL			19 166 000

Source: Elaborated by the Evaluation Team.

11. As of 30 June 2022, the total disbursed GEF grant is USD 4 650 336 (SCCF: USD 2 980 253 & LDCF: USD 1 670 083) and the total materialized co-financing is USD 1 017 924. The latest PIR (2022) does not provide a breakdown for the actual materialized co-financing and reason for the lower amount thus-far. The terminal evaluation will further look into this.
12. The objective of the project is that “the Benguela Current marine fisheries livelihoods are resilient to climate change through the implementation of adaptation strategies for food and livelihood security”. The project has four outcomes:
 - i. Outcome 1: Stakeholder understanding of climate risks and vulnerabilities is increased and their capacity to mainstream / execute climate change adaptation in fisheries is enhanced (e.g. development of policy briefs on mainstreaming climate change adaptation in fisheries, emanating from vulnerability assessments as well as recommendations to update existing strategies and policies).
 - ii. Outcome 2: Vulnerability to climate change is reduced (e.g. Local government and other institutions provide support in community-based adaptation management plans and communities are implementing the adaptation options).
 - iii. Outcome 3: Stakeholders promote a proactive and forward-looking approach to climate change risks (e.g. support to forums for exchange and training tools).
 - iv. Outcome 4: Project management (e.g. implementation of the project, monitoring & evaluation, and dissemination of progress and lessons learned).
13. A detailed overview of the revised¹ project results framework including outcome indicators, targets and progress can be found in appendix 3.
14. The project has links to FAO’s Strategic Objective 2: “Increase and improve provision of goods and services from agriculture, forestry and fisheries in a sustainable manner” as well as FAO Strategic Objective 5, “Increase the resilience of livelihoods to threats and crises”. The project is herewith related to SDG 13 (climate action) and 14 (life below water).

¹ Revised after the mid-term evaluation.

15. Furthermore, the project aims to contribute to the following GEF/LDCF/SCCF Strategic Objectives:
- i. Objective CCA-1 - Reducing Vulnerability: Reduce vulnerability to the adverse impacts of climate change, including variability, at local, national, regional and global level; and
 - ii. Objective CCA-2 - Increasing Adaptive Capacity: Increase adaptive capacity to respond to the impacts of climate change, including variability, at local, national, regional and global level.
16. Project area: The below table provides an overview of the various project activities in the project coastal towns:

Country	Coastal town	Project activity
South Africa	St Helena Bay	- Local Climate Adaptation Plan for St Helena Bay small-scale fishing communities
	Struisbaai	- Local Climate Adaptation Plan for the Struisbaai small-scale fishing community
	Humansdorp	- Rapid vulnerability assessment - Implementation of adaptation options: sustainable business development - Additional Adaptation Management Plan has been completed. - Training on Business literacy; Sea search and rescue for safety at sea and Good co-operative governance.
	Hondeklipbaai	- Rapid vulnerability assessment - Local Climate Adaptation Plan for Hondeklipbaai small-scale fishing communities - Implementation of adaptation options: alternative livelihood strategy - Additional Adaptation Management Plan completed - Training on Business literacy; Sea search and rescue for safety at sea; Jewellery making and Radio training
Namibia	Lüderitz	- Local adaptation Management Plan produced for the Lüderitz small-scale fishing community - Implementation of adaptation options : community-based aquaculture & improve small-scale fisheries by providing resources - Additional Adaptation Management Plan meeting has been conducted. The RVA report of Luderitz will be completed asap. - Training on business skills, legal skills and on establishing cooperatives
	Henties Bay	- Local Climate Adaptation Plan produced for Hanganeni Artisanal Fishers Association (HAFA) in Henties Bay
Angola	Tombwa	- Local Climate Adaptation Plan produced for Tombwa small-scale fishing communities - Training in Microfinance, Radio communications and Naval Mechanics (engine repair) will be conducted.
	Cacuaco	- Local Climate Adaptation Plan produced for Cacuaco small-scale fishing communities - Training in Microfinance, Radio communications and Naval Mechanics (engine repair) will be conducted.
	Nzeto and Kinzau	- Draft Adaptation Management Plan has been completed - Training in Microfinance, Radio communications and Naval Mechanics (engine repair) will be conducted. - In addition, a solar cooling unit be installed at Kinzau.
	Miradouro da lua	- Draft Adaptation Management Plan completed. - Training in Microfinance, Radio communications and Naval Mechanics (engine repair) will be conducted.
	Coata	- Draft Adaptation Management Plan has been completed. - Training in Microfinance, Radio communications and Naval Mechanics (engine repair) will be conducted.
	Cuio	- Draft Adaptation Management Plan has been completed. - Training in Microfinance, Radio communications and Naval Mechanics (engine repair) will be conducted.

Source: Elaborated by the Evaluation Team.

17. During a first meeting with FAO and BCC (hereafter called “the Project Management Team”), the evaluation was informed that the following activities are still planned or being concluded:
- i. Regional focus:
 - implementation of household surveys (August);
 - regional working group meeting on regional policy brief (September); and
 - compilation of overall lessons learned and posting of project documentation and videos on the BCC webpage (October).
 - ii. South Africa:
 - piloting of climate change adaptation actions (August);
 - trainings (mostly planned in October);
 - trainings and assisting safety at sea system (TBC in process);
 - production of video/documentary (September); and
 - collaboration with the government for IYAFA World Ocean Day (November).
 - iii. Angola:
 - development of literacy training module (August); and
 - development of training module for authorities on literacy will be completed in October if the budget permitted.
 - iv. Namibia:
 - new vulnerability assessment for new strategy in Luderitz (September); and
 - development of business strategy (September–October).

18. Box 1 presents an overview of the project’s basic information.

Box 1. Basic project information

<ul style="list-style-type: none"> • GEF project ID number: 5113 • Recipient country: Republic of Namibia, Republic of South Africa, and Republic of Angola • GEF Implementing Agency: Food and Agriculture Organization (FAO) • Executing Agency: Benguela Current Commission (BCC) • GEF funds: Least Developed Countries Fund (LDCF) and Special Climate Change Fund (SCCF) • PIF approved: 19 September 2012 • Date of CEO endorsement: 17 December 2014 • Date of PPRC endorsement: 28 April 2015 • Date of project start as per EOD: 15 December 2015 • Execution agreement signed: 25 January 2016 • Actual project starting date: January 2017 • Execution agreement amended: 12 June 2018 • Date of mid-term evaluation: May–November 2019 • Original date of project completion: 14 December 2020 • Date of project completion after 1st extension: 24 January 2021 • Date of project completion after 2nd extension: 24 January 2023 • GEF grant amount in the project document: USD 4 725 000 (SCCF: USD 3 025 000 & LDCF: USD 1 700 000) • GEF grant disbursement as of 30 June 2022: USD 4 650 336 (SCCF: USD 2 980 253 & LDCF: USD 1 670 083) • Co-financing amount included in project document: USD 19 166 000 • Co-financing materialized as of 30 June 2022: USD 1 017 924

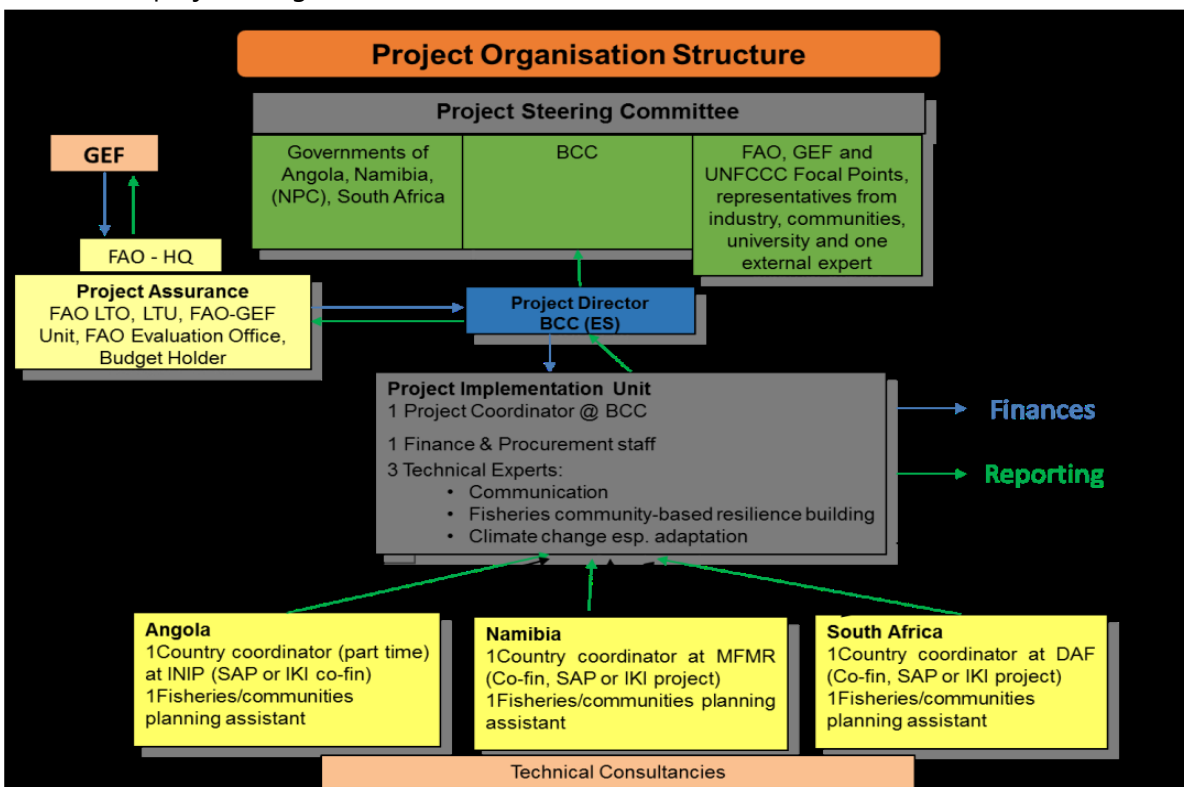
Source: Information from FAO’s Field Project Management Information System and 2022 PIR.

2.3 Project stakeholders and their role

19. The project is implemented under an Operational Partners Implementation Modality (OPIM) modality through an operational partner's agreement (OPA) between the FAO and BCC – the Project Management Team. As stated in the project document, FAO is the GEF agency for the project and is responsible for overall oversight and compliance, supervision and the provision of technical support and guidance for the project. This entails:
 - i. supervision and technical guidance services during project execution;
 - ii. manage and disburse funds from GEF;
 - iii. oversee project implementation, work plans, budget, agreements with co-financiers;
 - iv. provide technical support;
 - v. review expenditure & financial statements and review financial management; and
 - vi. reporting to the GEF.
20. As a regional project, the FAO Subregional Coordinator in the Subregional Office for Southern Africa will be the budget holder (BH). The Subregional Coordinator is responsible for the management of the GEF resources and all aspects in the Execution Agreement signed between FAO and BCC.
21. The FAO Lead Technical Officer (Senior Fishery Officer based in the Subregional Office for Southern Africa Sub-regional office) and Lead Technical Unit (LTU) (Fisheries and Aquaculture Economics and Policy Division at headquarters) provide technical advice and backstopping to the project. The LTU supports the Lead Technical Officer in responding to requests from BCC for guidance on specific technical issues during project execution.
22. The GEF Coordination Unit reviews and approves project progress reports, financial reports and budget revisions. The GEF Coordination Unit reviews and clears annual PIRs and undertakes supervision missions if considered necessary. The FAO Finance Division prepares and submits annual financial reports to the GEF Trustee and, in collaboration with the GEF Coordination Unit, call for project funds on a six-monthly basis from the GEF Trustee.
23. The BCC is the primary operational partner responsible for day-to-day technical and financial implementation, which entails:
 - i. responsible from overall coordination and execution of project activities, day-to-day monitoring and financial management in accordance with FAO/GEF reporting;
 - ii. prepare six-monthly progress reports, statements of expenditures and audit financial statements;
 - iii. support arrangements for annual supervision missions, in liaison with FAO and partners; and
 - iv. establishment and overseeing of a Project Implementation Unit.
24. The BCC is a multisectoral and inter-governmental agency established by the governments of Angola, Namibia and South Africa and mandated with the responsibility for coordinating shared management of the BCLME and its marine resources. The BCC organizational structure includes:
 - i. The Ministerial Conference, the highest decision-making body of the BCC, with each country's participation led by an appointed minister. The primary function of the Ministerial Conference is to set the policy direction of the BCC and to take necessary actions to facilitate its implementation.

- ii. The Commission, responsible for coordinating the implementation of the Strategic Action Programme and the BCC, and advancing and representing the common interests of the Parties in matters concerning the BCLME. It consists of national delegations (normally representatives from each of the relevant national ministries) and usually meets once a year.
- iii. The BCC Secretariat: The Management Board is supported by a Secretariat based in Swakopmund, Namibia. The Secretariat is headed by an Executive Secretary and provides services to the Ministerial Conference and Commission in order to facilitate the execution of BCC functions. It formulates work programmes, budgets and reports, and negotiates with international cooperating partners to support the implementation of the Strategic Action Programme.
- iv. Committees: The Commission also comprises three permanent committees – the Ecosystem Advisory Committee, the Finance and Administration Committee and the Compliance Committee – which bring together national experts in relevant fields and provide advice and recommendations to the Commission. The committees work mainly through working groups, which form the bridge for cooperation between players in the different countries of the BCC.

25. The project’s organizational structure is illustrated below:



Source: FAO. 2019. *Enhancing Climate Change Resilience in the Benguela Current Fisheries System. Mid-term evaluation.* Rome.

26. The Project Implementation Unit is established, overseen and hosted by the BCC HQ in Swakopmund, Namibia. The Project Implementation Unit consists of a Regional Project Coordinator who provides technical and administrative leadership, a communication expert and one fisheries and fisheries community expert. The Project Director is the Executive Secretary of the BCC, representing the BCC Management Board. There was a part-time monitoring and evaluation (M&E) expert till 2020, but he left to another project. Hence, M&E is now the responsibility of the Project Director and Regional Project Coordinator. There are dedicated

project coordinators on the ground in each Project country responsible for the project implementation and coordination at the national level.

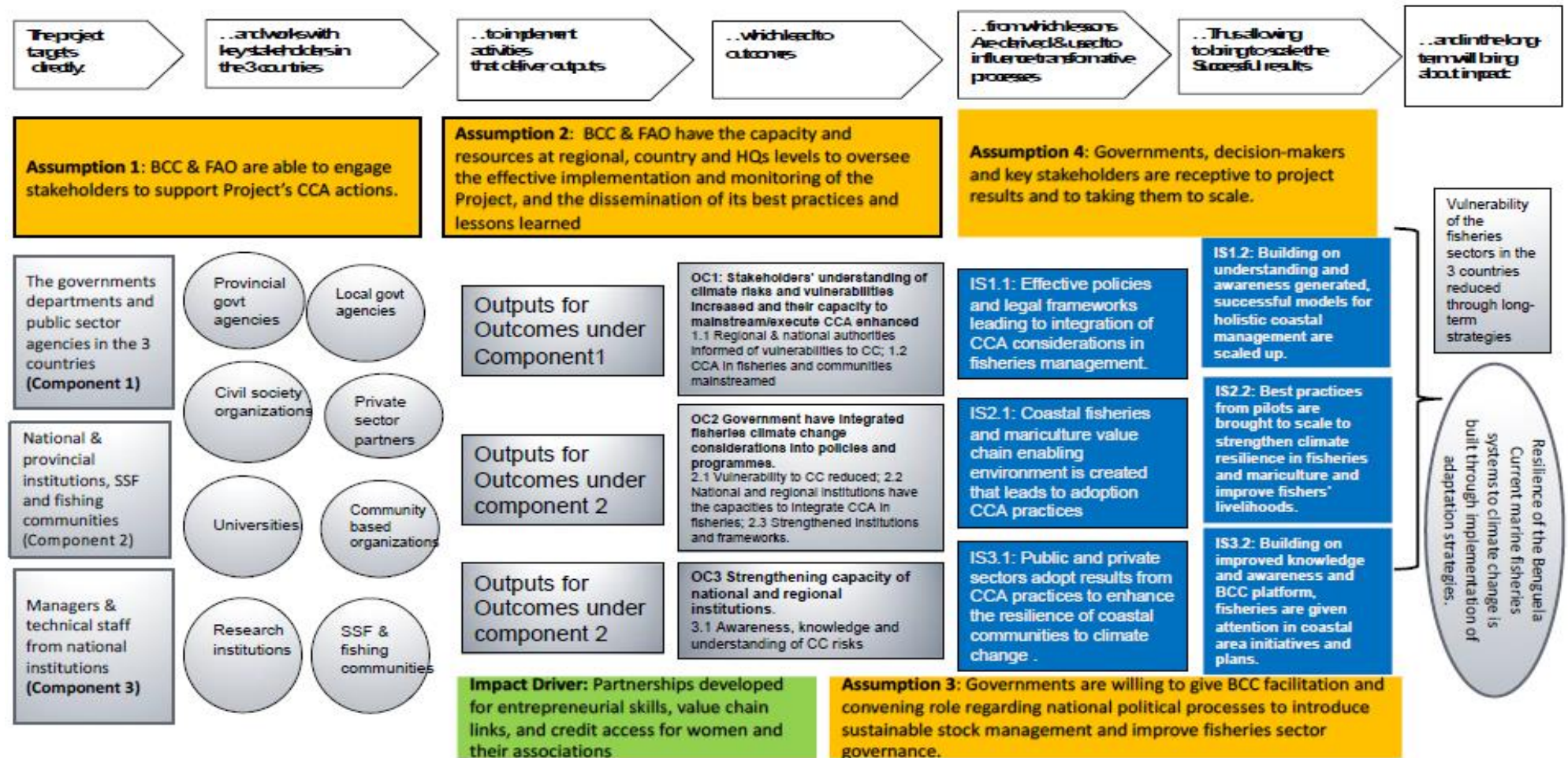
27. Project Steering Committee: The Ecosystem Advisory Committee of the BCC takes up the Project Steering Committee function. FAO and the GEF national focal point is invited to participate in the Project Steering Committee. Other experts from industry, communities, university and others are also invited to also serve on the Project Steering Committee as needed.
28. National Executing Partners: At national level, the project is executed by the following national departments: *Instituto Nacional de Investigação Pesqueira and Instituto de Desenvolvimento da Pesca Artesanal*, in Angola; the Ministry of Fisheries and Marine Resources in Namibia; and the Department of Agriculture, Forestry and Fisheries in South Africa. The national executing agencies provide technical, administrative and financial support for the project in the form of in-kind, staff time, technical reports, data and meeting space. The national executing agencies also assist in cross-sectoral coordination and the mainstreaming of fisheries and mariculture climate change considerations within departmental planning processes as well as across all national development and planning policies and frameworks (Component 1); developing local adaptive management plans for the fisheries and mariculture sectors and with capacity development (Component 2 and 3) through knowledge management and the piloting of climate change effective practices.
29. At local levels, stakeholder committees have been established within the fisheries committees. Stakeholder Representative from the different community-based organizations, non-governmental organizations (NGOs) and fishing sectors, associations and joint ventures (artisanal, small-pelagic etc.) are elected where necessary in order to ensure the effective and broad-based stakeholder participation in the implementation of national activities, particularly the implementation of the pilot adaptation plans. Local governing authorities are involved in stakeholder development and networking as well as in the implementation of community adaptation plans.
30. A detailed stakeholder overview with respective responsibilities is extracted from the PIR 2022 and included in Appendix 1.

2.4 Theory of change

31. The mid-term evaluation elaborated a reconstructed theory of change (TOC) using explicit and implicit elements from the project document and based on discussions with the Project Management Team members, the Project Implementation Unit and the national coordinators in 2019. It is presented in Figure 1 on the next page (see Annex 9 of the mid-term evaluation for a full-scale illustration). From the left, the TOC begins with the identification of the broad target categories and respective components. This is followed by the identification of key stakeholders of the project within those categories in the three countries. Then follow two levels of the identification of the project strategy: the level of outputs to be delivered, followed by the outcomes resulting from these outputs.
32. Outcome 4.1 is not included in this illustration but is an important tool as it is needed to ensure that the implementation partners can meet their accountability obligations, and the ongoing learning process can take place throughout the implementation of the project. This is reflected in Assumption 2 "BCC & FAO have the capacity and resources at regional, country and headquarters levels to oversee the effective implementation and monitoring of the project, and to disseminate its best practices and lessons learned". The TOC illustrates a number of intermediate states, assumptions (orange boxes), and impact drivers (green box).
33. As this TOC is based on the old project design and logical framework, the Terminal Evaluation Team will review the TOC and update it if and where necessary, in collaboration with key project

stakeholders. During this exercise, the Evaluation Team will pay particular attention to external factors, assumptions and drivers, which may have changed over time.

Figure 1. Reconstructed theory of change at the mid-term evaluation



Source: Elaborated by the Evaluation Team.

2.5 Mid-term evaluation

34. A mid-term evaluation was conducted in 2019 by the FAO Office of Evaluation to assess the progress towards expected results. Overall, the mid-term evaluation found that the project's objective and outcomes are strongly relevant, but that the project did not show much sign of progress towards the achievement of its planned outcomes and its objective in 2019. The mid-term evaluation provided specific recommendations divided by six categories that are illustrated below, accompanied by the project's follow-up actions as per 2022 PIR:

Theory of change

Recommendation 1.1. Re-examine the logic of the project in order to make explicit its TOC, focus on country-driven integration of the project's activities in their marine fisheries CCA strategies, and the measures for sustainability. Engage the Project Steering Committee in this process.

Project follow up action: FAO/BCC consultations took place in March 2020 in Swakopmund, Namibia to re-design the project. The revised logframe was discussed in the Project Steering Committee meeting of June 2020. The Project Steering Committee recommended to the Commissioners to adopt the revised logframe and the support a no-cost extension of the project.

Recommendation 1.2. Provide training and support to small-scale fisheries cooperatives and associations for the development of business and strategic plans.

Project follow up action: Training delivered to small-scale fisheries: Angola: Microfinance, radio telecommunication, vessel's motor repairing and cooperative as well post-harvest fish handling, navigation and safety at sea. Namibia: Lüderitz – business development and entrepreneurship, and on establishing cooperatives South Africa: Hondeklipbaai and Humansdorp – business literacy.

Effectiveness

Recommendation 2.1. Strengthen the role of the key national partners in the implementation of the Project with the aim of institutionalizing its activities in the strategies of each country. This is particularly important for the successful implementation of Component 1.

Project follow up action: Institutionalization and mainstreaming recommendations are in place for all three countries.

Recommendation 2.2. Undertake well targeted delivery of CD as planned under Component 3, based on needs analysis and CD plan elaborated in consultation with stakeholders, in order to enhance the likelihood of project sustainability. The identification of these needs should involve the partners and stakeholders.

Project follow up action: Priority CD interventions were identified by target communities during consultations on adaptation options. Communities include. Business planning and value chain improvement are among identified CD needs. Angola: Cacucaco and Tombwa. Namibia: Lüderitz, South Africa: Humansdorp, Hondeklipbaai.

Sustainability

Recommendation 3.1. Take measures and action to enhance the likelihood of the sustainability of the Project by identifying with key stakeholders the assumptions that are critical to mitigating the risks. This requires doing a detailed risk analysis and producing a risk mitigation plan.

Project follow-up action: The risk analysis was part of the revision of the project. Risks are continuously identified during the project implementation and addressed. For example, the payment in Angola was solved

through a memorandum of understanding with the Instituto de Desenvolvimento da Pesca Artesanal e da Aquicultura.

Factors affecting performance

Recommendation 4.1. FAO and BCC should jointly work on modalities that allow to ensure that procedures do not constitute one of the main barriers for the successful implementation of the project. Regarding the problem of transferring funds to Angola, FAO should find a solution with the Government of Angola, and involve its representation in the country, as appropriate, in operationalizing that solution.

Project follow-up action: see sustainability follow-up.

Recommendation 4.2. The Project Implementation Unit should swiftly take follow-up measures to implement recommendation 1.1 above.

Project follow-up action: The Project Implementation Unit has developed tools/mechanisms to continuously track project progress and implementation at national levels.

Recommendation 4.3. The project should improve the M&E, learning and reporting system so that it can improve the piloting of its interventions, the monitoring of its outcomes and impacts, the lessons from its CCA actions, and be able to better inform its key stakeholders.

Project follow-up action: The M&E was addressed during the revision of the log frame. The targets set were more realistic in line with TOC. Reporting is done monthly to FAO and to a core national management group in the respective countries. The M&E System was revised during Mar 2020 in consultation with FAO.

Recommendation 4.4. Get inputs from national partners' communication services prior to adopting the Draft Communication strategy. In its implementation, strengthen networking with these national partners' communication services.

Project follow-up action: BCC draft communication policy and a draft communication strategy have been developed. These have been shared with FAO for input. Management response indicated "BCC to implement and FAO to advice on processes and materials through the Subregional Office for Southern Africa to clear materials".

Cross-cutting dimensions

Recommendation 5.1. The project should step up CCA actions to empower women in fishers' communities to participate in in small-scale fisheries-based value chains, particularly by building their entrepreneurship, organizational and managerial capacities, through partnerships with specialized public agencies and civil society organizations.

Project follow-up action: Current status on actions related to women empowerment not specified. South Africa: Training for the Hondeklipbaai Women's Forum on sustainable jewellery making for alternative livelihoods. Video production focusing on the struggles of women at being left out of the small-scale fisheries process. Regarding the Value Chains: Angola: Tombwa and Cacuo selected for the assessment of opportunities to improve existing value chains. Namibia: Value chain analysis to commence for HAFA in June/July with the aim of value addition to achieve better markets and market prices. South Africa: Value chain analysis for Humansdorp (Elinye Fishing Co-operative), business plan developed for improved value chain.

Reflection on the future of the project

Recommendation 6.1. A one-year extension is necessary, which should take place if challenges regarding institutional arrangements are addressed. The project and its key stakeholders should start to take stock of what has been achieved and learnt and what remains to be achieved, particularly in the area of rapid vulnerability assessment studies.

Project follow-up action: Two project extensions were granted. Stocktaking and collection of lessons learned is currently ongoing.

3. Terminal evaluation purpose, audience and scope

35. Evaluation purpose: The terminal evaluation is carried out in conformity with the agreement between FAO and the BCC concerning the execution of the project. The agreement states in its Article III that FAO shall “in consultation with the executing partner, ensure arrangements for independent mid-term and terminal evaluations and submit reports to the GEF Secretariat and to the GEF Evaluation Office.” The evaluation is also demanded by the GEF and the FAO for project monitoring and reporting purposes. It is conducted for both accountability and learning purposes of the GEF, FAO and other participating institutions.
36. This terminal evaluation serves a double purpose of accountability and learning. It will assess the project results, their value relevant to target beneficiaries, national needs and priorities as well as document important lessons for potential scaling, replication or follow-up projects/programmes in the Southern African region that may use similar approaches, target beneficiaries, tools and project/programme design elements.
37. The primary audience of the evaluation is composed of:
- i. the FAO Regional Office for Africa; the FAO Subregional Office for Southern Africa; FAO Country Offices in Angola, Namibia and South Africa, the BCC, members of the Project Task Force (PTF) at FAO headquarters who will use the evaluation findings and lessons for internal learning and as a tool to promote further dialogue between stakeholders to enhance a plan for sustainability of the results achieved; and
 - ii. the GEF and the GEF Coordination Unit who will use the findings to inform strategic investment decisions in the future in the region, and Angola, Namibia and South Africa;
38. The secondary audience of the evaluation is composed of:
- i. all regional, national and subnational counterparts and external partners involved in implementation that could use the evaluation findings to optimize their involvement in the sustainability of project benefits; and
 - ii. other donors, organizations and institutions interested in supporting and/or implementing similar projects.
39. The scope of the evaluation: The terminal evaluation will consider the entire project implementation period until the end of November 2022. However, particular attention will be given to the analysis of the efforts that have been made since the mid-term evaluation of the project. The evaluation will cover all four project outcomes.
40. It will cover all three countries in the Benguela region where the project is being implemented, although not all of the coastal towns/project locations might be visited by the Evaluation Team. The Project Management Team will advise the Evaluation Team in the identification and selection of stakeholders, project sites and activities for the assessment. The outcome of the final decision, by the Evaluation Team, will emerge during the inception phase.

4. Evaluation objective and questions

41. The objective of the evaluation describes what the evaluation is expected to achieve. For example, the main objective may be to assess the extent to which a project/programme has achieved its intended results and identify design and implementation issues that need to be addressed before scaling-up the project model. Specific objectives could also accompany overall objectives, for example: assess the value added concerning the adoption of specific tools and methodologies in project/programme implementation; provide suggestions for the review of the logical framework; assess the value of particular governance arrangements; project/programme contribution to larger programmes; etc.
42. While the evaluation objective summarizes what the evaluation will assess, the questions identify what needs to be looked at to meet these objectives. The evaluation questions target the key information needs of the evaluation, the answers for which the primary intended users of the evaluation can use to make decisions, take action or add to knowledge.

4.1 Evaluation questions

43. The evaluation is expected to address the following main questions, which will also become sections of the evaluation report.

GEF evaluation criteria	Evaluation questions
Relevance (rating required)	<p><i>EQ 1: To what extent is the revised project design relevant to the GEF focal areas, FAO's country programming framework and Climate Change Strategy, as well as national climate goals and stakeholder needs?</i></p> <p>EQ 1.1: In what ways did changes to the project design and approach post-mid-term evaluation affect the relevance of the project during implementation? (e.g. revised results matrix and country work plans)</p> <p>EQ 1.2: Were the project outcomes and outputs congruent with the GEF focal areas/operational programme strategies, FAO Country Programming Framework and FAO's Climate Change Strategy?</p> <p>EQ 1.3: Was the intervention (outcomes and outputs) aligned with national priorities/strategies/policies in climate action, including National Adaptation Plans and Adaptation Communications?</p> <p>EQ 1.4: Is the revised project design and approach still relevant to the climate change adaptation needs of national stakeholders and local coastal communities whose livelihoods depend on fisheries and mariculture?</p> <p>EQ 1.5: Has the revised project design and approach taken into account (revised) specific features related to engagement and delegation of responsibilities between the operational partners FAO and BCC in the OPIM partnership?</p>
Effectiveness (rating required)	<p><i>EQ 2: To what extent have the project outputs, outcomes and the objective been achieved, and how effective was the project in achieving them?</i></p> <p>EQ 2.1: Outcome 1: To what extent has the project contributed to increased Stakeholder understanding of climate risks and vulnerabilities and their capacity to mainstream / execute climate change adaptation in fisheries is enhanced (e.g. through the development of policy briefs on mainstreaming climate change adaptation in fisheries, emanating from vulnerability assessments as well as formulation of recommendations to update existing strategies and policies)</p> <p>EQ 2.2: Outcome 2: To what extent has the project contributed to the reduction of vulnerability to climate change (e.g. through community-based adaptation management plans and implementation of adaptation options)</p> <p>EQ 2.3: Outcome 3: To what extent has the project contributed to a proactive and forward-looking approach to climate change risks among key stakeholders (e.g. through the support to forums for exchange and training tools)</p> <p>EQ 2.4: Outcome 4: To what extent has the project been monitored effectively and efficiently and have best practices and lessons learned been disseminated?</p> <p>EQ 2.5: Are there any unintended results, either positive or negative?</p>

GEF evaluation criteria	Evaluation questions
Efficiency (rating required)	<p><i>EQ 3: To what 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?</i></p> <p>EQ 3.1: Was the project cost-effective? How does the project cost/time versus output/outcomes equation compare to that of similar projects?</p> <p>EQ 3.2: How was the organizational set-up of the project in terms of synergies and complimentary between the components/activities? And between the project countries as well as between project sites within each country?</p> <p>EQ 3.3: To what extent has the project governance structure (OPIM partnership) facilitated or hampered project execution, timely resolution of issues during project implementation and contribution to project objectives? What have been the key factors affecting coordination, collaboration and dialogue among stakeholders and partners in positive or negative ways?</p> <p>EQ 3.4: To what extent has the project been able to adapt to any changing conditions (e.g. delays, COVID-19, and suggestions for improvement)?</p>
Sustainability (rating required)	<p><i>EQ 4: What is the likelihood that the project results and benefits will continue to be useful or will remain even after the end of the project?</i></p> <p>EQ 4.1: Has the project put in place sustainability mechanisms (i.e. an exit strategy in each country)?</p> <p>EQ 4.2: What is the level of ownership of the Project's results, supported processes and introduced climate change adaptation knowledge by the targeted stakeholders, at both national and local level?</p> <p>EQ 4.3: What are the incentives in place for continuing the good practices related to climate adaptation and mitigation?</p>
Factors affecting performance (rating required)	<p><i>EQ 5: Monitoring and evaluation</i></p> <p>EQ 5.1: M&E design: Was the M&E plan, including any changes made after the mid-term evaluation, practical and sufficient?</p> <p>EQ 5.2: M&E implementation: Did the M&E system operate as per the (updated) M&E plan? Was information gathered in a systematic manner, using appropriate methodologies?</p> <p>EQ 5.3: Was the information from the M&E system appropriately used to make timely decisions and foster learning during project implementation?</p> <p><i>EQ 6: Quality of implementation and execution</i></p> <p>EQ 6.1: To what extent did FAO deliver on project identification, concept preparation, appraisal, preparation, approval and start-up, oversight and supervision? How well were risks identified and managed?</p> <p>EQ 6.2: To what extent did the execution agency(ies) effectively discharge its role and responsibilities related to the management and administration of the project?</p> <p><i>EQ 7: Financial management and mobilization of expected co-financing</i></p> <p>EQ 7.1: To what extent did the expected co-financing materialize, and how did shortfall in co-financing, or materialization of greater than expected co-financing affect project results?</p> <p><i>EQ 8: Project partnership and stakeholder engagement</i></p> <p>EQ 8.1: To what extent was the choice and range of partners included in project implementation, and their capacities, appropriate? And what was the effect on the project results?</p> <p>EQ 8.2: Did the project consider and integrate climate-related actions, priorities and strategies by other partners active in fisheries and CCA in the three project countries?</p> <p><i>EQ 9: Communication, knowledge management and knowledge products</i></p> <p>EQ 9.1: How is the project assessing, documenting and sharing its results, lessons learned and experiences?</p> <p>EQ 9.2: To what extent are communication products and activities likely to support the sustainability and scaling-up of project results?</p>
Cross-cutting concerns Gender (rating required)	<p><i>EQ 10: To what extent were gender considerations taken into account in the revised design and implementation of the project?</i></p> <p>EQ 10.1: Was the project implemented in a manner that ensures gender equitable participation and benefits? (e.g. in trainings)</p> <p>EQ 10.2: How did the project step up CCA actions to empower women in fishers' communities to participate in small-scale fisheries-based value chains, particularly by building their entrepreneurship, organizational and managerial capacities, through partnerships with specialized public agencies and civil society organizations? (mid-term evaluation recommendation 5)</p>

GEF evaluation criteria	Evaluation questions
Minority groups, including indigenous peoples, disadvantaged, vulnerable and people with disabilities, and youth (rating required)	<i>EQ 11: To what extent were minority groups, including indigenous peoples, disadvantaged, vulnerable and people with disabilities, and youth taken into account in the revised design and implementation of the project?</i>
Environmental and social safeguards (rating required)	<i>EQ 12: To what extent were environmental and social concerns taken into consideration in the revised design and implementation of the project?</i>
Progress to impact (rating required)	<i>EQ 13: To what extent did the project contribute to long-term enhanced climate resilience for the beneficiaries in the Benguela Current Fisheries System?</i> EQ 13.1: Is there any evidence of environmental and climate stress reduction and environmental status change, or any change in policy/legal/regulatory frameworks? EQ 13.2: Which factors or risks may promote or prevent future progress towards the eventual achievement of enhanced climate change resilience in the Benguela Current Fisheries System?
Lessons learned	<i>EQ 14: What knowledge has been generated from project results and experiences, which have a wider value and potential for broader application, replication and use?</i>

Source: Elaborated by the Evaluation Team.

5. Methodology

44. The evaluation will adhere to the United Nations Evaluation Group (UNEG) Norms and Standards² and be in line with the FAO Office of Evaluation Manual and methodological guidelines and practices. The evaluation will adopt a consultative 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.
45. The evaluation will be results focused and will use the above key evaluation questions and GEF criteria as main areas of analysis, following the guidance presented in appendix 5-7. To answer the key questions, an evaluation matrix will be developed by the Evaluation Team leader, in which the indicators, the evaluative criteria, the sources of information to monitor said indicators, as well as the methods and instruments that will be used to respond to the evaluation criteria will be detailed. The Evaluation Team will further develop the main evaluation questions and sub-questions presented in this TOR to capture specific features of project implementation. The evaluation will also present and assess the financial and co-financing data according to the new GEF Guidelines published in May 2019, adapted to this terminal evaluation.
46. The evaluation questions will be answered through the following methods and triangulation of sources:
 - i. A desk-review of documents produced by -or related to- the project (e.g. design document, progress/annual reports, annual work plans, knowledge management and event material, the mid-term evaluation report, M&E data, secondary data, etc.) will be key to better understand the project's objectives, activities and progress, and will serve as a first input to answer the evaluation questions. Also, the technical aspects of the project will be assessed by comparing the produced outputs (vulnerability assessments, policy briefs, list of adaptation options, etc.) with information from technical papers produced by FAO or other entities to check relevance and alignment. The desk-review will be an important source of information for the inception phase, and later to triangulate information received during interviews, focus-group discussions and field visits.
 - ii. TOC: As mentioned in section 2.4, the Evaluation Team will review the mid-term TOC and update it if and where necessary, in collaboration with key project stakeholders. During this exercise, the Evaluation Team will pay particular attention to external factors, assumptions and drivers, which may have changed over time. The TOC approach, thus, will serve for the analysis of the project strategy and design.
 - iii. Semi-structured key informant interviews and focus group discussions (in-person or remote) with key stakeholders and other informants that were involved in -or affected by- the project design and/or implementation, will serve to ask more in-depth questions, prior to, or based on desk review findings. In-person interviews and focus group discussions will be carried out during the country missions (see point iv below), while phone or Skype/Zoom interviews will be undertaken with selected partners or stakeholders not visited by the Evaluation Team.
 - The final selection of interviewees and organization of focus group discussions will be based on a stakeholder mapping and sampling exercise during the inception phase, following selection criteria of the Evaluation Team and suggestions from the project team, and taking into account appropriate security measures and

² <http://www.uneval.org/document/detail/21>

COVID-19 safety precautions. The evaluation will aim to interview/hold focus group discussions with both men and women, with project participants from different locations and at different levels (local communities, government authorities, etc.).

- A protocol for the interviews and focus group discussions will be developed according to the type of actor to be interviewed and the topic to be addressed. Special attention will be paid to ensure that women, indigenous groups and other disadvantaged groups are properly consulted. Confidentiality will be guaranteed for all interviews and discussions.

iv. Mission to selected coastal towns in Namibia, Angola and South Africa: One-week missions (around five-seven days for each country) will be planned for early November 2022. The exact dates for the various meetings will be further decided between the Evaluation Team and the Project Management Team allowing for enough time for logistical arrangements in October 2022 (flight tickets, car, hotel and meeting agendas). To guarantee a smooth sequence and execution of the data-collection, and to guarantee the safety of the Evaluation Team and the project stakeholders, strong coordination between the Evaluation Team, FAO and local BCC project coordinators will be required for the planning, logistics and confirmation of appointments. After the evaluation missions, the Evaluation Team will organize a debriefing to present and discuss preliminary findings to selected project stakeholders. Based on the project area and activities table in paragraph 15, the following preliminary selection of project coastal towns have been made for visits:

- South Africa: Humansdorp and Hondeklipbaai as these have most activities, as well as St Helena Bay as it was covered by the mid-term evaluation which will allow for comparison.
- Namibia: Lüderitz and Henties Bay, as these are the only two coastal towns covered by the project. Both were also covered by the mid-term evaluation.
- Angola: Tombwa and Cacuaco, as the project scaled down the project area from seven coastal towns to these two. Cacuaco was also covered by the mid-term evaluation.

47. During the inception phase, the Project Management Team will advise the Evaluation Team on the final selection of coastal towns, project sites and other important cities to be visited (e.g. Swakopmund, Namibia where BCC is located) and the stakeholders to be included in the interviews/focus group discussions. The final selection should be representative and purposeful, based on the following selection criteria:³ i) topic, scope and context of the project activities; ii) ease of access by the Evaluation Team, travel time and safety; iii) the performance of the activity; and iv) inclusion of at least one coastal town covered by the mid-term evaluation per country. The Evaluation Team will cover selected activities under each project outcome and will try to sample, to the extent possible, a balanced amount of successful and less successful sites and activities that can produce lessons, good practices and insights in impediments.

48. To evaluate sustainability, four main criteria will be assessed: i) beneficiaries' ownership of project results; ii) availability of resources; iii) sufficient capacities of the actors involved; and iv) conducive institutional and social environment. In terms of gender analysis, the Evaluation Team will assess the project's contribution to the objectives presented in the FAO Policy on Gender Equality,⁴ as well as in the GEF Policy on Gender Equality. To evaluate the work carried out with local

³ Which may be amended/expanded by the evaluation team during the inception phase.

⁴ <https://www.fao.org/3/cb1583en/cb1583en.pdf>

communities, the Evaluation Team will use the FAO Free, Prior and Informed Consent (FPIC) Manual.⁵ Together with the FAO Policy on Indigenous and Tribal Peoples,⁶ this document will serve as a reference regarding FAO's approach and processes for reaching consensus with local communities benefiting from a project.

49. The draft FAO Office of Evaluation climate change guidelines currently being piloted, will help the Evaluation Manager in the formulation of climate change-focussed evaluation questions and the Evaluation Team as a whole in applying this new perspective to the evaluation. The FAO Office of Evaluation climate change focal point will peer review the evaluation TOR and draft evaluation report and provide inputs based on the FAO Office of Evaluation climate change guidelines.
50. Final decisions by the Evaluation Team about the evaluation design and data collection methods for this evaluation will emerge from consultations among the Evaluation Team, the Project Management Team and key stakeholders about what is appropriate and feasible to answer the evaluation questions. This will be detailed in the inception report.

⁵ <https://www.fao.org/indigenous-peoples/our-pillars/fpic/en/>

⁶ https://www.fao.org/fileadmin/user_upload/newsroom/docs/FAO_policy.pdf

6. Roles and responsibilities

51. The FAO Office of Evaluation, in particular the Evaluation Manager, develops the first draft TOR with inputs from the Project Management Team. The Evaluation Manager is responsible for the finalization of the TOR and for the selection of the Evaluation Team. The Evaluation Manager may ask the Project Management Team to help in the search for eligible candidates. The Evaluation Manager will brief the Evaluation Team on the evaluation process, report templates and guidelines, and introduce them to the Project Management Team. The Evaluation Manager will review the team's main outputs, such as the inception report, the data-collection tools and agenda, interview notes, debriefing presentation as well as the draft/final evaluation report and comment matrix for quality assurance purposes in terms of presentation, compliance with the TOR and timely delivery, quality, clarity and soundness of evidence and analysis provided. The Evaluation Manager also has the responsibility to follow up with the BH for the timely preparation of the management response and with the FAO Office of Evaluation communication unit for the publication of the report.
52. Quality assurance of the evaluation report will also be done by the FAO Office of Evaluation (comments by the FAO Office of Evaluation climate change focal point and one evaluation officer for final FAO Office of Evaluation clearance), and in the exercise of such function, the FAO Office of Evaluation may require textual and substantial changes on the report. Moreover, being the principal author of the report, the FAO Office of Evaluation holds an option to make final changes on the composition of the report as it deems necessary, and in line with FAO/GEF/UNEG evaluation standards and policy.
53. The Project Management Team, which includes the FAO PTF and the BCC, are both responsible for i) providing inputs to the first version of the TOR (especially the description of the background section, stakeholders and suggestions for evaluation questions); ii) making logistical arrangements for the data-collection (internal flight tickets, car and driver or other means as appropriate, and the organization of meetings for the Evaluation Team); and iii) supporting the Evaluation Team during other steps of their work. This entails, amongst others, meeting with the Evaluation Team for discussions, providing available information, documentation and contact details of stakeholders as necessary in a timely manner, and commenting on the debriefing presentation and draft report. Involvement of different members of the Project Management Team will depend on respective roles and participation in the project. In case some key stakeholders, such as government representatives of the three project countries, should participate in certain steps of the exercise, such as commenting on the TOR, debriefing and draft report, they are kindly asked to propose and organize their participation.
54. The GEF Coordination Unit (in particular the Funding Liaison Officer) is responsible for providing inputs to the first version of the TOR. They are required to meet with the Evaluation Team, make available information and documentation as necessary, and comment on the draft evaluation report.
55. The country level GEF Operational Focal Points. The Operational Focal Points will, where applicable and feasible, be briefed and debriefed at the start and at the end of evaluation missions. They will receive the draft report for comments, 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 Operational Focal Points 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.

56. The FAO BH is responsible for leading and coordinating the preparation of the management response and the follow-up report to the evaluation, fully supported in this task by the Lead Technical Officer, the project coordinator and others members of the Project Management Team. The FAO Office of Evaluation guidelines for the management response and the follow-up report provide necessary details on this process and will be shared in due course. The request for the management response and follow-up report is centralized and under the responsibility of the FAO Office of Evaluation IMS focal point. The BH will be notified by email when it is time to submit these items to the FAO Office of Evaluation and, after consulting with main project stakeholders, will be responsible of filling in the Microsoft Form provided by the FAO Office of Evaluation.
57. The Evaluation Team is responsible for further developing and applying the evaluation methodology, for developing the data-collection tools, for conducting the evaluation, and for producing the deliverables as described in section 8. The Evaluation Team will also conduct briefing and debriefing meetings and engage in discussions with the Evaluation Manager, Project Management Team and other stakeholders as relevant. The Evaluation Team will agree on the outline of the report early in the evaluation process, based on the GEF report template provided by the FAO Office of Evaluation. The Evaluation Team is fully responsible for its report which may not reflect the views of governments or of FAO. An evaluation report is not subject to technical clearance by FAO although the FAO Office of Evaluation is responsible for quality assurance of all evaluation reports.
58. The Evaluation Team Leader is responsible for leading this evaluation. He/she guides and coordinates the team member(s) in their work. While they will work together on all steps, the Evaluation Team Leader prepares and revises the inception report, debriefing PowerPoint presentation as well as the draft and the final evaluation report with the comment matrix, consolidating the inputs from the team member with his/her own.⁷

⁷ For further details related to the tasks of evaluation team members, please refer to the TORs of each member.

7. Evaluation team composition and profile

59. Given the scope of this project, the Evaluation Manager is searching for an Evaluation Team based in Africa, composed on one team leader and one or two team members. Since data-collection missions are planned for Angola, Namibia and South Africa, the team should ideally be based in the three project countries, or a neighbouring country with working experience in one or more project countries.
60. The Evaluation Team Leader (mainly evaluation expert, fisheries/climate change expertise is a plus) should have demonstrated experience in leading evaluations (of GEF evaluations is a plus) and supervising Evaluation Teams, and preferably have expertise in small-scale fisheries development and climate change adaptation, with working experience in South Africa and/or Namibia and/or Angola in the aforementioned fields of work. The Evaluation Team Leader is expected to conduct a mission to at least one of the three project countries and to remotely supervise the team member(s) covering the other project country/countries.
61. The Evaluation Team member(s) (mainly fisheries/climate change expert(s), evaluation expertise is a plus) should have demonstrated in small-scale fisheries development and climate change adaptation, and have working experience in South Africa, and/or Namibia and/or Angola in the aforementioned fields of work. The coverage of multiple countries per consultant may be considered based on profile, experience and availability of the candidates.
62. The Evaluation Team can have no prior involvement in this project. It is important that the team leader is fluent in English and that at least one person in the team is fluent in both English and Portuguese, for the data-collection in Angola.

8. Evaluation products (deliverables)

63. The Evaluation Team will produce the following deliverables:

- i. Evaluation inception report (an internal document within the Evaluation Team – selected information to be shared with Project Management Team during briefing). The inception report will be prepared before the data collection and include the following: i) additional background information on the project including a reconstructed TOC and focus areas for the evaluation; ii) a presentation of the elaborated evaluation methodology; iii) an elaborated stakeholder analysis for data-collection; iv) selection criteria and approach for sampling of interviewees and project districts; v) an evaluation matrix showing how each evaluation question will be answered through indicators, methods, sources of data and data collection procedures; vi) an overview of expected limitations and risks; and vii) an expected timeline for data-collection, analysis, debriefing and report preparation. The inception report should also include a flexible plan, with different scenarios, for the investigation phase when it is not possible to entirely plan ahead for field/country visits. All comments received are addressed in track change mode. The outline of the report can be seen in Appendix 2.
 - The Evaluation Team will also develop the data-collection tools, such as interview questions, check-lists and (face to face or virtual) protocols as appropriate, as well as the planning and agenda of the field work, other interviews and collection of secondary data as per evaluation matrix. These outputs will be prepared in parallel or right after the inception report.
- ii. Debriefing presentation to the Project Management Team, selected counterparts and the GEF Coordination Unit: The debriefing presentation will be prepared in PowerPoint illustrating highlights of preliminary findings, conclusions and recommendations and will be presented by the Evaluation Team Leader, with inputs from the team member(s). The main objectives are i) to inform the audience about the evaluation process and direction of the evaluation findings; and ii) to gather feedback to be considered in preparing the draft report.
- iii. Zero draft evaluation report: The report (max. 55 pages) will be prepared in English with numbered paragraphs and will follow the the GEF-FAO Office of Evaluation reporting outline template and guidelines for style and referencing, for project evaluation report writing. The FAO Office of Evaluation will review the zero draft of the evaluation report submitted by the Evaluation Team to ensure it meets the FAO Office of Evaluation's quality standards and criteria (two separate rounds: Evaluation Manager and FAO Office of evaluation final clearance). All comments received are addressed in track change mode.
 - Once comments have been addressed in each round, the draft evaluation report will then be circulated to the GEF Coordination Unit and the Project Management Team (the latter will collect feedback from relevant counterparts) for comments in a final comment round before finalization. The Evaluation Team is responsible for consolidating and reporting the received comments in a matrix and responding to all comments received from project's stakeholders to the draft evaluation report. The Evaluation Manager will support the Evaluation Team in collecting and collating the received feedback. The comment matrix will serve as an audit trail.
- iv. Final evaluation report: The final version is the result of the incorporation of comments received and will now also include an abstract and executive summary – prepared by the Evaluation Team Leader. All referencing, acronyms, and appendices should now be duly

complete and formatted according to the guidelines, before publication on the FAO Office of Evaluation website.

- v. Appendices/annexes to the draft and final evaluation report: Supporting data and analysis will be annexed to the draft and final report, including the final TOC, the evaluation matrix, the list of the main documents reviewed, the list of organizations and people met. Additional information may be added.
- vi. Supporting evidence: All primary and secondary data collected should be recorded in English during the evaluation process, shared with the Evaluation Manager from the FAO Office of Evaluation, and organized in a structured format agreed with the FAO Office of Evaluation (such as typed-out English interview and desk notes, tables and graphs, overview of persons interviewed and references/documents consulted etc. are saved in the evaluation OneDrive folder).

9. Evaluation time frame

64. The evaluation's expected timeframe and responsibilities are presented below.

Task	Dates	Responsibility
Designing and recruitment phase		
Launch vacancy and team identification	August-September	Evaluation Manager
Evaluation TOR preparation	September	Evaluation Manager, Lead Technical Officer, Funding Liaison Officer, BCC and GEF Coordination Unit
Team recruitment and onboarding	Early October	Evaluation Manager
Reading background documentation	October	Evaluation Team
Briefing of Evaluation Team	October	Evaluation Manager, Lead Technical Officer, Funding Liaison Officer, BCC and GEF Coordination Unit
Travel arrangements and organization of the agenda/travel itinerary in the country for the field mission	October	Evaluation Manager, project team/country office, BCC and Evaluation Team
Inception report	October	Evaluation Team
Data collection and analysis		
Data collection	November	Evaluation Team with support of Evaluation Manager and BCC/country offices
Debriefing on preliminary findings and conclusions	November	Evaluation Team to Evaluation Manager, Lead Technical Officer, Funding Liaison Officer, BCC and GEF Coordination Unit
Report preparation and dissemination		
Production of first draft for Evaluation Manager review	December	Evaluation Team
Incorporation of Evaluation Manager comments and production of second draft for FAO Office of Evaluation clearance	January	Evaluation Team
Circulation of first draft for stakeholder comments (BH, Lead Technical Officer, Funding Liaison Officer, BCC, GEF Coordination Unit, key national partners, country offices)	January	Evaluation Manager
Integration of stakeholder comments and production of the final report and comment matrix	January	Evaluation Team
Circulation of final report and publication	February	Evaluation Manager
Management response	One month after the final report is issued	BH
Follow-up report on terminal evaluation	Six months after the management response is issued	BH

References

BCC. n.d. *The Benguela Current Convention*. Benguela, Angola.

http://www.internationalwatersgovernance.com/uploads/1/3/5/2/13524076/benguela_convention_english.pdf

Appendix 1. Detailed overview of project stakeholders

Stakeholder name	Role in project execution	Progress and results on stakeholders' engagement
Angola		
National Directorate of Fisheries,	National Working Group member (NWG)	
National Directorate for Maritime surveillance	National Working Group member	Guide CC Team on what type of navigational equipment to purchase for the community
Institute of fishing and maritime research	NWG	Scientific guideline on fish species
Institute of Development of Artisanal Fisheries	Project Focal Point and Chairman of NWG	Organisation of the communities in cooperatives and turning them into functional
Ministry of Planning and Economy	NWG	Insertion of small-scale fisheries into National Development Program
Study, Planning and Statistic Office	NWG	Looking at the CC Planning and variables statistics
National Directorate for Environment and Climate Change	NWG	Channel to incorporate CC into the other sectoral plans
National Institute of Biodiversity and Conservation	NWG	Management of natural resources
National Institute of Environmental Management	NWG	Promotion of environmental education
Benguela Provincial Department of Transport	NWG	Guide CC Team on what type of navigational and safety equipment to be purchased for communities
University of Namibe	NWG	Guidance on scientific aspects of small-scale fisheries, LSF and aquaculture
National Directorate for Sea Matters	NWG	Maritime Planning
National Directorate for Fishing and Aquaculture	NWG	Ensurance of mariculture adaptation options into national development plans
INAMET	NWG	Disseminate meteorology information to stakeholders and advise
Maritime National Agency	NWG	Guide CC Team on what type of navigational and safety equipment to purchase for communities
Namibia		
Ministry of Fisheries & Marine Resources	Lead Ministry for the CC project	Tracking project implementation. In addition, planning for the mainstreaming of the project. Chairperson of the NFCCWG and core management group.
Ministry of Agriculture, Water and Land Reform	The Ministry has in the broader context links to BCC via the Namibian delegation.	Not directly involve in the project. However, the Ministry is important stakeholder when gardening is considered as an alternative livelihood.
Ministry of Environment, Forestry and Tourism	Focal Ministry for CC in Namibia	Reporting on the implementation of the National Climate Change Strategy and Action Plan. Part of the core

Stakeholder name	Role in project execution	Progress and results on stakeholders' engagement
		management team and the NFCCWG.
Luderitz Town Council	Active partner on the mainstreaming of small-scale fisheries in Luderitz	None
Hanganeni Artisanal Fisheries Association	Participate in developing locally adaptive plans; dissemination of information and knowledge & exchange	Member of the NFCCWG
Meteorological services	Stakeholder for the realization of the early warning system.	Assisted with the verification of the Early warning documents for Namibia
National Planning Commission (NPC)	Important stakeholder of the project. The NPC is overseeing all development in Namibia at National, regional and local government.	Part of the core management team and the NFCCWG meeting.
NAMPORT	The project is reporting back to RIO Convention committee in Namibia. Namport is a member of the said Committee	The RIO Convention Meeting every year.
National Commission on Research, Science and Technology	The project is reporting back to RIO Convention committee in Namibia. Namport is a member of the said Committee	The RIO Convention Meeting is held twice annually.
National Botanical Research Institute	The project is reporting back to RIO Convention committee in Namibia. Namport is a member of the said Committee	The RIO Convention Meeting is held twice annually.
Namibia Statistics Agency	The project is reporting back to RIO Convention committee in Namibia. Namport is a member of the said Committee	The RIO Convention Meeting is held twice annually.
Namibia Nature Foundation	Partner in implementation of project activities	Collaborated on sharing information & undertaking some of the national activities
FAO – Namibia,	Partner in implementation of project activities and co-financing	Development of NPOA-small-scale fisheries, IYAFA celebration
United Nations Development Programme (UNDP)/BCLME III	Partner in project implementation and co-financing	Co-financed/ collaborated on BCC regional and national activities
University of Namibia	National Research Partner	Research, dissemination of information, design of information tools and assisting in the design and implementation of VAs and APs
Ada Higuare	Association	Project beneficiary

Note: As per PIR 2022.

Appendix 2. Outline of the inception report

1. Background on the project (additional to that in the TOR, not the same) with a preliminary review of the mid-term evaluation TOC and overview of focus areas for the evaluation.
2. Evaluability assessment: Detailed information about the feasibility of the evaluation exercise.
3. The proposed approaches that will be used to undertake the evaluation and the methods selected for data collection and analysis.
4. A refined stakeholder analysis and a preliminary list of potential interviewees, as well as suggested sampling for activities/project areas to be visited in the three project countries and justification.
5. An evaluation matrix that sets out the key questions the Evaluation Team will use as the basis for collecting information.
6. A short section on the limitations and risks, timeline and deliverables of the evaluation.

Appendix 3. Revised project results framework with progress up to 30 June 2022 (PIR 2022)*

Project or development objective	Outcomes	Outcome indicators ¹	Baseline	Mid-term target ²	End-of-project target	Cumulative progress ³ since project start level at 30 June 2022	Progress rating ⁴
The Benguela Current marine fisheries livelihoods are resilient to climate change through the implementation of adaptation strategies for food and livelihood security.	<u>Outcome 1:</u> Stakeholder understanding of climate risks and vulnerabilities increased and their capacity to mainstream / execute CCA in fisheries enhanced	<u>Indicator 1.1</u> Number of key national plans/ policies/ developmental programmes have marine fisheries CCA actions	0	1	3 3x National CCA in Fisheries Mainstreaming Policy documents in place.	1 SADC Regional Policy Brief and Ministerial Declaration, towards building resilience and adaptive capacities in artisanal fisheries and aquaculture 3 country CCA in fisheries mainstreaming policy brief, emanating from RVAs and APs. Recommended to update existing CCA policies, plans and programmes. 1 regional CCA in fisheries mainstreaming policy brief. South Africa's CCA in fisheries integrated into its Alternative Sustainable Coastal Livelihoods (ASCL) Strategies.	HS

Appendix 3. Revised project results framework with progress up to 30 June 2022 (PIR 2022)

Project or development objective	Outcomes	Outcome indicators ¹	Baseline	Mid-term target ²	End-of-project target	Cumulative progress ³ since project start level at 30 June 2022	Progress rating ⁴
		Indicator 1.2 Number of stakeholders implementing vulnerability and adaptation action information in fisheries	0	3	6	<p>5 small-scale fisheries, represented by 211 persons, are applying vulnerability and adaptation action information in fisheries. These stakeholders represent the below small-scale fisheries communities.</p> <p>Cacuaco</p> <p>Tombwa</p> <p>Lüderitz</p> <p>Hondeklipbaai</p> <p>Humansdorp</p> <p>3 commercial Small Pelagics Fisheries, represented by industry associations and fishing companies, are implementing vulnerability and adaptation information.</p> <p>3 Environmental NGOs and Community-based Organisations in BCLME are implementing vulnerability and adaptation information in fisheries (e.g. ABALOB, CEMEES, Masifundise)</p>	

Project or development objective	Outcomes	Outcome indicators ¹	Baseline	Mid-term target ²	End-of-project target	Cumulative progress ³ since project start level at 30 June 2022	Progress rating ⁴
	Outcome 2: Vulnerability to Climate Change reduced	Indicator 2.1 Number of Local government and other institutions providing technical, financial and logistical support in implementation of community-based adaptation (CBA) management plans	0		3	<p>4 Angolan government and other institutions provide technical support to fishing communities. Instituto Nacional de Investigação Pesqueira (INIP), Instituto de Desenvolvimento da Pesca Artesanal e da Aquicultura, and Ministry of Social Action, Family and Women’s Promotion (MASFAMU) Fundacao Sagrada Esperança (Holy Hope Foundation)</p> <p>6 Namibian government and other institutions provide climate related technical support to fishing communities. Ministry of Fisheries and Marine Resources, Ministry of Environment, Forestry and Tourism, National Planning Commission, Lüderitz Town Council (Local Government), University of Namibia, Hanganeni Fishing Association (HAFA) CEMEES FAO-NAMIBIA</p>	HS
						<p>8 South African government and other institutions providing technical support to fishing communities. Department of Environment, Forestry and Fisheries (DEFF), and UCT Kamiesberg Municipality Masefundise Development Trust. ABALOB</p>	

Appendix 3. Revised project results framework with progress up to 30 June 2022 (PIR 2022)

Project or development objective	Outcomes	Outcome indicators ¹	Baseline	Mid-term target ²	End-of-project target	Cumulative progress ³ since project start level at 30 June 2022	Progress rating ⁴
						Coastal Links Blinkwater Cooperative Fishing associations	
		Indicator 2.2 Number of Communities implementing adaptation options	0		5	5 communities have adaptation options with Angola and Namibia mobilizing implementation in 2021. Angola: promoting community-based mariculture in fishing cooperatives Cacuaco Tombwa Namibia: community-based aquaculture & improve small-scale fisheries by providing resources Lüderitz South Africa: implementation of the alternative livelihood strategy Hondeklipbaai Humansdorp	HS

Project or development objective	Outcomes	Outcome indicators ¹	Baseline	Mid-term target ²	End-of-project target	Cumulative progress ³ since project start level at 30 June 2022	Progress rating ⁴
	Outcome 3 Stakeholders promote a proactive and forward-looking approach to Climate Change risks	Indicator 3.1 Number of forums for exchange, with particular emphasis on multi-sectoral approaches to climate change adaptation.	0		5	<p>13 forums supported by the project include:</p> <p>Establishing a multi-sectoral BCC Regional Climate Change working group – ensure CCA policy harmonization.</p> <p>Regional Dialogue platform; SADC countries exchanged lessons and approaches to CCA</p> <p>National Plan of Action for Small-Scale Fisheries – Namibia (regional small-scale fisheries exchanged: barriers and opportunities identified)</p> <p>National Multi-sectoral forums include: Angolan National Climate Change Working Group Namibia’s National Climate Change Committee National Intersectoral Committee on Ocean Governance (NISCOG), SA. South African National intersectoral Coordinating Committee 5 Municipalities in Angola 1 Municipality in Namibia 2 Municipalities in SA</p>	HS
		Indicator 3.2 Number of training tools integrating VA and CCA principles	0	0	1	<p>Training tool on CCA, RVAs and Adaptation Planning</p> <p>International University of Management (Namibia) including CC in the curriculum of: Bachelor of Sustainable Ocean and Aquaculture Management Honours (NQF Level 8),</p>	HS

Appendix 3. Revised project results framework with progress up to 30 June 2022 (PIR 2022)

Project or development objective	Outcomes	Outcome indicators ¹	Baseline	Mid-term target ²	End-of-project target	Cumulative progress ³ since project start level at 30 June 2022	Progress rating ⁴
						<p>Master of Science in Sustainable Ocean and Aquaculture Management (NQF Level 9),</p> <p>Doctor of Philosophy in Sustainable Ocean and Aquaculture Management (NQF Level 10)</p> <p>CEEMES (Namibia) Teaching ocean literacy to school children</p>	
	<p><u>Outcome 4</u> Project implemented and monitored effectively and efficiently and best practices and lessons learned disseminated.</p>	<p><u>Indicator 4.1a</u> Level of progress in achieving results.</p>	0	30 – 40% progress in achieving project outcome targets	Project outcomes achieved and showing sustainability	<p>92% of project outcome targets are achieved at time of reporting.</p> <p>Outstanding targets include, Validation of the MPA report is in progress.</p> <p>Outcome 2, Indicator 2.1. – Adaptation Plans are in the process to be implemented to improve the project outputs.</p>	S
	<p><u>Indicator 4.1b</u> M&E activities conducted according to the plan</p>	<p>100% Implementation of the plan.</p>				<p>Based on table 4.2 (p. 55) of the Project Document, 85% of all M&E activities have been conducted. These include: Inception workshop (regional and 3x national)</p> <p>Project Steering Committee in place, and of the 10 meetings over 5 years, 7 meetings have been held (70%)</p> <p>M&E System development completed, revised during Mar 2020 with FAO based on MTR recommendations.</p> <p>Project inception reports are in place (1 reg, 3x national).</p> <p>Annual financial audits conducted (4x reports in place, no qualified audit).</p> <p>Supervision visits – 3 visits conducted by FAO.</p> <p>10 bi-annual reports submitted to FAO.</p>	S

Project or development objective	Outcomes	Outcome indicators ¹	Baseline	Mid-term target ²	End-of-project target	Cumulative progress ³ since project start level at 30 June 2022	Progress rating ⁴
						<p>5 PIRs submitted, this is PIR #6.</p> <p>Co-financing was not reported at Mid-Term. Co-finance reconstruction for Terminal Evaluation initiated.</p> <p>No M&E technical studies were commissioned to date. Project initiated the documentation of lessons learned.</p> <p>Mid-Term Evaluation was carried out. All recommendations have been satisfactorily addressed.</p> <p>Terminal Evaluation – Project coordinators are preparing verification materials for terminal evaluation by the end of August. Terminal Progress Report. To be finalised by Dec 2022.</p>	

Appendix 3. Revised project results framework with progress up to 30 June 2022 (PIR 2022)

Project or development objective	Outcomes	Outcome indicators ¹	Baseline	Mid-term target ²	End-of-project target	Cumulative progress ³ since project start level at 30 June 2022	Progress rating ⁴
		Indicator 4.1c # of organizations that have received targeted products on best practices			At least 4 African and other institutions will have received targeted information products	<p>Information on CCA, RVA and AP have been shared with close to 600 individuals from government, parastatals, private sector, community-based organisations, NGOs and civil society.</p> <p>The BCC held 2021 Science and Governance Forum (SGF), online/virtual event over 3 days (3 -5 November 2021). Multiple themed sessions were held during which presentations were made and opportunities were provided for attending delegates to ask questions and discuss the matters at hand.</p> <p>A three-hour webinar with the title “Mariculture in the Benguela Current Large Marine Ecosystem BCLME) – Dealing with Climate, Covid and Inclusiveness” was hosted by Aquaculture Africa Magazine (AAM) on behalf of the Benguela Current Commission (BCC) on 22 June 2021. A total of 501 persons participated from all over the globe.</p> <p>A total 392 people has been benefitted from the regional exchange program. Ten (10) people from Namibia and South Africa travelled to Nzeto in Angola. Members from other fishing communities in Angola were also exposed to the sharing of information.</p>	S

Notes:

* Progress towards Achieving Project Objectives (All inputs in this section are cumulative from project start, not annual).

¹ This is taken from the approved results framework of the project.

² Some indicators may not identify mid-term targets at the design stage (refer to approved results framework) therefore this column should only be filled when relevant.

³ Please report on results obtained in terms of Global Environmental Benefits and Socio-economic Co-benefits as well.

⁴ Use GEF Secretariat required six-point scale system: Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), and Highly Unsatisfactory (HU).

Appendix 4. Glossary of often used terms in GEF projects

(Source: GEF Evaluation Policy, 2019)

Agency fee: the financing provided to a GEF partner Agency in connection with a GEF project or programme.

CEO Approval: the approval of a fully developed medium-sized project or enabling activity by the GEF CEO.

CEO Endorsement: the endorsement of a fully developed full-sized project by the GEF CEO.

Child project: a project that forms part of a programme, as set out in a programme framework document.

Co-financing: financing additional to GEF project financing, and that supports implementation of a GEF-financed project or programme and the achievement of its objectives.

Evaluation: Evaluation is the systematic and impartial assessment of planned, ongoing, or completed activities, projects, programmes in specific focal areas or sectors, policies, strategies and their implementation, or other topics relevant to the GEF partnership and organization.

Full-sized project: a project with GEF project financing exceeding US\$2 million.

GEF additionality: the additional effects (both environmental and otherwise) that can be directly associated with a GEF-supported project or programme

GEF Agency: an agency eligible to request and receive GEF resources directly for the design, implementation, and supervision of GEF projects and programmes

GEF-financed activity (or intervention): any programmatic approach, full-sized project, medium-sized project, or enabling activity financed from any GEF-managed trust fund, as well as regional and national outreach activities

GEF Operational Focal Point⁸: nominated by the recipient country, the GEF Operational Focal Point ensures that GEF proposals and activities in the country are consistent with country priorities and the country commitments under global environmental conventions; identifies project ideas to meet country priorities; endorses project proposals; facilitates broad based in-country consultations on GEF operational matters; and provides feedback on GEF activities, including implementation of projects.

Global Environmental Benefits: these relate to international conventions and commitments the GEF is mandated to serve. GEF projects must demonstrate that the project activities are delivering global environmental benefits.

Goal: a higher-order objective to which a GEF-financed project or programme is intended to contribute.

Knowledge Management: the process by which organizations within the GEF partnership generate value and improve performance from their intellectual and knowledge-based assets.

Impact: the positive and negative, primary and secondary long-term effects produced by a project or programme, directly or indirectly, intended or unintended.

Indicator: a quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to a project or programme, or to help assess the performance of an organization.

Lead Agency: The Agency that coordinates all activities under a programme.

Medium-sized project: a project with GEF project financing of up to US\$2 million.

Midterm review: an assessment of a project or programme's performance and results carried out for adaptive management purposes at the midpoint of a project or programme's intended duration.

Monitoring: a continuous or periodic function, carried out by project or programme management, that uses a standardized and systematic process of collecting and analyzing data on specific indicators to provide decision-makers and management of a GEF-financed activity with information on progress in the achievement of objectives and in the use of allocated funds.

Outcome: an intended or achieved short- or medium-term effect of a project or programme's outputs.

⁸ See https://www.thegef.org/sites/default/files/council-meeting-documents/C.8.Inf.5_5.pdf

Output: a product or service that results from the completion of activities implemented within a project or programme.

Portfolio: a subset of projects focusing on a specific theme, GEF focal area, geographic region, country, or GEF Agency.

Programme: a coherent set of interventions designed to attain specific global, regional, country, or sector objectives, consisting of a variable number of child projects.

Programme's added value: the additional results brought in by the GEF funding delivered as a programme compared with either a pre-existing or a hypothetical set of stand-alone full- and/or medium-sized projects or other comparable alternatives.

Programme framework document: the document that sets forth the concept of a programme that is proposed for GEF financing.

Result: Include intervention outputs, outcomes, progress toward longer-term impact including global environmental benefits, and should be discernible/measurable.

Stakeholder: an individual or group that has an interest in the outcome of a GEF project or programme or is likely to be affected by it, such as local communities, indigenous peoples, civil society organizations, and private sector entities; stakeholders may include national project or programme executing agencies, or groups contracted to conduct activities at various stages of the project or programme.

Stakeholder engagement: a process that begins with stakeholder identification and analysis, and includes planning; disclosure of information; consultation and participation; monitoring, evaluation, and learning throughout the project cycle; addressing grievances; and ongoing reporting to stakeholders.

Terminal evaluation: evaluation of a project or programme's design, performance, and results carried out at the end of implementation.

Appendix 5. GEF evaluation criteria rating table

The table below should be completed by the Evaluation Team as part of the terminal evaluation process.

GEF criteria/sub-criteria	Rating	Summary comments ⁹
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 ¹⁰ and project objectives	HS-HU	
- 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 ¹¹	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 ¹²	HS-HU	
E2. Quality of project implementation	HS-HU	
E2.1 Quality of project implementation by FAO (BH, Lead Technical Officer, PTF, etc.)	HS-HU	
E2.1 Project oversight (Project Steering Committee, project working group, etc.)	HS-HU	
E3. Quality of project execution For decentralized projects: Project Management Unit/BH For OPIM projects: Executing agency	HS-HU	
E4. Financial management and co-financing	HS-HU	

⁹ Include reference to the relevant sections in the report.

¹⁰ Assessment and ratings by individual outcomes may be undertaken if there is added value.

¹¹ Includes cost efficiency and timeliness.

¹² 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.

GEF criteria/sub-criteria	Rating	Summary comments⁹
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 implementation plan (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	

Appendix 6. 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)	<i>Level of outcomes achieved clearly exceeds expectations and/or there were no shortcomings.</i>
Satisfactory (S)	<i>Level of outcomes achieved was as expected and/or there were no or minor shortcomings.</i>
Moderately Satisfactory (MS)	<i>Level of outcomes achieved more or less as expected and/or there were moderate shortcomings.</i>
Moderately Unsatisfactory (MU)	<i>Level of outcomes achieved somewhat lower than expected and/or there were significant shortcomings.</i>
Unsatisfactory (U)	<i>Level of outcomes achieved substantially lower than expected and/or there were major shortcomings.</i>
Highly Unsatisfactory (HU)	<i>Only a negligible level of outcomes achieved and/or there were severe shortcomings.</i>
Unable to Assess (UA)	<i>The available information does not allow an assessment of the level of outcome achievements.</i>

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

MONITORING AND EVALUATION

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:

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

Appendix 7. GEF evaluation criteria glossary

Strategic relevance (requires a rating): Relevance is understood as the extent to which the intervention design and intended results were consistent with local and national environmental priorities and policies and to the GEF and FAO's strategic priorities and objectives, and remained suited to the conditions of the context, over time. It also includes complementarity with existing interventions.

Effectiveness (requires a rating): The extent to which the intervention achieved, or is expected to achieve, results (outputs, outcomes and impacts, including contribution to global environmental benefits) taking into account the key factors influencing the results.

Efficiency (requires a rating): Efficiency refers to the extent to which the intervention achieved value for resources, by converting inputs (funds, personnel, expertise, equipment, etc.) to results in the timeliest and least costly way possible, compared to alternatives.

Sustainability (requires a rating): Sustainability is understood as the continuation/likely continuation of positive effects from the intervention after it has come to an end, and its potential for scale-up and/or replication; interventions need to be environmentally as well as institutionally, financially, politically, culturally and socially sustainable. Under sustainability, the evaluator should also assess catalytic effect of the project/programme and likelihood of replication.

Factors affecting performance (all aspects mentioned below require a rating)

Project design and readiness: This refers to the quality of project design and to factors affecting the project's ability to start as expected, such as the presence of sufficient capacity among executing partners at project launch.

Quality of project implementation: This includes: quality of project implementation by FAO (BH, Lead Technical Officer, PTF, etc.) and project oversight (project Steering Committee, project working group, etc.).

Quality of project execution: It is important to consider that for decentralized projects¹³ the responsibility for project execution lies with the FAO Project Management Unit (PMU)/BH, whereas for OPIM¹⁴ projects it lies with the executing agency(ies) in case the operational partner agreement (OPA) covers the entire project, and both the FAO Project Management Unit and the executing agency(ies) if the OPA covers only some components.

To assess the executing agency(ies) performance, the evaluators will assess the extent to which it/they effectively discharged its/their role and responsibilities in the management and administration of the project's day-to-day as well as appropriate and timely use of funds, procurement and contracting of goods and services.

Financial management and co-financing: The evaluators will provide information on the extent to which expected co-financing materialized, whether co-financing is cash or in-kind, whether it is in form of a grant, loan or equity, whether co-financing was administered by the project management or by some other organization, how shortfall in co-financing or materialization of greater than expected co-financing affected project results, etc. The GEF co-financing policy (2018)¹⁵ should be consulted for this section.

Project partnerships and stakeholder engagement: The terminal evaluation report should detail the level and quality of stakeholder engagement and the project's partnership arrangements both at the design stage and during implementation. In assessing the project partnership, the evaluators should that

¹³ Projects/programmes directly executed by FAO.

¹⁴ For more information on the Operational Partner Implementation Modality, refer to the FAO Office of Evaluation OPIM toolkit available in the FAO Office of Evaluation SharePoint website, [here](#).

¹⁵ <https://www.thegef.org/documents/co-financing>

into consideration the whether the project presents an OPA agreement¹⁶. The project's partnership section should describe the arrangements in place and how these have been reflected in project governance structure and influenced project results achievement.

As far as stakeholder engagement is concerned, the terminal evaluation should examine three related (often overlapping) processes: i) active engagement of stakeholders in project design, implementation of project activities and decision-making; ii) consultations with and between stakeholders; and iii) dissemination of project-related information to and between stakeholders. The GEF Policy on Stakeholder Engagement (2017),¹⁷ should be consulted for this section.

Communication, knowledge management and knowledge products: The terminal evaluation should assess the effectiveness of the communication of project aims, progress, results and key messages to date along with any structured lesson-learning and experience-sharing between project partners and interested groups that has arisen from the project. An analysis should be provided on whether communication products and activities are likely to support the sustainability of project results.

Overall quality of monitoring and evaluation: The terminal evaluation should assess M&E according to two main elements: M&E design and budgeting; and M&E implementation, including project reporting. The GEF Policy on Monitoring (2019)¹⁸ should be consulted for this section.

Cross-cutting concerns (all aspects mentioned below require a rating)

Gender: The evaluators will determine the extent to which gender considerations were taken into account in designing and implementing the project. The evaluator should report whether a gender analysis was conducted, the extent to which the project was implemented in a manner that ensures gender equitable participation and benefits, and whether gender-disaggregated data was gathered and reported to beneficiaries. The analysis should also cover project/programme efforts towards gender empowerment. The evaluator will describe the gender analysis conducted and report on how women benefitted from the project. In case the given GEF project disadvantages or may disadvantage women, then this should be documented and reported. The evaluators should also determine the extent to which relevant gender-related concerns were tracked through project M&E. The GEF Guidance on Gender Equality,¹⁹ Policy on Gender Equality²⁰ and gender implementation strategy should be consulted for this section.

Human rights issues/Indigenous Peoples: The work carried out with local communities, the approaches and processes that have been used in the safeguarding of Indigenous Peoples will be evaluated. The FAO Manual on Free, Prior and Informed Consent (FPIC) and the FAO Policy on Indigenous and Tribal Peoples should be consulted as well as the GEF Principles and Guidelines for Engagement with Indigenous People²¹, and the GEF guidelines Partnership in practice: Engagement with Indigenous Peoples²².

Human rights are the civil, cultural, economic, political and social rights inherent to all human beings, regardless of one's nationality, place of residence, sex, sexual orientation, national or ethnic origin, colour, disability, religion, language etc. All human beings are entitled to these rights without discrimination. They are universal, inalienable, interdependent, indivisible, equal and non-discriminatory. It is important that the evaluators assess whether the project considered these principles and whether it worked to contribute to their realization or whether it has reinforced patterns of discrimination and exclusion, or left

¹⁶ Consult the FAO Office of Evaluation brief kit on the impact an OPA may have on the partnership set-up and suggested evaluation questions. It is available [here](#).

¹⁷ <https://www.thegef.org/council-meeting-documents/policy-stakeholder-engagement>

¹⁸ <https://www.thegef.org/council-meeting-documents/policy-monitoring>

¹⁹ <https://www.thegef.org/publications/gef-guidance-gender-equality>

²⁰ <https://www.thegef.org/council-meeting-documents/policy-gender-equality>

²¹ https://www.thegef.org/sites/default/files/council-meeting-documents/C.42.Inf_.03.Rev_.1_Principles_and_Guideline_for_Engagement_with_Indigenous_Peoples.Sept_10%2C_2012_4.pdf

²² <https://www.thegef.org/publications/partnership-practice-engagement-indigenous-peoples>

an unchanged situation. The UNEG guidelines on Integrating Human Rights and Gender Equality in evaluation should be consulted²³. Environmental and social safeguards

The evaluators will assess whether appropriate environmental and social safeguards (ESS) were addressed in the project design and implementation. In particular, at both mid-term evaluation and FE, they will re-assess the project ESS risk level, and provide a new one if relevant. In case of a medium or high risk, the evaluators should assess, when possible, whether the mitigation measures taken were appropriate, and duly implemented.

In addition, the following aspects must have a dedicated section in the report, but do not require any rating.

Progress to impact: Some evidence of progress towards long-term impacts, and the extent to which the key assumptions of the project's TOC hold, may be available and it may be feasible to assess and report on this. The evaluators should also assess the extent to which the progress towards long-term impact may be attributed to the project.

Lessons learned: From June 2021, the GEF Secretariat requires GEF agencies to provide more detailed information on lessons learned from mid-term reviews and terminal evaluations in the GEF portal through specific categories (see Annex 3B for more details). Lessons and good practices can be identified for substantive, methodological or procedural issues, which may be relevant to the design, implementation (management, partnerships, M&E, etc.) of similar projects/programme

²³ <http://www.uneval.org/document/detail/980>

Office of Evaluation
E-mail: evaluation@fao.org
Web address: www.fao.org/evaluation

Food and Agriculture Organization of the United Nations
Rome, Italy