Final evaluation of the project "Integrated Management of the Ilha Grande Bay Ecosystem" (BIG Project)

GCP/BRA/078/GFF
GEF ID: 3848

ANNEX 1. Terms of Reference

Contents

Acronyms and abbreviations

BH	Budget holder
CPF	Country Programming Framework
DIGAT	INEA's Department for Water and Land Use Management
EM	Evaluation Manager
ET	Evaluation team
FAO	Food and Agriculture Organization of the United Nations
FAOR	FAO Representative
FE	Final Evaluation
GEF	Global Environmental Fund
IEM	Integrated ecosystem management
INEA	State Environmental Institute
LTO	Lead technical officer
LTU	Lead technical unit
MR	Management Response
MTR	Mid-term review
OED	FAO Office of Evaluation
OR	Organizational Results
PIR	Project Implementation Review
PRODOC	Project Document
PTF	Project Task Force.
SEA	Rio de Janeiro State Environment Secretariat
SMART	Specific, Measurable, Attainable, Realistic and Time-bound
SO	FAO Strategic Objective
SUPBIG	Regional office for the Bay of Ilha Grande
TCI	Investment Center Division of the FAO
ToC	Theory of Change
ToR	Terms of Reference
UC	Conservation Units
UGP	Project Management Unit
UNEG	United Nations Evaluation Group

1   Background and context of the project

1   The Project "*Integrated Management of the Ilha Grande Bay Ecosystem*" henceforth referred to as the BIG Project, is a five-year project financed in Brazil that started implementation in September 2011, and will reach its expected closure in December 2018.[1]

2   The project is a joint effort between the State Environmental Institute (INEA) of the Rio de Janeiro State Environment Secretariat (SEA), the Food and Agriculture Organization of the United Nations (FAO) and the Global Environment Facility (GEF).

3   The total budget of the project is USD 28,350,700 of which USD 2,300,000 (8%) comprises a Full-Sized project (FSP)[2] grant from GEF. The co-financing amounted USD 25,050,700 and was to be committed by the following Brazilians institutions: USD 11 million from the National Government[3]; USD 10 million from the Municipality of Paraty; USD 4 million from Municipality of Angra) along with USD 50,700 from the FAO.[4]

1.1   Context of the Project

4   The Baia de Ilha Grande (BIG) ecosystem is a semi-enclosed coastal embayment covering an area of 1,120km^2 located in the southern part of the State of Rio de Janeiro, Brazil. The Bay includes: 1) a coastline of about 365km (in the state of the State of Rio de Janeiro); 2) the island of Ilha Grande (190 km^2); and 3) approximately 250 smaller islands. The Bay's catchment area (2,350 km^2) drains small watersheds originating in the State of Rio de Janeiro (in the municipalities of Angra dos Reis and Paraty) and in the State of Sao Paulo (in the municipalities of Bananal, Arapei, Sao Jose do Barreiro, and Cunha).

5   **The terrestrial and coastal/maritime ecosystems are dominated by a rich biodiversity**, which includes the Atlantic Forest (Mata Atlântica), and the contiguous areas of the Sera do Mar Corridor. The area also includes rich biodiversity habitats such as lakes, mangroves, beaches, rocky shores and coral reefs, among others. Figure 1 presents the limits of the BIG ecosystem.

6   **The Bay's coastal and maritime ecosystems are also highly productive and of socio-economic importance**. About 160,000 people live in the BIG's catchment area and the islands[5] and the bay include, among others, two commercial ports, the country's only nuclear plant, 16 marinas, numerous commercial boats, beach recreation facilities and residential developments.

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[1] As of July 2018, about 93% of the project's funds have been disbursed (information from FAO's Field Program Management Information System, FPMIS). According to the Coordinating Team Unit, it is very likely that the project will terminate the activities as planned, by the end of the year.
[2] Full-sized Projects are above USD 2 million. See: https://www.thegef.org/about/funding/project-types
[3] Considering in kind and cash contributions.
[4] As per the Project Document, PRODOC.
[5] About 90% of the population lives in the Municipalities of Angra dos Reis and Paraty (PRODOC).

Figure 1: Map of the political boundaries of the Big Ecosystem
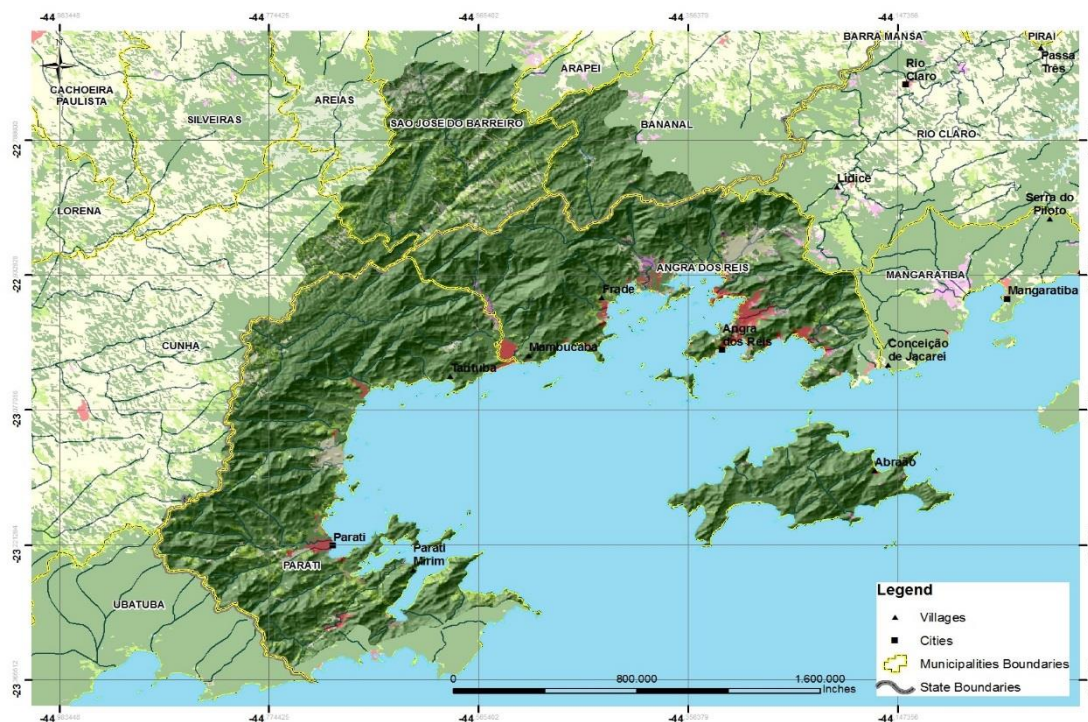
Source: Project Document

7   The conservation of Brazil's *Mata Atlântica* and Atlantic Forest Coastal and Marine zone was identified as a priority by the Brazilian's Ministry of Environment. The national biodiversity targets established by Brazil in 2010 in the frame of the Conference of the Parties to the Convention on Biological Diversity also includes the conservation of 10% of Brazil's non-Amazonian biomes and coastal and maritime zones. The conservation of these areas lies in the National Conservation Area System (SNUC).[6]

8   Although the Ilha Grande State Park was created in 1971[7] and despite the presence of 13 conservation units – such as the *Serra da Bocaina* National Park which drains much of the BIG ecosystem - **the BIG ecosystem continues to be affected by externalities from economic growth, the absence of sound planning, and inefficiencies in applying existing management tools.**

9   The main threats affecting the BIG eco-system listed in the PRODOC were:

   i.   Poorly planned and implemented coastal development and deforestation further up in the watershed which has led to changes in sedimentation;

   ii.   Conversion of critical habitat such as mangroves which are not protected;

   iii. Decline in water quality due to non or under-treatment of urban waste water, industrial wastes, recreational boating, oil spillage etc.;

   iv.   River canalization;

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[6] See Ministry of Environment: http://www.mma.gov.br/areas-protegidas/sistema-nacional-de-ucs-snuc
[7] The Park was subsequently declared a UNESCO Biosphere Reserve in part due to its protection of Atlantic Forest (PRODOC).

v. Dumping of solid waste;

vi. Non-sustainable fishing practices;

vii. Accelerated storm runoff due to expansion of impermeable surfaces associated with urban and residential growth;

viii. Rapid growth in tourism without proper land use, tourist services and infrastructure planning; and

ix. Introduction of exotic species.

1.2 Project components and objectives

10 The project's goal is to achieve, over the long-term, conservation and sustainable use of the BIG Ecosystem and its associated terrestrial and marine biodiversity which is of global relevance.

11 The project was conceived as the **first phase** of a multiple-phase **approach** extending over an estimated period of 15-25 years. It envisioned to support the creation of an enabling environment, institutional arrangements and public support directed at two critical threats to the system (organic pollution from urban waste water and solid wastes associated with recreational marinas) through the development and implementation of a **pilot integrated ecosystem management (IEM)[8] approach in the Bay and biodiversity conservation mosaic.**

12 In this respect, the project's specific objectives are:

i. To develop and implement a pilot IEM approach to the Bay;

ii. To prepare and implement a financially-sustainable biodiversity and conservation mosaic strategy and action plan to promote greater coordination and coherency among the Bay's existing conservation units (UCs);

iii. To strengthen management of selected UCs in BIG;

iv. (iv) To mitigate selected threats affecting the BIG Ecosystem and its ability to provide critical environmental "goods and services" including the conservation of biodiversity;To increase public awareness and support for efforts to conserve the BIG Ecosystem; and

v. To increase institutional capacity at State and municipal levels.

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[8] According to the GEF *Operational Program, Integrated Ecosystem Management*, (see document), an IEM approach supports the establishment of a comprehensive framework to manage natural systems across sectors, and political and/or administrative boundaries within the context of sustainable development. It facilitates inter-sectoral and participatory approaches to natural resources management planning and implementation on an ecosystem scale and the prioritization and strategic sequencing of policy reforms, investments, and other intervention (PRODOC).

13   To achieve these objectives, **the project's activities have been organized into four technical components**.[9] Appendix 1 presents the expected results for each Component.

> ➢ **Component 1: Planning, Policy and Institutional Strengthening** supports improvement in inter-agency coordination for the BIG Ecosystem management and the policy framework in support of ecosystem-based management principles, as well as the mainstreaming of ecosystem based management principles in SUPBIG[10] and relevant public and private sector institutions.

> ➢ **Component 2: Biodiversity Conservation and Protected Areas** supports improved integrated management of ecosystems of global importance in the Bocaina Mosaic; improved management effectiveness of the existing participating conservation units (UCs) in BIG and increased species and diversity of global importance.

> ➢ **Component 3: Threat Analysis and Mitigation and Monitoring and Enforcement** aims to reduce the pollution load in BIG system and to improve environmental quality in BIG marinas.

> ➢ **Component 4: Public Environmental Awareness and Communications** consists of increasing public awareness and support for the protection and restoration of the BIG Ecosystem.

14   **The project has been structured into nine outcomes** towards the achievement of the mentioned specific objectives:

> ➢ **Outcome 1:** Inter-agency coordination in support of Ecosystem-based Management of the BIG Ecosystem is improved;

> ➢ **Outcome 2:** The Policy Framework in support of Ecosystem Management principles is improved;

> ➢ **Outcome 3:** There is evidence of increased mainstreaming of the Ecosystem-based management principles in the Regional Office for the Bay of Ilha Grande (SUPBIG) and relevant private and public sector institutions;

> ➢ **Outcome 4:** Integrated management of ecosystems of global importance in the Bocaina Mosaic has improved;

> ➢ **Outcome 5:** Management effectiveness of existing, participating conservation units in BIG ecosystem;

> ➢ **Outcome 6:** The abundance of indicator species and diversity of global importance has increased has improved;

> ➢ **Outcome 7:** Pollution loading in BIG ecosystem has decreased;

> ➢ **Outcome 8:** Environmental quality in BIG Marinas has improved; and

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[9] The project also contains a 5th component for Monitoring and Evaluation and Knowledge Management to ensure that lessons learnt from the ecosystem-based approach in BIG are being taken up and replicated in the State of Rio de Janeiro, in Brazil and in the Latin American and Caribbean Region (LAC).
[10] The Regional Office for the Bay of Ilha Grande.

> ➢ **Outcome 9:** Public awareness and support for the protection and restoration of the BIG ecosystem has increased.

15   Finally, the **key global benefits** to be generated by the project included:

i.   The **conservation of biodiversity** through direct support to the existing conservation units (UCs), the promotion of increased connectivity between the existing UCs, increase in cost-efficiency for the conservation and management of biodiversity through collaborative approaches among different levels of governance and the reduction of habitat and landscape fragmentation and;

ii.   The **partial restoration of the BIG ecosystem integrity and recovery** of its underlying functions and services.

1.3   Project' stakeholders and responsibilities[11]

16   **The FAO has been the GEF Agency responsible for the execution and oversight of the project.** The FAO has provided technical, methodological and administrative support to the following institutions concerned with the technical implementation of the project: Rio de Janeiro State's Institute of Environment **(INEA)** of the State Environment Agency (SEA) and more precisely the Project Management Unit **(UGP)** in INEA's Department for Water and Land Use Management (DIGAT); INEA's Regional Office for BIG **(SUPBIG)**[12] and the **Municipalities of Angra dos Reis** and **Paraty**.

17   The Project's institutional and implementation arrangements were complex and involved many stakeholders, from the FAO and national institutions parts. Figure 2 presents the institutional arrangements for project management.

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[11] These responsibilities were established in the PRODOC. The final evaluation will review the fulfillment of the planned responsibilities and any change occurred during project implementation.
[12] SUPBIG reports to INEA's Vice President which ensures that SUPBIG is actively involved and supports all project's activities, including the management and operational decisions of the UGP.

Figure 2: Institutional arrangements for project management
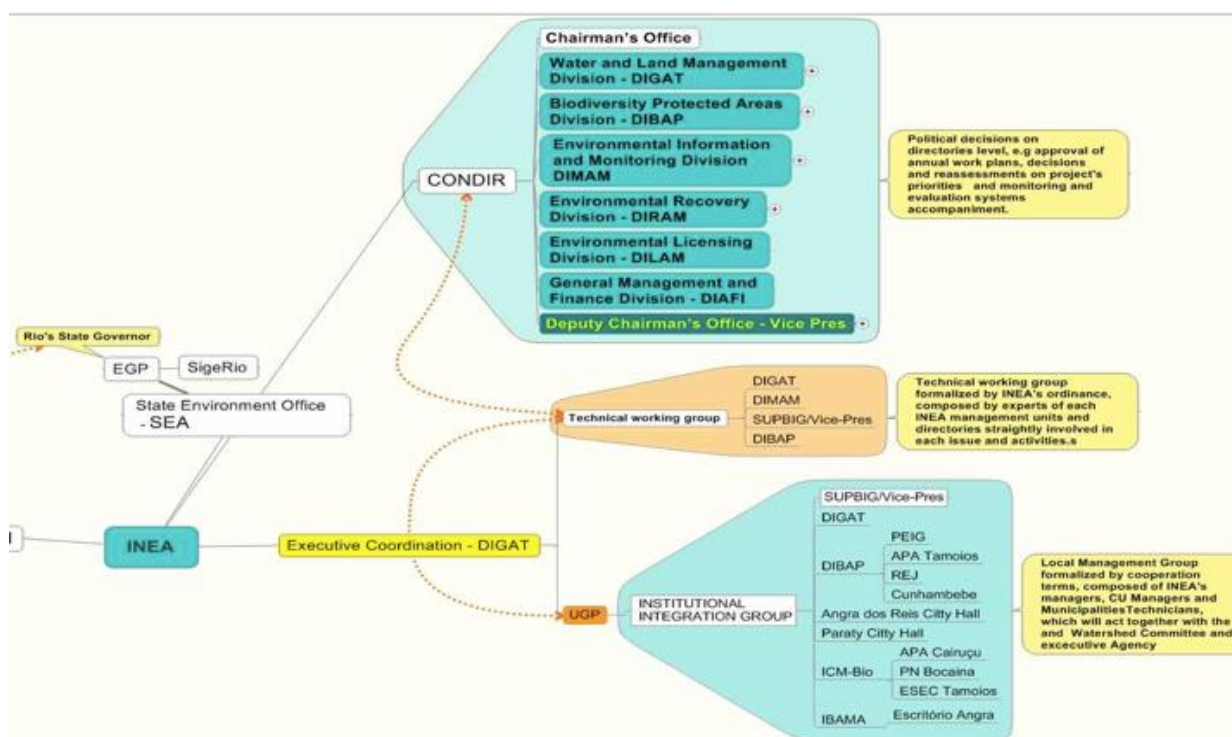
Source: ProDoc

FAO stakeholders

18   **Executing Responsibilities (Budget Holder):** Under the FAO's Direct Execution modality, the FAO Representative (FAOR) in Brazil has been designated as the Budget Holder (BH) of this project. The BH, working in close consultation with the FAO Lead Technical Officer (LTO), was responsible for the timely operational, as well as administrative and financial, management of the project. The BH headed the multidisciplinary Project Task Force (PTF).

19   **FAO Lead Technical Unit (LTU):** The Investment Center Division (TCI) at FAO Headquarters was the LTU for this project, providing overall technical backstopping, supervision and guidance in project implementation. The LTU had the responsibility to appoint a LTO.

20   **FAO Lead Technical Officer (LTO):** The LTO was an official from TCI, based in Rome headquarters. Under the general technical oversight of the LTU, the LTO provided technical guidance to the project team to ensure the delivery of quality technical outputs.

21   **Project Task Force (PTF):** A multidisciplinary PTF was established by the BH to ensure that the project was implemented in a coherent and consistent manner and complied with the organization's goals and policies, as well as with the provision of adequate levels of technical, operational and administrative support throughout the project cycle.

22   **Project Task Manager (PTM):** The PTM was appointed by the FAOR to support the LTO and the BH in the provision of technical guidance to the project and supervision of project progress, financial **management** and contracting.

23   **The FAO-GEF Coordination Unit in TCI** reviewed and approved progress reports, annual project implementation reviews, financial reports and budget revisions. It also provided project oversight, **undertaking** supervision missions if necessary, and participated in the mid-term and final evaluations.

National institutions

24   Rio de Janeiro State's Institute of Environment (**INEA**) was the lead government counterpart and **the project's main executing partner**, and involved INEA's Council of Directors (**CONDIR**), INEA's Regional Office for BIG (**SUPBIG**) and the Project Management Unit (**UGP**), responsible for project implementation, in INEA's Department for Water and Land Use Management (**DIGAT**). Details on these groups are given below.

   i.   **INEA's Council of Directors (CONDIR)** was responsible for setting policy and taking decisions that affect INEA, including matters relating to the GEF project such as policy formulation, facilitating cooperation between INEA's departments in support of the project **at** regional level, advising the UGP on on-going and planned activities, and facilitating collaboration between the project and other GEF projects.

   ii.   **INEA's Regional Office for BIG (SUPBIG)** acted as a local coordinator for operations and provided logistical support, including office space for the UGP. SUPBIG's institutional group[13] was created to facilitate SUPBIG work in environmental matters in the BIG Region and to exchange information and mainstream biodiversity conservations objectives.

   iii.   **DIGAT** was the lead technical department responsible for the GEF project and its executive coordination. It was responsible for supervising the UGP, internal evaluation and monitoring of project implementation and for the management of GEF resources. It was the direct counterpart of the participating municipalities and other INEA departments. Within DIGAT, various administrative offices also played a role in supporting project activities.[14]

   iv.   **The UGP** was housed in DIGAT but physically located in the SUPBIG Office in Angra dos Reis. It was responsible for day-to-day project operations to ensure the coordination and execution of the project. It was responsible for the elaboration of semi-annual progress reports and provided assistance in preparing the annual project implementation reviews (PIRs).

25   Other **INEA's technical departments** involved in the projects were:

   i.   The **Department of Biodiversity and Protected Areas (DIBAP)**, to support the execution of activities under the Biodiversity and Protected Areas component 2;

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[13] It integrated by local, State and Federal Institutions.
[14] These offices supported specific components: (i) the Office of Environmental Education (GEAM) for Component 4; (ii) the Office of Participatory Water Management (GEAGUA) for Component 1; (iii) the Office of Water Management Instruments (GEIRH) for Component 3; and (iv) the Office of Municipal Environmental Management Support (GEGAM) for some capacity building activities (PRODOC).

ii.   The **Department of Environmental Information and Monitoring (DIRMAM)** to support activities related the development of a Geographic Information System under component 1 and to the Threat Analysis, Mitigation and Enforcement component 3; and

iii.   The **Department of Environmental Restoration (DIRAM)** to support component 3's activities related to the mitigation of organic effluent discharge into the Bay.

26   The **Municipalities of Angra dos Reis and Paraty** participated in the river basin committee; the definition of the Ecosystem Quality objectives; the mobilization of social actors involved in strategy development and provided financial support for the planning and construction of water treatment investments to reduce organic pollution in the Bay.

27   Finally, a **Technical Working Group (TWG)** was established including INEA's technical staff (DIGAT, DIBAP, DIMAM, DIRAM and SUPBIG) and FAO-Rome. Its main tasks were to provide technical advice to INEA's Council of Directors; backstop the UGP on request; advise the UGP on ongoing and planned activities. It was specifically responsible for: technical evaluation of project progress; the evaluation of whether project's objectives could be met within the allocated time frame; and the identification of possible solutions or changes in activities if technical issues arise.

1.4   Project's alignment with FAO, Country Partnership Framework and GEF Strategies and with Brazil's national priorities and plans

28   According to the PRODOC, the project was aligned with the **then FAO's Strategic objectives**[15]. At the time of project preparation, the project aligned with the following previous FAO's Strategic objectives (SO):

i.   SO-E Sustainable Management of Forests and **Trees**[16]

ii.   SO-F Sustainable Management and Utilization of Natural Resources, including Land, Water, Air, Climate and Genetic Resources, for the Benefit of Present and Future Generations[17]

iii.   SO-C Sustainable Management and Use of Fisheries and Aquaculture Resources[18]

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[15] The draft Project Identification Form (PIF) was submitted in November 2008 and the ProDoc refers to the FAO Strategic Objectives of the time which was in force before FAO's Reviewed Strategic Framework 2010-2019 approved in June 2013 (see new framework).

[16] And was mostly relevant to the SO E organizational result (OR) 6 "*Environmental values of forests, trees outside forests and forestry are better realized; strategies for conservation of forest biodiversity and genetic resources, climate change, mitigation and adaptation, rehabilitation of degraded lands, and water and wildlife management are effectively implemented*". See the 2011 FAO Strategy for Forests and Forestry

[17] And more particularly with OR-F5 "*Countries have strengthened capacities to address emerging environmental challenges, such as climate change and bioenergy*" and OR-F6 "*Improved access to, and sharing of knowledge for natural resource management.* This Strategic Objective had become one of the Three Global Goals of FAO Members, as per the FAO's revised results framework.

[18] And more particularly OR-C3 "*More effective management of marine and inland capture fisheries by FAO Members and other stakeholders has contributed to the improved state of fisheries resources, ecosystems and their sustainable use*". See FAO former page on Strategic Objective C

29   The project was also aligned with the 2013-2016 Country Programming Framework (CPF)[19] for Brazil; with the 2012-2015 United Nations Development Assistance Framework (UNDAF) for Brazil.

30   The project was also meant to contribute to specific GEF 4 long-term Strategic Biodiversity objectives and Strategic Programs (SP)[20]:

➢   Strategic Biodiversity Objective 1 **"to catalyze sustainability of protected area systems"** and the related strategic programs SP 2 *Increasing representation of effectively managed marine protected areas in protected systems* and SP3 *Strengthening terrestrial protected areas networks*

➢   Strategic Biodiversity Objective 2 **"to mainstream biodiversity in production landscapes/seascapes and sectors"** and the related strategic program 4 *Strengthening the policy and regulatory framework for mainstreaming biodiversity*

31   Finally, the project was aligned with specific Brazilian policies and plans such as **Brazil's National Biodiversity Strategy** (NBS) developed by the National Ministry of Environment and completed in 2002 which highlights the importance of conserving existing forests and conserving biodiversity; with various components of the **National Biodiversity Policy** (2002 Decree); with the **National Coastal Management Plan**[21]; the **National Program for Biological Diversity** (2003 Decree) and with the **2007 National Commission on Biodiversity** (CONABIO)'s **list of priority areas for biodiversity** conservation units which included the BIG project area as a high priority ranking area for biodiversity conservation and sustainable use.

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[19] And more precisely with the Priority 4 "Sustainable management of natural resources, climate change and desertification, including the introduction of an agro-ecological production matrix for social and environmental sustainability". See Brazil and FAO brief: http://www.ianas.org/Food/FAO_Brazil.pdf

[20] Information retrieved from the 2007 GEF-4 Focal Area Strategies and Strategic Programing Document.

[21] See plan: http://www.mma.gov.br/estruturas/orla/_arquivos/pngc2.pdf

2   Evaluation purpose

32   **This Final Evaluation (FE) serves a double purpose of accountability and learning**. It will assess the project design and implementation process; the program's results and their value relevant to target beneficiaries, national needs and priorities as well as the factors contributing to the sustainability of the results. It is a requirement of the GEF funding and also required for FAO project monitoring and reporting purposes, and is identified in the ProDoc.

33   **The FE will document important lessons to indicate future actions for potential up-scaling**, replication or follow-on projects in Brazil that may use similar approaches, target beneficiaries, tools and program design elements. It will present **strategic recommendations** in order to, among other purposes, maximize the institutionalization and appropriation of the project's results by stakeholders and disseminate information to management authorities responsible for the management of other projects.

1.   The primary users of the FE will be the GEF, national counterparts in Brazil including the Conservation Units and entities involved in biodiversity and eco-system management , the PTF, the FAO itself, and other concerned local organizations and government bodies, including research centers specialized in biodiversity and eco-systems as well as other development agencies.

3 Evaluation scope

34   The Final Evaluation will be carried out three months prior to the terminal review meeting of the project partners,[22] between September and November 2018. It will look at the **entire project execution period and will cover the geographical areas of the project implementation**. It will focus in particular on the period following the mid-term review (MTR) of the project (from January 2015 to October 2018).[23] The MTR assessed the progress towards expected results and identified corrective measures to improve project implementation. Appendix 2 presents the main recommendations of the MTR.

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[22] As per the PRODOC.
[23] The MTR reported the results of the project between September 2011 and December 2014.

4   Evaluation objective and key questions

35   The main objective of the Final Evaluation is to provide a comprehensive and systematic account of the performance of the project by assessing its design, implementation and achievement of objectives and project results (short and longer-term). The FE will assess the value of project results to the stakeholders at different levels (public/ministerial and community level), and also identify the impacts (intended and unintended) and the likelihood of the sustainability of the project's results.

36   The FE will answer the following main evaluation questions (EQ), presented in Box 1, through systematic gathering of evidence.

Box 1: Key Guiding Evaluation Questions

Relevance
Were the project's strategy and planned actions relevant and adequate to meet the needs of the beneficiaries and all stakeholders involved in ecosystem management and the conservation of the BIG, including to support the implementation of policies and programs of the Government of Brazil, Brazil's CPF and the Strategic Objectives of FAO and GEF?

Efficiency
How did the modalities of intervention, the institutional and partnership structures, the resources available to the project, and the financial, technical and operational procedures, contribute to, or impede, the achievement of the project's results and objectives?

Effectiveness
How effective has the project been in reaching the objectives and expected results? What results, intended and unintended, did the project achieve across its components?

Partnerships, stakeholder relationships and normative values
To what extent did the project's approach to working with local communities regarding ecosystem management ensure stakeholders participation in the decision-making process related to project activities?
To what extent has the project addressed gender equality issues in its design and contributed to women empowerment throughout its implementation?

Sustainability
How sustainable are the project's achieved results at the environmental, technical, social, financial and institutional level? What are the risks to the sustainability of the project's results?

Lessons learnt
What lessons can be learned from the project, in terms of its design, new approaches, implementation, up-scaling and sustainability, that may be useful for future and similar FAO interventions particularly funded by the GEF or other donors in general?

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37   **Preliminary evaluation sub-questions are presented in Appendix 3**. The main and sub- evaluation questions will be fine-tuned and further developed by the Evaluation Team (ET) according to GEF project evaluation's criteria, the project's logical framework and the project's Theory of Change (ToC) to be developed and presented by the ET in the FE's inception report (see below).

5 Methodology

38   The FE will adhere to the United Nations Evaluation Group (UNEG) Norms and Standards and align with OED Manual, procedures and methodological guidelines.[24]

39   In order to facilitate comparison with other GEF implementing Agencies and to contribute to the GEF program learning process, **the FE will rate the project in accordance to existing GEF rating scheme[25], policies and guidance**. The ET will mainstream the following GEF evaluation criteria through the evaluation questions: relevance, effectiveness, efficiency, country ownership, stakeholder's involvement, partnership, financial management including brief analysis of data on the project's co-financing [26], sustainability, socio/environmental risks management, catalytic role and contribution to long term impacts.

40   **The FE will adopt a consultative, participative 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 the conclusions and recommendations.

41   **The methodology for this FE will be further developed by the ET**. These Terms of Reference (ToRs) suggest an overall approach for conducting the evaluation and potential tools that will likely yield the most valid answers to the main and secondary evaluation questions within the limits of resources. Final decisions about the specific design and methods for the FE should emerge from consultations among the project team, the evaluators, and key stakeholders.

42   The evaluation matrix, which will be developed by the ET in consultation with the Evaluation Manager (EM), will guide the overall assessment. It will list the main and sub-questions to be addressed by the evaluation, associated methods and the qualitative and quantitative tools selected to collect data/evidence to answer them.

43   To answer the evaluation questions, the following tools are suggested in order to collect primary data and evidence.

  ➢ **A desk-review** of existing project documents and output and monitoring reports (e.g. annual work plans, project inception report, and reports from other relevant meetings; annual project implementation review (PIR) reports; the MTR report; FAO six-monthly progress reports, backstopping missions reports from the LTO, and other internal documents including technical and financial reports) to better understand the context and structure of the project and assess results achievement;

  ➢ **Semi-structured interviews with key stakeholders** (e.g. members of staff and partner institutions involved in project implementation, including consultants, LTO, the Budget Holder, the GEF Unit) and project participants and other informants. The GEF Operational Focal point in Brazil will be

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[24] Recommendations for future implementation will be suggested against the FAO Free Prior and Informed Consent (FPIC) manual which was developed in 2016, while the project was operationally active since 2012.
[25] See Appendix 4.
[26] As per annex 3 of the new *Guidelines for GEF Agencies in Conducting Terminal Evaluations for Full-sized Project* issued in April 2017: https://www.gefieo.org/sites/default/files/ieo/evaluations/files/gef-guidelines-te-fsp-2017.pdf

informed/contacted during the FE and interviewed if available. Face-to-face interviews will be carried out during the field visit, while phone or Skype interviews will be undertaken for the institutions not visited by the evaluation team or key individuals who it is not possible to meet during the field mission. Interviews will be supported by checklists and/or interview protocols to be developed at the beginning of the evaluation.

➤ **Field visits** to technically assess and analyze project implementation and results in the field, the views and opinions as well as capacities of the local stakeholders on the project and its target groups and the local support given by governmental institutions.

➤ **A workshop will be held at the end of the field mission** with the Project Coordination Unit (including the GEF Operational Focal point in Brazil) to share initial findings and conclusions of the field mission and discuss proposed recommendations.

6   Roles and responsibilities

44   This section describes the different roles that key stakeholders play in the design and implementation of the evaluation. The FE will be conducted in close consultation and with the participation of the key partners.

45   **The Office of Evaluation (OED)** of the FAO, in particular the **Evaluation Manager** (EM) develops the first draft Terms of Reference (ToR) of the Final Evaluation with inputs from the Project Task Force (PTF). The EM is responsible for the finalization of the ToR and the identification of the evaluation team members[27]. The EM shall brief the evaluation team on the evaluation methodology and process and will review their draft reports for Quality Assurance purposes in terms of presentation, compliance with the ToR and timely delivery, quality, clarity and soundness of evidence provided and of the analysis supporting conclusions and recommendations in the evaluation report. OED also has a responsibility in following up with the BH for the timely preparation of the Management Response (MR) and the Follow-up to the MR.

46   **The FAO Budget Holder (BH) and Lead Technical Officer (LTO)** assist the EM in drafting the ToR, in the identification of the consultants, and in the organization of the mission. The BH is also responsible for leading and coordinating the preparation of the FAO Management Response (MR)[28] and the Follow-up Report to the evaluation, fully supported in this task by the LTO and others members of the PTF.

47   **The Project Task Force (PTF)** which includes the FAO BH, the LTO, the FAO-GEF Coordination Unit and the Team of the project to be evaluated, is responsible for initiating the evaluation process, providing inputs to the first version of the ToR, especially the background and context chapter, and supporting the evaluation team (ET) during its work. It is required to participate in meetings with the ET, as necessary; to make available information and documentation, and comment on the ToR and report. Involvement of different members of the PTF will depend on respective roles and participation in the project.

48   **The Evaluation Team (ET)** is responsible for further developing and applying the evaluation methodology, for conducting the evaluation, and for producing the evaluation report. All team members, including the Evaluation Team Leader (ETL), will participate in briefing and debriefing meetings, discussions, field visits, and will contribute to the evaluation with written inputs for the final draft and final report. The ET will agree on the outline of the report early in the evaluation process, based on the template provided by OED. The ET will be free to expand the scope, criteria, questions and issues listed above, as well as develop its own evaluation tools and framework, within time and resources available and based on discussions with the EM, and consults the BH and PTF where necessary.

49   **The Evaluation Team Leader (ETL)** guides and coordinates the ET members in their specific work, discusses their findings, conclusions and recommendations and prepares the final draft and the final report, consolidating the inputs from the team members with his/her own.[29]

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[27]Responsibility for the administrative procedures for recruitment, will be decided on a case-by-case basis.

[28] OED guidelines for the MR and the Follow-up Report provide necessary details on this process.

[29] For further details related to the tasks of ET members, please refer to template job descriptions provided by OED.

7   Evaluation team composition and profile

50   In consideration of the work-load and type of work required for the FE, **the evaluation will be carried out by two consultants** who jointly meet the skills and competences described below.

51   The evaluators are responsible for conducting the FE, applying the methodology, described in these ToR and to be refined, and participating in briefing and debriefing meetings and discussions, as well as preparing the final written report. They are fully responsible for their independent report which may not necessarily reflect the views of FAO. The FE report is subject to technical and a quality assurance by OED.

52   The two evaluators will have an appropriate balance of relevant technical expertise and experience in evaluation. They should jointly **have the following skills and competences**:

➢   Demonstrated experience in project and process management and evaluation, with technical understanding and proved experience in ecosystems and biodiversity management, land degradation and natural resources management, especially protected area management;

➢   Proven experience in the country (Brazil) or Southern America, on topics related to the project. Institutional knowledge of the country as well as social and cultural aspects is very important;

➢   Demonstrated experience in the evaluation of GEF and FAO projects; experience in both quantitative and qualitative analysis

➢   Experience in field missions to collect quantitative and qualitative data and in conducting semi-structured interviews and leading focus groups;

➢   Advanced University Degree (MSc or PhD) in relevant disciplines (Agricultural and Environmental Sciences, Environmental Economics, Marine and/or Terrestrial Natural Resources Management or related disciplines);

➢   A minimum of 10 years (team leader) and 5 years (team member) of relevant experience at international and national levels in these fields of expertise.

➢   Fluency in Portuguese

➢   Working knowledge of English

8 Evaluation products (deliverables)

53 This section describes the key evaluation products the evaluation team will be accountable for. At a minimum, deliverables should include:

    i. **Inception Report**:[30] the inception report should be prepared right before the field mission and include the following: a stakeholder analysis; a presentation of the evaluation methodology; an evaluation matrix which should include the main evaluation questions, sub-questions, evaluation methodologies and expected types of evidence and site mapping and sampling for the field mission; and a reconstructed Theory of Change (ToC) for the project, given its evolution throughout the project.

    ii. **Outline report**; which should be prepared the week following the field mission and contain preliminary findings based on the desk review and information collected during the mission. The Outline Report should be presented to the FAO- GEF Coordination Unit and OED.[31]

        a) Draft evaluation reports— the report will be prepared in Portuguese with numbered paragraphs, and translated into English[32] and will follow the OED template for GEF project evaluation report writing[33]. OED and the FAO-GEF Coordination Unit will comment on the first version of the draft evaluation report. OED, the FAO-GEF Coordination Unit and the project team and key project stakeholders should comment on the second version of the draft evaluation report, which will have the structure of the Final Evaluation reports.[34] 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 second version of the Draft evaluation report. OED will support the Evaluation Team in collecting and collating the received feedback.

        b) Final evaluation report[35]: it is important that the evaluation report provides clear evidence to back up the FE team's stated findings and responses to the evaluation issues, **questions** and criteria listed in the TOR. The report will include an executive summary. The recommendations will be addressed to the different stakeholders and prioritized: they will be evidence-based, relevant, focused, clearly

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[30] See specific OED Guidelines (Annex 17) on Inception Report.

[31] This could either be a 3-4 page document, or a copy of the Power Point presentation the FE team will give as part of the initial debriefing

[32] OED or the FAO Representation in Brazil will be responsible for translating the final version of the document to English, according to the best options (time, cost and availability of the translators).

[33] This document will be shared by OED with the Evaluation Team.

[34] The evaluation team leader bears responsibility for submitting the first evaluation draft report to OED three weeks after the end of the mission in Brazil. Comments on this draft should be provided by OED and the FAO-GEF Coordination Unit within one week. The revised report will be circulated to other FAO stakeholders, who will submit comments and suggestions within two additional weeks which the evaluation team will then include as appropriate in the final report (within one week of receipt of these second set of comments).

[35] See Annex 3 of the Project Evaluation Manual for the outline evaluation report.

formulated, and actionable (SMART recommendations), and with realistic and feasible proposals explained in detail for each suggested point. The report will also include a section that analyzes the adequacy of any potential new or existing project(s) or plans which can capitalize, valorize and scale up project results.

c) **Annexes to the evaluation report:** supporting data and analysis should be annexed to the report when considered important to complement the main report. They should include, but are not limited to: the ToR for the evaluation; the profile of the evaluators; **the** list of the main documents reviewed; the list of organizations and persons met during the evaluation process; the itinerary of the mission; data collection instruments (e.g. copies of questionnaires, surveys).

d) **Evaluation brief and other knowledge products** or participation in knowledge sharing events, if relevant.

9   Evaluation time frame

54   **The evaluation is expected to take place between September and December 2018**. The box below contains the time-table for the tentative program of travel and work for the Evaluation Team. It will be finalized upon the recruitment of the Evaluation Team. If adjustments will be required, these will be discussed and agreed among the Evaluation Team, OED and the FAO-GEF Coordination Unit.

Task	Dates	Responsibility
ToR finalization	August 2018	PTF, the FAO-GEF Coordination Unit and OED for comments and quality control
Team identification and recruitment	August 2018	OED and FAO-Brazil
Organization of the Evaluation Mission (travel arrangements, meetings arrangements, field visits...)	September 2018	PTF, OED and Evaluation Team
Reading background documentation provided by PTF including Skype calls	September 2018	Evaluation Team
Evaluation mission	Early October 2018 – tentatively October 4-12	Evaluation Team
Drafting of first draft of FE Report	Mid-late October	Evaluation Team
Review of first draft of FE Report	Late October 2018	OED and FAO-GEF Coordination Unit for comments and quality control
Review of second draft of FE Report	Early November 2018	PTF and OED, FAO-GEF Coordination Unit for comments and quality control and external stakeholders
Final Report, including publishing and graphic design	Late November 2018	PTF and OED
Management Response	December 2018	PTF, with input from the FAO-GEF Coordination Unit

Appendix 1. Logical framework and monitoring (ProDoc)

Project's general objective: To achieve the long-term conservation and sustainable use of the Ilha Grande Bay Ecosystem (BIG) and the associated terrestrial and marine biodiversity of global importance characteristic of the south coast of Brazil's Rio de Janeiro State.

Project's Specific Objectives: (i) The development and implementation of a pilot integrated ecosystem management (IEM) program in the BIG Ecosystem; (ii) the preparation and implementation of a financially-sustainable biodiversity conservation mosaic strategy and action plan designed to promote greater coordination and coherency among existing protected areas (PAs) in BIG; (iii) the strengthening of selected PAs in BIG; (iv) analysis and direct (and indirect through facilitation of other interventions) mitigation of two critical threats (municipal-based organic pollution and contamination from recreational marinas) affecting the "health" of the BIG Ecosystem; (v) increased public awareness and support for efforts to conserve the BIG Ecosystem; and (vi) increased institutional capacity in ecosystem-based environmental planning and management at the regional and municipal levels.

Narrative Summary	Verifiable Indicators	Means of Verification	Assumption/Risks
Goal To achieve the long-term conservation and sustainable use of the Ilha Grande Bay Ecosystem (BIG) and the associated terrestrial and marine biodiversity of global importance characteristic of the south coast of Brazil's Rio de Janeiro State.	• An ecologically "healthy" BIG defined by the restoration of critical habitats, processes and functions achieved through an ecosystem-based approach and measured by increases in indices of ecosystem "heath." • Uptake of BIG ecosystem-based approach in other areas of the RJ State and elsewhere.	• Field surveys • Legal decrees and launching of similar initiatives elsewhere.	
Project Objectives (see the project' specific objectives reported above)	• Political and public commitment to support a second phase of the BIG program. • Legal documentation demonstrating the creation and operation of a permanent and financially sustainable body to support the Executive Secretariat of the *Bocaina* Mosaic and the implementation of the Mosaic Strategy and support for selected UCs. • Development and application of key environmental indicators in project year (PY) 1 demonstrating quantifiable improvements of environmental health at system level by PY 5.	• Legal declarations of INEA / Municipalities to support 2nd phase. • Annual financial statements • Field surveys supported through project supported monitoring program and independent observations of other institutions (e.g., NGOs)	• No long-term changes in national & state policy priorities • Global financial crisis does not significantly impact Brazil's economy and national budget • No significant long-term environmental changes at global or regional scales
OUTCOMES (Component Purposes)	**Verifiable Indicators**	**Means of Verification**	**Assumption/Risks**

			• No change in existing national & state policy priorities
1. Planning, Policy & Institutional Strengthening Outcome 1.1. Improved inter-agency coordination in support of Ecosystem – based Management of BIG Ecosystem	• at least 5 inter-agency conflicts identified and agreements reached on common approaches to improve BIG Ecosystem to include at least one agreement reached over the regularization of land use in BIG drainage area. • Establishment and operationalization of a regional and municipal GIS.	• Inter-agency MOUs / Acts summarizing agreements and confirmed by independent evaluations in the field through supervision missions. • GIS based products generated and being used to improve environmental planning and management	• Global financial crisis does not impact Brazil's economy and national budget • No significant environmental changes at global or regional scales
Outcome 1.2. Improved policy framework in support of Ecosystem Management principles Outcome 1.3. Evidence of increased "mainstreaming" of Ecosystem Based Management principles in SUPBIG and other relevant public and private sector institutions.	• 4 local policies formulated and adopted that address existing policy failures/gaps undermining the "health" of the BIG ecosystem. • Municipal environmental units participating in Forum IEM • Municipal commitments to support IEM principles through 2 signed MOUs with INEA	• Provision of draft policy documents to UGP / supervision missions. • Minutes of meetings and participants; • Review of approved municipal development plans.	• Local communities are willing to work together to address issues of common interest • Political will significant to support enforcement of new policy initiatives • No delays experienced in implementing urban sanitation investments
2. Biodiversity Conservation and Protected Areas Outcome 2.1. Improved integrated management of ecosystems of global importance in the *Bocaina* Mosaic. Outcome 2.2. Improved management effectiveness of existing, participating Conservation Units in BIG.	• At minimum 4 actions addressing common issues affecting Mosaic UCs agreed to and implemented (e.g., patrolling and enforcement, biodiversity monitoring) by UCs. • Results from PA METT demonstrate an increase on average of 15% in 7 UCs over 5 years.	• Written agreements among UCs; minutes of meetings and decision taken by Mosaic Presidency • Independent application of PA specific METTs.	

Outcome 2.3 Increased abundance of indicator species and diversity of global importance.	• Species, parameters and values to be determined in PY 1.	• Technical monitoring reports made available through SUPBIG	
3. Threat Analysis, Mitigation and Monitoring and Enforcement Outcome 3.1. Reduction in pollution loading in BIG Outcome 3.2. Improvement in environmental quality in BIG marinas.	• 25% reduction in BOD in BIG Ecosystem over life of project. • Written surveys of recreational marina users indicate increased awareness among 50 % of users in participating marinas of environmental "best practices" leading to improved environmental quality in BIG.	• Reports from BIG EQ monitoring program; results from independent monitoring programs (e.g., local based environmental NGOs). • Results of survey instrument.	
4. Public Environmental Awareness and Communication Outcome 4.1. Increased public awareness and support for the protection and restoration of the BIG ecosystem.	• 2 non-project based activities documented in support of BIG project goals and objectives (e.g., NGO campaigns, non-participating community activities). • 50% increase public participation and civil society representation in BIG workshops and forums by end of project.	• Proposals secured through BIG forum. • Evaluation of lists of participants (numbers and institutions represented) in selected fora.	
5. Project Management, M& E, and Information Dissemination Outcome 5.1. An effectively managed project that achieves its stated objectives Outcome 5.2. Project well monitored. Outcome 5.3. Evidence that "lessons learned" from the ecosystem-based approach in BIG is	• Program activities executed in a timely and cost-effective manner • Potential risks identified and resolved in the early stages • Brazilian BIG experiences cited in the design, preparation and implementation of at least 2 other projects in the country/region	• Project management reports • M&E reports • Web page statistics	

being taken up and replicated elsewhere in the state, country and Latin American region.			
Component 1. Planning, Policy & Institutional Strengthening.			
Outputs (Sub-Component Purposes)	**Verifiable Indicators**	**Means of Verification**	**Assumption/Risks**
1.A. Planning Output 1.1. Establishment of a permanent, financially sustainable, public forum composed of representatives of government agencies, private sector and civil society to address issues of common concern that effect the ecological health and productivity of the BIG Ecosystem. Output 1.2. Development and adoption of long-term, multiple-phase strategic plan that will safeguard and promote the ecological restoration of the BIG Ecosystem.	• Legal declaration establishing the forum. • Legal act declaring joint adoption of plan by BIG Watershed Management Committee, INEA and 2 municipalities	• UGP secures the legal documentation through INEA. • Minutes of the meetings of the forum • UGP secures the legal documentation through INEA.	• Decision makers interested in considering and formulating new policy actions • Government provides agreed on counterpart funding • Local communities are willing to work together to address issues of common interest • Key stakeholder institutions agree to collaborate effectively in project activities
1.B. Policy Output 1.3. 4 policy studies addressing policy gaps/failures contributing to non-sustainable production/economic practices in BIG (one of which will support the creation of a mariculture permitting system). Output 1.4. Decentralization of environmental permitting procedures to BIG municipalities *1.C. Institutional Strengthening*	• 4 study reports • 2 legal agreements reached with participating municipal governments • 6 training courses and over 100 people trained	• Annual work plans. • UGP secures the legal agreements • Training course summaries • List of participants • Expense reports	

Output 1.4. Increased institutional capacity in INEA, SUPBIG and other relevant public and private sector institutions.			
Component 2: Biodiversity Conservation and Protected Areas			
Outputs (Sub-Component Purposes)	**Verifiable Indicators**	**Means of Verification**	
2.A. Strengthening Bocaina Mosaic Output 2.1. Completion of a *Bocaina*. mosaic strategy and action plan Output 2.2. Creation of a sustainable financing mechanism that covers operational costs of mosaic executive secretariat and selected UCs.	• Plan • Business Plan • Creation of an entity responsible for securing sustainable financing for the Mosaic Executive Secretariat and selected UCs	• INEA/SUPBIG provides plan to supervision mission • INEA/SUPBIG provides plan to supervision mission	
2.B. Strengthening of Existing UCs Output 2.3. Preparation/updating of UC management plans. Output 2.4. Increases in UC staff in individual BIG UCs.	• 4 new/updated management plans (at least one of which will be in a municipal CU) • Increases in UC personnel by at least 30 % in 2 UCs documented by staff contracts.	• Supervision mission evaluation. • INEA/SUPBIG provides contracts to supervision mission	
2.C. Creation of New and/or Expansion of Existing CUs in BIG Output 2. 5. Expansion of at minimum 1 UC representing no less than 24,000 ha beyond the base UC area. Output 2.6. Creation of at minimum of 1 new marine UC in BIG.	• Legal act documenting and describing details of changes to respective UC • Legal declaration of UC	• Provision of act to supervision mission. • Provision of act to supervision missions	

Component 3: Threat Analysis, Mitigation and Monitoring and Enforcement

Outputs (Sub-Component Purposes)	Verifiable Indicators	Means of Verification
3.A. Threat Analysis and Mitigation Output 3.1 Preparation and implementation of municipal waste water pollution plans in 2 BIG municipalities (one that includes Ilha Grande). Output 3.2 Blue Flag certification awarded in at minimum one BIG marina.	• Municipal organic waste plans; engineering reports; periodic operational and technical monitoring reports. • Documentation of Blue Flag Certification that qualifying criteria were met.	• Reports provided to UGP by municipal environmental officers; independent monitoring by SUPBIG staff • Evaluation provided UGP by BF qualified certifying body.
3.B. Monitoring and Enforcement Output 3.3 Development of dynamic computer model representing BIG Ecosystem structure and processes. Output 3.4 Development and implementation of an environmental quality monitoring program in BIG that includes adoption of biological indicators	• Software and demonstration of working model. • Technical manuals that describe protocols and procedures used in EQ monitoring program; • Field reports generated from periodic monitoring activities	• Model provided to and demonstrated for UGP staff by SUPBIG staff • SUPBIG staff provide copies of relevant documentation to PMU; • PMU participation in one or more field monitoring activities • Independent municipal evaluations • Supervision missions.

Component 4: Public Awareness and Communication

Outputs (Sub-Component Purposes)	Verifiable Indicators	Means of Verification
4.A. Public Awareness Strategy Output 4.1. PA & Communication Strategy	• Published PA & C Strategy.	• Supervision missions

4.B.Implementation of PA Strategy Output 4.2. Strategy Implemented.	• 300 local students participate in strategy activities • 300 BIG inhabitants participating in project supported workshops/courses • 50 environmental managers trained • 20 different types of informative materials produced and 5,000 users reached through dissemination	• Workshop minutes. • List of participants. • Workshop evaluations. • Supervision missions
Component 5: Project Management, M&E and Knowledge Management		
Outputs (Sub-Component Purposes)	**Verifiable Indicators**	**Means of Verification**
5.A Project Management Output 5.1. Project Coordination Unit (UGP) created to manage and coordinate GEF supported activities	• Documentation of GEF supported activities integrated into relevant INEA/SUPBIG activities being implemented on the ground. • GEF reporting requirements complied with in a timely and satisfactory manner.	• Project management reports • Project M&E reports • GEF specific reporting products
5.B. Monitoring and Evaluation Output 5.2. INEA/SUPBIG's M&E capacity strengthened to supervise GEF supported activities	• GEF required monitoring requirements integrated into SUPBIG's M&E system. • GEF reporting requirements complied with in a timely and satisfactory matter.	• Review of M&E system parameters and data collection methodology • Project monitoring and evaluation reports
5.C Knowledge Management Output 5.3. Knowledge management system established and implemented	• Webpage established and periodic updates; semi-annual newsletter produced (10 issues over life of project).	• Media outputs

Appendix 2. Recommendations from the Mid-Term Review

Note: the following recommendations from the Mid-Term Review (MTR) were prepared by an independent evaluation team in January 2015. They are not presented according to their importance but to the stakeholders they are addressed to.

Stakeholders	Recommendation
FAO, Government of Brazil	Make a new agreement on the actions to be executed until the end of the project, and outline a work plan according to the issues pointed out by the evaluation. This process should engage the different levels of governance in INEA, with new leaders defined in 2015. It is also recommended to complete the "BIG Project Logical Frame", establishing a feasible work plan for the next years, reviewing the PRODOC inconsistencies and considering the actual capacities. In addition, it is also suggested the adoption of project management tools more compatible with the project general objective, the ecosystem integrated and adaptive management of the BIG.
FAO	Strengthen the Water Basin Committee with a training program to qualify it as a regional discussion forum, engaging councilors and providing better conditions or a strategic planning and to communicate and disseminate information in a more adequate way. And, exercise means of coordination and persuasion with the city halls in the region to promote more effective participation in the activities performed by the Water Basin Committee.
FAO	Strengthen the work and capacities of partners and of the Ilha Grande Bay participation mechanisms to promote integral co-management, promoting protection and control mechanisms.
FAO, Government of Brazil	Strengthen the partnership established with the Tamoios Ecological Station to redesign the BIG ecosystem information monitoring system and properly apply the Evaluation and Monitoring Tracking Tool (METT) as a management monitoring tool.
FAO, Government of Brazil	Establish a process to gather and register the lessons learned with the elaboration of the Coastal Ecological-Economic Zoning (CEEZ) and of the Water Basins Plan (PBH), aiming at obtaining subsidies to disseminate the lessons at different regional and national levels, mainly regarding the Marine/Coastal Management Commission of the Ministry of Environment.
FAO	Review the component based on current reality, adopting adapted and more efficient strategies to implement the component, notably to the area of communications
FAO	Implement the strategy to gather and register the lessons learned in the project to subsidize with information the process to disseminate the concept of land management focused on the ecosystem approach and possibility of replicating good practices.

Appendix 3. Preliminary evaluation sub-questions

Preliminary sub-questions are presented below under each main evaluation question.

EQ1. Were the project's strategy and actions relevant and adequate to meet the needs of all beneficiaries and stakeholders?[36]

- ✓ To what extent does the Project address key needs and priorities related to biodiversity and ecosystem management in support of policies and programs of the national and State governments and municipalities where the project is implemented?
- ✓ To what extent have the project's strategy and actions supported the implementation of policies and programs of Brazil CPF, UNDF and the Strategic Objectives of FAO and GEF[37]?
- ✓ To what extent does the project respond to the needs and capacity development needs of the local communities / women and other beneficiaries?
- ✓ Were the planned actions and goals relevant (realistic) for the project timeframe, local institutional capacities and coordination, and political context?
- ✓ Were the designed implementation arrangements (e.g. share of responsibilities for the implementation/contribution to activities and achievement of results) adequate?
- ✓ Was risk management integrated into the planning and implementation of the project (including financial risks, institutions, and the effects of Climate Change)?
- ✓ Was an institutional mapping developed prior to project design, identifying capacities as well as where the largest risks could exist? Was the project institutional arrangement designed according to the institutional capacity at the time of design?

EQ2. How did the modalities of intervention, the institutional and partnership structure, the resources, and the financial, technical and operational procedures, contribute to or impede the achievement of the project's results and objectives?

- ✓ To what extent Ddid the project experience delays in its implementation that have hindered the achievement of the project's objectives? How did the project attempt to overcome these difficulties?

- ✓ How have policies and institutional priorities changed during project implementation and how did this affect the capacity of the project to deliver on the established outcomes?

- ✓ Was a Monitoring and Evaluation (M&E) system designed with baseline information, SMART[38] indicators and a gender focus/gender disaggregated indicators?

- ✓ Did the M&E system track results and support adaptive management? Were the reports prepared on schedule and of quality? Were GEF tracking tools used for implementation?

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[36] Taking adjustments and revisions to the project's components and activities into account.
[37] Considering the two sets of FAO Strategic Objectives and the distinct GEF objectives over the period.
[38] Specific, Measurable, Assignable, Realistic and Time-related.

✓ How effective or ineffective was the technical and operational support to the project, including FAO, FAO-GEF coordination unit, LTO and BH support?

✓ To what extent has a lack of local capacity hindered the achievement of project objectives? What was the project response to these challenges?

✓ To what extent did implementation and execution arrangements (e.g. use of the right human resources for each function, use of efficient form of procurement that ensured teams/consultants with best possible performance) favor or hinder project activities, and contribute to efficient and results-based management and the achievement of project objectives?

✓ Risk management plan- to what extent did it support and promote an efficient implementation of the project?

✓ Has the project shown capacity to effectively adapt to changes in context and therefore generate unexpected results that contribute to the ultimate project objective?

EQ3. How effective has the project been in reaching its goal, objectives and expected results? What results, intended and unintended, did the project achieve across its components?

✓ How effective was the project in identifying and correcting design flaws and changes in context and in adapting the outcomes and activities in order to deliver on the project main objective (if not on the initial outcomes) within possibilities allowed by the institutional and political context during implementation?

✓ How and to what extent has the project supported long-term conservation and biodiversity management in the BIG ecosystem?

✓ Did the project catalyzed co-financing make a significant contribution to achieving the project objectives?

✓ Was capacity development of local staff involved in the BIG ecosystem and biodiversity conservation improved?

✓ How has the project's results contributed to FAO and GEF strategic objectives as well as to Brazil's development priorities?

EQ4. To what extent did the project approach in working with local communities regarding ecosystem management ensure stakeholders participation in the decision-making process related to project activities? To what extent has the project addressed gender equality issues in its design and contributed to women empowerment throughout its implementation?

To what extent were processes launched by the project, inclusive participatory and consensus building oriented?

➢ To what extent was there buy-in by stakeholders and constructive participation in the processes? How much has the project tried to improve stakeholder's capacity to reach consensus and act?

➢ To what extent have local communities been properly informed, consulted and involved in the decision-making process prior project implementation?

➢ To what extent has the project's partnership strategy and specific partnership arrangements, e.g. with local and national agencies, been effective? How could it have been improved?

> ➢ Did the project undertake a gender analysis at formulation or inception phases? Has the project ensured that men and women have equal access to capacity building opportunities?

EQ6. How sustainable are the project's achieved results at the environmental, technical, social, financial and institutional level?
- ✓ To what extent are the results owned by national and local stakeholders?
- ✓ Has a sustainable communication system been established that includes the knowledge and practices introduced by the project? Has this information been disseminated, stimulating dialogue on lessons learned and good practices?
- ✓ Have national and local institutions been prepared to carry out activities after the project? Were financial arrangements have been made to carry out the activities?
- ✓ Are there any changes in enabling environment, individuals and organizations' capacities that are likely to jeopardize or foster project activities replication and upscale, after the project completion?
- ✓ Did the project have any catalytic effect in the country and in the project area?

EQ7. What are the key lessons that can be learned from the project's design, implementation and sustainability?
- ✓ What lessons-learnt can inform future similar FAO and/or GEF's projects, in particular innovative and best practices that could be up and outscaled?
- ✓ If any, what priority needs this project should address in Brazil and most particularly in the project areas and for biodiversity conservation and natural resources management?

Appendix 4. GEF Evaluation Criteria Rating Table and Rating Scheme Templates

Each criterion receives a rating derived from the evaluative assessment in the main document.

GEF criteria/sub criteria	Rating[39]	Summary Comments[40]
OVERALL PROJECT RATING:		
A - ASSESSMENT OF PROJECT RESULTS		
1. Overall quality of project outcomes[41]		
1.1. Relevance		
1.2. Effectiveness		
1.3. Efficiency		
1.4. Country and stakeholder ownership		
B - PROJECT IMPLEMENTATION AND EXECUTION RATING		
2. Quality of project implementation		
Assessment of project supervision		
Role of FAO as GEF Agency		
3. Quality of project execution		
Project design		
Project Management (including financial planning and management)		
Partnerships and stakeholders relationships		
Communication and Awareness-raising		
C - MONITORING AND EVALUATION (M&E) RATING		
4. Overall quality of M&E		
4.1. M&E Design		
4.2. M&E Plan Implementation		
D - SUSTAINABILITY OF PROJECT OUTCOMES		
5. Overall likelihood of risks to sustainability		
5.1. Financial risk		
5.2. Socio-political risk		
5.3. Institutional risk		
5.4. Environmental risk		

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[39] See rating scheme at the end of the document.

[40] Include reference to the relevant sections in the report.

[41] Assessment and ratings by outcome may be undertaken if there is added value. A composite scoring of all outcome ratings, however, is not advised.

1.1 Rating Scheme

A. Overall Outcome ratings[42]

Terminal evaluations take into account the project's results, logical framework, ToC and work plan.

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

B. Project Implementation ratings (Assess Implementation and Execution separately)

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

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[42] See instructions provided in annex 2: Rating Scales in the "Guidelines for GEF Agencies in Conducting Terminal Evaluations for Full-sized Project", April 2017.

C. Monitoring and Evaluation Design or Implementation Ratings (Overall M&E design, Assess Design and Implementation separately)

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

D. Sustainability

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

1.2   FAO-GEF Co-financing Table

Name of the Co-financer	Co-financer type[43]	Type of co-financing[44]	Co-financing at project start (Amount confirmed at GEF CEO endorsement/approval by the project design team) (in USD)			Materialized Co-financing at project evaluation point (confirmed by the evaluation Team) (in USD)		
			In-kind	Cash	Total	In-kind	Cash	Total
Grand Total (in USD)								

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[43] Examples of categories include: local, provincial or national government; semi-government autonomous institutions; private sector; multilateral or bilateral organizations; educational and research institutions; Non-Profit organizations; Civil Society Organizations; foundations; beneficiaries; GEF agencies; and others (please explain).

[44] Grants; loans; equity participation by beneficiaries (individuals) in form of cash; guarantees; in-kind or material contributions; and others (please explain).