

**Project Evaluation Series**

**Mid-term evaluation of the project  
“The coastal fisheries initiatives global partnership”  
and the project  
“Delivering sustainable environmental, social and economic  
benefits in West Africa through good governance, correct  
incentives and innovation”**

**Project codes: GCP/GLO/838/GFF and GCP/RAF/837/GFF  
GEF IDs: 9128 and 9126**

**Annex 1. Terms of reference**

**FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS**

**Rome, 2021**

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## Abbreviations and acronyms

BH	Budget holder
CFI	Coastal Fisheries Initiative
EM	Evaluation Manager
ET	Evaluation Team
ETL	Evaluation Team Leader
FAO	Food and Agriculture Organization of the United Nations
FLO	Funding Liaison Officer
FPAT	Fisheries Performance Assessment Tool
GEF	Global Environment Facility
GCU	FAO GEF Coordination Unit
GSC	Global Steering Committee
LTO	Lead technical officer
LTU	Lead technical unit
MTE	Mid-term evaluation
OED	FAO Office of Evaluation
PIU	Project Implementation Unit
PIR	Project Implementation Report
PSC	Project Steering Committee
PTF	Project Task Force

# 1. Background and context of the project

1. These terms of reference (TORs) provide a framework for the Mid-term Evaluations (MTEs) of two interconnected projects “The Coastal Fisheries Initiative Global Partnership” (GCP/GLO/838/GFF, the “global project”) and “Delivering sustainable environmental, social and economic benefits in West Africa through good governance, correct incentives and innovation” (GCP/RAF837/GFF, the “regional” project). Two separate, but inter-related MTEs will be conducted.
2. In addition to briefly describing the projects, this TOR sets out the purpose and scope of the evaluations, outlines the methodological approach, the relationship between the two evaluations, roles and responsibilities, and proposes a timeline.

## Box 1. Summary project information GCP/GLO/838/GFF (global project)

- |    |   |
|----|---|
| A. | GEF Project ID Number: 9128   |
| B. | Recipient countries: Indonesia, Peru, Ecuador, Cabo Verde, Cote D’Ivoire, Senegal |
| C. | GEF Implementing Agency: FAO  |
| D. | Executing Agencies: UNDP, WWF, Conservation International, World Bank             |
| E. | Focal Area: International Waters; Biodiversity                                    |
| F. | GEF Strategy/operational programme: Programme 7 – Foster Sustainable Fisheries    |
| G. | Date of CEO endorsement: 20 April 2017  |
| H. | Date of project start: 1 October 2017   |
| I. | Date of project completion (original NTE): 30 September 2021                      |
| J. | Revised project implementation end date: 30 June 2022                             |
| K. | GEF Grant amount: USD 2 652 294   |

## Box 2. Summary project information GCP/RAF/837/GFF (regional project)

- |    |   |
|----|---|
| A. | GEF Project ID Number: 9126   |
| B. | Recipient countries: Cabo Verde, Cote D’Ivoire, Senegal   |
| C. | GEF Implementing Agency: FAO  |
| D. | Executing Agencies: Governments of Cabo Verde, Cote D’Ivoire, Senegal, and the Abidjan Convention Secretariat                                     |
| E. | Focal Area: International Waters; Biodiversity  |
| F. | GEF Strategy/operational programme: IW3-PROGRAMME 7: FOSTER SUSTAINABLE FISHERIES, AND BD4-PROGRAMME 9: MANAGING THE HUMAN-BIODIVERSITY INTERFACE |
| G. | Date of CEO endorsement: 11 May 2017  |
| H. | Date of project start: 2 October 2017   |
| I. | Date of project completion (original NTE): 30 September 2021  |
| J. | Revised project implementation end date: 10 May 2022  |
| K. | GEF Grant amount: USD 6 133 027   |

## 1.1 Description of the project, project objectives and component

3. Coastal fisheries provide revenue and a healthy food source around the world. However, these activities also put a growing pressure on the marine environment, endangering aquatic species and threatening ecosystems. The Coastal Fisheries Initiative (CFI) is a global effort aimed to preserve marine resources and ensure that coastal fisheries can continue to play their crucial role in society.
4. Funded by the Global Environment Facility (GEF), the CFI is based on a partnership of six GEF agencies leading one or more of the three “child” projects covering six countries in three regions – Indonesia, Senegal, Cote D’Ivoire, Cabo Verde, Ecuador and Peru, plus the Challenge Fund and the Global Partnership Project. The six GEF agencies are FAO, Conservation International, UNDP, UNEP, World Bank and WWF.

5. The FAO is the GEF Lead Agency for the CFI programme as well as the Executing Agency for the **Global Partnership Project (GCP/GLO/838/GFF)**. The CFI child projects with the project lead agencies and the six countries are:
  - i. Child project 1: Ecosystem-based management and improved governance of coastal fisheries in the Southeast Pacific, implemented by UNDP in collaboration with WWF and Conservation International.
  - ii. Child project 2: Delivering sustainable environmental, social and economic benefits in West Africa (GCP/RAF/837/GFF), implemented by FAO in collaboration with UNEP.
  - iii. Child project 3: Ecosystem approach to fisheries management in Eastern Indonesia, implemented by WWF in collaboration with Conservation International.
  - iv. Child project 4: The Challenge Fund, for sustainable marine resources management, implemented by the World Bank.
  - v. Child project 5: Global Partnership project implemented by FAO in collaboration with the other CFI agencies and the University of Washington. No government co-financing was planned for the Global Partnership Project.
6. While each regional project is meant to be tailored to its own regional context, there are also some similar or common elements such as integrating ecosystem-based management into fisheries policies, promoting marine protected areas and furthering gender equality. The /outcomes of these elements are to be shared between projects via knowledge sharing activities.
7. The three regional projects are supported by the Challenge Fund Project (latter led by the World Bank), which aims to provide technical assistance for the development of a pipeline of investable projects, and a platform for interested investors to engage early and with adequate understanding of potential investment risks. The ultimate outcomes are private investments made in the fisheries of the three regions. The Challenge Fund aims to benefit the West Africa project by providing access to technical assistance for developing investable projects and ties to potential investors in the post-harvest sector and possibly empowering women’s groups.
8. Coordination of CFI, including ensuring the projects are working together as a programme, assessing fisheries management performance, conducting analyses of the four projects’ outcomes and M&E activities, and sharing knowledge within and beyond the CFI programme, is managed through the Global Partnership Project (one of the projects to be evaluated).
9. The financing plan for this project is presented below:

<b>Financing Plan: GEF allocation:</b>	USD 2 652 294
<u>Co-financing:</u>	
FAO (in-kind)	USD 9 200 000
UNEP (in-kind)	USD 150 000
University of Washington (grant and in-kind)	USD 2 500 000
Subtotal Co-financing:	USD 11 850 000
<b>Total Budget:</b>	<b>USD 14 502 294</b>

Source: Project Document.

Note: Provided the importance of M&E and knowledge sharing, for each project, a total of 25 percent of funds have been allocated to these components.

## **Delivering sustainable environmental, social and economic benefits in West Africa through good governance, correct incentives and innovation GCP/RAF/837/GFF**

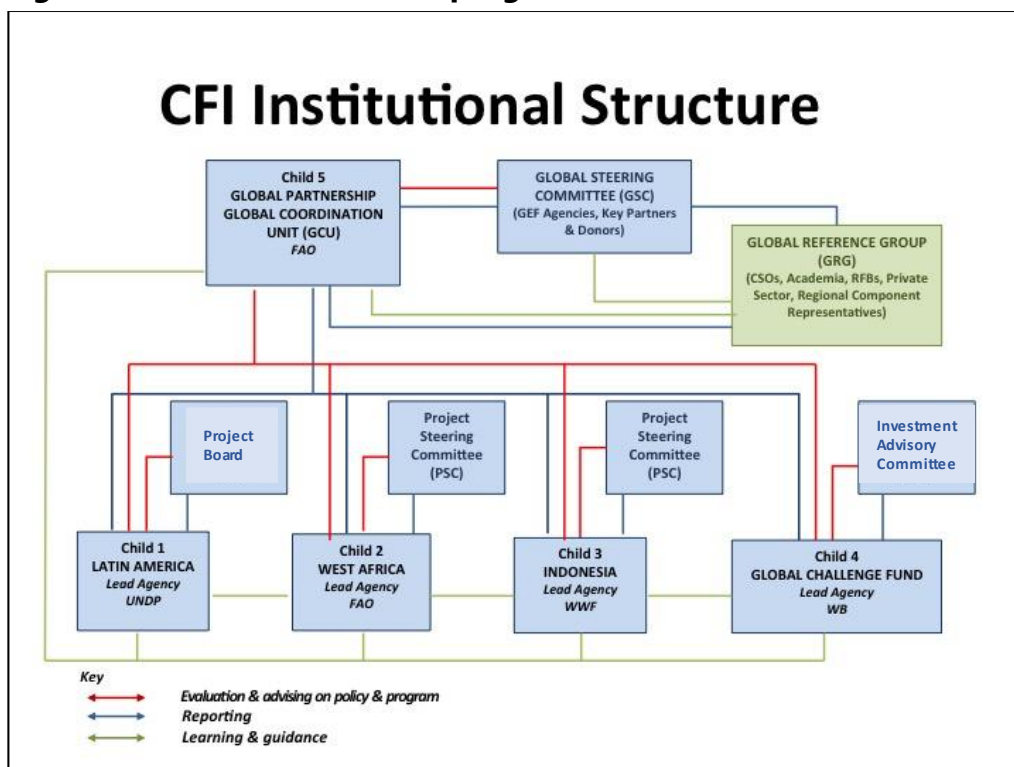
10. The overall regional project objective is to “Strengthen fisheries governance, management and value chains, through the implementation of an ecosystem approach to fisheries, of relevant international instruments and of innovative governance partnerships in three countries in West Africa (Cabo Verde, Cote d’Ivoire and Senegal).” This objective was divided into a Global Environment Objective and a Development Objective:
  - i. Global Environmental Objective: To promote responsible fisheries governance and management leading to more sustainable coastal fishery resource utilization and safeguarding of marine ecosystems in three countries; and
  - ii. Development Objective: To support enhanced fisheries and value chain governance and management creating sustainable contributions to social and economic development.
11. The project consists of three interlinked components that aim to address the barriers described above in an integrated manner:
  - i. Component 1: Improving fisheries governance and management
  - ii. Component 2: Strengthening the seafood value chain
  - iii. Component 3: Strategic communication, monitoring and evaluation, and upscaling best practices.
12. According to the Project Document, the first component of the West Africa project especially has been envisioned to align with the CFI programme as a whole. It aims to strengthen institutional structures and processes with a focus on an Ecosystem Approach to Fisheries (EAF), including policy, legislation and institutions, co-management and access rights; and incorporate management and conservation of mangroves into fisheries management in the three countries. The second component is designed to be aligned to the CFI programme by promoting sustainability incentives in the value chain, especially at the harvesting stage, and implementation of private-public partnerships and development of innovative market incentive systems. Finally, via its third component, the project aims to share best practices, promote collaboration and strengthen fisheries performances measures and assessments.
13. The financing plan for the project is presented below:

<b>Financing Plan: GEF allocation:</b>	USD 6 433 027
<u>Co-financing:</u>	
FAO (in-kind)	USD 27 000 000
UNEP (in-kind)	USD 150 000
Government of Cabo Verde (in-kind)	USD 3 000 000
Government of Cote d’Ivoire (in-kind)	USD 6 000 000
Government of Senegal (in-kind)	USD 5 000 000
Abidjan Convention (in-kind)	USD 1 000 000
NGO BirdLife International (in-kind)	USD 300 000
NGO Marine Stewardship Council (MSC) (in-kind)	USD 1 000 000
Industry group CONXEMAR (in-kind)	USD 2 000 000
CSOs Small-scale fisheries organisations (in-kind)	USD 101 500
Subtotal Co-financing:	USD 45 551 500
<b>Total Budget:</b>	<b>USD 51 984 527</b>

## 1.2 Project governance

14. As shown in the figure below, the CFI programme is guided by a Global Steering Committee (GSC) comprising representatives of the participating states, the GEF implementing and executing agencies, co-financing partners and other strategic stakeholders. The GSC role is to act as the main policy body overseeing the programme execution (and also as the Project Steering Committee for the Global Partnership and Challenge Projects Fund), and accordingly, review and approve all technical documents, review budgets and financial reports and provide general strategic and implementation guidance to the Global Coordination Unit (GCU).

**Figure 1. Structure of the CFI programme**



Source: CFI programme documentation.

15. As shown in the figure, a Global Reference Group is envisioned as well. While steps were taken to set it up, to date it has not yet been operationalized or convened.
16. In the case of the Global Partnership Project (Child 5), the institutional structure has a dual purpose: first, at the programme level, with FAO as coordinator of the CFI programme; and, second, at the project level, with FAO as executing agency of the Global Partnership Project. For this dual purpose, and as part of Component 1 of the Project, the GCU, under the authority of the Budget Holder, is in charge of coordinating the CFI programme as well as responsible for the implementation of the Global Partnership Project.
17. Each of the three CFI regional child projects (Latin America, West Africa and Indonesia), as well as the Challenge Fund, has its own institutional arrangements, including a Project Steering Committee. These arrangements are described in the respective project documents.

### 1.3 Project stakeholders and their role

18. In addition to the governance bodies mentioned above, the CFI and its child projects encompass a number of key stakeholders.
19. **GEF Agencies:** The Food and Agriculture Organization (FAO) is the Lead Agency for the CFI programme as a whole. As such, its main responsibilities are to:
  - i. manage and disburse GEF funds in accordance with the rules and procedures of FAO;
  - ii. enter into Execution Agreements, Letters of Agreement and/or UN to UN Agreements, with the CFI executing partners for the provision of services to the programme and project;
  - iii. oversee programme and project implementation in accordance with the relevant documents;
  - iv. provide technical guidance to ensure that appropriate technical quality is applied to all programme and project activities; and
  - v. report to the GEF Secretariat and Evaluation Office on programme and project progress.
20. The FAO is also the Executing Agency of a) the Global Partnership Project, and b) the West Africa regional child project. As such, it provides supervision and technical guidance services during programme and project execution.
21. In the West Africa project, UNEP is also a GEF Agency and, through the Abidjan Convention, is directly responsible for the implementation of Output 1.2.2 with respect to mangroves in Cote d'Ivoire and Senegal. UNEP/the Abidjan Convention are also part of overall project planning and implementation.
22. The other GEF agencies/partners involved in the CFI are UNDP, World Bank, WWF and Conservation International. An overview of their distribution among the child projects is presented in paragraph 4 above.
23. The University of Washington, as CFI Partner, has an Execution Agreement with FAO allowing for the purchase of goods, minor works, and services needed to execute its part of the planned activities (Component 3 of the Global Partnerships Project).
24. In the West Africa project, in addition to GEF agencies, project partners include: ECOWAS, the African Confederation of Artisanal Fishing Organizations (CAOPA), BirdLife International, the Marine Stewardship Council and the Spanish Association of Wholesalers, Importers, Manufacturers and Exporters of fish products and Aquaculture (CONXEMAR).
25. The FAO Lead Technical Unit (LTU) is the Department of Fisheries (NFI, FAO Rome office) of the Natural Resources and Sustainable Production stream of the FAO and a Lead Technical Officer (LTO) was appointed (same LTO for both FAO-led projects). The LTU, via the LTO, provides technical advice and backstopping to the project and supports particularly the development and roll out of the Fisheries Performance Assessment Tool (FPAT). The FAO GEF Coordination Unit (CBC) reviews and approves the projects' progress reports, financial reports and budget revisions. The FAO GEF Coordination Unit reviews and clears annual Performance Implementation Reports (PIRs) and undertakes supervision missions if considered necessary. The PIRs are included in the FAO GEF Annual Monitoring Review submitted to GEF by the FAO GEF Coordination Unit. The FAO GEF Coordination Unit participates in the mid-term and final evaluations and the development of corrective actions to mitigate eventual risks affecting the timely and effective implementation of the project. The FAO GEF Coordination Unit, in collaboration with the FAO Finance Division, requests transfer of project funds from the GEF Trustee based on six-monthly projections of funds needed.

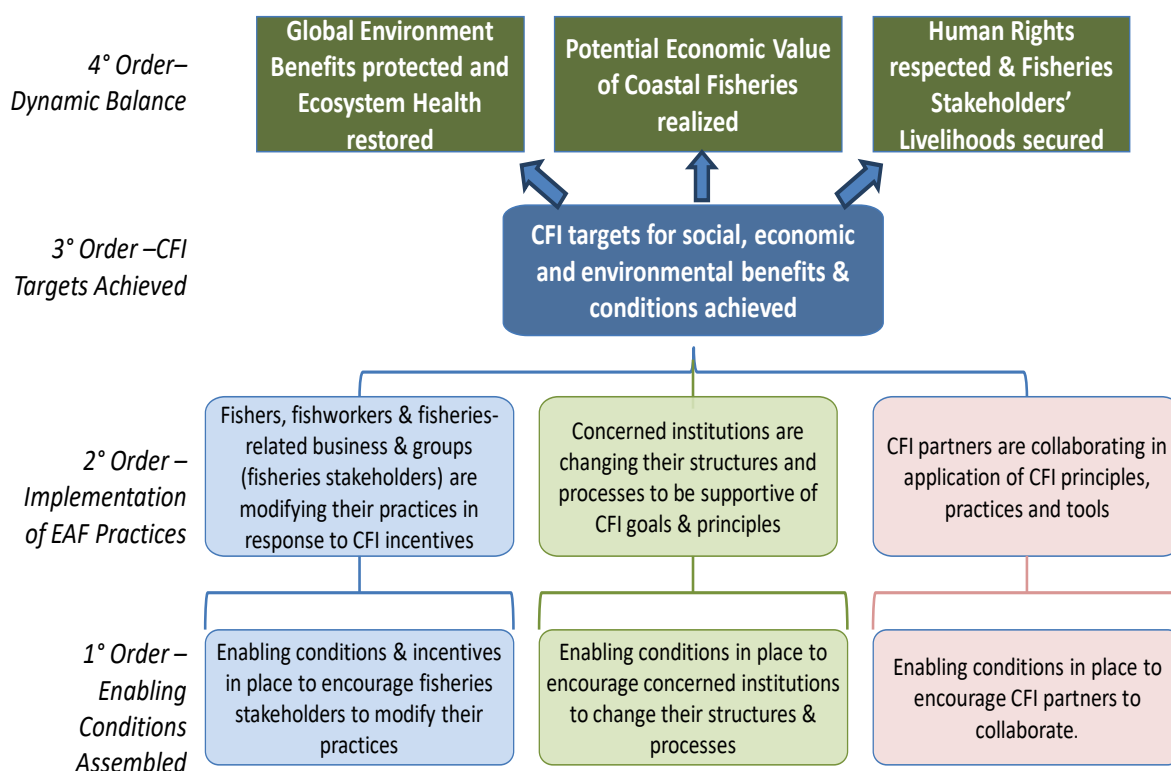


26. In both projects, the Project Task Force is responsible for:

## 1.4 Theory of change

27. The CFI programme is informed by the CFI theory of change (TOC) (Figure 2), which identified a series of tiered building blocks critical to achieving the programme’s outcomes. The child projects are expected to progress through these tiers starting with establishing necessary enabling conditions (Tier 1), which will lead to implementing changes in practices (Tier 2), achieving benefits to fisheries and stakeholders (Tier 3) and ultimately leading to system sustainability (Tier 4).

**Figure 2. CFI programme theory of change**



Source: Project Document.

28. The CFI programme results framework (see Annex II) is meant to build upon this TOC and provides the structure that guides each of the child projects.

29. The Project Document of the West Africa regional project does not propose a separate TOC. The Results Matrix of the global and West Africa components can be found in Annexes III and IV of these TORs.<sup>1</sup> As a result of the mid-term evaluations, the evaluation team may wish to suggest, in the evaluation reports, adjustments to the existing TOC or propose a separate TOC for the West Africa component.

30. For both the global and child projects, the impacts of COVID-19 have been evident. For instance, when management plans need validation by communities and stakeholders (some of these activities can be done remotely, but not all members of fishing communities are available for remote consultations). And, in cases where such plans are ready, it has not been possible to implement them on the ground, as movements during the pandemic are severely restricted.

<sup>1</sup> Annexes are attached separately.

## 2. Purpose of the mid-term evaluation

31. The Mid-Term Evaluation (MTE) is a requirement of the GEF and also demanded by the FAO for project monitoring and reporting purposes. It is being conducted for both accountability and learning purposes of GEF, FAO, and other participating institutions. The MTE is a valuable opportunity for improvement, and the project team will be able to review the results framework/the TOC and make adjustment up to the outcome level.
32. These MTEs will document important lessons to guide the remaining phase of the projects and will serve as an input to improve its implementation. Likewise, they will present strategic recommendations in order to maximize the results of the project as well as its institutionalization and appropriation of the project's results by stakeholders and authorities that could benefit from it.
33. Two separate, but inter-related mid-term evaluations (MTEs) will be conducted: "The Coastal Fisheries Initiative Global Partnership" project (GCP/GLO/838/GFF, the "global" project) and "Delivering sustainable environmental, social and economic benefits in West Africa through good governance, correct incentives and innovation" (GCP/RAF837/GFF, the West Africa "regional" project).
34. The global project evaluation will prioritize the global cooperation and policy influence of the initiative, through its child projects. To gain and synthesize insights about each of the child projects' achievements and challenges, it will draw from the evaluation work conducted by the child projects separately, except in Indonesia.
  - i. the mid-term evaluation of the Latin America regional project will be concluded soon (final report in November 2020);
  - ii. the mid-term evaluation of the West Africa regional project is on-going in parallel with the global project evaluation.
  - iii. in the case of Indonesia, the project has not yet officially begun implementation due to negotiations between local partners and the government.<sup>2</sup>
35. The main audiences and intended users of the mid-term evaluations are the following.
  - i. For the Global Partnerships Project:
    - the FAO (Department of Fisheries, GEF Coordination Unit, regional and project country offices, Project Management Team, members of Project Task Force), and the partner agencies for all the child projects (UNDP, the World Bank, the WWF, Conservation International, UNEP, and the University of Washington), who will use the findings and lessons identified in the MTE to continue and improve the child projects' activities and plan for sustainability of the results achieved;
    - the GEF who will use the findings to inform future strategic investment decisions concerning the Coastal Fisheries Initiative;
    - the regional, national and subnational counterparts who will use the evaluation findings and conclusions for future planning;
    - project beneficiaries, such as the targeted local fishing communities; and
    - other donors, organizations and institutions interested in supporting and/or implementing similar projects.

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<sup>2</sup> Therefore, no evaluation fieldwork will take place in Indonesia.

- ii. For the West Africa regional project :
- the FAO (Regional Office for Africa; FAO Sub-regional Office for West Africa; FAO Country Offices in Senegal, Cote D'Ivoire, and Cabo Verde, Project Management Team, members of the Project Task Force), together with the partner agency UNEP, will use the findings and lessons identified in the MTE to continue and improve the project activities and plan for sustainability of the results achieved;
  - GEF, who will use the findings to inform future strategic investment decisions concerning the Coastal Fisheries Initiative, the West Africa region, and Senegal, Cote D'Ivoire, and Cabo Verde;
  - the regional, national and sub-national counterparts who will use the evaluation findings and conclusions for future planning;
  - project beneficiaries, such as the targeted local fishing communities; and
  - other donors, organizations and institutions interested in supporting and/or implementing similar projects.

### **3. Mid-term evaluations scope**

36. The MTE covers the projects' design stage and the implementation period since their start in October 2017, until November-December 2020, and will analyze each of the two projects' components. It covers all the geographical areas where the projects have been implemented, although only project locations in West Africa will be visited directly by the evaluation team (the project locations in Latin America have been visited by the respective evaluation managed by the UNDP).
37. The MTEs will also consider the pre-conditions and arrangements in place that have contributed to – or hindered - the adequate implementation of the planned activities, including linkages and/or partnerships between the project and other major relevant initiatives.

## 4. Mid-term evaluations objectives and key questions

### 4.1 Mid-term evaluations objectives

38. The objective of the mid-term evaluations is to assess the extent to which the projects have achieved their purpose to date and verify the actual conditions for their successful completion.
39. The specific objectives are:
- i. To assess and rate the achievements and shortcomings of the project to date, with regard to relevance, effectiveness, efficiency, sustainability of the project's outcomes under the four components, factors affecting the performance and delivery of the project results (detailed below), and the cross-cutting dimensions, including gender and equity concerns, Environmental and Social Safeguards (as appropriate).
  - ii. To draw conclusions and lessons learned to be fed into the ongoing project implementation in order to improve the project's performance and to increase the prospects for achieving its objectives.

### 4.2 Mid-term evaluations questions

40. To achieve its objectives, the MTEs will answer the questions proposed in the two boxes below.

#### Box 3. Mid-term evaluation questions for the CFI Global Project

<p><b>1. Relevance</b> (rating required)</p>	<p>1.1 Are the project outcomes and objectives congruent with the GEF focal areas/operational programme strategies; environmental priorities and the FAO Country Programming Frameworks in the six project countries?</p> <p>1.2 Has there been any change in the relevance of the project since its design, such as new national policies, plans or programmes that affect the relevance of the project objectives and goals? Do each of the child projects continue to be relevant? Are there any changes that need to be made to the project/s to make it more relevant?</p> <p>1.3 Have the project results and achievements addressed key issues that constrain or facilitate sustainable fisheries management - as perceived by a broad range of fishery scientists, economists and sociologists; and by stakeholders on the ground targeted in the "child projects".</p>
<p><b>2. Effectiveness achievement of project results</b> (rating required)</p>	<p>To what extent have the project outcomes and its objective to "Enhance multi-state cooperation and catalyse investments to foster sustainable fisheries, restore and protect coastal habitats, and reduce pollution of coasts and large marine ecosystems" been achieved to date, and how effective was the project in achieving them? The MTE can regard this question to the extent possible, considering, importantly, also the child projects' progress to date and the collaborative linkages between them.</p> <p>Sub-questions for each component:</p> <p>2.1 (Component 1) Has the project been able to, through strengthened coordination and adaptive management for the Coastal Fisheries Initiative, establish the institutional structures and methodological tools required for the efficient implementation, monitoring an evaluation of the CFI programme in general and the Global Partnership Project in particular? How effective have these been?</p> <p>2.2 (Component 2) Promotion of Policy Influence and Catalytic Role: Have knowledge management and outreach strategies, aimed at improving the broad sharing of information and knowledge among coastal fisheries as well as explicitly extending the communication</p>

	<p>outside of the CFI’s geographic scope been implemented?<sup>3</sup> What methodologies and tools has the global project promoted among the child projects?</p> <p>2.3 (Component 3) Has a Fisheries Performance Assessment Instrument been developed and established? How relevant is the instrument to the priority needs of sustainable coastal fisheries? Does it complement or improve on other fisheries performance assessment instruments such as the Marine Stewardship Council’s assessment framework? To what extent has the project, to date, provided technical support for the wide adoption of the Instrument, allowing for an effective coverage of the environmental, social and economic impacts of coastal fisheries? How have the CFI partners, academic and research networks been involved in this process? Is there any evidence as yet that the instrument has, or will, contribute to more sustainable coastal fisheries.</p> <p>Effectiveness of partnership arrangements: this project is a partnership between the donor (GEF), FAO, UNDP, the World Bank, the WWF, Conservation International, UNEP, and the University of Washington (USA), as well the governments of the six project countries. Are these partnerships operating according to expectations (i.e. Execution Agreements) to date in the project countries as well as at the global level? What are the strengths and challenges of the project’s partnerships? How has the global project facilitated an exchange between the partners?</p> <p>Additionally:</p> <p>2.5 Are there any unintended results to date?</p> <p>2.6 (Likelihood of impact) Are there any barriers or other risks that may prevent future progress towards and the eventual achievement of the objectives of this project (with a view of the goals of the Coastal Fisheries Initiative as a whole)? In particular, the evaluation will comment on the COVID-19 crisis and its effects on the projects.</p>
<p><b>3. Efficiency</b> (rating required)</p>	<p>3.1 To what extent has the project been implemented efficiently, cost-effectively, and management been able to adapt to any changing conditions to improve the efficiency of project implementation? How satisfactory is the project’s expenditure rate to date?</p> <p>3.2 To what extent has the project built on existing agreements, initiatives, etc., and avoid duplication of similar activities of other groups? What steps has the project taken to maximize synergies and eliminate overlaps between its own “child” projects?</p>
<p><b>4. Sustainability</b> (rating required)</p>	<p>4. Does the project include provisions to sustain its results and benefits (i.e. an exit strategy) and are these provisions being implemented? What are the key risks that may affect the sustainability of the project results and benefits (i.e. financial, socio-economic, institutional and governance, and environmental)?</p>
<p><b>5. Factors affecting progress</b> (rating required)</p>	<p>5.1 (Project design) Is the project design appropriate for delivering the expected outcomes? Is the logic coherent and clear and are the theories of change of the “child” projects aligned to the overall goals of the programme? To what extent are the project’s objectives and components clear, practical and feasible within the timeframe? Did the project identify capacity needs, especially at the regional, national institutional and local levels, as appropriate?</p> <p>5.2 (Project execution and management) To what extent did the project execution partners (particularly at the global level) effectively discharge their roles and responsibilities related to the management and administration of the project? What have been the main challenges in relation to the management and administration of the project and what changes are needed to improve delivery in the second half of the project?</p> <p>5.3 (Financial management and Co-financing) What have been the challenges related to the financial management of the project and to what extent has the pledged co-financing been delivered?</p> <p>5.4 (Project oversight, Implementing Agency role) To what extent has FAO delivered on project identification, concept preparation, appraisal, preparation, approval and start-up,</p>

<sup>3</sup> This question relates closely to the communications and knowledge management question further below.

	<p>oversight and supervision? Were the Global Reference Group, the Global Steering Committee and the Global Coordination Unit set up and perform effectively?</p> <p>5.5 (Additional partnerships and stakeholder engagement) In addition to the main project partners, the Evaluation Team should note the extent of other stakeholders' involvement (progress to date), challenges and outcomes. What has been the effect of their involvement/non-involvement on the project results?</p> <p>5.6 (Communication and knowledge management) How effective has the project been in consolidating, communicating and promoting its key messages and results to partners, stakeholders and a general audience? How can this be improved? To what degree have new knowledge products enhanced, complemented or replaced previous products, such as the Guidance for small scale fisheries? To what degree have new knowledge products enhanced, complemented or replaced previous products, such as the Ecosystem approach to fisheries toolkit and Guidance for small-scale fisheries? The Evaluation Team should note which knowledge activities and products have been utilized in this project.</p> <p>5.7 (M&amp;E design and implementation) Is the M&amp;E plan practical and sufficient? Does the M&amp;E system operate as per the M&amp;E plan? Has the project been monitored effectively and efficiently?</p>
<p><b>6. Cross-cutting dimensions</b></p>	<p>6.1 (<b>Gender and minority groups</b>) To what extent were gender considerations taken into account in designing and implementing the project (i.e. did the project conduct a gender analysis, as planned)? Were women able to gain equal benefits from the project's activities? Overall, what is the progress on gender-responsiveness measures?</p> <p>6.2 (<b>Environmental and social safeguards</b>) To what extent were environmental and social concerns, including considering the effects of the project on the most vulnerable local populations, been taken into consideration in the design and implementation of the project?</p>

**Box 4. Mid-term evaluation questions for the CFI West Africa Project**

<p><b>1. Relevance</b> (rating required)</p>	<p>1.1 Are the four project outcomes and objectives congruent with the GEF focal areas/operational programme strategies, environmental priorities of and FAO Country Programming Frameworks for Senegal, Cote D'Ivoire and Cabo Verde, as well as its regional priorities in West Africa?</p> <p>1.2 Has there been any change in the relevance of the project since its design, such as new national policies, plans or programmes that affect the relevance of the project objectives and goals? If so, are there any changes that need to be made to the project to make it more relevant?</p>
<p><b>2. Effectiveness achievement of project results</b> (rating required)</p>	<p>To what extent have the project outcomes and its objective to "Strengthen fisheries governance, management and value chains, through the implementation of an ecosystem approach to fisheries, of relevant international instruments and of innovative governance partnerships in three countries in West Africa" been achieved to date, and how effective was the project in achieving them? The MTE can regard this question to the extent possible, considering the project's progress to date.</p> <p>Sub-questions for each component:</p> <p>2.1 (Component 1) Has the project improved fisheries governance and management? If yes, in what manner (i.e. through supporting national policies and strategies)?</p> <p>2.2 (Component 2) Has the project been able to strengthen the seafood value chain through improved product quality and working conditions, make the value chains more efficient and incentivise sustainability?</p> <p>2.3 (Component 3) Has the knowledge generated and results achieved to date been communicated effectively with local, national and regional partners?</p> <p>What methods, experiences and lessons learned has the project been able to share with the global and child CFI projects? Similarly, how has the project learned and integrated learning from the other child projects?</p>

	<p>Is a functional M&amp;E system in place and is the project being monitored effectively and efficiently?</p> <p>Effectiveness of partnership arrangements: Are these partnerships (i.e. with UNEP) operating successfully to date in the project countries? What are the strengths and challenges of the project's partnerships, as well as their interactions with the local fishing communities?</p> <p>Additionally:</p> <p>2.5 Are there any unintended results to date?</p> <p>2.6 (Likelihood of impact) Are there any barriers or other risks, in any of the three countries, that may prevent future progress towards and the eventual achievement of the project's objectives? In particular, the evaluation will comment on the COVID-19 crisis and its effects on the project.</p> <p>2.7 How has the project related to the other CFI projects?</p>
<p><b>3. Efficiency</b> (rating required)</p>	<p>3.1 To what extent has the project been implemented efficiently, cost-effectively, and management been able to adapt to any changing conditions to improve the efficiency of project implementation? How satisfactory is the project's expenditure rate to date?</p> <p>3.2 To what extent has the project built on existing agreements, initiatives, data sources, synergies, complementarities with other projects and partnerships, etc., and avoid duplication of similar activities of other groups?<sup>4</sup></p>
<p><b>4. Sustainability</b> (rating required)</p>	<p>4. Does the project include provisions to sustain its results and benefits (i.e. an exit strategy) and are these provisions being implemented? What are the key risks that may affect the sustainability of the project results and benefits (i.e. financial, socio-economic, institutional and governance, and environmental)?</p>
<p><b>5. Factors affecting progress</b> (rating required)</p>	<p>5.1 (Project design) Is the project design appropriate for delivering the expected outcomes? Is the logic coherent and clear? To what extent are the project's objectives and components, clear, practical and feasible within the timeframe? Did the project properly identify capacity gaps and needs?</p> <p>5.2 (Project execution and management) To what extent did the project execution partners effectively discharge their roles and responsibilities related to the management and administration of the project? What have been the main challenges in relation to the management and administration of the project and what changes are needed to improve delivery in the second half of the project?</p> <p>5.3 (Financial management and Co-financing) What have been the challenges related to the financial management of the project and to what extent has the pledged co-financing been delivered?</p> <p>5.4 (Project oversight, Implementing Agency role) To what extent has FAO delivered on project identification, concept preparation, appraisal, preparation, approval and start-up, oversight and supervision?<sup>5</sup></p> <p>5.5 (Partnerships and stakeholder engagement) In addition to the main project partners, how have other partners, such as civil society, local fishing communities, and particularly the private sector (through the Challenge Fund), been involved in project design and implementation?<sup>6</sup> What has been the effect of their involvement/non-involvement on the project results?</p>

<sup>4</sup> For information on synergies with other initiatives, see Appendix 12 of the Project Document.

<sup>5</sup> For this project, this includes the Task Force, and the lead technical oversight provided by the Chief Technical Advisor.

<sup>6</sup> The Evaluation Team should note the extent of these stakeholders' involvement (progress to date), challenges and outcomes.



	<p>5.6 (Communication and knowledge management) How effective has the project been in consolidating, communicating and promoting its key messages and results to partners, stakeholders and a general audience? How can this be improved?<sup>7</sup></p> <p>5.7 (M&amp;E design and implementation) Is the M&amp;E plan practical and sufficient? Does the M&amp;E system operate as per the M&amp;E plan? Has the project been monitored effectively and efficiently?</p>
<p><b>6. Cross-cutting dimensions</b></p>	<p>6.1 (Gender and minority groups) To what extent were gender considerations taken into account in designing and implementing the project (including a gender analysis, gender responsive indicators and targets)? Were women able to gain equal benefits from the project's activities? Overall, what is the progress on gender-responsiveness measures?</p> <p>6.2 (Environmental and social safeguards) To what extent were environmental and social concerns, including considering the effects of the project on the most vulnerable local populations, been taken into consideration in the design and implementation of the project?</p>

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<sup>7</sup> The Evaluation Team should note which knowledge activities and products have been utilized in this project. This question closely relates to Component 3 question above.

## 5. Methodology

41. The MTEs should adhere to the UNEG Norms & Standards and be in line with the GEF Coordination Unit Mid-Term Review Guidance Document and annexes which details methodological guidelines and practices. The MTEs will adopt a consultative and transparent approach. Triangulation of evidence and information gathered will underpin their validation and analysis and will support the conclusion and recommendations.
42. Additionally, the COVID-19 health crisis is currently on-going globally. This introduces a major limitation on international and at times also domestic travel. As mentioned above, the global project evaluation will not include a field study component, instead drawing on the child projects' individual mid-term evaluations. The proposed methodology incorporates lessons from the joint guidance note (published by the OECD/DAC and UNDP) on good practices while conducting evaluations during the COVID-19 pandemic, and from the FAO Office of Evaluation's own experiences in 2020.
43. The methodologies proposed below are based on an initial assessment. Final decisions about the specific design and methods for the MTEs should emerge from consultations among the project team, the MTEs' consultants, and key stakeholders about what is appropriate and feasible to meet the MTEs purpose and objectives and answer the evaluation questions.

### 5.1 Global partnership project

44. The MTEs should adhere to the UNEG Norms & Standards<sup>8</sup> and be in line with the GEF Coordination Unit Mid-Term Review Guidance Document and annexes which details methodological guidelines and practices. The MTEs will adopt a consultative and transparent approach. Triangulation of evidence and information gathered will underpin their validation and analysis and will support the conclusion and recommendations.
45. Additionally, the COVID-19 health crisis is currently on-going globally. This introduces a major limitation on international and at times also domestic travel. As mentioned above, the global project evaluation will not include a field study component, instead drawing on the child projects' individual mid-term evaluations. The proposed methodology incorporates lessons from the joint guidance note (published by the OECD/DAC and UNDP) on good practices while conducting evaluations during the COVID-19 pandemic, and from the FAO Office of Evaluation's own experiences in 2020.
46. The methodologies proposed below are based on an initial assessment. Final decisions about the specific design and methods for the MTEs should emerge from consultations among the project team, the MTEs' consultants, and key stakeholders about what is appropriate and feasible to meet the MTEs purpose and objectives and answer the evaluation questions.

### 5.2 West Africa regional project

47. The evaluation will include a desk review of existing project documents and reports (e.g. the Project Document, annual work plans, six-monthly progress reports, meeting minutes). An extensive review of documents produced by – or related to- the project's progress will be essential

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<sup>8</sup> <http://www.uneval.org/document/detail/21>.

to answer the evaluation questions. It will also be a key source of information at the inception phase.

48. Semi-structured, remote interviews with key project stakeholders (involved in or affected by the project) – this includes stakeholders from the three project countries; the project coordination team (based in the sub-regional FAO office in Senegal); government officials; partners, etc. A time-bound schedule for the interview will be created, with help from the project's coordinators from the FAO. The interviews will be conducted by the Lead Evaluator of the CFI West Africa evaluation, with participation from the Evaluation Manager to select interviews. Skype or Zoom platforms will be utilized.
49. Field visits – the purpose of the field visits is to triangulate information from the desk study and remote interviews, assess and analyze project implementation and results (including capacity building) in the field. The national consultants will visit project sites on the ground (to the extent possible due to COVID-19 imposed limitations) and consult with the project's target groups (potentially through workshops), as well as perform direct observations of the project's outputs (and speak to persons responsible for these outputs) in Senegal, Cote D'Ivoire and Cabo Verde. Purposeful sampling strategies will be applied to identify and select information-rich cases, with a good mix between well and less-well performing project sites.
50. Similar to the Global Partnership Project evaluation, online questionnaires will be considered. For this evaluation, they can be prepared and sent out to key stakeholders who are not available to be interviewed for any reason.
51. This methodology is based on an initial assessment. Final decisions about the specific design and methods for the MTEs should emerge from consultations among the project team, the MTEs' consultants, and key stakeholders about what is appropriate and feasible to meet the MTEs purpose and objectives and answer the evaluation questions.

### **5.3 Synergies between the two mid-term evaluations**

52. As mentioned, the MTEs are to be conducted in parallel and in close collaboration. Specifically, While the Global Partnership Project evaluation aims to identify what guidance (or common approach or methodology) exists and is being promoted to the "child" projects, the West Africa regional project evaluation will verify what (i.e. methods, experiences and lessons learned) and how the project is feeding into the programme-wide sharing and learning process. Similarly, the West Africa regional project evaluation will capture how the project has learned and integrated learning from the other child projects, and how it generally relates to the other child projects and to the Challenge Fund. All of this information will feed into the relevant findings of the Global Partnership Programme evaluation, which will also address how the global project has facilitated an exchange between the child projects.
53. The two Evaluation Team Leaders will exchange from the moment they join the Evaluation Team and throughout the evaluation process. For instance, finalizing the evaluations' questions is envisioned as a collective exercise between the Evaluation Manager and the Team Leaders. A common document repository will be created, so that both evaluations can have the most up to date access to the relevant documentation. The Team Leaders will also share with one another results of their data gathering, including the questionnaires/surveys, as applicable. Finally, where effective and relevant, scoping interviews will be conducted/attended by the two Lead Evaluators together, increasing efficiency and real-time knowledge sharing.

## **6. Roles and responsibilities**

54. The Office of Evaluation (OED), in particular the Evaluation Manager (EM) are responsible for the finalization of the evaluation's TOR and the selection of the evaluation team members. The EM shall brief the evaluation team on the evaluation methodology and process and will review the final draft report for quality assurance purposes in terms of presentation, compliance with the TORs and timely delivery, quality, clarity and soundness of evidence provided and of the analysis supporting conclusions and recommendations in the evaluation report. At the end of the evaluation, the OED has the responsibility of following up with the Budget Holder for the timely preparation of the Management Response and its follow-up.
55. The Budget Holder and project Lead Technical Officer assist the EM in preparing for the evaluation, in the identification of potential consultants and in the organization of interviews and evaluation missions. The BH is also responsible for leading and coordinating the preparation of the FAO Management Response and the Follow-up Report to the evaluation, fully supported in this task by the LTO and other members of the Project Task Force.
56. The Project Task Force (PTF), which includes the FAO Budget Holder (BH), the Lead Technical Officer (LTO), the Team of the projects to be evaluated, and the GEF Coordination Unit, are responsible for initiating the evaluation process, providing inputs to the first version of the TORs, especially the description of the background and context chapter, and supporting the evaluation team during its work. They are required to meet with the evaluation team, make available information and documentation as necessary, and comment on the TORs and draft reports. Involvement of different members of the PTF will depend on respective roles and participation in the project.
57. 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 two Evaluation Team Leaders (ETLs), should 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.
58. The evaluation team will agree on the outline of the report early in the evaluation process, based on the template provided in Annex I of this TOR. The ET will also be free to expand the scope, criteria, questions and issues listed above, as well as develop its own evaluation tools and framework, within time and resources available and based on discussions with the EM, and consultations with the Budget Holder and Project Task Force where necessary.
59. The ETLs guide and coordinate the ET members in their specific work, discuss their findings, conclusions and recommendations and prepare the final draft and the final report, consolidating the inputs from the team members with his/her own.
60. The ET is fully responsible for its report which may not reflect the views of the concerned Government or of FAO. An evaluation report is not subject to technical clearance by FAO although OED is responsible for Quality Assurance of all evaluation reports.
61. For further details related to the tasks of the ETL and ET members, please refer to their specific job descriptions prepared at the time of their recruitment.

## **7. Mid-term evaluations teams compositions and profiles**

62. The MTE teams will be composed of:
- i. Two international consultants (team leaders), one for each evaluation, with expertise in fisheries, sustainable coastal fishery management, international waters, good knowledge of GEF processes and procedures, experience in GEF project evaluations, including in the project countries, and a good knowledge of the stakeholders at government level, as well as of the institutional and environmental context in the project regions.
  - ii. For the West Africa project, two to three national consultants (team members) with experience in GEF project management M&E and mid-term reviews, and stakeholder management. In addition, a technical expertise in climate change including vulnerability and resilience, fishery, marine ecosystem management, pollution control, international waters, and climate change adaptation, natural resources management in Cabo Verde, Cote D'Ivoire and Senegal respectively.
63. In addition, the Evaluation Manager is expected to participate in key briefings and consultations of the evaluations.

## 8. Mid-term evaluations products (deliverables)

64. The key MTE products that the MTE Evaluation Team are accountable for producing are:

- i. **MTE Inception Reports.** The MTE team will prepare two MTE inception reports (one for each evaluation) before beginning the fully-fledged data collection exercise. It also serves as a useful tool for summarizing and presenting the MTE design and methodology for discussions with stakeholders. It details the GEF evaluation criteria/questions that the MTE seeks to answer (in the form of a matrix); data sources and data collection methods; analysis tools or methods appropriate for each data source and data collection method; and the standard or measure by which each question will be evaluated. The inception report should include a proposed schedule of tasks, activities and deliverables.
- ii. **Draft MTE Reports.** The project team and key stakeholders in the MTE should provide feedback on each of the two draft MTE reports to ensure accuracy and that the reports meet the required quality criteria through two rounds of feedback, one internal to the project and FAO followed by evaluation by key external partners and stakeholders.
- iii. **Final MTE Reports.** These should include an Executive Summary and illustrate the evidence found that responds to the MTE questions listed in the TOR. The report should be written in English for the GCP/GLO/838/GFF evaluation and in French for the GCP/RAF/837/GFF. If necessary, at least the Executive Summary of GCP/RAF/837/GFF should also be translated into Portuguese. Supporting data and analysis should be annexed to the reports when considered important to complement the main reports. Further guidance on the development of the MTE report is given in the MTE Guidance Document and annexes.
- iv. Participation **in knowledge sharing events**, e.g. stakeholder debriefings, as relevant.

## 9. Indicative mid-term evaluations timeframe (for each evaluation)

Task	Dates (TBC)	Duration	Responsibility and remarks
Team identification	Already conducted, with the exception of national consultants in West Africa – to be completed Nov 2020		OED, with support, as applicable, by the project team
Team recruitment			OED
TOR preparation	Oct-Nov 2020		EM, with comments from the LTO, FLO, GCU MTE focal point, other project team members
TOR finalization	Nov 2020		EM
Reading background documentation	Oct – Nov 2020	2 weeks	MTE Team for preparation of the MTE
Briefing of MTE Team	Nov 4 2020	0.5 days	EM, key members of the project team
MTE inception Report	Nov 2020	2 weeks	MTE team
MTE remote interviews	Nov-Dec 2020	2 weeks	
MTE missions in West Africa – with prior confirmation of interviews, meetings and visits	Dec 2020 - Jan 2021	1-1.5 weeks in each country	MTE Team (national consultants) with support of PMU <sup>9</sup> .
Draft evaluation report	Jan 2021	2 weeks	MTE Team
Circulation and comments on the draft evaluation report	Jan 2021	10 days	EM, PMU, GCU MTE focal point, LTO for comments and quality control (organised by EM)
Participation in the Global CFI remote meeting	Week of Febr 22, 2021		
Production of final report	Febr-Mar 2021	1 week	MTE team
Management Response (MR)	1 month following final report	30 days	BH
Follow-up report to the evaluation	1 year following final report		BH

<sup>9</sup> The missions will take place to the extent possible, in line with the national COVID-19 restrictions on travel and meetings.

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